California Environmental Protection Agency

Air Resources Board

User Guide - Volume II
Account Application and Account Management

Compliance Instrument Tracking System Service (CITSS)

December 2012

Sections of this User Guide have been Superseded.
Please see inside cover.
August 2014

Superseded Information

This CITSS User Guide Volume II, **released in December 2012, provides guidance on the account application and account management processes conducted in CITSS. Since release of the CITSS User Guides Volumes I-III, the Cap-and-Trade Regulation (Regulation) has been amended and CITSS has been updated to incorporate changes and new functionality.**

The account application and management process presented in the *CITSS User Guide Volume II,* Account *Application and Account Management,* describes a registration process in which every covered facility would have an account in CITSS. The application process required that a representative from a company with multiple facilities submit an application that includes entity information, contact information, and designate CITSS representatives for each facility.

Release 3.0 of CITSS altered the application process. Recognizing that an entity (business, company, corporation, etc.) may own several facilities, the application process in CITSS has been revised to allow a representative to submit a single application on behalf of an entity that identifies associated facilities. When approved, the entity will be provided a single account that recognizes the facilities as consolidated under the entity account.

Information in *CITSS User Guide Volume II, Application and Account Management* that describes the account application process has been superseded. Users consulting this User Guide should also refer to *User Reference CITSS Version 3.0*, available on the ARB CITSS Information webpage at:

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

***User Reference CITSS Version 3.0* does not replace the *CITSS User Guide Volume II*, but rather supplements the information with updated screenshots and guidance for the improved application process released on August 1, 2013.**

The complete set of CITSS User Guides is anticipated to be updated in 2015.

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List of Acronyms

AAR	Alternate Account Representative
ARB	California Air Resources Board
AVA	Account Viewing Agent
CITSS	Compliance Instrument Tracking System Service
D&B	Dun & Bradstreet
DOE	U.S. Department of Energy
DUNS	Data Universal Numbering System number
EIA	U.S. Energy Information Agency
ETS	Emissions Trading System
GHG	greenhouse gas
ID	identification
KYC	Know-Your-Customer
MRR	Mandatory Reporting Regulation
$MTCO_2e$	metric tons carbon dioxide equivalent
NAICS	North American Industry Classification System
ORIS	Office of Regulatory Information Systems
PAR	Primary Account Representative
SOS	California Secretary of State
WCI	Western Climate Initiative

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Compliance Instrument Tracking System Service User Guide

1.0 User Guide Introduction

The Compliance Instrument Tracking System Service (CITSS) User Guide has been developed to support individuals and entity representatives that are participating in California's Cap-and-Trade Program. The CITSS is a market tracking system that will support the implementation of greenhouse gas (GHG) cap-and-trade programs for California and other jurisdictions.

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.

This CITSS User Guide is organized in volumes specific to the types of activities that users may conduct in the CITSS. As of December 2012, there are three volumes in the CITSS User Guide:

Volume I	User Registration and Profile Management
Volume II	Account Application and Account Management
Volume III	Conducting Transfers in the CITSS

Additional volumes and updated versions will be released as needed.

If you have any questions about California's Cap-and-Trade Program, including the Cap-and Trade Regulation (Regulation), please refer to the ARB cap-and-trade website at: http://www.arb.ca.gov/cc/capandtrade/capandtrade.htm.

WCI, Inc. has established a Help Desk to support use of the CITSS. The CITSS Help Desk is staffed Monday through Friday 6:00 a.m. P.T. through 6:00 p.m. P.T. and is accessible for messages 24 hours a day, 7 days a week. If you have any questions about using the CITSS, please contact the WCI, Inc. CITSS Help Desk by email at: help@wci-citss.org or by phone at: 1-866-682-7561.

1.1 User Guide Volume II

This volume includes content to support the following activities:

- Applying for Accounts on behalf of the following:
  - Covered or Opt-in Entity
  - General Market Participant – Organization
  - General Market Participant – Individual
- Managing the Profile Information for an Entity
- Adding and Updating Account Representatives and Account Viewing Agents

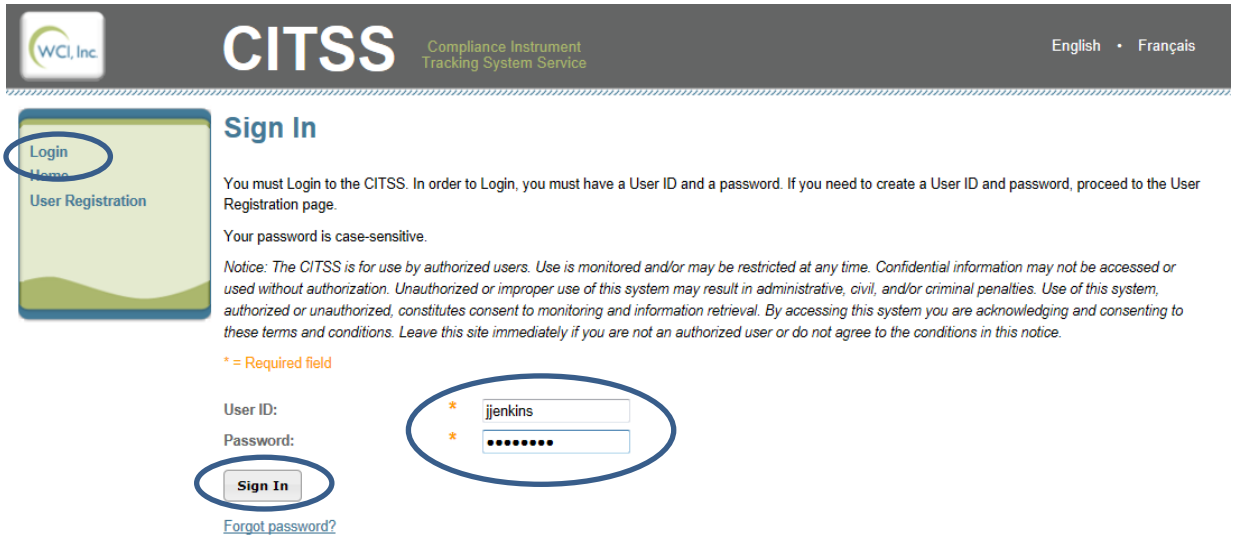
1.2 Accessing the CITSS

You can access the CITSS at https://www.wci-citss.org.

You can also find links to the CITSS on the ARB webpage at: http://www.arb.ca.gov/citss.

The CITSS Home Page is the point of entry for any action in the CITSS. To begin an account application, you must have an approved CITSS User ID. Using this approved User ID, you will click Login and enter your User ID and Password to gain access to the secure content of the CITSS, including the ability to submit an account application.

Figure 1 – CITSS Sign in Page



General Guidelines:

- The CITSS is compatible with the following web browsers: Explorer 7, 8, and 9, Firefox, Safari, Chrome, and Opera, Certain functions will operate with slight differences, depending on the browser.
- As a security measure, delete your browser history if multiple people can access the same computer used to create the CITSS account.
- The CITSS is typically available for access 24 hours a day, 7 days a week (except for periodic maintenance).
- The WCI, Inc. CITSS Help Desk is accessible for messages 24 hours a day, 7 days a week. The Help Desk is staffed Monday through Friday 6:00 a.m. Pacific Time through 6:00 p.m. Pacific Time.

1.3 CITSS User Registration and Account Application Process

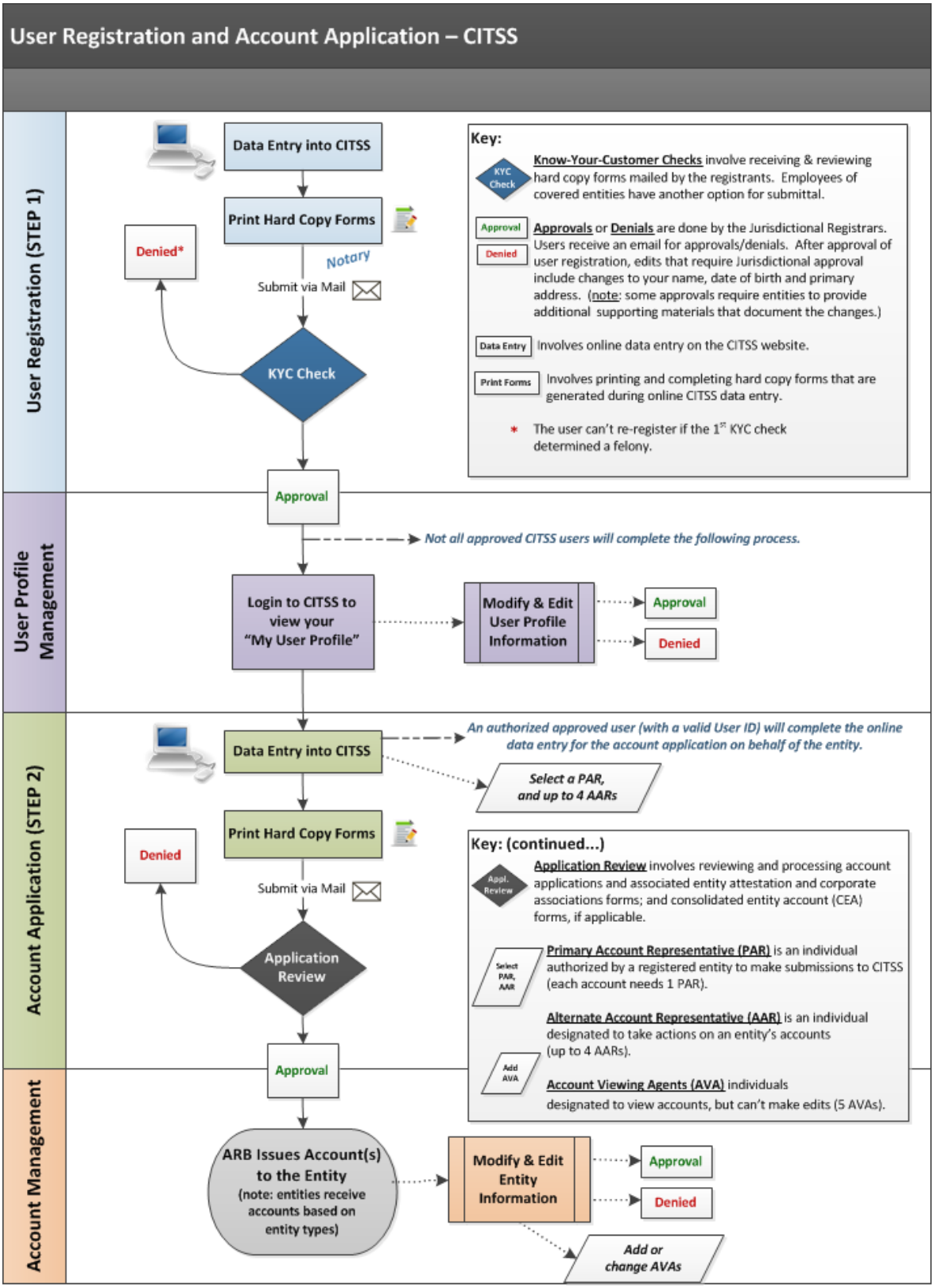
To participate in California's Cap-and-Trade Program, an individual or entity must have a CITSS account or set of accounts to hold, transfer, and retire compliance instruments. To obtain CITSS account(s), an individual or entity must complete a two-step process: apply for a CITSS User ID and submit an account application. Figure 2 provides an overview of the process.

1. **Complete User Registration to receive CITSS User IDs.** All individuals who will be representatives on an individual or entity's account(s) must complete user registration to receive an approved CITSS User ID. 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). Both representatives must complete user registration before an account application can be completed in the CITSS.

   To complete user registration, an individual provides information in the CITSS and subsequently submits hard-copy documentation. At the end of the electronic submission, the CITSS provides three forms that must be printed to support submittal of the additional information and required documentation. Every individual requesting CITSS user registration 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 Volume I of the CITSS User 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 includes completing an electronic application in the CITSS and mailing required information and attestations to the California Registrar. After completing the electronic Account Application, the CITSS provides three forms that are printed to support submittal of the additional information and attestations. The forms require the signatures of the PAR, the AAR(s), and an officer or director of the entity. CITSS account applications are subject to review and approval by ARB. **Account Application is covered in this volume, Volume II of the CITSS User Guide.**

Figure 2 – User Registration and Account Application



1.4 Roles on Accounts

When submitting an account application, the individual entering electronic data must identify the account representatives. Therefore, individuals must understand the role they will serve on an entity or individual's accounts. On any CITSS account or set of accounts, the following roles exist:

Primary and Alternate Account Representatives

Account Representatives are individuals with the authority to represent the entity in the CITSS. The Account Representatives can edit entity information, propose to change representatives, and report the transfer of compliance instruments. Except for individual general market participant accounts, each account must have at least two representatives, the Primary Account Representative (PAR) and one Alternate Account Representative (AAR). Individual general market participant accounts only require a PAR but are allowed to designate AARs if they choose. All accounts may have up to four AARs. The PAR and the AARs must be different individuals and must have active CITSS User IDs.

Account Viewing Agents

Account Viewing Agents (AVAs) are individuals with the capability to view the entity registration, account holdings, and transfer data in the CITSS. AVAs cannot edit entity information, propose to change representatives, or report the transfer of compliance instruments. Each account may have up to five AVAs. Account viewing agents are added after an account has been approved.

On any one entity's accounts, a user may not be assigned multiple roles. A user may be assigned different roles on different entities' accounts (for instance, a user may be a PAR on one entity's account and be an AVA on an account held by a different entity).

The PARs and at least one AAR must be designated during account application and representatives can be added, removed, or changed after account approval. AVAs can only be added after an application is approved.

1.5 Cap-and-Trade Program Participants – Entity Types

When applying for an account in the CITSS, there are three entity type selections:

- Covered Entity, Covered Source, and Opt-In Entity
- General Market Participant - Organization
- General Market Participant - Individual

A **Covered Entity** is defined in the Cap-and-Trade Regulation (Regulation) as an entity within California that has one or more of the processes or operations and has a compliance obligation as specified in subarticle 7 of the Regulation; and that has emitted, produced, imported, manufactured, or delivered in 2009 or any subsequent year more than the applicable threshold level specified in section 95812 (a) of the Regulation. Starting in 2012, major GHG-emitting sources, such as electricity generation (including imports), and large stationary sources that emit more than 25,000 $MTCO_2e$ per year have to comply with the Cap-and-Trade Program. The program expands in 2015 to include additional sources. **Covered Source** is a term used in other jurisdictions' programs and has been included in the CITSS to support these programs.

An **Opt-in Entity,** also called an **Opt-in Covered Entity** in the 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, must not already be a covered entity, and must request approval from ARB's Executive Officer. Information on becoming an opt-in entity is available on the ARB website under "Regulatory Guidance." An opt-in entity is subject to all reporting, verification, enforcement, and compliance obligations that apply to covered entities.

General Market Participant, or **Voluntarily Associated Entity (VAE) - Individual or Organization,** as defined in the Regulation, is any entity (organization or an individual) which does not meet the requirements of a Covered Entity or an Opt-in Covered Entity and that intends to purchase, hold, sell, or voluntarily retire compliance instruments. A VAE is not obligated to surrender any allowances or offset credits to ARB in order to comply with the Cap-and-Trade Program. A VAE is referred to in the CITSS as a **General Market Participant,** and can be any of the following:

- An entity (including an individual) that intends to purchase, hold, sell, clear, or voluntarily retire allowances or offset credits, but is not a covered entity or an opt-in covered entity.
- An entity operating an offset project or early action offset project that is registered with ARB pursuant to the Regulation.
- An entity providing clearing services in which it takes only temporary possession of compliance instruments for the purpose of clearing transactions between two entities registered with the Cap-and-Trade Program. A qualified entity must be a derivatives clearing organization as defined in the Commodities Exchange Act (7 U.S.C. § 1a(9)) that is registered with the U.S. Commodity Futures Trading Commission pursuant to the Commodities Exchange Act (7 U.S.C. § 7a-1(a)).

2.0 Account Application Overview

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. The individual completing the online data entry is not required to be a PAR or AAR on the account. Similar to CITSS User registration, the account application involves the submittal of information electronically and completion of additional forms and documentation. The forms are generated from the CITSS and are provided for your convenience to submit the information.

The forms include signed original attestations from the designated AAR and PAR, and if the entity is an organization, from 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 account application. ARB will notify the PAR and AARs for the entity via email if the application was approved or denied, or if further information is required.

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.
- Entities may designate up to five (5) Account Viewing Agents (AVA) who are authorized to view the information in the account but not take action on the account.
- The account application must designate one Primary Account Representative (PAR) and at least one Alternate Account Representative (AAR). Entities may designate up to four AARs. The PAR and AARs will act on behalf of the legal entity and are the managers of the account(s). An individual applying for an account as a general market participant - individual is allowed to act as both the PAR and AAR on their account.

2.1 Account Consolidation

Per the Regulation, ARB will provide a consolidated set of accounts for entities that have a direct corporate association with one or more additional entities participating in the California Cap-and-Trade Program. If an entity chooses to not be part of a consolidated set of accounts, each such entity must formally request to opt-out of the consolidated account. Guidance and necessary forms related to consolidation of accounts are provided on the ARB Website at: http://www.arb.ca.gov/citss.

2.2 Preparing to Complete an Account Application

The information listed 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 to prepare for completing a CITSS account application:

- Legal and operating names of the entity
- Physical and mailing addresses of the entity
- California GHG emissions reporting number (covered and opt-in entities)
- Contact information (telephone numbers and email addresses)
- Incorporation number, date, and place of incorporation (if applicable)
- 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
- User Reference Codes for a Primary Account Representative (PAR) and at least one (1) and up to four (4) Alternate Account Representatives (AAR) (must be approved CITSS users)
- Website address, if any

Account Application Forms and Information

To complete a CITSS account application, each applicant will print three (3) forms that are generated in the CITSS after completing the online data entry. The first form provides a checklist and the California Registrar's address for the individual's reference. The second and third forms must be completed and submitted as directed. The forms are:

1. Account Application Checklist (for your reference)
2. Account Application with Attestation Form (review, sign, and submit)
3. Corporate Associations and Structure Form (complete, sign, and submit)

Applicants also need to submit the following information to complete the Corporate Associations and Structure Form. Additional guidance on completing the form and a sample completed form are available on the ARB website.

- 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
- Description of corporate associations and parent and subsidiary companies.

3.0 Completing a CITSS Account Application

Applying for CITSS accounts requires individuals with active CITSS User IDs who are submitting an application for themselves or have been authorized to submit an account application on behalf of a covered entity, opt-in covered entity, or a general market participant organization, to access and complete the online portion of the account application in the CITSS system. Forms and documentation must also be completed and submitted. 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 PAR and AARs for the entity via email if the application was approved or denied, or if further information is required. If approved, the entity's accounts will be established.

3.1 Accessing the Account Application

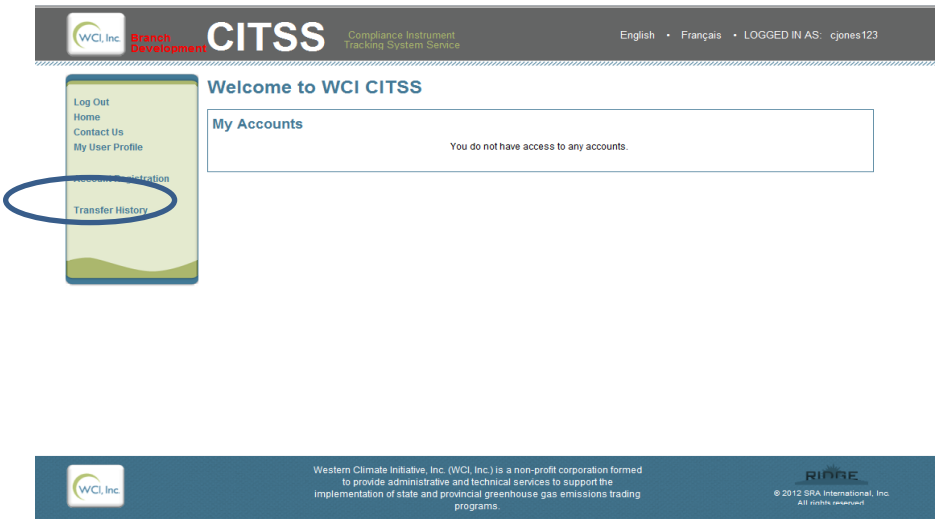
To complete the electronic portion of a new CITSS Account Application, you will first log in to the CITSS using your approved User ID and password. You will access the account application from the User Home Page, titled "Welcome to WCI CITSS," shown in Figure 3.

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 the "Account Applications" section of your CITSS Home Page while pending, but after approval the accounts will only be shown on the Home Pages of the account representatives.

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

IMPORTANT: Before completing an account application for your business or organization, please ensure that an application has not already been submitted by another user.

Figure 3 – CITSS User Home Page



3.1.1 Account Application: Account Type

The "Account Application: Jurisdiction and Account Type" screen illustrated in Figure 4 is the first screen of electronic data entry in an account application. The individual completing the data entry will first need to identify the appropriate entity type. The three entity types are determined based on the nature of the entity or individual's participation in the Cap-and-Trade Program. After completing this page, the data entry pages become specific to the entity type.

The entity types include the following:

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. Publicly owned utilities that do not have a compliance obligation but will be receiving free allowance allocations will also select this option.

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. The individual must reside in the United States.

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. The organization must be located in the United States.

The first part of submitting an account application requires that the individual completing the account application select the appropriate entity type for the entity applying for a CITSS account. It is very important that the correct entity type be selected since the type of accounts established for each entity are dependent in part on the entity type. For instance, compliance accounts and limited use holding accounts can only be established for covered entities. In addition, the application screens are different for each type of entity.

If you have any difficulty determining which type of entity to select, please contact the WCI, Inc. CITSS Help Desk by email at: help@wci-citss.org or by phone at: 1-866-682-7561.

Please move to the appropriate section of this guide for instructions on the electronic data entry for an account application for your specific entity type:

Section 3.2 Covered and Opt-in Entity Account Application

Section 3.3 General Market Participant - Individual Account Application

Section 3.4 General Market Participant - Organization Account Application

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3.2 Covered and Opt-in Entity Account Application

Section 3.2 is specific to completing the online data entry for an account application for a Covered Entity or Opt-in Entity. If you are completing an account application on behalf of a general market participant (voluntary associated entity), please skip this section and proceed to Section 3.3 for an individual or Section 3.4 for organizations.

