California Environmental Protection Agency

Air Resources Board

Compliance Instrument Tracking System Service (CITSS)

User Reference CITSS Version 6.0

Auction Consignment Wiring Instructions

September 2015

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1. AUCTION CONSIGNMENT WIRING INSTRUCTIONS

This user reference for the Compliance Instrument Tracking System Service (CITSS) Version 6.0 (CITSS 6.0) provides guidance to account representatives for entering, updating, and confirming auction consignment wiring instructions in CITSS for confirmation by the Auction and Reserve Sale Financial Services Administrator (Financial Services Administrator or FSA.)

OVERVIEW

Consigning entity wiring instructions are required by the FSA to direct payment for distribution of auction proceeds from the sale of consigned allowances. CITSS 6.0 includes the ability for account representatives to manage auction consignment wiring instructions and the FSA to confirm the wiring instructions in CITSS.

CONSIGNMENT WIRING INSTRUCTIONS INTRODUCTION

CITSS includes functionality for account representatives to enter, update, and confirm auction consignment wiring instructions through a secure process. Federal Reserve Wire Network (or Fedwire) wiring instructions are required by the FSA in order to distribute auction proceeds from the sale of consigned allowances.

Past procedures previously relied on postal service and email. Entering wiring instructions in CITSS provides an increased level of security for financial information.

Auction consignment wiring instructions functionality in CITSS simplifies the wiring instructions confirmation process for account representatives and the FSA for future auctions. The FSA will no longer request or accept confirmation of wiring instructions by postal service or email.

Required CITSS Actions

The following preparatory actions are required to use the wiring instruction functionality in CITSS:

1. CITSS records the account representatives that are active when wiring instructions are proposed. In order to access wiring instructions, an account representative must have logged into CITSS at least once before wiring instructions are proposed by any representative.
2. Wiring instructions must be entered for all entities that consign allowances to auction. Wiring instructions for all future auctions will be entered, updated, and confirmed directly in CITSS. Two representatives are required to propose and verify wiring instructions (see Entering or Updating Wiring Instructions.) Both

representatives need the wiring instructions to complete data entry and verification in CITSS.

WIRING INSTRUCTIONS STATUS

CITSS provides account representatives with status updates throughout the process of entering, updating, and confirming wiring instructions, and FSA review. There are six potential wiring instructions statuses in CITSS which are dependent on actions by account representatives or the FSA:

"Incomplete" – Wiring instructions are in an undetermined status and need to be confirmed or edited by an account representative. This is the initial status of wiring instructions before an entity has ever entered wiring instructions.

"Proposed" – An account representative has entered and submitted new wiring instructions. Those instructions are awaiting review by a second account representative.

"Verified" – A second account representative has verified new or updated wiring instructions. When verified, the wiring instructions are forwarded to the FSA and no further changes can be made by account representatives until the FSA confirms or determines the wiring instructions are invalid.

"Confirmed by FSA" – The FSA has reviewed and confirmed the verified wiring instructions. Once confirmed by the FSA, the wiring instructions will be used for the distribution of proceeds from the next auction.

"Invalid" – The FSA has determined that verified wiring instructions are incomplete or do not meet Fedwire requirements. If wiring instructions are designated as invalid by the FSA, the wiring instructions must be corrected and re-proposed by account representatives.

"Confirmed by Representative" – After wiring instructions have been confirmed by the FSA, the only action necessary to use the wiring instructions for subsequent auctions is for an account representative to confirm the existing instructions are still correct prior to each auction.

Account representatives should review the current wiring instructions status in CITSS which can be found in the Status History pane described below.

Status History Pane

The current wiring instructions status for an entity can be viewed by account representatives in the Status History pane of the *Wiring Instructions Detail* page (Figure

1-1.) An entity's current wiring instructions status is always the first status listed in the pane. Using the example in Figure 1-1, the entity's current status is "Confirmed by FSA."

The Status History pane remains blank until an account representative proposes a consignment transfer in CITSS, or enters wiring instructions information for the first time.

Figure 1-1 Status History Pane

Status History

Status	Updated By	Updated Date/Time
Confirmed by FSA		2015-08-17 15:22:11 EDT
Verified	Daniel Jones	2015-08-17 15:07:03 EDT
Proposed	David Smith	2015-08-17 13:42:30 EDT
Incomplete	David Smith	2015-08-17 13:32:42 EDT
Confirmed by Representative	Dena Miller	2015-08-14 16:16:22 EDT
Confirmed by Representative	David Smith	2015-08-14 16:16:06 EDT
Confirmed by FSA		2015-08-14 15:57:39 EDT
Verified	Daniel Jones	2015-08-14 15:51:38 EDT
Proposed	David Smith	2015-08-14 15:38:57 EDT
Incomplete	David Smith	2015-08-14 15:31:46 EDT

CSV Excel 10 records

Status History Extract

Account representatives can prepare a comma separated value (CSV) or Excel format download of all wiring instructions Status History data (Figure 1-2.) The fields contained in the exported report are the same as those shown on the CITSS wiring instructions pages.

Figure 1-2 Status History Extract

Status	Updated By	Updated Date/Time
Confirmed by FSA		2015-08-17 15:22:11 EDT
Verified	Daniel Jones	2015-08-17 15:07:03 EDT
Proposed	David Smith	2015-08-17 13:42:30 EDT
Incomplete	David Smith	2015-08-17 13:32:42 EDT
Confirmed by Representative	Dena Miller	2015-08-14 16:16:22 EDT
Confirmed by Representative	David Smith	2015-08-14 16:16:06 EDT
Confirmed by FSA		2015-08-14 15:57:39 EDT
Verified	Daniel Jones	2015-08-14 15:51:38 EDT
Proposed	David Smith	2015-08-14 15:38:57 EDT
Incomplete	David Smith	2015-08-14 15:31:46 EDT

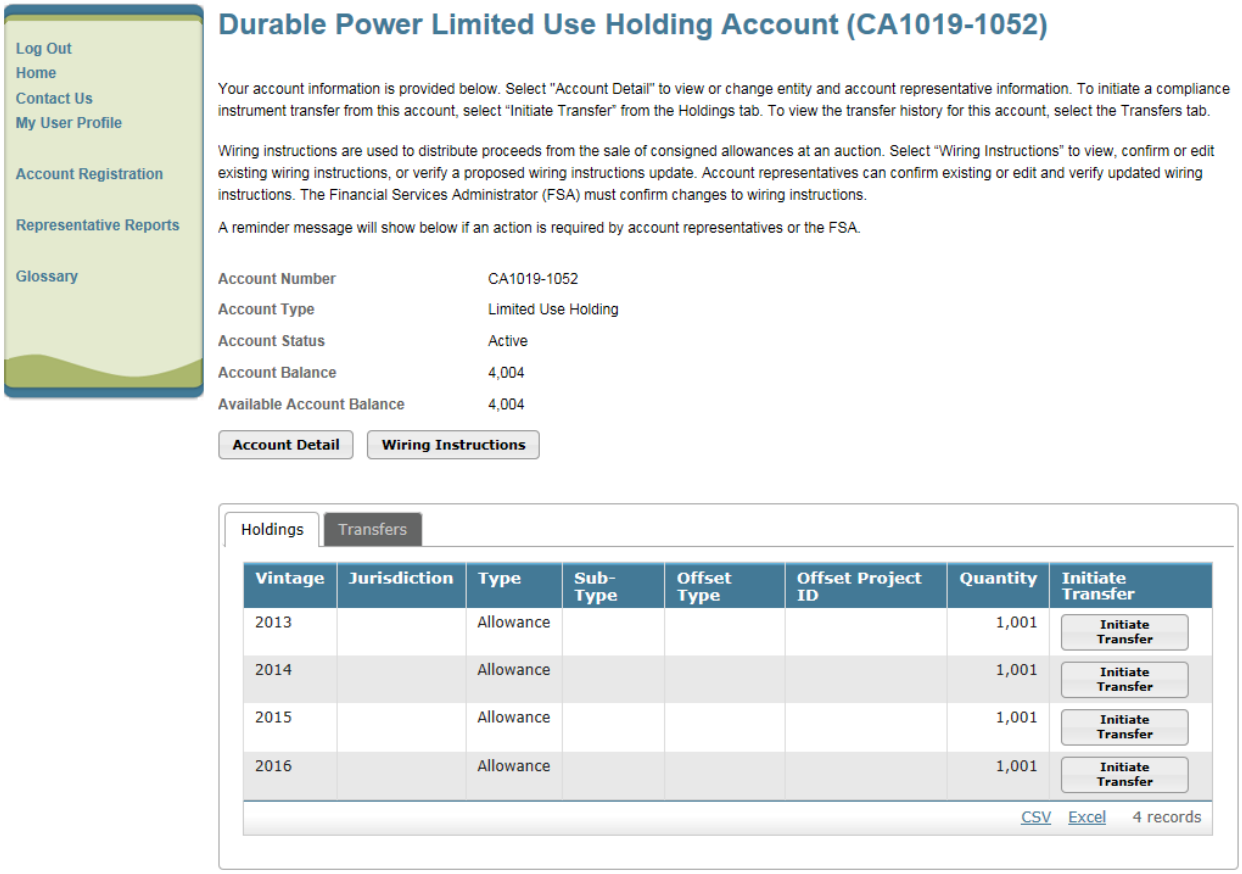
ENTERING OR UPDATING WIRING INSTRUCTIONS

Entering or updating wiring instructions in CITSS requires a two-step (Propose, Verify) process and two different account representatives.

