California Environmental Protection Agency

Air Resources Board

Compliance Instrument Tracking System Service (CITSS)

User Reference CITSS Version 3.0

August 2013

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List of Acronyms

AAR	Alternate Account Representative
ARB	California Air Resources Board
AVA	Account Viewing Agent
CAG	Corporate Association Group
CEA	Consolidated Entity Account
CITSS	Compliance Instrument Tracking System Service
GHG	greenhouse gas
ID	identification
MRR	Mandatory Reporting Regulation
$MTCO_2e$	metric tons carbon dioxide equivalent
NAICS	North American Industry Classification System
PAR	Primary Account Representative

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1.0 User Reference Introduction

The Compliance Instrument Tracking System Service (CITSS) supports the implementation of California's Cap-and-Trade Program (Program). The CITSS is the record of ownership of compliance instruments; records information related to accounts; enables and records compliance instrument transfers; facilitates compliance instrument surrender; and supports market oversight through the collection of relevant information. The CITSS was initiated for User Registration and Account Application in July 2012 (Version 1.0) and additional functionality was added in November 2012 (Version 2.0).

The CITSS can be accessed at https://www.wci-citss.org.

CITSS Version 3.0 (CITSS 3.0) went live on August 1, 2013. This CITSS Version 3.0 User Reference document is provided to introduce users to the new features as a supplement to the current CITSS User Guides (Volumes I, II, and III). User Guides are being updated to incorporate all current CITSS features.

CITSS 3.0 provides expanded functionality and information, including:

- Entity and facility data (addition of facilities)
- Facility management (entity information /account consolidation)
- Corporate association management
- Holding limit management
- Auction purchase limit information
- Enhanced reporting features

Following the release of CITSS 3.0, ARB began updating entity CITSS accounts with account consolidation and corporate association data previously submitted to ARB, as well as limited exemption data based on verified emissions. The CITSS automatically sent emails to account representatives informing them of updates during this data entry period. ARB completed this data entry August 19, 2013.

Account representatives should review the information under the new "Corporate Associates," "Facilities," and "Holding Limits" tabs.

If you have any questions or concerns regarding the data entered, please contact:

Mr. Sean Donovan
California Air Resources Board
sdonovan@arb.ca.gov
(916) 322-7202

If you have any additional questions, please contact the CITSS Help Desk at 1-866-682-7561 or help@wci-citss.org.

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2.0 Entity – Facility Relationships

A primary update in CITSS 3.0 is a change in how entity and facility relationships are displayed in a CITSS account.

Per the Cap-and-Trade Regulation (Regulation), each entity applying for a CITSS account must provide specific information related to corporate associations. The *CITSS Corporate Associations and Structure Form* (CITSS Corporate Associations Form) generated from the CITSS during the account application process is used to submit the required information about corporate associations.

Section 95833 of the Regulation stipulates that the Executive Officer will consolidate the accounts held by entities registered into the Program pursuant to Section 95830 that are part of a direct corporate association into a consolidated set of accounts. In the CITSS, entities that are part of a direct corporate association are referred to as Direct Corporate Associates. Direct Corporate Associates are by default consolidated into a Consolidated Entity Account (CEA).

ARB recognizes that some entities may elect to manage their emissions and obligations under the Regulation individually despite having direct corporate associations with other entities in the program. Direct Corporate Associates can choose to opt-out of consolidation and hold separate accounts. If an entity opts-out of consolidation, then the separate CITSS accounts for the Direct Corporate Associates are considered a Corporate Association Group (CAG) in the CITSS. CITSS 3.0 provides improved features that reflect account consolidations pursuant to Section 95833 of the Regulation, as well as the entities that opt-out of consolidation.

When CITSS was initially released, entities provided information for a CEA or opt-out requests through the *Consolidated Entity Account Form*. Prior to CITSS 3.0, each CEA was represented by one facility identified as the primary facility for the CEA. The CITSS did not have the ability to identify other facilities included in the CEA. Similarly, each member of a CAG had individual CITSS accounts but the relationship to other entities in the CAG could not be reflected in the CITSS.

Regulated entities in the Program are required to enter information about their facilities into the CITSS. Only facilities that are subject to the Regulation should be entered into the CITSS. ARB provides an annual list of facilities that are subject to Program at: http://www.arb.ca.gov/cc/capandtrade/capandtrade.htm

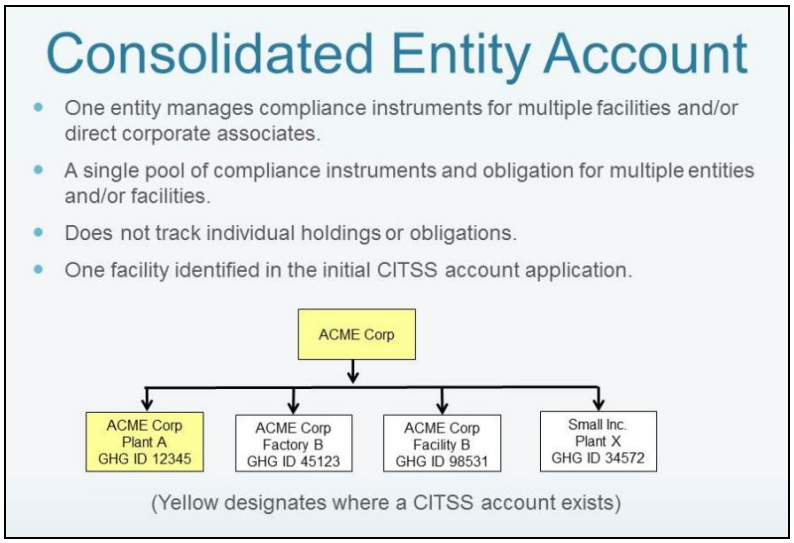
This list will change each year based on reported emissions. Facilities with emissions over the 25,000 $MTCO_2e$ threshold or have opted-in to the Program will be added while facilities that are no longer subject to the Regulation will be removed.

For the purpose of required facility information, a “facility” is a facility that has been assigned an ARB GHG emissions reporting identification number (GHG emissions reporting ID). However, in some circumstances an entity without a facility may have an emission reporting requirement and a GHG reporting identification number, e.g., a transportation fuel importer. In such a situation, the entity information is entered as the required facility information.

2.1 Consolidated Entity Accounts

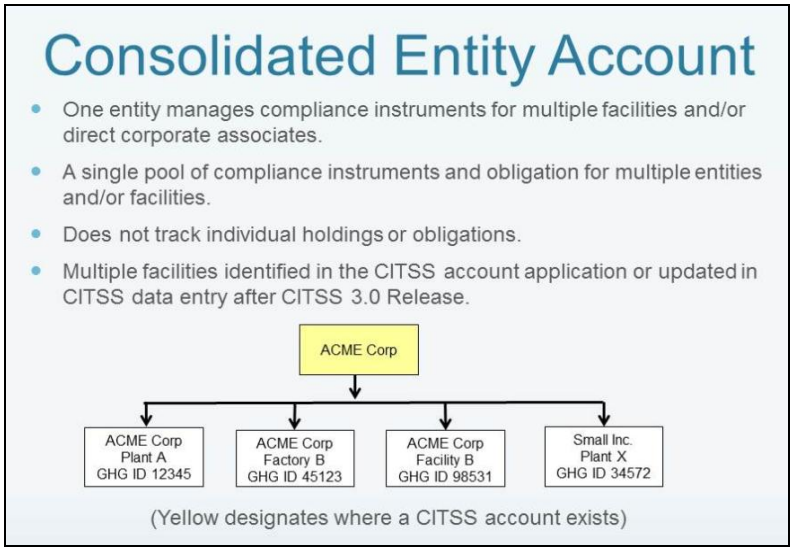
As illustrated in Figure 1, prior to CITSS 3.0 the CITSS CEA for ACME Corp identified only Plant A in the CITSS data entry. The boxes shaded in yellow show the initial CITSS account information. In this example, there would be one CITSS account representing the CEA for ACME Corp, with information entered for Plant A. Factory B, Facility B, and Small Inc. are all facilities in the CEA that would not be recorded in CITSS, but would be listed on the CITSS *Consolidated Entity Account Form* submitted by ACME Corp.

Figure 1 – Initial Organization of Data in the CITSS



One of the new features of CITSS 3.0 is the functionality to identify members of the CEA under the account that represents the CEA. Figure 2 illustrates the updated structure of the CEA for ACME Corp in CITSS 3.0. In this example, there is a CITSS account for ACME Corp that is an "entity level" account not identified as that of an individual facility. The ACME Corp account represents three ACME facilities and the corporate associate Small Inc.

Figure 2 – Consolidated Entity Accounts in CITSS

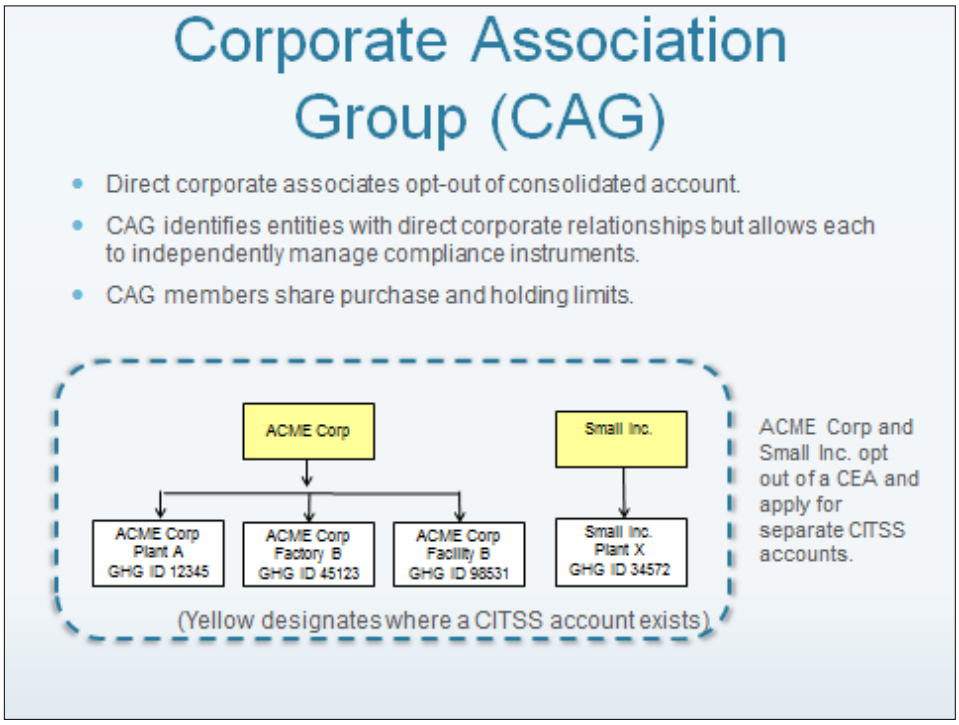


2.2 Corporate Association Groups

Direct Corporate Associates can choose to opt-out of consolidation and hold separate accounts. The Regulation provides specific guidance for an entity to opt-out of participation in a CEA. If an entity opts-out of consolidation, then the separate CITSS accounts for the Direct Corporate Associates are considered a CAG in the CITSS. Members of a CAG must share purchase and holding limits and must agree to the distribution of the limits among the members. CITSS 3.0 includes new or revised displays of data related to CAGs.

Continuing with our example, Figure 3 shows the organization of a CAG in which ACME Corp and Small Inc. are Direct Corporate Associates that have chosen to maintain separate CITSS accounts. In the example illustrated below, there are CITSS accounts for ACME Corp and Small, Inc. (illustrated by the yellow shading). ACME Corp, as a CEA, manages its three facilities in the CEA account. Another possible configuration that ACME Corp could choose would be that each facility maintains a CITSS account, where the individual members of the CAG would be Plant A, Factory B, Facility B, and Small, Inc.

Figure 3 – Direct Corporate Associates that DO NOT Consolidate



3.0 Account Application Changes in CITSS 3.0

CITSS 3.0 distinguishes between an entity and a facility. For all account applications, the entity is the owner of the account. Account application changes in CITSS 3.0 for Covered Entities and Opt-in Covered Entities (Covered Entities) include the entry of facility data.

Previously, when submitting an account application in the CITSS for a Covered Entity the application information was related to a facility. A CEA had to identify one facility as the primary facility and could only identify one facility in the CITSS data entry. Additional facilities under a CEA were identified in the CITSS *Corporate Associations Form* and the *Consolidated Entity Account Form*, which ARB tracks outside of CITSS.

In CITSS 3.0 all account applications for Covered Entities will have at least one entity-facility relationship. For a CEA, multiple entity-facility relationships will be identified.

All account applications, for Covered Entities or General Market Participants, now include the ability to indicate an interest in auction participation. In addition, CITSS 3.0 includes updates to the forms submitted in the account application process to reflect updated entity-facility data entry and additional corporate associations and structure data previously provided through separate forms. Information previously provided through the CITSS *Corporate Associations Form* and the *Consolidated Entity Account Form is now all provided through the* CITSS *Corporate Associations Form.*

3.1 Account Application – Covered Entities

Prior to CITSS 3.0, the first step in account applications for Covered Entities in the CITSS provided two options:

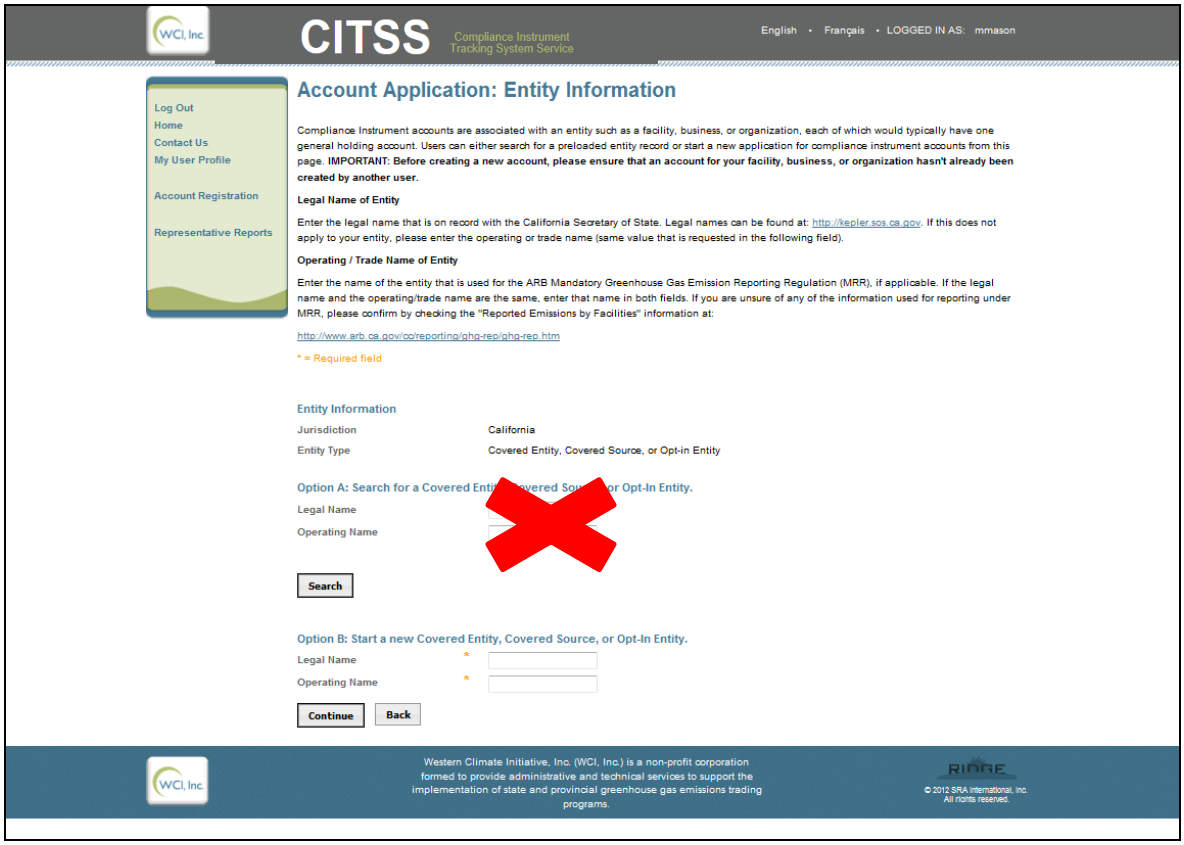
- Option A: Search for a Covered Entity, Covered Source, or Opt-in Entity
- Option B: Start a new Covered Entity, Covered Source, or Opt-in Entity

Option A was provided for use during the initial CITSS registration period to allow existing users the ability to locate facilities that had registered with ARB through Program registration, prior to availability to the CITSS. At this time, all new account applications should be submitted using Option B.

Choosing Option B will allow the entry of entity data, starting with the legal and operating name of the entity.

Figure 4 illustrates the first step in the account application process for new Covered Entities.

Figure 4 – Account Application: Entity Information

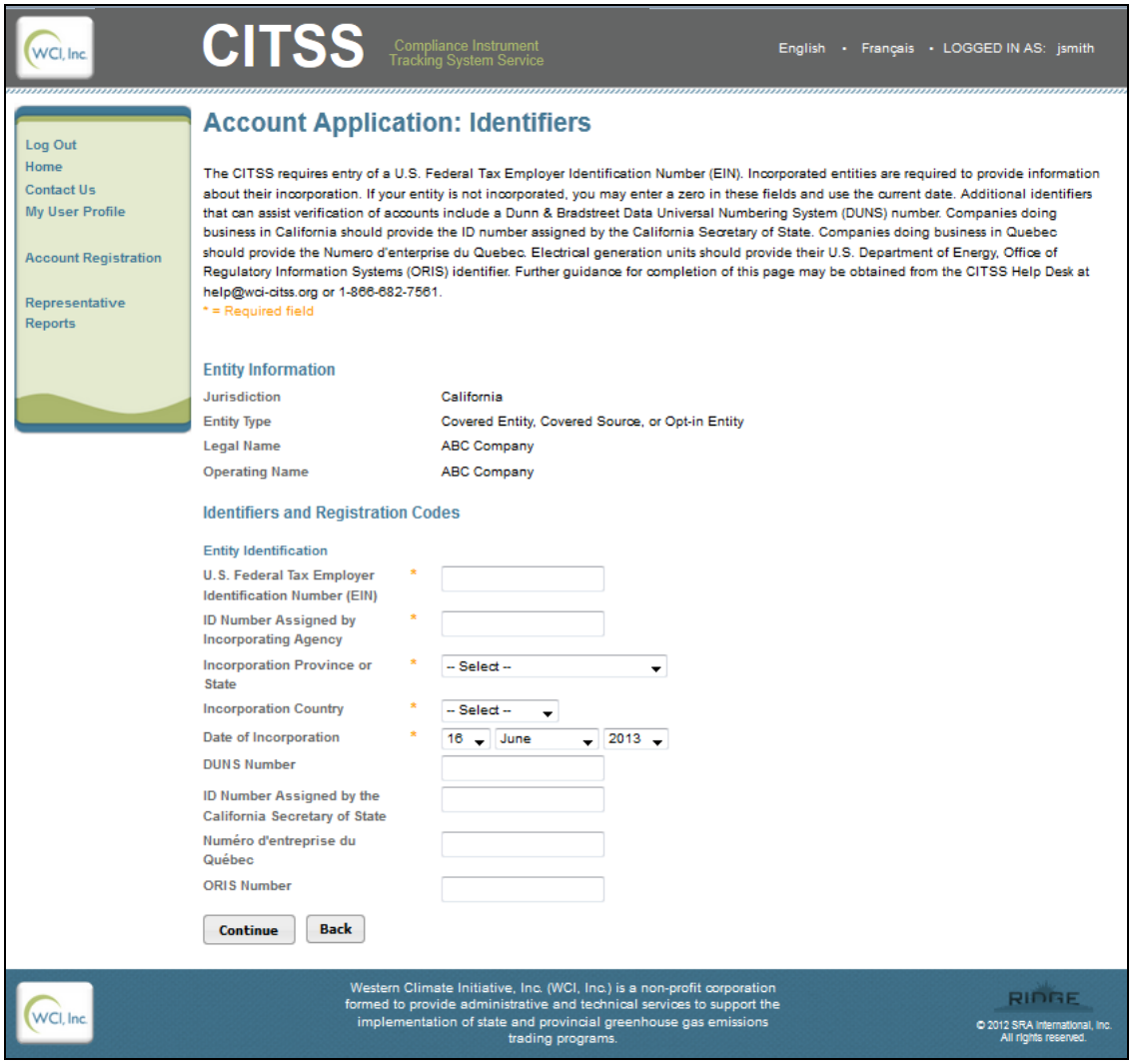


3.1.1 Account Application: Identifiers

Figure 5 shows the continuation of the account application process for a Covered Entity after selecting Option B (Figure 4).