All Covered Entities and Opt-in Entities must apply through the CITSS for compliance instrument accounts to be able to hold compliance instruments. Covered Entities and Opt-in Entities should have also completed Cap-and-Trade Program registration through the online registration form on the ARB website by January 31, 2012 and should also have completed CITSS account application by October 1, 2012. Data from the January program registration and emissions reporting conducted pursuant to the Mandatory Reporting Regulation (MRR) has been imported into the CITSS to support account applications. All entities will need to document that the information is correct during the account application process.

Covered Entities and Opt-in Entities must:

- Complete user registration in the CITSS (account representatives and viewing agents);
- 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 associations 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 Regulation;
- Report emissions annually under the MRR; and
- Meet their compliance obligations according to regulatory requirements.

Notes on Deadlines for Opt-in Entities

The deadlines for Opt-in Entities to complete an opt-in request form are:

- Entities wishing to opt in and receive free allocation of allowances during their first year of participation should submit the form to the Executive Officer by certified mail, to be received by ARB by March 1 of the calendar year preceding the first calendar year the entity wants to participate in the program.
- For entities not intending to receive free allocation of allowances, the information contained in the form must be submitted by November 30 of the calendar year prior to the year it desires to voluntarily participate in the program.

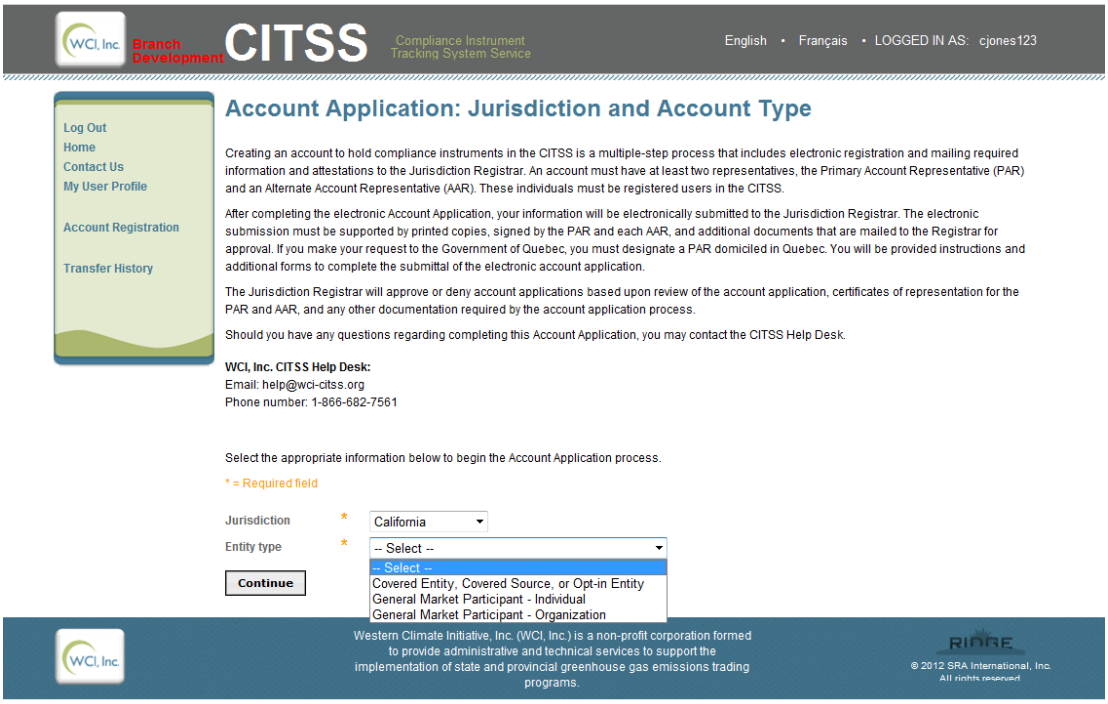
3.2.1 Account Application: Jurisdiction and Account Type

STEP 1 **Select California as the 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 2 **Select Covered Entity, Covered Source, or Opt-in Entity from the Entity Type drop-down menu.**

STEP 3 **Click on "Continue."**

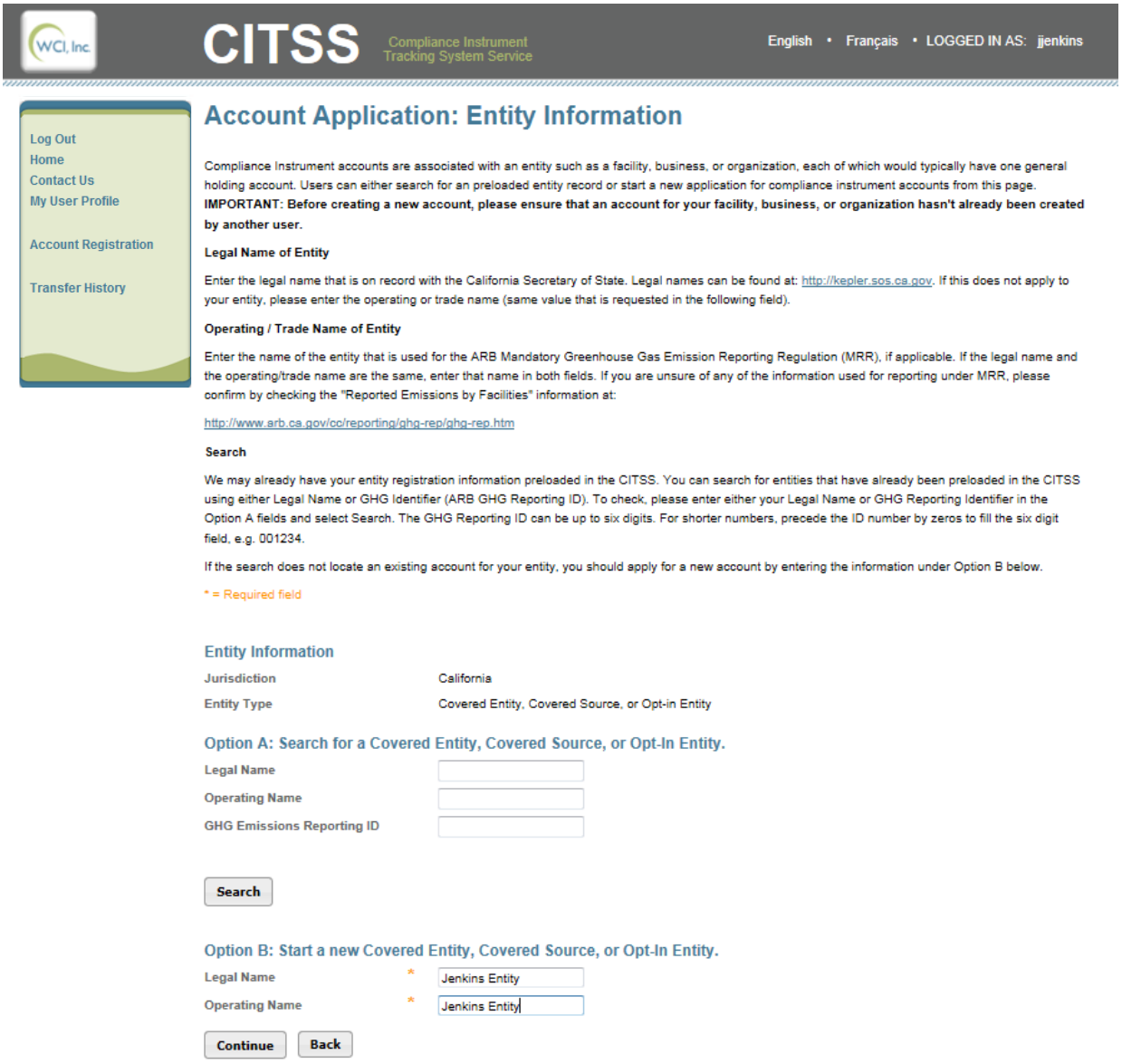
Figure 4 – Account Application: Jurisdiction and Account Type



3.2.2 Account Application: Entity Information

On the "Account Application: Entity Information" page (Figure 5), 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 5 – Account Application: Entity Information



Entity Information – Option A

To locate an entity, you can enter the legal name, its operating name, or the ARB GHG Emissions Reporting ID number. You can enter a partial entry, and the system will generate a list of potential matches. If you are unsure of any of the information used for reporting under MRR, please confirm it by checking the "Reported Emissions Data" information at: http://www.arb.ca.gov/cc/reporting/ghg-rep/ghg-rep.htm.

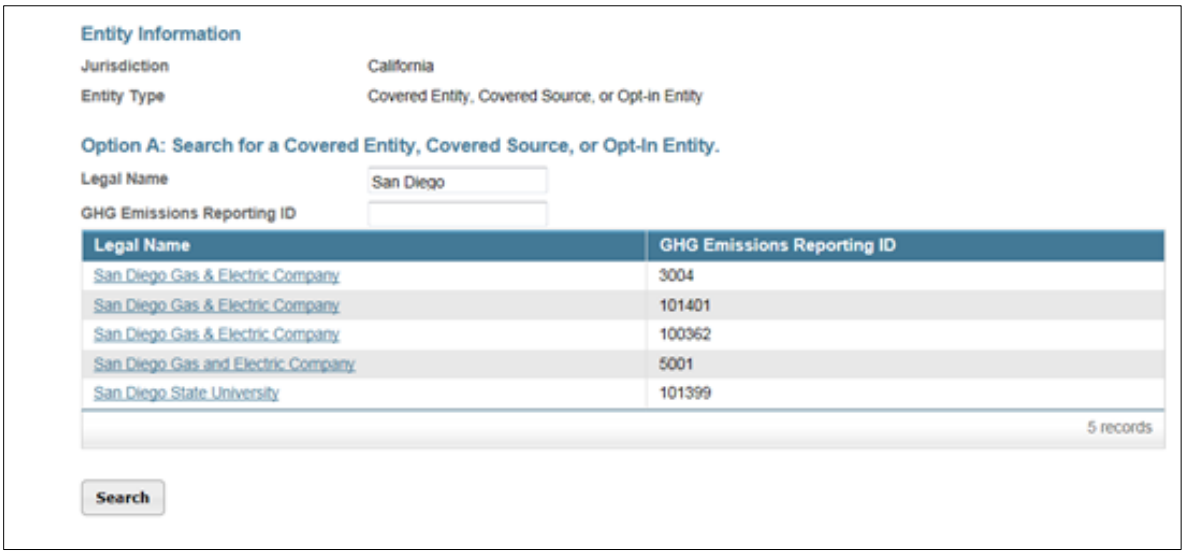
STEP 1 **Enter known entity data and Click on "Search."** As an example, "San Diego" is entered into the "Legal Name" field in Figure 6 to generate a list of potential matches. You can use any of the following:

- 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 **If a list of potential matches is provided, find the correct entity and click on its legal name.** You will automatically be directed to the next page of data entry. You will not be able to update the legal or operating name. If your entity's legal or operating name have changed from that provided in the MRR or January Program Registration, you will need to provide data under Option B and enter the current legal and operating names for your entity.

STEP 3 **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.**

Figure 6 – Option A: Search for a Covered Entity, Covered Source, or Opt-In Entity



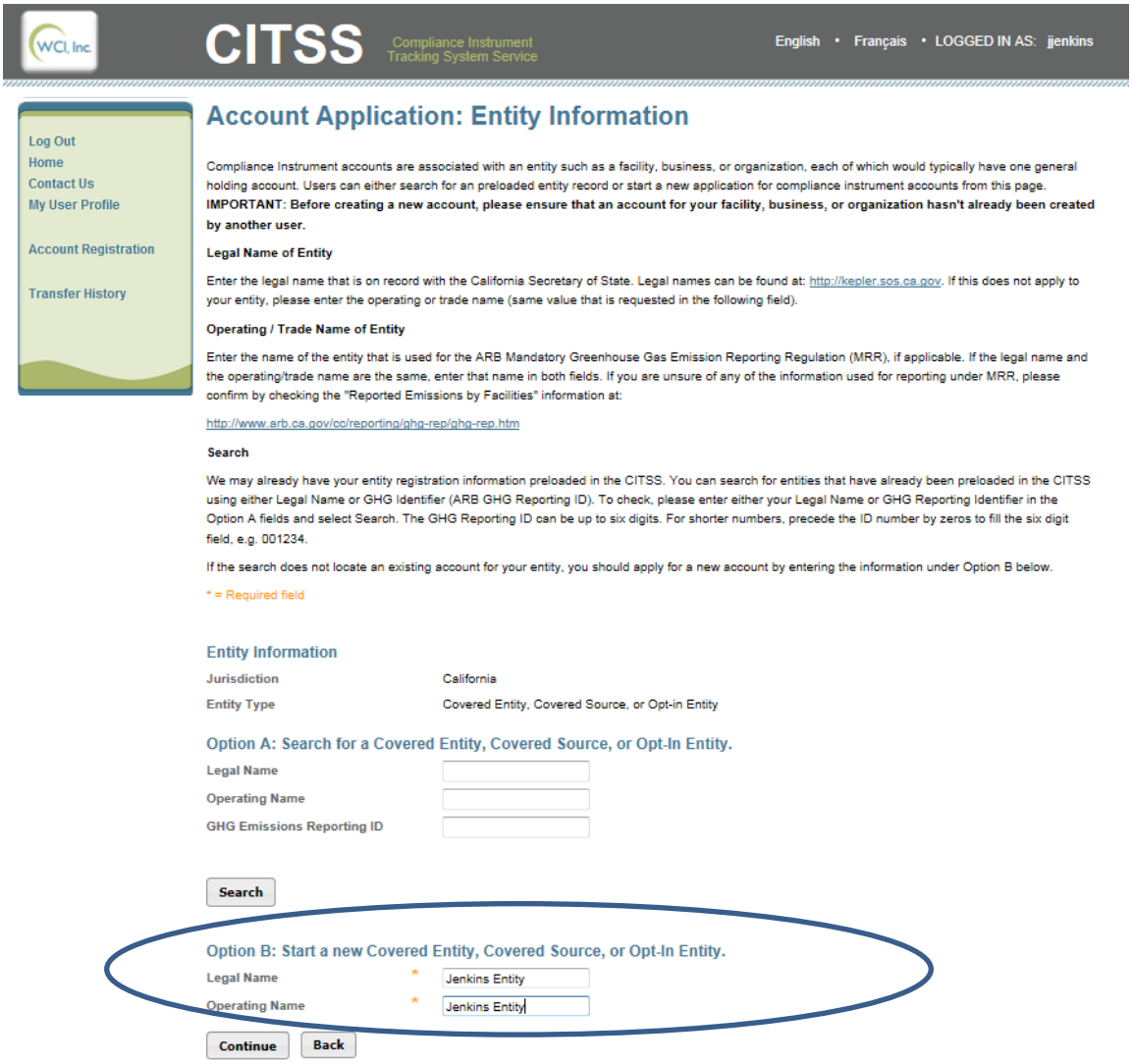
Entity Information – Option B

Figure 7 displays the "Account Application: Entity Information" page with Option B circled. Option B was selected with sample information inserted into the required fields as an example. In this example, a "Legal Name" and an "Operating Name" for the entity were entered into the fields.

STEP 1 **Enter the entity's legal name and the entity's operating name**. Enter the name that is used for reporting under MRR, if applicable. If the legal name and the operating name are the same, enter that name in both fields.

STEP 2 **Click on the "Continue" button**.

Figure 7 – Option B: Start a New Covered Entity, Covered Source, or Opt-In Entity



3.2.3 Account Application: Identifiers

Figure 8 displays the "Account Application: Identifiers" page. As an example, sample information and IDs have been entered into the required fields. As with user registration, all required fields are identified with an asterisk (*). This 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.

STEP 1 **Select the appropriate NAICS code from the drop-down list.** The North American Industry Classification System (NAICS) 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 or Opt-in Entity.** The number can be up to six digits in length.

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 or is a public agency, 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 incorporated). These are required fields; if the entity is not incorporated or is a public agency, then enter California as the State, United States as the country and the current date in the date field.

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

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

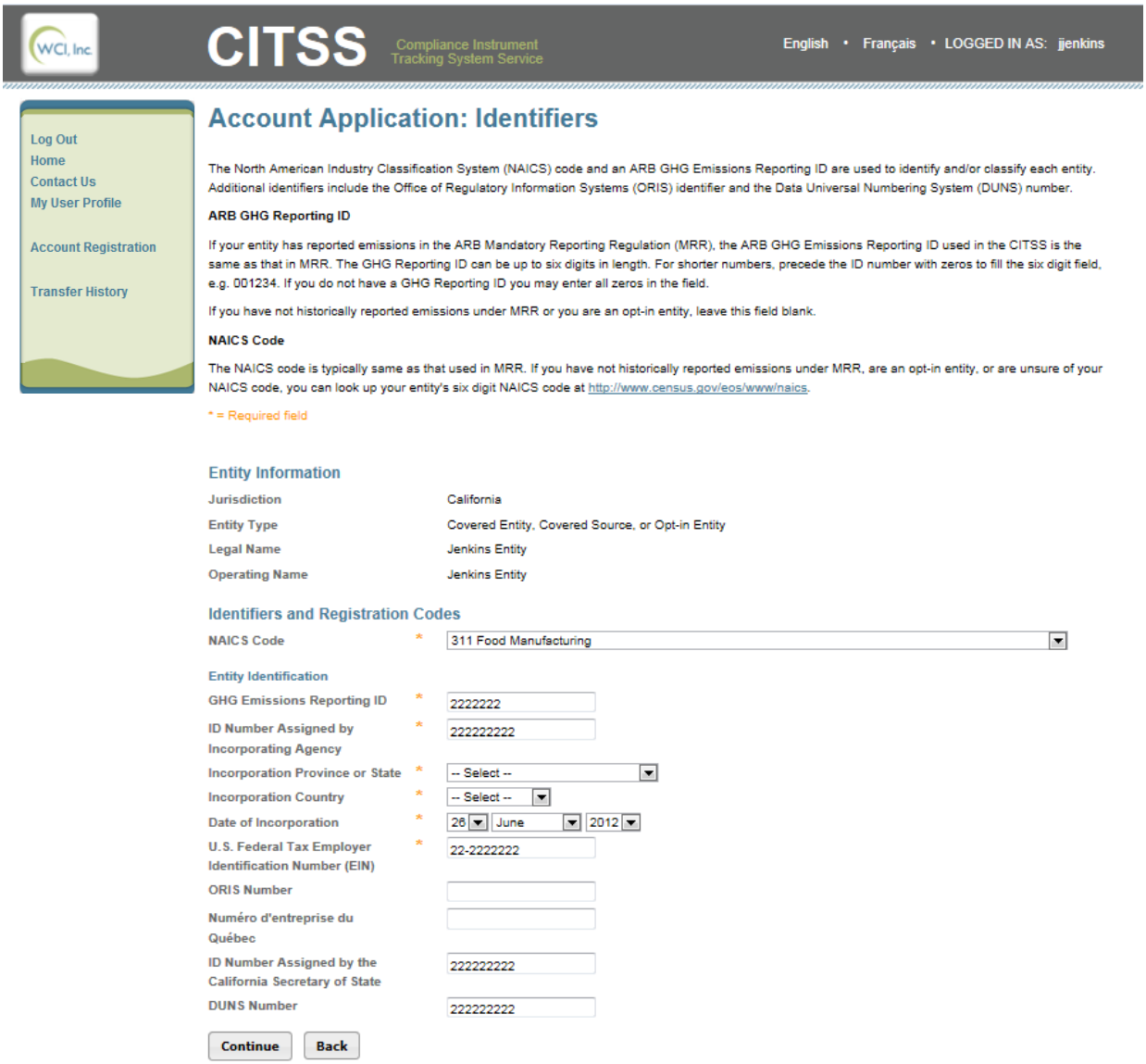
STEP 7 **Enter the ID Number assigned to the entity by the Secretary of State (SOS).** If a business entity is a California corporation; nonprofit; association; limited liability company; or a general, limited, or limited liability partnership the entity is required to register with the California SOS business office. Although not required by the CITSS, providing this number will assist the California Registrar and will support a rapid review of your application.

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**.

Figure 8 – Account Application: Identifiers



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Account Application: Identifiers

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

ARB GHG Reporting ID

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

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

NAICS Code

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

* = Required field

Entity Information

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

Identifiers and Registration Codes

NAICS Code	*	311 Food Manufacturing
Entity Identification		
GHG Emissions Reporting ID	*	2222222
ID Number Assigned by Incorporating Agency	*	222222222
Incorporation Province or State	*	-- Select --
Incorporation Country	*	-- Select --
Date of Incorporation	*	26 June 2012
U.S. Federal Tax Employer Identification Number (EIN)	*	22-2222222
ORIS Number		
Numéro d'entreprise du Québec		
ID Number Assigned by the California Secretary of State		222222222
DUNS Number		222222222

Continue Back

3.2.4 Account Application: Contact Information

The "Account Application: Contact Information" page (Figure 9) 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 9. If a covered entity was identified during your initial search for an entity, information will be pre-populated. Verify all information, change any errors, and enter any missing data.

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 the 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 fields.

STEP 3 **Enter the entity contact information** for general communication and to reach account representatives regarding questions on the CITSS accounts.

STEP 4 **Enter a phone number** for a 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."**

Figure 9 – Account Application: Contact Information

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Account Application: Contact Information

* = Required field

Entity Information

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

Physical Address

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

Address Line 1	*	123 Mainstreet
Address Line 2		
City	*	AnyTown
Province or State	*	-- Select --
Postcode or Zip Code	*	12345
Country	*	United States

Mailing Address

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

Is the mailing address the same as the physical address?		☑
Address Line 1	*	
Address Line 2		
City	*	
Province or State	*	-- Select --
Postcode or Zip Code	*	
Country	*	-- Select --

Entity Contact Information

Enter any additional contact information here for the entity.

