California Environmental Protection Agency

Air Resources Board

User Guide - Volume III
Conducting Transfers in the CITSS

Compliance Instrument Tracking System Service (CITSS)

December 2012

Sections of this User Guide have been Superseded.
Please see inside cover.
February 2015

Superseded Information

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

The basic processes for conducting transfers in CITSS as described in this User Guide have remained essentially unchanged, e.g., the transfer process continues to implement the user "Propose-Approve-Accept" model for conducting general transfers, and general transfers are still required to be completed within 3-days of being entered into CITSS.

CITSS Version 5.0, released in January 2015, incorporates changes to the required data for a transfer of compliance instruments pursuant to changes in the Regulation that became effective January 1, 2015. The updated processes and screens require account representatives to be more specific in identifying the type of transfer being conducted and to provide more detailed information about individual transfers. Some of the transfer terms in this User Guide, such as Agreement Date and Settlement Date, have been updated to more closely align with the new transfer types.

Portions of this User Guide (*CITSS User Guide Volume III*) that depict transfer screens and describe the information required to complete a transfer have been superseded. Users consulting this User Guide for guidance on transfers should also refer to User Reference CITSS Version 5.0, available on the ARB CITSS Information webpage at:

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

User Reference CITSS Version 5.0 **does not replace *CITSS User Guide Volume III*, but rather supplements the information with updated screenshots and guidance for the new transfer requirements. .**

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
EDU	Electrical Distribution Utility
EIA	U.S. Energy Information Agency
ETS	Emissions Trading System
GHG	greenhouse gas
ID	identification
KYC	Know-Your-Customer
MRR	Mandatory Reporting Regulation
MTCO2e	metric tons carbon dioxide equivalent
NAICS	North American Industry Classification System
ORIS	Office of Regulatory Information Systems
PAR	Primary Account Representative
POU	Publicly Owned Utility
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.

The 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 the CITSS. The WCI, Inc. 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 at help@wci-citss.org or by phone 1-866-682-7561.

1.1 User Guide Volume III

This volume includes content to support the following activities:

- Conducting Transfers of Compliance Instruments. Examples are provided for:
  - *General Account* of one entity to *General Account* of another entity
  - *General Account* of an entity to *Compliance Account* of the same entity
  - *General Account* of an entity to *Early Retirement Account* (Jurisdiction Account)
  - *General Account* to an *Exchange Clearing Service Provider*
  - *Limited Use Holding Account* of an entity to *Auction Account* (Jurisdiction Account)

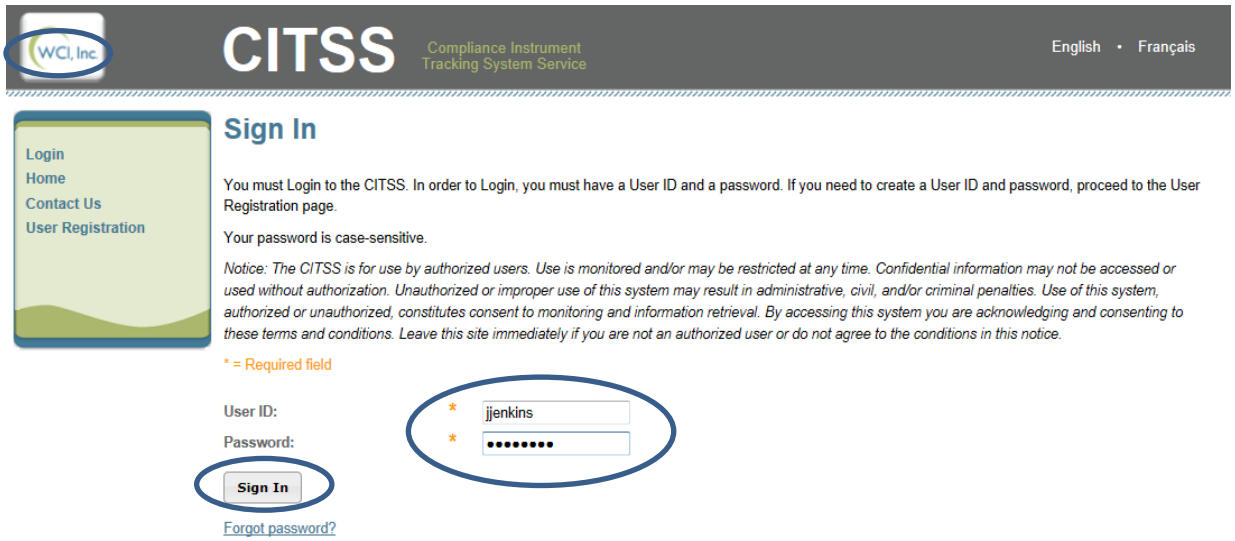
1.2 Accessing the CITSS

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 (Figure 1) is the point of entry for any action in the CITSS. On the main CITSS page, you will click Login, enter your approved User ID and password and click Sign In to gain access to the secure content of the CITSS, including the ability to submit an account application, or a transfer request or act on a pending transfer request.

Figure 1 - CITSS Sign in Page



General Guidelines:

- The CITSS is compatible with the following web browsers: Internet Explorer 7, 8, and 9, Firefox, Safari, Chrome, or 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).
- WCI, Inc. has established a Help Desk to support the CITSS. The WCI, Inc. CITSS Help Desk is staffed Monday through Friday 6:00 a.m. Pacific Time through 6:00 p.m. Pacific Time and is accessible for messages 24 hours a day, 7 days a week. If you have any questions about using CITSS, please contact the WCI, Inc. CITSS Help Desk at:

  Email: help@wci-citss.org
  Phone Number: 1-866-682-7561

2.0 Introduction to Compliance Instrument Accounts

The Compliance Instrument Tracking System Service (CITSS) tracks the status and ownership of compliance instruments (allowances and offsets) in the California Cap-and-Trade Program. The CITSS also tracks transactions (transfers) of compliance instruments within an entity's accounts, between accounts of different entities, and between entities and jurisdiction accounts. Each entity in the CITSS is assigned accounts; the number and type of accounts depends on the type of entity or organization. In addition, ARB has several jurisdiction accounts that are used to administer the creation, allocation, surrender, and retirement of compliance instruments within the CITSS.

2.1 Entity Accounts (including Individual account holders)

There are four types of accounts that can be assigned to an entity in the CITSS: a *General Account* (*Holding Account* in the Regulation), a *Limited Use Holding Account,* a *Compliance Account*, and an *Exchange Clearing Holding Account*. Each account type is described below. Accounts are assigned based on the type of entity. As explained below, no entity needs or could receive all four account types. Table 1 summarizes the types of accounts that can be assigned to each entity type.

***General Account*:** A *General Account* is the most common type of account. Except for Exchange Clearing Service Providers, every entity in the CITSS has a *General Account* for holding compliance instruments. Routine transfers (buying/selling) of compliance instruments between entities occur between *General Accounts*. Allocations of free allowances to industrial entities typically are placed in the entities' *General Accounts*. In the Regulation, the *General Account* is referred to as the *Holding Account.*

***Compliance Account*:** *Compliance Account*s are assigned only to Covered Entities and Opt-In Entities. A *Compliance Account* is used to surrender compliance instruments to the State of California to satisfy Cap-and-Trade Program compliance obligations. Publicly Owned Utilities (POUs) that receive an allocation of free allowances but have no compliance obligation apply for accounts in the CITSS as Covered Entities, and receive a *Compliance Account*. However, the *Compliance Account* for these entities is disabled in the CITSS.

***Limited Use Holding Account*:** Only entities that are electrical distribution utilities (EDUs) designated by the Regulation receive a *Limited Use Holding Account.* Allocations of free allowances are in some cases issued into an EDU's *Limited Use Holding Account*. Allowances placed in a *Limited Use Holding Account* can **only** be consigned to the *California Auction Account*. Owners of a *Limited Use Holding Account* should consult the Regulation regarding the requirements for consignment of allowances to Auction.

***Exchange Clearing Holding Account*:** An *Exchange Clearing Holding Account* is issued to organizations voluntarily participating in the Cap-and-Trade Program to provide exchange clearing services. An entity providing clearing services takes only temporary possession of compliance instruments for the purpose of clearing transactions between two entities registered with the Cap-and-Trade Program. To qualify as a clearing services provider, an 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)).

Table 1. Type of Entity Accounts, by Entity Type

Type of Entity Account	Covered Entities and Opt-In Entities	General Market Participants (Organizations and Individuals)
General	✓	✓
Compliance	✓[1]	
Limited Use Holding	✓[2]	
Exchange Clearing Holding		✓[3]

[1] Publicly Owned Utilities (POUs) that receive an allocation of free allowances but have no compliance obligation apply for accounts in the CITSS as Covered Entities. The *Compliance Account*s for these entities are disabled.

[2] Only entities that are electrical distribution utilities designated by the Regulation receive a *Limited Use Holding Account*.

[3] There are specific requirements to register as an Exchange Clearing Service Provider. Exchange Clearing Service Providers receive only *Exchange Clearing Holding Account*s.

2.2 Jurisdiction Accounts

ARB maintains several jurisdiction accounts that are used to administer the CITSS. Most entities will have little direct interaction with most of the jurisdiction accounts, such as the Issuance, Forest Buffer, Invalidation, Voluntary Renewable Electricity Reserve, or Price Containment accounts. Information about these accounts is located in section 95831 of the Regulation. The jurisdiction accounts that entities would interact with are the *Allocation Account*, the *Auction Account*, and the *Retirement Account*.

***Allocation Account*:** ARB distributes allowances from the *Allocation Account* to other jurisdiction accounts, *Limited Use Holding Account*s (LUHAs), *General Accounts,* and in some cases, *Compliance Account*s of participating entities. Entities receiving an allocation of allowances will see a transfer from the California *Allocation Account* in the transfer history for the account to which allowances are transferred.

***Auction Account*:** Allowances that are available for Auction are held in the *Auction Account*. Entities will interact with the Auction Account through consignments and receipt of allowances obtained at Auction. Entities with a *LUHA* will consign allowances to the *Auction Account.* Following an auction, allowances in the *Auction Account* are transferred in accordance with the results of the auction. Entities with winning bids will receive allowances from the *Auction Account*.

***Retirement Account*:** The *Retirement Account* is used to voluntarily remove instruments from the market. Entities in the CITSS may voluntarily retire compliance instruments. To do this, an entity transfers instruments from their *General Account* to the *California Retirement Account.* This action does not meet any compliance obligation of the entity surrendering instruments.

2.3 Account Status

There are seven status conditions that can be assigned to accounts by the Jurisdiction Registrar. The status of an account determines the ability to transfer compliance instruments into or out of the account. In addition, account status determines if information from the CITSS can be sent to the Auction Administrator to support the auction application process. The account status conditions are:

Active: Typical account state; is able to send/receive instruments in accordance with all rules and regulations. Entity and representative registration data are included in the information provided to the Auction Administrator unless a representative of the entity indicates through the CITSS that the entity does not intend to participate in upcoming auctions.

Restricted - Can't Transfer: Account is prevented from transferring compliance instruments but can still accept transfers. Entity and representative registration data is included in the information provided to the Auction Administrator unless a representative of the entity indicates through the CITSS that the entity does not intend to participate in upcoming auctions.

Restricted - Can't Receive: Account is prevented from receiving any compliance instruments but can still send transfers to other accounts and entities. Entity and representative registration data are included in the information provided to the Auction Administrator unless a representative of the entity indicates through the CITSS that the entity does not intend to participate in upcoming auctions.

Restricted - Can't Transfer or Receive: Account is prevented from both transferring and receiving compliance instruments. This status is also used to disable the *Compliance Account* for POUs that do not have a compliance obligation. Entity and representative registration data are included in the information provided to the Auction Administrator unless a representative of the entity indicates through the CITSS that the entity does not intend to participate in upcoming auctions.

Suspended: Account is prevented from both transferring and receiving instruments. Entity and representative registration data are NOT included in the information provided to the Auction Administrator. Regulatory requirements and additional restrictions are in place for Suspended Accounts.

Inactive: Used primarily for General Market Participant accounts that have not transferred compliance instruments for three years or more. Inactive accounts are prevented from both transferring and receiving instruments. Entity and representative registration data are NOT included in the information provided to the Auction Administrator. This status is not automatically set after a period of inactivity, but requires action to be taken by the Registrar.

Closed: Closed accounts are prevented from both transferring and receiving compliance instruments. Entity and representative registration data are NOT included in the information provided to the Auction Administrator. The Registrar must manually change an entity's status to Closed.

3.0 Overview of the CITSS Transfer Process

The CITSS tracks the status and ownership of compliance instruments (allowances and offsets) in the California Cap-and-Trade Program. Transactions (transfers) of compliance instruments within an entity's accounts, between accounts of different entities, and between entities and jurisdiction accounts are reported in the CITSS.

3.1 Conventions

The following are naming conventions used in describing the transfer process:

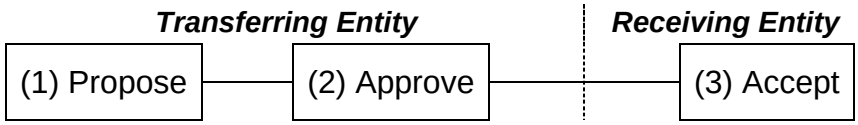
Transferring	"Transferring" is used to describe the source of the compliance instruments, i.e., the entity or account from which funds are being transferred. Compliance instruments are moved from the transferring account to the receiving account.
Receiving	"Receiving" is used to describe the entity or account into which the transferred compliance instruments are being moved, i.e., the recipient of the transfer. Compliance instruments are moved from the transferring account to the receiving account.
Transfer Request	A transfer request tracks the progress of a transfer from proposal to completion. A representative of the transferring entity enters the information about a compliance instrument transaction into the CITSS to create a transfer request.
Agreement Date	When a contract or other written agreement is prepared to facilitate a transaction, the agreement date is the date the agreement/contract is signed.*
Settlement Date	When a contract or other written agreement is prepared to facilitate a transaction, the Settlement Date is the date that the agreement/contract is fulfilled.*

* Regardless of agreement or settlement date, the transfer of ownership occurs when the status of the transfer request in the CITSS is Complete.

3.2 Transfer Process

As shown in Table 2, the CITSS process to report the transfer of compliance instruments between entities requires three steps: Propose, Approve, and Accept.

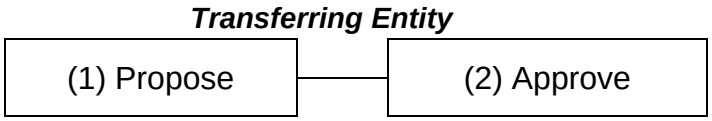
Table 2. Three-Step Transfer Process



The following transfers are Completed using a two-step process, with no Acceptance required.

- Transfers between different account types held by the same entity:
  - *General Account* to *Compliance Account*
- Transfers to Jurisdiction Accounts:
  - *General Account* to *Retirement Account*
  - *Limited Use Holding to Auction Account*
- Transfers to and From an Exchange Clearing Service Provider
  - *General Account* to *Exchange Clearing Service Account*
  - *Exchange Clearing Service Account to General Account*

Table 3. Two-Step Transfer Process



3.2.1 Transfer Process Steps

STEP 1: Propose

Propose - The Primary Account Representative (PAR) or one of the Alternate Account Representatives (AARs) of the transferring entity must prepare a transfer request in the CITSS by providing information about the transaction. Depending on the type of transfer being proposed, required information can include the number and type of instruments, information about the receiving entity and account, agreement and settlement date, and the price paid and currency type. After the required information is entered in the CITSS, the representative submits the transfer request, and the status of the request is set as Proposed. A Proposed transfer request will appear as a "Pending Transfer" on the home page of the PAR and AARs of the transferring entity only. An email indicating that a transfer request has been proposed is sent to the PAR and AARs of the transferring entity, indicating that a Proposed transfer request requires Approval.

When a transfer request is proposed, the compliance instruments remain the property of the transferring entity and remain in the transferring entity's account until the transfer request is Completed. However, the number of instruments proposed for transfer is subtracted from the transferring entity's Available Account Balance to reflect their pending status. The difference between Account Balance and Available Account Balance is the number of instruments in pending transfers.

The representative of the transferring entity that entered the initial transfer proposal can Cancel the Proposed Transfer prior to the second representative Approving the Proposed Transfer.

STEP 2: Approve/Deny

Approve - A representative of the transferring entity, who cannot be the same individual that proposed the transfer, must Approve the Proposed transfer request within two days of the Proposal or the transfer request will expire in the CITSS (refer to Section 3.3 for more information on timing requirements). Individual General Market Participants that have no AARs associated with their account can take both actions on a transfer request - Propose and Approve. If an Individual General Market Participant has AARs associated with their account, a second individual must Approve proposed transfers.

Upon completion of this step, the status of the transfer request will change to Approved. An email is sent to the representatives of the transferring and receiving entities informing them that the status of a transfer request has changed and providing the Transfer ID, Transfer Status, and accounts involved in the transfer.

Two-step transfers such as transfers within an entity's accounts (General to Compliance) and transfers to a jurisdiction account (General to Retirement, LUHA to Auction) only require Proposal and Approval and are Completed when Approved by the second representative of the transferring entity.

Transfers between entities require all 3 steps to be completed including an Acceptance from a representative of the receiving entity. In this case, following Approval by the second

representative of the transferring entity, the Approved transfer request appears as a "Pending Transfer" on the home page of the PAR and AARs of the receiving entity.

Deny - A representative of the transferring entity, who cannot be the same individual that proposed the transfer, has the option to Deny a Proposed transfer request. Upon completion of this step, the status of the transfer request will change to Denied and the transfer will be shown only in the Transfer History of the transferring entity. An email is sent to the representatives of the transferring entity, informing them that the transfer was Denied. No notification is sent to the representatives of the receiving entity. When a transfer request is Denied, the compliance instruments remain in the transferring entity's account, the number of instruments proposed for transfer is returned to the transferring entity's Available Account Balance.

STEP 3: Accept/Decline (Required for transfers between General Accounts of 2 entities)

Accept - The PAR or an AAR of the receiving account must accept the Approved transfer request to complete the transfer. Upon acceptance, the status of the transfer request changes to Complete, and the compliance instruments are moved from the transferring account to the receiving account. The Acceptance must occur within three days of the Proposal or the transfer request will expire in the CITSS (refer to Section 3.3 for more information on timing requirements). All representatives of both the transferring and receiving entities are notified by email of completion of the transfer.

Decline - Alternatively, a representative of the receiving entity, can Decline an Approved transfer request. Upon completion of this step, the status of the transfer request will change to Declined and will be shown only in the Transfer Histories of both entities. An email is sent to the representatives of both entities, informing them that the transfer was Declined. When a transfer request is declined, the compliance instruments remain in the transferring entity's account, the number of instruments proposed for transfer is returned to the transferring entity's Available Account Balance, and the instruments are available for a new transfer request.

The final step (Accept) is only required for transfers from one entity's *General Account* to another entity's *General Account*. The final step (Accept) is not required for transfers between an entity's own accounts, transfers to or from an *Exchange Clearing Holding Account,* or transfers to jurisdiction accounts (such as the *Auction Account* or *Retirement Account)*. The transfer of instruments in these types of transfer requests occurs immediately upon approval.

3.3 Status of Transfer Requests

Proposed status: The transfer request has been Proposed by a PAR or AAR and is awaiting approval from another account representative of the transferring entity. If this is a transfer between entities, the transfer request is not yet viewable by the representatives of the receiving entity while it is in this status.

Approved status: The transfer request has been Approved by a second account representative (PAR or AAR) of the transferring entity. If this is a two-step transfer (transfer between accounts of the same entity, between entity and jurisdiction accounts, or to or from an exchange clearing account), the transfer is now Complete. If the transfer is between entities, the representatives of the receiving entity have been notified of the transfer request and the transfer is viewable as a pending transfer on the home page of the account representatives of the receiving entity. An account representative of the receiving entity must now either Accept or Decline the transfer request.

Accepted status: The transfer request has been Accepted by an account representative of the receiving entity. The transfer is now Complete.

Complete status: The transfer request is complete, and the compliance instruments have been transferred to the receiving entity's account. For transfers requiring acceptance, this occurs when the receiving entity Accepts. For transfers that do not require acceptance, the transfer is Complete when the transfer request is Approved.

Cancelled status: A transfer request was Cancelled by the account representative of the transferring entity that initially proposed the transfer. Only the representative that entered the initial Proposal can Cancel the proposed transfer. If the proposed transfer was to another entity, the representatives of the receiving entity were not notified of the proposed transfer or cancellation. The compliance instruments have not been transferred.

Denied status: The transfer request was Denied by a second account representative of the transferring entity (following Proposal). The representatives of the transferring entity were notified that the proposed transfer was denied. If the proposed transfer was to another entity, the representatives of the receiving entity were not notified of the proposed transfer or the subsequent denial. The compliance instruments have not been transferred.

Declined status: The transfer request was Declined by an account representative of the receiving entity. The representatives of both the transferring and acquiring entities were notified of the action by email. The compliance instruments have not been transferred.

Expired status: Either the transfer request was not Approved before midnight (Eastern Time) of the second calendar day following proposal or the transfer request or was not Accepted before midnight (Eastern Time) of the third calendar day following Proposal of the transfer request. The transfer request has timed-out, and the compliance instruments have not been transferred. If the transfer still needs to be recorded, a new transfer proposal must be entered by a representative of the transferring entity.

3.4 Timing of the Transfer Request Process

Reporting a transfer in the CITSS is subject to two types of timing requirements: (1) a transfer between entities must be reported within three days of the settlement date, (2) a transfer request must be Approved (second action by the transferring entity) within two days of being proposed, and Accepted (if required) within three days of being proposed. A violation of (1) does not prevent completion of a transfer in the CITSS. A violation of (2) leads to a transfer request expiring, which stops any additional action on that transfer request in the CITSS.

(1) The Regulation requires that a transfer of compliance instruments between entities must be *reported* to the accounts administrator within three calendar days of the Settlement Date. "Reported" means that the status of the transfer request in the CITSS must be Complete. Settlement Date is the date that the agreement/contract is fulfilled. If a transfer request is not Accepted/Completed by the end of Day 3 following Settlement Date, the transfer violates the regulatory requirement to report in the CITSS. A transfer request in Proposed or Approved status does not satisfy this requirement. CITSS will allow the transfer to be completed as long as no other timing requirements are violated but will notify the entities and ARB that a regulatory requirement has potentially been violated.

(2) The Regulation also requires time frames by which actions on pending transfer requests must be completed within the CITSS.

a. Any proposed transfer request in the CITSS must be Approved within two days of being Proposed. If the transfer request is not Approved by the end of Day 2, the CITSS automatically expires the transfer request, no additional action can be taken on that transfer request, and the compliance instruments are not transferred and are returned to the available balance of the transferring account. The transferring entity may Propose a new transfer request to transfer the instruments if the original transfer request expires. (Once a transfer request is Proposed, the second representative of the transferring entity can Approve the transfer request at any time within 2 days.)

b. For transfers between entities, the transfer must be Accepted within three days of being Proposed. If the transfer request is not Accepted by the end of Day 3, the CITSS automatically expires the transfer request, no additional action can be taken on that transfer request, and the compliance instruments are not transferred and are returned to the available balance of the transferring account. The transferring entity may Propose a new transfer request to transfer the instruments if the original transfer request expires. (Once a transfer request is Approved, the representative of the receiving entity can Accept the transfer request at any time, as long as the action is taken within 3 days.)