CITSS 3.0 distinguishes between an entity and a facility and the data entry on the *Account Application: Identifiers Page* is now specific to entity information.

Figure 5 – Account Application: Identifiers Page

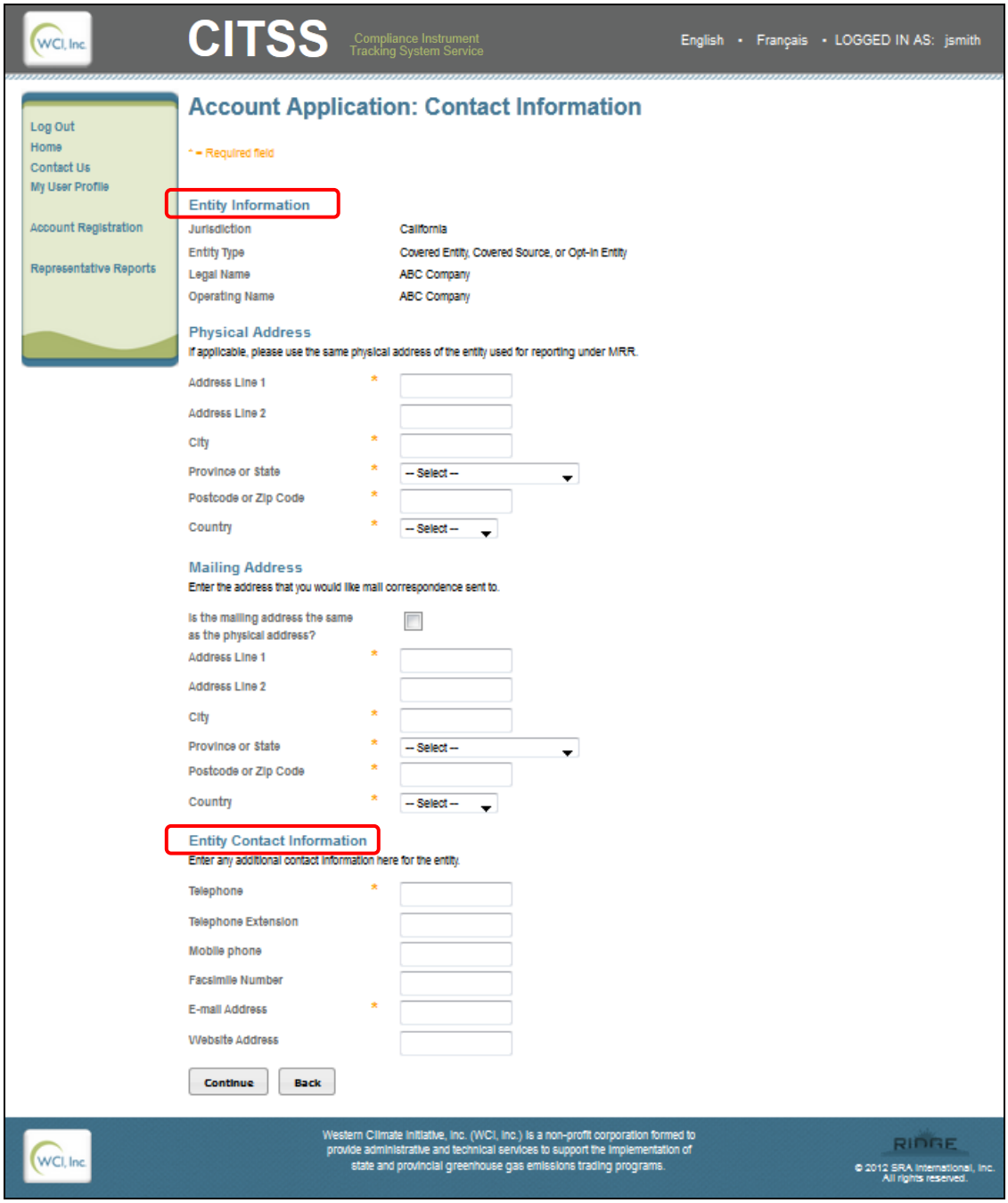


Entity information no longer includes the NAICS code and GHG Emissions Reporting ID previously listed under the Entity Identification information. This data is specific to facilities and the two fields have been moved to a facility specific page that is completed later in the account application process.

3.1.2 Account Application: Contact Information

In CITSS 3.0, the contact information in the account application process is now entity specific (Figure 6).

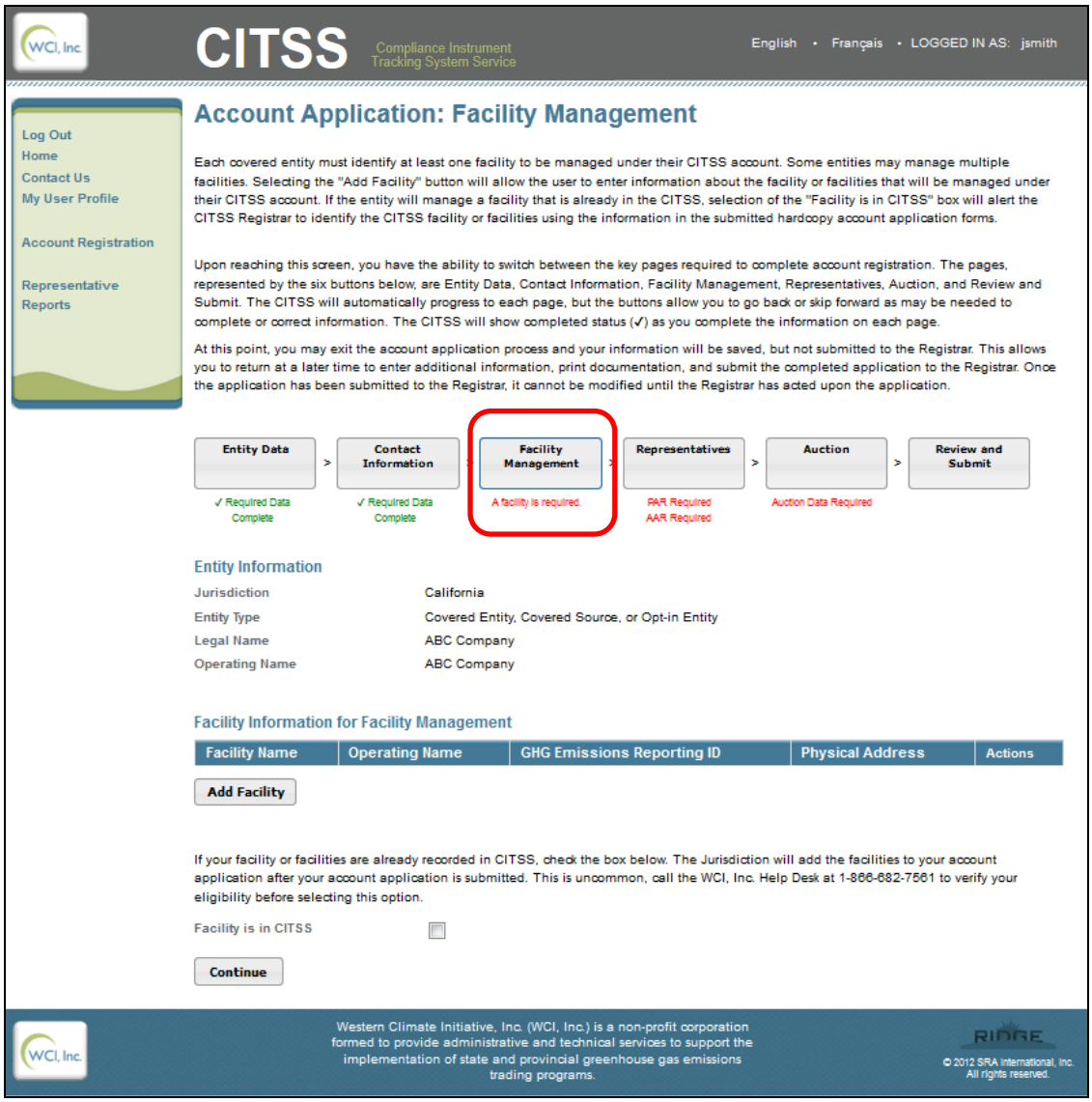
Figure 6 – Account Application: Contact Information



3.1.3 Account Application: Facility Management

Again, CITSS 3.0 distinguishes between entities and facilities for covered entities. As the account information is entity specific, there is now a *Account Application: Facility Management Page* where the information specific to facilities must be entered (Figure 7). The *Account Application: Facility Management Page* is only provided for account applications for a Covered Entity. General Market Participants will not have a *Account Application: Facility Management Page* in the account application process. All account applications for a Covered Entity require at least one facility to be added. If the account application is for an entity that manages a CEA, multiple facilities will be added.

Figure 7 – Account Application: Facility Management



3.1.4 Account Application: Facility Information

There are two ways to associate an entity with a facility or facilities. If the facility has not been previously registered in the CITSS, pressing the **Add Facility** button (Figure 7) presents the *Account Application: Facility Information Page* where the user will enter facility information.

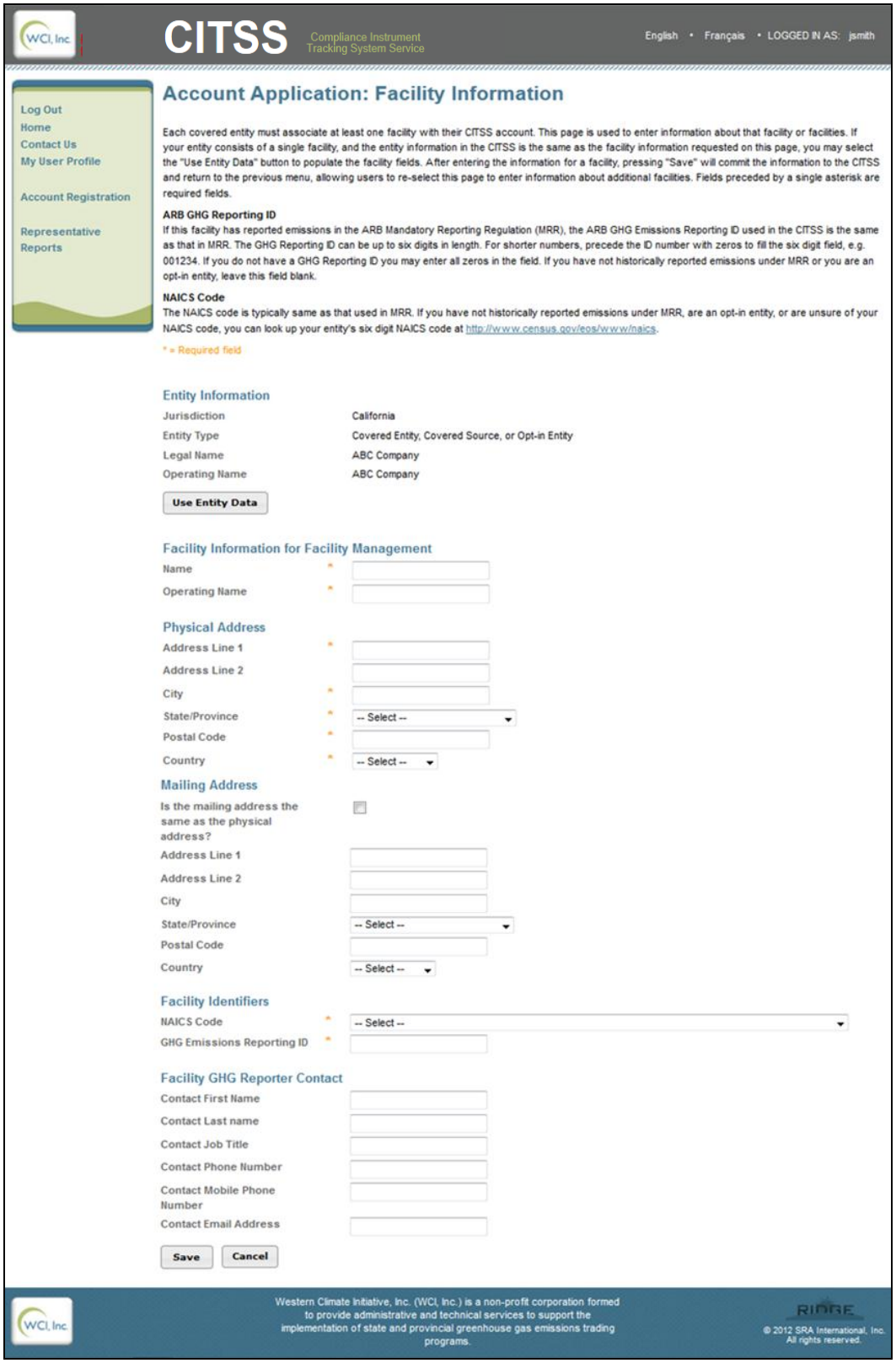
Figure 8 provides a view of the *Account Application: Facility Information Page* used to enter facility data. You can select the option to use the previously completed entity information for the facility if appropriate. If selected, you will still need to provide the NAICS code, GHG emissions reporting ID, and you have the option to provide contact information for the GHG reporter. You can also choose to manually enter all data.

As with other data entry in the CITSS, the asterisks indicate required fields.

When data entry for the first facility is completed, select save and you can then select the **Add Facility** button again if needed to enter additional facilities.

Although uncommon, if the facility is already in the CITSS, but is being associated with a different entity, e.g., purchase of the facility by a new owner, then the user must check the "Facility is in CITSS" box presented on the *Account Application: Facility Management Page* (Figure 7). The information is provided to the CITSS Registrar who can associate the existing facility with the new owner.

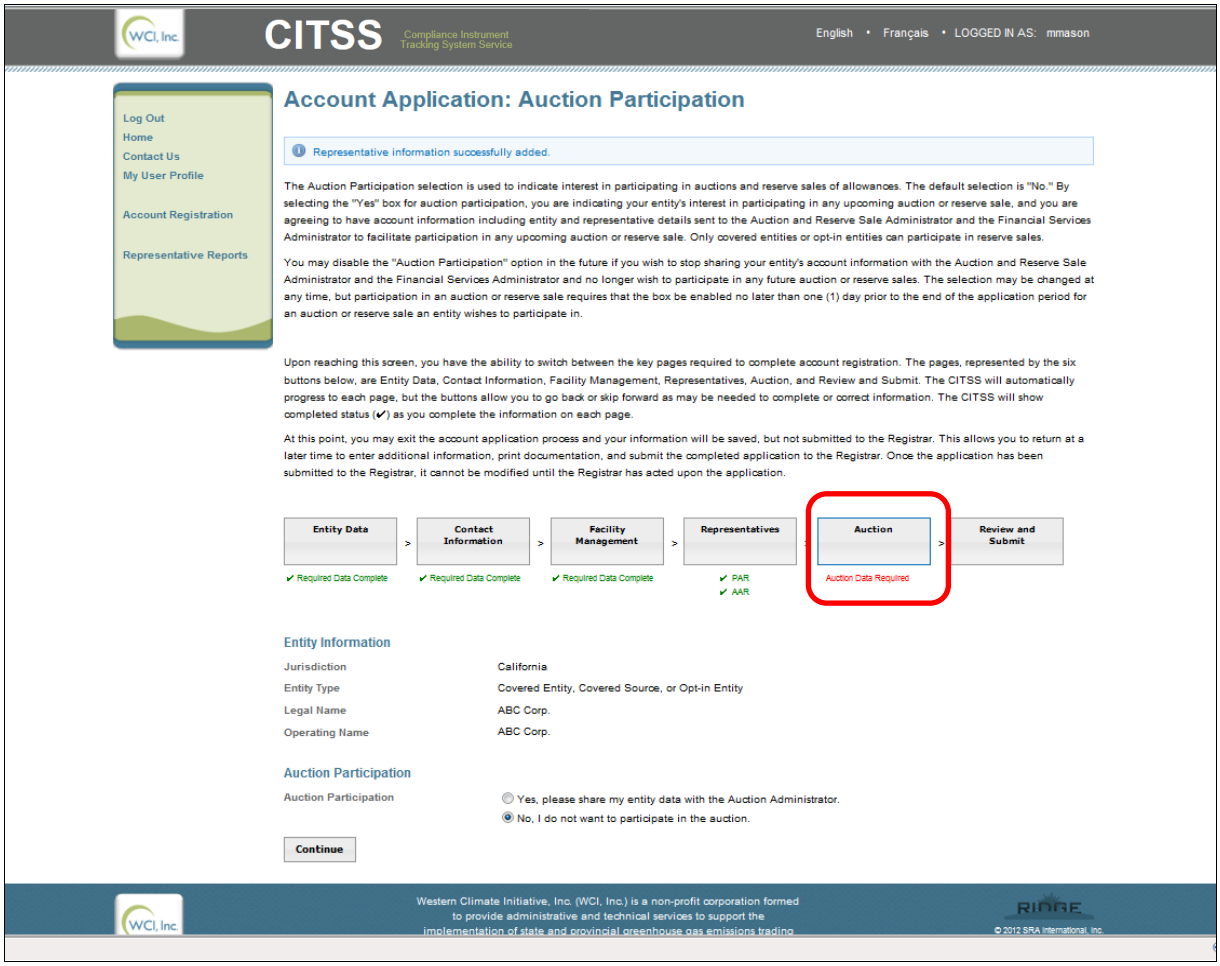
Figure 8 – Account Application: Facility Information



3.1.5 Account Application: Auction Participation

During the account application process, users can now indicate the entity's interest in participating in upcoming auctions and reserve sales (Figure 9). Previously, this selection could only be made after an account had been approved. The selection is set by default to "No" and requires active selection by a representative to select "Yes." If the representative completing the account application is unsure of this data entry it can be left as a "No" and updated at any time after account application has been approved.

Figure 9 – Account Application: Auction Participation



The remainder of the data entry for a Covered Entity account application remains the same as in prior versions of the CITSS.

3.2 Changes in Account Application Forms

The forms generated by the CITSS at the end of the account application process have been updated to reflect the changes in the account application process and to consolidate the information previously provided in the *Consolidated Entity Account Form* into the CITSS Corporate Associations Form. The following is an overview of changes by form.

3.2.1 Account Application with Attestations

- Entity information and facility information listed separately as entered in the online CITSS data entry.
- Facility information is listed as entered in the account application to include all facilities in a CEA.
- Facility information for each facility includes all data entered for the facility, including the legal and operating name, physical and mailing addresses, and GHG contact (if provided).
- "Auction Participation" box selection is included.

3.2.2 Corporate Associations and Structure Form

- Section 3.0 of the form, which includes all data pertaining to corporate associations, has been expanded to include confirmation by the entity applying for the account of an entity with a direct corporate association that is opting-out of a CEA and reporting of purchase and holding limit distribution among the Direct Corporate Associates.
- New section 5.0 is included to obtain confirmation by representatives of each entity that is identified as a member of a CAG (Direct Corporate Associates that opted-out of a CEA) and confirmation of the distribution of purchase and holding limits among the Direct Corporate Associates.