Telephone	*	9164445555
Telephone Extension		12
Mobile phone		9192365874
Facsimile Number		9167412589
E-mail Address	*	jjenkins@example.com
Website Address		www.example.com/12345

Continue Back

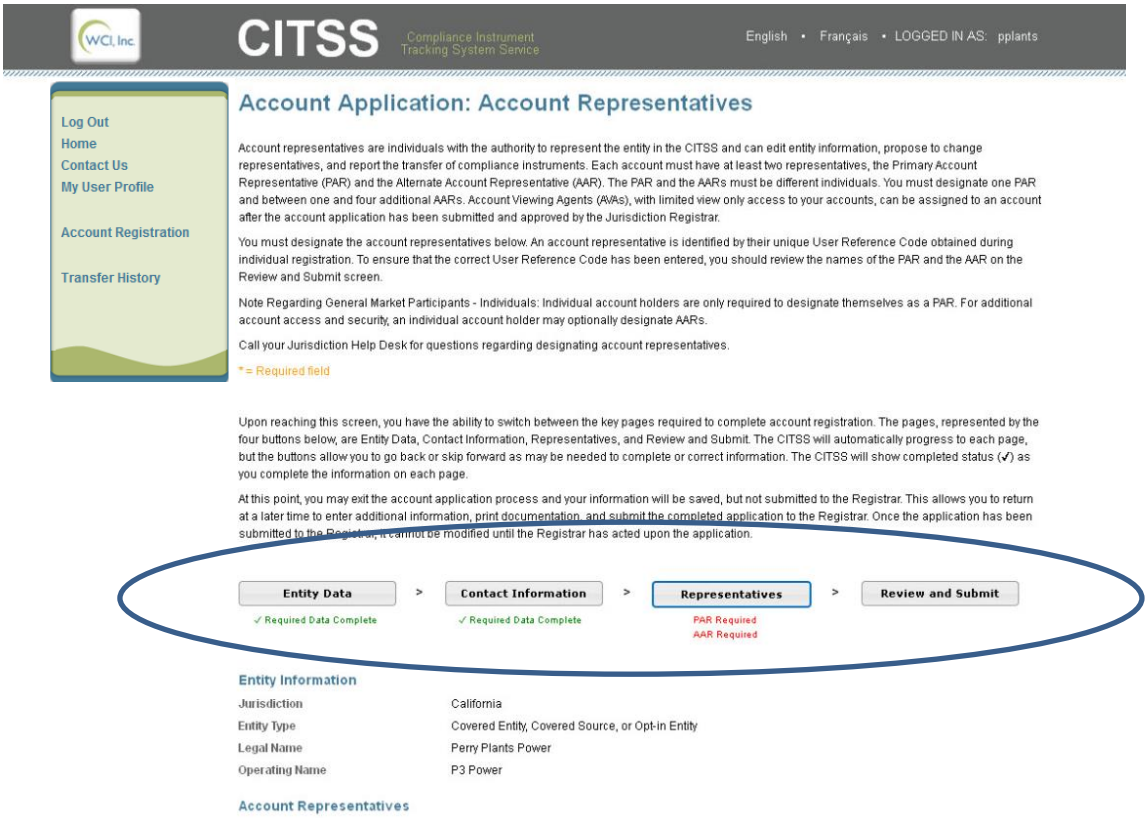
3.2.5 Account Application: Account Representatives

The "Account Application: Account Representatives" page (Figure 10) includes a summary of data entered to this point in the application process and an area for data entry of account representatives.

Once you have reached this page, 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. You can exit the CITSS and return to complete the account application at a later time. Any account applications that have not been completed will show in the home page of the individual who entered the application under the "Account Applications" section.

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 information. Figure 10 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 "PAR Required" and "AAR Required." This information is needed to complete the account application.

Figure 10 – Account Application: Account Representatives (upper portion)



Designating Account Representatives and an Alternate Contact

Figure 11 displays the lower portion of the Account Representatives page, where the individual entering data will designate the PAR and AARs. The PAR and AARs 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 during account application. An entity may designate up to four (4) AARs. Individual general market participants are allowed to act as both the PAR and the AAR on their account or designate up to 4 AARs.

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.

At this point in the account application, 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 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.

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. **If you have identified another CITSS User as the PAR, enter the 12-digit User Reference Code in the appropriate field.**

STEP 2 **Designate the AARs for the account(s) and enter the 12-digit User Reference Codes in the appropriate field.** If you are not designated as the PAR you can select yourself as one of the AARs by selecting the first AAR button. If designating a different registered CITSS user(s) as the AAR(s), select the second button. Individual account holders that do not want to designate additional AARs select the second button but do not enter any User Reference Codes.

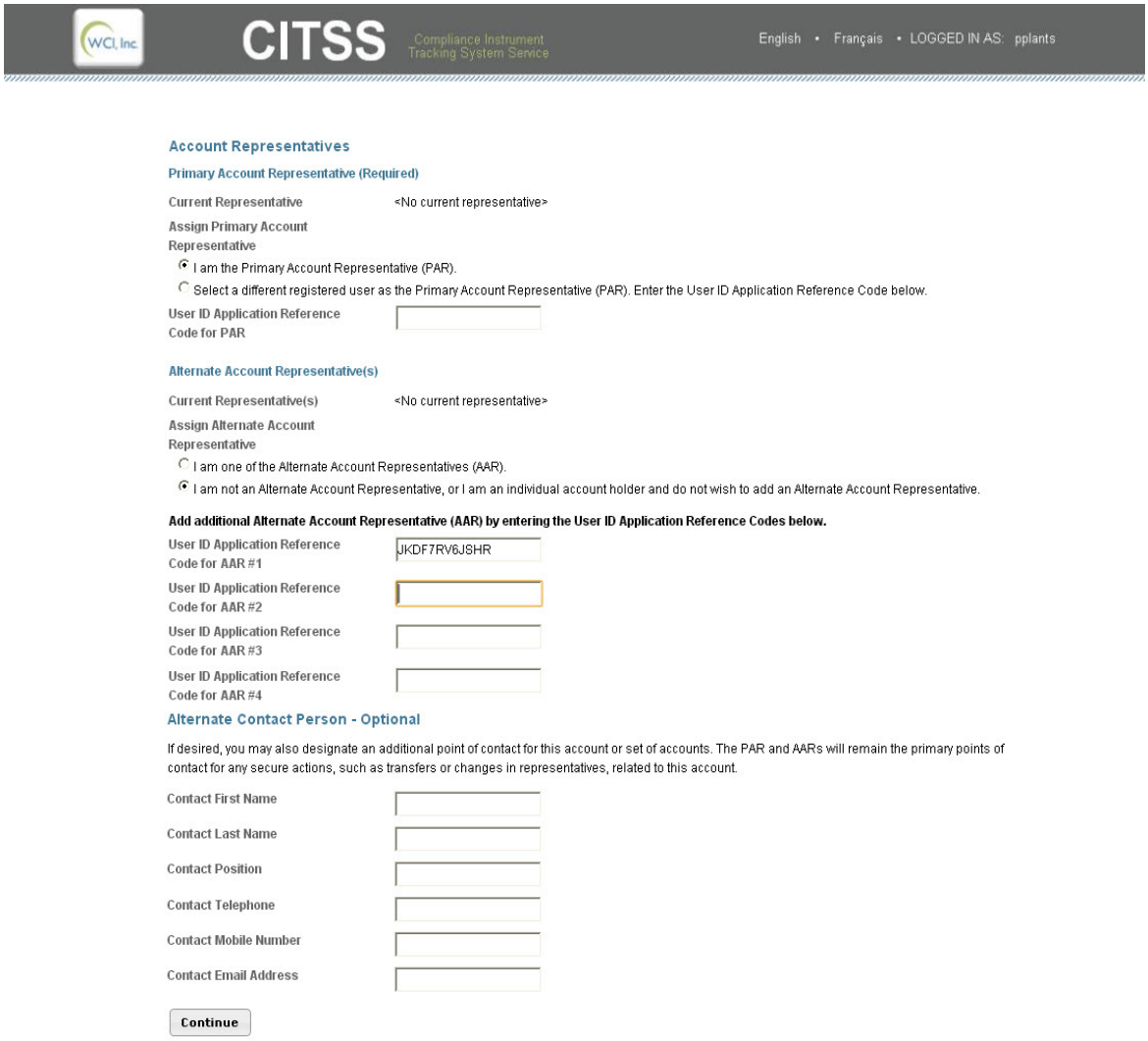
STEP 3 **Enter the name, position, phone numbers, and email address of the additional account contact in the appropriate fields.**

STEP 4 **Click on "Continue" to proceed.**

If an error code is displayed stating that one of the User Reference Codes entered could not be verified, it may be that the individual's user registration has not been approved yet or that a typographical error was entered in the User Reference Code field. If you are having any difficulty completing the representatives entry, please contact the WCI, Inc. CITSS Help Desk by email at: help@wci-citss.org or by phone at: 1-866-682-7561.

NOTE: An entity can also add or change representatives and can designate up to five (5) Account Viewing Agents after the account application has been approved.

Figure 11– Account Application: Account Representatives (lower portion)



3.2.6 Account Application: Review and Submit

The "Account Application: Review and Submit" page (Figure 12) displays the same four (4) navigation buttons as the prior Account Representatives page, as well as the status of data entry on each page. After the PAR and AAR have been added, the status will indicate that the representative information was successfully added and that the account registration is in progress, and it will display 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.

STEP 1 **Review the data. If there is a need to make any edits, select the appropriate navigation buttons** (Entity Data, Contact Information, or Representatives) and correct the information. **NOTE:** If you navigate to another page and make 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 2 **When the data entry is 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 3 **Click the "Submit Application" button located at the bottom of the page.**

Figure 12 – Account Application: Review and Submit

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Account Application: Review and Submit

Representative information successfully added.

Status	Comment	Created Date
Registration in Progress		2012-10-09

Upon reaching this screen, you have the ability to switch between the key pages required to complete account registration. The pages, represented by the four buttons below, are Entity Data, Contact Information, Representatives, and Review and Submit. The CITSS will automatically progress to each page, but the buttons allow you to go back or skip forward as may be needed to complete or correct information. The CITSS will show completed status (✓) as you complete the information on each page.

At this point, you may exit the account application process and your information will be saved, but not submitted to the Registrar. This allows you to return at a later time to enter additional information, print documentation, and submit the completed application to the Registrar. Once the application has been submitted to the Registrar, it cannot be modified until the Registrar has acted upon the application.

Entity Data > Contact Information > Representatives > Review and Submit

✓ Required Data Complete ✓ Required Data Complete ✓ PAR ✓ AAR

This screen summarizes the information entered to create an account.

CITSS Entity ID	CA1021
Legal Name	Perry Plants Power
Operating Name	P3 Power
Jurisdiction	California
Entity Type	Covered Entity, Covered Source, or Opt-in Entity
NAICS Code	000000 Other or Not in This List
Entity Status	Registration in Progress
Created by	Perry Plants
Date Created	2012-10-09

Entity Identification

GHG Emissions Reporting ID	123456
ID Number Assigned by the California Secretary of State	123456
U.S. Federal Tax Employer Identification Number (EIN)	123456
ID Number Assigned by Incorporating Agency	123456
Incorporation Province or State	California
Incorporation Country	United States
Date of Incorporation	2012-10-09
DUNS Number	123456
ORIS Number	123456
Numéro d'entreprise du Québec	123456

Physical Address

Address Line 1	123 Main St
Address Line 2	
City	Any Town
Province or State	California
Postcode or Zip Code	12345-6789
Country	United States

Mailing Address

Address Line 1	123 Main St
Address Line 2	
City	Any Town
Province or State	California
Postcode or Zip Code	12345-6789
Country	United States

Entity Contact Information

Telephone	1234567890
Telephone Extension	
Mobile phone	
Facsimile Number	
E-mail Address	perryplants@sra-dev.com
Website Address	

Account Representatives

Primary Account Representative	Perry Plants, Union Pacific
Alternate Account Representative(s)	Jerry Jenkins, Union Pacific

Alternate Contact Person - Optional

Contact First Name
Contact Last Name
Contact Position
Contact Telephone
Contact Mobile Number
Contact Email Address

Submit Application | Cancel Application

Western Climate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and provincial greenhouse gas emissions trading programs.

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3.2.7 Account Application: Terms and Conditions

The "Account Application: Terms and Conditions" page (Figure 13) contains the Terms and Conditions that must be accepted prior to submitting the electronic portion of the account application.

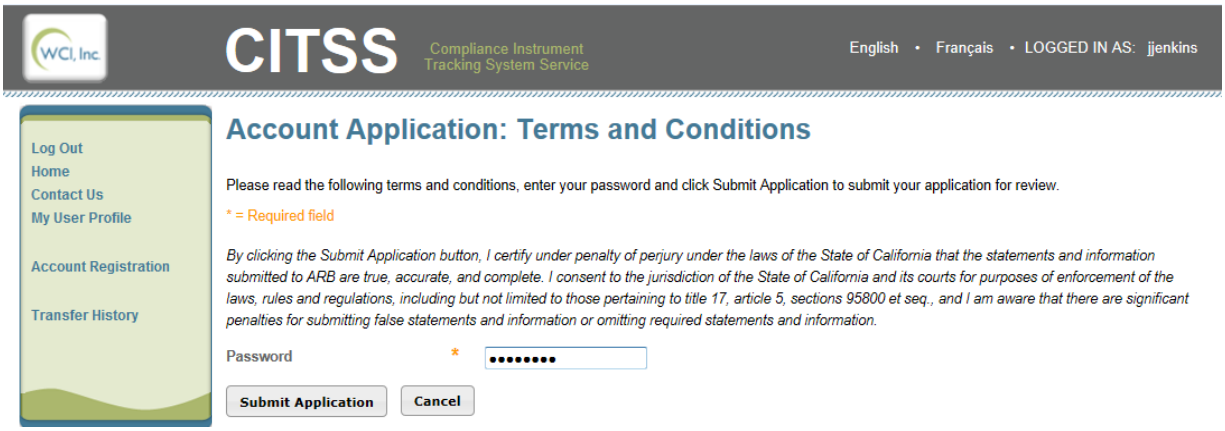
STEP 1 **Read the Terms and Conditions statement on this page.**

STEP 2 **To accept the Terms and Conditions, re-enter your password in the Password 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.

Figure 13 – Account Application: Terms and Conditions



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

3.2.8 Account Application Submitted

The "Account Application Submitted" page (Figure 14) will be displayed after the Terms and Conditions have been accepted and indicates that the electronic data entry portion of your account application has been submitted to the California Registrar. The "Account Application Submitted" page includes the 6-character Entity Code (e.g., CA-1000) specific to your submitted account application (circled on Figure 14).

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 address is provided on the Account Application Checklist

Figure 14 highlights the navigation buttons that access the forms - the (1) Account Application Checklist, (2) Account Application with Attestations Form, and (3) Corporate Associations and Structure Form. The Account Application Checklist provides a summary of the information that must be completed and the address of the California Registrar. The Account Application with Attestations Form and the Corporate Associations and Structure Form must be completed, signed, and mailed to the California Registrar along with any additional documentation used to provide the information described on the Corporate Associations and Structure Form. Each account applicant, regardless of entity type, must provide the information contained in, the Account Application with Attestations Form, and the Corporate Associations and Structure Form to the California Registrar.

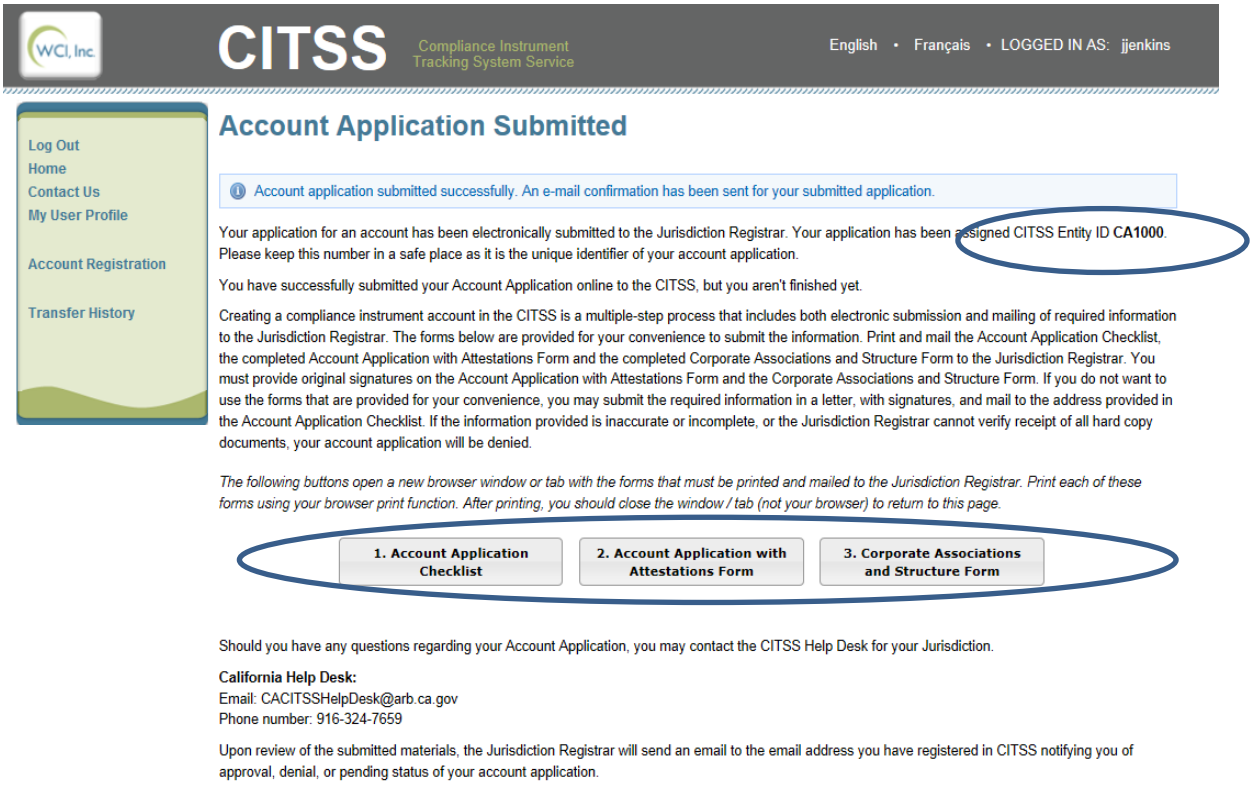
REMINDER: The individual who completed the online portion of the account application will be able to return to the CITSS to print these forms if you exit the CITSS at this time. Guidance to help you complete the Corporate Associations and Structure Form and blank copies of these forms are available on the ARB website. DO NOT submit forms using the blank forms prior to submitting the online portion of the CITSS account application.

STEP 1 **Click on each Form Button**. Each form opens in a new browser tab.

STEP 2 **Print each Form and then 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.

STEP 3 **Continue until all forms have been printed**.

Figure 14 – Account Application Submitted



Instructions to assist you as you complete the required forms are provided in Section 3.5 of this volume of the User Guide. Please move forward to Section 3.5 now.

3.3 General Market Participant - Individual Account Application

Section 3.3 is specific to the data entry required to complete an account application for individuals who will act as general market participants.

General Market Participants:

- Must complete user registration in the CITSS (account representatives and viewing agents);
- Must complete an account application for compliance instrument account(s), meeting all requirements and receiving approval from the California Registrar;
- Must report any changes in information such as representatives, and corporate associations in a timely manner, as specified in the Regulation;
- May hold compliance instruments in a holding account; and
- May transfer compliance instruments according to all established policies and procedures.

3.3.1 Account Application: Jurisdiction and Account Type

STEP 1 **Select California as the Jurisdiction from the drop-down menu.** General Market Participants are applying to participate in California's program and therefore select California.

STEP 2 **Select the Entity Type from the drop-down menu.** Individuals applying for an account for their own use, not on behalf of an organization, select general market participant – individual.

STEP 3 **Click on "Continue."**

Figure 15 – Account Application: Jurisdiction and Account Type

3.3.2 Account Application: Additional Information

The "Account Application: Additional Information" page shown in Figure 16 is specific to a General Market Participant – Individual account application.

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.

"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. Offset Project Verifiers are ineligible for compliance accounts.

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

STEP 4 **Click on "Continue."**

Figure 16 – Account Application: Additional Information

3.3.3 Account Application: Contact Information

The "Account Application: Contact Information" page (Figure 17) will be pre-populated with the information provided during User Registration. In the example, 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.

STEP 1 **Review the pre-populated data.** Enter any changes necessary for the account(s).

STEP 2 **Enter or verify the physical address for the individual**.

STEP 2 **Enter or verify the proper mailing address** for receiving information specific to the Cap-and-Trade Program, the CITSS, and the individual'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 fields.

STEP 3 **Enter additional contact information** for general communication and to reach account representatives regarding questions on the CITSS accounts.

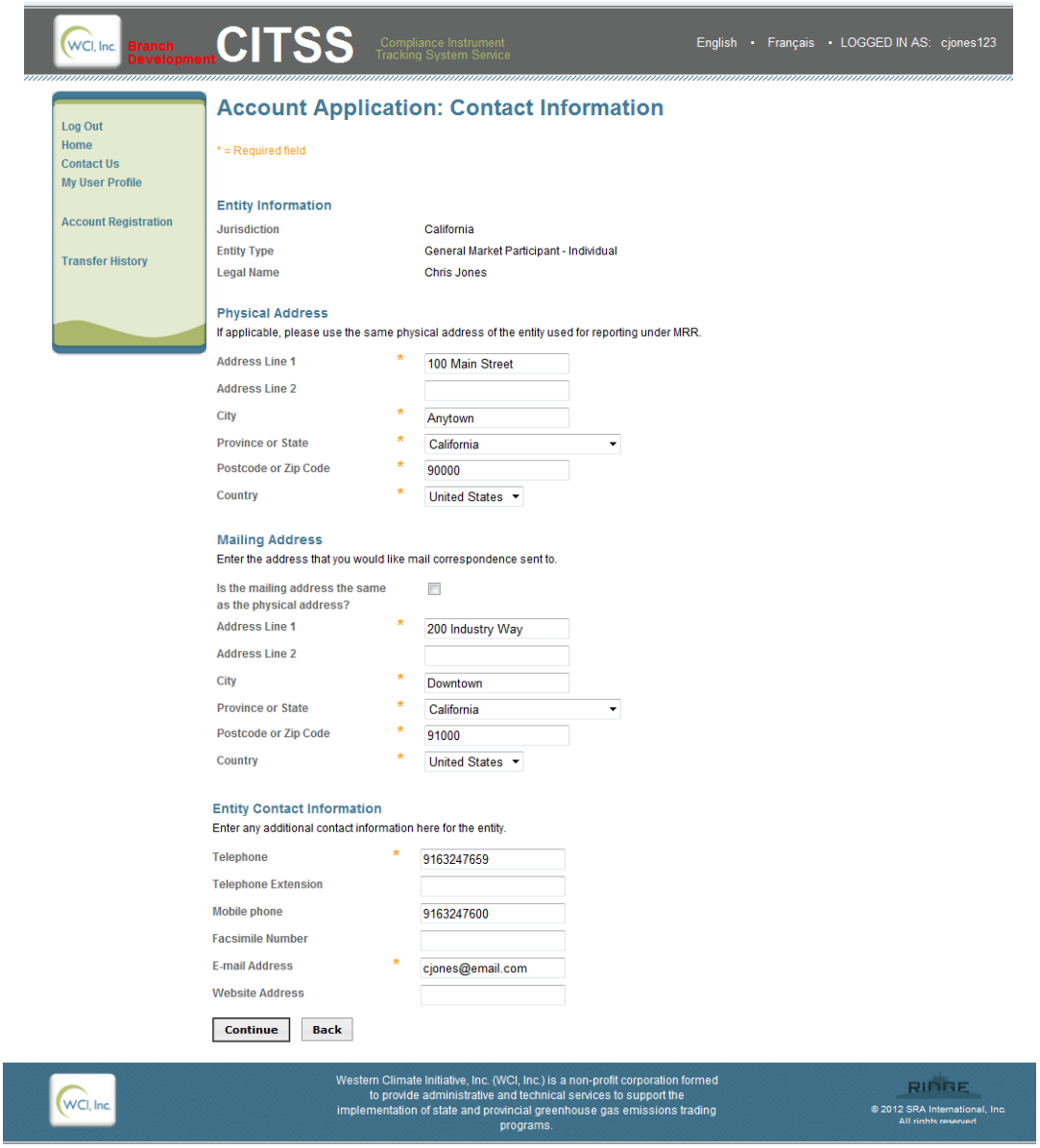
STEP 4 **Enter a phone number** for a person or department that should be contacted. Enter only numbers for phone numbers, with no spaces or dashes (-).