3.4.1 Timing Requirements of the Transfer Process

All scheduling within the CITSS is based on prevailing Eastern Time (ET), i.e., Eastern Time with seasonal adjustments for daylight savings. A "day" begins at midnight (12:00 a.m.) and lasts until 11:59 p.m. the next evening. Each requirement period begins at midnight (12:00 a.m.) ET, i.e., Day 1 is the first 24-hour day following the Settlement Date or following the day that the transfer request is proposed. These requirements are explained in tables 3–7.

Table 4. Timing Requirement to Report a Transfer Following the Settlement Date

12 a.m. ET	12 a.m. ET	12 a.m. ET	12 a.m. ET
Friday	Saturday	Sunday	Monday
Settlement Date	**Day 1**	**Day 2**	**Day 3**
The three-day period to report a transfer begins at midnight (12 a.m. ET) of the day following the Settlement Date.			A transfer request must be Accepted within three days, i.e., not later than 11:59 p.m. on Day 3. If the transfer request is not Accepted by the end of Day 3, the transfer violates the regulatory requirement to report within 3 days of the settlement date.

Table 5. Timing Requirements of the Transfer Process

12 a.m. ET	12 a.m.ET	12 a.m. ET	12 a.m. ET
Friday	Saturday	Sunday	Monday
Transfer Request Proposed	**Day 1**	**Day 2**	**Day 3**
A representative of the transferring entity Proposes a transfer request. The three-day period begins at midnight (12 a.m.) ET of the day following Proposal of the transfer request.	A second representative of the transferring entity must Approve the Proposed transfer request no <u>later than two days</u> after it is proposed, i.e., by 11:59 p.m. of Day 2.	If the transfer request is not Approved by the end of Day 2, the CITSS automatically expires the transfer request.	When applicable, a representative of the receiving entity must Accept the transfer request within three days, i.e., not later than 11:59 p.m. on Day 3. If the transfer request is not Accepted by the end of Day 3, the CITSS automatically expires the transfer request.
The transfer status is **PROPOSED**	The transfer status changes to **APPROVED**		The transfer status changes to **COMPLETE**

There are no requirements to prevent the shortest possible completion of the transfer process, i.e., all three steps (Propose, Approve, and Accept) could be completed on the same day.

3.4.2 Potential Timing Scenarios

A transfer can be Proposed either before or after the Settlement Date. In such situations it is possible to violate one timing requirement while complying with another. The CITSS will allow a transfer that only violates the Regulatory requirement for Completion within 3 days after the Settlement Date, but the transfer will be flagged in the CITSS as having violated the Regulation.

CITSS Transfer Proposal Entered after Settlement Date

In the example illustrated in Table 5, the Settlement Date is Friday, but the transfer request is not proposed until Saturday. In this situation, the transfer must be Accepted (Complete) by 11:59 p.m. on Monday to comply with the requirement to complete the transfer within three days of the Settlement Date. However, because the transfer request was proposed a day after the Settlement Date, the CITSS will allow the transfer to be Approved as late as 11:59 p.m. Monday and Accepted as late as 11:59 p.m. Tuesday. If the transfer request is not Accepted by 11:59 p.m. on Monday, the transaction would violate the regulatory requirement, but as long as the transfer request is Approved by this time and Accepted by Tuesday at 11:59 p.m., the CITSS will record the transfer. If either of these deadlines are missed, the transfer will expire in the CITSS.

Table 6. Transfer Process
Settlement Date is Before a Transfer Request is Proposed

Friday	Saturday	Sunday	Monday	Tuesday
			Must be Complete ┐	
Settlement Date	**Day 1**	**Day 2**	**Day 3**	
	Transfer Proposed	**Day 1**	**Day 2**	**Day 3**
			Must be Approved ┘	*Must be Accepted* ┘

CITSS Transfer Proposal Entered before Settlement Date

If a the transfer request is Proposed before the Settlement Date, as illustrated in Table 6, then the transfer request must be Approved within two days of having been Proposed and Accepted within three days of having been Proposed. The transfer will be completed before expiration of the three-day period following the Settlement Date.

Table 7. Transfer Process
Settlement Date is After a Transfer Request is Proposed

Friday	Saturday	Sunday	Monday	Tuesday
		Must be Approved ┐	*Must be Accepted* ┐	
Transfer Proposed	**Day 1**	**Day 2**	**Day 3**	
	Settlement Date	**Day 1**	**Day 2**	**Day 3**
				Must be Complete ┘

CITSS Transfer Completed before Settlement Date

Finally, it is important to describe the situation where a transfer request is completed before the Settlement Date. When a transfer request is Accepted, the CITSS changes the status of a transfer request to Complete and transfers ownership of the compliance instruments. If a transfer request is Complete before the Settlement Date, the CITSS will transfer ownership regardless of the status of any outside contract requirements, including a Settlement Date in the future.

Table 8. Transfer Process
Settlement Date is <u>After</u> a Transfer Request is Complete

Friday	Saturday	Sunday	Monday		In the Future
		Approved ┐	*Accepted and ownership transferred* ┐		
Transfer Proposed	**Day 1**	**Day 2**	**Day 3**	◀ ▶	Settlement Date

3.5 Preparing to Transfer Compliance Instruments

Assembling the information required to Propose a transfer request beforehand will avoid interruptions and the necessity to stop and start while in the data entry process. The information needed to propose a transfer request varies with the type of request.

Preparation of a transfer request begins at the CITSS transfer screen, which includes Tooltips to assist users with the required entries. Tooltips are activated by hovering the mouse cursor over the question mark (**?**) to the right of each data field.

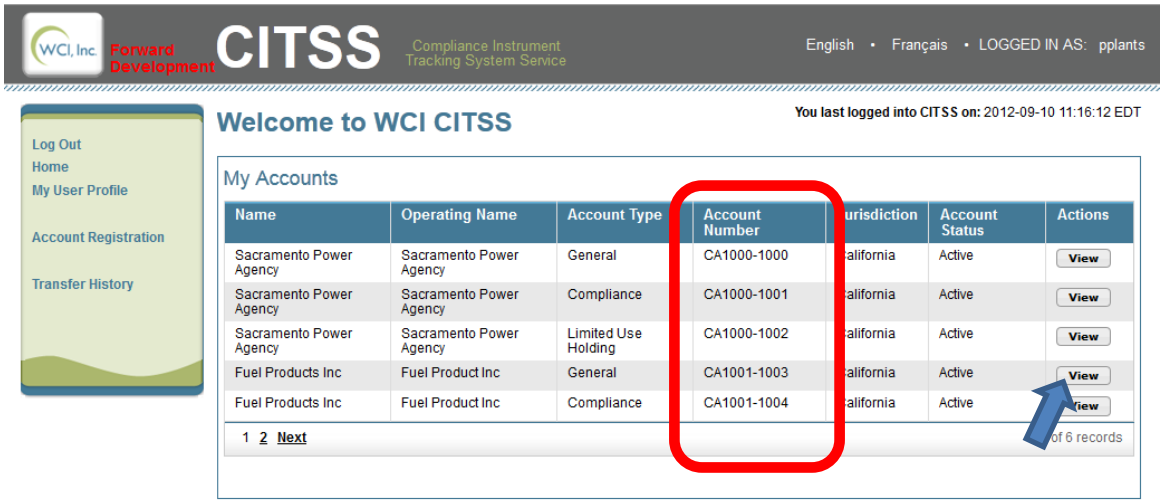
The following information is required to prepare and propose a request to transfer allowances between entities, from a *General Account* to another *General Account*.

- Account Number of Receiving Account (obtained from representative of receiving entity)
- Entity Reference Code of Receiving Entity (obtained from representative of receiving entity)
- Type, vintage, and quantity of Compliance Instruments to be transferred
- Transfer to Corporate Associate (yes/no)
- Price (average price per compliance instrument)
- Currency involved (USD, CAD)
- Trading Venue (Exchange, OTC)
- Type of Contract (Forward, Future, Spot, Other)
- Settlement Date
- Agreement Date

<u>Locating Account Numbers and Entity Reference Codes</u>

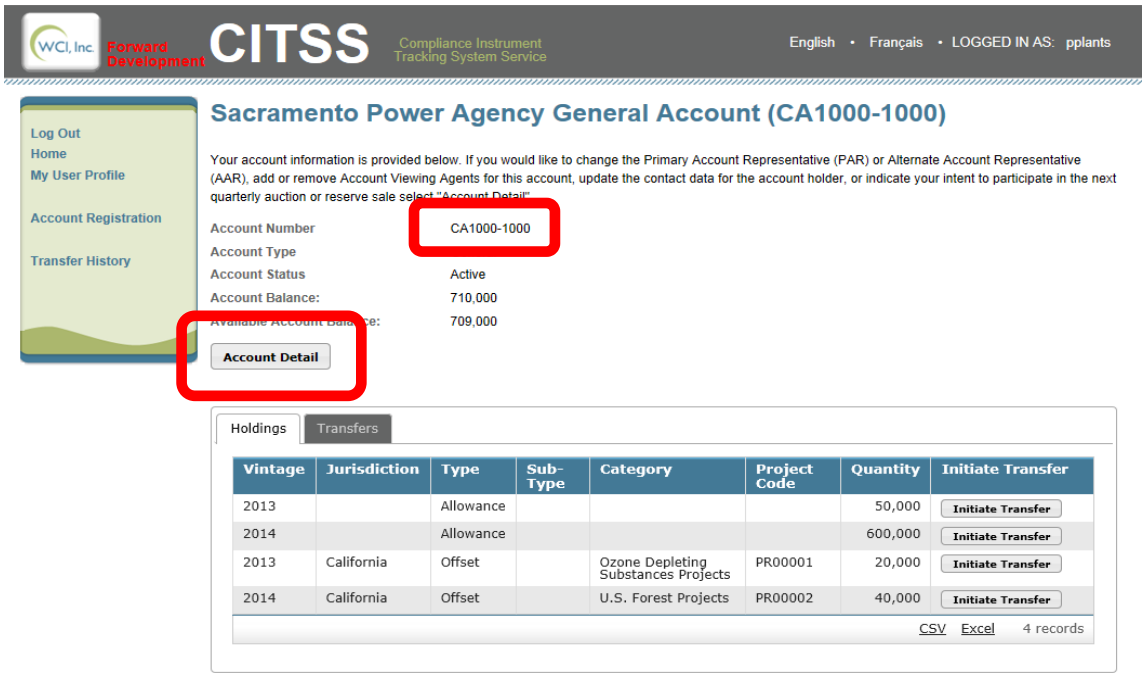
For transfers to other entities, the representatives of the receiving entity must provide the Account Number and the Entity Reference Code to the representative of the transferring entity. The Account Number can be found on the User Home page, as shown in Figure 2.

Figure 2 - CITSS User Home Page Showing Account Numbers



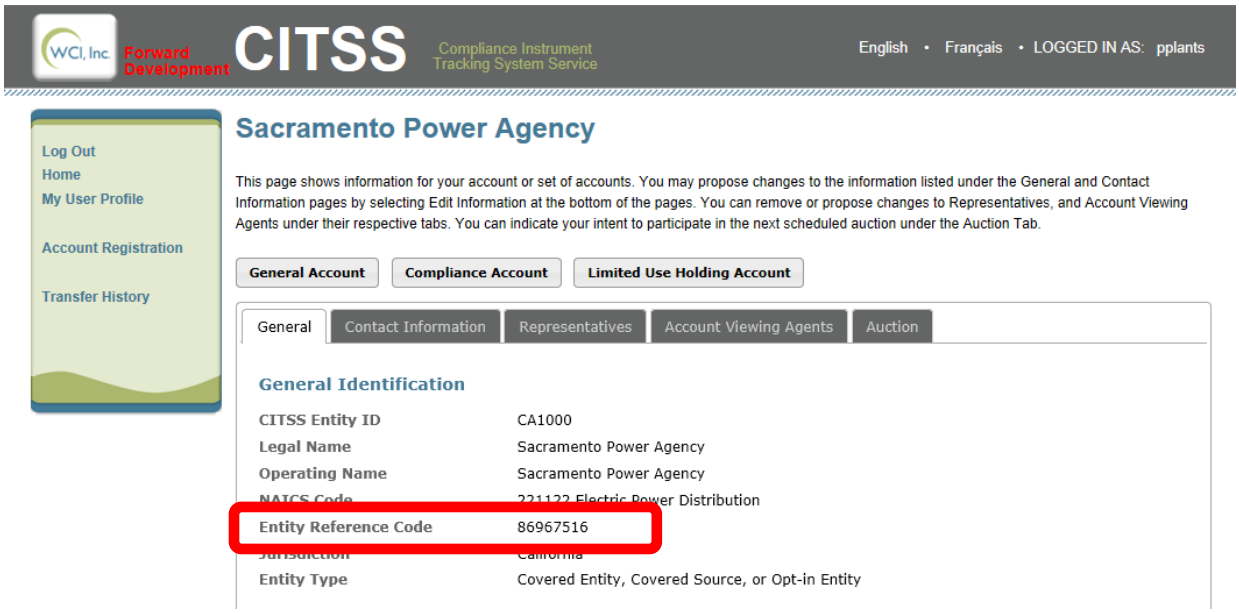
The Entity Reference Code is located on the Account Details page for each account. To access the Accounts Detail Page, select an account by clicking on the View Button for the Account in the Actions column of the Users Home Page (see Figure 2). This will take you to the Account Page shown in Figure 3.

Figure 3 - CITSS Account Page Showing Account Detail Button



Access the Account Detail page by clicking on the **Account Detail** button highlighted in Figure 3. The entity reference code is located on the Account Detail page, shown in Figure 4.

Figure 4 - CITSS Account Detail Page Showing Entity Reference Code



4.0 Transfer Process Examples

This section presents examples of transfers entered in in the CITSS. Each example consists of step-by-step instructions to complete the transfer process for each type of transfer.

The CITSS has been designed so that the steps to accomplish a transfer are essentially the same, regardless of the type of transfer, with only small differences. This design minimizes the number of iterations that users must learn and reduces the chance of errors. There are two general types of transfers:

1. **Three steps Transfers - Transfers between entities (two parties).** These transfers require three steps (Propose, Approve, and Accept), and both the transferring and receiving entities must participate in the transfer process. Instruments are transferred, and the transfer status changes to Complete when the transfer request is Accepted.
2. **Two step Transfers - Transfers between one entity's own accounts, an entity and an exchange clearing service provider, or an entity and jurisdiction accounts** only require the Propose and Approve steps to be Complete. The receiving account does not have to Accept the transfer. Compliance instruments are transferred, and the transfer status changes to Complete when the transfer request is Approved.

The CITSS requires that covered entities, opt-in entities, and general market participants (organizations) have at least two account representatives - a Primary Account Representative (PAR) and an Alternate Account Representative (AAR) - to be able to complete the Propose and Approve steps in a transfer. An Individual General Market Participant is allowed to act as both the PAR and an AAR on their account, so a single representative of an individual general market participant account can Propose and Approve transfers without a second representative. If an individual general market participant chooses to designate one or more AARs, then they must follow the requirement of a second individual Approving transfers.

This section presents the following step-by-step examples:

- 1: Propose a Transfer from a *General Account* to the *General Account* of another entity
- 2: Propose a Transfer From a *General Account* to a *Compliance Account*
- 3: Propose a Transfer From a *General Account* to an *Exchange Clearing Service Account*
- 4: Propose a Transfer From an *Exchange Clearing Service Account* to a *General Account*
- 5: Propose a Transfer From a *Limited Use Holding Account* to the *Auction Account*
- 6: Approve a Transfer Request
- 7: Accept a Transfer Request

4.1 Propose a Transfer from a *General Account* to a *General Account*

This example presents the steps required to transfer instruments from a *General Account* to the *General Account* of another entity.

STEP 1 **Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page which should look similar to Figure 5. The page is titled "Welcome to WCI CITSS" and provides access to three key categories of information: My Accounts, Account Applications, and Pending Transfers.

STEP 2 **Review My Accounts.** My Accounts shows entity accounts for which the user is the PAR, an AAR, or an AVA. My Accounts summarizes the information about each account, including the Legal and Operating Name of the entity, and the Account Type, Number, Jurisdiction, and Status.

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*, and/or an *Exchange Clearing Holding Account*. A Covered Entity always *has a General Account* and a *Compliance Account*. Only entities that are electrical distribution utilities designated by the Regulation receive a *Limited Use Holding Account*. Only entities that are registered as Exchange Clearing Service providers receive an *Exchange Clearing Service Account*.

Each account has a unique account number. Account numbers are needed to Propose transfer requests in the CITSS. When proposing a transfer, CITSS will fill in the number of the transferring account that you select. However, the account number of the receiving account must be obtained from a representative of the receiving entity and manually entered. As shown, the User Home Page is a convenient location to locate account numbers.

STEP 3 **Select the Transferring Account.** In the example in Figure 5, you have access to a *General Account*, a *Compliance Account*, and a *Limited Use Holding Account* for the Sacramento Power Agency. You may transfer instruments from a *General Account* or a *Limited Use Holding Account*. In this example, compliance instruments are to be transferred from the *General Account*. To select the desired account, click on the **View** button located in the Actions column on the far right. In this example we will transfer compliance instruments from the *General Account*. **Click on the View button to select the *General Account*.**

This action will switch you from the User Home Page to the General Account Page (Figure 6) for the selected account.

Figure 5 - CITSS User Home Page

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Log Out
Home
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My User Profile

Account Registration

Transfer History

Welcome to WCI CITSS

You last logged into CITSS on: 2012-09-10 11:16:12 EDT

My Accounts

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Sacramento Power Agency	Sacramento Power Agency	General	CA1000-1000	California	Active	View
Sacramento Power Agency	Sacramento Power Agency	Compliance	CA1000-1001	California	Active	View
Sacramento Power Agency	Sacramento Power Agency	Limited Use Holding	CA1000-1002	California	Active	View
Fuel Products Inc	Fuel Product Inc	General	CA1001-1003	California	Active	View
Fuel Products Inc	Fuel Product Inc	Compliance	CA1001-1004	California	Active	View

1 2 Next 1-5 of 6 records

Account Applications

Name	Entity Type	Jurisdiction	Entity Status
Ag Fabrication Corp	Covered Entity, Covered Source, or Opt-in Entity	California	Pending
Aggregate Harveters	Covered Entity, Covered Source, or Opt-in Entity	California	Registration in Progress

2 records

Pending Transfers

Transfer ID	Transferring Account Entity	Transferring Account Number	Transferring Account Type	Receiving Account Entity	Receiving Account Number	Receiving Account Type	Status	Last Updated
100013	Sacramento Power Agency	CA1000-1000	General	Fuel Products Inc	CA1001-1003	General	Proposed	2012-09-10

1 record

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Select Compliance Instruments to be Transferred
Figure 6 shows the General Account Page for the Sacramento Power Agency. The *General Account* is assigned account number CA1000-1000. The General Account Page shows information about this account. Information summarized on this page includes account number, type, status, balance, and available balance. More detailed information can be accessed through the **Account Detail** button.

The two tabs in the window on the lower half of the page are identified as Holdings and Transfers. The Holdings tab presents a detailed list of the compliance instruments currently in the account. The Transfer tab presents a history of transfers for this account. Transfer history can also be accessed using the menu link in the upper left of the screen.

STEP 4 **Review the Transferring Account Information.** On the General Account page for the Sacramento Power Agency, you:

- Review the account name, number, and type to ensure that you have selected the correct transferring account.
- Review the account status to ensure the account is in a status that allows transfers.
- Review account balance and available balance to ensure there are sufficient compliance instruments in the account to transfer.

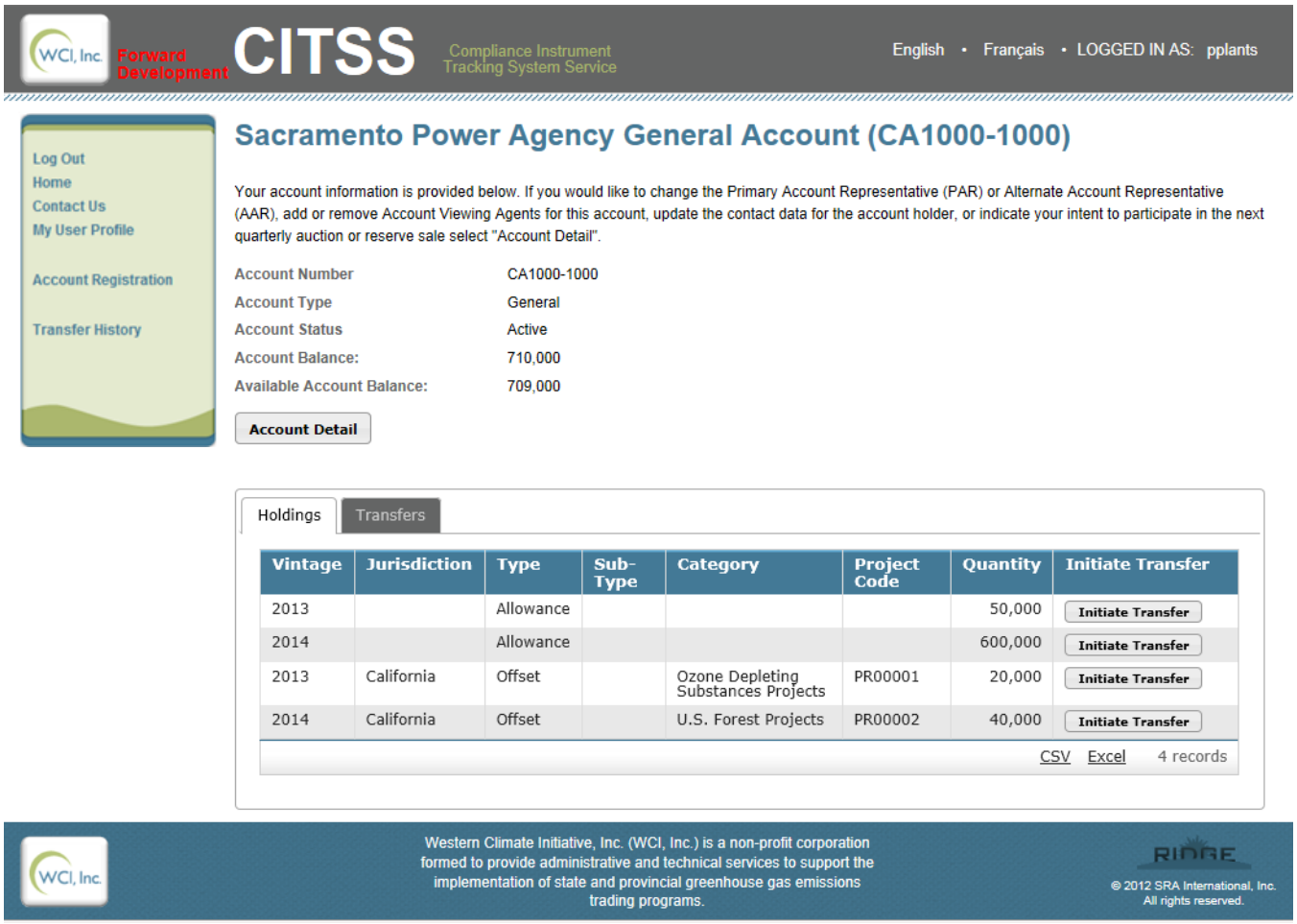
STEP 5 **Select Compliance Instruments to be Transferred.** Begin preparation of a transfer request by determining which compliance instruments you wish to transfer.

