User Registration and Account Application Guide

CITSS
Compliance Instrument Tracking System Service
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<th>Description</th>
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<tr>
<td>AAR</td>
<td>Alternate Account Representative</td>
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<tr>
<td>ARB</td>
<td>California Air Resources Board</td>
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<tr>
<td>AVA</td>
<td>Account Viewing Agent</td>
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<tr>
<td>CITSS</td>
<td>Compliance Instrument Tracking System Service</td>
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<tr>
<td>D&amp;B</td>
<td>Dun &amp; Bradstreet</td>
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<td>U.S. Energy Information Agency</td>
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<tr>
<td>ETS</td>
<td>Emissions Trading System</td>
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<tr>
<td>GHG</td>
<td>greenhouse gas</td>
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<tr>
<td>ID</td>
<td>identification</td>
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<td>KYC</td>
<td>Know-Your-Customer</td>
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<tr>
<td>MRR</td>
<td>Mandatory Reporting Regulation</td>
</tr>
<tr>
<td>MT CO2e</td>
<td>metric tons carbon dioxide equivalent</td>
</tr>
<tr>
<td>NAICS</td>
<td>North American Industry Classification System code</td>
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<tr>
<td>ORIS</td>
<td>Office of the Regulatory Information System</td>
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<td>PAR</td>
<td>Primary Account Representative</td>
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<tr>
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<td>WCI</td>
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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

User Registration and Account Application – CITSS

User Registration

1. Fill out the User Registration Website Forms
2. Submit
3. KYC Check
4. Approval
5. Not all approved CITSS users will complete the following process.
6. Login to CITSS to view your “My User Profile”
7. Modify & Edit User Profile Information
8. Approval or Denied

Key:
- **Know-Your-Customer Checks**: involve receiving and tracking mail (documents) from registrants and verifying information submitted by registrants.
- **Approval** or **Denial** are done by the jurisdictional Registrars. Users receive an email for approval/denials.
- **Primary Account Representative (PAR)** is an individual authorized by a registered entity to make submissions to CITSS (each account needs 1 PAR).
- **Alternate Account Representative (AAR)** is an individual designated to take actions on an entity’s accounts.
- The user can’t register if the 1st KYC check determined a felony.

Account Application

1. Fill out the Account Application Website Forms
2. Submit
3. KYC Check
4. Approval

Account Management

1. ARB Issues Account (note: entities receive accounts based on entity types)
2. Modify & Edit Account Information
3. Approval or Denied
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$_2$e) 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$_2$e annually. For example, a glass manufacturer that emits 18,000 MTCO$_2$e 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:
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:

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*

**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

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

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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)

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)**

**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)**

![User Registration Form](image-url)

**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*

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.
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

Terms and Conditions

ACCESS AGREEMENT AND TERMS OF USE FOR THE CITSS

CLICK THE CHECK BOX AT THE BOTTOM OF THE PAGE AND "CONTINUE" TO INDICATE YOUR ACCEPTANCE OF THIS AGREEMENT.

Access to the Compliance Instrument Tracking System Service (CITSS) is subject to the terms and conditions set forth in this Access Agreement and Terms of Use Agreement. You must accept this Agreement in order to access the CITSS application. Violation of this agreement may result in loss of access to CITSS and, if warranted, civil or criminal prosecution under state, provincial, or federal law.

This Agreement is between the State of California, Air Resources Board (ARB) and each registered California user of Compliance Instrument Tracking System Service (User). The Agreement sets forth the terms of use of CITSS. ARB provides User with access to the CITSS software application, for registering entities and holding compliance instrument. User understands and agrees that CITSS is provided "AS IS" and without any warranty, as set forth below in greater detail.

1. CITSS Use

1.1 ARB and WCI, Inc. hereby grant to User, and User hereby accepts, subject to the terms and conditions set forth in this Agreement, a non-exclusive and non-transferable right to access CITSS via the world-wide-web or the internet at times when the software and servers are available and operating.

1.2 User further acknowledges that it is not authorized to and may not possess or distribute any or all parts of the CITSS software, including its source codes and program components. User is not authorized to install, run or operate CITSS on User’s or third-party computer or servers.