1a▷ After selecting “View” on the Limited Use Holding Account from the “My Accounts” pane, the *Limited Use Holding Account* page is presented as seen in Figure 1-3.

1b▷ After selecting “Wiring Instructions” from the Limited Use Holding Account page, the *Wiring Instructions Detail* page is presented (Figure 1-4.)

Figure 1-3 Limited Use Holding Account Page



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Durable Power Limited Use Holding Account (CA1019-1052)

Your account information is provided below. Select "Account Detail" to view or change entity and account representative information. To initiate a compliance instrument transfer from this account, select "Initiate Transfer" from the Holdings tab. To view the transfer history for this account, select the Transfers tab.

Wiring instructions are used to distribute proceeds from the sale of consigned allowances at an auction. Select "Wiring Instructions" to view, confirm or edit existing wiring instructions, or verify a proposed wiring instructions update. Account representatives can confirm existing or edit and verify updated wiring instructions. The Financial Services Administrator (FSA) must confirm changes to wiring instructions.

A reminder message will show below if an action is required by account representatives or the FSA.

Account Number	CA1019-1052
Account Type	Limited Use Holding
Account Status	Active
Account Balance	4,004
Available Account Balance	4,004

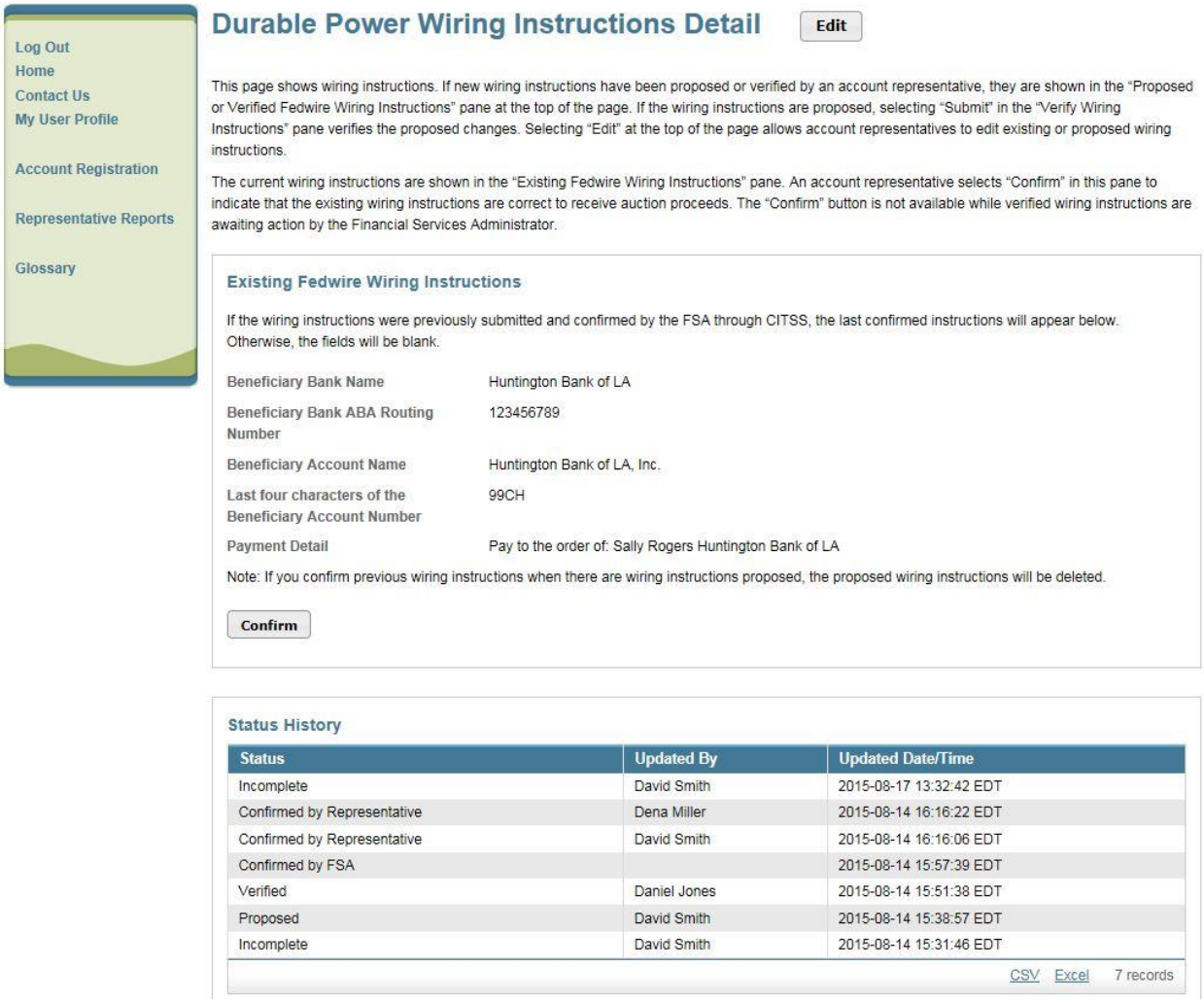
Account Detail | Wiring Instructions

Holdings | Transfers

Vintage	Jurisdiction	Type	Sub-Type	Offset Type	Offset Project ID	Quantity	Initiate Transfer
2013		Allowance				1,001	Initiate Transfer
2014		Allowance				1,001	Initiate Transfer
2015		Allowance				1,001	Initiate Transfer
2016		Allowance				1,001	Initiate Transfer

CSV Excel 4 records

Figure 1-4 Entity Wiring Instructions Detail



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Durable Power Wiring Instructions Detail

Edit

This page shows wiring instructions. If new wiring instructions have been proposed or verified by an account representative, they are shown in the "Proposed or Verified Fedwire Wiring Instructions" pane at the top of the page. If the wiring instructions are proposed, selecting "Submit" in the "Verify Wiring Instructions" pane verifies the proposed changes. Selecting "Edit" at the top of the page allows account representatives to edit existing or proposed wiring instructions.

The current wiring instructions are shown in the "Existing Fedwire Wiring Instructions" pane. An account representative selects "Confirm" in this pane to indicate that the existing wiring instructions are correct to receive auction proceeds. The "Confirm" button is not available while verified wiring instructions are awaiting action by the Financial Services Administrator.

Existing Fedwire Wiring Instructions

If the wiring instructions were previously submitted and confirmed by the FSA through CITSS, the last confirmed instructions will appear below. Otherwise, the fields will be blank.

Beneficiary Bank Name	Huntington Bank of LA
Beneficiary Bank ABA Routing Number	123456789
Beneficiary Account Name	Huntington Bank of LA, Inc.
Last four characters of the Beneficiary Account Number	99CH
Payment Detail	Pay to the order of: Sally Rogers Huntington Bank of LA

Note: If you confirm previous wiring instructions when there are wiring instructions proposed, the proposed wiring instructions will be deleted.

Confirm

Status History

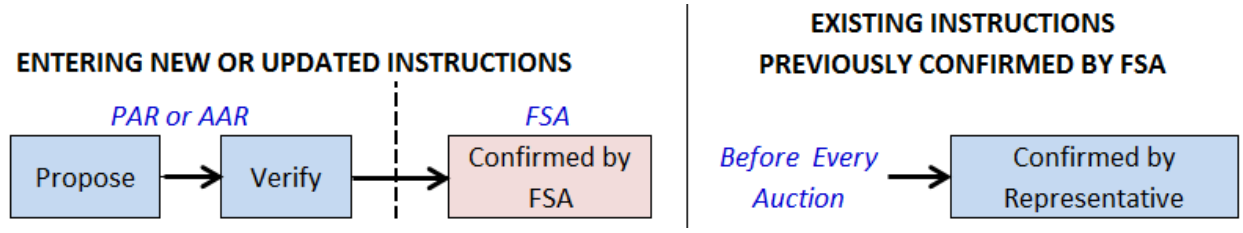
Status	Updated By	Updated Date/Time
Incomplete	David Smith	2015-08-17 13:32:42 EDT
Confirmed by Representative	Dena Miller	2015-08-14 16:16:22 EDT
Confirmed by Representative	David Smith	2015-08-14 16:16:06 EDT
Confirmed by FSA		2015-08-14 15:57:39 EDT
Verified	Daniel Jones	2015-08-14 15:51:38 EDT
Proposed	David Smith	2015-08-14 15:38:57 EDT
Incomplete	David Smith	2015-08-14 15:31:46 EDT

CSV Excel 7 records

Entering new or updated instructions requires a two-step process for account representatives followed by a third step completed by the FSA (Figure 1-5.) One account representative must enter and propose the wiring instructions, and a second account representative must verify the wiring instructions are correct. When the second representative has verified new wiring instructions in CITSS, the information is forwarded to the FSA. New wiring instructions are confirmed by the FSA in CITSS prior to an auction.