The Holdings tab presents a list of the compliance instruments that are currently in this account by Vintage, Jurisdiction, Type, Sub-type, Category, Project Code, and Quantity. Note that several of these fields (Sub-type, Category, and Project Code) are only applicable to offsets and will be blank for allowance records.

STEP 6 Once you have selected the instruments that you wish to transfer, you must press the **Initiate Transfer** button at the right end of the line to begin preparation of a transfer request. **Click on the Initiate Transfer button at the right end of the line of the instruments you wish to transfer.**

This action will take you to the Select Type of Transfer page (Figure 7).

Figure 6 - CITSS General Account Page



Select the Type of Transfer

On the Select Type of Transfer Page (Figure 7), you must select the type of transfer being conducted.

Compliance instruments can be transferred from a *General Account* to another entity's *General Account*, to another entity registered to provide exchange clearing services, to a voluntary *Retirement Account*, or to your *Compliance Account* (you can never transfer instruments to another entity's *Compliance Account*). Transfers to another *General Account* will proceed through the three step Propose-Approve-Accept process, while transfers to the *Retirement Account*, your *Compliance Account,* or to or from an exchange clearing service provider, occur immediately upon the second step (Approve), without the requirement for an acceptance.

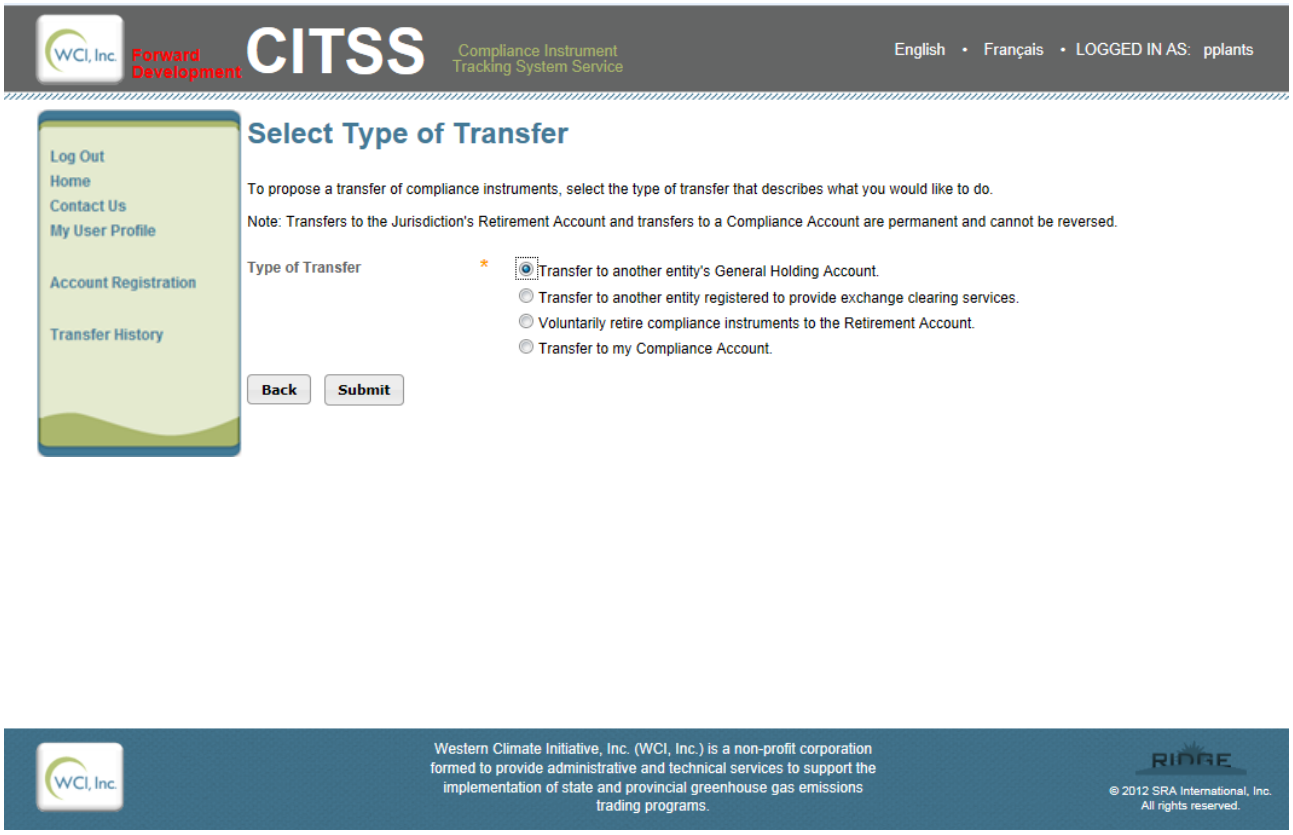
This example is specific to compliance instruments transfers from a *General Account* to another entity's *General Account.*

STEP 7 **Select the Type of Transfer.** At this screen, you must select the type of transfer being conducted. The type of transfer selected will determine the appropriate steps to complete preparation of the transfer request. **Click on the first button to select Transfer to another entity's General Holding Account.**

STEP 8 **Press the** **Submit** **button** to complete this step.

This will take you to the Propose Transfer page (Figure 8).

Figure 7 - CITSS Select Type of Transfer Page



Provide Transfer Details

On the Propose Transfer from: General Account Page (Figure 8), the account representative will identify the receiving account and provide the details of the transfer. This screen provides Tooltips to assist users in completing the fields. Each tooltip is viewed by hovering the cursor over the magenta question mark located immediately to the right of the data field.

Transferring Account Detail – The CITSS automatically fills in the Transferring Account Detail based on the previously selected transfer type and instrument type.

Receiving Account and Transfer Information – The representative enters the details of the transfer in these fields.

STEP 9 **Provide the Account Number and Entity Reference Code of the receiving entity.** The **Account Number** and **Entity Reference Code** are obtained from a representative of the receiving entity. The account number consists of the two-letter abbreviation of the jurisdiction (CA), followed by a four-digit number, a hyphen, and a second four-digit number, e.g., CA1234-1234. The Entity Reference Code is an eight-digit number, e.g., 12345678.

STEP 10 **Provide the quantity of instruments to be transferred.** Quantity must be entered in whole numbers. Enter the number of compliance instruments you are proposing to transfer. This number cannot exceed your available account balance.

STEP 11 **Identify if the transfer is to a corporate associate.** If the entities involved in the transfer are direct corporate associates but are not part of a consolidated account, check this box. If you check this box, the entities must be designated as corporate associates on each entity's Corporate Associations and Structure Form. If the "Transfer to Corporate Associate" box is checked, the price and currency fields become optional entries.

STEP 12 **Enter the price and currency.** Indicate the average price per compliance instrument (not the total price) and the currency involved, US or Canadian. Entering the average price is required for transfers to another CITSS entity that is not a direct corporate associate or exchange clearing service provider. In certain circumstances a zero price is acceptable and will be accepted by the CITSS. For instance, if an EDU buys power from a generator under a "pass-through" arrangement, or for contracts in which compliance instruments are transferred along with or in return for bundles of goods and services, with no basis for calculating payment for the compliance instruments.

STEP 13 **Enter the trading venue and type of contract from the drop-down menus.** Venue options are Exchange, Over the Counter, and other. Exchange generally indicates a standard forward contract or an exchange-based spot contract. An Over the Counter (OTC) contract is between parties not through an exchange. The choices for type of contract are Forward, Future, Spot, or other.

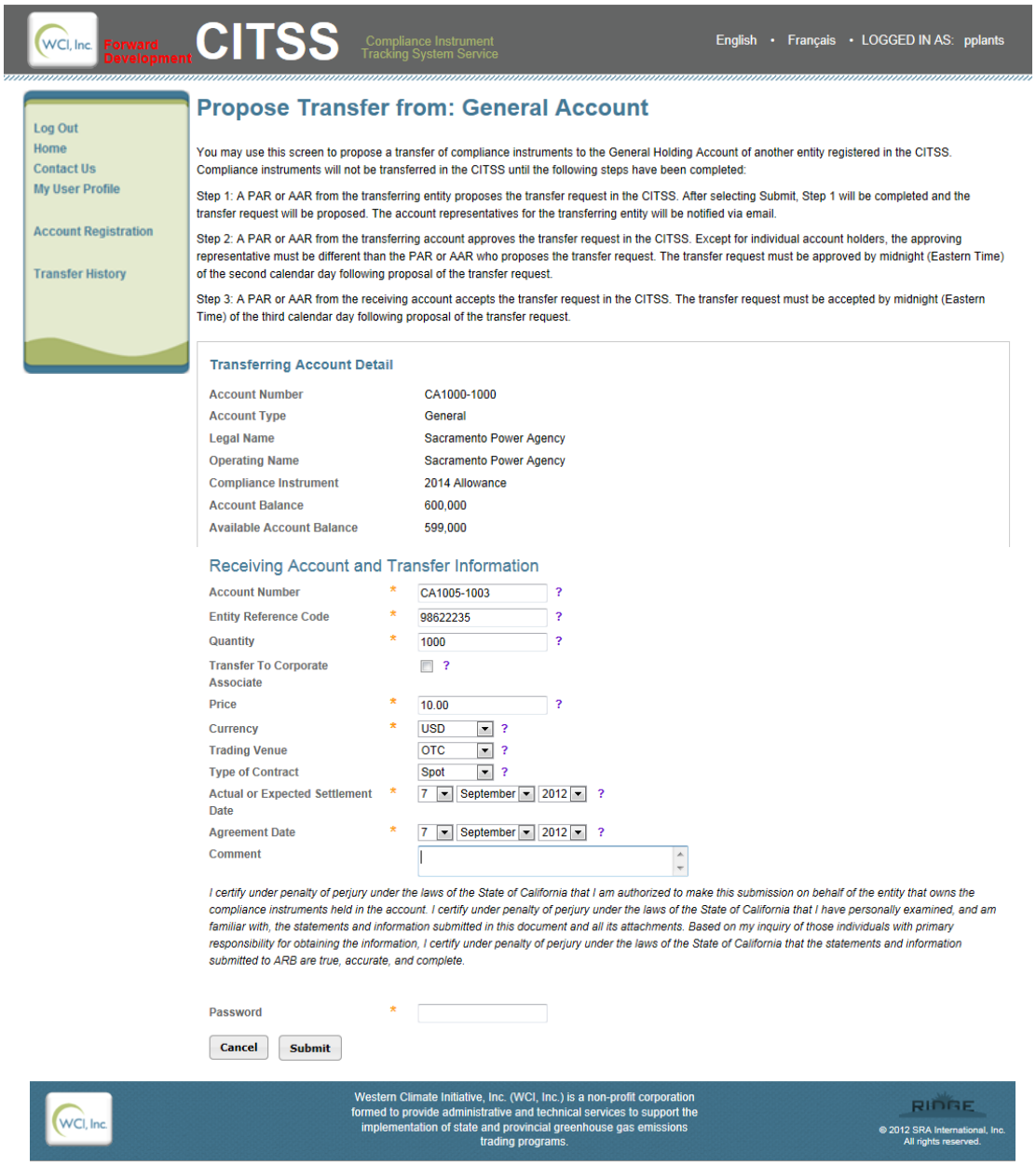
STEP 12 **Enter the agreement and settlement dates.** The Agreement Date is the date the agreement is reached or the contract signed, while the Settlement Date is the date that the agreement/contract is fulfilled. Regardless of agreement or settlement date, the transfer of ownership occurs when the status of the transfer request in the CITSS is Complete.

STEP 13 Enter a comment (not required). Comments are viewable by all representatives and viewing agents of the transferring entity and the receiving entity.

STEP 14 Certify to the Accuracy and Completeness of the Transfer. After completing the required transaction information fields, the representative of the transferring entity must attest to the accuracy and completeness of the transfer information by entering his/her password below the attestation.

STEP 15 Submit the Transfer Request. The transfer request is submitted to the CITSS by clicking on the **Submit** button at the bottom of the screen. **This finishes the steps to Propose a transfer. The transfer request status is now Proposed.**

Figure 8 - CITSS Propose Transfer from: *General Account* Page



Review the Submitted Transfer Request.

The page shown in Figure 9 is presented after a transfer to another entity's *General Account* has been Proposed. The transfer is in the Proposed status awaiting approval by a second representative of the transferring entity. **All Proposed transfers require Approval from a second representative of the transferring entity. See Section 4.6: Approving a Transfer Request**.

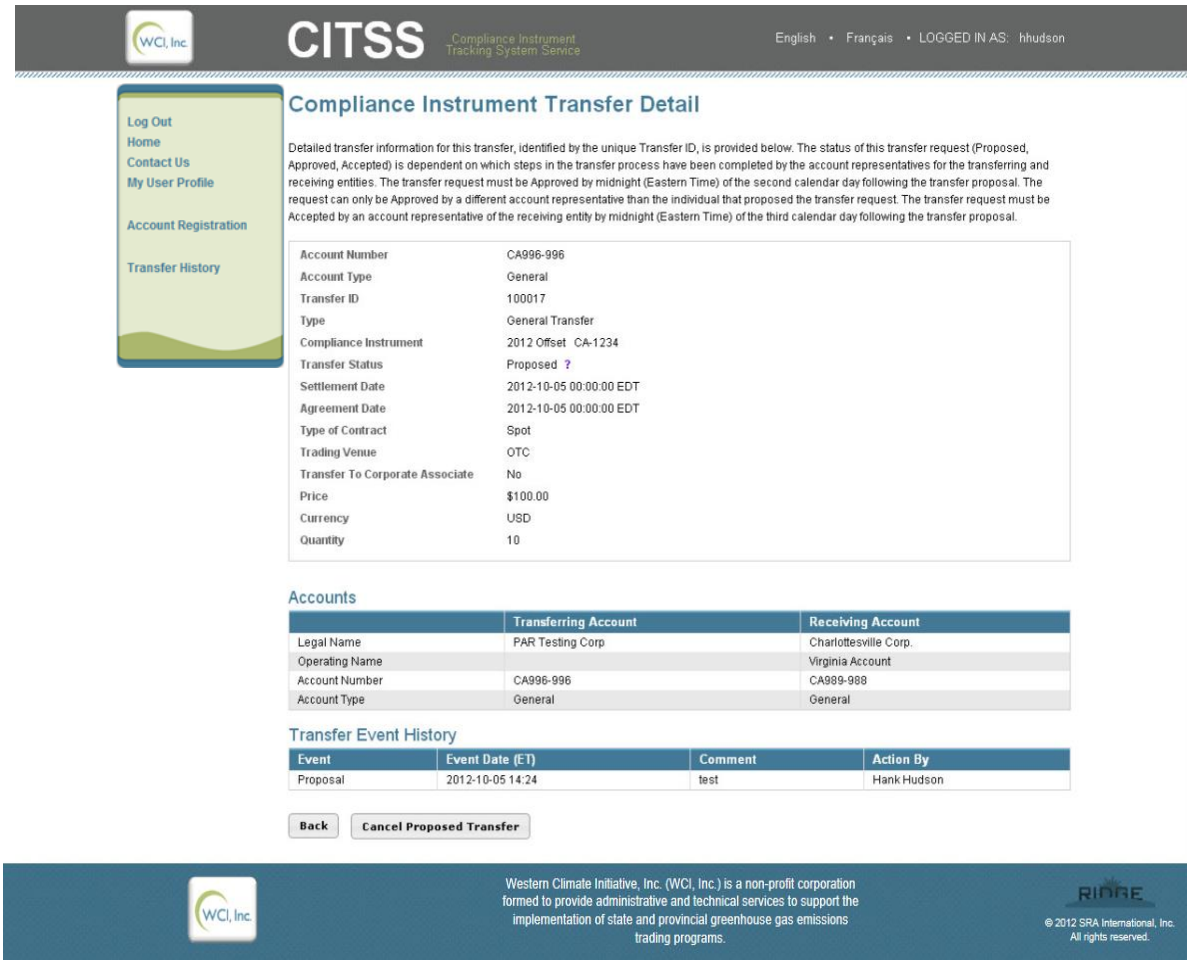
The transfer is now identified by a unique Transfer ID number. This six-digit number can be found just below the account number and account type on this page. The Transfer ID number will be the identifier for this transaction in the CITSS.

The Transfer Event History window on this page shows the time and date that the transfer request was proposed, as well as the representative that submitted the proposal. The transfer can be cancelled by the representative who entered the initial proposal as long as it is remains in the Proposed status.

Transfers to another entity's General Account will require the transferring entity to complete the two steps, Propose and Approve and the receiving entity to Accept the transfer. The transfer occurs when the third step (Accept) is entered by a representative from the receiving entity.

The steps to Approve a Proposed Transfer are presented in Section 4.6.

Figure 9 - CITSS Compliance Instrument Transfer Detail Page



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CITSS Compliance Instrument Tracking System Service

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Account Registration

Transfer History

Compliance Instrument Transfer Detail

Detailed transfer information for this transfer, identified by the unique Transfer ID, is provided below. The status of this transfer request (Proposed, Approved, Accepted) is dependent on which steps in the transfer process have been completed by the account representatives for the transferring and receiving entities. The transfer request must be Approved by midnight (Eastern Time) of the second calendar day following the transfer proposal. The request can only be Approved by a different account representative than the individual that proposed the transfer request. The transfer request must be Accepted by an account representative of the receiving entity by midnight (Eastern Time) of the third calendar day following the transfer proposal.

Account Number	CA996-996
Account Type	General
Transfer ID	100017
Type	General Transfer
Compliance Instrument	2012 Offset CA-1234
Transfer Status	Proposed ?
Settlement Date	2012-10-05 00:00:00 EDT
Agreement Date	2012-10-05 00:00:00 EDT
Type of Contract	Spot
Trading Venue	OTC
Transfer To Corporate Associate	No
Price	$100.00
Currency	USD
Quantity	10

Accounts

	Transferring Account	Receiving Account
Legal Name	PAR Testing Corp	Charlottesville Corp.
Operating Name		Virginia Account
Account Number	CA996-996	CA989-988
Account Type	General	General

Transfer Event History

Event	Event Date (ET)	Comment	Action By
Proposal	2012-10-05 14:24	test	Hank Hudson

Back | Cancel Proposed Transfer

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4.2 Propose a Transfer from the *General Account* to the *Compliance Account*

This example presents the steps to transfer instruments from a *General Account* to a *Compliance Account*.

Every covered and opt-in entity has a *Compliance Account*. The *Compliance Account* is the account from which instruments are surrendered to the ARB at the end of a compliance period. Transfers to the *Compliance Account* are irreversible and instruments transferred into the *Compliance Account* cannot be removed at a future date.

STEP 1 **Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page which should look similar to Figure 10. The User Home Page is titled "Welcome to WCI CITSS" and provides access to three key categories of information: My Accounts, Account Applications, and Pending Transfers.

STEP 2 **Review My Accounts.** My Accounts shows entity accounts for which the user is the PAR, an AAR, or an AVA. My Accounts summarizes the information about each account, including the Legal and Operating Name of the entity, and the Account Type, Number, Jurisdiction, and Status.

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*, and/or an *Exchange Clearing Holding Account*. A Covered Entity always *has a General Account* and a *Compliance Account*. Only entities that are electrical distribution utilities designated by the Regulation receive a *Limited Use Holding Account*. Only entities that are registered as Exchange Clearing Service Providers receive an *Exchange Clearing Service Account*.

Each account has a unique account number. Account numbers are needed to Propose transfer requests in the CITSS. When proposing a transfer, CITSS will fill in the number of the transferring account that you select. However, the account number of the receiving account must be obtained from a representative of the receiving entity and manually entered. As shown, the User Home Page is a convenient location to locate account numbers.

STEP 3 **Select the Transferring Account.** In the example in Figure 10, you have access to a *General Account*, a *Compliance Account*, and a *Limited Use Holding Account* for the Sacramento Power Agency. You may transfer instruments from a *General Account* or a *Limited Use Holding Account*. To select the desired account, click on the **View** button located in the Actions column on the far right. In this example we will transfer compliance instruments from the *General Account*. **Click on the View button to select the *General Account*.**

This action will switch you from the User Home Page to the General Account Page (Figure 11) for the selected account.

Figure 10 - CITSS User Home Page

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Log Out
Home
Contact Us
My User Profile

Account Registration

Transfer History

Welcome to WCI CITSS

You last logged into CITSS on: 2012-09-10 11:16:12 EDT

My Accounts

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Sacramento Power Agency	Sacramento Power Agency	General	CA1000-1000	California	Active	View
Sacramento Power Agency	Sacramento Power Agency	Compliance	CA1000-1001	California	Active	View
Sacramento Power Agency	Sacramento Power Agency	Limited Use Holding	CA1000-1002	California	Active	View
Fuel Products Inc	Fuel Product Inc	General	CA1001-1003	California	Active	View
Fuel Products Inc	Fuel Product Inc	Compliance	CA1001-1004	California	Active	View

1 2 Next 1-5 of 6 records

Account Applications

Name	Entity Type	Jurisdiction	Entity Status
Ag Fabrication Corp	Covered Entity, Covered Source, or Opt-in Entity	California	Pending
Aggregate Harveters	Covered Entity, Covered Source, or Opt-in Entity	California	Registration in Progress

2 records

Pending Transfers

Transfer ID	Transferring Account Entity	Transferring Account Number	Transferring Account Type	Receiving Account Entity	Receiving Account Number	Receiving Account Type	Status	Last Updated
100013	Sacramento Power Agency	CA1000-1000	General	Fuel Products Inc	CA1001-1003	General	Proposed	2012-09-10

1 record

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Select Compliance Instruments to be Transferred

Figure 11 shows the General Account Page for the Sacramento Power Agency. The *General Account* is assigned account number CA1000-1000. The General Account Page shows information about this account. Information summarized on this page includes account number, type, status, balance, and available balance. More detailed information can be accessed through the **Account Detail** button.

There are two tabs in the window on the lower half of the page identified as Holdings and Transfers. The Holdings tab presents a detailed list of the compliance instruments currently in the account. The Transfer tab presents a history of transfers for this account. Transfer History can also be accessed using the link in the menu located in the upper left of the page.