1.3 User is solely responsible for ensuring that all information, data, text, or other materials that User provides to ARB or WCI, Inc. through use of CITSS (Content) are true, accurate, and complete and comply with ARB’s requirements for the compliance with the cap-and-trade program under the California Cap on Greenhouse Gas Emission and Market-Based Compliance Mechanisms (Regulation) (Title 17, California Code of Regulations (CCR), Sections 98500 et seq.)

1.4 User understands that ARB will return and use the Content consistent with the applicable Regulation(s) and may disclose Content to the public to the extent disclosure is required by California law or legal process, or to the extent that disclosure is not prohibited by California law.

1.5 ARB has included (as part of CITSS) security features including password protection to prevent a person other than the User from obtaining access through CITSS to User’s Content. User understands that these security features depend on User protecting its password from disclosure to unauthorized persons. User also understands and acknowledges that despite security measures to prohibit unauthorized access to the Content through CITSS, unauthorized access could occur and in the event it does, ARB or WCI, Inc. may not be held liable for the unauthorized release of information, data, text or other materials that have been submitted to ARB using CITSS.

1.6 ARB does not endorse or provide support for software or web-based interfaces offered by third parties for purposes of submitting data to ARB. Use of a third-party interface or software product in order to access CITSS does not relieve the user of the need to ensure that information required by the applicable Regulation has been properly submitted to ARB and received by the applicable deadline and that all certifications required for use of CITSS have been submitted.

1.7 User is responsible for maintaining a copy of all data submitted to CITSS. The loss of electronic information, data, text, or other materials during use of CITSS or the unavailability of the CITSS system does not excuse User from the requirements in the applicable Regulation.
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**

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.

**Email** - After the terms and conditions have been accepted and the registration submitted, email confirmation of the submittal will be sent to the email address provided in the application.
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

![Image of CITSS registration submission success message]

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**

---

**#1 User Registration Checklist**

Print the form (page) using your browser print function. After printing, you should close the window/tab (not your browser) to return to the CITSS application.

CITSS User Reference Code #: 3KSM0T78B5Y4

To finish user registration, you must complete the following steps:

- Print/Sign the User Registration Form (Button 2)
- Complete and notarize the Proof of Identity Form and documents (Button 3), and
- 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.

Mail the completed forms to:

California ARB
Attn: The CITSS User Registration
1901 N Street, 9th Floor
Sacramento, CA 95814

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.

Revision: 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)

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)**

**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 back 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](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.
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.

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 Screen]

**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**

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salutation</td>
<td></td>
</tr>
<tr>
<td>First Name</td>
<td>Jerry</td>
</tr>
<tr>
<td>Middle Name</td>
<td>Joseph</td>
</tr>
<tr>
<td>Last Name</td>
<td>Jenkins</td>
</tr>
<tr>
<td>Suffix</td>
<td></td>
</tr>
<tr>
<td>Date of Birth</td>
<td>16 October 2015</td>
</tr>
<tr>
<td>Job Title</td>
<td>Administrative Assistant</td>
</tr>
<tr>
<td>Organization Name</td>
<td>Union Pacific</td>
</tr>
<tr>
<td>Organization Department</td>
<td>Admin</td>
</tr>
<tr>
<td>Telephone Number</td>
<td>5555555111</td>
</tr>
<tr>
<td>Telephone Extension</td>
<td></td>
</tr>
<tr>
<td>Mobile Phone Number</td>
<td>5555555333</td>
</tr>
<tr>
<td>Fax Number</td>
<td>5555553222</td>
</tr>
<tr>
<td>E-Mail Address</td>
<td><a href="mailto:jenkins@view-der.com">jenkins@view-der.com</a></td>
</tr>
<tr>
<td>Correspondence Language</td>
<td>English</td>
</tr>
<tr>
<td>Primary Residence</td>
<td></td>
</tr>
<tr>
<td>Street 1</td>
<td>5438 Factory Blvd</td>
</tr>
<tr>
<td>Street 2</td>
<td>Building 37</td>
</tr>
</tbody>
</table>

![Edit User Information](image-url)
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**

**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.
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)*
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)

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

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**

**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**

**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.
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.
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.
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