Existing instructions previously confirmed by the FSA can be confirmed by an account representative in CITSS before an auction in which they have consigned allowances.

Figure 1-5 Wiring Instructions Process



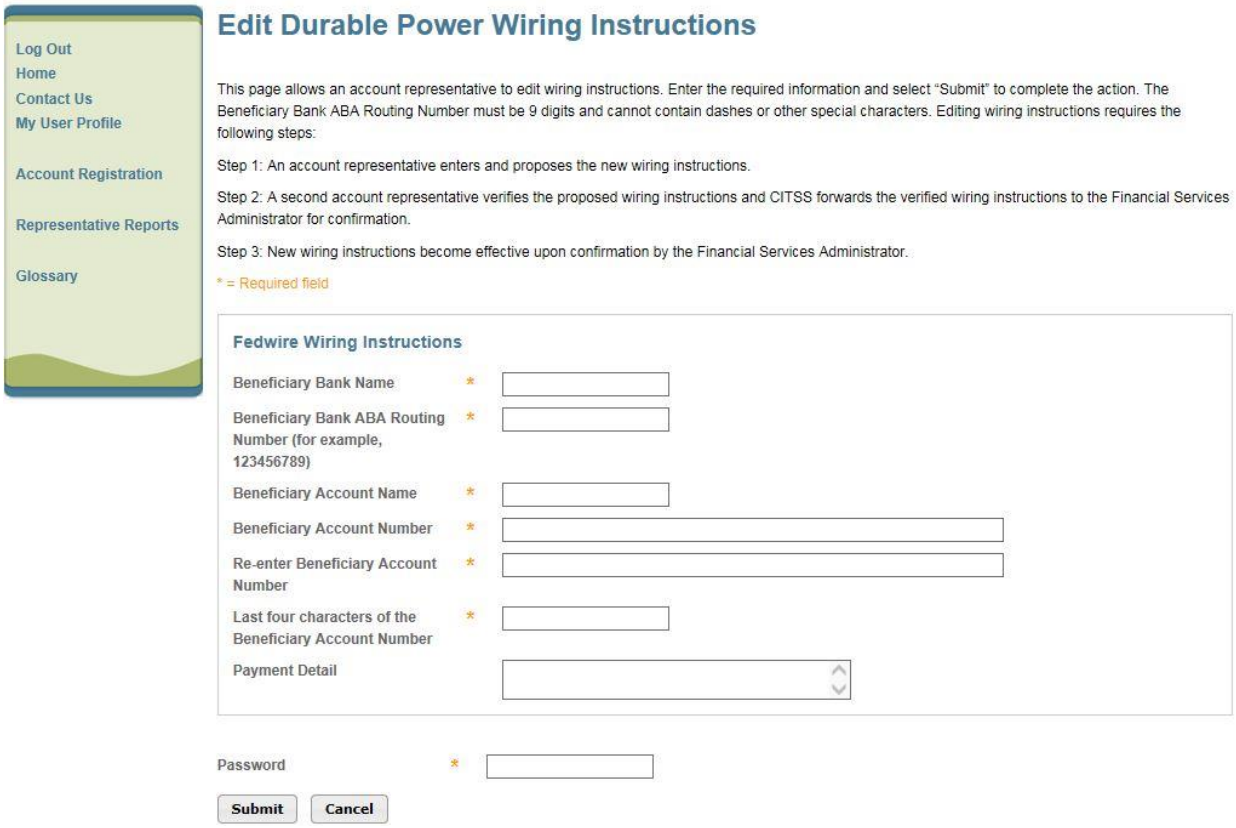
Propose Wiring Instructions

An account representative must complete the following steps to enter or update wiring instructions in CITSS:

1c▷ Select "Edit" on the top right portion of the *Entity Wiring Instructions Detail* page as seen in Figure 1-4. The *Edit Wiring Instructions* page is presented (Figure 1-6.)

1d▷ Provide required Fedwire Wiring Instructions Information (see guidance provided in the following sections.)

Figure 1-6 Edit Wiring Instructions



Providing Fedwire Wiring Instructions Information

The *Edit Wiring Instructions* page is where an account representative provides new or updated Fedwire wiring instructions information. Review each of these fields carefully, as the information provided, once confirmed by the FSA, is used for the distribution of auction proceeds from the sale of consigned allowances. Guidance for completing wiring instructions information is provided in the following sections.

> ***Note:*** *The FSA cannot process Automated Clearing House (ACH) wire transfers. Please ensure that only Fedwire instructions are provided, or this may result in a returned wire and delay proceeds distribution.*

Beneficiary Bank Name

Beneficiary Bank Name is required.

Beneficiary Bank ABA Routing Number

Beneficiary Bank American Bankers Association (ABA) Routing Number is required. This number must conform to Fedwire wiring instruction requirements and must be 9 alphanumeric characters with no dashes, spaces, or special characters. Wiring instructions cannot be proposed unless this criterion is met.

Beneficiary Account Name

Beneficiary Account Name is required.

Beneficiary Account Number

Beneficiary Account Number is required.

Both of the account representatives that take action to propose or verify the wiring instructions are required to enter the full Beneficiary Account Number. Once wiring instructions have been proposed, e.g. during the process of verifying the wiring instructions, CITSS only displays the last four characters as a reminder of the account number that has been previously entered.

Re-enter Beneficiary Account Number

Beneficiary Account Number is a critical piece of wiring instructions information. To minimize data entry errors, CITSS requires double entry of the Beneficiary Account Number. Re-enter the same Beneficiary Account Number as entered in the Beneficiary Account Number field above.

Last four characters of the Beneficiary Account Number

The last four characters of the Beneficiary Account Number are required. The last four characters are viewable to all account representatives as soon as wiring instructions have been proposed in CITSS.

Payment Details

Payment details are optional. This field is provided as a “note” which is visible to account representatives and the FSA to assist in the process of directing payment of auction proceeds. For example, entities may choose to direct payment to a specific person whose name could be entered in this field.

In order to propose wiring instructions in CITSS, the following steps are required:

1e▷ Complete the required fields and confirm all wiring instructions data entered is accurate.

1f▷ Enter CITSS password.

1g▷ Select “Submit.” The *Wiring Instructions Detail* page is presented with the proposed wiring instructions information (Figure 1-7**Error! Reference source not found.**.)

Upon selecting “Submit,” the wiring instructions status changes to “Proposed” in CITSS and account representatives receive an email notification.

The example in **Error! Reference source not found.** shows the *Wiring Instructions Detail* page after wiring instructions have been proposed for an entity that had wiring instructions previously confirmed by the FSA.