STEP 4 **Review the Transferring Account Information.** On the General Account page for the Sacramento Power Agency, you:

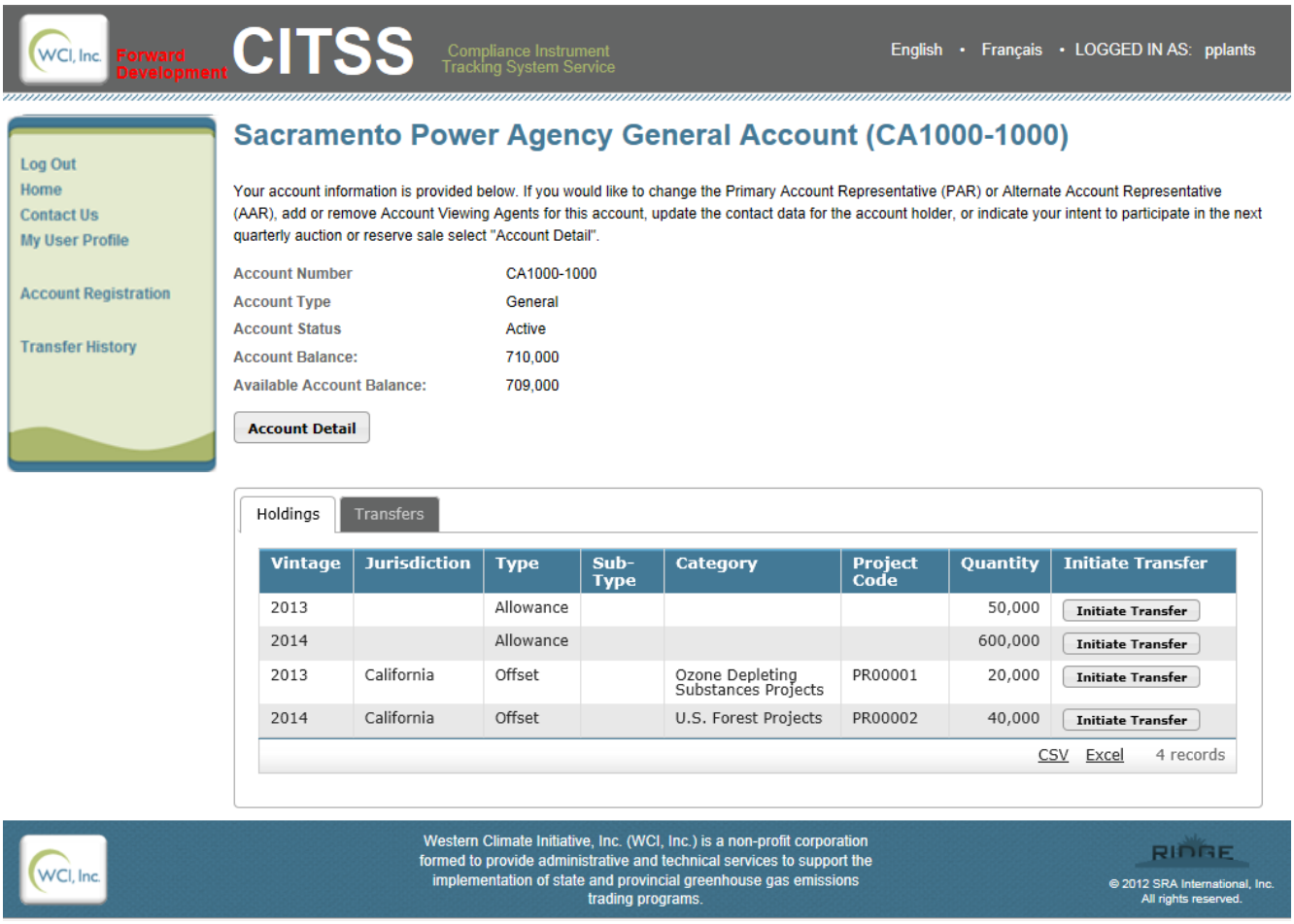
- Review the account name, number, and type to ensure that you have selected the correct transferring account.
- Review the account status to ensure the account is in a status that allows transfers.
- Review account balance and available balance to ensure there are sufficient compliance instruments in the account to transfer.

STEP 5 **Select Compliance Instruments to be Transferred.** After ensuring that account information and balances are in order, you begin preparation of a transfer request by determining which compliance instruments you wish to transfer.

The Holdings tab presents a list of the compliance instruments that are currently in this account. The list provides an itemized list of instruments in the account by Vintage, Jurisdiction, Type, Sub-type, Category, Project Code, and Quantity. Note that several of these fields (Sub-type, Category, and Project Code) are only applicable to offsets and will be blank for allowance records.

STEP 6 Once you have identified the instruments that you wish to transfer, you must press the **Initiate Transfer** button at the right end of the line to begin preparation of a transfer request. **Click on the Initiate Transfer button at the right end of the line of the instruments you wish to transfer.**

Figure 11 - CITSS General Account Page



Select the Type of Transfer

On the Select Type of Transfer Page (Figure 12), you must select the type of transfer being conducted.

Compliance instruments can be transferred from a *General Account* to another entity's *General Account*, to another entity registered to provide exchange clearing services, to the jurisdiction's *Retirement Account*, or to your *Compliance Account* (you can never transfer instruments to another entity's *Compliance Account*). Transfers to another *General Account* will proceed through the three step Propose-Approve-Accept process; while transfers to the *Retirement Account*, or your *Compliance Account*, or to or from an exchange clearing service provider, occur immediately upon the second step (Approve), without the requirement for an acceptance.

This example is specific to compliance instruments transfers from a *General Account* to a *Compliance Account.*

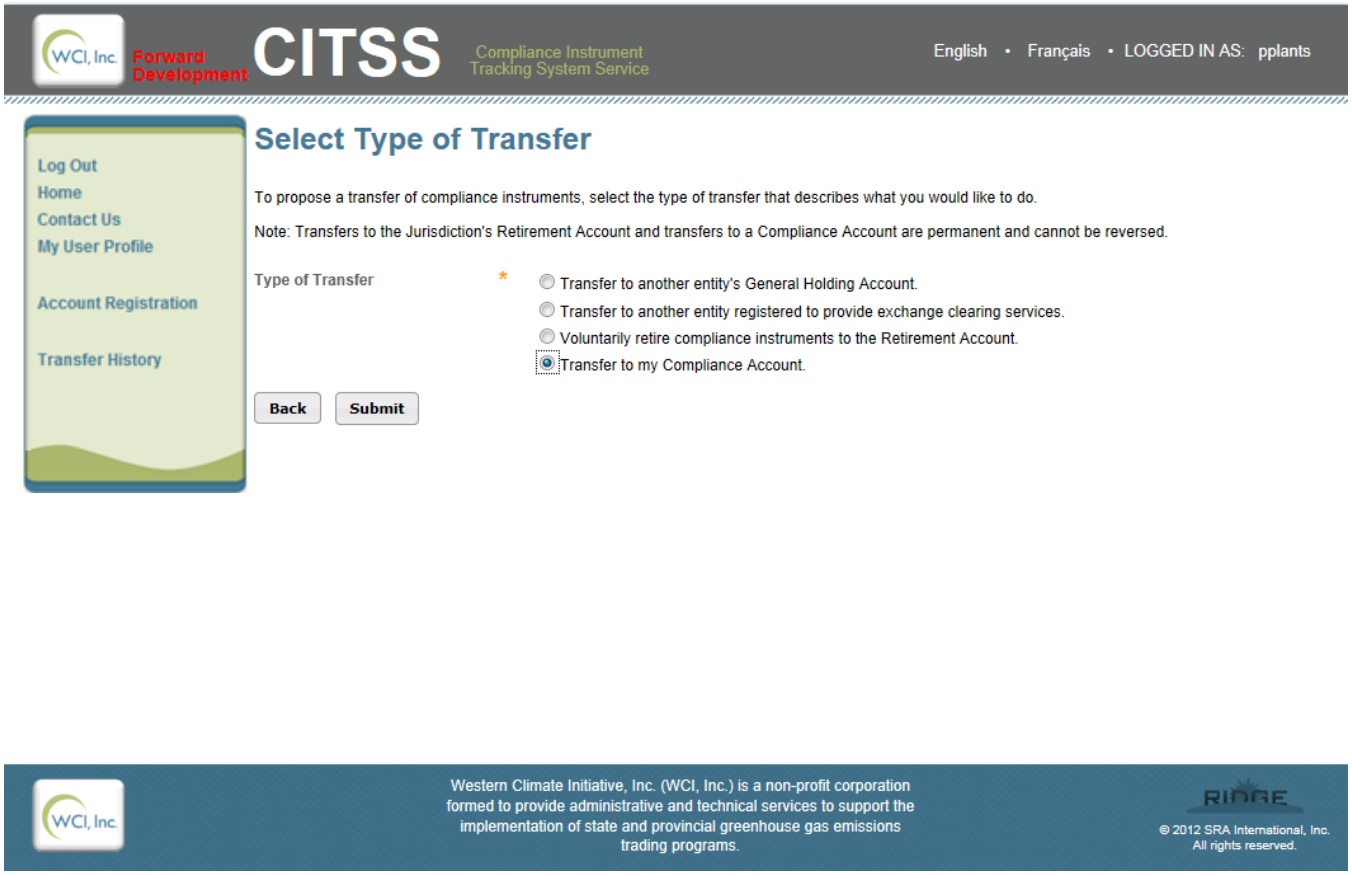
Reminder: Transfers to your *Compliance Account* are irreversible.

STEP 7 **Select the Type of Transfer.** At this screen, you must select the type of transfer being conducted. The type of transfer selected will determine the appropriate steps to complete preparation of the transfer request. **Click on the last button to select Transfer to my *Compliance Account*.**

STEP 8 **Press the** **Submit** **button** to complete this step.

This will take you to the Propose Transfer Page (Figure 13).

Figure 12 - CITSS Select Type of Transfer Page



Provide Transfer Details

On the Propose Transfer from: General Account Page (Figure 13), the account representative will provide the details of the transfer. This screen provides Tooltips to assist users in completing the fields with the correct information. Each tooltip is viewed by hovering the mouse cursor over the magenta question mark located immediately to the right of the data field.

Transferring Account Detail – For this type of transfer, CITSS automatically fills the Transferring Account Detail based on the previously selected transfer type and instrument type.

Receiving Account Details – CITSS automatically fills the Receiving Account Detail based on the previously selected transfer type. The representative enters the remaining details of the transfer in these fields.

STEP 9 Propose the number of instruments for the transfer.

STEP 10 Enter a comment if you wish (not required). Comments are viewable by all representatives and viewing agents of the transferring entity.

STEP 11 Certify to the Accuracy and Completeness of the Transfer. After completing the required transaction information fields, the representative of the transferring entity must attest to the accuracy and completeness of the transfer information by entering his/her password below the attestation.

STEP 12 Submit the Transfer Request. The transfer request is submitted to the CITSS by clicking on the **Submit** button at the bottom of the screen. **This finishes the steps to Propose a transfer. The transfer request status is now Proposed.**

Figure 13 - CITSS Propose Transfer from: *General Account* Page

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Account Registration

Transfer History

Propose Transfer from: General Account

You may use this screen to transfer compliance instruments from your General Holding Account to your Compliance Account. **Transferring compliance instruments to your Compliance Account is a permanent action.** Compliance instruments will not be transferred to your Compliance Account until the following steps have been completed:

Step 1: A PAR or AAR from the transferring account proposes the transfer request in the CITSS. After selecting Submit, Step 1 will be completed and the transfer request will be proposed in the CITSS and the account representatives for the transferring account will be notified via email.

Step 2: A PAR or AAR from the transferring account approves the transfer request in the CITSS. Except for individual account holders, the representative that approves a transfer request must be different than the representative that proposed the transfer request. The transfer request must be approved by midnight (Eastern Time) of the second calendar day following the date the transfer was initially proposed.

A transfer request to the Compliance Account DOES NOT require Acceptance, and is completed upon Approval by the second representative.

Transferring Account Detail

Account Number	CA1000-1000
Account Type	General
Legal Name	Sacramento Power Agency
Operating Name	Sacramento Power Agency
Compliance Instrument	2014 Allowance
Account Balance	600,000
Available Account Balance	599,000

Receiving Account and Transfer Information

Account Number		CA1000-1001
Account Name		Sacramento Power Agency
Account Type		Compliance
Quantity	*	1000 ?
Comment		

I certify under penalty of perjury under the laws of the State of California that I am authorized to make this submission on behalf of the entity that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete.

Password *

Cancel Submit

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Review the Submitted Transfer Request

The page shown in Figure 14 is presented after a transfer to the *Compliance Account* has been Proposed. The transfer is in the Proposed status awaiting approval by a second representative of the transferring entity. **All Proposed transfers require Approval from a second representative of the transferring entity. See Section 4.6: Approving a Transfer Request**.

The transfer is now identified by a unique Transfer ID number. This six-digit number can be found just below the account number and account type on this page. The Transfer ID number will be the identifier for this transaction in the CITSS.

The Transfer Event History window on this page shows the time and date that the transfer request was proposed, as well as the representative that submitted the proposal. The transfer can be cancelled by the representative who entered the initial proposal as long as it is remains in the Proposed status.

Transfers to a *Compliance Account* only require the transferring entity to complete the two steps, Propose and Approve. The transfer occurs immediately upon the second step (Approve), without the requirement for an acceptance.

Figure 14 - CITSS Compliance Instrument Transfer Detail Page

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Home
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My User Profile

Account Registration

Transfer History

Compliance Instrument Transfer Detail

Detailed transfer information for this Transfer ID is provided below. The status of this transfer request is dependent on which steps in the transfer process have been completed by the account representatives. One account representative must Propose the transfer request. For the compliance instruments to be transferred to the compliance account, the transfer request must be Approved by a transferring account representative other than the initiating representative by the end of the second calendar day following the initial transfer proposal.

A transfer request to the Compliance Account DOES NOT require Acceptance, and is completed upon Approval by the second representative.

Account Number	CA1000-1000
Account Type	General
Transfer ID	100014
Type	Compliance
Compliance Instrument	2014 Allowance
Transfer Status	Proposed ?
Quantity	1,000

Accounts

	Transferring Account	Receiving Account
Legal Name	Sacramento Power Agency	Sacramento Power Agency
Operating Name	Sacramento Power Agency	Sacramento Power Agency
Account Number	CA1000-1000	CA1000-1001
Account Type	General	Compliance

Transfer Event History

Event	Event Date (ET)	Comment	Action By
Proposal	2012-09-10 12:53		Perry Plants

Back | Cancel Proposed Transfer

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4.3 Propose a Transfer from a *General Account* to an Exchange Clearing Service Provider's*, Exchange Clearing Holding Account*

This example presents the steps required to transfer instruments from a *General Account* to an Exchange Clearing Service Provider's, *Exchange Clearing Holding 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. All of the compliance instruments received by an exchange clearing holding account must be transferred to one or more destination accounts within five days of receiving them. A request to transfer compliance instruments to or from an exchange clearing holding account does not require confirmation by an account representative of the receiving account.

STEP 1 **Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page which should look similar to Figure 15. The User Home Page is titled "Welcome to WCI CITSS" and provides access to three key categories of information: My Accounts, Account Applications, and Pending Transfers.

STEP 2 **Review My Accounts.** My Accounts shows entity accounts for which the user is the PAR, an AAR, or an AVA. My Accounts summarizes the information about each account, including the Legal and Operating Name of the entity, and the Account Type, Number, Jurisdiction, and Status.

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*, and/or an *Exchange Clearing Holding Account*. A Covered Entity always *has a General Account* and a *Compliance Account*. Only entities that are electrical distribution utilities designated by the Regulation receive a *Limited Use Holding Account*. Only entities that are registered as Exchange Clearing Service Providers receive an *Exchange Clearing Service Account*.

Each account has a unique account number. Account numbers are required for transfers in the CITSS. When proposing a transfer, CITSS will fill in the number of the transferring account that you select. However, the account number of the receiving account must be obtained from a representative of the receiving entity and manually entered.

STEP 3 **Select the Transferring Account.** In the example in Figure 15, you have access to a *General Account*, a *Compliance Account*, and a *Limited Use Holding Account* for the Sacramento Power Agency. You may transfer instruments from a *General Account* or a *Limited Use Holding Account*. You may transfer instruments from a *General Account* or a *Limited Use Holding Account*. To select the desired account, click on the **View** button located in the Actions column on the far right. In this example, compliance instruments are to be transferred from the General Account. **Click on the View button to select the General Account.**

This action will switch you from the User Home Page to the General Account Page (Figure 16) for the selected account.

Figure 15 - CITSS User Home Page

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Log Out
Home
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Account Registration

Transfer History

Welcome to WCI CITSS

You last logged into CITSS on: 2012-09-10 11:16:12 EDT

My Accounts

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Sacramento Power Agency	Sacramento Power Agency	General	CA1000-1000	California	Active	View
Sacramento Power Agency	Sacramento Power Agency	Compliance	CA1000-1001	California	Active	View
Sacramento Power Agency	Sacramento Power Agency	Limited Use Holding	CA1000-1002	California	Active	View
Fuel Products Inc	Fuel Product Inc	General	CA1001-1003	California	Active	View
Fuel Products Inc	Fuel Product Inc	Compliance	CA1001-1004	California	Active	View

1 2 Next 1-5 of 6 records

Account Applications

Name	Entity Type	Jurisdiction	Entity Status
Ag Fabrication Corp	Covered Entity, Covered Source, or Opt-in Entity	California	Pending
Aggregate Harveters	Covered Entity, Covered Source, or Opt-in Entity	California	Registration in Progress

2 records

Pending Transfers

Transfer ID	Transferring Account Entity	Transferring Account Number	Transferring Account Type	Receiving Account Entity	Receiving Account Number	Receiving Account Type	Status	Last Updated
100013	Sacramento Power Agency	CA1000-1000	General	Fuel Products Inc	CA1001-1003	General	Proposed	2012-09-10

1 record

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Select Compliance Instruments to be Transferred

Figure 16 shows the General Account Page for the Sacramento Power Agency. The *General Account* is assigned account number CA1000-1000. The Account Page shows information about this account. Information summarized on this page includes account number, type, status, balance, and available balance. More detailed information can be accessed through the **Account Detail** button.

There are two tabs in the window on the lower half of the page identified as Holdings and Transfers. The Holdings tab presents a detailed list of the compliance instruments currently in the account. The Transfer tab presents a history of transfers for this account. Transfer History can also be accessed using the link in the menu located in the upper left of the page.

STEP 4 **Review the Transferring Account Information.** On the General Account page for the Sacramento Power Agency, you:

- Review the account name, number, and type to ensure that you have selected the correct transferring account.
- Review the account status to ensure the account is in a status that allows transfers.
- Review account balance and available balance to ensure there are sufficient compliance instruments in the account to transfer.

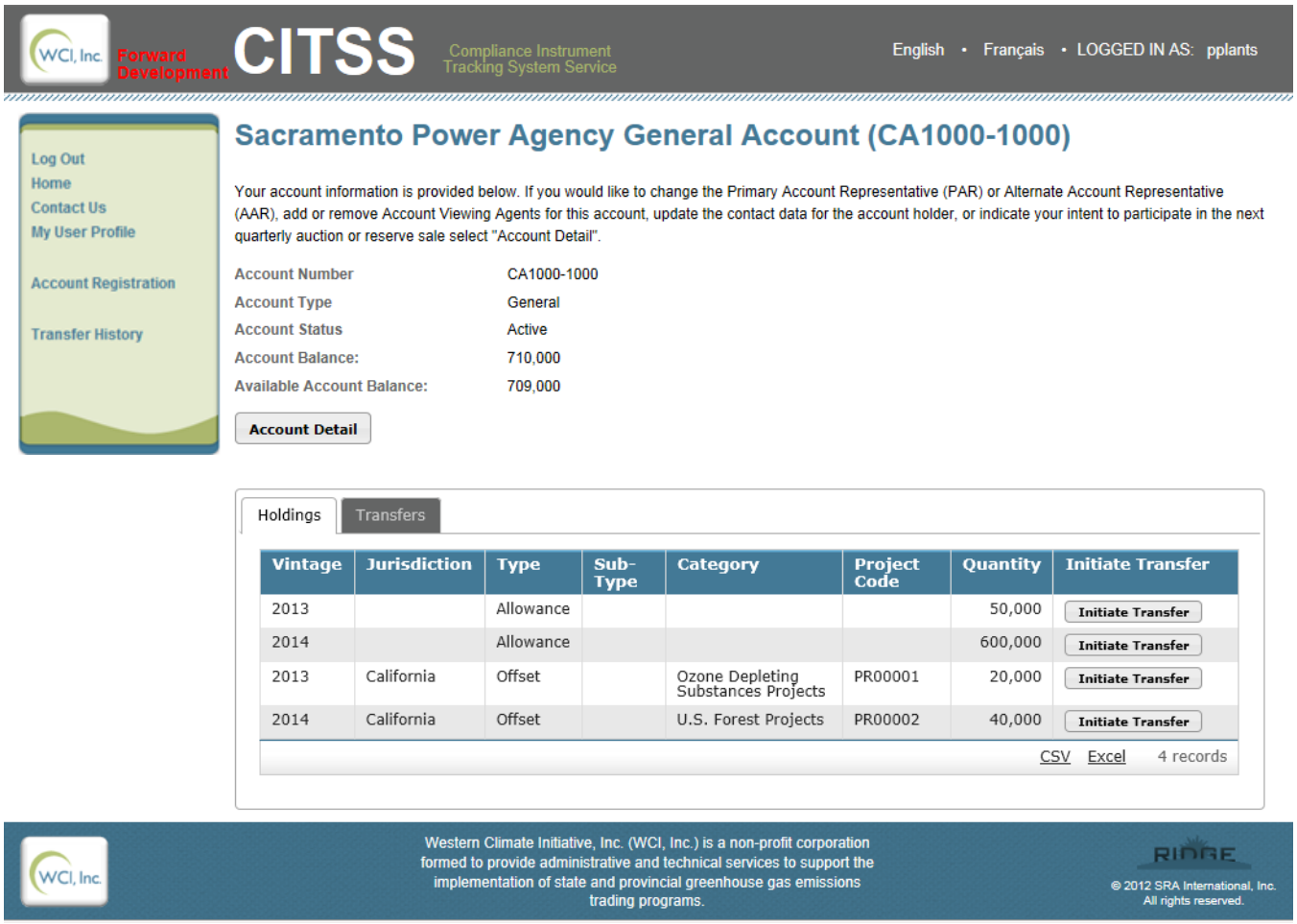
STEP 5 **Select Compliance Instruments to be Transferred.** After ensuring that account information and balances are in order, you begin preparation of a transfer request by determining which compliance instruments you wish to transfer.