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.** The pre-populated email will be the one associated with the individual during user registration. If the email is changed from the pre-populated one, official notifications for account actions will not be sent to that email address unless it is also associated with an account representative.

STEP 7 **Click on "Continue."**

Figure 17 – Account Application: Contact Information



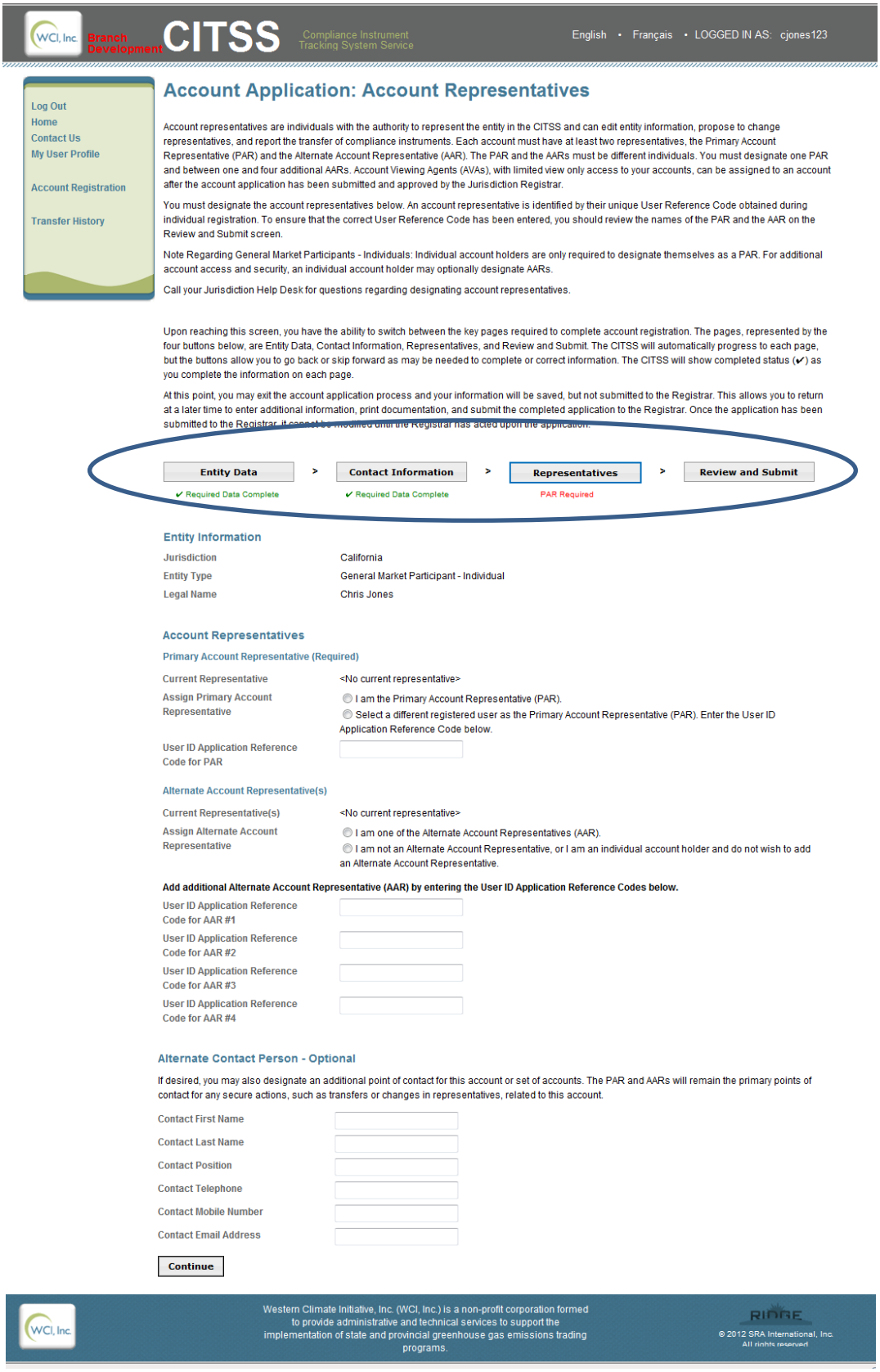
3.3.4 Account Application: Account Representatives

The “Account Application: Account Representatives” page (Figure 18) includes a summary of data entered to this point in the application process and an area for data entry of account representatives.

Once you have reached this page, 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. You can exit the CITSS and return to complete the account application at a later time. Any account applications that have not been completed will show in the home page of the individual who entered the application under the “Account Applications” section.

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 information. Figure 18 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 “PAR Required”. This information is needed to complete the account application.

Figure 18 – Account Application: Account Representatives



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Account Application: Account Representatives

Account representatives are individuals with the authority to represent the entity in the CITSS and can edit entity information, propose to change representatives, and report the transfer of compliance instruments. Each account must have at least two representatives, the Primary Account Representative (PAR) and the Alternate Account Representative (AAR). The PAR and the AARs must be different individuals. You must designate one PAR and between one and four additional AARs. Account Viewing Agents (AVAs), with limited view only access to your accounts, can be assigned to an account after the account application has been submitted and approved by the Jurisdiction Registrar.

You must designate the account representatives below. An account representative is identified by their unique User Reference Code obtained during individual registration. To ensure that the correct User Reference Code has been entered, you should review the names of the PAR and the AAR on the Review and Submit screen.

Note Regarding General Market Participants - Individuals: Individual account holders are only required to designate themselves as a PAR. For additional account access and security, an individual account holder may optionally designate AARs.

Call your Jurisdiction Help Desk for questions regarding designating account representatives.

Upon reaching this screen, you have the ability to switch between the key pages required to complete account registration. The pages, represented by the four buttons below, are Entity Data, Contact Information, Representatives, and Review and Submit. The CITSS will automatically progress to each page, but the buttons allow you to go back or skip forward as may be needed to complete or correct information. The CITSS will show completed status (✔) as you complete the information on each page.

At this point, you may exit the account application process and your information will be saved, but not submitted to the Registrar. This allows you to return at a later time to enter additional information, print documentation, and submit the completed application to the Registrar. Once the application has been submitted to the Registrar, it cannot be modified until the Registrar has acted upon the application.

Entity Data > Contact Information > Representatives > Review and Submit

✔ Required Data Complete | ✔ Required Data Complete | PAR Required

Entity Information

Jurisdiction	California
Entity Type	General Market Participant - Individual
Legal Name	Chris Jones

Account Representatives

Primary Account Representative (Required)

Current Representative	<No current representative>
Assign Primary Account Representative	I am the Primary Account Representative (PAR). Select a different registered user as the Primary Account Representative (PAR). Enter the User ID Application Reference Code below.
User ID Application Reference Code for PAR	

Alternate Account Representative(s)

Current Representative(s)	<No current representative>
Assign Alternate Account Representative	I am one of the Alternate Account Representatives (AAR). I am not an Alternate Account Representative, or I am an individual account holder and do not wish to add an Alternate Account Representative.

Add additional Alternate Account Representative (AAR) by entering the User ID Application Reference Codes below.

User ID Application Reference Code for AAR #1	
User ID Application Reference Code for AAR #2	
User ID Application Reference Code for AAR #3	
User ID Application Reference Code for AAR #4	

Alternate Contact Person - Optional

If desired, you may also designate an additional point of contact for this account or set of accounts. The PAR and AARs will remain the primary points of contact for any secure actions, such as transfers or changes in representatives, related to this account.

Contact First Name	
Contact Last Name	
Contact Position	
Contact Telephone	
Contact Mobile Number	
Contact Email Address	

Continue

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Western Climate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and provincial greenhouse gas emissions trading programs.

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Designating Account Representatives and an Alternate Contact

Figure 19 again displays the Account Representatives page where the individual entering data will designate the PAR and AARs. The PAR and AARs 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. Individual general market participants are allowed to act as both the PAR and the AAR on their account. The individual may designate up to four (4) AARs.

All designated account representatives must be approved CITSS Users. To enter the information for representatives, the individual will need the User Reference Codes for each representative.

At this point in the account application, 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 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.

STEP 1 **Designate the PAR for the account(s).** Select yourself as the PAR by selecting the appropriate button.

STEP 2 **Individuals account holders that do not want to designate additional AARs select the second button but do not enter any User Reference Codes. If desired, designate one or more AARs for the account(s) and enter the 12-digit User Reference Codes in the appropriate field.**

STEP 3 **Enter the name, position, phone numbers, and email address of the additional account contact in the appropriate fields.**

STEP 4 **Click on "Continue" to proceed.**

If an error code is displayed stating that one of the User Reference Codes entered could not be verified, it may be that the individual's user registration has not been approved yet or that a typographical error was entered in the User Reference Code field. If you are having any difficulty completing the representatives entry, please contact the WCI, Inc. CITSS Help Desk by email at: help@wci-citss.org or by phone at: 1-866-682-7561.

NOTE: An individual can also add or change representatives after the account application has been approved. An entity can designate up to five (5) Account Viewing Agents (AVA) after an account application has been approved.

Figure 19 – Account Application: Account Representatives (lower portion)

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Transfer History

Account Application: Account Representatives

Account representatives are individuals with the authority to represent the entity in the CITSS and can edit entity information, propose to change representatives, and report the transfer of compliance instruments. Each account must have at least two representatives, the Primary Account Representative (PAR) and the Alternate Account Representative (AAR). The PAR and the AARs must be different individuals. You must designate one PAR and between one and four additional AARs. Account Viewing Agents (AVAs), with limited view only access to your accounts, can be assigned to an account after the account application has been submitted and approved by the Jurisdiction Registrar.

You must designate the account representatives below. An account representative is identified by their unique User Reference Code obtained during individual registration. To ensure that the correct User Reference Code has been entered, you should review the names of the PAR and the AAR on the Review and Submit screen.

Note Regarding General Market Participants - Individuals: Individual account holders are only required to designate themselves as a PAR. For additional account access and security, an individual account holder may optionally designate AARs.

Call your Jurisdiction Help Desk for questions regarding designating account representatives.

Upon reaching this screen, you have the ability to switch between the key pages required to complete account registration. The pages, represented by the four buttons below, are Entity Data, Contact Information, Representatives, and Review and Submit. The CITSS will automatically progress to each page, but the buttons allow you to go back or skip forward as may be needed to complete or correct information. The CITSS will show completed status (✔) as you complete the information on each page.

At this point, you may exit the account application process and your information will be saved, but not submitted to the Registrar. This allows you to return at a later time to enter additional information, print documentation, and submit the completed application to the Registrar. Once the application has been submitted to the Registrar, it cannot be modified until the Registrar has acted upon the application.

Entity Data	>	Contact Information	>	Representatives	>	Review and Submit
✔ Required Data Complete		✔ Required Data Complete		PAR Required		

Entity Information

Jurisdiction	California
Entity Type	General Market Participant - Individual
Legal Name	Chris Jones

Account Representatives

Primary Account Representative (Required)

Current Representative	<No current representative>
Assign Primary Account Representative	(●) I am the Primary Account Representative (PAR). ( ) Select a different registered user as the Primary Account Representative (PAR). Enter the User ID Application Reference Code below.
User ID Application Reference Code for PAR	

Alternate Account Representative(s)

Current Representative(s)	<No current representative>
Assign Alternate Account Representative	( ) I am one of the Alternate Account Representatives (AAR). (●) I am not an Alternate Account Representative, or I am an individual account holder and do not wish to add an Alternate Account Representative.

Add additional Alternate Account Representative (AAR) by entering the User ID Application Reference Codes below.

User ID Application Reference Code for AAR #1	
User ID Application Reference Code for AAR #2	
User ID Application Reference Code for AAR #3	
User ID Application Reference Code for AAR #4	

Alternate Contact Person - Optional

If desired, you may also designate an additional point of contact for this account or set of accounts. The PAR and AARs will remain the primary points of contact for any secure actions, such as transfers or changes in representatives, related to this account.

Contact First Name	Francis
Contact Last Name	Smith
Contact Position	Adminstrative Assistant
Contact Telephone	9161112222
Contact Mobile Number	
Contact Email Address	

Continue

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3.3.5 Account Application: Review and Submit

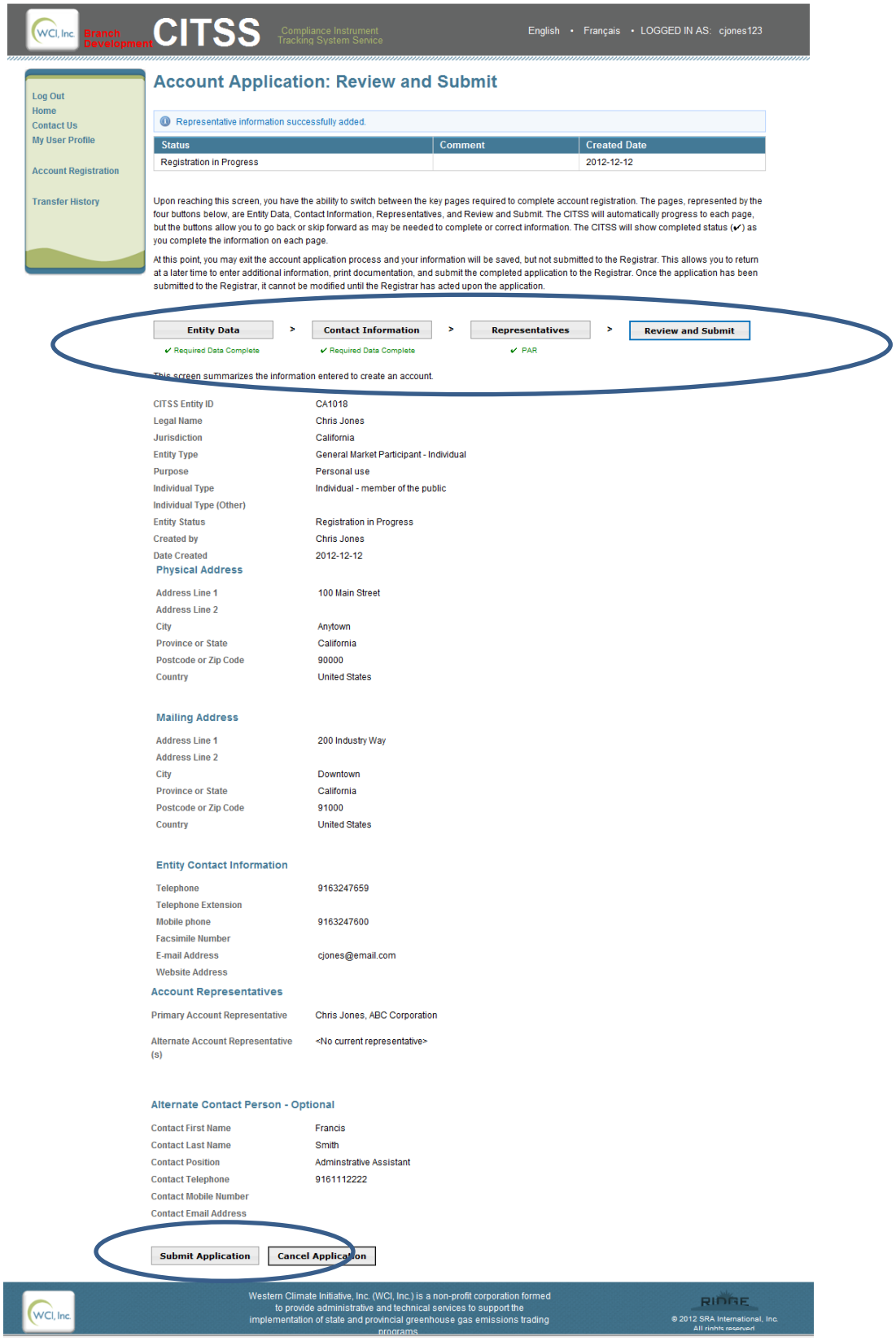
The "Account Application: Review and Submit" page (Figure 20) displays the same four (4) navigation buttons as the prior Account Representatives page, as well as the status of data entry on each page. After the PAR has been added, the status will indicate that the representative information was successfully added and that the account registration is in progress, and it will display 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's account application. Review the information entered to ensure that it is correct.

STEP 1 **Review the data. If there is a need to make any edits, select the appropriate navigation buttons** (Entity Data, Contact Information, or Representatives) and correct the information. **NOTE:** If you navigate to another page and make 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 2 **When the data entry is 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 3 **Click the "Submit Application" button located at the bottom of the page.**

Figure 20 – Account Application: Review and Submit



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My User Profile

Account Registration

Transfer History

Account Application: Review and Submit

Representative information successfully added.

Status	Comment	Created Date
Registration in Progress		2012-12-12

Upon reaching this screen, you have the ability to switch between the key pages required to complete account registration. The pages, represented by the four buttons below, are Entity Data, Contact Information, Representatives, and Review and Submit. The CITSS will automatically progress to each page, but the buttons allow you to go back or skip forward as may be needed to complete or correct information. The CITSS will show completed status (✔) as you complete the information on each page.

At this point, you may exit the account application process and your information will be saved, but not submitted to the Registrar. This allows you to return at a later time to enter additional information, print documentation, and submit the completed application to the Registrar. Once the application has been submitted to the Registrar, it cannot be modified until the Registrar has acted upon the application.

Entity Data > Contact Information > Representatives > Review and Submit

✔ Required Data Complete ✔ Required Data Complete ✔ PAR

This screen summarizes the information entered to create an account.

CITSS Entity ID	CA1018
Legal Name	Chris Jones
Jurisdiction	California
Entity Type	General Market Participant - Individual
Purpose	Personal use
Individual Type	Individual - member of the public
Individual Type (Other)	
Entity Status	Registration in Progress
Created by	Chris Jones
Date Created	2012-12-12

Physical Address

Address Line 1	100 Main Street
Address Line 2	
City	Anytown
Province or State	California
Postcode or Zip Code	90000
Country	United States

Mailing Address

Address Line 1	200 Industry Way
Address Line 2	
City	Downtown
Province or State	California
Postcode or Zip Code	91000
Country	United States

Entity Contact Information

Telephone	9163247659
Telephone Extension	
Mobile phone	9163247600
Facsimile Number	
E-mail Address	cjones@email.com
Website Address	

Account Representatives

Primary Account Representative	Chris Jones, ABC Corporation
Alternate Account Representative (s)	<No current representative>

Alternate Contact Person - Optional

Contact First Name	Francis
Contact Last Name	Smith
Contact Position	Adminstrative Assistant
Contact Telephone	9161112222
Contact Mobile Number	
Contact Email Address	

Submit Application Cancel Application

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3.3.6 Account Application: Terms and Conditions

The "Account Application: Terms and Conditions" page (Figure 21) contains the Terms and Conditions that must be accepted prior to submitting the electronic portion of the account application.

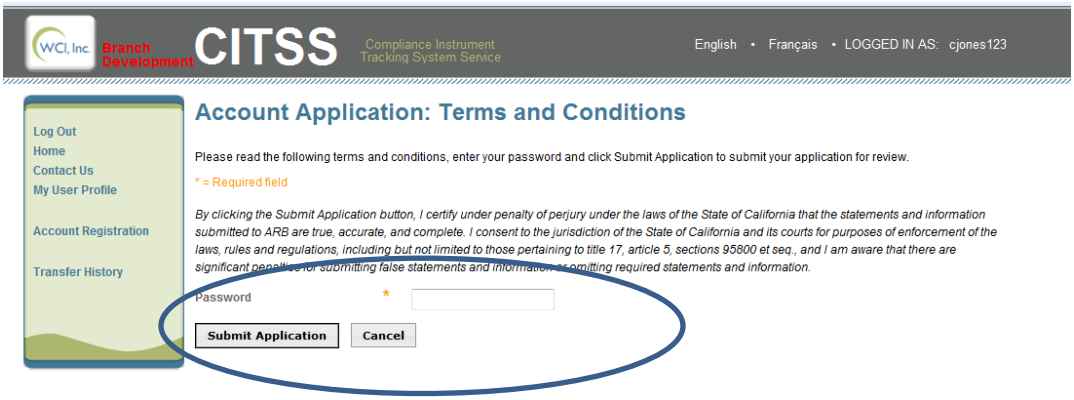
STEP 1 **Read the Terms and Conditions statement on this page.**

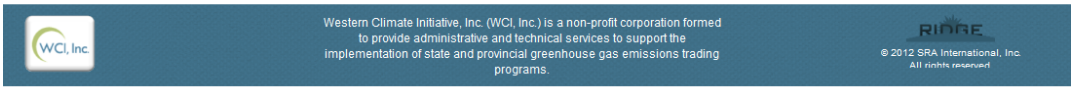
STEP 2 **To accept the Terms and Conditions, re-enter your password in the Password field**. This entry is required, and you will not be able to submit the application without re-entering your password.

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.

Figure 21 – Account Application: Terms and Conditions





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.*

3.3.7 Account Application Submitted

The “Account Application Submitted” page (Figure 22) will be displayed after the Terms and Conditions have been accepted and indicates that the electronic data entry portion of your account application has been submitted to the California Registrar. The “Account Application Submitted” page includes the 6-character Entity ID (e.g., CA-1001) specific to your submitted account application (circled on Figure 22).

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 address is provided on the Account Application Checklist.