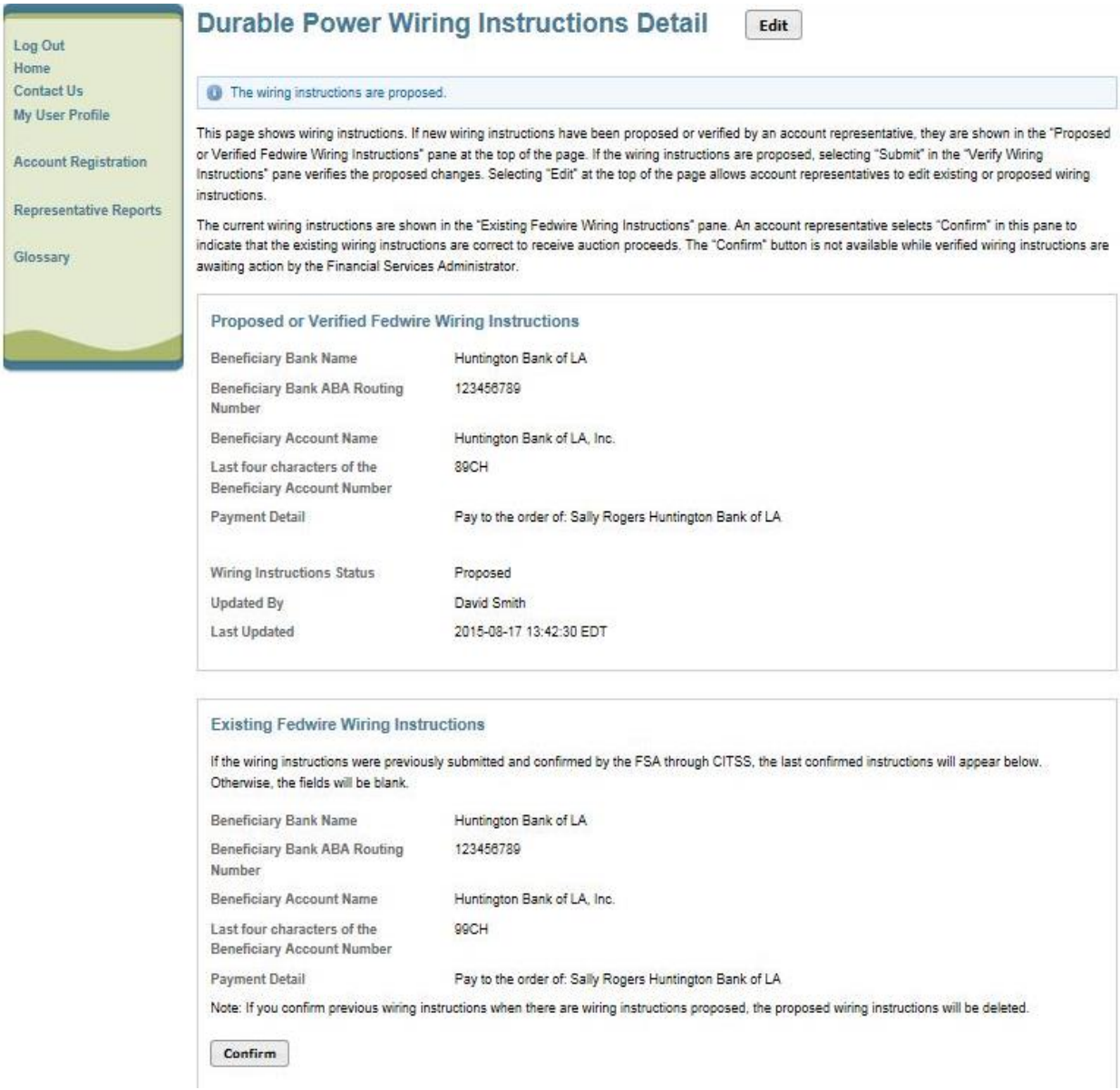
There are two panes that display on the *Wiring Instructions Detail* page to account representatives:

1. Proposed or Verified Fedwire Wiring Instructions – populate with proposed or verified wiring instructions. Only the last four characters of the Beneficiary Account Number are displayed for security purposes.
2. Existing Fedwire Wiring Instructions – contains instructions that were previously confirmed by the FSA. These fields are blank if there are no previous wiring instructions that have been confirmed by the FSA.

The wiring instructions status is listed as “Proposed.”

After the wiring instructions are proposed, a second representative must verify that wiring instructions are accurate. The account representative that proposed the wiring instructions cannot be the same representative that verifies the wiring instructions.

Figure 1-7 Proposed Wiring Instructions



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Durable Power Wiring Instructions Detail

Edit

The wiring instructions are proposed.

This page shows wiring instructions. If new wiring instructions have been proposed or verified by an account representative, they are shown in the "Proposed or Verified Fedwire Wiring Instructions" pane at the top of the page. If the wiring instructions are proposed, selecting "Submit" in the "Verify Wiring Instructions" pane verifies the proposed changes. Selecting "Edit" at the top of the page allows account representatives to edit existing or proposed wiring instructions.

The current wiring instructions are shown in the "Existing Fedwire Wiring Instructions" pane. An account representative selects "Confirm" in this pane to indicate that the existing wiring instructions are correct to receive auction proceeds. The "Confirm" button is not available while verified wiring instructions are awaiting action by the Financial Services Administrator.

Proposed or Verified Fedwire Wiring Instructions

Beneficiary Bank Name	Huntington Bank of LA
Beneficiary Bank ABA Routing Number	123456789
Beneficiary Account Name	Huntington Bank of LA, Inc.
Last four characters of the Beneficiary Account Number	89CH
Payment Detail	Pay to the order of: Sally Rogers Huntington Bank of LA
Wiring Instructions Status	Proposed
Updated By	David Smith
Last Updated	2015-08-17 13:42:30 EDT

Existing Fedwire Wiring Instructions

If the wiring instructions were previously submitted and confirmed by the FSA through CITSS, the last confirmed instructions will appear below. Otherwise, the fields will be blank.

Beneficiary Bank Name	Huntington Bank of LA
Beneficiary Bank ABA Routing Number	123456789
Beneficiary Account Name	Huntington Bank of LA, Inc.
Last four characters of the Beneficiary Account Number	99CH
Payment Detail	Pay to the order of: Sally Rogers Huntington Bank of LA

Note: If you confirm previous wiring instructions when there are wiring instructions proposed, the proposed wiring instructions will be deleted.

Confirm

Timeframe Considerations for Proposed Instructions

There is no expiration imposed by CITSS on wiring instructions in "Proposed" status, but ARB recommends that verification by a second account representative occur as soon as possible to avoid delays in information being provided to the FSA.

Verify Wiring Instructions

Once wiring instructions have been “Proposed” in CITSS, a second account representative accesses the *Wiring Instructions Detail* page to review the wiring instructions information for accuracy (Figure 1-8.)

There are three panes that display on the *Wiring Instructions Detail* page once the wiring instructions are in a “Proposed” status in CITSS:

1. Proposed or Verified Fedwire Wiring Instructions – shows the proposed or verified wiring instructions information.
2. Verify Wiring Instructions – where the second account representative enters the Beneficiary Bank Account Number and password to verify wiring instructions information.
3. Existing Fedwire Wiring Instructions – shows wiring instructions that have been confirmed by the FSA.

The representative that proposed the wiring instructions will not see the Verify Wiring Instructions pane when logging into CITSS.

Wiring instructions that were proposed by the first account representative are populated on the top of the page in the Proposed or Verified Fedwire Wiring Instructions pane and should be reviewed carefully prior to any further action being taken in CITSS. For security, only the last four characters of the Beneficiary Account Number are displayed. To verify wiring instructions, the second account representative must:

1h▷ Enter the full Beneficiary Account Number in the Verify Wiring Instructions pane.

1i▷ Enter CITSS password.

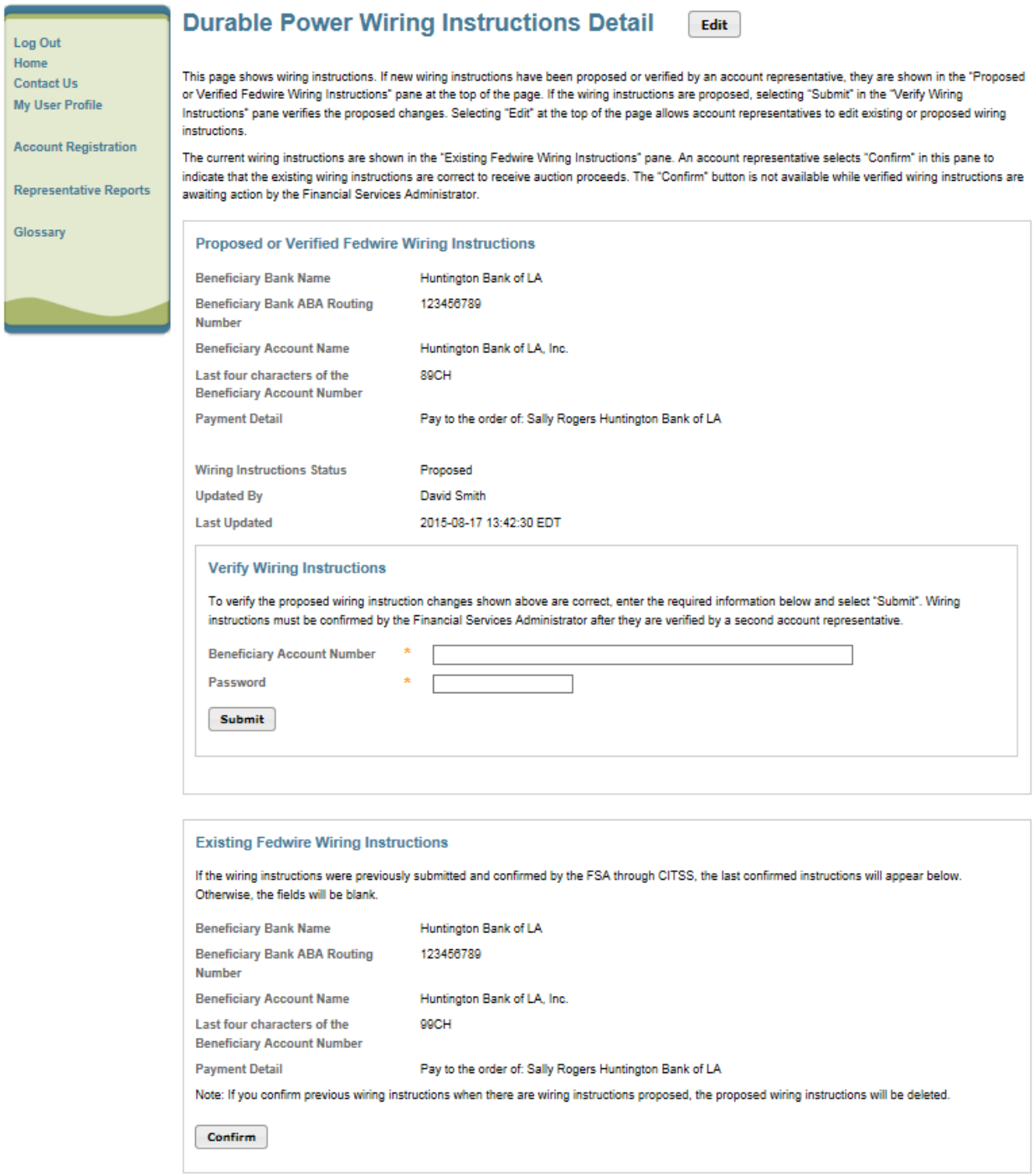
1j▷ Select “Submit.”