The Holdings tab presents a list of the compliance instruments that are currently in this account. The list provides an itemized list of instruments in the account by Vintage, Jurisdiction, Type, Sub-type, Category, Project Code, and Quantity. Note that several of these fields (Sub-type, Category, and Project Code) are only applicable to offsets and will be blank for allowance records.

STEP 6 Once you have identified the instruments that you wish to transfer, you must press the **Initiate Transfer** button at the right end of the line to begin preparation of a transfer request. **Click on the Initiate Transfer button at the right end of the line of the instruments you wish to transfer.**

This will take you to the Select Type of Transfer Page (Figure 17).

Figure 16 - CITSS General Account Page



Select the Type of Transfer

On the Select Type of Transfer Page (Figure 17), you must select the type of transfer being conducted.

Compliance instruments can be transferred from a *General Account* to another entity's *General Account*, to another entity registered to provide exchange clearing services, to a voluntary *Retirement Account*, or to your *Compliance Account* (you can never transfer instruments to another entity's *Compliance Account*). Transfers to another *General Account* will proceed through the three step Propose-Approve-Accept process, while transfers to the *Retirement Account*, an Exchange Clearing Service Provider, or your *Compliance Account* occur immediately upon the second step (Approve), without the requirement for an acceptance.

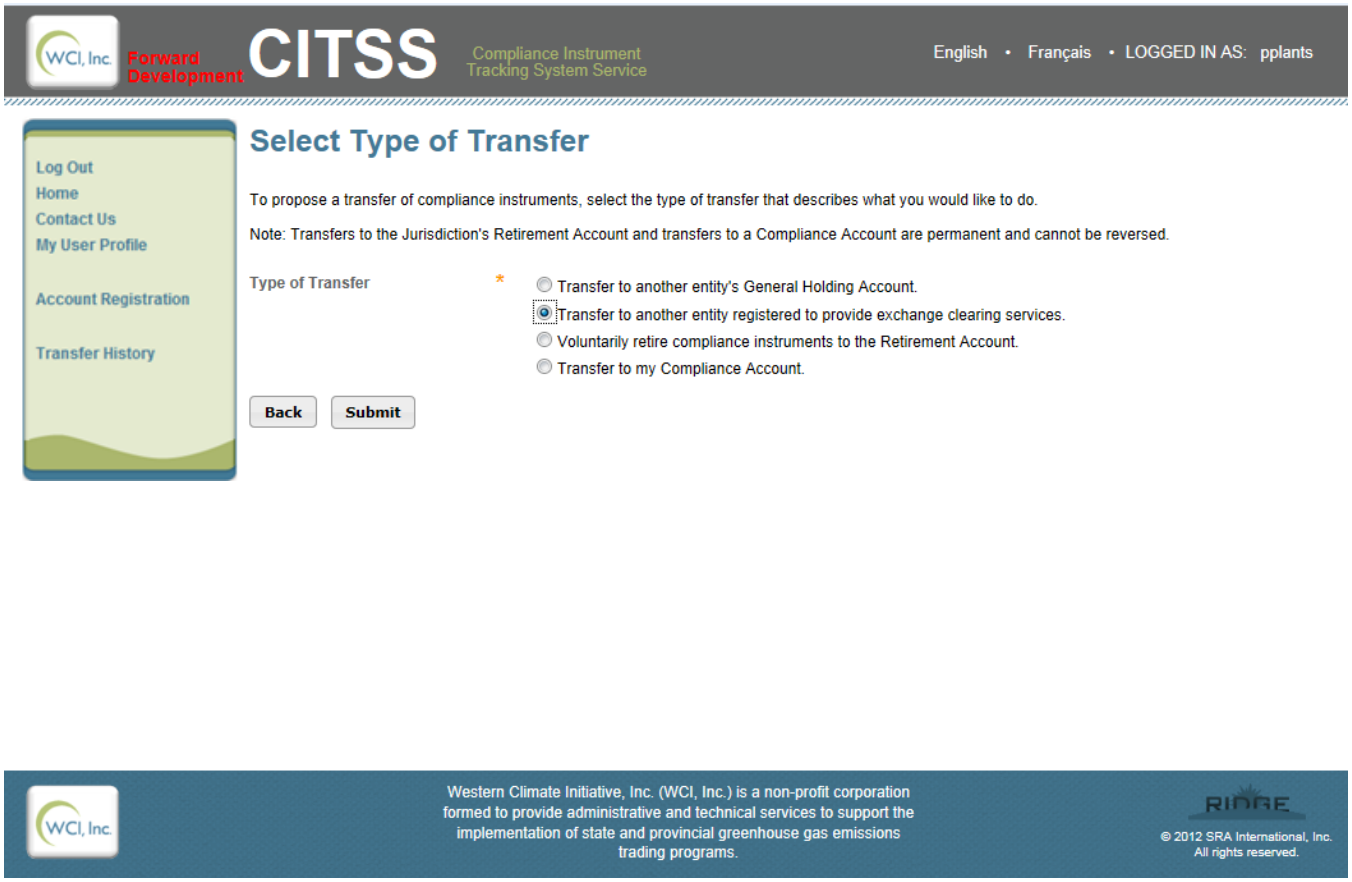
This example is specific to compliance instruments transfers from a *General Account* to an Exchange Clearing Service Provider's, *Exchange Clearing Holding Account*.

STEP 7 **Select the Type of Transfer.** At this screen, you must select the type of transfer being conducted. The type of transfer selected will determine the appropriate steps to complete preparation of the transfer request. **Click on the button to select Transfer to another entity registered to provide exchange clearing services.**

STEP 8 **Press the** **Submit** **button** to complete this step.

This will take you to the Propose Transfer Page (Figure 18).

Figure 17 - CITSS Select Type of Transfer Page



Provide Transfer Details

On the Propose Transfer from: General Account Page (Figure 18), the account representative will provide the details of the transfer and the receiving account. This screen provides Tooltips to assist users in completing the fields with the correct information. Each tooltip is viewed by hovering the mouse cursor over the magenta question mark located immediately to the right of the data field.

Transferring Account Detail – The CITSS automatically fills the Transferring Account Detail based on the previously selected transfer type and instrument type.

Provide the Receiving Account and Transfer Information – The representative enters the details of the transfer in these fields. Required information includes identification of the receiving account, number of compliance instruments being transferred, and details of the transfer.

STEP 9 **Provide the Account Number and Entity Reference Code of the receiving entity and the amount of the transfer.** The **Account Number** and **Entity Reference Code** are obtained from a representative of the receiving entity. The account number consists of the two-letter abbreviation of the jurisdiction (CA), followed by a four-digit number, a hyphen, and a second four-digit number, e.g., CA1234-1234. The Entity Reference Code is an eight-digit number, e.g., 12345678.

STEP 10 **Provide the quantity of instruments to be transferred.** Quantity must be entered in whole numbers. Enter the number of compliance instruments you are proposing to transfer. This number cannot exceed your available account balance.

STEP 11 **Enter the price and currency, if known.** These are optional fields since the transferring (selling) entity may not know the price.

STEP 12 **Enter the agreement and settlement dates.** The Agreement Date is the date the agreement is reached or the contract signed, while the Settlement Date is the date that the agreement/contract is fulfilled. Again, these are optional fields.

STEP 13 **Enter a comment if you wish (not required).** Comments are viewable by all representatives and viewing agents of the transferring entity.

STEP 14 **Certify to the Accuracy and Completeness of the Transfer**. After completing the required transaction information fields, the representative of the transferring entity must attest to the accuracy and completeness of the transfer information by entering his/her password below the attestation.

STEP 15 **Submit the Transfer Request.** The transfer request is submitted to the CITSS by clicking on the **Submit** button at the bottom of the screen.

The transfer request is now in a Proposed status.

Figure 18 - CITSS Propose Transfer from: *General Account* Page

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Account Registration

Transfer History

Propose Transfer from: General Account

You must use this screen to propose a transfer of compliance instruments to an entity providing exchange clearing services for the Cap-and-Trade Program. The exchange clearing service provider takes temporary possession of compliance instruments for the purpose of clearing transactions between two entities registered in the CITSS. The exchange clearing provider must be registered in CITSS and must be a derivatives clearing organization as defined in the Commodities Exchange Act. Compliance instruments will not be transferred to the exchange clearing entity until the following steps have been completed:

Step 1: A PAR or AAR from the transferring account proposes the transfer request in the CITSS. After selecting Submit, Step 1 will be completed and the transfer request will be proposed in the CITSS and the account representatives for the transferring entity will be notified via email.

Step 2: A PAR or AAR from the transferring account approves the transfer request in the CITSS. Except for individual account holders, the approving representative must be different than the PAR or AAR who proposes the transfer request. The transfer request must be approved by midnight (Eastern Time) of the second calendar day following the date the transfer was initially proposed.

A transfer request to an exchange clearing service provider DOES NOT require Acceptance, and is completed upon Approval by the second representative.

Transferring Account Detail

Account Number	CA1000-1000
Account Type	General
Legal Name	Sacramento Power Agency
Operating Name	Sacramento Power Agency
Compliance Instrument	2014 Allowance
Account Balance	598,000
Available Account Balance	596,000

Receiving Account and Transfer Information

Account Number	*	CA1006-1006 ?
Entity Reference Code	*	26176577 ?
Quantity	*	2500 ?
Price		?
Currency		-- Select -- ?
Actual or Expected Settlement Date		14 November 2012 ?
Agreement Date		11 September 2012 ?
Comment		

I certify under penalty of perjury under the laws of the State of California that I am authorized to make this submission on behalf of the entity that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete.

Password * ••••••••

Cancel Submit

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Review the Submitted Transfer Request.

The page shown in Figure 19 is presented after a transfer to an *Exchange Clearing Service Provider* has been Proposed. The transfer is in the Proposed status awaiting approval by a second representative of the transferring entity. **All Proposed transfers require Approval from a second representative of the transferring entity. See Section 4.6: Approving a Transfer Request**.

The transfer is now identified by a unique Transfer ID number, 100017. This six-digit number can be found just below the account number and account type on this page. The Transfer ID number will be the identifier for this transaction in the CITSS.

The Transfer Event History window near the bottom of the page shows the time and date that the transfer request was proposed, as well as the representative that submitted the proposal. The transfer can be cancelled by the representative who entered the initial proposal as long as it is remains in the Proposed status.

Transfers to Exchange Clearing Service Providers only require the transferring entity to complete the two steps, Propose and Approve. The transfer occurs immediately upon the second step (Approve), without the requirement for an acceptance from the receiving entity.

Figure 19 - CITSS Compliance Instrument Transfer Detail Page

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My User Profile

Account Registration

Transfer History

Compliance Instrument Transfer Detail

Detailed transfer information for this Transfer ID is provided below. The status of this transfer request is dependent on which steps in the transfer process have been completed by the account representatives. One account representative must Propose the transfer request to the exchange clearing entity. For the allowances to be transferred to the exchange clearing entity, the transfer request must be Approved by a transferring account representative other than the initiating representative by the end of the second calendar day following the initial transfer proposal. A transfer request to an exchange clearing service provider DOES NOT require Acceptance, and is completed upon Approval by the second representative.

Account Number	CA1000-1000
Account Type	General
Transfer ID	100017
Type	To Clearing Provider
Compliance Instrument	2014 Allowance
Transfer Status	Proposed ?
Settlement Date	2012-09-14 00:00:00 EDT
Agreement Date	2012-09-11 00:00:00 EDT
Price	$10.00
Currency	USD
Quantity	2,500

Accounts

	Transferring Account	Receiving Account
Legal Name	Sacramento Power Agency	Carbon Trades Inc
Operating Name	Sacramento Power Agency	Carbon Trades Inc
Account Number	CA1000-1000	CA1005-1006
Account Type	General	Exchange Clearing Holding

Transfer Event History

Event	Event Date (ET)	Comment	Action By
Proposal	2012-09-10 19:29		Perry Plants

Back | Cancel Proposed Transfer

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4.4 Propose a Transfer from an Exchange Clearing Service Provider's *Exchange Clearing Holding Account* to a *General Account*.

This example presents the steps required to transfer instruments from an Exchange Clearing Service Provider's*, Exchange Clearing Holding Account* to a *General 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. All of the compliance instruments received by an exchange clearing holding account must be transferred to one or more destination accounts within five days of receiving them. A request to transfer compliance instruments to or from an exchange clearing holding account does not require confirmation by an account representative of the destination account.

STEP 1 **Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page which should look similar to Figure 15. The User Home Page is titled "Welcome to WCI CITSS" and provides access to three key categories of information: My Accounts, Account Applications, and Pending Transfers.

STEP 2 **Review My Accounts.** My Accounts shows entity accounts for which the user is the PAR, an AAR, or an AVA. My Accounts summarizes the information about each account, including the Legal and Operating Name of the entity, and the Account Type, Number, Jurisdiction, and Status.

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*, and/or an *Exchange Clearing Holding Account*. A Covered Entity always *has a General Account* and a *Compliance Account*. Only entities that are electrical distribution utilities designated by the Regulation receive a *Limited Use Holding Account*. Only entities that are registered as Exchange Clearing Service Providers receive an *Exchange Clearing Service Account*.

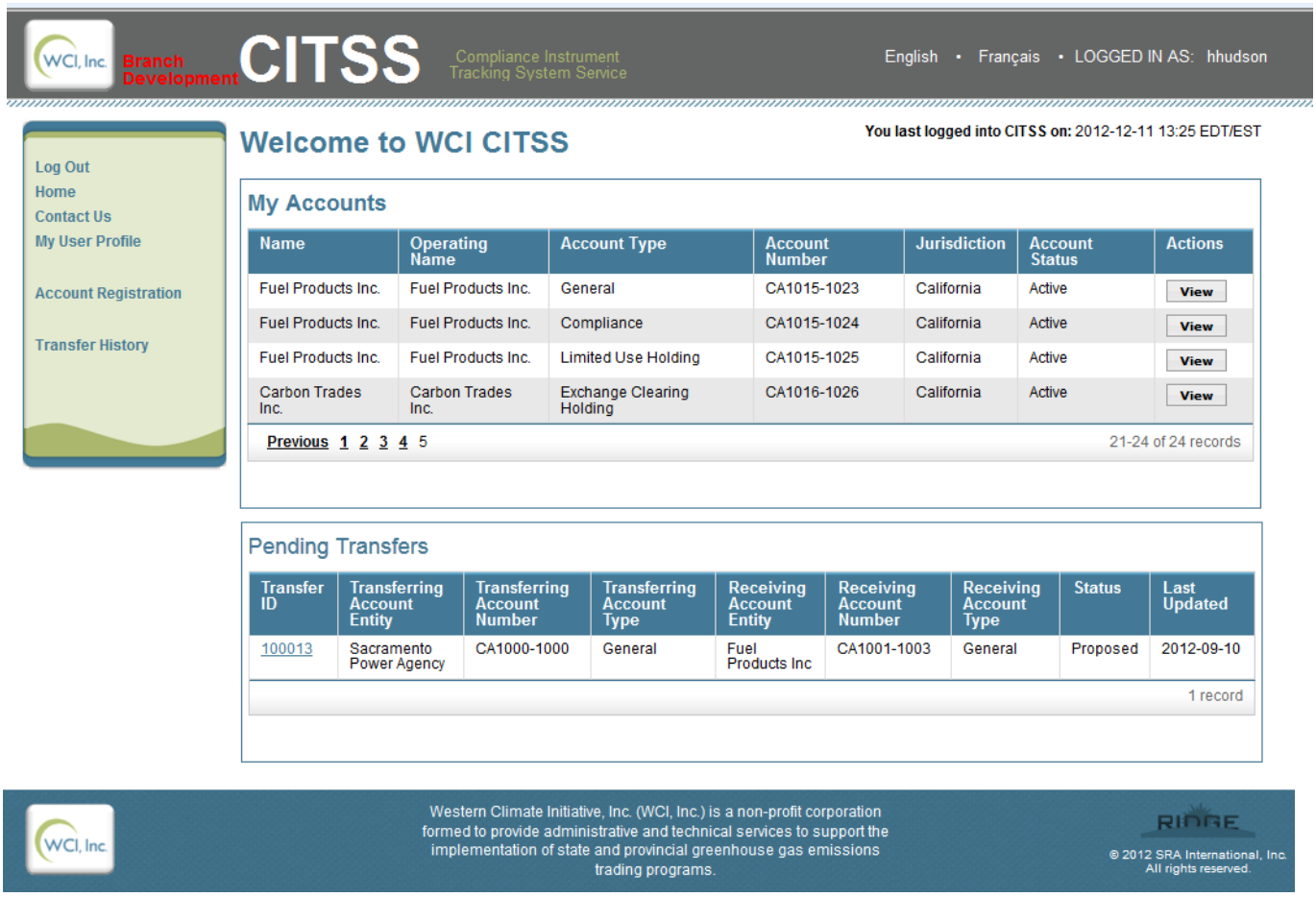
Each account has a unique account number. Account numbers are required for transfers in the CITSS. When proposing a transfer, CITSS will fill in the number of the transferring account that you select. However, the account number of the receiving account must be obtained from a representative of the receiving entity and manually entered.

STEP 3 **Select the Transferring Account.** In the example in Figure 20, you are acting as a representative of an Exchange Clearing Service Provider named, Carbon Trades Inc., which has only an *Exchange Clearing Holding Account*. You may only transfer instruments from this account to another entity's General Account. To select the *Exchange Clearing Service Account*, **click on the View button** located in the Actions column on the far right column.

This action will switch you from the User Home Page to the Exchange Clearing Holding Account Page (Figure 21)

.

Figure 20 - CITSS User Home Page



Select Compliance Instruments to be Transferred

Figure 21 shows the Exchange Clearing Holding Account Page for Carbon Trades Inc., assigned account number CA1016-1026. The Account Page shows information about this account. Information summarized on this page includes account number, type, status, balance, and available balance. More detailed information can be accessed through the **Account Detail** button.

There are two tabs in the window on the lower half of the page identified as Holdings and Transfers. The Holdings tab presents a detailed list of the compliance instruments currently in the account. The Transfer tab presents a history of transfers for this account. Transfer History can also be accessed using the link in the menu located in the upper left of the page.

STEP 4 **Review the Transferring Account Information.** On the Exchange Clearing Holding Account Page for the Carbon Trades Inc., you:

- Review the account name, number, and type to ensure that you have selected the correct transferring account.
- Review the account status to ensure the account is in a status that allows transfers.
- Review account balance and available balance to ensure there are sufficient compliance instruments in the account to transfer.

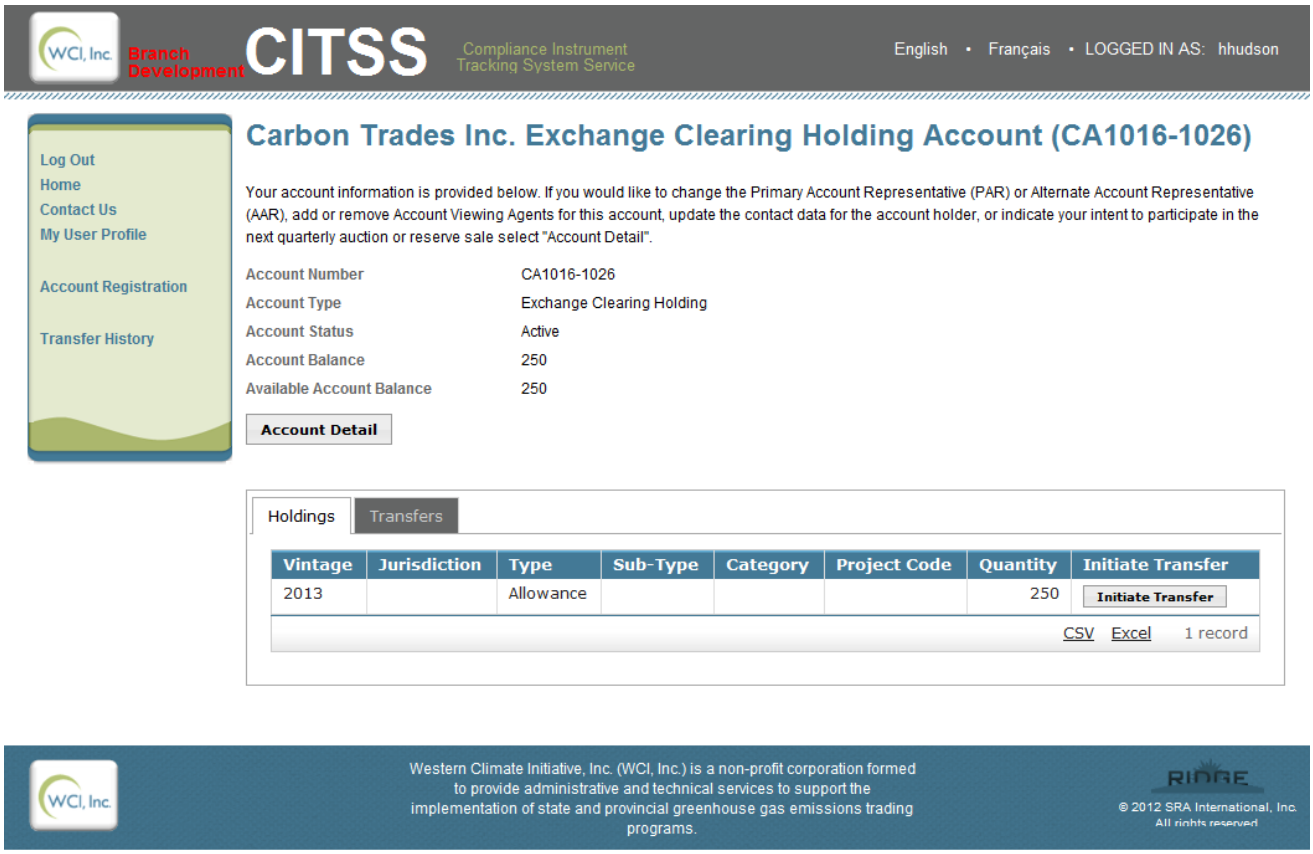
STEP 5 **Select Compliance Instruments to be Transferred.** After ensuring that account information and balances are in order, you begin preparation of a transfer request by determining which compliance instruments you wish to transfer.

The Holdings tab presents a list of the compliance instruments that are currently in this account. The list provides an itemized list of instruments in the account by Vintage, Jurisdiction, Type, Sub-type, Category, Project Code, and Quantity. Note that several of these fields (Sub-type, Category, and Project Code) are only applicable to offsets and will be blank for allowance records.

STEP 6 Once you have identified the instruments that you wish to transfer, you must press the **Initiate Transfer** button at the right end of the line to begin preparation of a transfer request. **Click on the Initiate Transfer button at the right end of the line of the instruments you wish to transfer.**

This will take you to the Select Type of Transfer Page (Figure 22).

Figure 21 - CITSS Exchange Clearing Holding Account Page



Provide Transfer Details

On the Propose Transfer from: Exchange Clearing Account Page (Figure XX), the account representative will provide the details of the transfer and the receiving account. This screen provides Tooltips to assist users in completing the fields with the correct information. Each tooltip is viewed by hovering the mouse cursor over the magenta question mark located immediately to the right of the data field.