Figure 22 highlights the navigation buttons that access the forms - the (1) Account Application Checklist, (2) Account Application with Attestations Form, and (3) Corporate Associations and Structure Form. The Account Application Checklist provides a summary of the information that must be completed and the address of the California Registrar. The Account Application with Attestations Form and the Corporate Associations and Structure Form must be completed, signed, and mailed to the California Registrar along with any additional documentation used to provide the information described on the Corporate Associations and Structure Form. Each account applicant, regardless of entity type, must provide the information contained in, the Account Application with Attestations Form, and the Corporate Associations and Structure Form to the California Registrar.

REMINDER: The individual who completed the online portion of the account application will be able to return to the CITSS to print these forms if you exit the CITSS at this time.

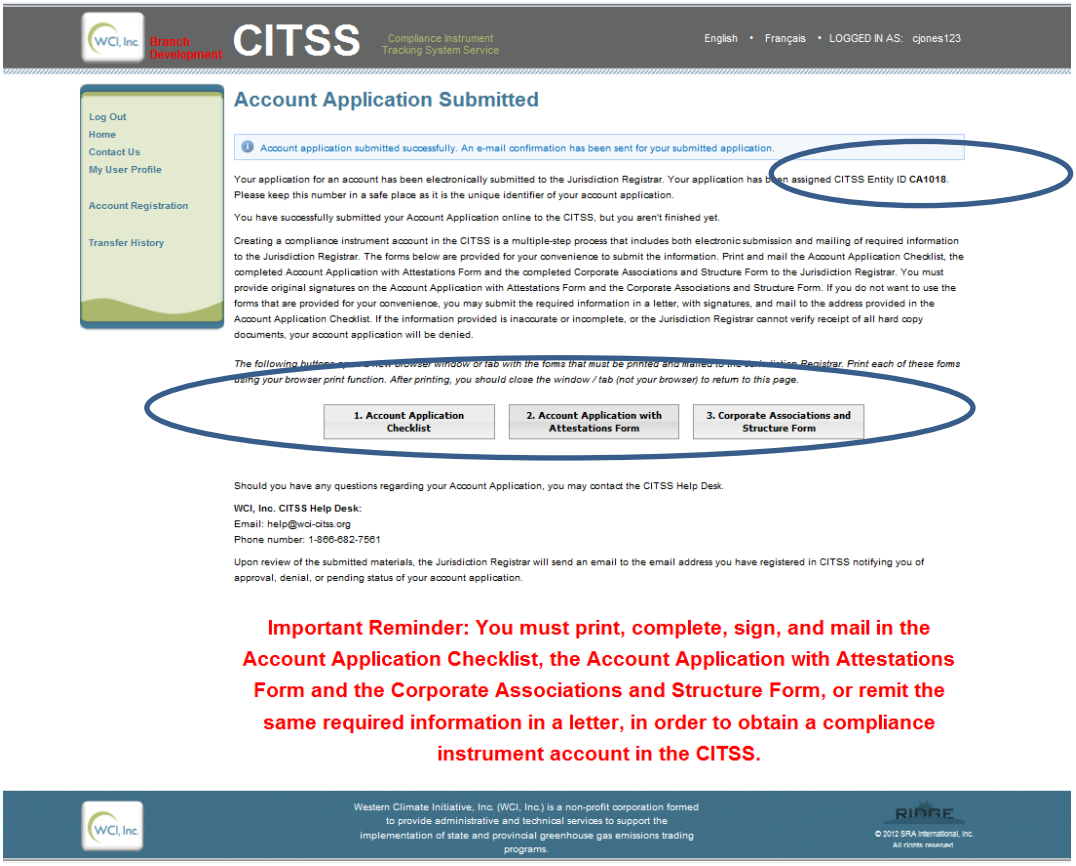
Guidance to help you complete the Corporate Associations and Structure Form and blank copies of these forms are available on the ARB website. DO NOT submit forms using the blank forms prior to submitting the online portion of the CITSS account application.

STEP 1 **Click on each Form Button**. Each form opens in a new browser tab.

STEP 2 **Print each Form and then 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.

STEP 3 **Continue until all forms have been printed**.

Figure 22 – Account Application Submitted



Instructions to assist you as you complete the required forms are provided in Section 3.5 of this volume of the User Guide. Please move forward to Section 3.5 now.

3.4 General Market Participant - Organization Account Application

Section 3.4 is specific to the data entry required to complete an account application for organizations that will act as general market participants.

General Market Participants:

- Must complete user registration in the CITSS (Account Representatives and Account Viewing Agents);
- Must complete an account application for a compliance instrument account, meeting all requirements and receiving approval from the California Registrar;
- Must report information related to directors and officers, individuals with voting rights and corporate associations through the account application process;
- Must report any changes in information such as ownership, representatives, and corporate associations in a timely manner, as specified in the Regulation;
- May hold compliance instruments in a holding account; and
- May transfer compliance instruments according to all established policies and procedures.

NOTES:

If the entity applying for accounts will be an **exchange clearing service provider,** the entity must apply as a general market participant organization and select **Clearing Service Provider** on the second data entry screen (see Figure 24) to be eligible to receive an exchange clearing account. **An exchange clearing service provider** is an entity that will only take temporary possession of compliance instruments for the purpose of clearing transactions between two entities registered with the Cap-and-Trade Program. Per the Regulation, a qualified entity must be a derivatives clearing organization as defined in the Commodities Exchange Act (7 U.S.C. § 1a(9)) that is registered with the U.S. Commodity Futures Trading Commission pursuant to the Commodities Exchange Act (7 U.S.C. § 7a-1(a)). Exchange clearing service providers receive *Exchange Clearing Service Accounts* only and do not receive *General Accounts.*

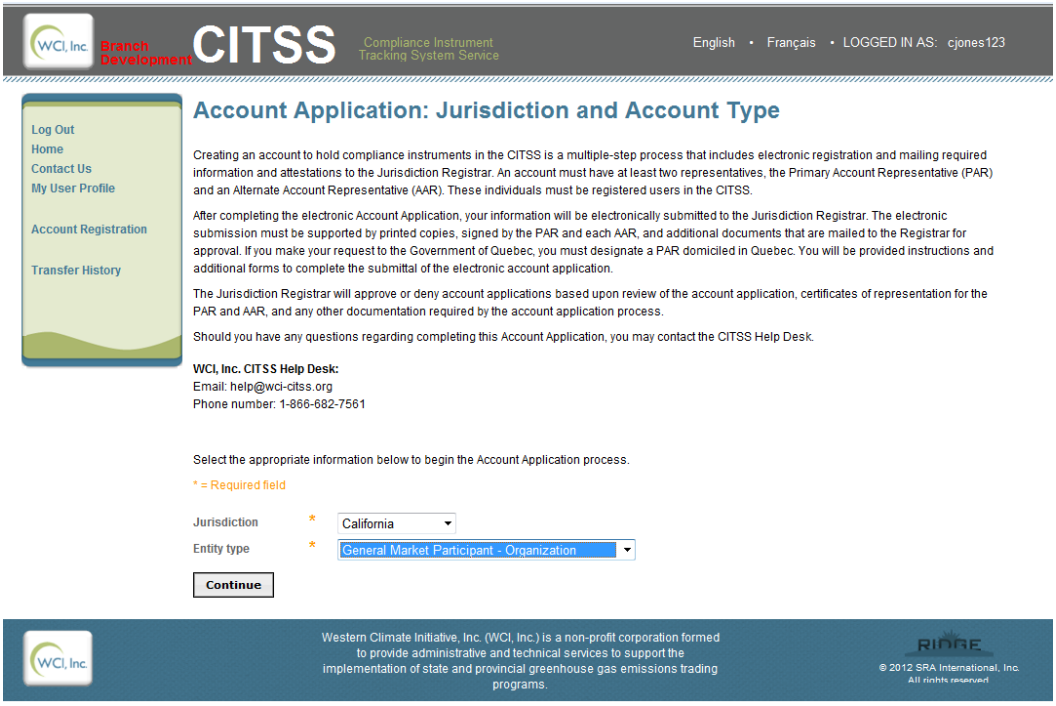
3.4.1 Account Application: Jurisdiction and Account Type

STEP 1 **Select California as the Jurisdiction from the drop-down menu.** General Market Participants are applying to participate in California's program and therefore select California.

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

STEP 3 **Click on "Continue."**

Figure 23 – Account Application: Jurisdiction and Account Type



3.4.2 Account Application: Additional Information

On the "Account Application: Additional Information" page that is specific to General Market Participants that are Organizations (Figure 24), the user must provide a legal name and identify the type of organization.

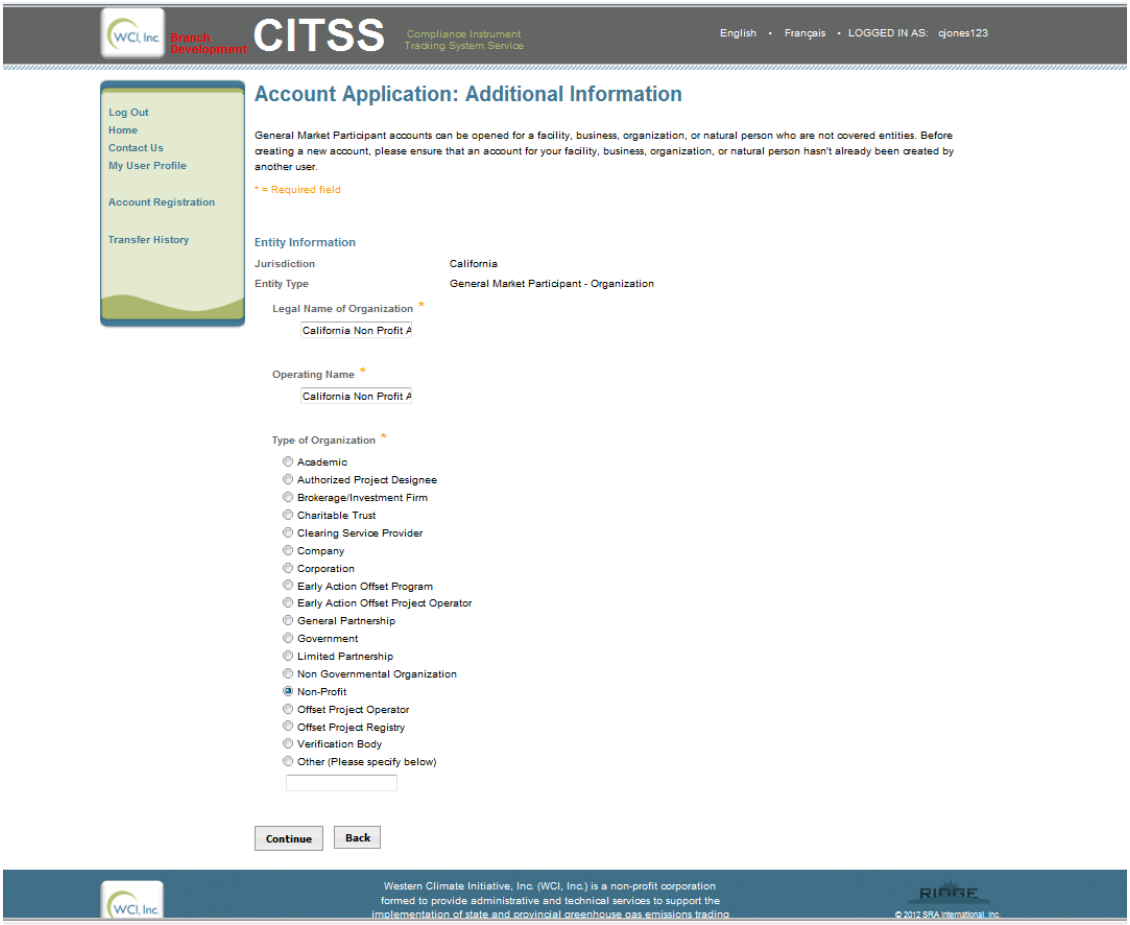
STEP 1 **Enter the Legal Name of the organization as listed on official documents such as Secretary of State business documents.**

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. If the entity applying for accounts will be an exchange clearing service provider, the entity must select Clearing Service Provider to be eligible to receive an exchange clearing account.

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

STEP 4 **Click on "Continue."**

Figure 24 – Account Application: Additional Information



3.4.3 Account Application: Identifiers

The "Account Application: Identifiers" page for a General Market Participant - Organization (Figure 25) requires that information used to identify the organization be entered. As with User ID registration, all required fields are identified with an asterisk (*). In the figure, sample information and IDs were entered into the fields.

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 or is a public agency, enter a zero in this field.

STEP 2 **Enter the incorporation state, country, and date in the appropriate fields, if applicable** (if the entity is incorporated). These are required fields; if the entity is not incorporated or is a public agency then enter California as the State, United States as the country and the current date in the date field.

STEP 3 **Enter the Federal Tax Employer Identification Number.** All entities must enter this number, which is used by the Internal Revenue Service.

STEP 4 **Enter the ORIS Identifier if assigned.** The U.S. Energy Information Agency (EIA) of the U.S. Department of Energy (DOE) assigns an ORIS (Office of Regulatory Information Systems) identifier to electricity generating units (i.e., primarily facilities with a Standard Industrial Classification code of 4911). Information about ORIS ID numbers is available at: www.eia.doe.gov.

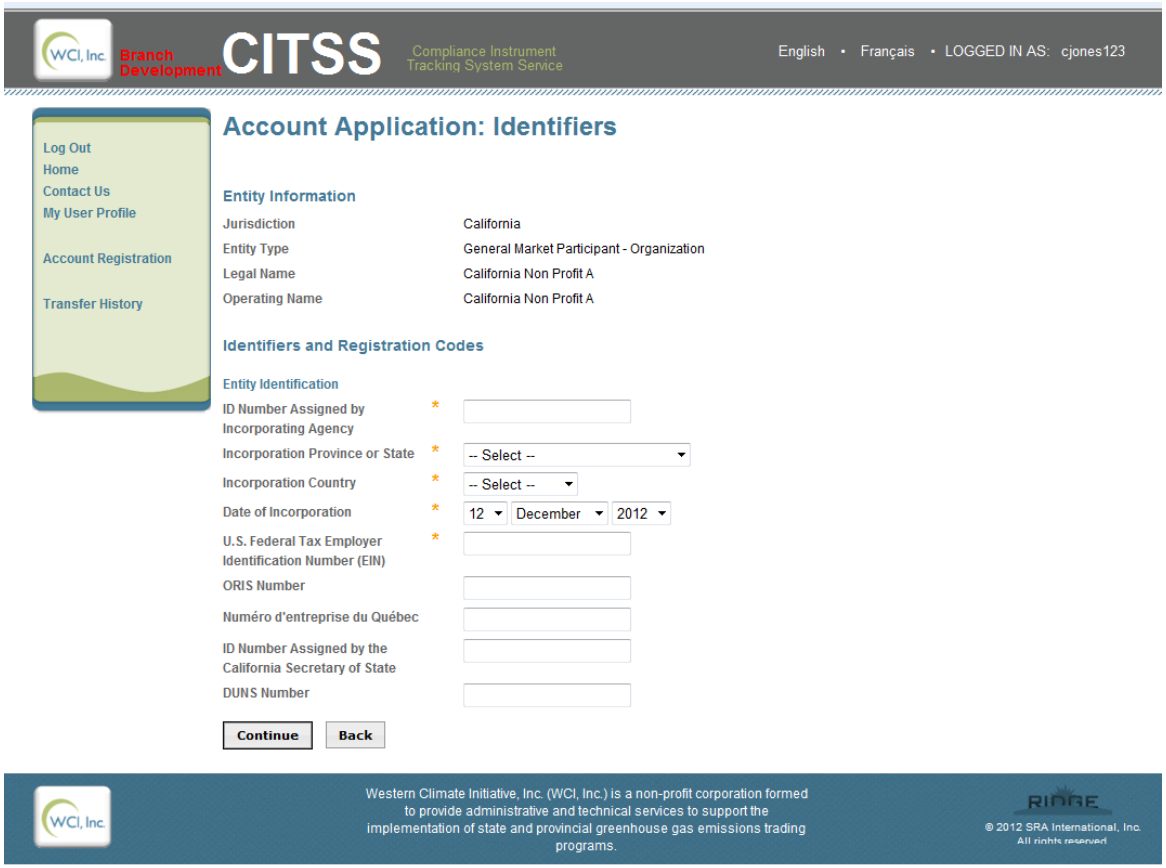
STEP 5 **Enter the ID Number assigned to the entity by the Secretary of State (SOS).** If a business entity is a California corporation; nonprofit; association; limited liability company; or a general, limited, or limited liability partnership the entity is required to register with the California SOS business office. Although not required by the CITSS, providing this number will assist the California Registrar and will support a rapid review of your application.

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 the "Continue" button**.

Figure 25 – Account Application: Identifiers



3.4.4 Account Application: Contact Information

The "Account Application: Contact Information" page (Figure 26) includes address and contact information for the entity. Sample information has been entered in the figure.

STEP 1 **Enter the physical address for the entity**.

STEP 2 **Enter 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 fields.

STEP 3 **Enter the entity contact information** for general communication and to reach account representatives regarding questions on the CITSS accounts.

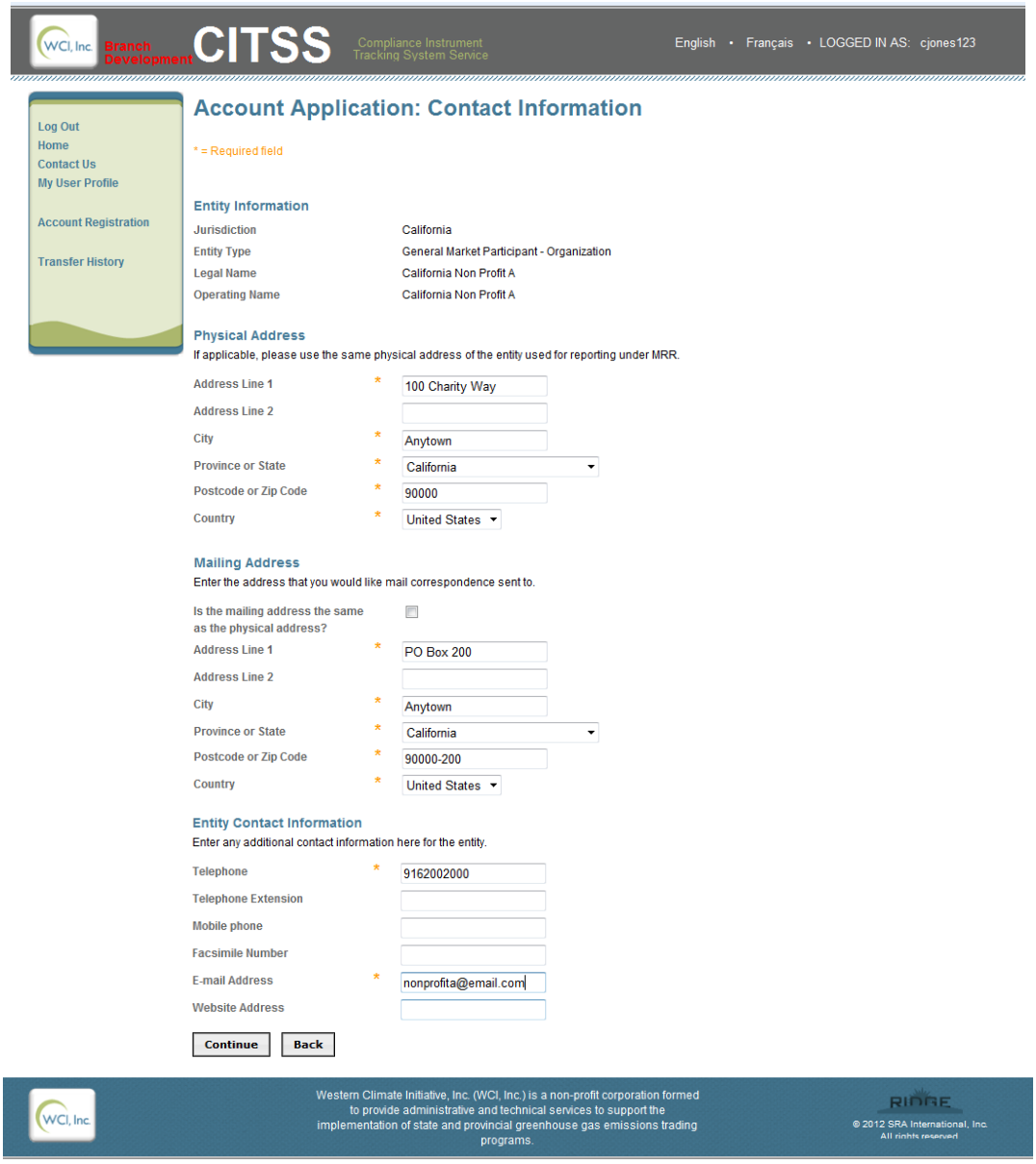
STEP 4 **Enter a phone number** for a person or department that should be contacted. Enter only numbers for phone numbers, with no spaces or dashes (-).

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."**

Figure 26 – Account Application: Contact Information



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Account Registration

Transfer History

Account Application: Contact Information

* = Required field

Entity Information

Jurisdiction	California
Entity Type	General Market Participant - Organization
Legal Name	California Non Profit A
Operating Name	California Non Profit A

Physical Address

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

Address Line 1	*	100 Charity Way
Address Line 2		
City	*	Anytown
Province or State	*	California
Postcode or Zip Code	*	90000
Country	*	United States

Mailing Address

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

Is the mailing address the same as the physical address?		☐
Address Line 1	*	PO Box 200
Address Line 2		
City	*	Anytown
Province or State	*	California
Postcode or Zip Code	*	90000-200
Country	*	United States

Entity Contact Information

Enter any additional contact information here for the entity.

Telephone	*	9162002000
Telephone Extension		
Mobile phone		
Facsimile Number		
E-mail Address	*	nonprofita@email.com
Website Address		

Continue Back

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3.4.5 Account Application: Account Representatives

The “Account Application: Account Representatives” page (Figure 27) includes a summary of data entered to this point in the application process and an area for data entry of account representatives.

Once you have reached this page, 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. You can exit the CITSS and return to complete the account application at a later time. Any account applications that have not been completed will show in the home page of the individual who entered the application under the “Account Applications” section.

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 information. Figure 28 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 “PAR Required” and “AAR Required.” This information is needed to complete the account application.