4.0 Account Information Updates in CITSS 3.0

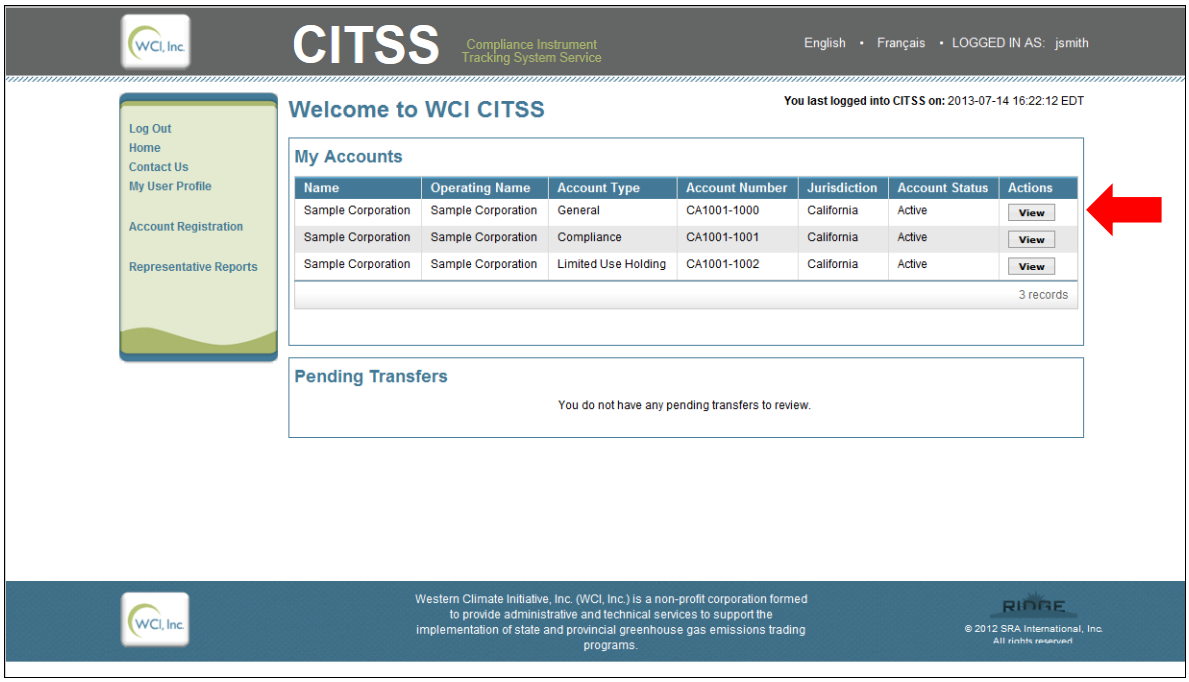
The most significant change in CITSS 3.0 is the additional information that is now provided for existing and new CITSS account holders. Account representatives can manage the account information previously recorded in the CITSS, as well as additional information related to corporate associations, holding limits, and purchase limits. There are new tabs in the account detail pages and some changes in how information is displayed in previously available tabs.

4.1 User Home Page

The User Home Page is largely unchanged (Figure 10). The Transfer History link in the left menu bar has been replaced with a Representative Reports link, which includes a Transfer History report.

The new functionality provided in CITSS 3.0 is seen primarily in the Account Detail pages of the CITSS. To access this information, select the **View** button in the Actions column to go to the Account Page.

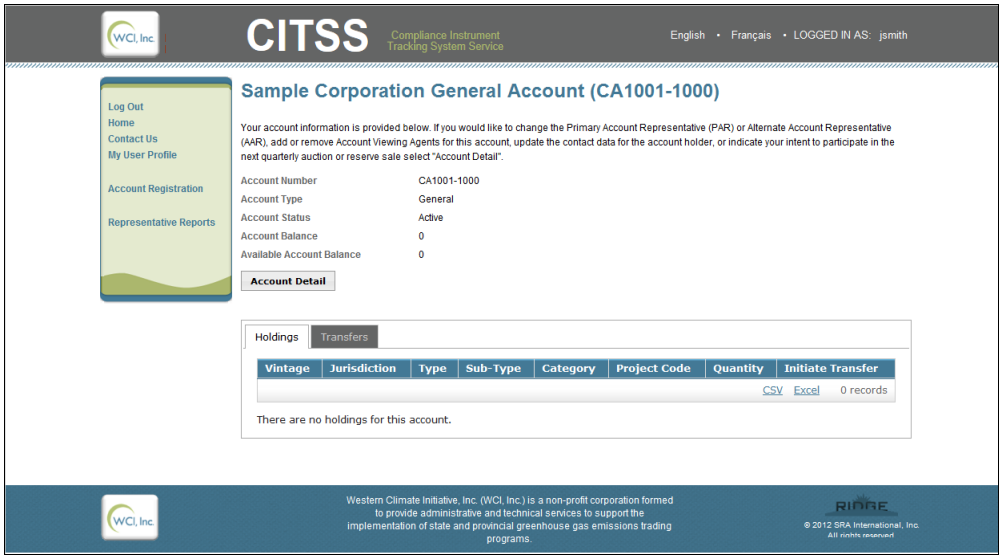
Figure 10 – User Home Page



4.2 Account Page

To view account information, from any account page, select the **Account Detail** button (Figure 11).

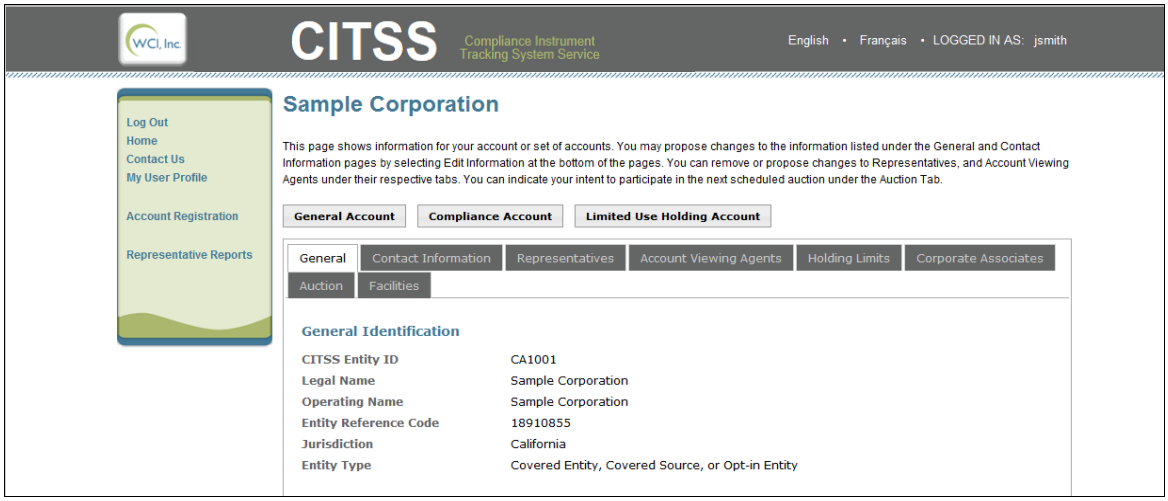
Figure 11 – General Account Page



4.3 Account Detail

Prior to CITSS 3.0, the CITSS Account Detail view included five tabs for all account holders. With CITSS 3.0, up to three (3) additional tabs may be included depending on the entity. The example in Figure 12 includes all potential tabs except Proposed Data Changes, which only appears when there is a proposed change in information awaiting Registrar approval.

Figure 12 – CITSS 3.0 Account Detail View (New Tabs)



Most entities will not see all of the potential Account Detail tabs. Tabs are included in an entity's account detail as described below:

Tab	Entity Type	Condition for Tab Display
General	All entity types	Always provided Presents account information
Contact Information	All entity types	Always provided Presents account information
Representatives	All entity types	Always provided Presents active and pending PAR and AARs
Account Viewing Agents	All entity types	Always provided Presents active and pending AVAs
Holding Limits	All entity types	Always provided Presents data used to manage account holdings
Corporate Associates	All entity types	Tab is only displayed if the entity is a member of a CAG (Direct Corporate Associates with at least one entity opting out of a consolidated entity account)
Auction	All entity types	Always provided Presents required entry of “Yes” or “No” to indicate interest in auction participation
Facilities	Covered Entities and Opt-in Covered Entities Only	Always provided Displays at least one facility; multiple facilities if a CEA
Proposed Data Changes	All entity types	Tab is only displayed if an entity representative has entered a proposed change that is waiting Registrar approval

4.3.1 Account Detail: General Tab

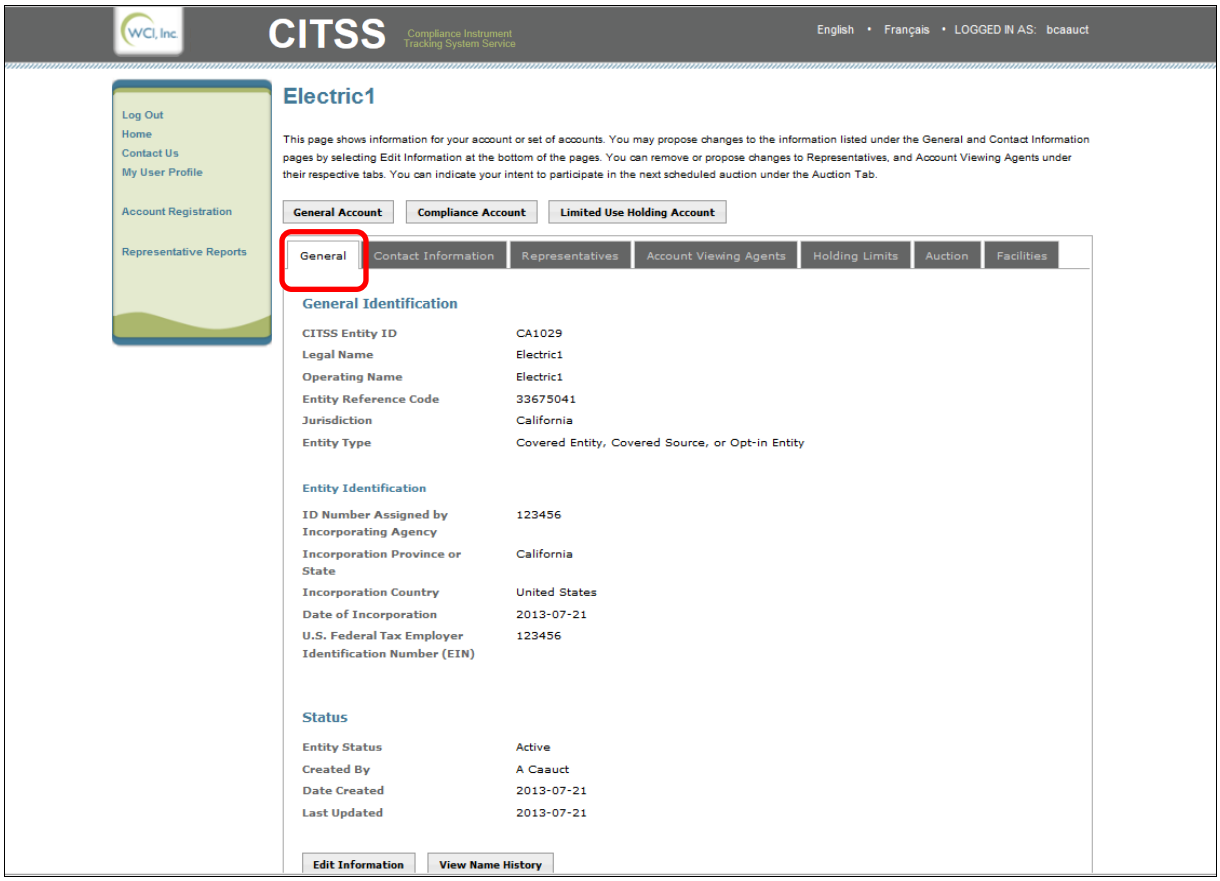
The General Tab, shown in Figure 13, shows entity identification information that was entered during the account application process. Near the bottom of the window is account status information, the CITSS user that submitted the online portion of the account application (Created By), and when the account was created and last updated.

In CITSS 3.0, fields that are specific to a facility have been removed from the General Tab –

Under General Identification: The NAICS code

Under Entity Identification: The GHG Emissions Reporting ID

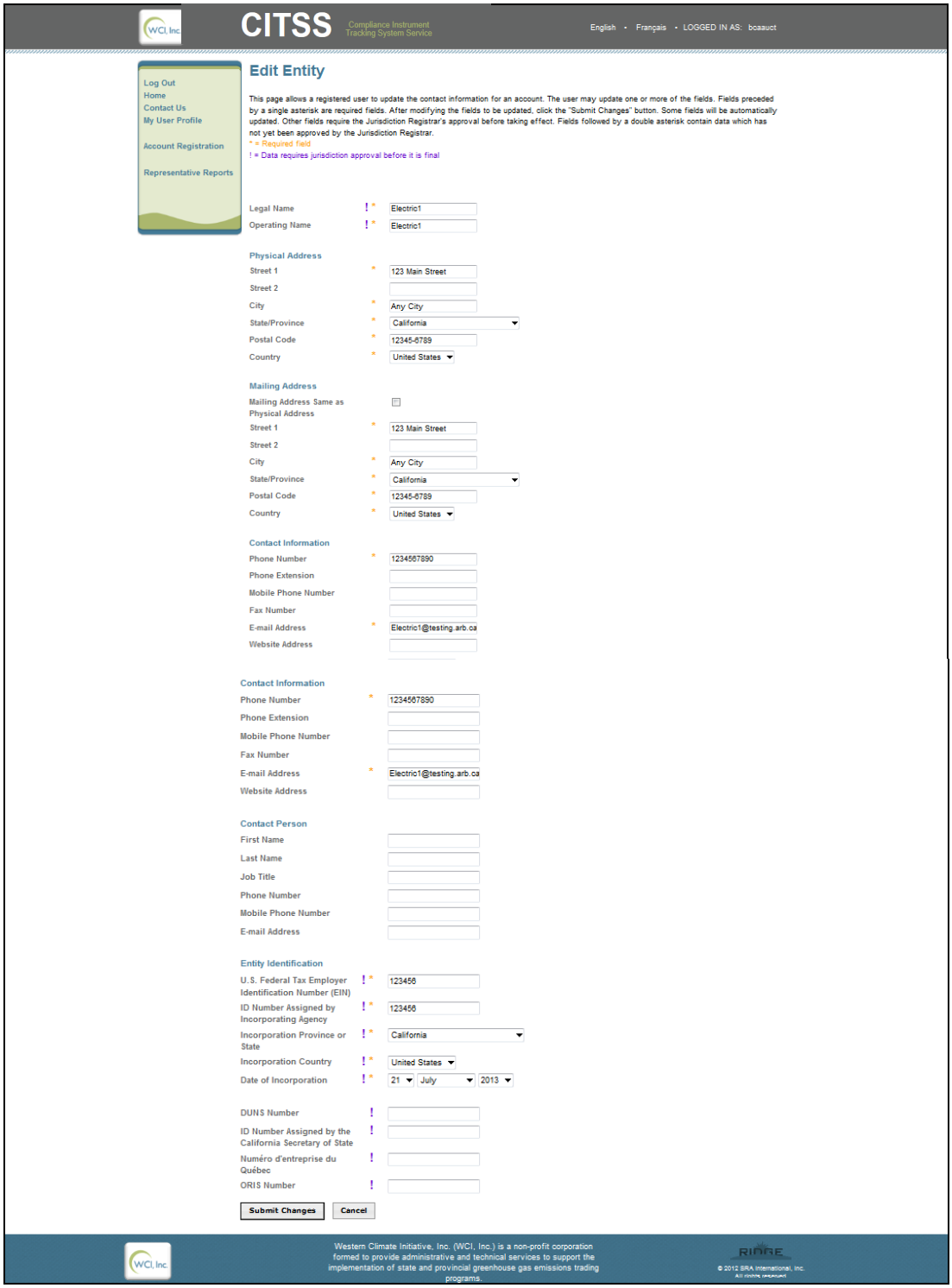
Figure 13 – Account Detail: General Tab



Making changes

Changes can be made to the General Identification information on the General Tab by selecting the **Edit Information** button at the bottom of the page. Updates that require approval before taking effect are identified by an exclamation point (!) (Figure 14). The Registrar may require the submittal of new documentation to support the requested changes.

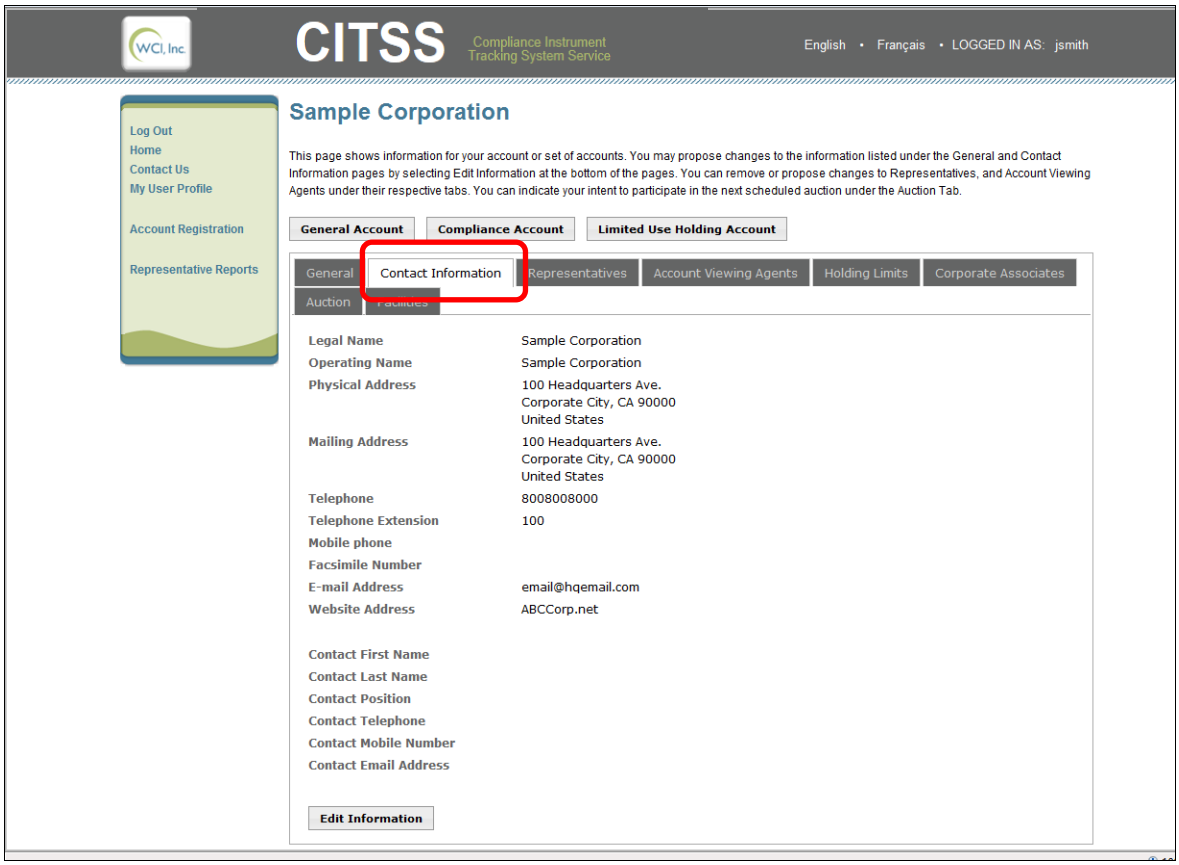
Figure 14 – Account Detail: General Tab, Edit Entity



4.3.2 Account Detail: Contact Information Tab

The Contact Information Tab, shown in Figure 15, shows entity contact information that was entered during the account application process. The fields on this tab have not changed with CITSS 3.0, but the entity may wish to update the information to be entity specific if it is currently facility specific.