Upon selecting “Submit,” the wiring instructions status changes to “Verified” in CITSS and account representatives and the FSA receives an email notification.

The example in Figure 1-9 shows the Wiring Instructions Detail page after wiring instructions have been verified for an entity that had wiring instructions previously confirmed by the FSA. The Proposed or Verified Fedwire Wiring Instructions pane contains verified instructions, and shows the Wiring Instructions Status, Updated By, and Last Updated information. The Existing Wiring Instructions pane is not populated until the wiring instructions have been confirmed by the FSA. The wiring instructions status is listed as “Verified.”

After the wiring instructions are “Verified,” wiring instructions are available to the FSA for review in CITSS.

Figure 1-8 Verify Wiring Instructions Pane



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Durable Power Wiring Instructions Detail Edit

This page shows wiring instructions. If new wiring instructions have been proposed or verified by an account representative, they are shown in the "Proposed or Verified Fedwire Wiring Instructions" pane at the top of the page. If the wiring instructions are proposed, selecting "Submit" in the "Verify Wiring Instructions" pane verifies the proposed changes. Selecting "Edit" at the top of the page allows account representatives to edit existing or proposed wiring instructions.

The current wiring instructions are shown in the "Existing Fedwire Wiring Instructions" pane. An account representative selects "Confirm" in this pane to indicate that the existing wiring instructions are correct to receive auction proceeds. The "Confirm" button is not available while verified wiring instructions are awaiting action by the Financial Services Administrator.

Proposed or Verified Fedwire Wiring Instructions

Beneficiary Bank Name	Huntington Bank of LA
Beneficiary Bank ABA Routing Number	123456789
Beneficiary Account Name	Huntington Bank of LA, Inc.
Last four characters of the Beneficiary Account Number	89CH
Payment Detail	Pay to the order of: Sally Rogers Huntington Bank of LA
Wiring Instructions Status	Proposed
Updated By	David Smith
Last Updated	2015-08-17 13:42:30 EDT

Verify Wiring Instructions

To verify the proposed wiring instruction changes shown above are correct, enter the required information below and select "Submit". Wiring instructions must be confirmed by the Financial Services Administrator after they are verified by a second account representative.

Beneficiary Account Number *

Password *

Submit

Existing Fedwire Wiring Instructions

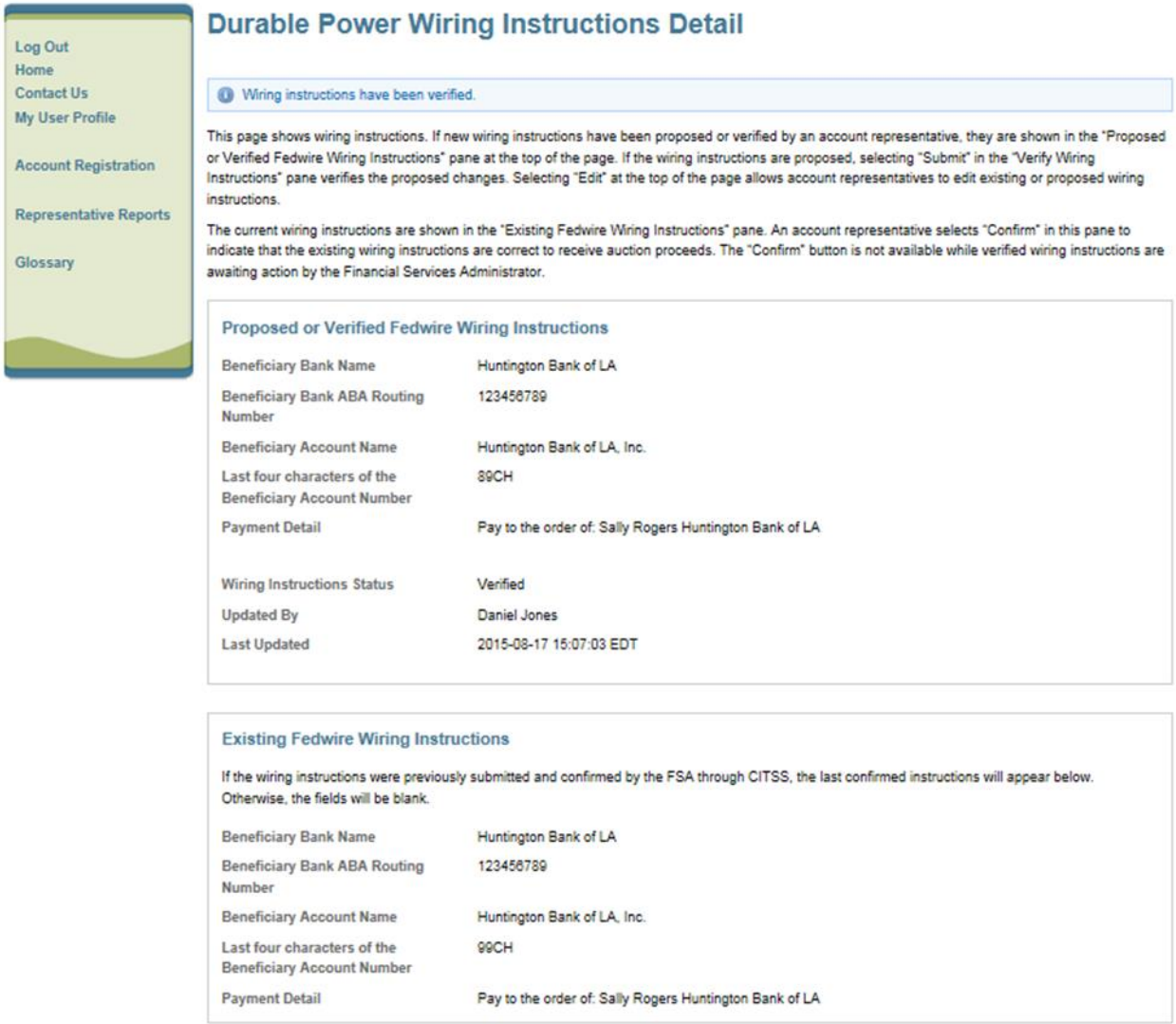
If the wiring instructions were previously submitted and confirmed by the FSA through CITSS, the last confirmed instructions will appear below. Otherwise, the fields will be blank.

Beneficiary Bank Name	Huntington Bank of LA
Beneficiary Bank ABA Routing Number	123456789
Beneficiary Account Name	Huntington Bank of LA, Inc.
Last four characters of the Beneficiary Account Number	99CH
Payment Detail	Pay to the order of: Sally Rogers Huntington Bank of LA

Note: If you confirm previous wiring instructions when there are wiring instructions proposed, the proposed wiring instructions will be deleted.

Confirm

Figure 1-9 Verified Wiring Instructions



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Durable Power Wiring Instructions Detail

Wiring instructions have been verified.

This page shows wiring instructions. If new wiring instructions have been proposed or verified by an account representative, they are shown in the "Proposed or Verified Fedwire Wiring Instructions" pane at the top of the page. If the wiring instructions are proposed, selecting "Submit" in the "Verify Wiring Instructions" pane verifies the proposed changes. Selecting "Edit" at the top of the page allows account representatives to edit existing or proposed wiring instructions.