Transferring Account Detail – The CITSS automatically fills the Transferring Account Detail based on the previously selected transfer type and instrument type.

Receiving Account and Transfer Information – The representative enters the details of the transfer in these fields. Required information includes identification of the receiving account, number of compliance instruments being transferred, and details of the transfer.

STEP 9 **Provide the Account Number and Entity Reference Code of the receiving entity.** The **Account Number** and **Entity Reference Code** are obtained from a representative of the receiving entity. The account number consists of the two-letter abbreviation of the jurisdiction (CA), followed by a four-digit number, a hyphen, and a second four-digit number, e.g., CA1234-1234. The Entity Reference Code is an eight-digit number, e.g., 12345678.

STEP 10 **Provide the quantity of instruments to be transferred.** Quantity must be entered in whole numbers. Enter the number of compliance instruments you are proposing to transfer. This number cannot exceed your available account balance.

STEP 11 **Enter the price and currency, if known.** These are optional fields for this type of transfer.

STEP 12 **Enter the settlement and agreement dates.** The Settlement Date is the date that the agreement/contract is fulfilled, while the Agreement Date is the date the agreement is reached or the contract signed. Again, these are optional fields.

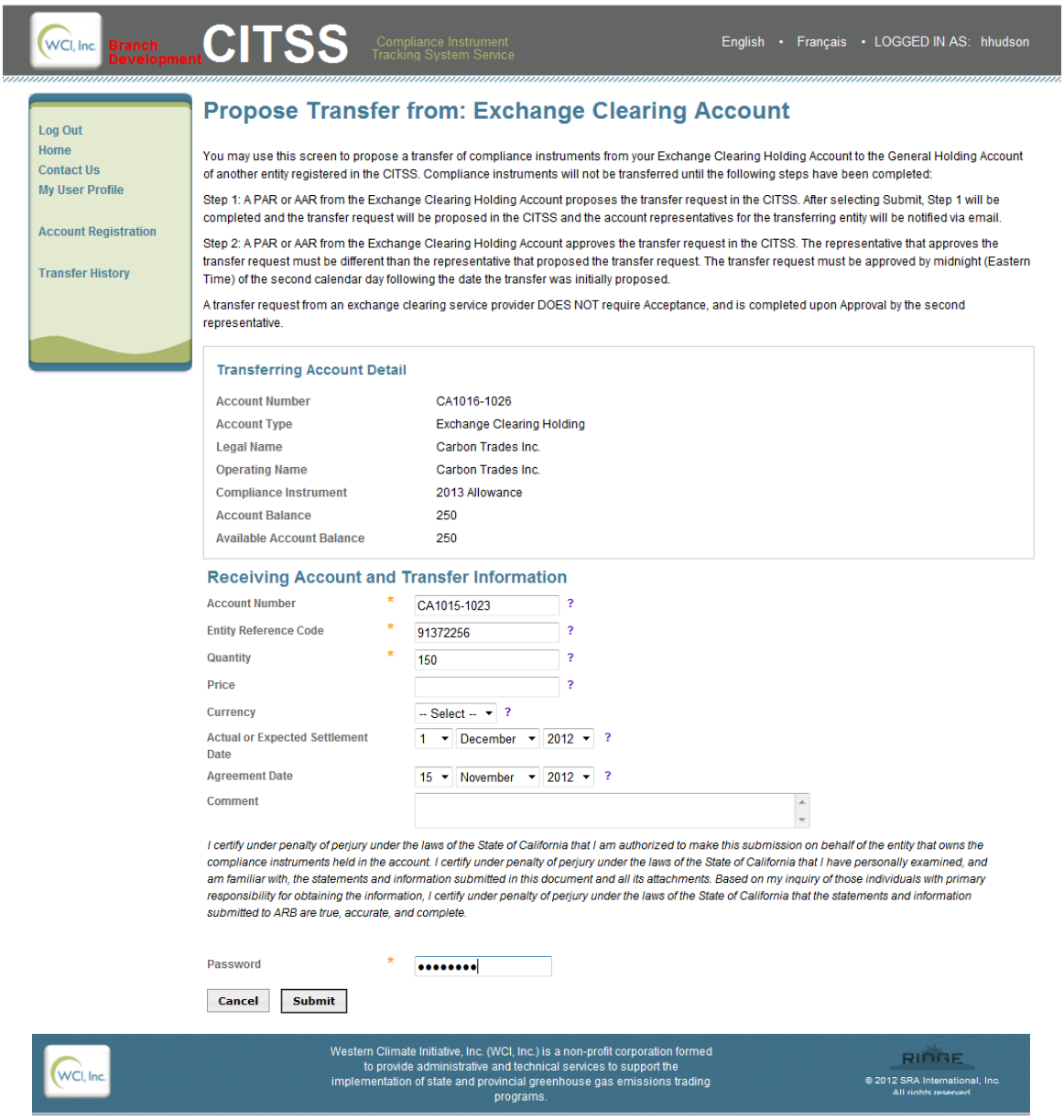
STEP 13 **Enter a comment if you wish (not required).** Comments are viewable by all representatives and viewing agents of the transferring entity and receiving entity.

STEP 14 **Certify to the Accuracy and Completeness of the Transfer**. After completing the required transaction information fields, the representative of the transferring entity must attest to the accuracy and completeness of the transfer information by entering his/her password below the attestation.

STEP 15 **Submit the Transfer Request.** The transfer request is submitted to the CITSS by clicking on the **Submit** button at the bottom of the screen.

The transfer is now Proposed.

Figure 22 - CITSS Propose Transfer from: *Exchange Clearing Account* Page



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

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Home
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Account Registration

Transfer History

Propose Transfer from: Exchange Clearing Account

You may use this screen to propose a transfer of compliance instruments from your Exchange Clearing Holding Account to the General Holding Account of another entity registered in the CITSS. Compliance instruments will not be transferred until the following steps have been completed:

Step 1: A PAR or AAR from the Exchange Clearing Holding Account proposes the transfer request in the CITSS. After selecting Submit, Step 1 will be completed and the transfer request will be proposed in the CITSS and the account representatives for the transferring entity will be notified via email.

Step 2: A PAR or AAR from the Exchange Clearing Holding Account approves the transfer request in the CITSS. The representative that approves the transfer request must be different than the representative that proposed the transfer request. The transfer request must be approved by midnight (Eastern Time) of the second calendar day following the date the transfer was initially proposed.

A transfer request from an exchange clearing service provider DOES NOT require Acceptance, and is completed upon Approval by the second representative.

Transferring Account Detail

Account Number	CA1016-1026
Account Type	Exchange Clearing Holding
Legal Name	Carbon Trades Inc.
Operating Name	Carbon Trades Inc.
Compliance Instrument	2013 Allowance
Account Balance	250
Available Account Balance	250

Receiving Account and Transfer Information

Account Number	*	CA1015-1023 ?
Entity Reference Code	*	91372256 ?
Quantity	*	150 ?
Price		?
Currency		-- Select -- ?
Actual or Expected Settlement Date		1 December 2012 ?
Agreement Date		15 November 2012 ?
Comment		

I certify under penalty of perjury under the laws of the State of California that I am authorized to make this submission on behalf of the entity that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete.

Password * ••••••••

Cancel Submit

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Review the Submitted Transfer Request.

The page shown in Figure 23 is presented after a transfer to an *Exchange Clearing Service Provider* has been Proposed. The transfer is in the Proposed status awaiting Approval by a second representative of the transferring entity. **All Proposed transfers require Approval from a second representative of the transferring entity. See Section 4.6: Approving a Transfer Request**.

The transfer is now identified by a unique Transfer ID number, 100011. This six-digit number can be found just below the account number and account type on this page. The Transfer ID number will be the identifier for this transaction in the CITSS.

The Transfer Event History window near the bottom of the page shows the time and date that the transfer request was proposed, as well as the representative that submitted the proposal. The transfer can be cancelled by the representative who entered the initial proposal as long as it is remains in the Proposed status.

Transfers to Exchange Clearing Service Providers only require the transferring entity to complete the two steps, Propose and Approve. The transfer occurs immediately upon the second step (Approve), without the requirement for an acceptance from the receiving entity.

Figure 23 - CITSS Compliance Instrument Transfer Detail Page

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Account Registration

Transfer History

Compliance Instrument Transfer Detail

Detailed transfer information for this Transfer ID is provided below. For the compliance instruments to be transferred to the General Holding Account of another entity registered in the CITSS, the transfer request must be Approved by an Exchange Clearing Holding Account representative other than the initiating representative by the end of the second calendar day following the initial transfer proposal.

Account Number	CA1016-1026
Account Type	Exchange Clearing Holding
Transfer ID	100011
Type	From Clearing Provider
Compliance Instrument	2013 Allowance
Transfer Status	Proposed ?
Settlement Date	2012-12-01 00:00:00 EST
Agreement Date	2012-11-15 00:00 EDT/EST
Price	
Currency	
Quantity	150

Accounts

	Transferring Account	Receiving Account
Legal Name	Carbon Trades Inc.	Fuel Products Inc.
Operating Name	Carbon Trades Inc.	Fuel Products Inc.
Account Number	CA1016-1026	CA1015-1023
Account Type	Exchange Clearing Holding	General

Transfer Event History

Event	Event Date (ET)	Comment	Action By
Proposal	2012-12-11 14:13		Hank Hudson

Back | Cancel Proposed Transfer

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4.5 Propose a Transfer from a *Limited Use Holding Account* to the *Auction Account*

This example presents the steps to transfer instruments from a *Limited Use Holding Account to the Auction Account.*

Only entities that are electrical distribution utilities (EDUs) designated by the Regulation receive a *Limited Use Holding Account* which contains allowances allocated by ARB. EDUs are required to consign allowances from their *Limited Use Holding Account* to quarterly auctions. Allowances in a *Limited Use Holding Account* can only be transferred (consigned) to the jurisdiction's *Auction Account*.

The process to prepare a transfer request from a *Limited Use Holding Account* is essentially the same as the process to transfer from a *General Account* to the *Compliance Account*. A transfer from a *Limited Use Holding Account to the Auction Account* is an irreversible transfer.

STEP 1 **Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page which should look similar to Figure 24. The User Home Page is titled "Welcome to WCI CITSS" and provides access to three key categories of information: My Accounts, Account Applications, and Pending Transfers.

STEP 2 **Review My Accounts.** My Accounts shows entity accounts for which the user is the PAR, an AAR, or an AVA. My Accounts summarizes the information about each account, including the Legal and Operating Name of the entity, and the Account Type, Number, Jurisdiction, and Status.

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*, and/or an *Exchange Clearing Holding Account*. A Covered Entity always *has a General Account* and a *Compliance Account*. Only entities that are electrical distribution utilities designated by the Regulation receive a *Limited Use Holding Account*. Only entities that are registered as Exchange Clearing Service providers receive an *Exchange Clearing Service Account*.

Each account has a unique account number. Account numbers are needed to Propose transfer requests in the CITSS. When proposing a transfer, CITSS will fill in the number of the transferring account that you select. However, the account number of the receiving account must be obtained from a representative of the receiving entity and manually entered. As shown, the User Home Page is a convenient location to locate account numbers.

STEP 3 **Select the Transferring Account.** As shown in Figure 20, in this example, the representative has access to a *General Account*, a *Compliance Account*, and a *Limited Use Holding Account* for the Sacramento Power Agency. To select the desired account, click on the **View** button located in the Actions column on the far right. In this example we will transfer compliance instruments from the *Limited Use Holding Account*. **Click on the View button to select the *Limited Use Holding Account*.**

This action will move you from the User Home Page to the Limited Use Holding Account Page for the selected account (Figure 25).

Figure 24 - CITSS User Home Page

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Log Out
Home
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My User Profile

Account Registration

Transfer History

Welcome to WCI CITSS

You last logged into CITSS on: 2012-09-10 11:16:12 EDT

My Accounts

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Sacramento Power Agency	Sacramento Power Agency	General	CA1000-1000	California	Active	View
Sacramento Power Agency	Sacramento Power Agency	Compliance	CA1000-1001	California	Active	View
Sacramento Power Agency	Sacramento Power Agency	Limited Use Holding	CA1000-1002	California	Active	View
Fuel Products Inc	Fuel Product Inc	General	CA1001-1003	California	Active	View
Fuel Products Inc	Fuel Product Inc	Compliance	CA1001-1004	California	Active	View

1 2 Next 1-5 of 6 records

Account Applications

Name	Entity Type	Jurisdiction	Entity Status
Ag Fabrication Corp	Covered Entity, Covered Source, or Opt-in Entity	California	Pending
Aggregate Harveters	Covered Entity, Covered Source, or Opt-in Entity	California	Registration in Progress

2 records

Pending Transfers

Transfer ID	Transferring Account Entity	Transferring Account Number	Transferring Account Type	Receiving Account Entity	Receiving Account Number	Receiving Account Type	Status	Last Updated
100013	Sacramento Power Agency	CA1000-1000	General	Fuel Products Inc	CA1001-1003	General	Proposed	2012-09-10

1 record

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Select Compliance Instruments to be Transferred

Figure 25 shows the Limited Use Holding Account Page for the Sacramento Power Agency. The *Limited Use Holding Account* is assigned account number CA1000-1002. The Limited Use Holding Account Page shows information about this account. Information summarized on this page includes account number, type, status, balance, and available balance. More detailed information can be accessed through the **Account Detail** button.

There are two tabs in the window on the lower half of the page identified as Holdings and Transfers. The Holdings tab presents a detailed list of the compliance instruments currently in the account. The Transfer tab presents a history of transfers for this account. Transfer history can also be accessed using the link in the menu located in the upper left of the screen.

STEP 4 **Review the Transferring Account Information.** On the Limited Use Holding Account page for the Sacramento Power Agency, you.

- Review the account name, number, and type to ensure that you have selected the correct transferring account.
- Review the account status to ensure the account is in a status that allows transfers.
- Review account balance and available balance to ensure there are sufficient compliance instruments in the account to transfer.

STEP 5 **Select Compliance Instruments to be Transferred.** After ensuring that account information and balances are in order, you begin preparation of a transfer request by determining which compliance instruments you wish to transfer.

The Holdings tab presents a list of the compliance instruments that are currently in this account. The list provides an itemized list of instruments in the account by Vintage, Jurisdiction, Type, Sub-type, Category, Project Code, and Quantity. Note that several of these fields (Sub-type, Category, and Project Code) are only applicable to offsets and will be blank for allowance records.

STEP 6 Once you have selected the instruments that you wish to transfer, you must press the **Initiate Transfer** button at the right end of the line to begin preparation of a transfer request. **Click on the Initiate Transfer button at the right end of the line of the instruments you wish to transfer.**

This action will take you to the Propose Consignment Transfer: *Limited Use Holding Account* page (Figure 26).

Figure 25 - CITSS Limited Use Holding Account Page

Propose Consignment Transfer

Transferring Account Detail – The CITSS automatically fills the Transferring Account Detail based on the previously selected transfer type and instrument type.

Receiving Account Details – CITSS automatically fills the Receiving Account Detail based on the previously selected transfer type. The representative enters the remaining details of the transfer in these fields.

STEP 7 **Enter the desired number of allowances to transfer.** The number of allowances that are to be transferred to the *Auction Account* is entered in the quantity field under the heading Receiving Account Transfer Information.

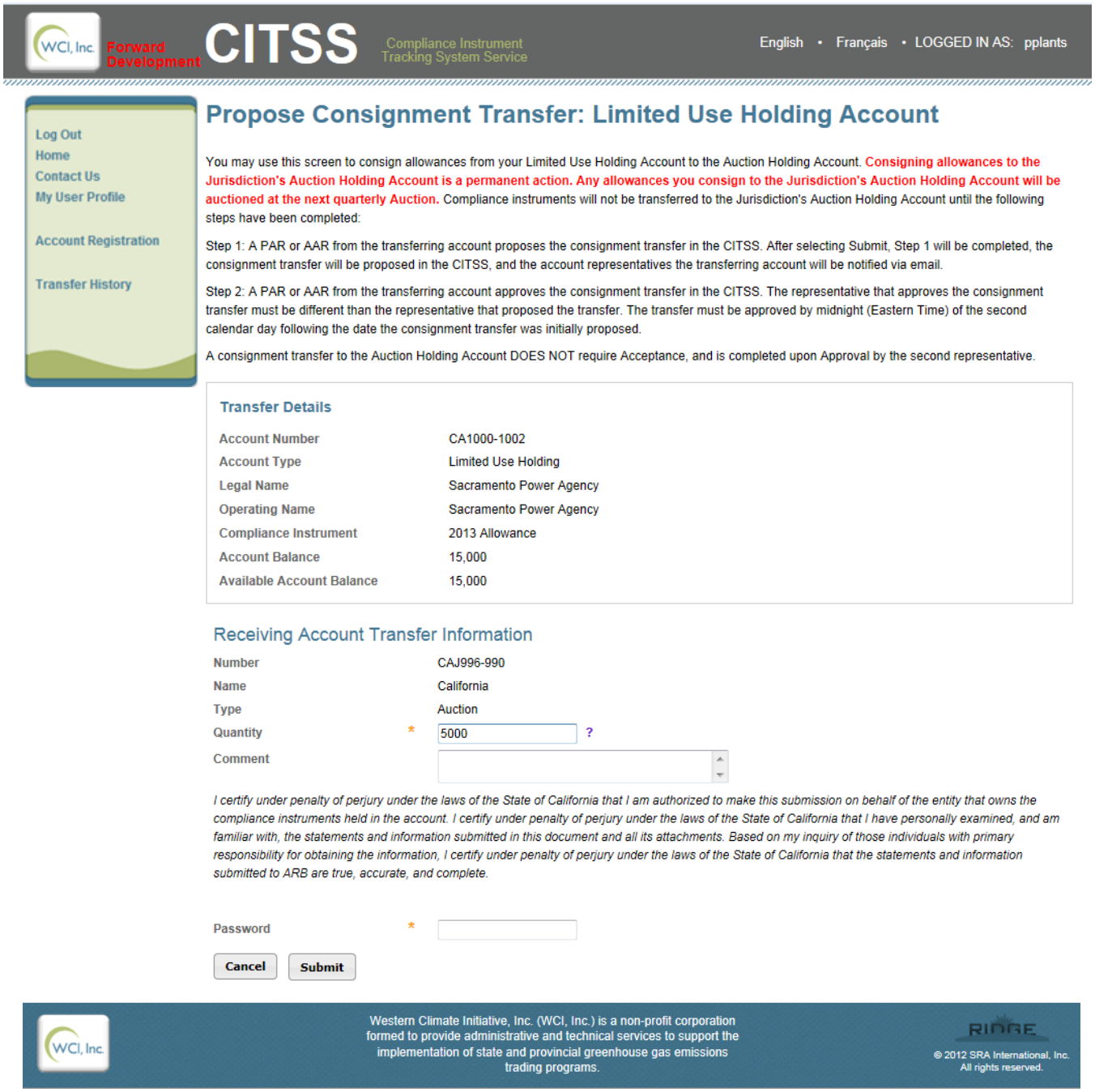
STEP 8 **Enter a comment if you wish (not required).** Comments are viewable by all representatives and viewing agents of the transferring entity and the jurisdiction representatives.

STEP 9 **Certify to the Accuracy and Completeness of the Transfer**. After completing the required transaction information fields, the representative of the transferring entity must attest to the accuracy and completeness of the transfer information by entering his/her password below the attestation.

STEP 10 **Submit the Transfer Request.** The transfer request is submitted to the CITSS by clicking on the **Submit** button at the bottom of the screen. **This finishes the steps to Propose a transfer. The transfer request status is now Proposed.**

Consigning allowance to the Jurisdiction's *Auction Account* is a <u>permanent and irreversible</u> action. The consignment will be complete when the transfer is Approved by a second representative of the transferring entity.

Figure 26 - CITSS Propose Consignment Transfer: *Limited Use Holding Account* Page



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Account Registration

Transfer History

Propose Consignment Transfer: Limited Use Holding Account

You may use this screen to consign allowances from your Limited Use Holding Account to the Auction Holding Account. **Consigning allowances to the Jurisdiction's Auction Holding Account is a permanent action. Any allowances you consign to the Jurisdiction's Auction Holding Account will be auctioned at the next quarterly Auction.** Compliance instruments will not be transferred to the Jurisdiction's Auction Holding Account until the following steps have been completed:

Step 1: A PAR or AAR from the transferring account proposes the consignment transfer in the CITSS. After selecting Submit, Step 1 will be completed, the consignment transfer will be proposed in the CITSS, and the account representatives the transferring account will be notified via email.

Step 2: A PAR or AAR from the transferring account approves the consignment transfer in the CITSS. The representative that approves the consignment transfer must be different than the representative that proposed the transfer. The transfer must be approved by midnight (Eastern Time) of the second calendar day following the date the consignment transfer was initially proposed.

A consignment transfer to the Auction Holding Account DOES NOT require Acceptance, and is completed upon Approval by the second representative.

Transfer Details

Account Number	CA1000-1002
Account Type	Limited Use Holding
Legal Name	Sacramento Power Agency
Operating Name	Sacramento Power Agency
Compliance Instrument	2013 Allowance
Account Balance	15,000
Available Account Balance	15,000

Receiving Account Transfer Information

Number		CAJ996-990
Name		California
Type		Auction
Quantity	*	5000 ?
Comment		

I certify under penalty of perjury under the laws of the State of California that I am authorized to make this submission on behalf of the entity that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete.

Password *

Cancel Submit

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Review the Submitted Transfer Request.

The page shown in Figure 27 is presented after a transfer to the *Auction Account* has been Proposed. The transfer is in the Proposed status awaiting approval by a second representative of the transferring entity. **All Proposed transfers require Approval from a second representative of the transferring entity. See Section 4.6: Approving a Transfer Request**.

The transfer is now identified by a unique Transfer ID number. This six-digit number can be found just below the account number and account type on this page. The Transfer ID number will be the identifier for this transaction in the CITSS.

The Transfer Event History window near the bottom of the page shows the time and date that the transfer request was proposed, as well as the representative that submitted the proposal. The transfer can be cancelled by the representative who entered the initial proposal as long as it is remains in the Proposed status.

Transfers from a *Limited Use Holding Account* to the *Auction Account* only require the transferring entity to complete the two steps, Propose and Approve. The transfer occurs immediately upon the second step (Approve), without the requirement for an acceptance from the receiving entity.

Figure 27 - CITSS Compliance Instrument Transfer Detail Page

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Transfer History

Compliance Instrument Transfer Detail

The consignment transfer has been successfully proposed.

Detailed transfer information for this Transfer ID is provided below. The status of this consignment transfer request is dependent on which steps in the transfer process have been completed by the account representatives. One account representative must Propose the transfer request. The transfer request must be Approved by a different representative than the individual that proposed the transfer request. The transfer request must be Approved by midnight (Eastern Time) of the second calendar day following the date the transfer was initially proposed.