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**

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](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

<table>
<thead>
<tr>
<th>Legal Name</th>
<th>GHG Emissions Reporting ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>San Diego Gas &amp; Electric Company</td>
<td>3004</td>
</tr>
<tr>
<td>San Diego Gas &amp; Electric Company</td>
<td>101431</td>
</tr>
<tr>
<td>San Diego Gas &amp; Electric Company</td>
<td>1003309</td>
</tr>
<tr>
<td>San Diego Gas and Electric Company</td>
<td>5001</td>
</tr>
<tr>
<td>San Diego State University</td>
<td>101399</td>
</tr>
</tbody>
</table>

**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**

**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**

**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](http://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**

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
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)](image)

**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)**

**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.
7.4.6 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 42. After 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 entity’s account(s) following approval.

This page also summarizes the information entered in the entity’s account application. Review the information entered to ensure that it is correct. Figure 42 highlights the assigned “CITSS Entity ID” and the navigation buttons. The green text below the navigation buttons indicates that the information required for the account application is complete.

*Figure 42 – Account Application: Review and Submit*

**STEP 1** Review the data.

**STEP 2** If there is a need to make any edits, select the appropriate navigation buttons (Entity Data, Contact Information, or 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.
7.4.7 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**

![Account Application: Terms and Conditions](image)

**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

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**

**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

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

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
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)

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.
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.”
7.5.5 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 51, 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 entity’s account(s) following approval.

This page also summarizes the information entered in the individual general market participant account application. Review the information entered to ensure that it is correct. If there is a need to make any edits, select the appropriate navigation buttons (Entity Data, Contact Information, and Representatives) to correct the information.

Figure 51, the “Account Application: Review and Submit” page, 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.

**Figure 51 – Account Application: Review and Submit**

```
STEP 1  Review the data.
```
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**

**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

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**

**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**

![Account Application: Additional Information](image)

**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**

**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*
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)**

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)**

**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.
Figure 61 – Account Application: Review and Submit

STEP 1  Review the data.

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.
7.6.7 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**

**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.

*Email* - An email confirmation will be sent to the user and the assigned account representative(s) indicating that the account application was successfully submitted.
7.6.8 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

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

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**

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](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;
- 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

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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

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.
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**

<table>
<thead>
<tr>
<th>Field</th>
<th>Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salutation</td>
<td></td>
</tr>
<tr>
<td>First Name</td>
<td></td>
</tr>
<tr>
<td>Middle Name</td>
<td></td>
</tr>
<tr>
<td>Last Name</td>
<td></td>
</tr>
<tr>
<td>Suffix</td>
<td></td>
</tr>
<tr>
<td>Date of Birth</td>
<td></td>
</tr>
<tr>
<td>Telephone</td>
<td></td>
</tr>
<tr>
<td>Telephone Ext.</td>
<td></td>
</tr>
<tr>
<td>Mobile Telephone</td>
<td></td>
</tr>
<tr>
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<td></td>
</tr>
<tr>
<td>Email</td>
<td></td>
</tr>
<tr>
<td>Correspondence Language</td>
<td></td>
</tr>
</tbody>
</table>

**Physical Address**

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<th>Information</th>
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</thead>
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<td></td>
</tr>
<tr>
<td>Street 2</td>
<td></td>
</tr>
<tr>
<td>City</td>
<td></td>
</tr>
<tr>
<td>State/Province</td>
<td></td>
</tr>
<tr>
<td>Postal Code</td>
<td></td>
</tr>
<tr>
<td>Country</td>
<td></td>
</tr>
<tr>
<td>Mailing Address</td>
<td></td>
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<tr>
<td>-----------------</td>
<td>--</td>
</tr>
<tr>
<td>Street 1</td>
<td></td>
</tr>
<tr>
<td>Street 2</td>
<td></td>
</tr>
<tr>
<td>City</td>
<td></td>
</tr>
<tr>
<td>State/Province</td>
<td></td>
</tr>
<tr>
<td>Postal Code</td>
<td></td>
</tr>
<tr>
<td>Country</td>
<td></td>
</tr>
</tbody>
</table>

Print Name: ________________________________
Signature: ________________________________
Date: ________________________________