The current wiring instructions are shown in the "Existing Fedwire Wiring Instructions" pane. An account representative selects "Confirm" in this pane to indicate that the existing wiring instructions are correct to receive auction proceeds. The "Confirm" button is not available while verified wiring instructions are awaiting action by the Financial Services Administrator.

Proposed or Verified Fedwire Wiring Instructions

Beneficiary Bank Name	Huntington Bank of LA
Beneficiary Bank ABA Routing Number	123456789
Beneficiary Account Name	Huntington Bank of LA, Inc.
Last four characters of the Beneficiary Account Number	89CH
Payment Detail	Pay to the order of: Sally Rogers Huntington Bank of LA
Wiring Instructions Status	Verified
Updated By	Daniel Jones
Last Updated	2015-08-17 15:07:03 EDT

Existing Fedwire Wiring Instructions

If the wiring instructions were previously submitted and confirmed by the FSA through CITSS, the last confirmed instructions will appear below. Otherwise, the fields will be blank.

Beneficiary Bank Name	Huntington Bank of LA
Beneficiary Bank ABA Routing Number	123456789
Beneficiary Account Name	Huntington Bank of LA, Inc.
Last four characters of the Beneficiary Account Number	99CH
Payment Detail	Pay to the order of: Sally Rogers Huntington Bank of LA

WIRING INSTRUCTIONS CONFIRMATION BY THE FSA

The FSA receives a report of all verified wiring instructions and confirms through CITSS that the entities' wiring instructions meet Fedwire requirements. The FSA cannot validate that the wiring instructions are correct, only that the information provided is complete and meets Fedwire format requirements. It is the account representatives' responsibility to ensure the accuracy of the wiring instructions entered in CITSS.

The FSA can confirm the verified wiring instructions or designate the instructions invalid if there is an error in the information that would prevent the distribution of proceeds from the sale of consigned allowances (e.g. ACH wire transfer details were provided.)

Once wiring instructions are confirmed by the FSA, account representatives receive an email notification indicating the wiring instructions status has changed to "Confirmed by FSA."

Account representatives are able to view Existing Fedwire Wiring Instructions on the Wiring Instructions Detail page. The Confirmed Fedwire Wiring Instructions pane is populated with the confirmed wiring instructions information (Figure 1-10.)

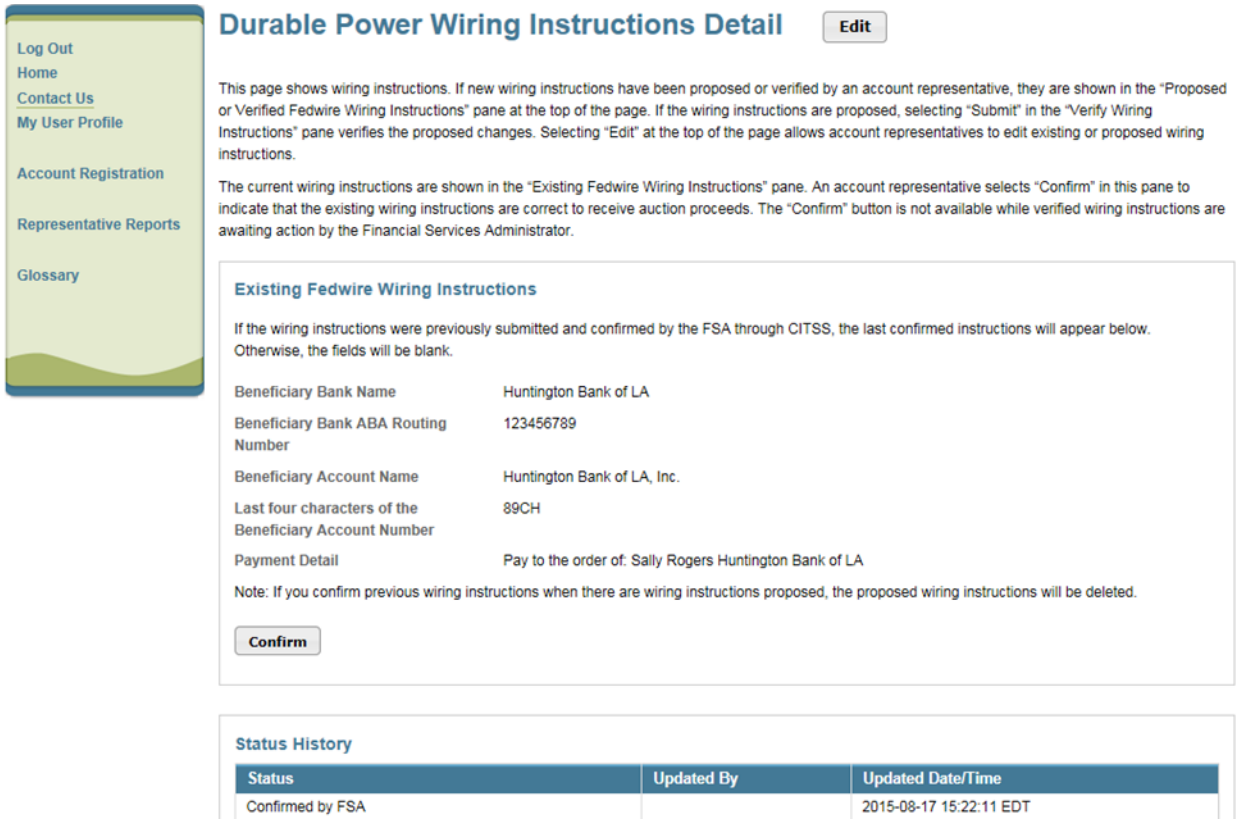
The Status History pane on the Wiring Instructions Detail page shows the status update of "Confirmed by FSA" to all account representatives with the Updated Date and Time.

Updates to Wiring Instructions Previously Confirmed by FSA

If wiring instructions have been confirmed by the FSA, they can be edited prior to an auction in which an entity intends to consign allowances by selecting "Edit" and following the process described for updating wiring instructions information via the Propose/Verify process. Similar to the initial process of entering wiring instructions in CITSS, updating wiring instructions requires a two-step (Propose/Verify) process and two account representatives.

In the rare instance that wiring instructions cannot be confirmed, account representatives are notified by the FSA prior to action being taken in CITSS. If wiring instructions are designated as Invalid by the FSA in CITSS, account representatives receive an email notification indicting the wiring instructions status has changed to "Invalid." The Status History pane on the Wiring Instructions Detail page shows the status update of invalid to all active account representatives. This status change indicates that wiring instructions will have to be re-proposed and verified in CITSS by account representatives and confirmed by the FSA for an auction.

Figure 1-10 Wiring Instructions Confirmed by FSA



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Durable Power Wiring Instructions Detail

Edit

This page shows wiring instructions. If new wiring instructions have been proposed or verified by an account representative, they are shown in the "Proposed or Verified Fedwire Wiring Instructions" pane at the top of the page. If the wiring instructions are proposed, selecting "Submit" in the "Verify Wiring Instructions" pane verifies the proposed changes. Selecting "Edit" at the top of the page allows account representatives to edit existing or proposed wiring instructions.

The current wiring instructions are shown in the "Existing Fedwire Wiring Instructions" pane. An account representative selects "Confirm" in this pane to indicate that the existing wiring instructions are correct to receive auction proceeds. The "Confirm" button is not available while verified wiring instructions are awaiting action by the Financial Services Administrator.

Existing Fedwire Wiring Instructions

If the wiring instructions were previously submitted and confirmed by the FSA through CITSS, the last confirmed instructions will appear below. Otherwise, the fields will be blank.

Beneficiary Bank Name	Huntington Bank of LA
Beneficiary Bank ABA Routing Number	123456789
Beneficiary Account Name	Huntington Bank of LA, Inc.
Last four characters of the Beneficiary Account Number	89CH
Payment Detail	Pay to the order of: Sally Rogers Huntington Bank of LA

Note: If you confirm previous wiring instructions when there are wiring instructions proposed, the proposed wiring instructions will be deleted.

Confirm

Status History

Status	Updated By	Updated Date/Time
Confirmed by FSA		2015-08-17 15:22:11 EDT

Auction Proceeds Distribution to Consigning Entities

The FSA uses the wiring instructions that have a status of "Confirmed by FSA" in CITSS for the distribution of proceeds following an auction.

Similar to prior joint auctions, account representatives receive an email from the FSA twenty four hours prior to the distribution of auction proceeds with a consigning entity statement identifying the amount to be transferred.

REPRESENTATIVE CONFIRMATION OF WIRING INSTRUCTIONS

Once wiring instructions are in the “Confirmed by FSA” status, they do not need to be re-entered unless they need to change. Account representatives are prompted to confirm the existing instructions every time a consignment transfer is saved or proposed.