Account Number	CA1000-1002
Account Type	Limited Use Holding
Transfer ID	100015
Type	Consignment
Compliance Instrument	2013 Allowance
Transfer Status	Proposed ?
Quantity	5,000

Accounts

	Transferring Account	Receiving Account
Legal Name	Sacramento Power Agency	California
Operating Name	Sacramento Power Agency	
Account Number	CA1000-1002	CAJ996-990
Account Type	Limited Use Holding	Auction

Transfer Event History

Event	Event Date (ET)	Comment	Action By
Proposal	2012-09-10 13:26		Perry Plants

Back | Cancel Proposed Transfer

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4.6 Approve a Transfer Request

The process to perform a transfer between accounts consists of essentially the same steps, with small differences. All transfers require that a transfer request be Proposed and subsequently Approved by another representative of the transferring entity. When a representative Proposes a transfer request, the transfer request with Proposed status appears in the Pending Transfer window on the home page of all representatives of the transferring entity. An email is also sent to those representatives notifying them that a transfer request has been proposed and requires approval.

Individual General Market Participants are allowed to act as both the PAR and the AAR on their account. For these accounts, when a transfer request requires Approval, the individual representative Proposes the transfer request and the CITSS allows the same individual to Approve the transfer request immediately after proposing it.

For all other entity accounts and individual general market participants that have assigned AARs, a second individual must Approve a transfer proposal. This example will explain how to Approve a Proposed transfer request. As noted above, this process is essentially the same for all types of transfer requests within the CITSS.

The Regulation stipulates that any transfer request in the CITSS must be Approved within two days of being proposed. If the transfer request is not Approved by the end of Day 2, the CITSS automatically expires the transfer request, no additional action can be taken on that transfer request, and the compliance instruments are not transferred and are returned to the available balance of the transferring account. The transferring entity must Propose a new transfer to transfer the instruments if the original transfer request expires.

STEP 1 **Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page, which should look similar to Figure 28. The User Home Page is titled “Welcome to WCI CITSS” and provides access to three key categories of information: My Accounts, Account Applications, and Pending Transfers.

STEP 2 **Review Pending Transfers.** The Pending Transfers window shows transfer requests that are in the Proposed Status for which the user is the PAR, an AAR, or an AVA of the transferring account. AVAs will not have access, only the ability to view.

This window also shows any pending transfers with a status of Approved that have been received from other entities and are awaiting Acceptance by a representative of the receiving entity. (Accepting a transfer request is covered in Section 4.7.)

Identify pending transfers with a status of Proposed. There may be several pending transfers in this status. The account details for each pending transfer are presented on the page, allowing the user to identify each proposed transfer request.

STEP 3 **Select the Pending Transfer for Approval.** Each pending transfer is identified by a Transfer ID, which is a selectable link in the first column under Pending Transfers. Clicking on the Transfer ID will open the Compliance Instrument Transfer Detail page for the selected transfer. **Click on the Transfer ID for the desired transfer.**

Figure 28 - CITSS User Home Page

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Log Out
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Account Registration

Transfer History

Welcome to WCI CITSS

You last logged into CITSS on: 2012-09-10 12:49:09 EDT

My Accounts

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Meg Mason		General	CA987-987	California	Active	View
Atlanta Corp.	Georgia Account	Exchange Clearing Holding	CA988-988	California	Active	View
Charlottesville Corp.	Virginia Account	General	CA989-988	California	Active	View
Austin Corp.	Texas Account	Limited Use Holding	CA989-989	California	Active	View
Austin Corp.	Texas Account	Compliance	CA990-989	California	Active	View

1 2 3 4 5 Next

1-5 of 24 records

Account Applications

You do not have any open account applications.

Pending Transfers

Transfer ID	Transferring Account Entity	Transferring Account Number	Transferring Account Type	Receiving Account Entity	Receiving Account Number	Receiving Account Type	Status	Last Updated
100013	Sacramento Power Agency	CA1000-1000	General	Fuel Products Inc	CA1001-1003	General	Proposed	2012-09-10
100014	Sacramento Power Agency	CA1000-1000	General	Sacramento Power Agency	CA1000-1001	Compliance	Proposed	2012-09-10
100015	Sacramento Power Agency	CA1000-1002	Limited Use Holding	California	CAJ996-990	Auction	Proposed	2012-09-10

3 records

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Approve a Proposed Transfer

STEP 4 **Review the Proposed Transfer Request.** The Compliance Instrument Transfer Detail Page (Figure 29) summarizes the selected Proposed transfer request.

The Transfer Event History window shows the time and date that the transfer request was proposed, as well as the representative that submitted the proposal.

A transfer request in Proposed Status can be cancelled by the individual who entered the proposal until the transfer request is approved.

STEP 5 **Approve / Deny Transfer.** Select the appropriate button to either approve or deny the Proposed transfer request. You may enter a comment if desired. Comments are viewable by all representatives and viewing agents of the transferring entity and the receiving entity.

STEP 6 **Certify to the Accuracy and Completeness of the Transfer**. After reviewing the required transaction information fields and designating an action (approve or deny), the representative of the transferring entity must attest to the accuracy and completeness of the information by entering his/her password below the attestation.

STEP 7 **Approve the Transfer Request.** The Approval (or Denial) is submitted to the CITSS by clicking on the **Process Transfer** button at the bottom of the screen.

Transfers between an entity's own accounts (*General Account* to *Compliance Account*), transfers to or from an Exchange Clearing Service Provider, or transfers to jurisdiction accounts (*General Account* to *Retirement Account* or *Limited Use Holding Account* to *Auction Account*) do not require acceptance by the receiving entity. These transfers only require the Propose and Approve steps to complete the transfer. In these transfers, the status of the Transfer will move to Complete as soon as the Approval is submitted.

Transfers from one entity's *General Account* to another entity's *General Account* require Acceptance by a representative of the receiving entity. In these transfers, after the Approval is complete, the status of the transfer changes to Approved, the transfer shows in the Pending Transfer screen of the representatives of the receiving entity, and an email is sent to the representatives of both the transferring and receiving entity informing them that a change in the status of a transfer occurred.

Figure 29 - CITSS Compliance Instrument Transfer Detail Page

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Account Registration

Transfer History

Compliance Instrument Transfer Detail

Detailed transfer information for this transfer, identified by the unique Transfer ID, is provided below. The status of this transfer request (Proposed, Approved, Accepted) is dependent on which steps in the transfer process have been completed by the account representatives for the transferring and receiving entities. The transfer request must be Approved by midnight (Eastern Time) of the second calendar day following the transfer proposal. The request can only be Approved by a different account representative than the individual that proposed the transfer request. The transfer request must be Accepted by an account representative of the receiving entity by midnight (Eastern Time) of the third calendar day following the transfer proposal.

Account Number	CA1000-1000
Account Type	General
Transfer ID	100016
Type	General Transfer
Compliance Instrument	2014 Allowance
Transfer Status	Proposed ?
Settlement Date	2012-09-13 00:00:00 EDT
Agreement Date	2012-09-10 00:00:00 EDT
Type of Contract	Spot
Trading Venue	OTC
Transfer To Corporate Associate	No
Price	$10.00
Currency	USD
Quantity	2,000

Accounts

	Transferring Account	Receiving Account
Legal Name	Sacramento Power Agency	Fuel Products Inc
Operating Name	Sacramento Power Agency	Fuel Product Inc
Account Number	CA1000-1000	CA1001-1003
Account Type	General	General

Transfer Event History

Event	Event Date (ET)	Comment	Action By
Proposal	2012-09-10 18:56		Perry Plants

Approve/Deny Transfer

A transfer to another general holding account in the CITSS has been proposed. You must either approve or deny this transfer request by midnight (Eastern Time) of the second calendar day following the proposal of the transfer request. If you approve this transfer request, the receiving entity account representatives will be notified via email of your approval. An account representative from the receiving entity will need to accept or decline this transfer for the transfer to be completed.

* = Required field

Decision * (•) Approve ( ) Deny

Comment

I certify under penalty of perjury under the laws of the State of California that I am authorized to make this submission on behalf of the entity that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete.

Password *

Process Transfer

Back

Review the Approved Transfer Request

After a transfer has been Approved, the CITSS returns to the Account Page for the account from which compliance instruments will be transferred when Complete, in this example the General Account Page (Figure 30).

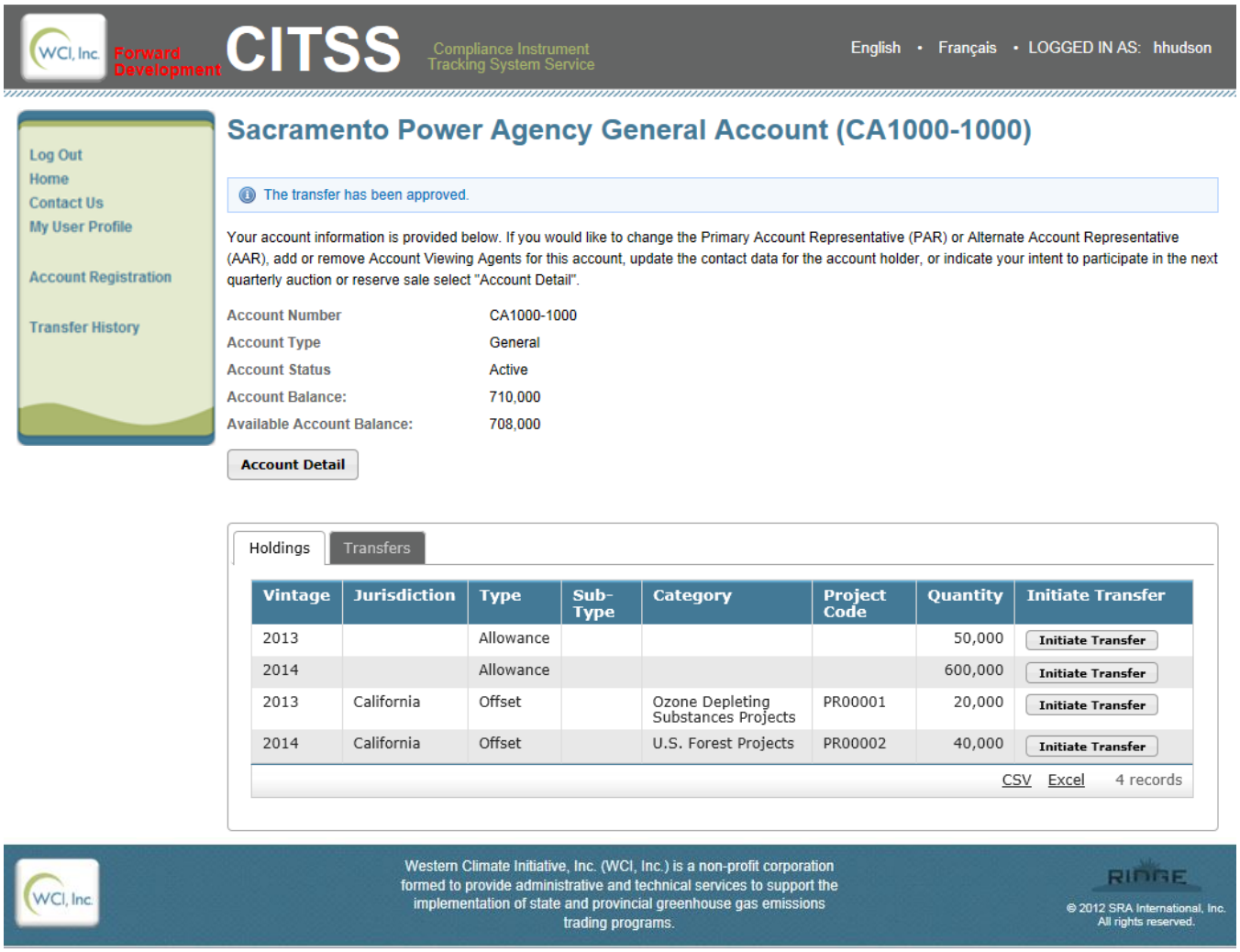
STEP 8 **Review the Approved Transfer Request.** The CITSS confirms the Approved or Denied action taken on the Proposed transfer.

In this example, the message at the top of the General Account Page (Figure 30) indicates that the transfer has been Approved. CITSS logs the details of the action, and the transfer request status will change to Approved or Denied as appropriate.

If the transfer request does not require acceptance by the receiving entity, the CITSS will log the details of the approval and change the transfer status to Complete.

To review current and completed transfers, move to the Transfers Tab on the Account Page or the Transfer History accessible through the left hand navigation menu. Transfer History and the Transfer Tab are covered in Section 5 of this volume of the Users Guide.

Figure 30 - CITSS General Account Page



4.7 Accept a Transfer Request

The process to perform a transfer between two entities, in which neither are Exchange Clearing Service Providers, requires three steps—Propose, Approve, and Accept—requiring both parties to participate in the transfer process. When a representative from a transferring entity Approves a transfer request, the transfer request with Approved status appears in the Pending Transfer window on the home page of all representatives of the receiving entity. An email is also sent to those representatives notifying them that a transfer status has changed and alerting them that a transfer may require action. All representatives receive notification but only one representative will take action in the CITSS. This example will explain how a receiving entity Accepts an Approved transfer request.

The Regulation stipulates that a transfer request in the CITSS must be Accepted within three days of being proposed. If the transfer request is not Accepted by the end of Day 3, the CITSS automatically expires the transfer request, no additional action can be taken on that transfer request, and the compliance instruments are not transferred; they are returned to the available balance of the transferring account. The transferring entity must Propose a new transfer to transfer the instruments if the original transfer request expires.

STEP 1 **Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page which should look similar to Figure 31. The User Home Page is titled “Welcome to WCI CITSS” and provides access to three key categories of information: My Accounts, Account Applications, and Pending Transfers.

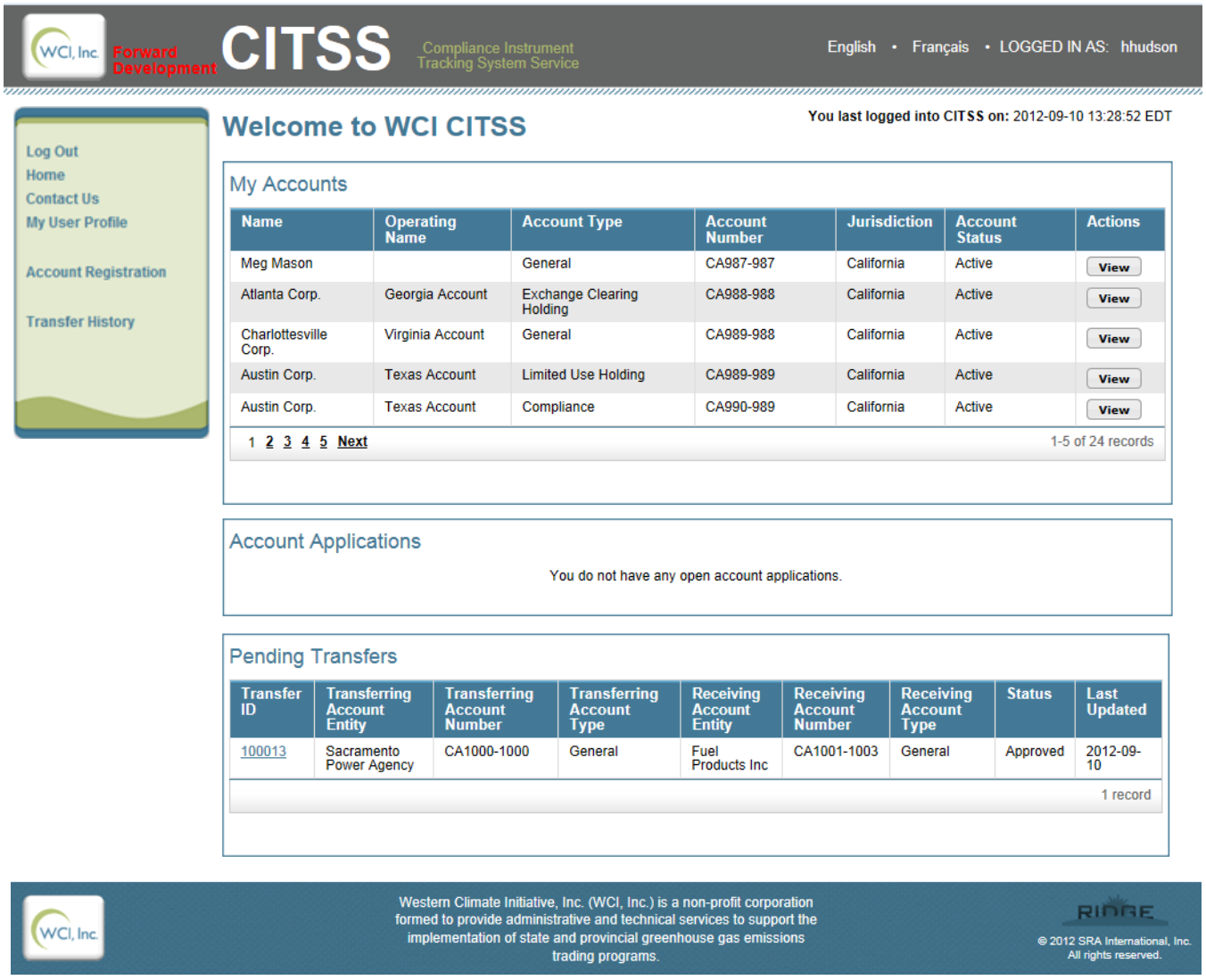
STEP 2 **Review Pending Transfers.** The Pending Transfers window shows transfer requests that are in the Proposed Status for which the user is the PAR, an AAR, or an AVA of the transferring account. AVAs will only have the ability to view not take action.

This window also shows any pending transfers with a status of Approved for which the user is the PAR, an AAR, or an AVA of the receiving account that are awaiting Acceptance by a representative of the receiving entity.

Identify pending transfers with a status of Approved. There may be several pending transfers in this status. The account details for each pending transfer are presented on the page, allowing the user to identify each proposed transfer request.

STEP 3 **Select the Pending Transfer for Acceptance.** Each pending transfer is identified by a Transfer ID, which is a selectable link in the first column under Pending Transfers. Clicking on the Transfer ID number will open the Compliance Instrument Transfer Detail page for the selected transfer. **Click on the Transfer ID number for the desired transfer.**

Figure 31 - CITSS User Home Page



Accept the Approved Transfer

STEP 4 **Review the Approved Transfer Request.** The Compliance Instrument Transfer Detail Page (Figure 32) summarizes the selected transfer request, showing the Transfer Status as Approved.

The Transfer Event History window shows the time and date that the transfer request was proposed and approved. The names of the representatives taking action on behalf of the transferring entity are not shown to the receiving entity representatives, only to representatives of the transferring entity.

STEP 5 **Accept / Decline the selected Transfer.** Select the appropriate button to either accept or decline the Approved transfer request. You may enter a comment if you wish. Comments are viewable by all representatives and viewing agents of the transferring entity and the receiving entity.

STEP 6 **Certify to the Accuracy and Completeness of the Transfer**. After reviewing the required transaction information fields and designating an action, the representative of the transferring entity must attest to the accuracy and completeness of the information by entering his/her password below the attestation.

STEP 7 **Accept the Transfer Request.** The acceptance of the transfer request is submitted to the CITSS by clicking on the **Process Transfer** button at the bottom of the screen.

Figure 32 - CITSS Compliance Instrument Transfer Detail Page

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

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Account Registration

Transfer History

Compliance Instrument Transfer Detail

Detailed transfer information for this transfer, identified by the unique Transfer ID, is provided below. The status of this transfer request (Proposed, Approved, Accepted) is dependent on which steps in the transfer process have been completed by the account representatives for the transferring and receiving entities. The transfer request must be Approved by midnight (Eastern Time) of the second calendar day following the transfer proposal. The request can only be Approved by a different account representative than the individual that proposed the transfer request. The transfer request must be Accepted by an account representative of the receiving entity by midnight (Eastern Time) of the third calendar day following the transfer proposal.

Account Number	CA1001-1003
Account Type	General
Transfer ID	100016
Type	General Transfer
Compliance Instrument	2014 Allowance
Transfer Status	Approved ?
Settlement Date	2012-09-13 00:00:00 EDT
Agreement Date	2012-09-10 00:00:00 EDT
Type of Contract	Spot
Trading Venue	OTC
Transfer To Corporate Associate	No
Price	$10.00
Currency	USD
Quantity	2,000

Accounts

	Transferring Account	Receiving Account
Legal Name	Sacramento Power Agency	Fuel Products Inc
Operating Name	Sacramento Power Agency	Fuel Product Inc
Account Number	CA1000-1000	CA1001-1003
Account Type	General	General

Transfer Event History

Event	Event Date (ET)	Comment	Action By
Proposal	2012-09-10 18:56		
Approval	2012-09-10 20:25		

Accept/Decline Transfer

An entity has proposed to transfer compliance instruments to your account. As the receiving account representative, you may use this screen to review the transfer request. You must either accept or decline this transfer request by midnight (Eastern Time) of the third calendar day following the proposal of the transfer request in the CITSS. When you accept or decline this transfer request, the PAR and the AARs of the transferring account and the receiving account will be notified via email of your decision. Compliance instruments will not be transferred in the CITSS until you, or another PAR or AAR from your entity, accept this transfer request in the CITSS.

* = Required field

Decision * ○ Accepted ○ Declined

Comment

I certify under penalty of perjury under the laws of the State of California that I am authorized to make this submission on behalf of the entity that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete.

Password *

Process Transfer

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Review the Accepted Transfer Request

STEP 8 Review the Accepted Transfer Request. The CITSS confirms the Accepted or Declined action on the Account Page (Figure 33). In this example, the General Account Page indicates that the transfer has been accepted and the compliance instruments have been transferred.

CITSS logs the details of the acceptance and changes the transfer request status to Complete.

Figure 33 - CITSS General Account Page

5.0 Transfer History

Transfer history is a permanent part of the ownership record maintained by the CITSS. There are two CITSS pages which provide transfer history information - the Transfer History page, and the Transfer Tab for each account on the individual Account Page. The details and history of an individual transfer can be reached by clicking on the Transfer ID.

1. The transfer history for **all accounts that this user is associated with** is accessed through "Transfer History" on the menu in the upper left hand of the home page (Figure 34). Selecting Transfer History will present a list of all transfers from all accounts that this user is associated with and this page includes sorting and search functions. See the example in Section 5.1.