Figure 27 – Account Application: Account Representatives

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Account Application: Account Representatives

Account representatives are individuals with the authority to represent the entity in the CITSS and can edit entity information, propose to change representatives, and report the transfer of compliance instruments. Each account must have at least two representatives, the Primary Account Representative (PAR) and the Alternate Account Representative (AAR). The PAR and the AARs must be different individuals. You must designate one PAR and between one and four additional AARs. Account Viewing Agents (AVAs), with limited view only access to your accounts, can be assigned to an account after the account application has been submitted and approved by the Jurisdiction Registrar.

You must designate the account representatives below. An account representative is identified by their unique User Reference Code obtained during individual registration. To ensure that the correct User Reference Code has been entered, you should review the names of the PAR and the AAR on the Review and Submit screen.

Note Regarding General Market Participants - Individuals: Individual account holders are only required to designate themselves as a PAR. For additional account access and security, an individual account holder may optionally designate AARs.

Call your Jurisdiction Help Desk for questions regarding designating account representatives.

* = Required field

Upon reaching this screen, you have the ability to switch between the key pages required to complete account registration. The pages, represented by the four buttons below, are Entity Data, Contact Information, Representatives, and Review and Submit. The CITSS will automatically progress to each page, but the buttons allow you to go back or skip forward as may be needed to complete or correct information. The CITSS will show completed status (✔) as you complete the information on each page.

At this point, you may exit the account application process and your information will be saved, but not submitted to the Registrar. This allows you to return at a later time to enter additional information, print documentation, and submit the completed application to the Registrar. Once the application has been submitted to the Registrar, it cannot be modified until the Registrar has acted upon the application.

Entity Data	>	Contact Information	>	Representatives	>	Review and Submit
✔ Required Data Complete		✔ Required Data Complete		PAR Required AAR Required		

Entity Information

Jurisdiction	California
Entity Type	General Market Participant - Organization
Legal Name	California Non Profit A
Operating Name	California Non Profit A

Account Representatives

Primary Account Representative (Required)

Current Representative	<No current representative>
Assign Primary Account Representative	○ I am the Primary Account Representative (PAR). ○ Select a different registered user as the Primary Account Representative (PAR). Enter the User ID Application Reference Code below.
User ID Application Reference Code for PAR	

Alternate Account Representative(s)

Current Representative(s)	<No current representative>
Assign Alternate Account Representative	○ I am one of the Alternate Account Representatives (AAR). ○ I am not an Alternate Account Representative, or I am an individual account holder and do not wish to add an Alternate Account Representative.

Add additional Alternate Account Representative (AAR) by entering the User ID Application Reference Codes below.

User ID Application Reference Code for AAR #1 *	
User ID Application Reference Code for AAR #2	
User ID Application Reference Code for AAR #3	
User ID Application Reference Code for AAR #4	

Alternate Contact Person - Optional

If desired, you may also designate an additional point of contact for this account or set of accounts. The PAR and AARs will remain the primary points of contact for any secure actions, such as transfers or changes in representatives, related to this account.

Contact First Name	
Contact Last Name	
Contact Position	
Contact Telephone	
Contact Mobile Number	
Contact Email Address	

Continue

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Designating Account Representatives and an Alternate Contact

Figure 28 displays the lower section of the Account Representatives page where the individual entering data will designate the PAR and AARs. The PAR and AARs 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 during account application. An entity may designate up to four (4) AARs.

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.

At this point in the account application, 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 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.

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. **If you have identified another CITSS User as the PAR, enter the 12-digit User Reference Code in the appropriate field.**

STEP 2 **Designate the AARs for the account(s) and enter the 12-digit User Reference Codes in the appropriate field.** If you are not designated as the PAR you can select yourself as one of the AARs by selecting the first AAR button. If designating a different registered CITSS user(s) as the AAR(s), select the second button. Individual account holders that do not want to designate additional AARs select the second button but do not enter any User Reference Codes.

STEP 3 **Enter the name, position, phone numbers, and email address of the additional account contact in the appropriate fields.**

STEP 4 **Click on "Continue" to proceed.**

If an error code is displayed stating that one of the User Reference Codes entered could not be verified, it may be that the individual's user registration has not been approved yet or that a typographical error was entered in the User Reference Code field. If you are having any difficulty completing the representatives entry, please contact the WCI, Inc. CITSS Help Desk by email at: help@wci-citss.org or by phone at: 1-866-682-7561.

NOTE: An entity can also add or change representatives and can designate up to five (5) Account Viewing Agents after the account application has been approved.

Figure 28 – Account Application: Account Representatives

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Account Registration

Transfer History

Account Application: Account Representatives

Account representatives are individuals with the authority to represent the entity in the CITSS and can edit entity information, propose to change representatives, and report the transfer of compliance instruments. Each account must have at least two representatives, the Primary Account Representative (PAR) and the Alternate Account Representative (AAR). The PAR and the AARs must be different individuals. You must designate one PAR and between one and four additional AARs. Account Viewing Agents (AVAs), with limited view only access to your accounts, can be assigned to an account after the account application has been submitted and approved by the Jurisdiction Registrar.

You must designate the account representatives below. An account representative is identified by their unique User Reference Code obtained during individual registration. To ensure that the correct User Reference Code has been entered, you should review the names of the PAR and the AAR on the Review and Submit screen.

Note Regarding General Market Participants - Individuals: Individual account holders are only required to designate themselves as a PAR. For additional account access and security, an individual account holder may optionally designate AARs.

Call your Jurisdiction Help Desk for questions regarding designating account representatives.

* = Required field

Upon reaching this screen, you have the ability to switch between the key pages required to complete account registration. The pages, represented by the four buttons below, are Entity Data, Contact Information, Representatives, and Review and Submit. The CITSS will automatically progress to each page, but the buttons allow you to go back or skip forward as may be needed to complete or correct information. The CITSS will show completed status (✔) as you complete the information on each page.

At this point, you may exit the account application process and your information will be saved, but not submitted to the Registrar. This allows you to return at a later time to enter additional information, print documentation, and submit the completed application to the Registrar. Once the application has been submitted to the Registrar, it cannot be modified until the Registrar has acted upon the application.

Entity Data	>	Contact Information	>	Representatives	>	Review and Submit
✔ Required Data Complete		✔ Required Data Complete		PAR Required AAR Required		

Entity Information

Jurisdiction	California
Entity Type	General Market Participant - Organization
Legal Name	California Non Profit A
Operating Name	California Non Profit A

Account Representatives

Primary Account Representative (Required)

Current Representative	<No current representative>
Assign Primary Account Representative	◉ I am the Primary Account Representative (PAR). ○ Select a different registered user as the Primary Account Representative (PAR). Enter the User ID Application Reference Code below.
User ID Application Reference Code for PAR	

Alternate Account Representative(s)

Current Representative(s)	<No current representative>
Assign Alternate Account Representative	○ I am one of the Alternate Account Representatives (AAR). ◉ I am not an Alternate Account Representative, or I am an individual account holder and do not wish to add an Alternate Account Representative.

Add additional Alternate Account Representative (AAR) by entering the User ID Application Reference Codes below.

User ID Application Reference Code for AAR #1 *	JKDF7RV6JSHR
User ID Application Reference Code for AAR #2	
User ID Application Reference Code for AAR #3	
User ID Application Reference Code for AAR #4	

Alternate Contact Person - Optional

If desired, you may also designate an additional point of contact for this account or set of accounts. The PAR and AARs will remain the primary points of contact for any secure actions, such as transfers or changes in representatives, related to this account.

Contact First Name	Lee
Contact Last Name	Smith
Contact Position	Administrative Assistant
Contact Telephone	9163003000
Contact Mobile Number	
Contact Email Address	

Continue

WCI, Inc.

Western Climate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and provincial greenhouse gas emissions trading programs.

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3.4.6 Account Application: Review and Submit

The "Account Application: Review and Submit" page (Figure 29) displays the same four (4) navigation buttons as the prior Account Representatives page, as well as the status of data entry on each page. After the PAR and AAR have been added, the status will indicate that the representative information was successfully added and that the account registration is in progress, and it will display 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.

STEP 1 **Review the data. If there is a need to make any edits, select the appropriate navigation buttons** (Entity Data, Contact Information, or Representatives) and correct the information. **NOTE:** If you navigate to another page and make 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 2 **When the data entry is 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 3 **Click the "Submit Application" button located at the bottom of the page.**

Figure 29 – Account Application: Review and Submit

WCI, Inc. Branch Development **CITSS** Compliance Instrument Tracking System Service

English • Français • LOGGED IN AS: cjones123

Log Out
Home
Contact Us
My User Profile

Account Registration

Transfer History

Account Application: Review and Submit

Representative information successfully added.

Status	Comment	Created Date
Registration in Progress		2012-12-12

Upon reaching this screen, you have the ability to switch between the key pages required to complete account registration. The pages, represented by the four buttons below, are Entity Data, Contact Information, Representatives, and Review and Submit. The CITSS will automatically progress to each page, but the buttons allow you to go back or skip forward as may be needed to complete or correct information. The CITSS will show completed status (✔) as you complete the information on each page.

At this point, you may exit the account application process and your information will be saved, but not submitted to the Registrar. This allows you to return at a later time to enter additional information, print documentation, and submit the completed application to the Registrar. Once the application has been submitted to the Registrar, it cannot be modified until the Registrar has acted upon the application.

Entity Data > Contact Information > Representatives > Review and Submit

✔ Required Data Complete ✔ Required Data Complete ✔ PAR ✔ AAR

This screen summarizes the information entered to create an account.

CITSS Entity ID	CA1019
Legal Name	California Non Profit A
Operating Name	California Non Profit A
Jurisdiction	California
Entity Type	General Market Participant - Organization
Organization Type	Non-Profit
Organization Type (Other)	
Entity Status	Registration in Progress
Created by	Chris Jones
Date Created	2012-12-12

Entity Identification

U.S. Federal Tax Employer Identification Number (EIN)	123456789
DUNS Number	123456789
ID Number Assigned by Incorporating Agency	123456
Incorporation Province or State	California
Incorporation Country	United States
Date of Incorporation	1800-01-01
ID Number Assigned by the California Secretary of State	123456

Physical Address

Address Line 1	100 Charity Way
Address Line 2	
City	Anytown
Province or State	California
Postcode or Zip Code	90000
Country	United States

Mailing Address

Address Line 1	PO Box 200
Address Line 2	
City	Anytown
Province or State	California
Postcode or Zip Code	90000-200
Country	United States

Entity Contact Information

Telephone	9162002000
Telephone Extension	
Mobile phone	
Facsimile Number	
E-mail Address	nonprofita@email.com
Website Address	

Account Representatives

Primary Account Representative	Chris Jones, ABC Corporation
Alternate Account Representative (s)	Jerry Jenkins, Union Pacific

Alternate Contact Person - Optional

Contact First Name	Lee
Contact Last Name	Smith
Contact Position	Administrative Assistant
Contact Telephone	
Contact Mobile Number	9163003000
Contact Email Address	

Submit Application | Cancel Application

WCI, Inc.

Western Climate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and provincial greenhouse gas emissions trading programs.

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3.4.7 Account Application: Terms and Conditions

The "Account Application: Terms and Conditions" page (Figure 30) contains the Terms and Conditions that must be accepted prior to submitting the electronic portion of the account application.

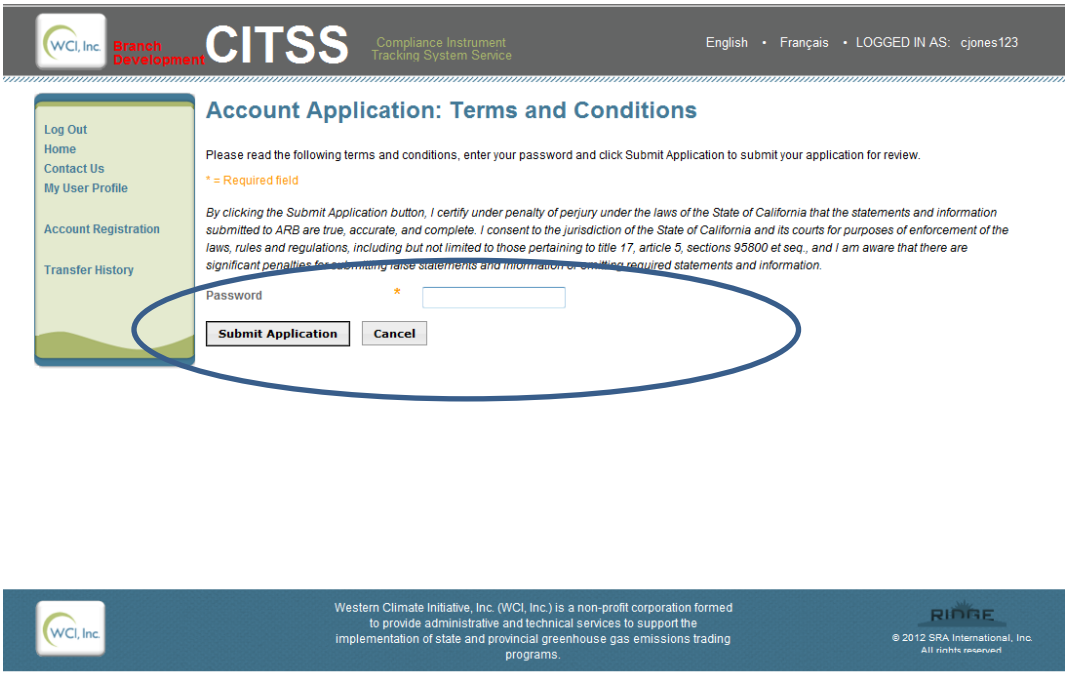
STEP 1 **Read the Terms and Conditions statement on this page.**

STEP 2 **To accept the Terms and Conditions, re-enter your password in the Password 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.

Figure 30 – Account Application: Terms and Conditions



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

3.4.8 Account Application Submitted

The "Account Application Submitted" page (Figure 31) will be displayed after the Terms and Conditions have been accepted and indicates that the electronic data entry portion of your account application has been submitted to the California Registrar. The "Account Application Submitted" page includes the 6-character Entity Code (e.g., CA-1019) specific to your submitted account application (circled on Figure 31).

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 address is provided on the Account Application Checklist.

Figure 31 highlights the navigation buttons that access the forms - the (1) Account Application Checklist, (2) Account Application with Attestations Form, and (3) Corporate Associations and Structure Form. The Account Application Checklist provides a summary of the information that must be completed and the address of the California Registrar. The Account Application with Attestations Form and the Corporate Associations and Structure Form must be completed, signed, and mailed to the California Registrar along with any additional documentation used to provide the information described on the Corporate Associations and Structure Form. Each account applicant, regardless of entity type, must provide the information contained in, the Account Application with Attestations Form, and the Corporate Associations and Structure Form to the California Registrar.

REMINDER: The individual who completed the online portion of the account application will be able to return to the CITSS to print these forms if you exit the CITSS at this time.

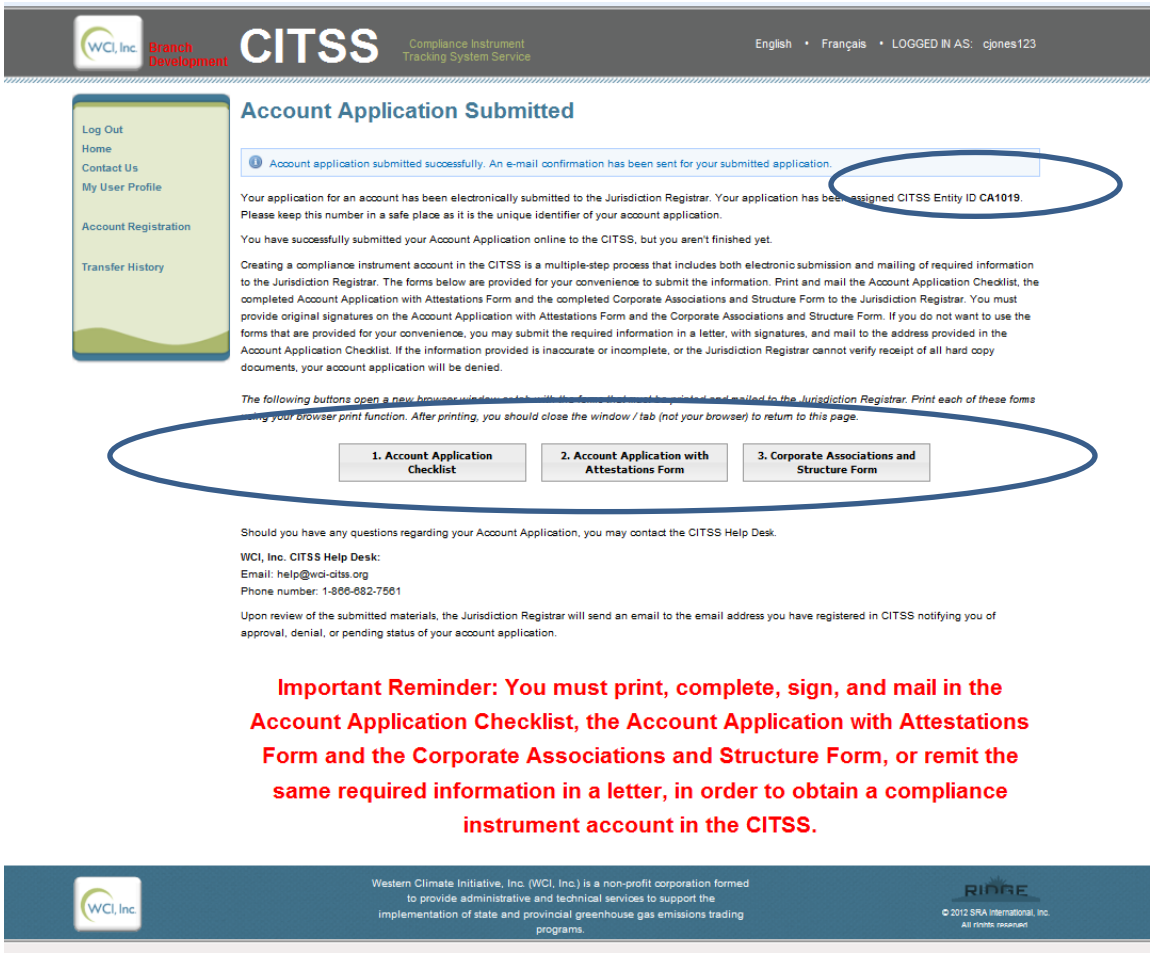
Guidance to help you complete the Corporate Associations and Structure Form and blank copies of these forms are available on the ARB website. DO NOT submit forms using the blank forms prior to submitting the online portion of the CITSS account application.

STEP 1 **Click on each Form Button**. Each form opens in a new browser tab.

STEP 2 **Print each Form and then 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.

STEP 3 **Continue until all forms have been printed**.

Figure 31 – Account Application Submitted



Instructions to assist you as you complete the required forms are provided in Section 3.5 of this volume of the User Guide. Please move forward to Section 3.5 now.

3.5 Completing Account Application Forms and Documentation

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 Registrar will not review this application until all forms and documentation have been received and verified to be complete. The forms provided at the end of the electronic data entry on the page titled "Account Application Submitted" (Figure 32) are provided for your convenience, to submit the required information. If an applicant does not want to use the forms that are provided, that applicant may submit the required information in a letter, with original signatures.

3.5.1 Account Application Checklist

The first of the three forms is the #1 Account Application Checklist. Figure 30 is an example of the printed version of this form. A sample Account Application Checklist is located in Appendix A.

- The Account Application Checklist provides a reference of the documents that must be completed and the mailing address for submitting all forms and documentation.
- The Account Application Checklist includes the 6-character Entity Code assigned to your account application. The Entity Code will be associated with your accounts after approval.

Figure 32 – Account Application Checklist

CITSS Account Application Checklist Page 1 of 1

CITSS Compliance Instrument Tracking System Service

#1 Account Application Checklist

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

CITSS Entity ID: _____

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

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

Mail the completed forms to:

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

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

Revision: 5/6/2012

3.5.2 Account Application with Attestations

Figure 33 displays #2 Account Application with Attestations, that the applicant will print, sign, and mail to the California Registrar. 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. Access to a sample Account Application with Attestations form is available in Appendix A.

Blank copies of all forms are provided on the ARB website at: http://www.arb.ca.gov/citss.

STEP 1 **Review the information in Section 1.0 of the form, 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 at least one representative with a primary residence address in California; or, if none of the account representatives have 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(s) designated on this account application must read and sign the attestation contained in Section 4.0. An original signature is required from each individual.**

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.

Figure 33 – Account Application with Attestations

CITSS Account Application with Attestations Page 1 of 5

CITSS Compliance Instrument Tracking System Service

#2 Account Application with Attestations

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

CITSS Entity ID: _____

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

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

Section 1.0 CITSS Account Application Information

CITSS Entity ID _____
Legal Name _____
Operating Name _____
Jurisdiction _____
Entity Type _____
NAICS Code _____
Entity Status _____
Created by _____
Date Created _____

Entity Identification

GHG Emissions Reporting ID _____
ID Number Assigned by Incorporating Agency _____
Incorporation Province or State _____
Incorporation Country _____
Date of Incorporation _____
U.S. Federal Tax Employer Identification Number (EIN) _____

Alternate Contact Person - Optional

Contact First Name _____
Contact Last Name _____
Contact Position _____
Contact Telephone _____

representative or the alternate account representative, as applicable, by an agreement that is binding on all persons who have an ownership interest with respect to compliance instruments held in the account. I certify that I have all the necessary authority to carry out the duties and responsibilities contained in title 17, article 5, sections 95800 et seq. on behalf of such persons and that each such person shall be fully bound by my representations, actions, inactions, or submissions and by any order or decision issued to me by the accounts administrator or a court regarding the account.

Title: _____

Signature: _____

Section 5.0 Entity Director or Officer Attestation

CITSS Entity ID _____

3.5.3 Corporate Associations and Structure Form

Figure 34 displays 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. Guidance on completing this form, blank copies of this form, and a sample completed form are located in Appendix A and on the ARB website at: http://www.arb.ca.gov/citss.