Figure 15 – Account Detail: Contact Information Tab



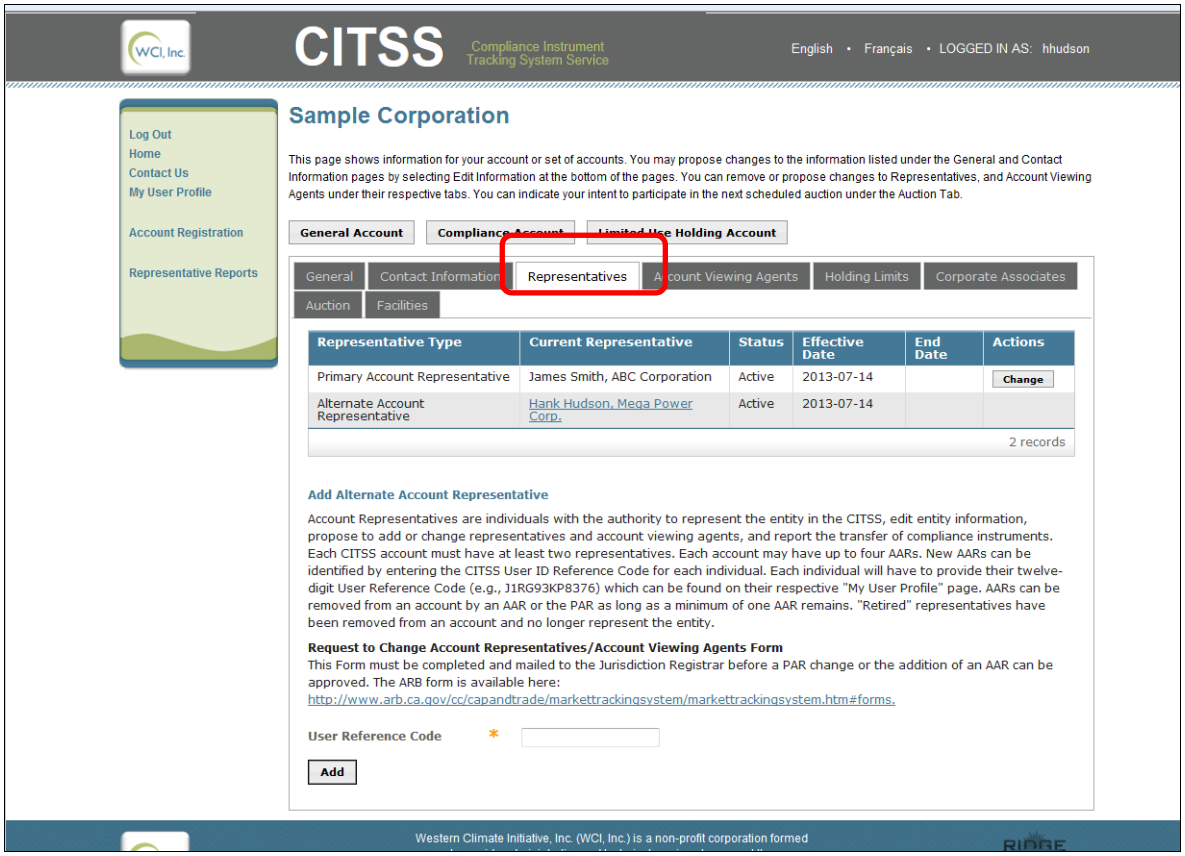
Making Changes

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

4.3.3 Account Detail: Representatives Tab

The Representatives Tab, shown in Figure 16, shows the current status of all representatives assigned during the account application process or added or retired from the account after account approval. The fields on this tab have not changed with CITSS 3.0.

Figure 16 – Account Detail: Representatives Tab



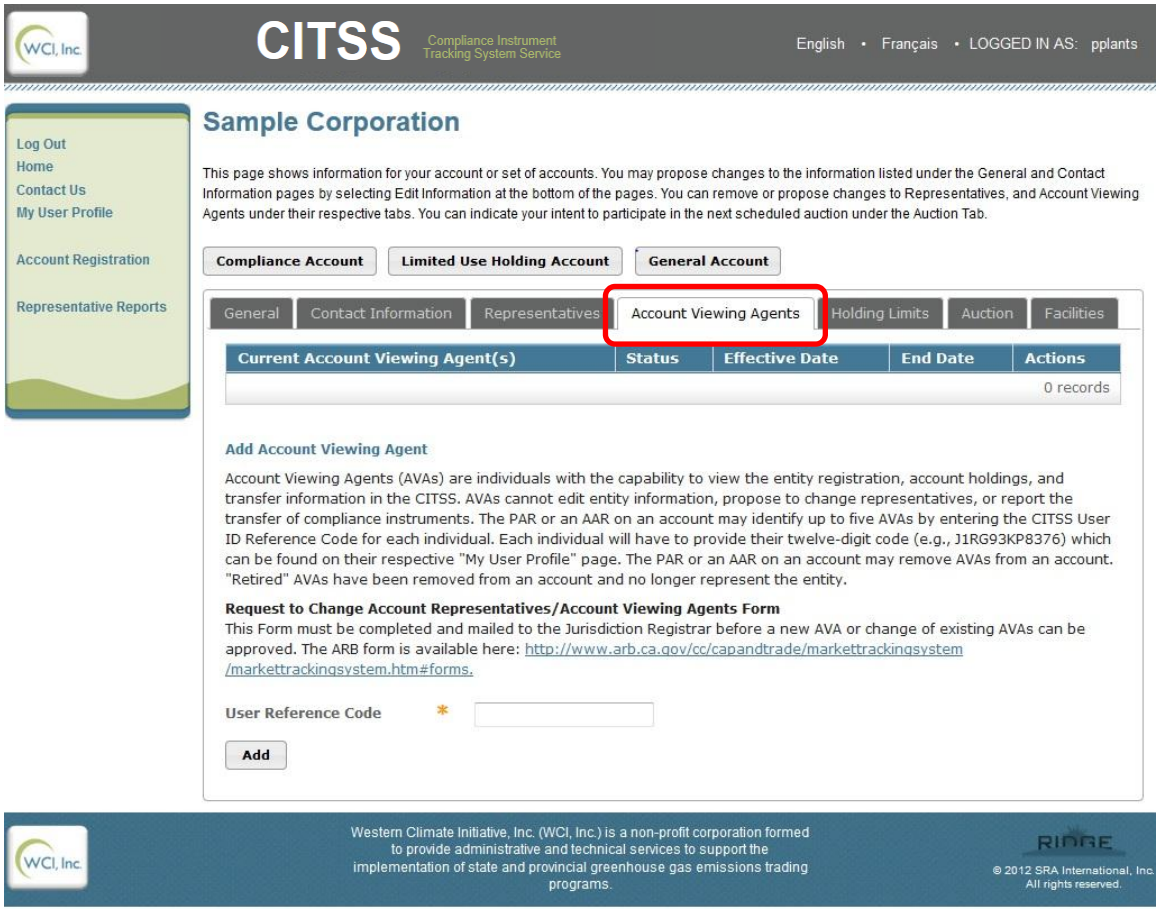
Account representatives are individuals with the authority to represent the entity in the CITSS, edit entity information, propose to add or change representatives and Account Viewing Agents (AVAs), and report the transfer of compliance instruments. All accounts except those held by individuals acting as General Market Participants must have one PAR and a minimum of one (and maximum of four) AARs. New AARs can be designated by entering the CITSS User Reference Code for each individual. AARs can be removed from an account by an AAR or the PAR as long as a minimum of one AAR remains.

To add a new AAR or change an existing PAR, the *Request to Change Account Representatives/Account Viewing Agents Form* must be completed and mailed to the Registrar.

4.3.4 Account Detail: Account Viewing Agents Tab

The Account Viewing Agents Tab, shown in Figure 17, shows the current status of all AVAs added or retired from the account after account approval. The fields on this tab have not changed with CITSS 3.0.

Figure 17 – Account Detail: Account Viewing Agents Tab



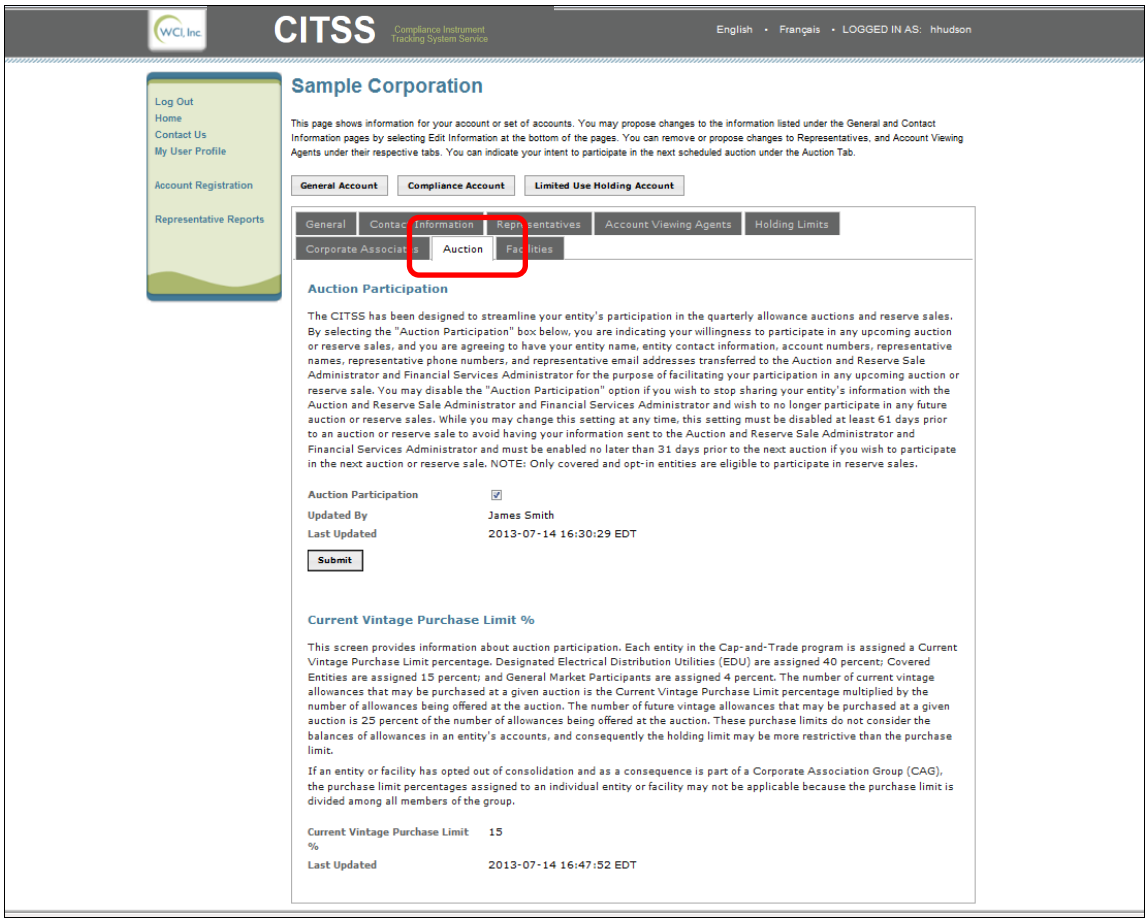
The Account Viewing Agents Tab provides access for a current PAR or AAR to propose the addition of up to five AVAs, any time after an initial application for accounts has been approved. AVAs are individuals with the capability to view information related to an entity's registration, account holdings, and compliance instrument transfers in the CITSS. AVAs cannot edit entity information, propose to change representatives, or report the transfer of compliance instruments. The PAR or an AAR on an account may propose the addition of up to five AVAs by entering the CITSS User Reference Code for each individual. The PAR or an AAR on an account may remove AVAs from an account. Removal of AVAs does not require Registrar approval and will become effective after proposal and confirmation by a PAR or AAR.

4.3.5 Account Detail: Auction Tab

With CITSS 3.0, the Auction Tab, shown in Figure 18, continues to provide an opportunity for an approved PAR or AAR of an entity to indicate the entity's interest in participating in the quarterly allowance auctions and reserve sales. CITSS 3.0 adds the ability to indicate interest in auction participation during the account application process and following account approval, the Auction Tab will reflect the selection made. The selection may be updated at any time by an approved PAR or AAR. By selecting the "Auction Participation" box in the CITSS you agree to have information transferred to the Auction and Reserve Sale Administrator for the purpose of facilitating participation in any upcoming auction or reserve sale.

The Auction Tab has also been updated with CITSS 3.0 to include information about the current vintage purchase limit percentage assigned to the entity based on the entity type. Per the Regulation, Electrical Distribution Utilities are assigned 40 percent; Covered Entities (including Opt-In Covered Entities) are assigned 15 percent; and General Market Participants are assigned 4 percent. If an entity or facility has opted out of consolidation and is part of a CAG, the purchase limit percentages displayed on this tab may not be applicable because the purchase limit is divided among all members of the CAG. The purchase limit distribution for each member of the CAG is presented on the Corporate Associates Tab.

Figure 18 – Account Detail: Auction Tab



4.3.6 Account Detail: Facilities Tab

The Facilities Tab, shown in Figure 19, is a new display in CITSS 3.0 that shows the facilities included in this CITSS account and managed by the entity identified at the top of the screen. The entity identified is responsible for managing compliance instruments and compliance obligations for all facilities. The CITSS account for each Covered Entity will have at least one facility identified. Entities in a CEA will have more than one facility identified.

Regulated entities in the Program are required to enter information about their facilities into the CITSS. Only facilities that are subject to the Regulation should be entered into the CITSS. ARB provides an annual list of facilities that are subject to the Program at: http://www.arb.ca.gov/cc/capandtrade/capandtrade.htm

This list will change each year based on reported emissions. Facilities with emissions over the 25,000 $MTCO_2e$ threshold or have opted-in to the Program will be added while facilities that are no longer subject to the Regulation will be removed.

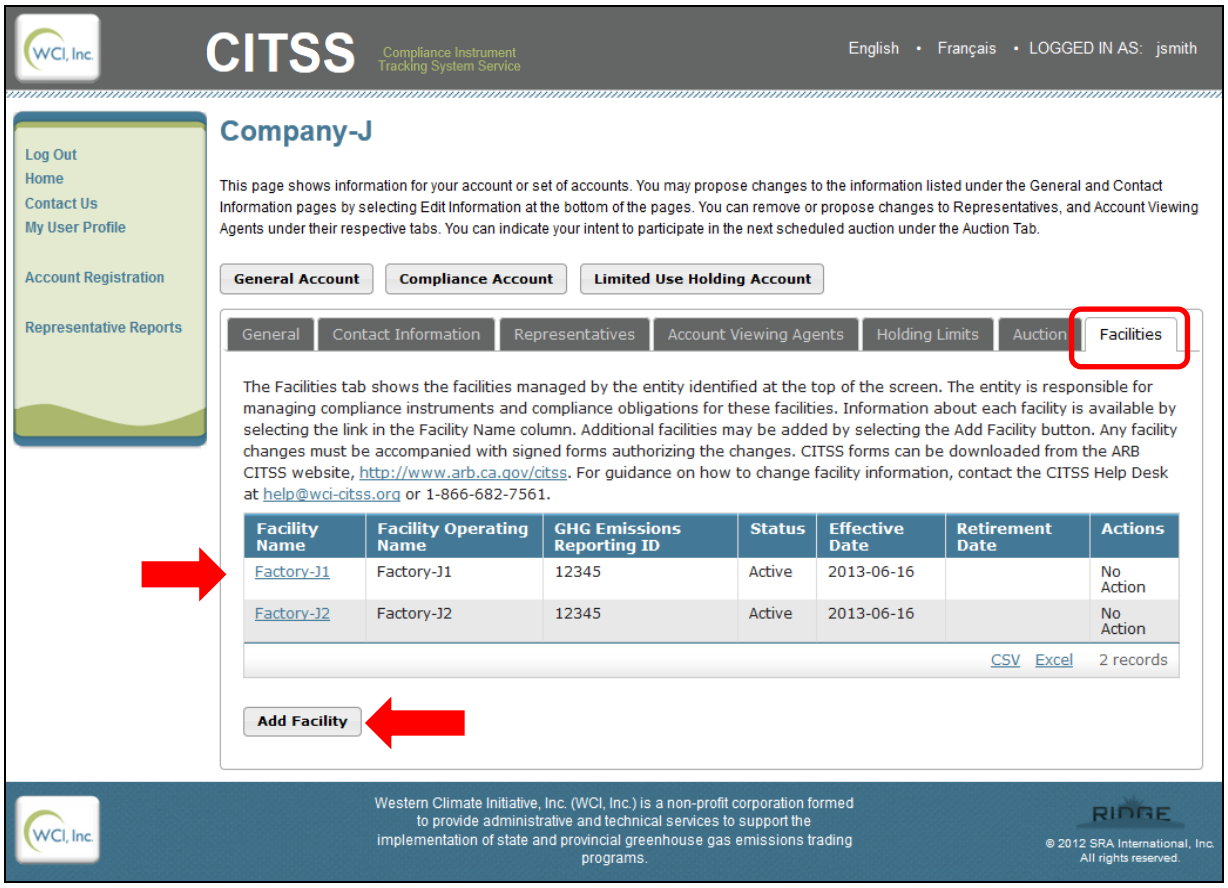
For the purpose of required facility information, a "facility" is a facility that has been assigned a GHG emissions reporting ID. However, in some circumstances an entity without a facility may have an emission reporting requirement and a GHG emissions reporting ID, e.g., a transportation fuel importer. In such a situation, the entity information is entered as the required facility information.

During August 2013, ARB staff performed a one-time data entry of facilities that have reported 2011 emissions over the 25,000 $MTCO_2e$ threshold or have opted-in to the Program. Future addition of facilities is the responsibility of regulated and opt-in entities. Facilities should be entered into the CITSS when they have reportable GHG emissions over the 25,000 $MTCO_2e$ threshold or have opted-in to the Program.

If a Covered Entity does not have a physical facility but has a compliance obligation, e.g., an electricity importer or fuel importer, the facility page in the CITSS should be completed using entity-level information consistent with the entity page. In addition, the facility page includes the GHG emissions reporting ID and the NAICS code.

Public-Owned Utilities (POUs) that do not have a compliance obligation do not have any facilities with an emissions reporting requirement, and consequently should not enter any facilities in the CITSS. Entity-level information should be entered in the *Account Detail: Facility Information Page*. If a POU has obtained an entity-level GHG emissions reporting ID, i.e., a GHG emissions reporting ID for the POU and not an individual facility, that GHG emissions reporting ID should be entered in the *Account Detail: Facility Information Page*. If the POU does not have an entity-level GHG emissions reporting ID, then "000000" should be entered in the CITSS in the *GHG Emissions Reporting ID* field.

Figure 19 – Account Detail: Facilities Tab



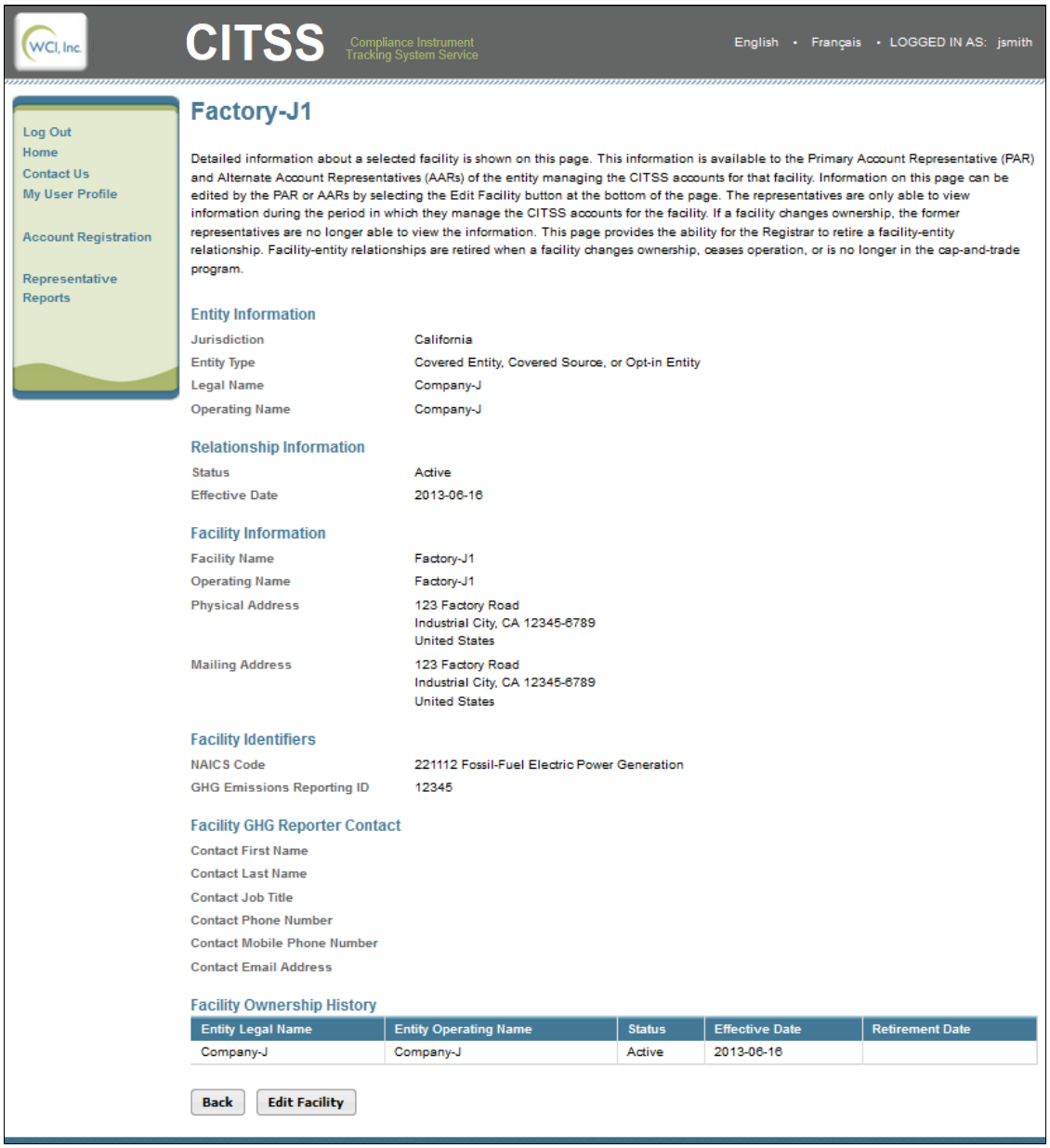
Information about each facility is available by selecting the link in the Facility Name column.