Wiring instructions that have been confirmed by the FSA in CITSS are stored in CITSS and can be reviewed in the Existing Fedwire Wiring Instructions pane. For security, only the last four characters of the Beneficiary Account Number are visible in CITSS. Wiring instructions must be confirmed every time allowances are consigned to auction. To confirm wiring instructions in CITSS, an account representative must:

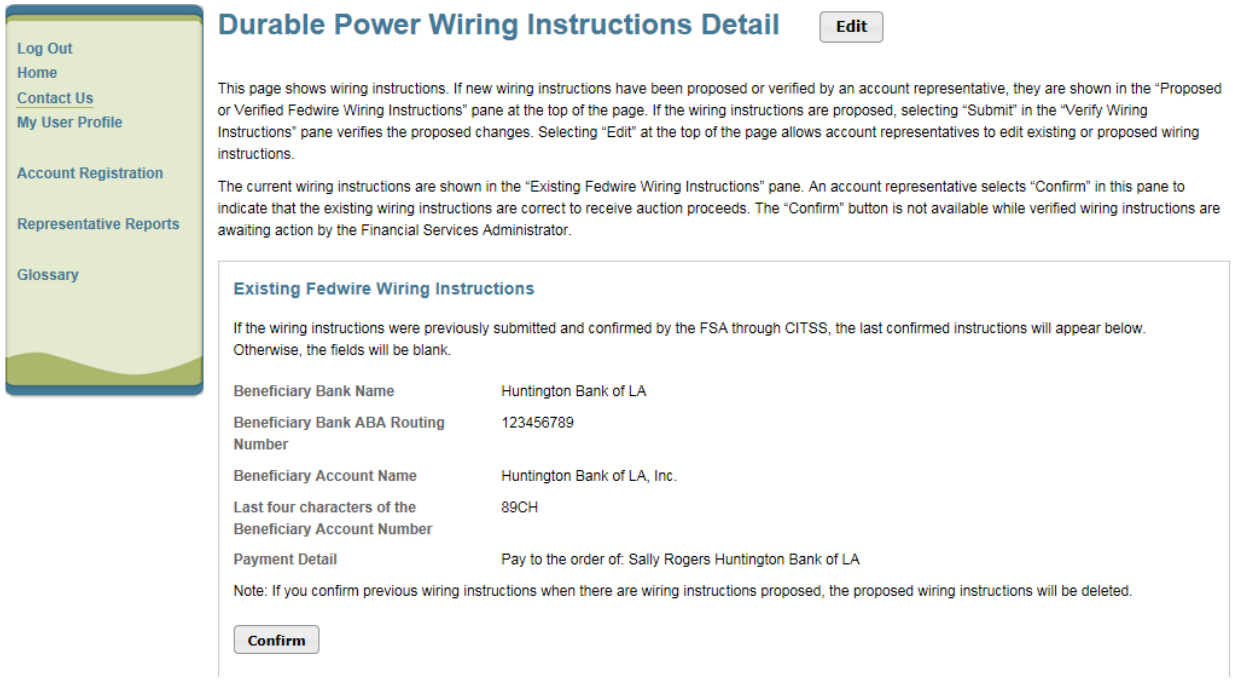
1k▷ Select “Confirm” on the *Wiring Instructions Detail* page (Figure 1-11.)

Once confirmed, the status of the wiring instructions changes to “Confirmed by Representative.” The FSA is notified of confirmed wiring instructions.

When the Existing Fedwire Wiring Instructions pane is blank, indicating wiring instructions have not been confirmed by the FSA, wiring instructions should <u>not</u> be confirmed by account representatives. If an entity confirms blank wiring instructions, further action will be required to propose and verify new wiring instructions prior to an auction in which a consigning entity intends to consign allowances to ensure that wiring instructions are available to be confirmed by the FSA in CITSS for use to pay proceeds from the sale of consigned allowances.

No further action is required on the part of account entity representatives once wiring instructions have been confirmed by the FSA prior to the next auction.

Figure 1-11 Confirm Wiring Instructions



Completing a Consignment Transfer

The consignment transfer process is separate from entering wiring instructions in CITSS. A consignment transfer can be proposed and approved without having to enter or update wiring instructions.

The information required to complete a consignment transfer in CITSS has not changed. While preparing a consignment transfer, both account representatives must respond to the question "Are the wiring instructions above correct to receive auction proceeds that may result from the sale of consigned allowances?" Each representative must choose from the dropdown responses, but need not enter or update wiring instructions at that time. An account representative must select "Yes," "No," or "I don't know" from the dropdown menu. The response to the question "Are the wiring instructions above correct to receive auction proceeds that may result from the sale of consigned allowances?" affects an entity's wiring instructions status.

A separate *Edit Wiring Instructions Detail* page can be accessed from the Limited Use Holding Account page to enter or update wiring instructions.

If wiring instructions have been previously confirmed by the FSA, and have not changed since that confirmation, account representatives should select "Yes" to confirm

continued use of the existing instructions in the next auction. If both entity representatives provide a “Yes” response to the question, indicating the wiring instructions are accurate, the wiring instructions are considered current and no further action is required in CITSS prior to the next auction. Account representatives should select “No” if updated instructions are needed. Account representatives can select “I don’t know” if they are unable to provide a response at that time. The existing wiring instructions can be confirmed or updated wiring instructions can be entered at a later date.

If either entity representative provides a “No” or “I don’t know” response to the question, indicating the wiring instructions may not be accurate, and the transfer is proposed or approved by an account representative, a reminder message to review or update the wiring instructions is presented on the entity’s LUHA page that reads, “An entity representative has indicated that the entity wiring instructions may need to be updated or has proposed updated wiring instructions” (Figure 1-13.) Further action is required on the part of the account representative to review the wiring instructions in CITSS and confirm whether they are accurate or need to be changed. The representative is not required to immediately confirm or update wiring when proposing or approving a consignment transfer.

Figure 1-12 Consignment Transfer Information

Receiving Account and Transfer Information

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

Fedwire Wiring Instructions Confirmation

The wiring instructions for your account, shown below, are used to distribute proceeds from the sale of consigned allowances at an auction. If the wiring instructions are blank, they have not been entered or confirmed in CITSS. For security, the Beneficiary Account Number has been encrypted and only the last four digits are displayed. If wiring instructions are not accurate, they can be edited by selecting "Wiring Instructions" from the Limited Use Holding Account page.

Beneficiary Bank Name	Huntington Bank of LA
Beneficiary Bank ABA Routing Number	123456789
Last four characters of the Beneficiary Account Number	99CH

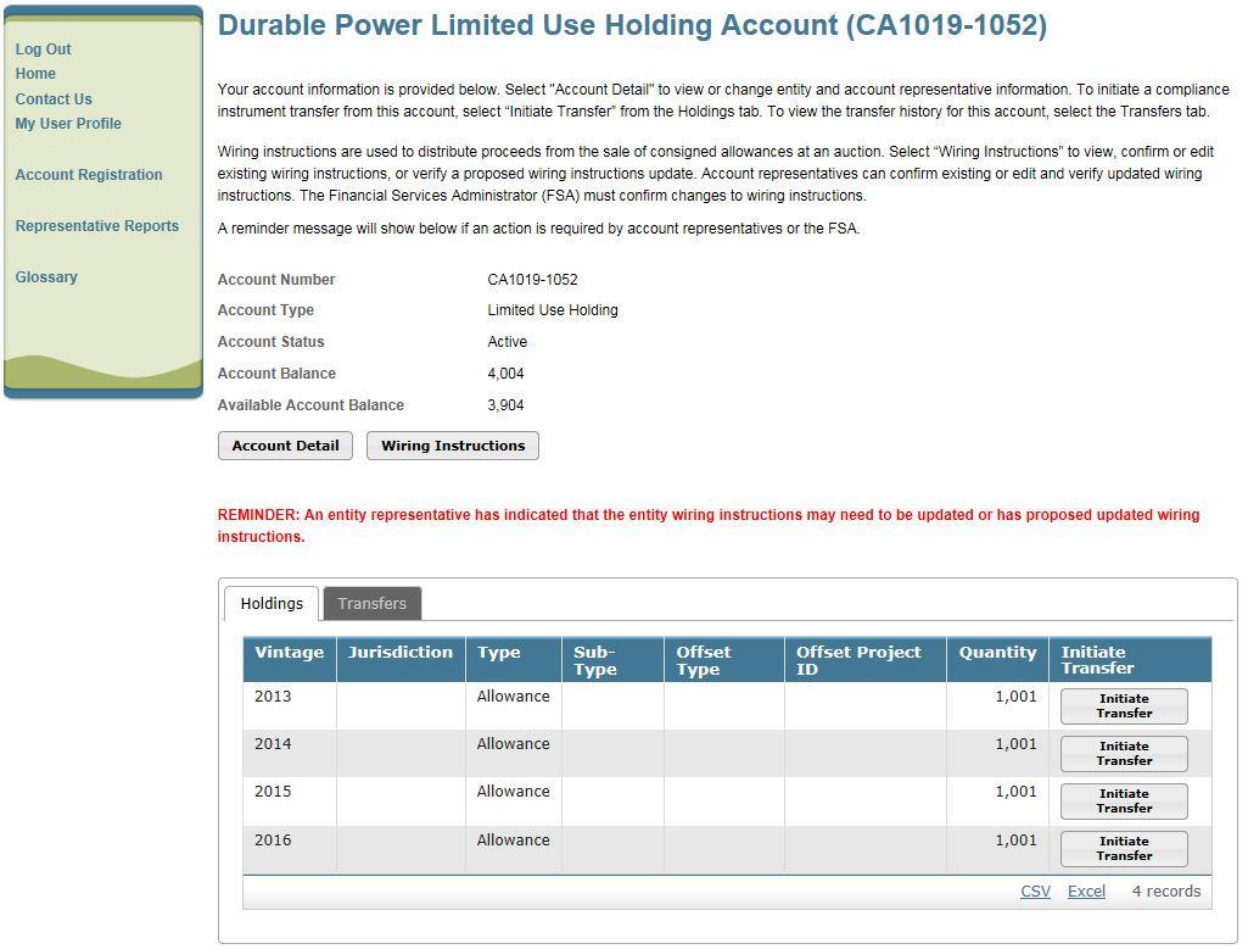
Are the Wiring Instructions above correct to receive auction proceeds that may result from the sale of consigned allowances?