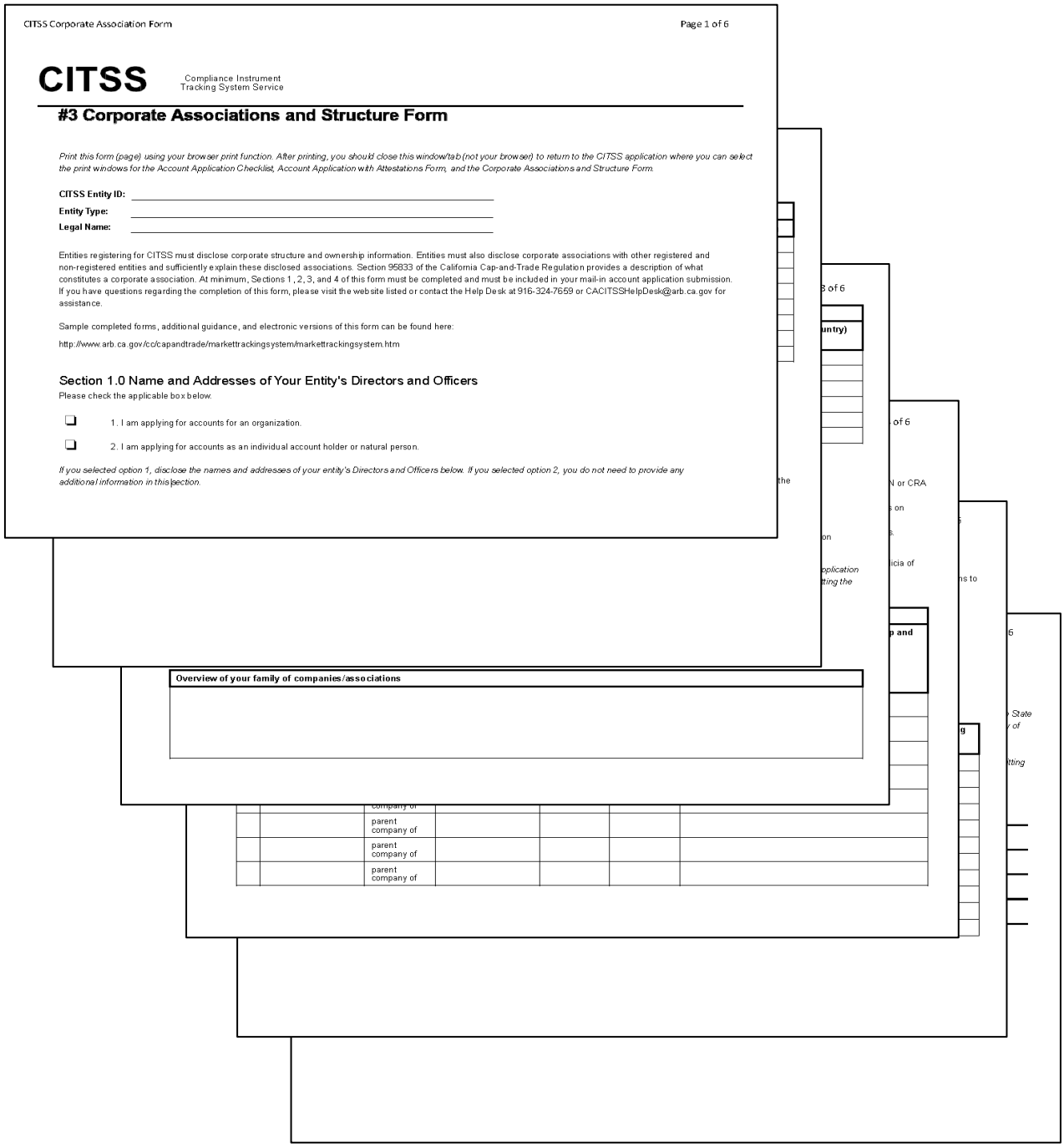
STEP 1 **Complete Section 1.0, Name and Addresses of Your Entity's Directors and Officers.** Identify if the account is for an individual or organization by selecting the appropriate checkbox. If the account application is for a General Market Participant – Individual, move to Section 2.0. If the account application is for an organization, complete the table of officers and directors. If additional space is needed, you may attach additional pages to this form.

STEP 2 **Complete Section 2.0, Names and Address of Persons with Voting Rights.** 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, indicate this in the checkboxes and move to Section 3. 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.

STEP 3 **Complete Section 3.0, Overview of Your Company's Corporate Associations**. Select the checkbox to best describe the nature of any corporate associations. If the account application is for an individual or an organization with no disclosable corporate associations, then proceed to Section 4.0. If the applicant is an entity or individual with corporate associations that are disclosable under section 95833 of the 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 Regulation and Regulation Guidance documents. Refer to the Corporate Associations Guidance Document and Sample Form for assistance completing this section.

STEP 4 **Complete Section 4.0 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.

Figure 34 – Corporate Associations and Structure Form



CITSS Corporate Association Form

Page 1 of 6

CITSS Compliance Instrument Tracking System Service

#3 Corporate Associations and Structure Form

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

CITSS Entity ID: _____

Entity Type: _____

Legal Name: _____

Entities registering for CITSS must disclose corporate structure and ownership information. Entities must also disclose corporate associations with other registered and non-registered entities and sufficiently explain these disclosed associations. Section 95833 of the California Cap-and-Trade Regulation provides a description of what constitutes a corporate association. At minimum, Sections 1, 2, 3, and 4 of this form must be completed and must be included in your mail-in account application submission. If you have questions regarding the completion of this form, please visit the website listed or contact the Help Desk at 916-324-7659 or CACITSSHelpDesk@arb.ca.gov for assistance.

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

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

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

Please check the applicable box below.

❑ 1. I am applying for accounts for an organization.

❑ 2. I am applying for accounts as an individual account holder or natural person.

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

Overview of your family of companies/associations

parent company of

parent company of

parent company of

3.6 Account Application Approval

Once the online portion of the Account Application has been successfully submitted and the required forms and documentation have been received and verified to be complete, the California Registrar will review all submitted information and documentation, and the Account Application will be either approved or denied.

The appropriate CITSS accounts will be established and appear in the home pages of all approved Account Representatives following approval of the application. ARB expects account application review to take approximately two (2) weeks.

If you have any questions about your application, please contact the WCI, Inc. CITSS Help Desk by email at: help@wci-citss.org or by phone at: 1-866-682-7561.

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 based on the information in your registration.

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.*

4.0 Account Management

Once a CITSS Account has been approved by the California Registrar, the individuals identified as account representatives may access the entity's account to edit or update the entity profile information and conduct transfers of compliance instruments. Transfer functions are covered in Volume III of this User Guide. The following section will cover Account Information management, including updates to entity information, adding or changing account representatives, adding account viewing agents, and entering an intent to bid in upcoming auctions.

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.

It is recommended that any updates be made in the CITSS at minimum 45 days prior to a scheduled auction.

If you need any assistance with the CITSS, please contact the WCI, Inc. CITSS Help Desk by email at: help@wci-citss.org or by phone at: 1-866-682-7561.

4.1 Accessing Account Information

To conduct any activity in a CITSS account, the representative must first 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 Home Page, titled "Welcome to WCI CITSS" is displayed (Figure 35).

The User Home Page may display three categories of information: My Accounts, Account Applications, and Pending Transfers.

- My Accounts shows entity accounts for which the user is the PAR, an AAR, or an AVA. There are four types of accounts that can be assigned to an entity in the CITSS: a *General Account,* a *Limited Use Holding Account,* a *Compliance Account,* or an *Exchange Clearing Holding Account*.
- Account Applications shows the status of any Account Applications being prepared or submitted by this individual.
- Pending Transfers shows transfers that are awaiting action (described in Volume III of the User Guide).

Account Applications will only be displayed if the user has an application(s) in process or pending action by the Registrar. Pending Transfers will only be displayed if there are pending transfers on accounts for which the user is a representative.

4.1.1 Accessing Account Information from the User Home Page

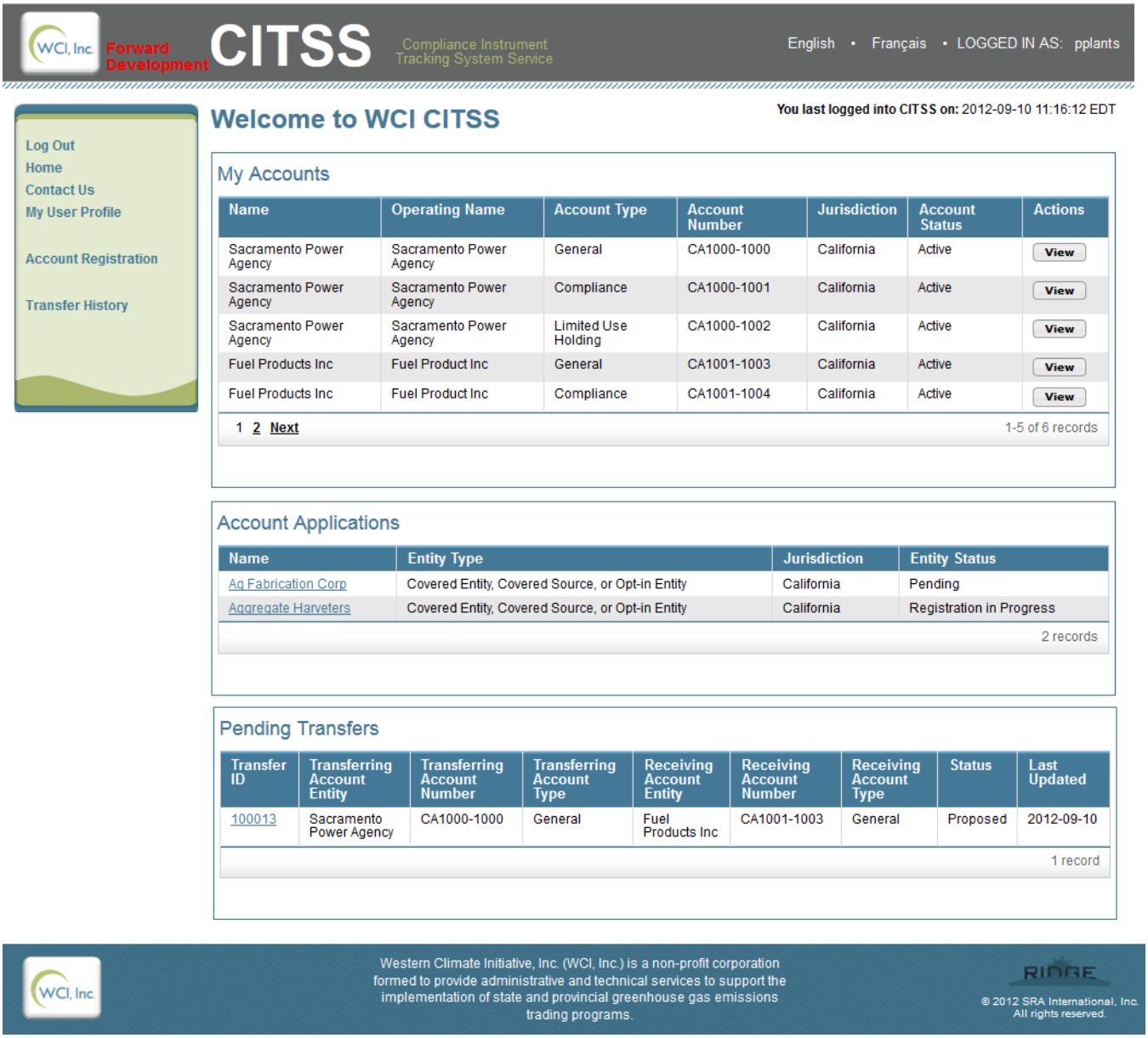
The User Home Page (Figure 35) provides a listing of the accounts the user is associated with as a representative (PAR or AAR) or an account viewing agent (AVA). If the user is the PAR or an AAR, the user will be able to access the accounts from the User Home Page to update the entity information as needed.

STEP 1 **Review My Accounts.** My Accounts shows entity accounts for which the user is the PAR, an AAR, or an AVA and summarizes the information about each account, including the Legal and Operating Name of the entity, and the Account Type, Number, Jurisdiction, and Status.

The entity in the example displayed in Figure 36 is a covered entity therefore the entity has a *General Account* and a *Compliance Account.* The entity is also an Electrical Distribution Utility, therefore the entity has a *Limited Use Holding Account (LUHA)* to allow consignment of allowances to auction. If this entity were a General Market Participant, they would only have a *General Account*.

STEP 2 **Select the Account to be updated by selecting the View button located in the Action column on the far right.** Selecting the View button on any of the accounts for this entity will lead you to the account page for the selected account. In this demonstration, we will access the information through the *General Account*. The same entity information could be accessed from the *Compliance Account* or the *LUHA* for this entity.

Figure 35 – User Home Page



4.1.2 Account Page

Figure 36 shows the example Account Page for the Sacramento Power Agency General Account.

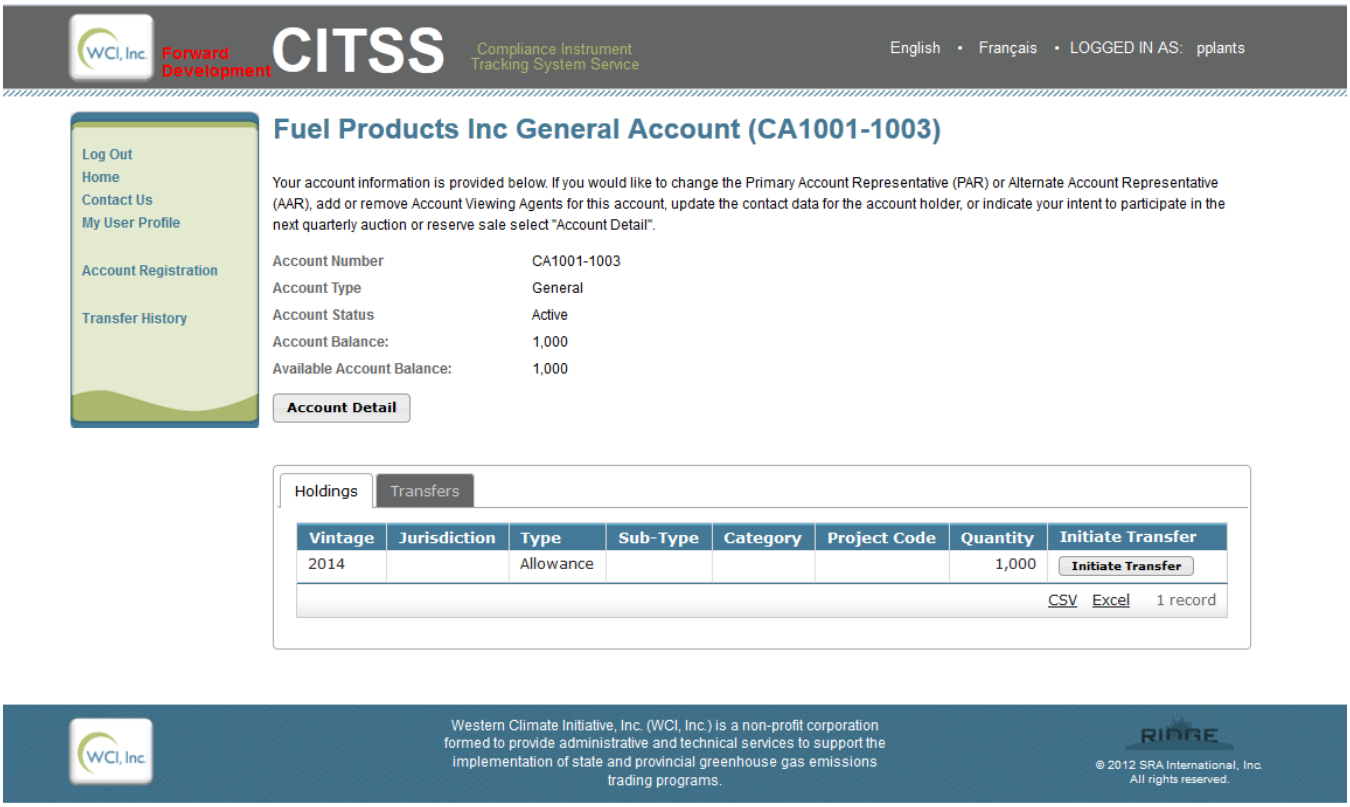
Most of the fields displayed on this screen are associated with managing account balances and transferring compliance instruments. These actions are covered in Volume III of this User Guide. This discussion will focus only on updating entity information through this page.

This page provides access to detailed information about the entity and the account. The detailed information can be accessed through the **Account Detail** button.

STEP 1 Select the Account Detail Button.

This action will take you to the more detailed information and the areas where edits and updates can be entered. The same entity information could be accessed from the other accounts held by this entity.

Figure 36 – Account Page



4.2 Entity Detail

By selecting the Account Detail button, you are directed to an information page for the account or set of accounts that displays the entity information entered during the account application process (Figure 37). The page is titled with the name of the entity that holds these accounts and includes buttons to access all of the accounts in the set of accounts created for this entity. In this example, the entity has a *General Account*, *Compliance Account*, and *LUHA.* Below the access buttons for each account, a table displays the following tabs: General Information; Contact Information; Representatives; Account Viewing Agents; and Auction. When there has been a change proposed to any of the entity's information that is pending approval, a sixth tab—Pending Changes—will be displayed. In this example, the account's PAR or AAR will access each of the following tabs: General, Contact Information, Representatives, Account Viewing Agents, and Auction, which will take the user to pages where they can propose changes or updates.

The PAR or an AAR may propose or enter updates to information by accessing the appropriate tab. When multiple changes are proposed, the Registrar is required to act on all pending changes at one time. The Registrar may approve, deny, or request revisions to pending changes and updates.

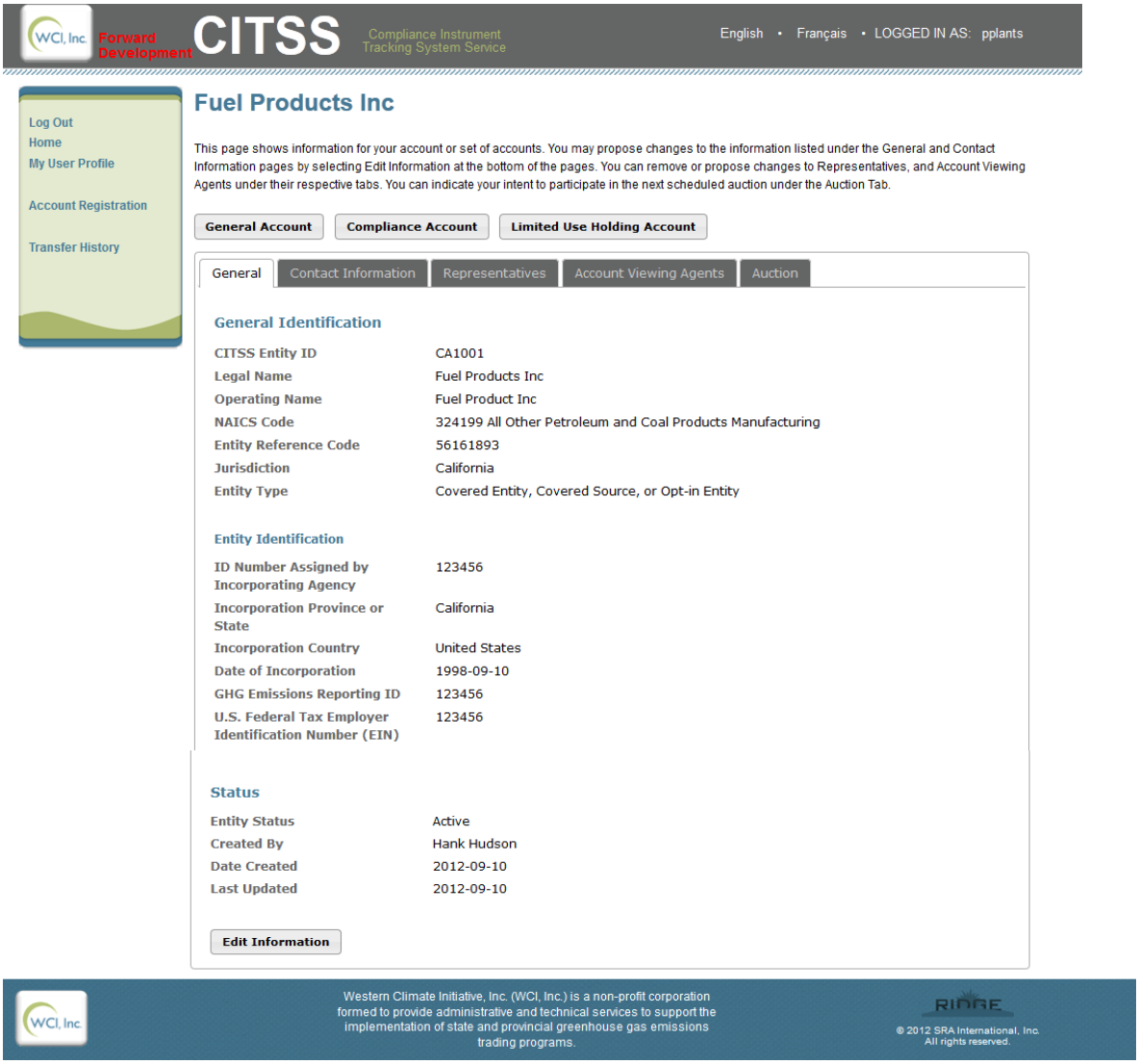
4.2.1 General Information Tab

The General Tab as shown in Figure 37 includes the identification information about the entity that was entered during the account application process. Near the bottom of the window is information about the status of the account, the CITSS user that submitted the online portion of the account application and when the account was created and last updated.

Making changes

Changes can be made to the General Information 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 (!). Updates to the names and NAICS code require approval by the Registrar. The Registrar may require the submittal of new documentation to support the requested changes.