Additional facilities may be added by selecting the **Add Facility** button. Any facility changes must be accompanied with signed forms authorizing the changes that are sent to the Registrar. Adding a facility requires Registrar approval.

4.3.7 Account Detail: Facilities Information Page

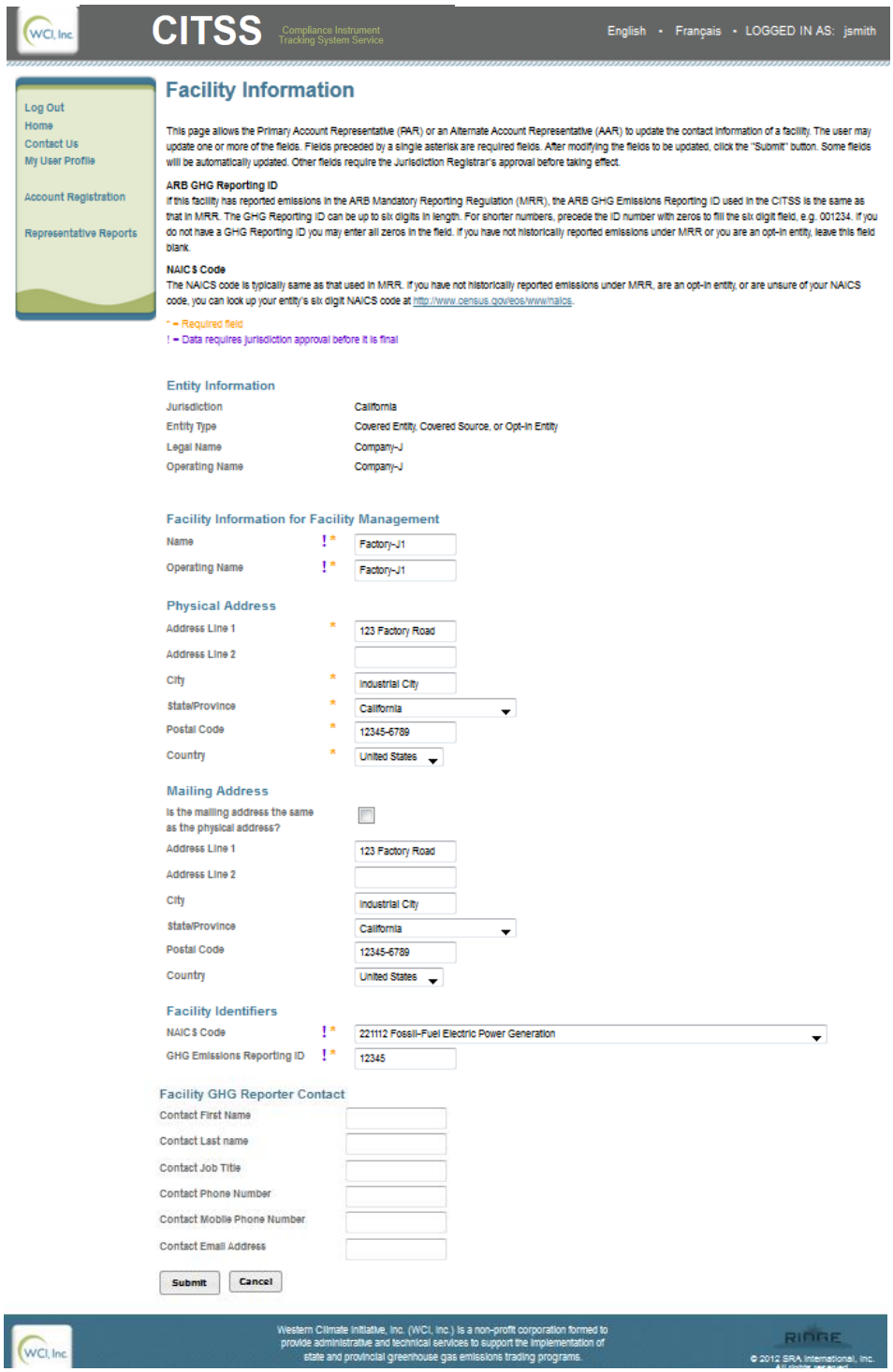
The *Account Detail: Facility Information Page* shown in Figure 20 shows detailed information about a selected facility. This information is available to the PAR and AARs managing the CITSS accounts, and viewable by AVAs. For accounts that were approved prior to CITSS 3.0 going live, the facilities information was entered by jurisdiction staff based on the information in the CITSS, account application forms, and data reported pursuant to the MRR. After the initial data entry is completed, if facility data changes are needed, facility information displayed on this page can be edited by the PAR or an AAR by selecting the **Edit Facility** button at the bottom of the page. The *Account Detail: Facility Information Page* shows the history of the facility's ownership. The Registrar can retire a facility when a facility changes ownership, ceases operation, or is no longer in the Program.

Figure 20 – Facility Information Page



Upon selecting the **Edit Facility** button, the *Account Detail: Facility Information Page* allows the PAR or an AAR to update the information for a facility. As seen in Figure 21, fields preceded by a single asterisk are required fields. Fields with an exclamation point require Registrar approval before proposed changes take effect. The Registrar may request additional information or documentation prior to approving proposed changes.

Figure 21 – Facility Information

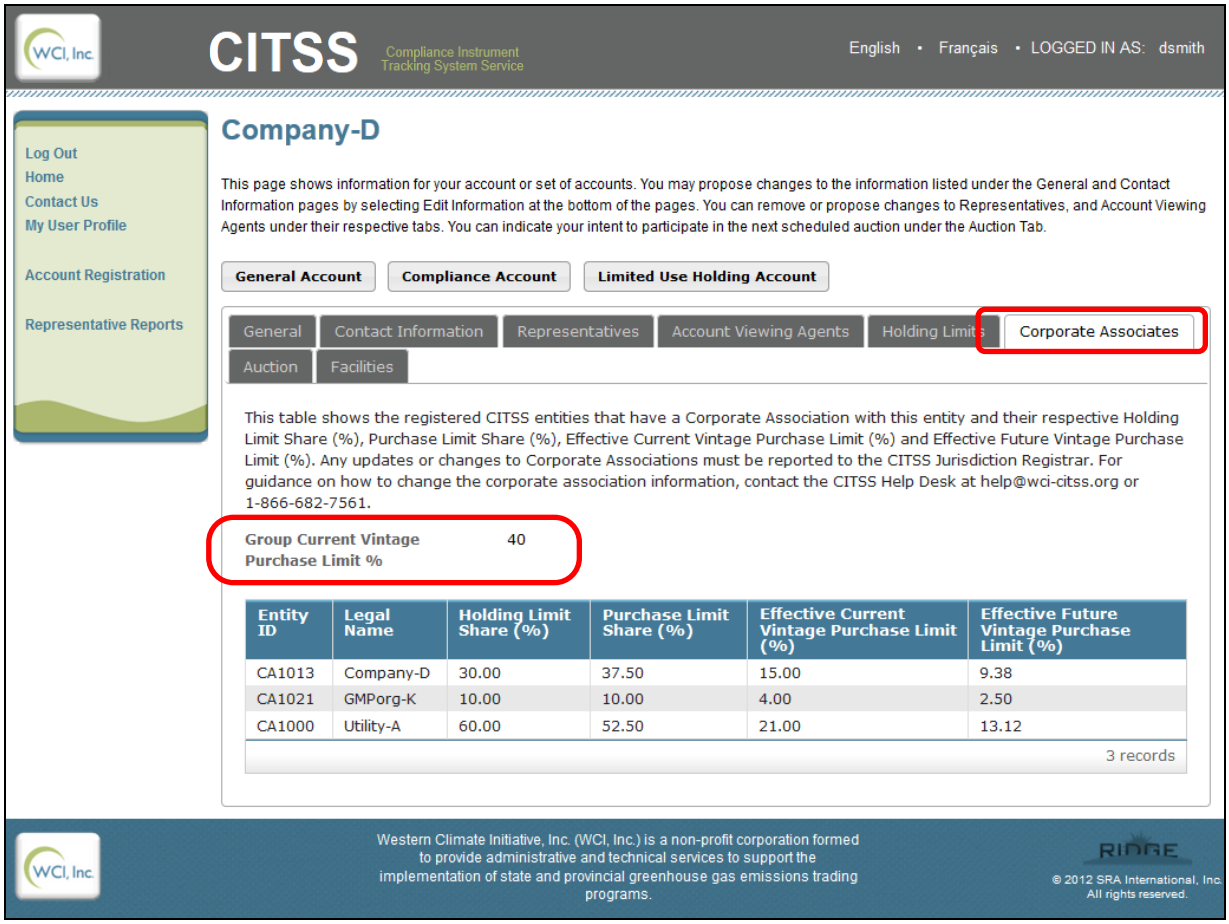


4.3.8 Account Detail: Corporate Associates Tab

Entities with a direct corporate association may choose to opt-out of a CEA. If one or more Direct Corporate Associates choose to opt-out of consolidation, the group of entities is referred to as a CAG. The Corporate Associates Tab is a new display in CITSS 3.0 that shows information related to the members of a CAG. Only entities that are members of a CAG will have a Corporate Associates Tab (Figure 22).

The Corporate Associates Tab shows the registered CITSS entities that have a direct corporate association, the current vintage purchase limit that is shared by the CAG, and the distribution of holding limits and purchase limits among the members of the CAG.

Figure 22 – Account Detail: Corporate Associates Tab



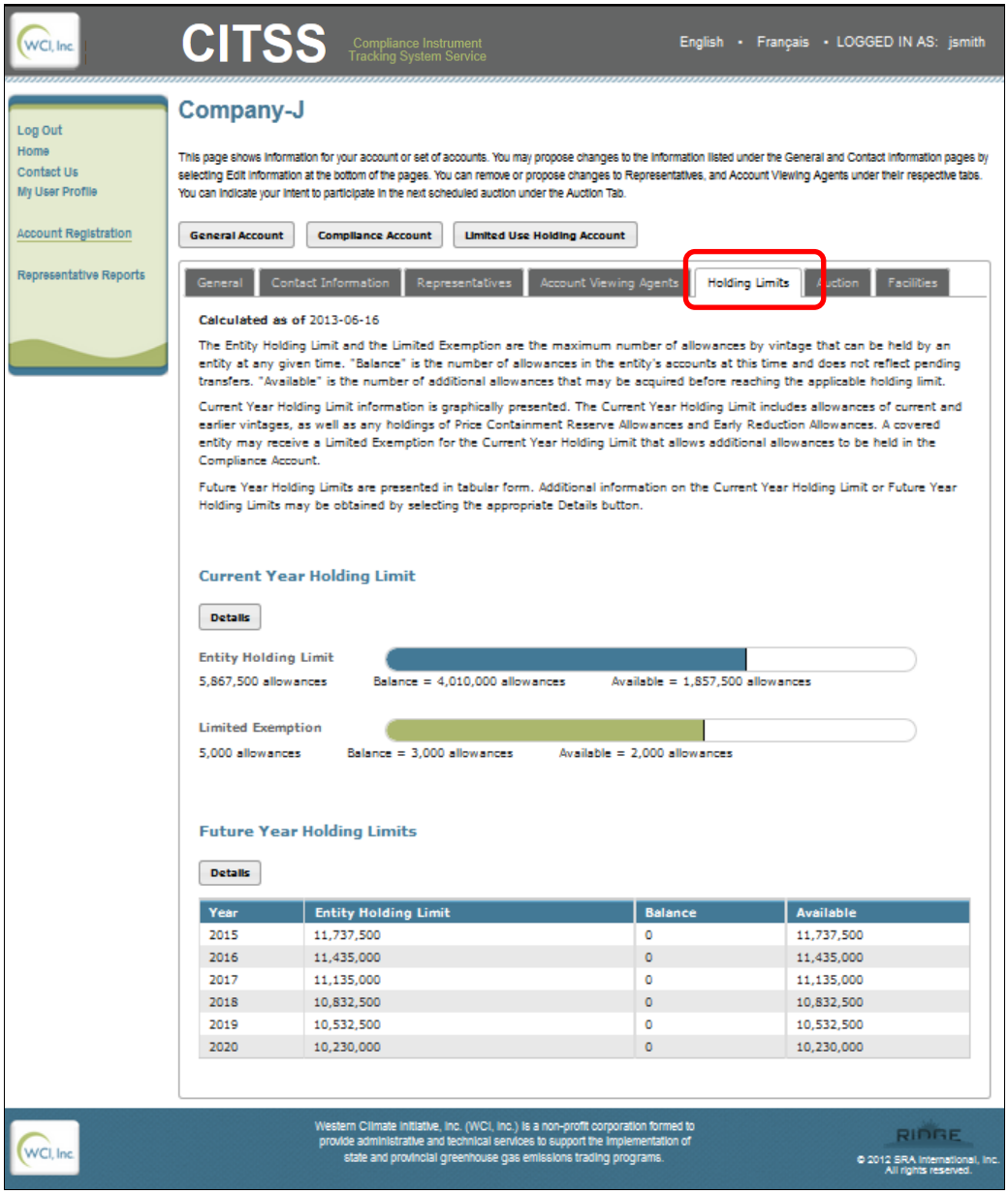
Corporate association data is entered into the CITSS by the Registrar and any changes that are needed must be submitted to the Registrar through hard copy forms. Following review and approval, the Registrar will enter the changes in the CITSS.

4.3.9 Account Detail: Holding Limits Tab

The Holding Limits Tab, shown in Figure 23, is a new display in CITSS 3.0. This tab shows information related to the current and future vintage holding limits for the entity and is included for all entities regardless of entity type. The entity display in Figure 23 is specific to a Covered Entity, the display for a General Market Participant will be slightly different.

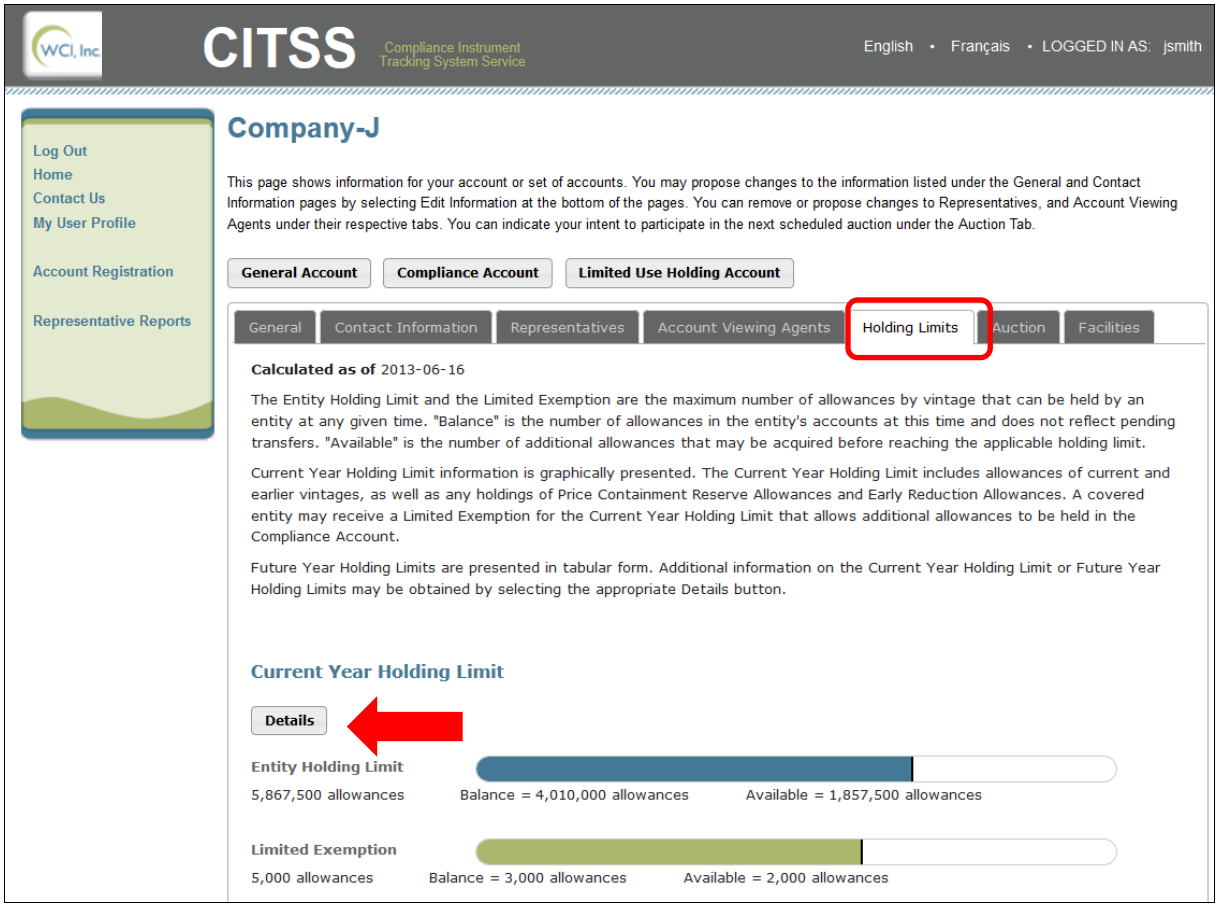
The holding limit is the maximum number of allowances that may be held by an entity or jointly held by a group of entities with a direct corporate association. Detailed information about holding limits is provided in the Regulation and the Regulatory Guidance documents available on the ARB Cap-and-Trade webpage.

Figure 23 – Account Detail: Holding Limits Tab



As illustrated in Figure 24, the Current Year Holding Limit information is graphically presented. The Current Year Holding Limit includes allowances of current and earlier vintages, as well as any holdings of Price Containment Reserve Allowances and Early Reduction Allowances. A Covered Entity may receive a limited exemption for the Current Year Holding Limit that allows additional allowances to be held in the Compliance Account.

