

Cap-and-Trade Regulation Amendment Request

NOTE: Please use this form to highlight a request to amend a specific section (or related sections) of the Cap-and-Trade Regulation. Submission of this form aids staff in tracking requests and **does not mean** staff will ultimately propose an amendment in the version of the amendments noticed pursuant to the Administrative Procedure Act. This form is intended only as an additional tool ARB will use to evaluate requested changes to the regulation. Amendment requests may be for reasons of policy, clarity, or errors, etc. Staff may contact you if we need more information. Additionally, submission of this form will be a public record, and will be included in the ultimate rulemaking file related to these amendments, but may not be specifically answered in the Final Statement of Reasons. (Government Code section 11346.9(a)(3).) Please complete this form (with as much detail as possible, though it need not be formal regulatory language) and mail or email (preferred) to:

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General Information

Date: August 2, 2013

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Section

Primary section(s): 95914(c)(3) & 95914(c)(3)(A)

Related section(s):

Amendment Request

Type of amendment: ☐ Policy ☐ Error ☒ Clarity

Reason for amendment:

The amendment does not define "advisors".

Additional information:

Section 95914(c)(3): If an entity participating in an auction has retained the services of **an advisor, which means a firm or an individual not employed by the entity for the purpose of advising the entity on auction bidding strategy**, then...

Section 95914(c)(3)(A): The entity must ~~ensure~~ **caution the advisor against** ~~the advisor~~ transferring information to other auction participants or coordinating the bidding strategy among participants...