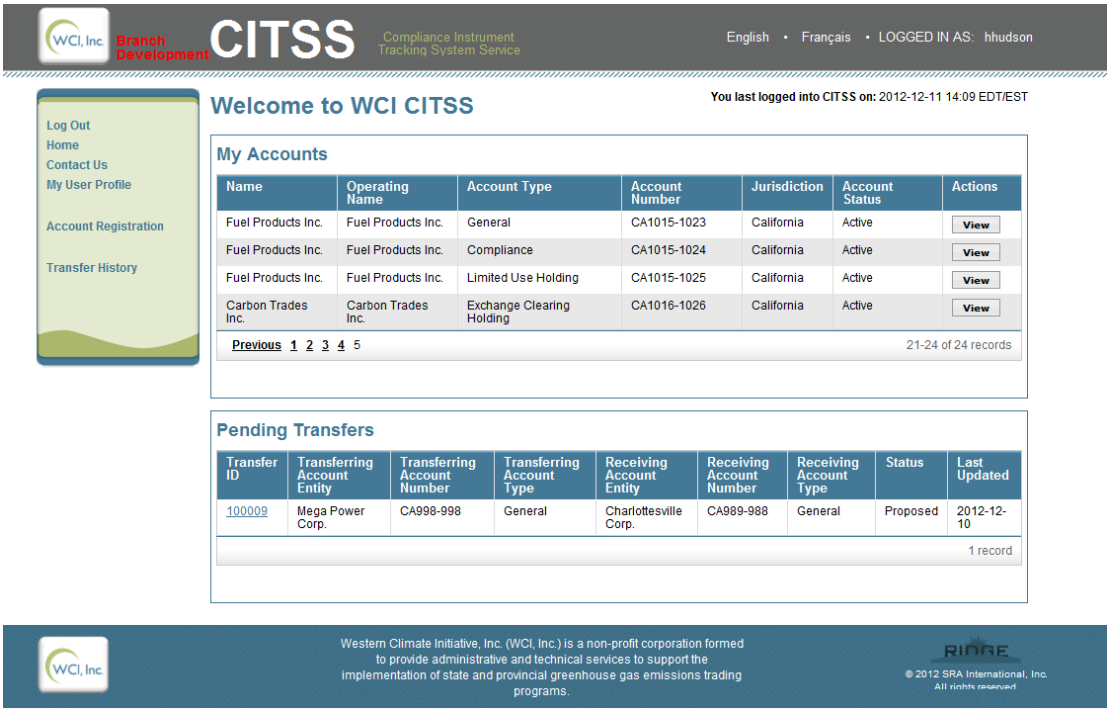
2. The transfer history of a **single account** is accessed from the Account Page for that account by selecting the Transfer Tab. A list of all the transfers associated with any single account is located in the table under this Tab. See the example in Section 5.3. (The Account Page is reached by selecting the View button in the Actions column on the User's Home Page.)

5.1 Accessing Transfer History for All Accounts

STEP 1 **Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page, which should look similar to Figure 30. The User Home Page is titled "Welcome to WCI CITSS."

STEP 2 **Select Transfer History from the Menu.** Click on Transfer History in the CITSS menu located on the left side of the screen to go to the Transfer History for All Accounts page (Figure 35).

Figure 34 - CITSS User Home Page



STEP 3 Review and Search Transfer History for All Accounts.

The list of transfers begins at the bottom of this page. The transfer list provides key information about each transfer, including:

- Transfer ID
- Date and Time Last Updated
- Status
- Transferring Account Name
- Transferring Account Type
- Receiving Account Name
- Receiving Account Type
- Quantity of Instruments

The Transfer History for All Accounts page (Figure 31) provides a search function to locate transfers based on the following search fields:

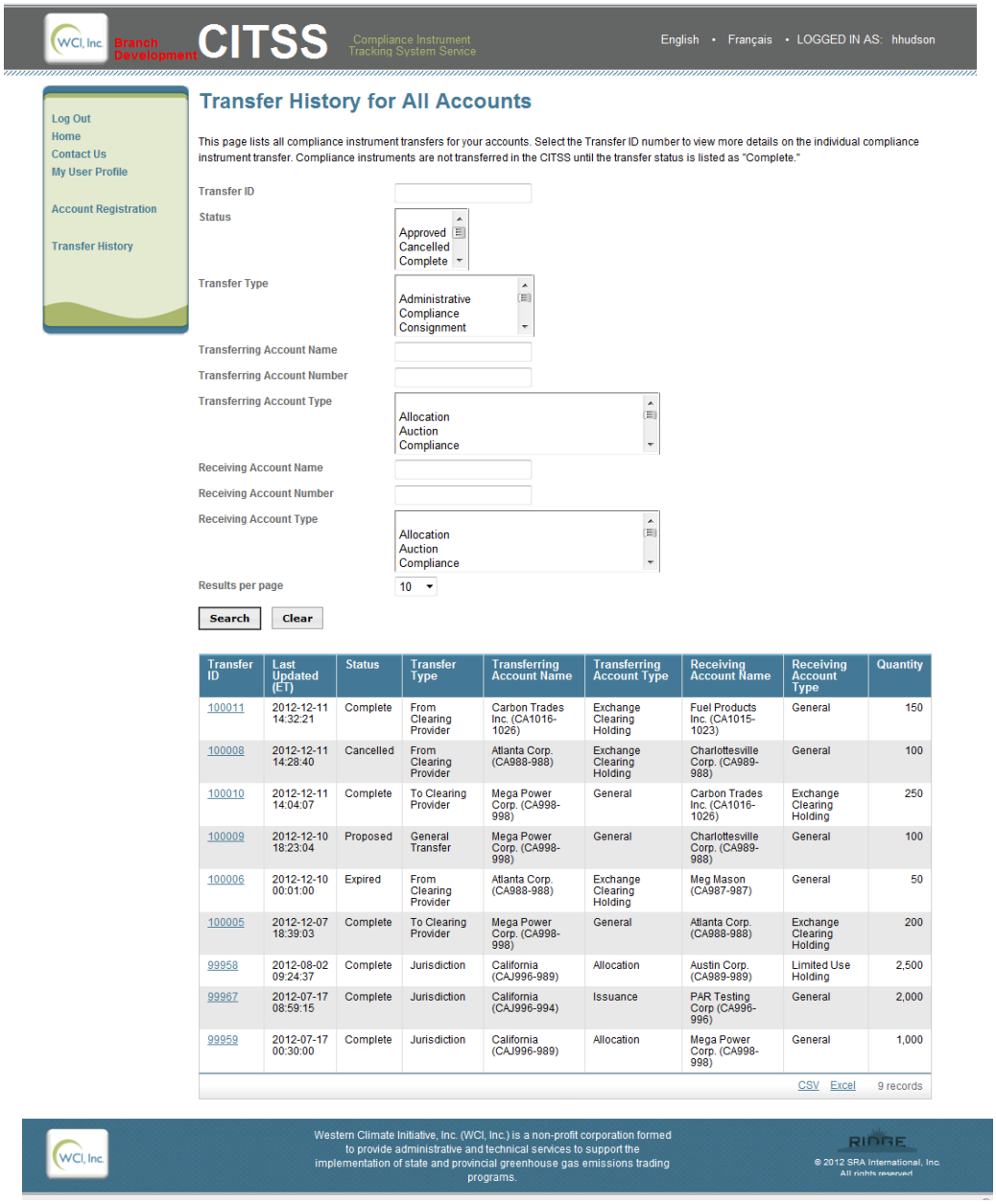
- Transfer ID
- Transfer Status
- Transfer Type
- Account Name (for both the transferring and receiving accounts)
- Account Number (for both the transferring and receiving accounts)
- Account Type (for both the transferring and receiving accounts)

When conducting a search, select the desired search attributes, click the Search button to initiate the search. The list of transfers will change to reflect the search results.

Clicking on the Clear button resets the search, clearing all selected criteria. If none of the search attributes are selected, the list of transfers includes all transfers associated with the entity. The list will use as many pages as needed to display the transfers that meet the search criteria.

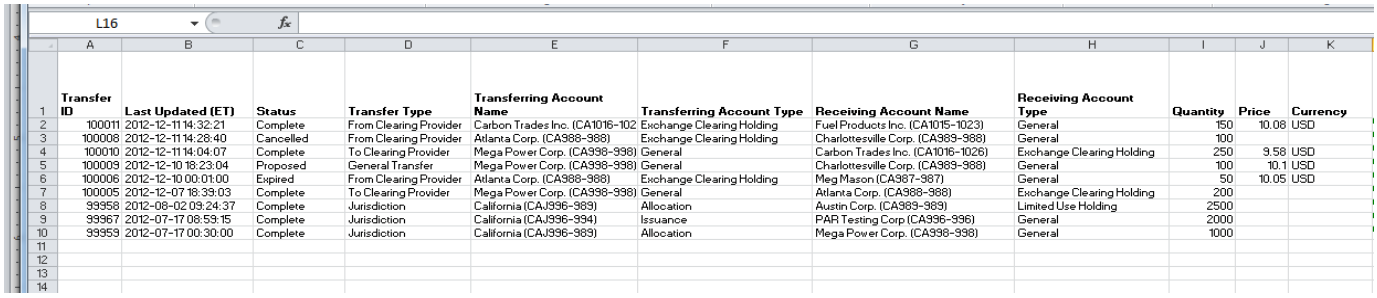
You can also produce an Excel spreadsheet or a comma separated value (CSV) text file of the displayed transfers by selecting the appropriate link available in the lower right corner of the table. See Figure 36 for a partial sample downloaded excel spreadsheet.

Figure 35 - CITSS Transfer History for All Accounts



Transfer ID	Last Updated (ET)	Status	Transfer Type	Transferring Account Name	Transferring Account Type	Receiving Account Name	Receiving Account Type	Quantity
100011	2012-12-11 14:32:21	Complete	From Clearing Provider	Carbon Trades Inc. (CA1016-1026)	Exchange Clearing Holding	Fuel Products Inc. (CA1015-1023)	General	150
100008	2012-12-11 14:28:40	Cancelled	From Clearing Provider	Atlanta Corp. (CA988-988)	Exchange Clearing Holding	Charlottesville Corp. (CA989-988)	General	100
100010	2012-12-11 14:04:07	Complete	To Clearing Provider	Mega Power Corp. (CA998-998)	General	Carbon Trades Inc. (CA1016-1026)	Exchange Clearing Holding	250
100009	2012-12-10 18:23:04	Proposed	General Transfer	Mega Power Corp. (CA998-998)	General	Charlottesville Corp. (CA989-988)	General	100
100006	2012-12-10 00:01:00	Expired	From Clearing Provider	Atlanta Corp. (CA988-988)	Exchange Clearing Holding	Meg Mason (CA987-987)	General	50
100005	2012-12-07 18:39:03	Complete	To Clearing Provider	Mega Power Corp. (CA998-998)	General	Atlanta Corp. (CA988-988)	Exchange Clearing Holding	200
99958	2012-08-02 09:24:37	Complete	Jurisdiction	California (CAJ996-989)	Allocation	Austin Corp. (CA989-989)	Limited Use Holding	2,500
99967	2012-07-17 08:59:15	Complete	Jurisdiction	California (CAJ996-994)	Issuance	PAR Testing Corp (CA996-996)	General	2,000
99959	2012-07-17 00:30:00	Complete	Jurisdiction	California (CAJ996-989)	Allocation	Mega Power Corp. (CA998-998)	General	1,000

Figure 36 - CITSS Transfer History – Sample Excel Download (partial)



	A	B	C	D	E	F	G	H	I	J	K
1	Transfer ID	Last Updated (ET)	Status	Transfer Type	Transferring Account Name	Transferring Account Type	Receiving Account Name	Receiving Account Type	Quantity	Price	Currency
2	100011	2012-12-11 14:32:21	Complete	From Clearing Provider	Carbon Trades Inc. (CA1016-102	Exchange Clearing Holding	Fuel Products Inc. (CA1015-1023)	General	150	10.08	USD
3	100008	2012-12-11 14:28:40	Cancelled	From Clearing Provider	Atlanta Corp. (CA988-988)	Exchange Clearing Holding	Charlottesville Corp. (CA989-988)	General	100		
4	100010	2012-12-11 14:04:07	Complete	To Clearing Provider	Mega Power Corp. (CA998-998)	General	Carbon Trades Inc. (CA1016-1026)	Exchange Clearing Holding	250	9.58	USD
5	100009	2012-12-10 18:23:04	Proposed	General Transfer	Mega Power Corp. (CA998-998)	General	Charlottesville Corp. (CA989-988)	General	100	10.1	USD
6	100006	2012-12-10 00:01:00	Expired	From Clearing Provider	Atlanta Corp. (CA988-988)	Exchange Clearing Holding	Meg Mason (CA987-987)	General	50	10.05	USD
7	100005	2012-12-07 18:39:03	Complete	To Clearing Provider	Mega Power Corp. (CA998-998)	General	Atlanta Corp. (CA988-988)	Exchange Clearing Holding	200		
8	99958	2012-08-02 09:24:37	Complete	Jurisdiction	California (CAJ996-989)	Allocation	Austin Corp. (CA989-989)	Limited Use Holding	2500		
9	99967	2012-07-17 08:59:15	Complete	Jurisdiction	California (CAJ996-994)	Issuance	PAR Testing Corp (CA996-996)	General	2000		
10	99959	2012-07-17 00:30:00	Complete	Jurisdiction	California (CAJ996-989)	Allocation	Mega Power Corp. (CA998-998)	General	1000		
11											
12											
13											
14											

5.2 Accessing Transfer History for a Selected Account

The CITSS provides the capability to locate the transfer history of all transfers conducted on a single account on the Account Page, Transfers Tab. This example will illustrate the Transfer History for the General Account associated with Fuel Products Inc.

STEP 1 **Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page (refer back to Figure 34). The User Home Page is titled "Welcome to WCI CITSS."

STEP 2 **Select the Account.** Click on the View button of the selected account; in this example, the General Account. The button is located in the Action column. This will bring you to the Account Page for the selected account (Figure 37).

Account Page

Figure 37 shows the Account Page for the General Account, assigned account number CA1015-1023 and owned by Fuel Products Inc. The Account Page provides access to detailed information about this account. Information about the account summarized on this page includes account number, type, status, balance, and available balance. More information is available via the **Account Detail** button.

Tabbed Tables

This page features two tables, located in the tabbed window in the lower half of the page. By default, this page opens to the Holdings tab. The Holdings tab presents a detailed list of the compliance instruments currently in the account.

STEP 3 **Select the Transfers Tab.** Click on the Transfers Tab next to the Holdings Tab. The Transfer tab, Figure 38, presents a history of transfers for this account.

The transfer list provides key information about each transfer, including:

- Transfer ID
- Date and Time Last Updated
- Status
- Transferring Account Name
- Receiving Account Name
- Quantity of Instruments Proposed for Transfer
- Quantity of Instruments Transferred

You can also produce an Excel spreadsheet or a comma separated value (CSV) text file of the transfers in this table by selecting the appropriate link available in the lower right corner of the table.

The detailed history of an individual transfer is always reached by clicking on the Transfer ID number in the left column of the transfer history tables located on this page, as well as in the transfer table on the Transfer History of the All Accounts page.

Figure 37 - CITSS General Account Page

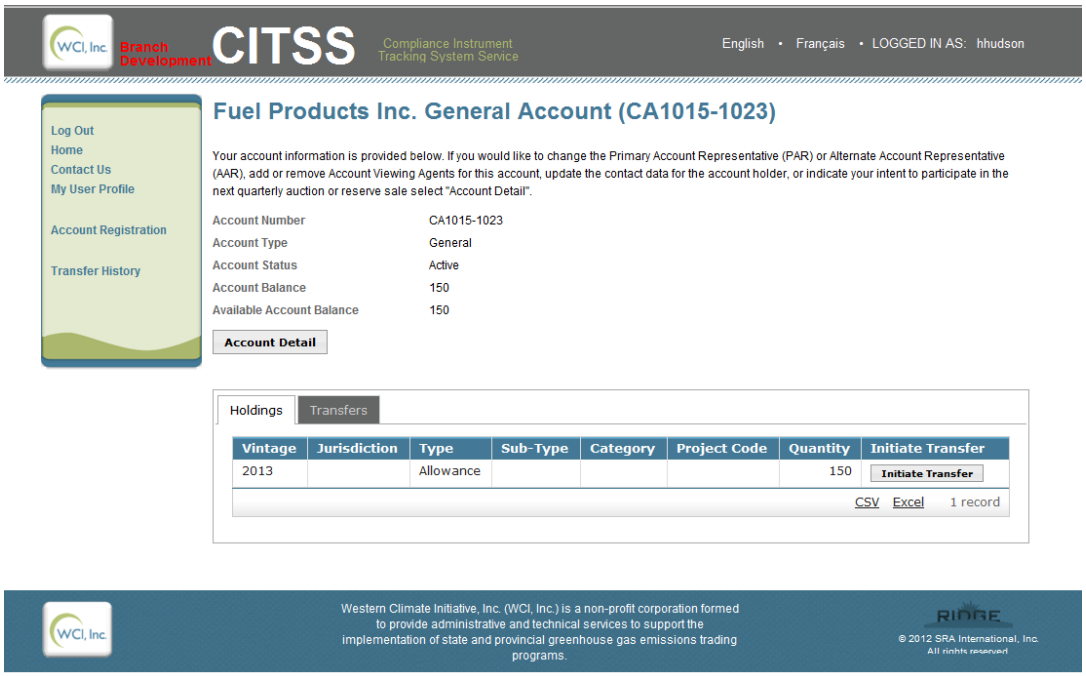
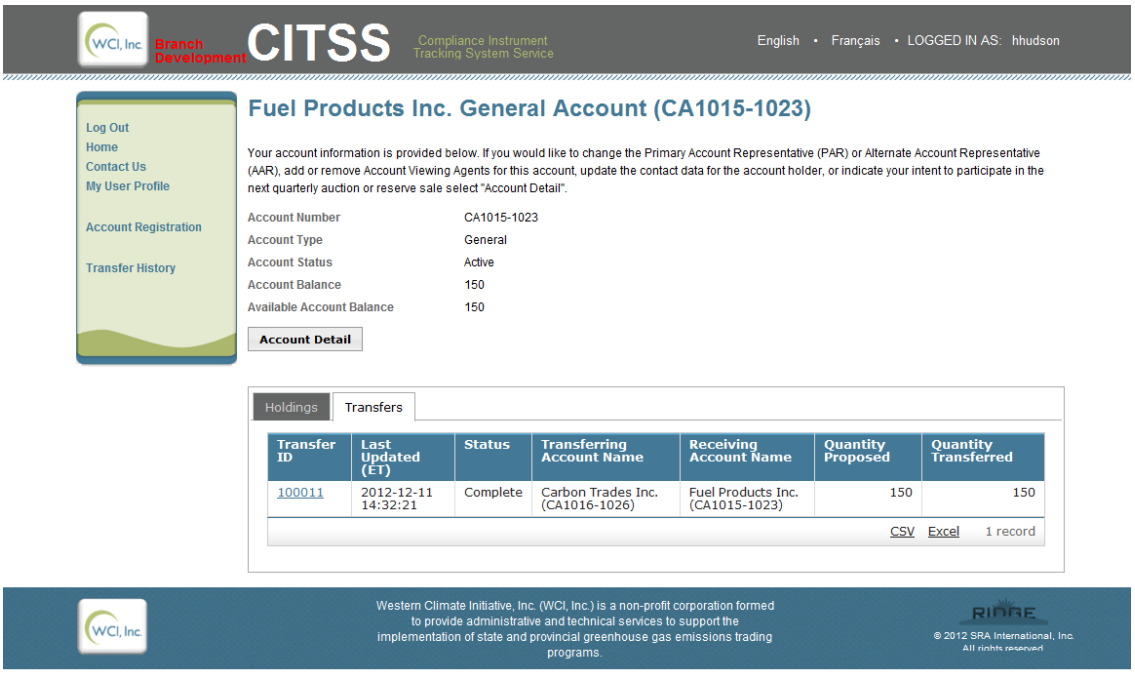


Figure 38 - CITSS Account Page –Transfers Tab



5.3 Transfer Detail Page

The Transfer Detail Page (Figure 39) for an individual transfer is always reached by clicking on the Transfer ID number. This number is located in the left column of the transfer history tables located on the Transfer History for All Accounts page (Figure 35) or the individual Account Page, Transfers Tab (Figure 38).

As shown in Figure 39, the Transfer Detail Page presents all the transfer information as well as the history of actions taken on the transfer.

The top window on this page provides the detail of the transfer as entered in the CITSS when the transfer was Proposed. This display will vary depending on the type of transfer just as the data that was entered in the CITSS to conduct a transfer varies depending on the type of transfer. The fields that will always be displayed include the transferring account number and type, the transfer ID, the transfer type, type of instruments involved, the status and the quantity of instruments entered for the transfer request. Figure 35 displays the Transfer Detail for a transfer occurring between two entity's general accounts so it also includes the additional fields that were entered when this transfer was Proposed, including settlement and agreement dates, type of contract, trading venue, identification if the transfer was to a corporate associate, price and currency.

The next window on this page, labeled Accounts, will always display the transferring and receiving account details.

The window near the bottom of the page, labeled Transfer Event History, include the following columns: Event, Event Date, Comments, and Action By.

The Event column identifies the actions that were conducted on this transfer sequentially. Possible actions are: Proposed, Cancelled, Approved, Denied, Accepted, Declined, Expired and Complete. Each of these actions is described in the transfer process section of this user guide.

The Event Date includes the date and time each action was submitted to the CITSS in prevailing Eastern Time, i.e., Eastern Time seasonally adjusted for Daylight Savings.

Any comments made during the event are viewable by all representatives and viewing agents of the transferring entity and the receiving entity.

The name of the individual that performed each action is only viewable by representatives of the same entity as the individual making the entry. For instance, the name and any comment entered by a representative of the transferring entity are only viewable to the other representatives of the transferring entity. Similarly, the names of the representative of the receiving entity will be visible to representatives of the receiving entity.

Figure 39 - CITSS Compliance Instrument Transfer Detail Page

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

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Compliance Instrument Transfer Detail

Detailed transfer information for this transfer, identified by the unique Transfer ID, is provided below. The status of this transfer request (Proposed, Approved, Accepted) is dependent on which steps in the transfer process have been completed by the account representatives for the transferring and receiving entities. The transfer request must be Approved by midnight (Eastern Time) of the second calendar day following the transfer proposal. The request can only be Approved by a different account representative than the individual that proposed the transfer request. The transfer request must be Accepted by an account representative of the receiving entity by midnight (Eastern Time) of the third calendar day following the transfer proposal.

Account Number	CA1000-1000
Account Type	General
Transfer ID	100002
Type	General Transfer
Compliance Instrument	2013 Allowance
Transfer Status	Complete ?
Settlement Date	2012-09-26 00:00:00 EDT
Agreement Date	2012-09-26 00:00:00 EDT
Type of Contract	Spot
Trading Venue	OTC
Transfer To Corporate Associate	No
Price	$10.00
Currency	USD
Quantity	1,250

Accounts

	Transferring Account	Receiving Account
Legal Name	Snapshots User1	Mega Power Corp.
Operating Name	Snapshots User1	MEGA POWER OPERATING NAME
Account Number	CA1000-1000	CA998-998
Account Type	General	General

Transfer Event History

Event	Event Date (ET)	Comment	Action By
Proposal	2012-09-26 13:10		Screenshot User1
Approval	2012-09-26 13:11		Jerry Jenkins
Acceptance	2012-09-26 13:14		
Completion	2012-09-26 13:14		

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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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