Figure 24 – Current Year Holding Limit

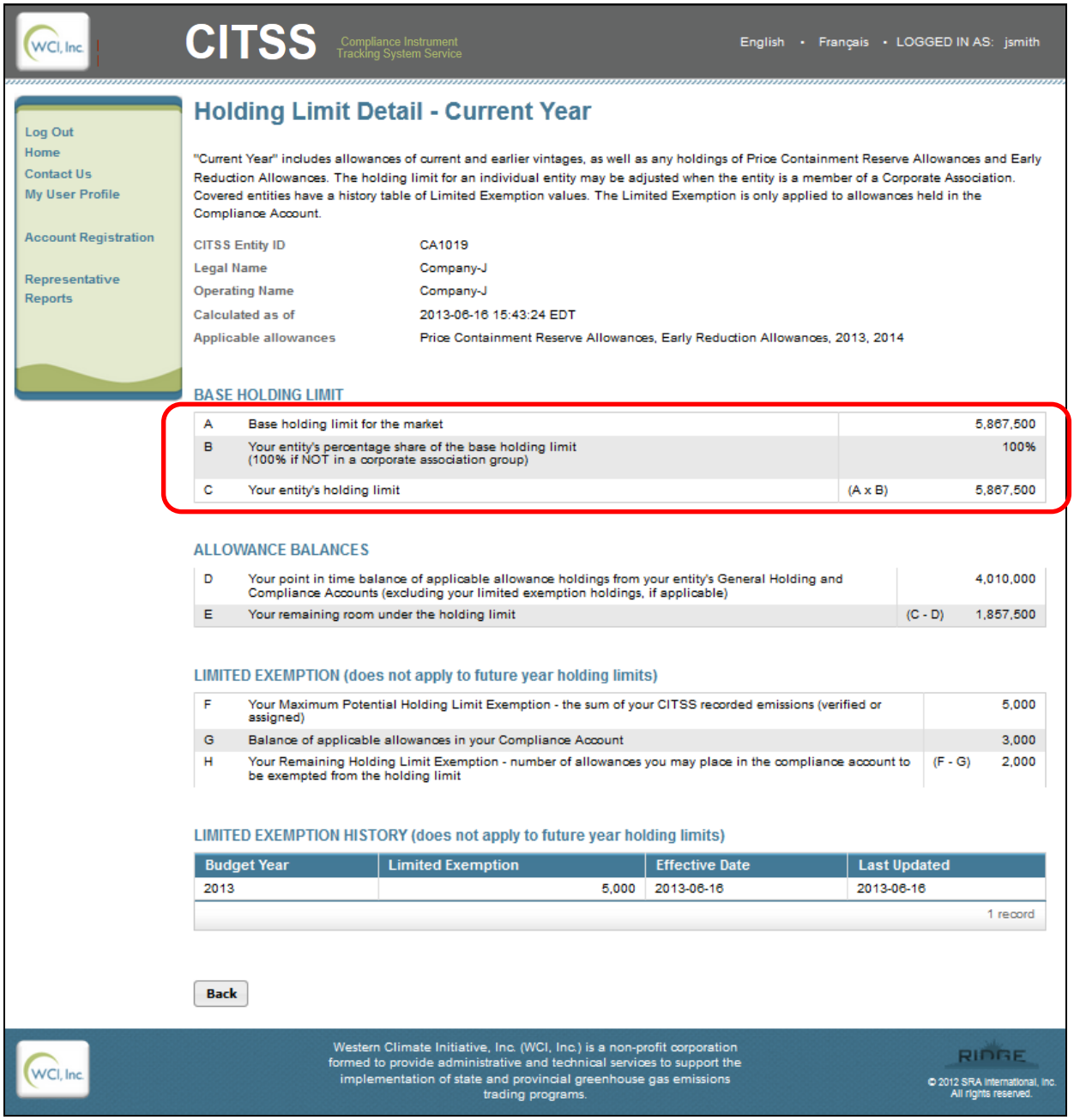


"Balance" is the number of allowances in the entity's accounts at the point in time the data is being viewed and does not reflect pending transfers. "Available" is the number of additional allowances that may be acquired before reaching the applicable holding limit. This is also referred to as remaining room under the holding limit and it also does not reflect pending transfers. Additional information on the Current Year Holding Limit is available by selecting the **Details** button to view the *Current Year Holding Limit Detail Page.*

The *Current Year Holding Limit Detail Page* shows the Base Holding Limit and for a Covered Entity will include the entity's limited exemption information.

Note that on this page if the entity is not in a CAG it receives 100% of the Holding Limit Share (Figure 25). If the entity were in a CAG, the percentage would reflect the agreed upon percentage of the overall limit assigned to this entity.

Figure 25 – Current Year Holding Limit Detail Page – NOT in a Corporate Associate Group



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Holding Limit Detail - Current Year

"Current Year" includes allowances of current and earlier vintages, as well as any holdings of Price Containment Reserve Allowances and Early Reduction Allowances. The holding limit for an individual entity may be adjusted when the entity is a member of a Corporate Association. Covered entities have a history table of Limited Exemption values. The Limited Exemption is only applied to allowances held in the Compliance Account.

CITSS Entity ID	CA1019
Legal Name	Company-J
Operating Name	Company-J
Calculated as of	2013-06-16 15:43:24 EDT
Applicable allowances	Price Containment Reserve Allowances, Early Reduction Allowances, 2013, 2014

BASE HOLDING LIMIT

A	Base holding limit for the market		5,867,500
B	Your entity's percentage share of the base holding limit (100% if NOT in a corporate association group)		100%
C	Your entity's holding limit	(A x B)	5,867,500

ALLOWANCE BALANCES

D	Your point in time balance of applicable allowance holdings from your entity's General Holding and Compliance Accounts (excluding your limited exemption holdings, if applicable)		4,010,000
E	Your remaining room under the holding limit	(C - D)	1,857,500

LIMITED EXEMPTION (does not apply to future year holding limits)

F	Your Maximum Potential Holding Limit Exemption - the sum of your CITSS recorded emissions (verified or assigned)		5,000
G	Balance of applicable allowances in your Compliance Account		3,000
H	Your Remaining Holding Limit Exemption - number of allowances you may place in the compliance account to be exempted from the holding limit	(F - G)	2,000

LIMITED EXEMPTION HISTORY (does not apply to future year holding limits)

Budget Year	Limited Exemption	Effective Date	Last Updated
2013	5,000	2013-06-16	2013-06-16

1 record

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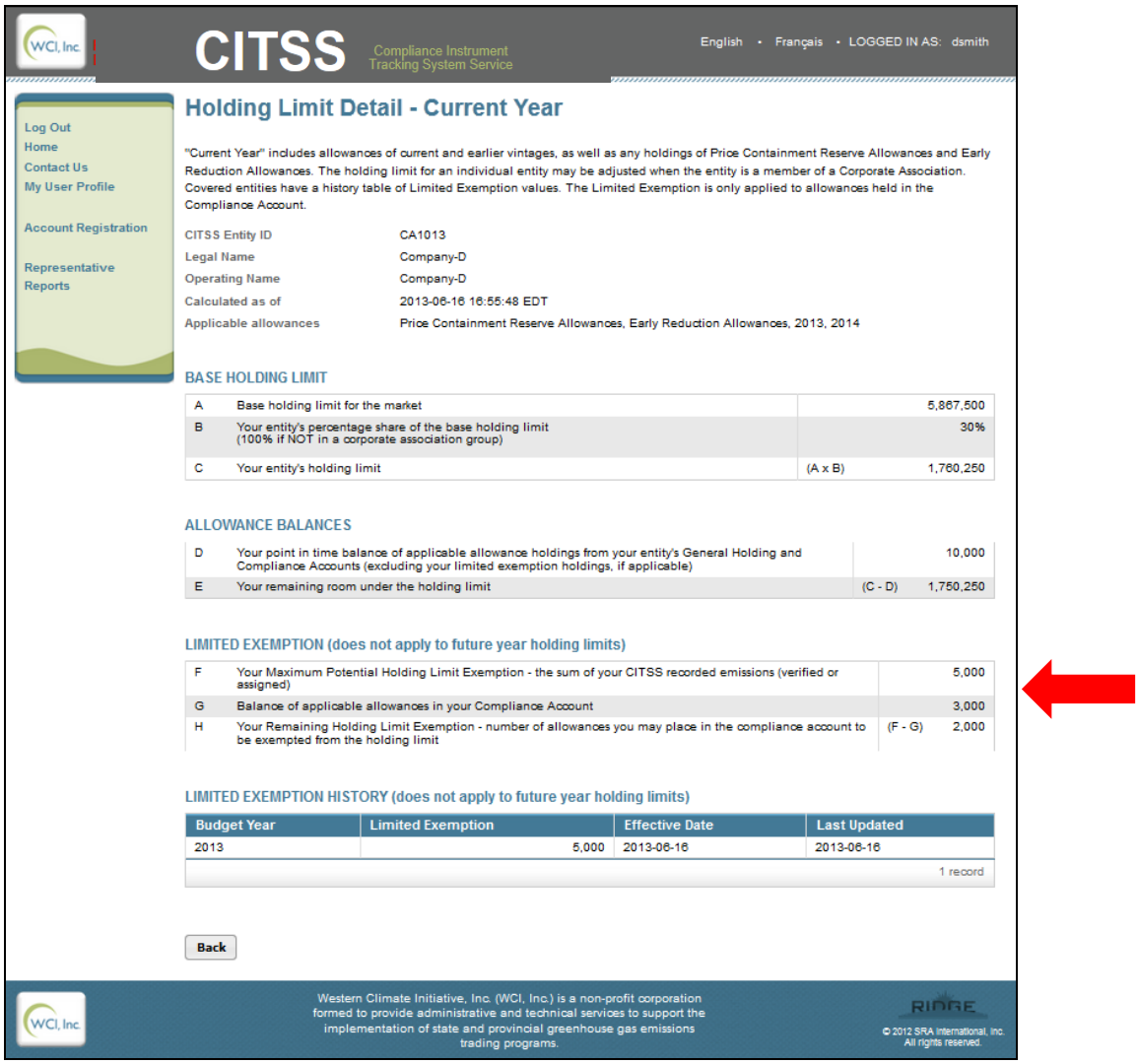
The limited exemption is the number of allowances that can be placed in a Compliance Account and not be counted against the holding limit and is based on the prior year's verified GHG emissions. The Limited Exemption display shows the maximum potential limited exemption, the balance of allowances in the entity's Compliance Account and the remaining number of allowances that may be placed in the Compliance Account that can be exempted from the holding limit calculation (Figure 26).

Starting with 2013, the limited exemption increases each year on October 1 by the amount of emissions in the most recent emissions data report during that year. The limited exemption is subject to periodic reductions associated with the end of a compliance period. Specifically, on December 31 of the calendar year following the end of a compliance period, the limited exemption will be reduced by the sum of an entity's compliance obligation during that compliance period. The Limited Exemption History at the bottom of the page will display the changes in the limited exemption over time.

Figure 26 – Holding Limit Detail - Limited Exemption



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Holding Limit Detail - Current Year

"Current Year" includes allowances of current and earlier vintages, as well as any holdings of Price Containment Reserve Allowances and Early Reduction Allowances. The holding limit for an individual entity may be adjusted when the entity is a member of a Corporate Association. Covered entities have a history table of Limited Exemption values. The Limited Exemption is only applied to allowances held in the Compliance Account.

CITSS Entity ID	CA1013
Legal Name	Company-D
Operating Name	Company-D
Calculated as of	2013-06-16 16:55:48 EDT
Applicable allowances	Price Containment Reserve Allowances, Early Reduction Allowances, 2013, 2014

BASE HOLDING LIMIT

A	Base holding limit for the market		5,867,500
B	Your entity's percentage share of the base holding limit (100% if NOT in a corporate association group)		30%
C	Your entity's holding limit	(A x B)	1,760,250

ALLOWANCE BALANCES

D	Your point in time balance of applicable allowance holdings from your entity's General Holding and Compliance Accounts (excluding your limited exemption holdings, if applicable)		10,000
E	Your remaining room under the holding limit	(C - D)	1,750,250

LIMITED EXEMPTION (does not apply to future year holding limits)

F	Your Maximum Potential Holding Limit Exemption - the sum of your CITSS recorded emissions (verified or assigned)		5,000
G	Balance of applicable allowances in your Compliance Account		3,000
H	Your Remaining Holding Limit Exemption - number of allowances you may place in the compliance account to be exempted from the holding limit	(F - G)	2,000

LIMITED EXEMPTION HISTORY (does not apply to future year holding limits)

Budget Year	Limited Exemption	Effective Date	Last Updated
2013	5,000	2013-06-16	2013-06-16

1 record

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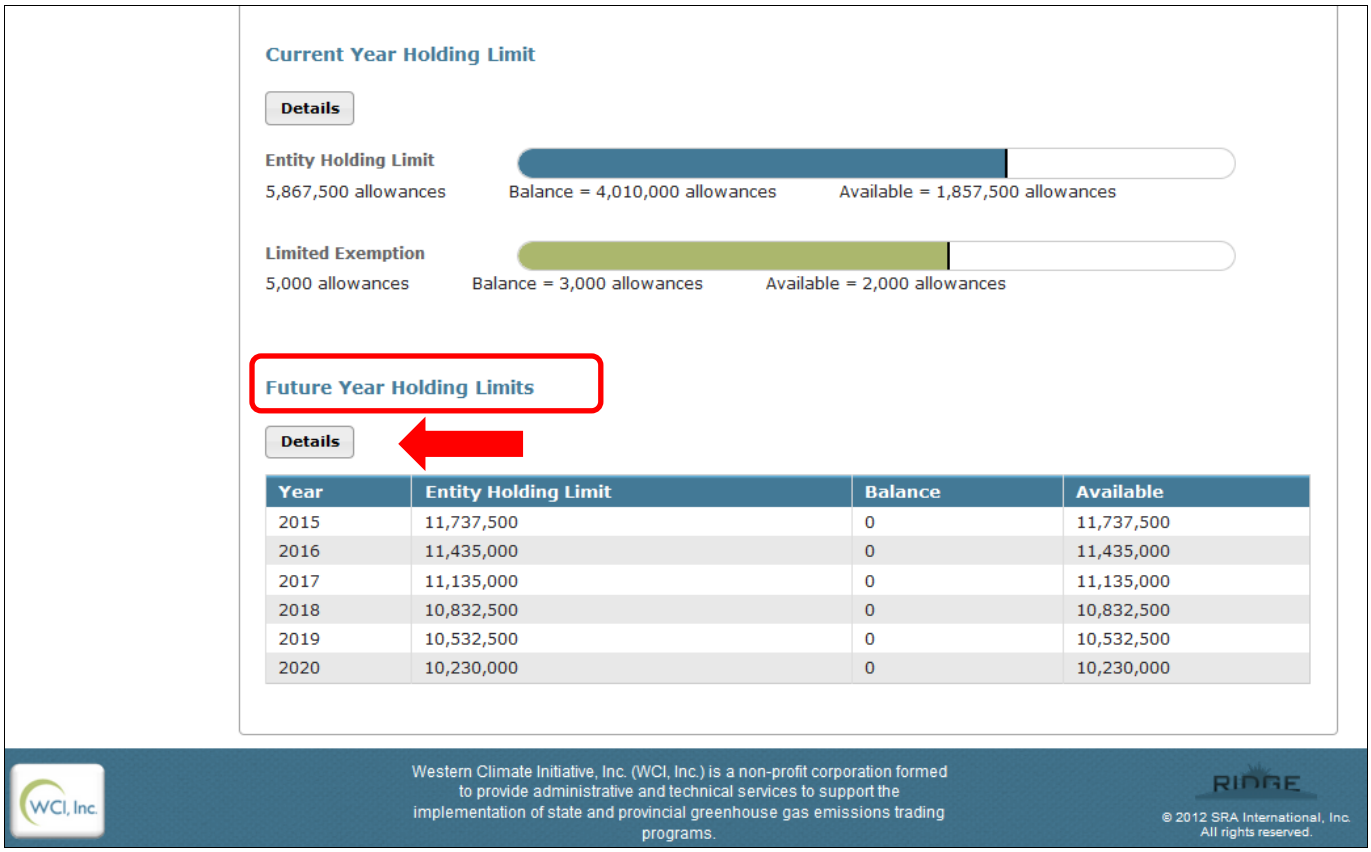
At the bottom half of the *Holding Limits Page* is the Future Year Holding Limits information (Figure 27). A Future Year Holding Limit is set for each year through 2020. The Base Holding Limit is established using the formula from the Regulation. The Future Year Holding Limits are presented in tabular form.

Figure 27 – Holding Limit Detail - Future Year Holding Limits



Year	Entity Holding Limit	Balance	Available
2015	11,737,500	0	11,737,500
2016	11,435,000	0	11,435,000
2017	11,135,000	0	11,135,000
2018	10,832,500	0	10,832,500
2019	10,532,500	0	10,532,500
2020	10,230,000	0	10,230,000

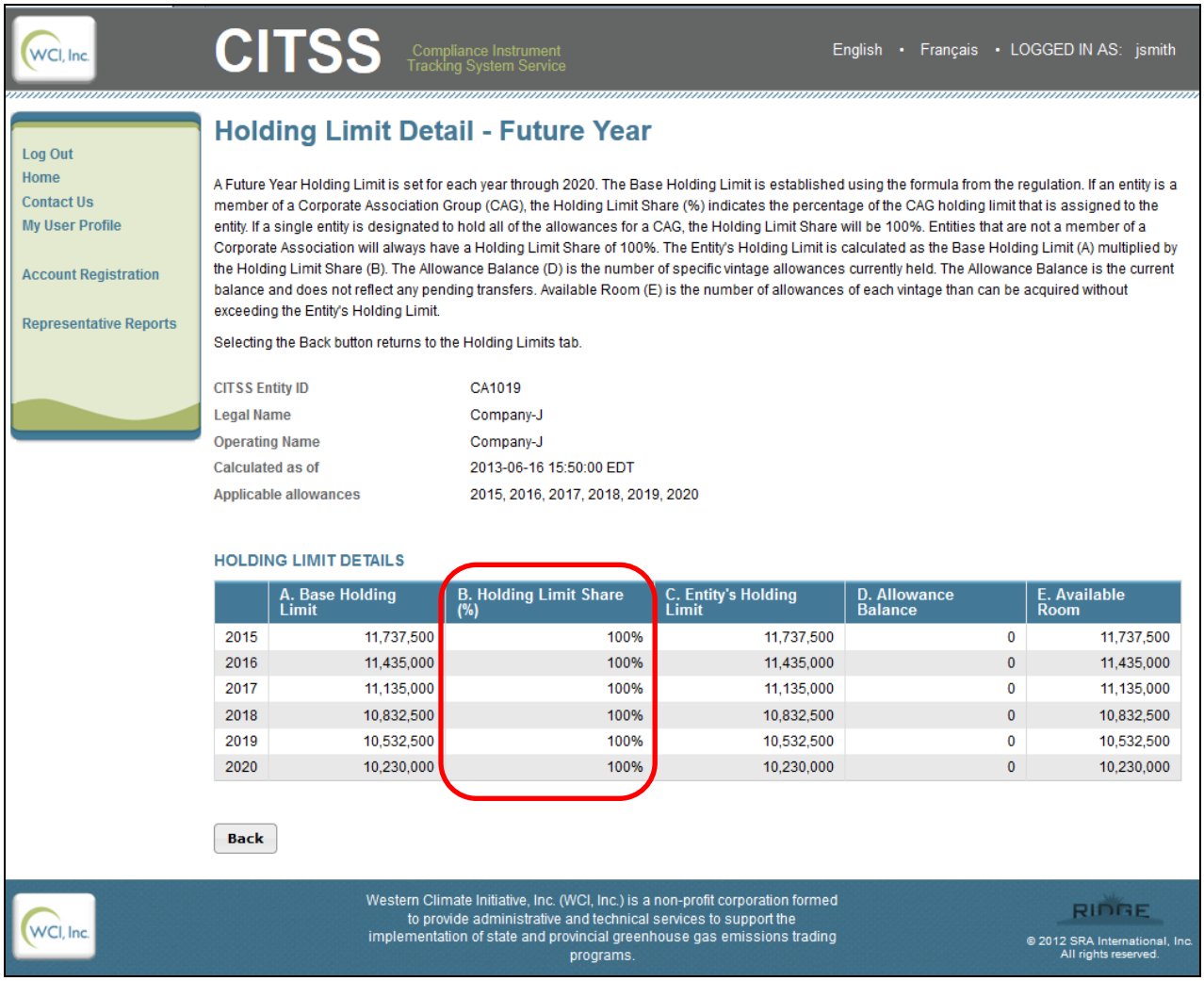
"Balance" is the number of allowances in the entity's accounts the point in time the data is being viewed and does not reflect pending transfers. "Available" is the number of additional allowances that may be acquired before reaching the applicable holding limit. This is also referred to as remaining room under the holding limit and it also does not reflect pending transfers.

Additional information on the Future Year Holding Limits may be obtained by selecting the **Details** button.