Figure 37 – Entity (Account) Detail – General Information Tab



4.2.2 Contact Information Tab

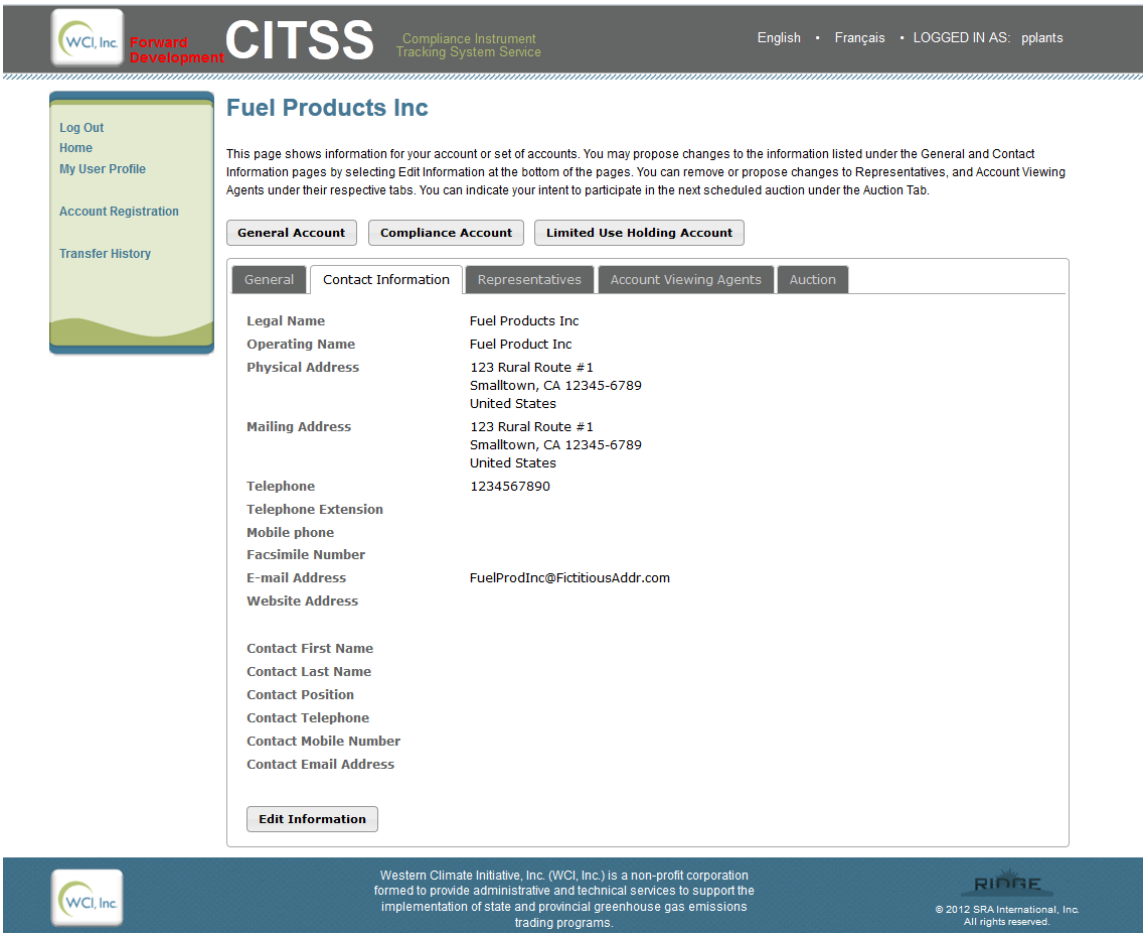
The Contact Information for this Entity that was submitted during the account application process is displayed under the Contact Information Tab (Figure 38).

STEP 1 Select the Contact Information Tab.

Making Changes

The PAR or an AAR may enter updates to General Information by selecting the Edit Information Button at the bottom of the page. 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.

Figure 38 – Contact Information Tab



4.2.3 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, 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. The Representatives Tab (Figure 39) provides access for a current PAR or AAR to propose a change in the current representatives or the addition of new 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 or AARs, the *Request to Change Account Representatives/Account Viewing Agents Form* must be completed and mailed to the California Registrar. The form is available on the cap-and-trade webpage at: http://www.arb.ca.gov/citss. A copy of the form is also available in Appendix A.

Making Changes to Representatives

STEP 1 **Select the Representatives Tab.**

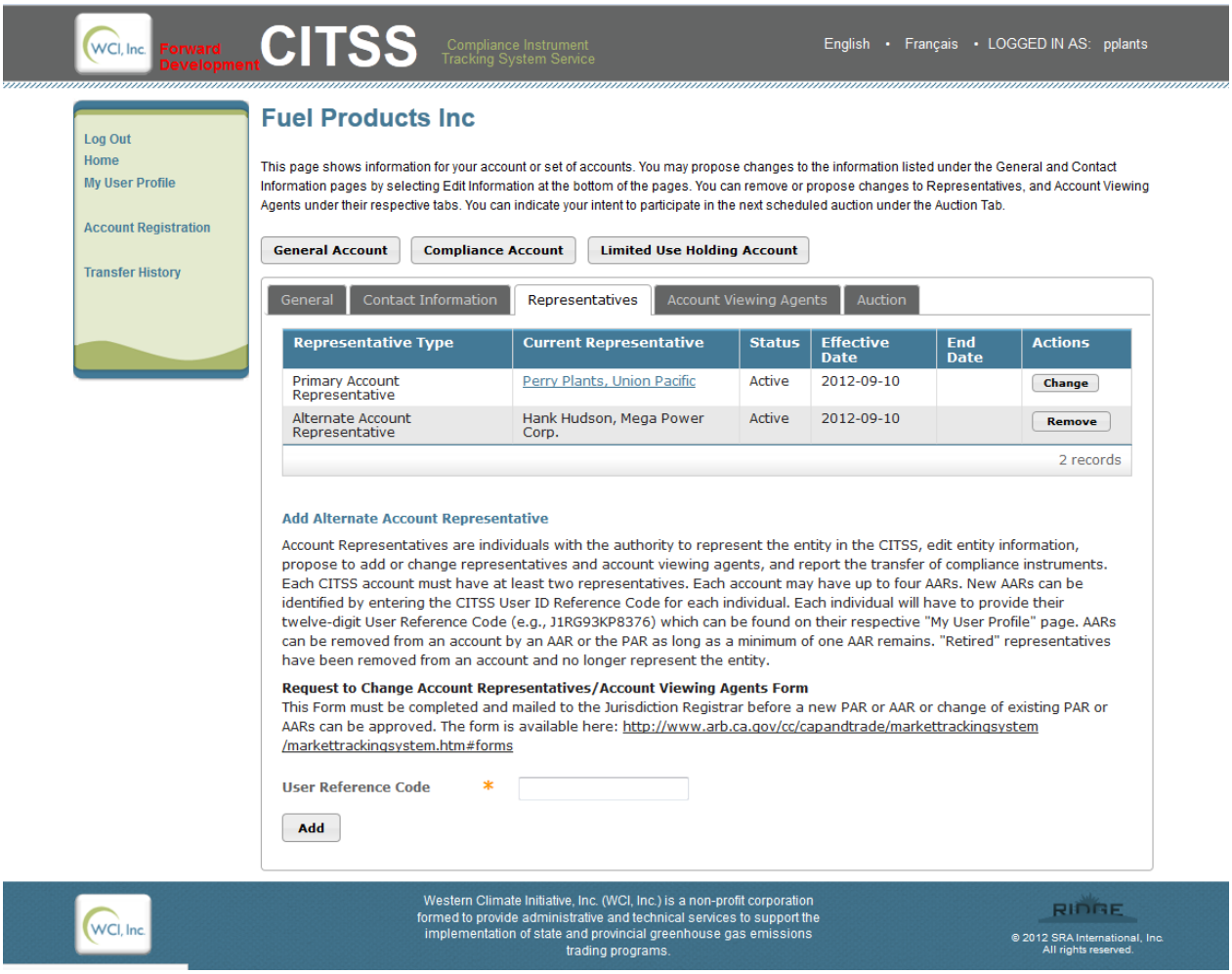
STEP 2 **Propose the addition of a new AAR.** To propose the addition of a new AAR, enter the User Reference Code for that individual in the appropriate box, and select the Add Button. Complete the *Request to Change Account Representatives/Account Viewing Agents Form* and submit it to the California Registrar.

STEP 3 **Remove an AAR.** To remove an account representative, select the button in the last column of the representatives table which shows the available action (Change or Remove). As long as the minimum requirement for representatives is maintained, removal of representatives does not require approval and will become effective after proposal and confirmation. "Retired" representatives have been removed from an account and no longer represent the entity.

STEP 4 **Propose a change to the PAR**. A PAR cannot be removed until a new PAR is approved. To change a PAR, select the button in the last column of the representatives table next to the current PAR, which shows the available action (change). As long as the minimum requirement for representatives is maintained, removal of representatives does not require approval and will become effective after proposal and confirmation.

STEP 5 **Confirm that the new representative is listed in the Representatives Tab in pending status.**

Figure 39 – Representatives Tab



4.2.4 Account Viewing Agents Tab

The Account Viewing Agents Tab (Figure 40) provides access for a current PAR or AAR to propose the addition of up to five Account Viewing Agents (AVA), any time after an initial application for accounts has been approved. AVAs are individuals with the capability to view the entity registration, account holdings, and transfer information 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. AVA additions require that the *Request to Change Account Representatives/Account Viewing Agents Form* be completed and submitted to the California Registrar. The form is available at: http://www.arb.ca.gov/citss.

The PAR or an AAR on an account may remove AVAs from an account. Removal of AVAs does not require approval and will become effective after proposal and confirmation. "Retired" AVAs have been removed from an account and no longer represent the entity.

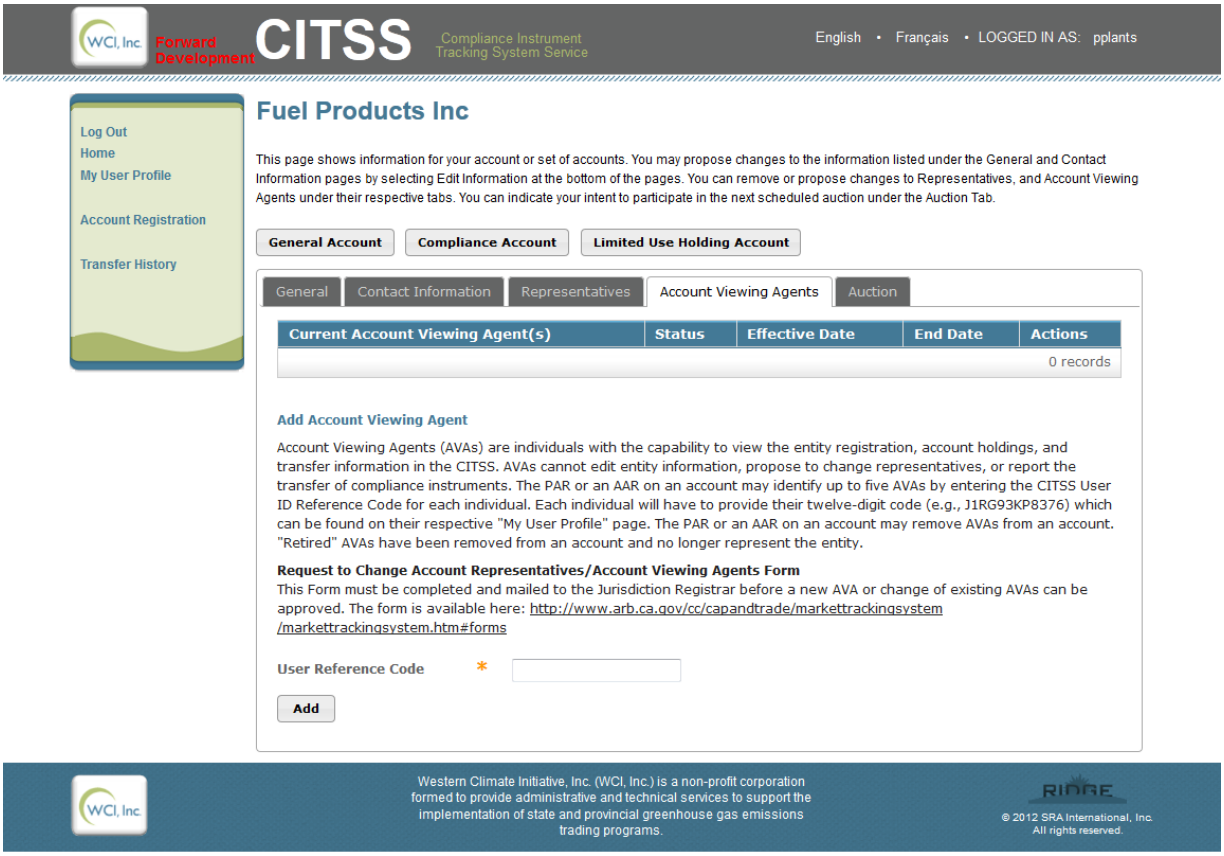
Adding and Making Changes to Viewing Agents

STEP 1 **Propose the addition of a new AVA.** To propose the addition of a new AVA, enter the User Reference Code for that individual in the appropriate box and select the Add Button.

STEP 2 **Remove an existing AVA.** To remove an AVA, an approved PAR or AAR will select the remove button in the last column of the Account Viewing Agents table and confirm the action. Removal of AVAs does not require approval and will become effective after proposal and confirmation.

STEP 3 **Confirm that the new AVA is listed in the Account Viewing Agents Tab with a pending status.** A new AVA will be approved after the required *Request to Change Account Representatives/Account Viewing Agents Form* has been completed, submitted to the California Registrar, and subsequently reviewed and approved.

Figure 40 – Account Viewing Agents Tab



4.2.5 Proposed Data Changes Pending

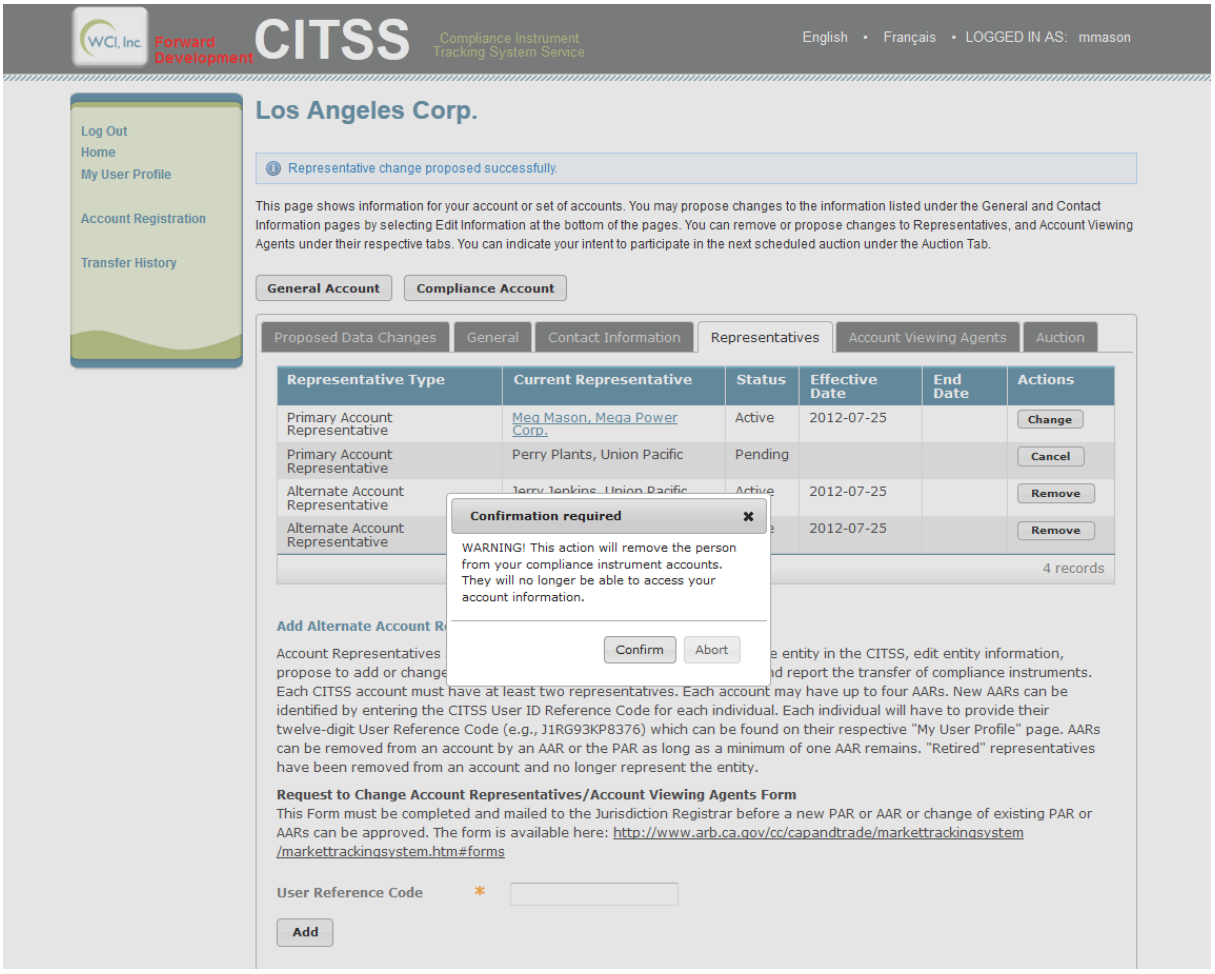
When a change requiring approval has been proposed to an entity's contact information, representatives, or viewing agents, the Proposed Data Changes Tab (Figure 41) will be displayed on the Account (Entity) Information page. Notice that in this example there are now six tabs just below the Account Buttons, including the new one labeled **Proposed Data Changes.** This tab will be displayed until all proposed changes are approved or denied by the Registrar. When there are no pending proposed changes, the display will return to five tabs.

Figure 41 – Proposed Data Changes Tab

4.2.6 Proposed Data Changes Requiring Confirmation

When a change to an entity's information will take immediate effect and does not require Registrar approval, the Confirmation Required window (Figure 42) will be displayed and request that the user confirm that they intended the proposed action. Actions requiring confirmation are not reversible. For instance, as long as one AAR remains, removing an additional AAR is an immediate, non-reversible action. The confirmation window shown in this example shows a WARNING to indicate that the action cannot be changed once confirmed.

Figure 42 – Changes Requiring Confirmation



4.2.7 Auction Tab

The Auction Tab (Figure 43) provides 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. By indicating this interest, the entity is agreeing to have its name, entity contact information, account numbers, representative names, representative phone numbers, and representative email addresses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator for the purpose of facilitating participation in any upcoming auction or reserve sale.

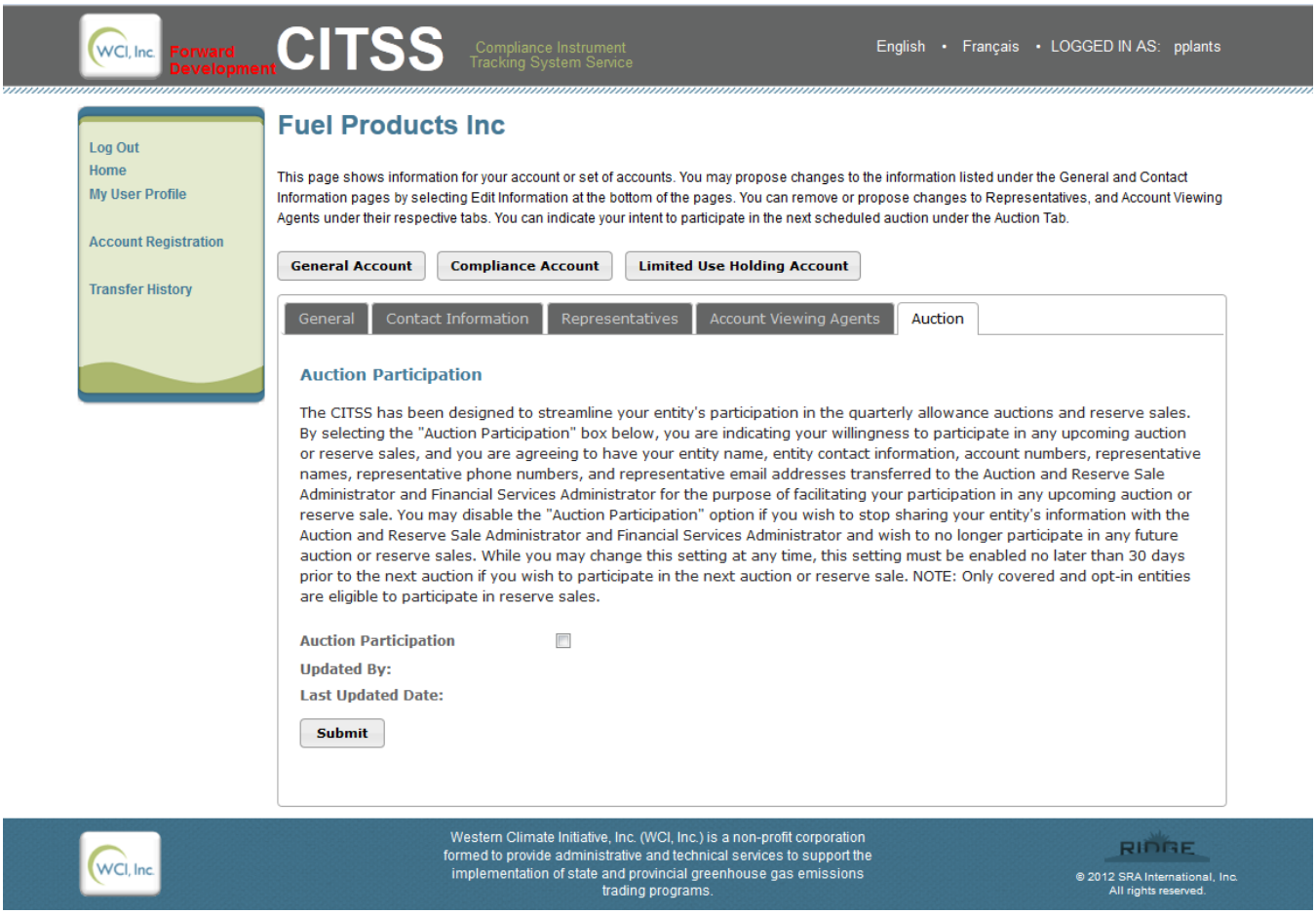
An approved PAR or AAR can also disable the "Auction Participation" option if the entity wishes to stop sharing information with the Auction and Reserve Sale Administrator and Financial Services Administrator and no longer participate in future auctions or reserve sales. The setting can be changed at any time, but must be enabled no later than 31 days prior to the next auction for the entity to be able to participate in the next auction or reserve sale.

STEP 1 **Indicate the entity's interest in participating in upcoming auctions and reserve sales by selecting the Auction Participation Box and then clicking the Submit button.** The selection will take effect immediately. Only covered and opt-in entities are eligible to participate in reserve sales.

STEP 2 **Confirm that the entity has indicated its interest to participate in upcoming auctions and reserve sales.** The new Auction button will be checked, and below the box the screen will display the name of the account representative who entered the change and the date and time the change was submitted.

NOTE: Selecting the Auction Participation box in the CITSS only identifies an interest to participate in upcoming auctions or reserve sales. The entity or individual must still complete the auction application process through the Auction Platform for each auction or reserve sale, including submitting an intent to bid in the Auction Platform.

Figure 43 – Auction Tab



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Appendix A

Account Application Forms

To ensure access to current versions of all forms, this appendix provides links to all forms.

Account Application Forms:

- Account Application Checklist
- Account Application with Attestations Form
- Corporate Associations and Structure Form (sample form)
  - Corporate Associations Guidance)

Account Management Forms:

- Request to Change Account Representatives/Account Viewing Agents

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