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| **California Air Resources Board** |

**Cap-and-Trade Auction Application**

**Auction Application Attestation Disclosure**

Section 95912(d)(4)(E) of the Cap-and-Trade Regulation requires that each auction application include an attestation disclosing the existence and status of any ongoing investigation or an investigation that has occurred within the last ten years regarding any alleged violation of any rule, regulation, or law associated with any commodity, securities, environmental, or financial market for the entity participating in the auction. Section 95912(d)(4)(E) also applies this disclosure requirement to all other entities with whom the auction applicant has a corporate association, direct corporate association, or indirect corporate association pursuant to section 95833 that participate in a carbon, fuel, or electricity market. Further, the attestation must be updated before each auction to reflect any change in the status of an investigation since the most recent auction application attestation was submitted. Additional information on this requirement is included in the ARB’s October 2014 Instructional Guidance, available at: <http://www.arb.ca.gov/cc/capandtrade/guidance/attestationguidance.pdf>.

An auction applicant may use this form to fulfill the regulatory requirement to submit the required attestation disclosure and updates to previously submitted attestations. If an auction applicant chooses to use this form, it must be completed and the original submitted to ARB at the address on the back of this form at least 30 days prior to an auction in which it intends to participate to meet the regulatory requirements. ***Note: If an auction applicant has previously submitted a disclosure form, and has no further updates to its most recently submitted form, the auction applicant may select “No” in the Auction Platform to satisfy the attestation requirement.***

**Section 1.0 Auction Applicant Information**

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| CITSS Entity ID #: |  |
| Entity Legal Name: |  |
| Entity Operating Name: |  |
| Auction for which this Disclosure is Submitted: |  |
| Representative Completing this Form: |  |

**Section 2.0 Identification of Type of Disclosure Being Submitted**

*Check the applicable box, then complete the next section as indicated below the selected disclosure.*

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| The entity referenced in Section 1 has new disclosures to submit.  *Complete Section 3.0, Signature, and Submit* | mm |
| The entity referenced in Section 1 has required updates to submit to disclosures that were previously submitted.  *Complete Section 3.0, Signature, and Submit* |  |
| The entity referenced in Section 1 has previously submitted all required disclosures and there are no updates required.  *Complete Signature and Submit* |  |

**Section 3.0 Disclosure (please provide the required disclosure(s) in the space below).**

*Use the table below to provide information related to the disclosure of an investigation(s). You may attach additional documentation to this page, but will need to indicate below which document(s) is(are) attached and the number of pages of the attachment(s)*.

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| --- | --- | --- | --- | --- |
| Name of Entity Under Investigation | Relationship to Registered Entity | Agency Initiating Investigation | Time Frame of Investigation | Description and Status of Investigation |
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**Attestation**

*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 listed in Section 1 of this form. I certify that I have disclosed, to the best of my knowledge based on the best information available to me at the time of this disclosure, the existence and status of any ongoing investigation or an investigation that has occurred within the last ten years with respect to any alleged violation of any rule, regulation, or law associated with any commodity, securities, environmental, or financial market for the entity participating in the auction which I represent, and all other entities with whom the entity has a corporate association, direct corporate association, or indirect corporate association pursuant to section 95833 that participate in a carbon, fuel, or electricity market. I further certify that this attestation has been updated to reflect any change in the status of an investigation that has occurred since the most recent auction application attestation was submitted, or that there are no changes in the status of previously disclosed information.*

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| **Print Name:** |  |
| **Signature:** |  |
| **Representative Role (PAR/AAR):** |  |
| **Date:** |  |

Per Section 95912 of the Cap-and-Trade Regulation, this information must be submitted by the deadline for submitting an application for the auction for which this attestation disclosure is being submitted, as listed in the Schedule provided in the Auction Notice.

If you have questions, please visit the ARB website or contact the ARB Cap-and-Trade Hotline at 916-322-7072 for assistance.

Submit this form to:

California ARB

Attn: Climate Change Program Evaluation Branch

1001 I Street, 6th Floor

Sacramento, CA 95814