For each year, the Entity's Holding Limit (C) is calculated as the Base Holding Limit (A) multiplied by the Holding Limit Share (B). The Allowance Balance (D) is the number of specific vintage allowances currently held. The Allowance Balance is the current balance and does not reflect any pending transfers. Available Room (E) is the number of allowances of each vintage that can be acquired without exceeding the holding limit.

If an entity is a member of a CAG, the Holding Limit Share (%) indicates the percentage of the CAG holding limit that is assigned to the entity. Entities that are not a member of a CAG will always have a Holding Limit Share of 100% (Figure 28).

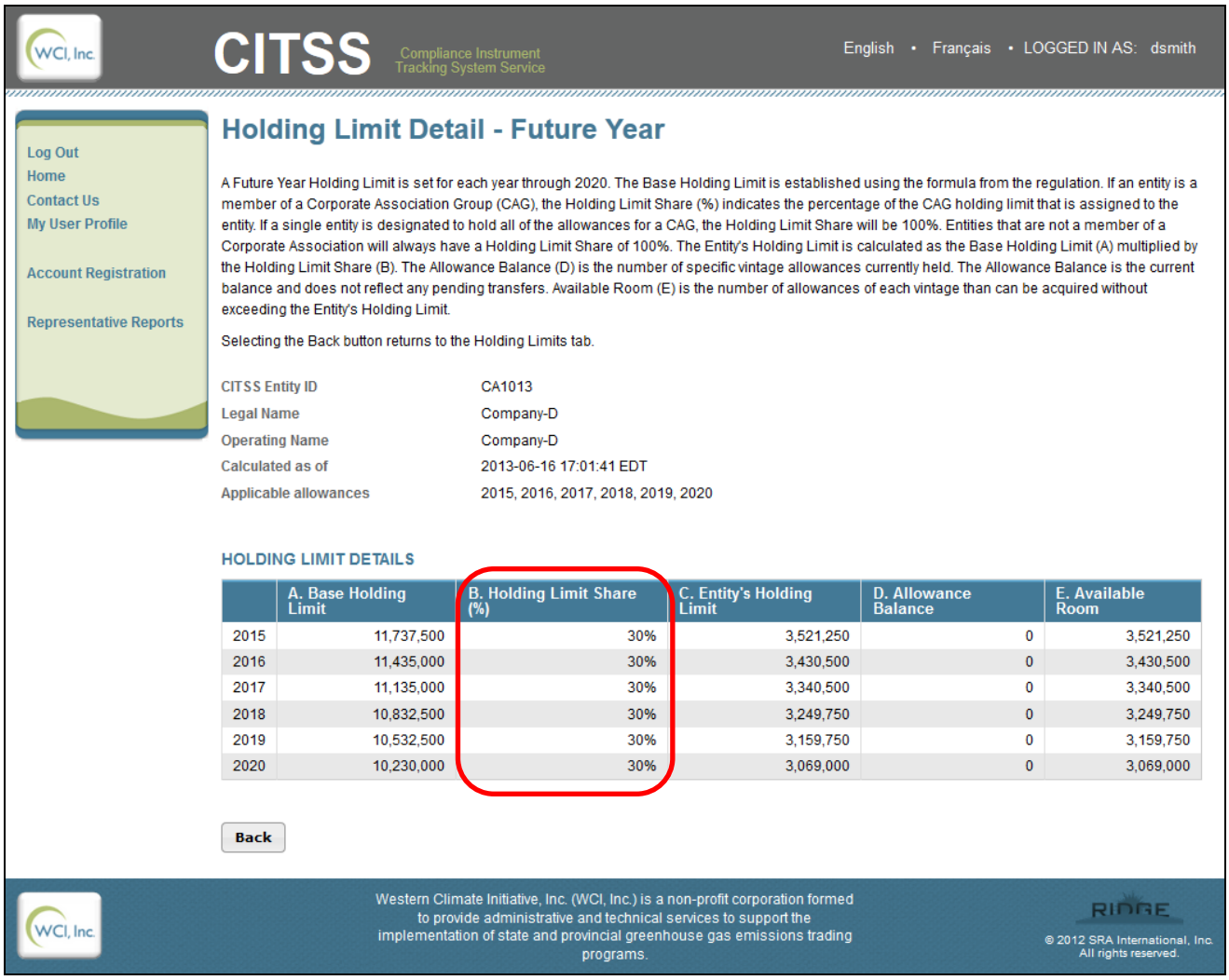
Figure 28 – Future Year Holding Limit Detail Page



	A. Base Holding Limit	B. Holding Limit Share (%)	C. Entity's Holding Limit	D. Allowance Balance	E. Available Room
2015	11,737,500	100%	11,737,500	0	11,737,500
2016	11,435,000	100%	11,435,000	0	11,435,000
2017	11,135,000	100%	11,135,000	0	11,135,000
2018	10,832,500	100%	10,832,500	0	10,832,500
2019	10,532,500	100%	10,532,500	0	10,532,500
2020	10,230,000	100%	10,230,000	0	10,230,000

In the example in Figure 29, Company-D is in a CAG and is assigned 30% of the Holding Limit Share.

Figure 29 – Future Year Holding Limit Detail Page (In a Corporate Associate Group)



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Holding Limit Detail - Future Year

A Future Year Holding Limit is set for each year through 2020. The Base Holding Limit is established using the formula from the regulation. If an entity is a member of a Corporate Association Group (CAG), the Holding Limit Share (%) indicates the percentage of the CAG holding limit that is assigned to the entity. If a single entity is designated to hold all of the allowances for a CAG, the Holding Limit Share will be 100%. Entities that are not a member of a Corporate Association will always have a Holding Limit Share of 100%. The Entity's Holding Limit is calculated as the Base Holding Limit (A) multiplied by the Holding Limit Share (B). The Allowance Balance (D) is the number of specific vintage allowances currently held. The Allowance Balance is the current balance and does not reflect any pending transfers. Available Room (E) is the number of allowances of each vintage than can be acquired without exceeding the Entity's Holding Limit.

Selecting the Back button returns to the Holding Limits tab.

CITSS Entity ID	CA1013
Legal Name	Company-D
Operating Name	Company-D
Calculated as of	2013-06-16 17:01:41 EDT
Applicable allowances	2015, 2016, 2017, 2018, 2019, 2020

HOLDING LIMIT DETAILS

	A. Base Holding Limit	B. Holding Limit Share (%)	C. Entity's Holding Limit	D. Allowance Balance	E. Available Room
2015	11,737,500	30%	3,521,250	0	3,521,250
2016	11,435,000	30%	3,430,500	0	3,430,500
2017	11,135,000	30%	3,340,500	0	3,340,500
2018	10,832,500	30%	3,249,750	0	3,249,750
2019	10,532,500	30%	3,159,750	0	3,159,750
2020	10,230,000	30%	3,069,000	0	3,069,000

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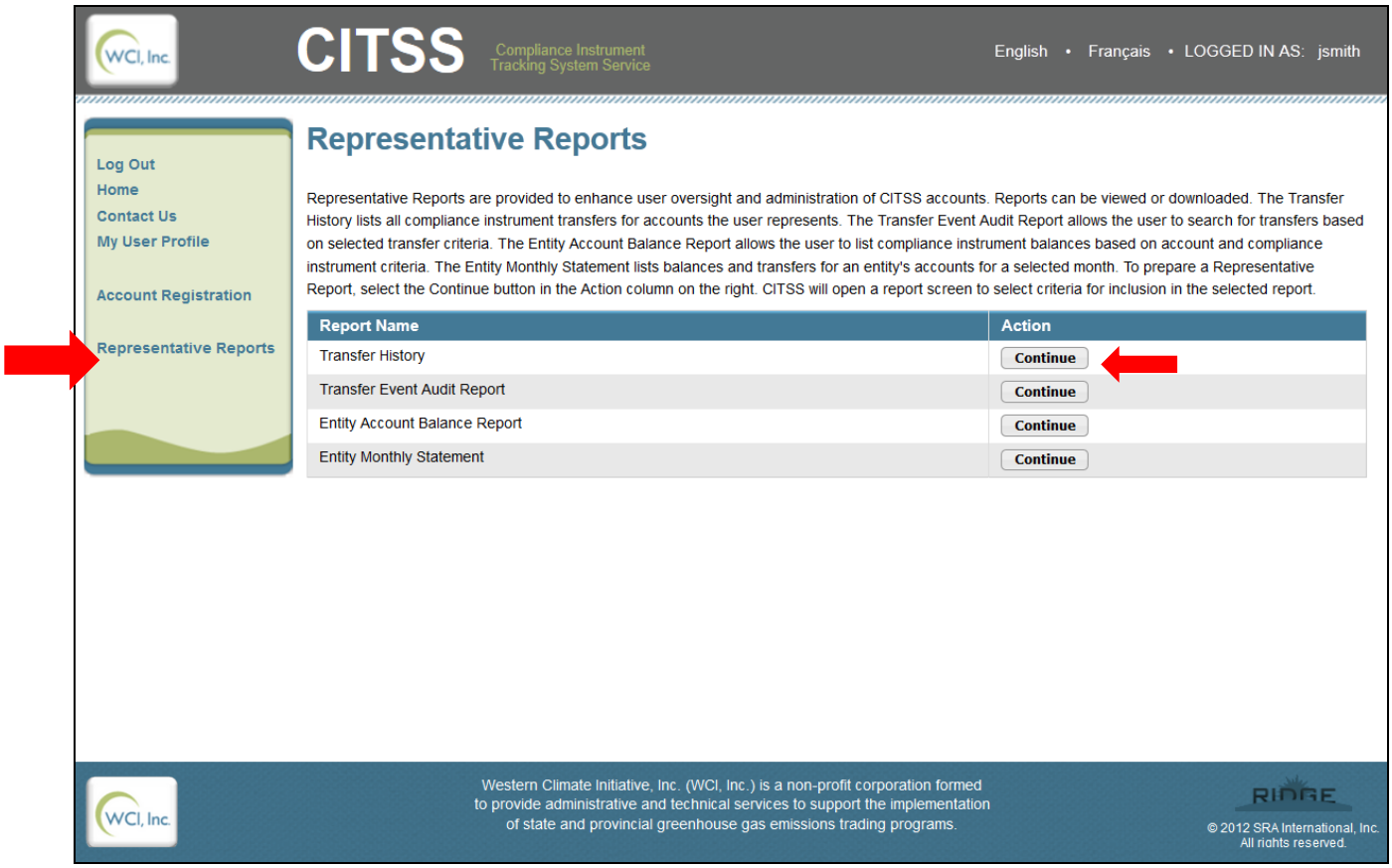
5.0 Representative Reports

The *Representative Reports Page* shown in Figure 30 is new functionality provided in CITSS 3.0. This page provides the user the added ability to generate and download reports for oversight and administration of CITSS accounts. There are four reports available in CITSS 3.0: Transfer History, Transfer Event Audit Report, Entity Account Balance Report, and Entity Monthly Statement.

- The Transfer History Report provides a record of transfer activities. The Transfer History was previously available from the navigation menu on the left hand side of the User Home Page screen and has been moved to the Representative Reports Page.
- The Transfer Event Audit Report provides a detailed record of the actions taken by individual representatives on an account related to transfer activities.
- The Entity Account Balance Report allows the user to generate a report of compliance instrument balances based on account and compliance instrument criteria.
- The Entity Monthly Statement provides a record of balances and transfers for an entity's accounts for a selected month.

Figure 30 – Representative Reports Page

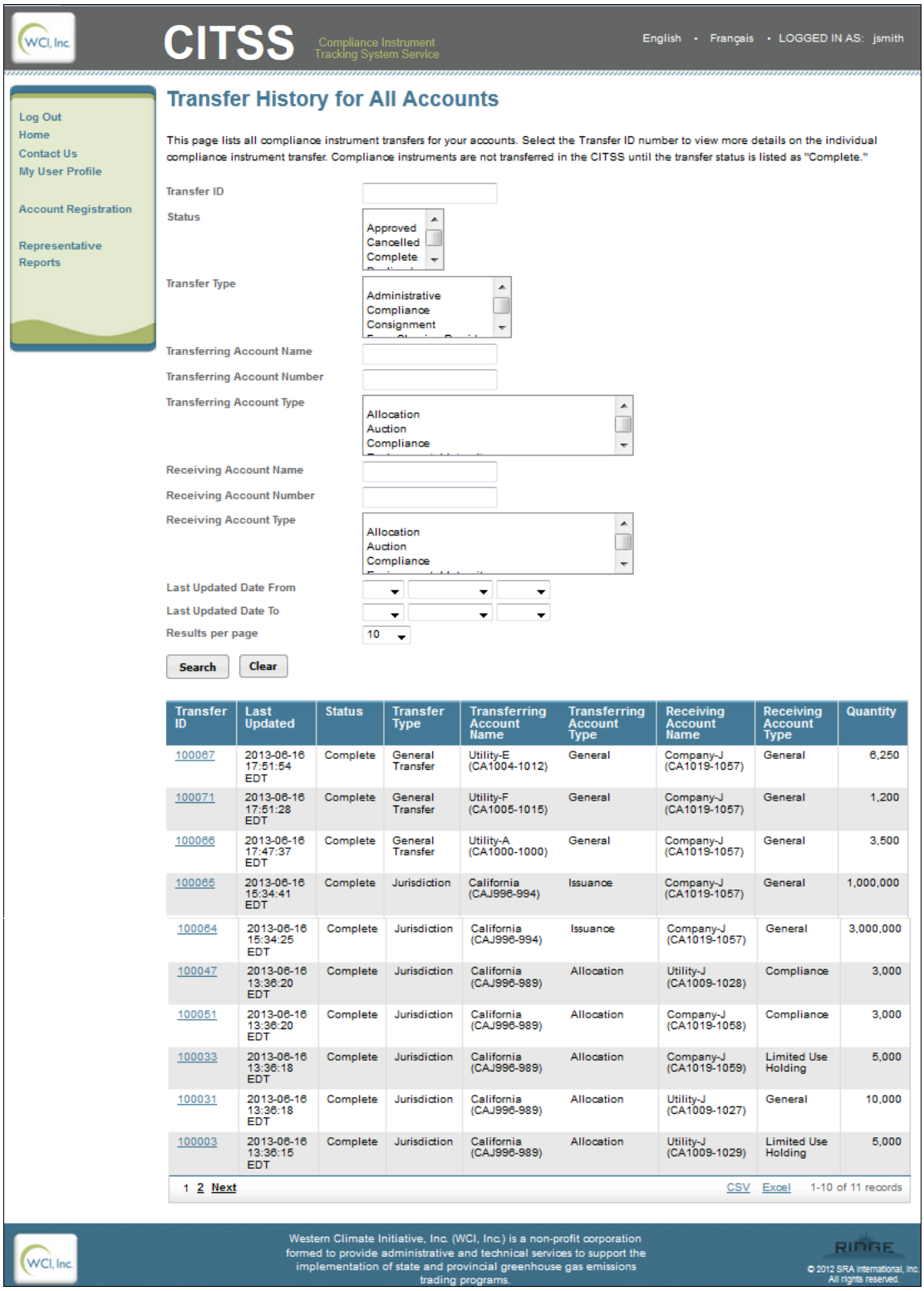


5.1 Transfer History Report Page

The Transfer History Report Page (Figure 31) allows the user to configure and generate a Transfer History Report which provides a record of transfer activities on accounts that the user is associated with. *The Transfer History Report Page* is accessed from the *Representative Reports Page* by clicking on the **Continue** button in the Action column next to Transfer History.

- The search function allows a user to locate transfers based on the following fields:
  - Transfer ID
  - Status (Transfer Status)
  - Transfer Type
  - Transferring Account Name
  - Transferring Account Number
  - Transferring Account Type
  - Receiving Account Name
  - Receiving Account Number
  - Receiving Account Type
  - Last Updated Date From
  - Last Updated Date To
- When conducting a search, select the desired search criteria; click the **Search** button to initiate the search. The list of transfers will change to reflect the search results. The list of transfers can include transfers for multiple accounts associated with the user.
- Clicking on the **Clear** button resets the search fields, clearing all selected criteria.
- The Transfer History table in the bottom half of the screen provides key information about each transfer, including:
  - Transfer ID
  - Last Updated (Date and Time)
  - Status (Transfer Status)
  - Transfer Type
  - Transferring Account Name
  - Transferring Account Type
  - Receiving Account Name
  - Receiving Account Type
  - Quantity (Quantity of Instruments)
- The table is sortable (ascending or descending) by clicking on the column titles.
- The table may be more than one page in length; additional pages are accessed using the page numbers at the bottom left hand corner of the table.

Figure 31 – Transfer History Report Page



Transfer ID	Last Updated	Status	Transfer Type	Transferring Account Name	Transferring Account Type	Receiving Account Name	Receiving Account Type	Quantity
100067	2013-06-16 17:51:54 EDT	Complete	General Transfer	Utility-E (CA1004-1012)	General	Company-J (CA1019-1057)	General	6,250
100071	2013-06-16 17:51:28 EDT	Complete	General Transfer	Utility-F (CA1005-1015)	General	Company-J (CA1019-1057)	General	1,200
100066	2013-06-16 17:47:37 EDT	Complete	General Transfer	Utility-A (CA1000-1000)	General	Company-J (CA1019-1057)	General	3,500
100065	2013-06-16 15:34:41 EDT	Complete	Jurisdiction	California (CAJ996-994)	Issuance	Company-J (CA1019-1057)	General	1,000,000
100064	2013-06-16 15:34:25 EDT	Complete	Jurisdiction	California (CAJ996-994)	Issuance	Company-J (CA1019-1057)	General	3,000,000
100047	2013-06-16 13:36:20 EDT	Complete	Jurisdiction	California (CAJ996-989)	Allocation	Utility-J (CA1009-1028)	Compliance	3,000
100051	2013-06-16 13:36:20 EDT	Complete	Jurisdiction	California (CAJ996-989)	Allocation	Company-J (CA1019-1058)	Compliance	3,000
100033	2013-06-16 13:36:18 EDT	Complete	Jurisdiction	California (CAJ996-989)	Allocation	Company-J (CA1019-1059)	Limited Use Holding	5,000
100031	2013-06-16 13:36:18 EDT	Complete	Jurisdiction	California (CAJ996-989)	Allocation	Utility-J (CA1009-1027)	General	10,000
100003	2013-06-16 13:36:15 EDT	Complete	Jurisdiction	California (CAJ996-989)	Allocation	Utility-J (CA1009-1029)	Limited Use Holding	5,000

5.1.1 Transfer History Report

The Transfer History table can be exported as a report in its entirety to CSV or Excel format by selecting the appropriate link at the bottom right hand corner of the table. The following data fields are included on the exported report:

- Transfer ID
- Last Updated (Date)
- Status (Transfer Status)
- Transfer Type
- Transferring Account Name
- Transferring Account Type
- Receiving Account Name
- Receiving Account Type
- Quantity (Quantity of Instruments)
- Settlement Date
- Agreement Date
- Type of Contract
- Trading Venue
- Price
- Currency
- Vintage
- Jurisdiction
- Compliance Instrument (Type, Sub-Type, and Category)
- Offset Project Code
- Proposed Comment
- Approve or Deny Comment
- Accept or Decline Comment

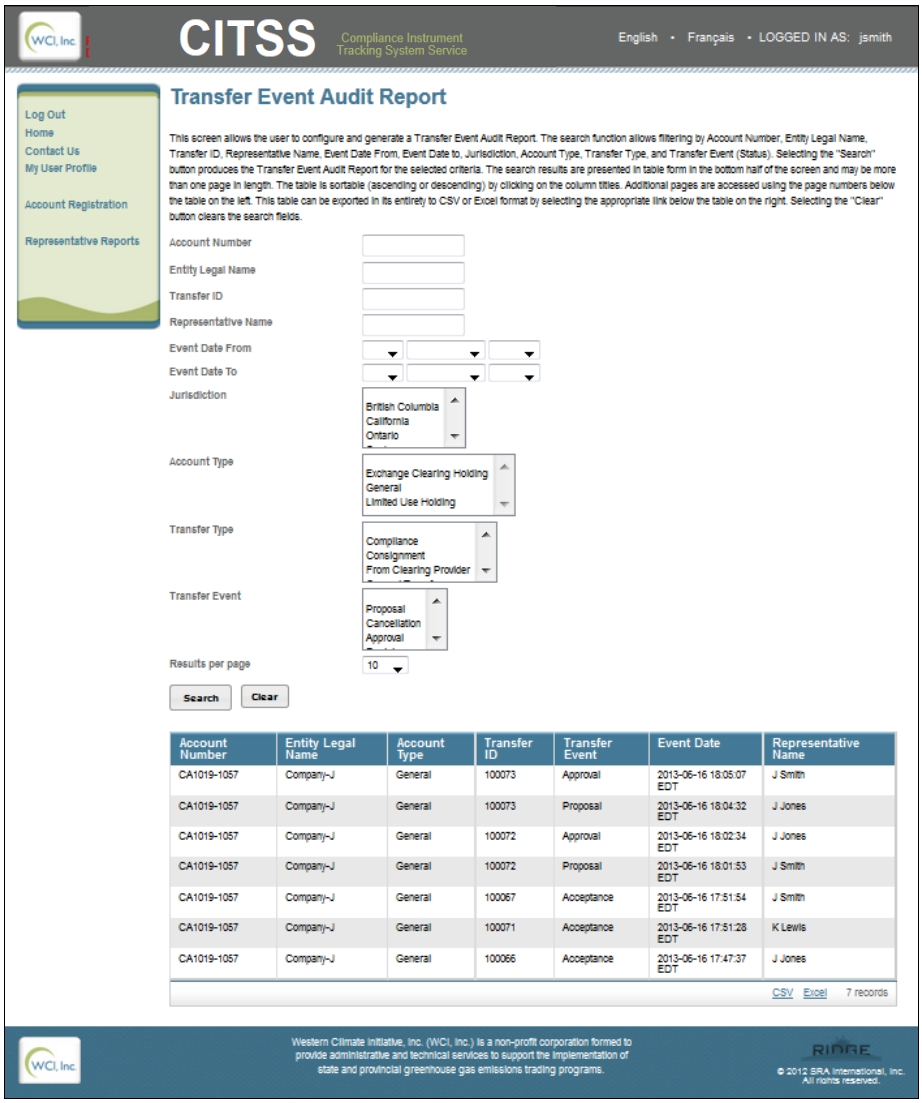
Note: Not all fields are applicable to every transfer, so there will be unpopulated data fields on the exported Transfer History Report.