Please select one * -- Select --

Account representatives must confirm or update wiring instructions before each auction to which the entity consigns allowances. Account representatives must answer the above question using the dropdown menu. Selecting "Yes" indicates to the Financial Services Administrator that the existing wiring instructions are correct. If "No" or "I don't know" are selected, a reminder message to review the wiring instructions will be presented on the Limited Use Holding Account page. The reminder message is presented until existing wiring instructions are confirmed by an account representative or new wiring instructions are confirmed by the Financial Services Administrator.

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. I consent to the jurisdiction of California and its courts for purposes of enforcement of the laws, rules and regulations pertaining to title 17, article 5, sections 95800 et seq., and I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information, including the possibility of fine or imprisonment.

Figure 1-13 Wiring Instructions Reminder Message



Deadline for Confirming Wiring Instructions

Wiring instructions must be confirmed in CITSS for all consigning entities no later than the date of the auction as listed in the Auction Schedule in the Auction Notice, to indicate to the FSA that existing wiring instructions remain valid.

EMAIL NOTIFICATIONS

CITSS records the account representatives that are active when a new entry or update of wiring instructions is initiated. CITSS sends an email to account representatives when wiring instructions are "Proposed," "Verified," "Confirmed by Representative," "Confirmed by the FSA," or designated as "Invalid" by the FSA. The Wiring Instructions Status Update email will indicate the specific the Wiring Instructions Status in the

message body. Figure 1-14 is an example of a CITSS generated email in which the wiring instructions status is “Confirmed by FSA” for the entity.

Figure 1-14 Wiring Instructions Status Update Notifications

```
You are being notified that the wiring instructions status for the entity shown below has changed. You may login to CITSS to view
additional details for this status update.

CITSS Entity ID: CA1019
Entity Legal Name: Durable Power
Entity Operating Name: Utility+D
Wiring Instructions Status: Confirmed by FSA

Inquiries regarding this communication should be directed to the CITSS Help Desk.


WCI, Inc. CITSS Help Desk
Email: help@wci-citss.org
Phone number: 1-866-682-7561

*******************************************************************************
This email message and its attachment are confidential, intended only for addressee(s) named above and may contain information
that is proprietary, privileged, or otherwise exempt from disclosure. If you receive this message in error please notify us at
the Help Desk email above and immediately delete this message and its attachments from your system.
```

Email Notifications for Added Account Representatives

CITSS records the account representatives that are active when a new entry or update of wiring instructions is initiated. Account representatives that are added to a CITSS account after the wiring instructions have been proposed, verified, or confirmed by an account representative, will not receive status update email notifications for the current update process.

If wiring instructions are in “Proposed” status when a new account representative is added, the instructions can simply be re-proposed in order to include the new representative in the current wiring instruction update process.

AUCTION PARTICIPATION BOX SELECTION

The FSA and the Auction and Reserve Sale Administrator (Auction Administrator) require information from CITSS in order to include an entity in an auction or reserve sale. Entities that plan to consign or purchase allowances at an auction must have selected the Auction Participation box in CITSS.

Entities that are consigning allowances to auction but do not intend to purchase allowances at an auction still must select the “Auction Participation” box in CITSS. This makes an entity’s current account representative contact information available to the FSA for communications regarding consignment. This selection must be made no later than one day prior to the end of the application period for an auction. For more information related to the Auction Participation Box and participating in an auction,

additional information is available on the ARB Auction Information webpage at: www.arb.ca.gov/auction.

The following steps should be followed to ensure the the Auction Participation box is selected in CITSS:

1l▷ From the CITSS Home Page, select “View” in the Actions column of an entity account.

1m▷ Select “Account Detail” to access the Auction tab (Figure 1-15.)

1n▷ Review whether the Auction Participation box has been selected by an account representative.

If the Auction Participation box has already been selected, there is a check mark next to Auction Participation and the representative that selected the checkbox will be listed under “Updated By” with the date and time the flag was selected. Once the Auction Participation box has been selected, it remains selected until deselected by an account representative.

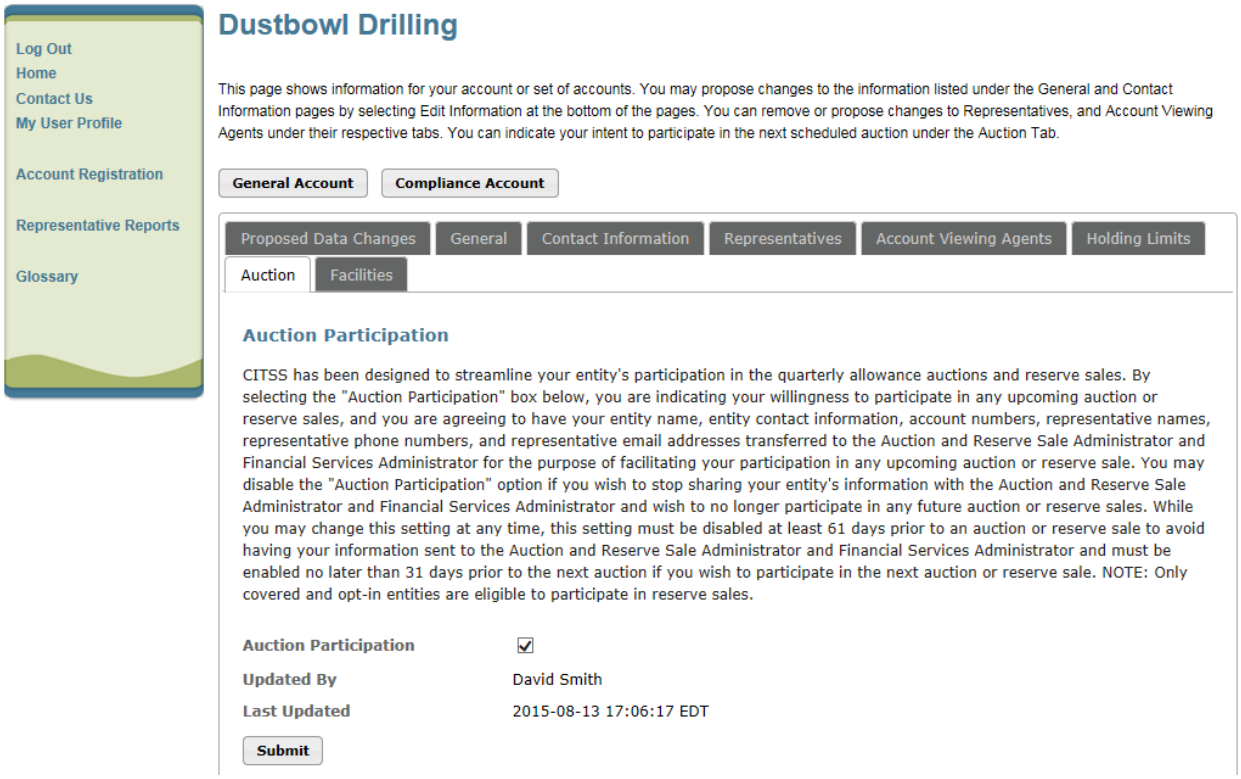



Figure 1-15 Auction Participation Flag Selection