5.2 Transfer Event Audit Report Page

The *Transfer Event Audit Report Page* (Figure 32) allows the user to configure and generate a Transfer Event Audit Report which provides a detailed record of the actions taken by individual representatives on an account related to transfer activities. The *Transfer Event Audit Report* Page is accessed from the *Representative Reports Page* by clicking on the **Continue** button in the Action column next to Transfer Event Audit Report.

- The search function allows a user to search transfer events based on the following search fields:
  - Account Number
  - Entity Legal Name
  - Transfer ID
  - Representative Name
  - Event Date From
  - Event Date to
  - Jurisdiction
  - Account Type
  - Transfer Type
  - Transfer Event (Status)
- When conducting a search, select the desired search criteria; click the **Search** button to initiate the search. The transfer events will change to reflect the search results.
- Clicking on the **Clear** button resets the search fields, clearing all selected criteria. The transfer events can include transfers for multiple accounts associated with the user.
- The Transfer Event Audit table in the bottom half of the screen provides key information, including:
  - Account Number
  - Entity Legal Name
  - Account Type
  - Transfer ID
  - Transfer Event (Status)
  - Event Date
  - Representative Name
- The table is sortable (ascending or descending) by clicking on the column titles.
- The table may be more than one page in length; additional pages are accessed using the page numbers at the bottom left hand corner of the table.

Figure 32 – Transfer Event Audit Report Page



5.2.1 Transfer Event Audit Report

The Transfer Events Audit table can be exported as a report in its entirety to CSV or Excel format by selecting the appropriate link at the bottom right hand corner of the table. The following data fields are included on the exported report:

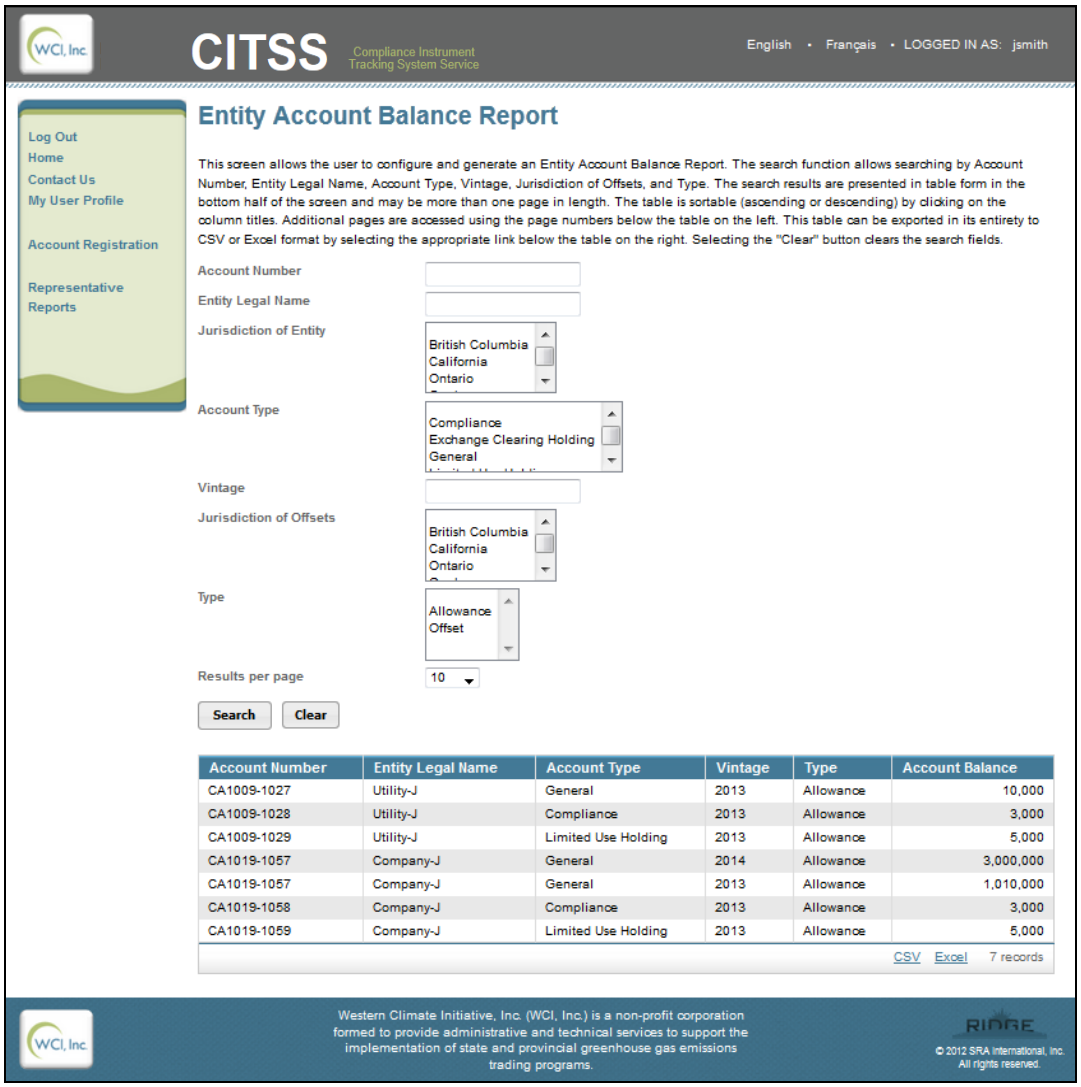
- Account Number
- Entity Legal Name
- Account Type
- Transfer ID
- Transfer Type
- Transfer Event
- Event Date
- Event Comment
- Representative Name

5.3 Entity Account Balance Report Page

The *Entity Account Balance Report Page* (Figure 33) allows the user to configure and generate an Entity Account Balance Report and can be accessed from the *Representative Reports Page* by clicking on the **Continue** button in the Action column next to Entity Account Balance Report.

- The search function allows a user to locate account balances based on the following search fields:
    - Account Number
    - Entity Legal Name
    - Account Type
    - Vintage
    - Jurisdiction of Offsets
    - Type
- When conducting a search, select the desired search criteria; click the **Search** button to initiate the search. The list of accounts will change to reflect the search results.
- Clicking on the **Clear** button resets the search fields, clearing all selected criteria. The list of accounts includes all accounts associated with the entity.
- The Entity Account Balance table in the bottom half of the screen provides key information about accounts included in the search, including:
    - Account Number
    - Entity Legal Name
    - Account Type
    - Vintage
    - Type
    - Account Balance
- The table may be more than one page in length; additional pages are accessed using the page numbers at the bottom left hand corner of the table.
- The table is sortable (ascending or descending) by clicking on the column titles.

Figure 33 – Entity Account Balance Report Page



5.3.1 Entity Account Balance Report

The Entity Account Balance table can be exported in its entirety to CSV or Excel format by selecting the appropriate link at the bottom right hand corner of the table. The following data fields are included on the exported report:

- Date Generated
- Account Number
- Entity Legal Name
- Jurisdiction of Entity
- Account Type
- Vintage
- Jurisdiction of Offsets
- Type (i.e. Compliance instrument)
- Sub-Type
- Category
- Project Code (i.e. Offsets)
- Account Balance

5.4 Entity Monthly Statement Page

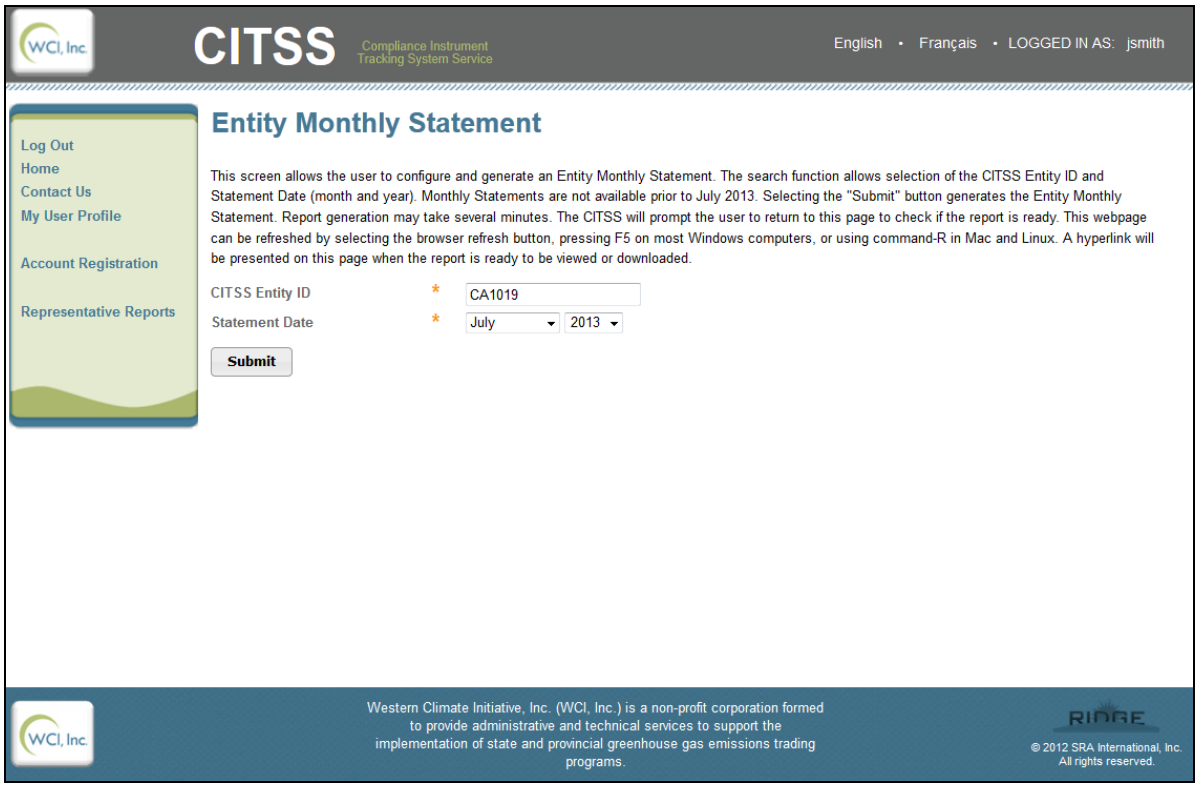
The *Entity Monthly Statement Page* (Figure 34) allows the user to configure and generate a Monthly Statement for each Entity the user is associated with. The *Entity Monthly Statement Page* is accessed from the Representative Reports Page by clicking on the **Continue** button in the Action column next to the Entity Monthly Statement.

Users can generate Entity Monthly Statements using the following search fields:

- CITSS Entity ID
- Statement Date (month/year)

When generating a monthly statement, select the desired criteria; click the **Submit** button to generate the Entity Monthly Statement. Entity Monthly Statement generation may take several minutes. The CITSS will prompt the user to return to this page to check if the statement is ready.

Figure 34 – Entity Monthly Statement Page



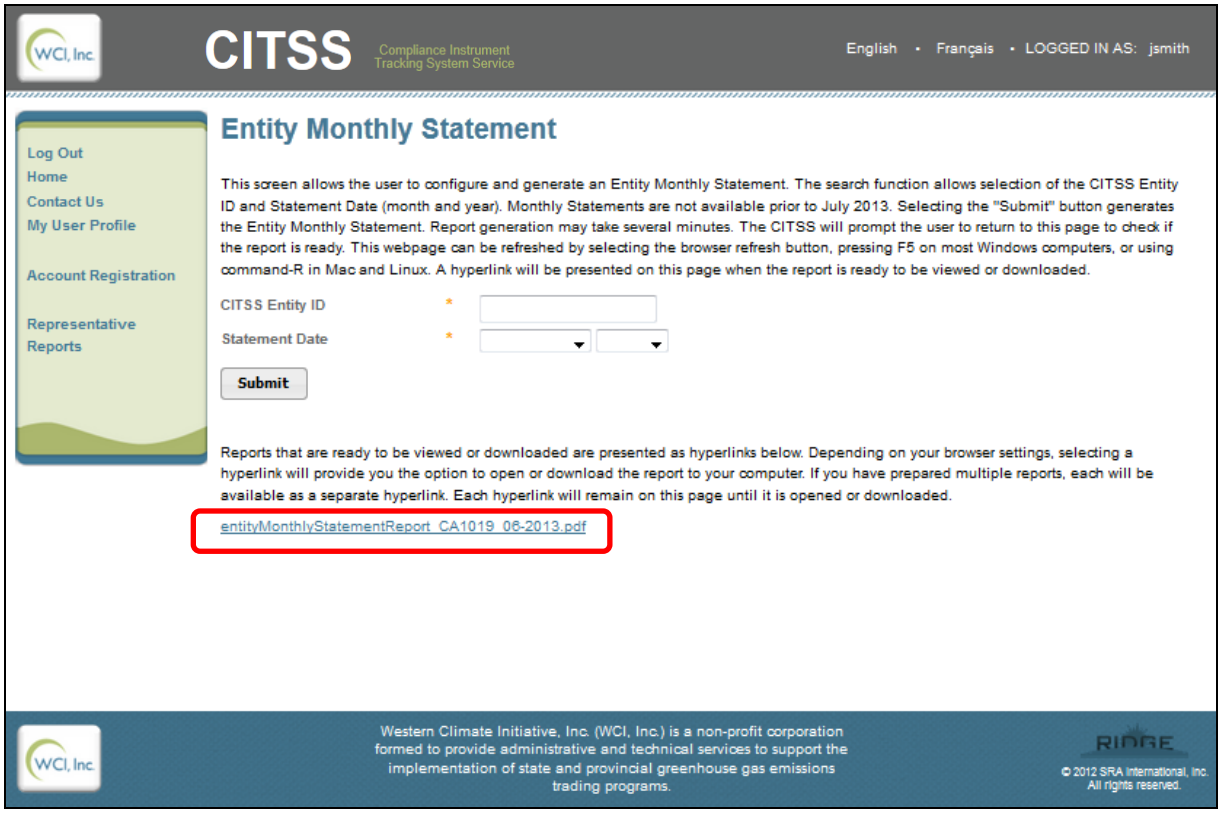
Note: Monthly statements are not available for months prior to August 2013.

The Entity Monthly Statement Page (Figure 35) can be refreshed by selecting the browser refresh button, pressing F5 on most Windows computers, or using command-R in Mac and Linux.

- A hyperlink will appear at the bottom of the *Entity Monthly Statement Page* when the statement is ready to be viewed or downloaded.

Click the hyperlink to download the report in pdf format.

Figure 35 – Entity Monthly Statement Page – Statement Ready



5.4.1 Entity Monthly Statement

The Entity Monthly Statement (Figures 36 and 37) is generated in pdf format by following the steps outlined above. For the selected CITSS Entity ID, the following data fields are included in the exported report:

- Account Information
  - CITSS Entity ID
  - Entity Legal Name
  - Entity Operating Name
  - Account Type
  - Account Number
- Account Balance
  - Vintage
  - Jurisdiction
  - Type
  - Sub-type
  - Category
  - Project
  - Account Balance
- Transfer History
  - Transfer ID
  - Last Updated (date, time)
  - Transfer Status
  - Transfer Type
  - Transferring Account Name
  - Receiving Account Name
  - Type
  - Quantity

Please note, Figures 36 and 37 display a fictional report for June 2013 generated for the purposes of testing and training. June and July 2013 reports will not be available. Monthly statements are not available for months prior to August 2013.

Figure 36 – Entity Monthly Statement (page 1)

CITSS
Compliance Instrument Tracking System Service

Monthly Statement - Aug 2013

Date Generated: 2013-06-16

CITSS Entity ID	CA1019
Entity Legal Name	Company-J
Entity Operating Name	Company-J

Account Type	General
Account Number	CA1019-1057

Account Balance

Vintage	Jurisdiction	Type	Sub-type	Category	Project	Account Balance
2013		Allowance				1,019,750
2014		Allowance				3,001,200

Transfer History

Transfer ID	Last Updated	Transfer Status	Transfer Type	Transferring Account Name	Receiving Account Name	Type	Quantity
100004	2013-06-16 13:36:15 EDT	Complete	Jurisdiction	California (CAJ996-989)	Company-J (CA1019-1057)	Allowance	10,000
100064	2013-06-16 15:34:25 EDT	Complete	Jurisdiction	California (CAJ996-994)	Company-J (CA1019-1057)	Allowance	3,000,000
100065	2013-06-16 15:34:41 EDT	Complete	Jurisdiction	California (CAJ996-994)	Company-J (CA1019-1057)	Allowance	1,000,000
100066	2013-06-16 17:47:37 EDT	Complete	General	Utility-A (CA1000-1000)	Company-J (CA1019-1057)	Allowance	3,500
100067	2013-06-16 17:51:54 EDT	Complete	General	Utility-E (CA1004-1012)	Company-J (CA1019-1057)	Allowance	6,250
100071	2013-06-16 17:51:28 EDT	Complete	General	Utility-F (CA1005-1015)	Company-J (CA1019-1057)	Allowance	1,200

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Figure 37 – Entity Monthly Statement (page 2)

CITSS
Compliance Instrument Tracking System Service

Monthly Statement - Aug 2013

Date Generated: 2013-06-16

Account Type	Compliance
Account Number	CA1019-1058

Account Balance

Vintage	Jurisdiction	Type	Sub-type	Category	Project	Account Balance
2013		Allowance				3,000

Transfer History

Transfer ID	Last Updated	Transfer Status	Transfer Type	Transferring Account Name	Receiving Account Name	Type	Quantity
100051	2013-06-16 13:36:20 EDT	Complete	Jurisdiction	California (CAJ996-989)	Company-J (CA1019-1058)	Allowance	3,000

Account Type	Limited Use Holding
Account Number	CA1019-1059

Account Balance

Vintage	Jurisdiction	Type	Sub-type	Category	Project	Account Balance
2013		Allowance				5,000

Transfer History

Transfer ID	Last Updated	Transfer Status	Transfer Type	Transferring Account Name	Receiving Account Name	Type	Quantity
100033	2013-06-16 13:36:18 EDT	Complete	Jurisdiction	California (CAJ996-989)	Company-J (CA1019-1059)	Allowance	5,000

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