

Compliance Instrument Tracking System Service (CITSS)

User Reference CITSS Version 8.0

June 2017

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CITSS AUCTION AND RESERVE SALE EVENT APPLICATIONS

The Primary Account Representative (PAR) or an Alternate Account Representative (AAR) of eligible entities can submit applications and confirm intent to bid in auctions and reserve sales (events) in CITSS. Once an entity's auction application has been approved, the entity need not complete applications for subsequent events unless there is a material change to the information contained in the approved application. However, the entity must submit a notice of intent to bid at least 30 days prior to each auction and at least 20 days prior to each reserve sale it intends to participate in. Material change to auction application information is described further in the Detailed Auction Requirements and Instructions provided on the ARB Auction Information webpage at https://www.arb.ca.gov/auction.

Entity information for an approved event application is maintained to allow submittal of notices of intent to bid for future events. The processes to submit an event application and to confirm intent to bid are generally the same. The only difference is that entry of maintained data is not required for submittal of a notice of intent to bid. For simplicity, this User Reference will refer to both an event application and notice of intent to bid as an event application.

Covered entities, opt-in covered entities, and voluntarily associated entities are eligible to participate in auctions. Covered entities and opt-in covered entities are eligible to participate in reserve sales; voluntarily associated entities are not eligible to participate in reserve sales.

Participating in an event consists of submitting an event application, providing a bid guarantee, bidding in the event, and financial settlement. Event applications are submitted in CITSS and Financial Services Delivery Instructions required for providing bid guarantees are obtained from CITSS. Bidding and financial settlement are conducted outside of CITSS. Bidding is conducted in the Markit Auction Platform (Auction Platform) and Financial Statements required for financial settlement are obtained from the Auction Platform. Entities will complete the financial settlement process with the Financial Services Administrator for all allowances awarded in an auction or reserve sale once the event is certified.

For guidance on participating in auctions, refer to the Auction Notice and Detailed Auction Requirements and Instructions provided on the ARB Auction Information webpage at <u>https://www.arb.ca.gov/auction</u>. For guidance on participating in reserve sales, refer to the Reserve Sale Notice and Detailed Reserve Sale Requirements and Instructions on the ARB Reserve Sale Information webpage at <u>https://www.arb.ca.gov/cc/capandtrade/reservesale/reservesale.htm</u>.

To access the Auction Platform, navigate to <u>https://www.wci-auction.org/</u>. An Auction and Reserve Sale Platform User Guide is available on the Resources page in the Auction Platform. Only PARs and AARs of entities that have been qualified bidders in

past events or that have submitted an event application to an upcoming event can establish Auction Platform accounts.

The Auction Tab

Auction and reserve sale event application functionality in CITSS is accessed primarily from the Auction tab on the Account Detail page. To access the Account Detail page for an entity, select the entity name hyperlink in the Name field in the My Accounts pane on the CITSS Home page (Figure 1). Alternatively, select the "Account Detail" button on an entity Account page (Figure 2) to access the Account Detail page. On the Account Detail page, select "Auction" to view the Auction tab (Figure 3).

	Description						
act Us	Reminders						
ser Profile	Туре			Due Date	Li	nk	
	Under-Reported E	missions Shortfall - Not	Surrendered	2014-12-23 00:00:00	DEST N	otifications page	
ount Registration	2013 Shortfall			2015-02-01 20:00:00	EST C	ompliance Obligatio	ins page
	2013 Untimely Sur	rrender		2015-02-01 20:00:00 EST		Compliance Obligations page	
esentative Reports	2015 Shortfall			2017-02-01 20:00:00	EST C	mpliance Obligations page	
	2015 Untimely Sur	rrender		2017-02-01 20:00:00	EST C	ompliance Obligatio	ins page
	My Accounts						
	My Accounts Name	Operating Name	Account Type	Account	Jurisdictio	n Account Status	Actio
	My Accounts Name Atlanta Corp.	Operating Name Georgia Account	Account Type Exchange Clearing Holding	Account Number CA988-988	Jurisdictio	n Account Status Active	Actio
	My Accounts Name Atlanta Corp. Charlottesville Corp.	Operating Name Georgia Account Virginia Account	Account Type Exchange Clearing Holding General	Account Number CA988-988 CA989-988	Jurisdictio California California	n Account Status Active Active	Actio Viev Viev
	My Accounts Name Atlanta Corp. Charlottesville Corp. Austin Corp.	Operating Name Georgia Account Virginia Account Texas Account	Account Type Exchange Clearing Holding General Limited Use Holding	Account Number CA988-988 CA989-988 CA989-989	Jurisdictio California California California	n Account Status Active Active Active	Actio Viev Viev
	My Accounts Name Atlanta Corp. Charlottesville Corp. Austin Corp. Austin Corp.	Operating Name Georgia Account Virginia Account Texas Account Texas Account	Account Type Exchange Clearing Holding General Limited Use Holding Compliance	Account Number CA988-988 CA989-988 CA989-989 CA989-989 CA990-989	Jurisdictio California California California California	n Account Status Active Active Active Active Active	Action View View View View

Figure 1 User Home Page

Log Out	Austin Corp. G	eneral Acco	ount (CA990-	990)		
Home Contact Us My User Profile	Your account information is prov compliance instrument transfer Transfers tab.	vided below. Select "Acc from this account, select	ount Detail" to view or cha "Initiate Transfer" from the	ange entity and account repre e Holdings tab. To view the tra	sentative informa nsfer history for tl	tion. To initiate a his account, select the
Account Registration	Account Number	CA990-990				
	Account Type	General				
Representative Reports	Account Status	Active				
Glossary	Account Balance	1,000				
	Available Account Balance	1,000				
	Account Detail					
	Holdings Transfers					
	Vintage Jurisdict	ion Type S T	ub- Offset ype Type	Offset Project ID	Quantity	Initiate Transfer
	2013	Allowance			1,000	Initiate Transfer
					C	SV Excel 1 record

Figure 2 Account Detail Button on Account Page

Figure 3 Auction Tab

Company+B

This page shows information for your account or set of accounts. You may propose changes to the information listed under the General and Contact Information pages by selecting Edit Information at the bottom of the pages. You can remove or propose changes to Representatives, and Account Viewing Agents under their respective tabs. You can indicate your interest in participating in the next scheduled auction under the Auction Tab.

General Account	Compliance Ac	count
General Conta	ct Information	Representatives Account Viewing Agents Holding Limits Auction Facilities
Auction and F	Reserve Sale	Information
By selecting the "/ information, accou transferred to the entity's participati you wish to stop s Administrator. Info Administrator if ar	Auction and Reser Int numbers, repr Auction and Rese on in any upcomin haring your entity ormation will cont a application to pa	ve Sale Information" box below, you are agreeing to have your entity name, entity contact 'esentative names, representative phone numbers, and representative email addresses rve Sale Administrator and Financial Services Administrator for the purpose of facilitating your ng auction or reserve sale. You may disable the "Auction and Reserve Sale Information" option if y's information with the Auction and Reserve Sale Administrator and Financial Services cinue to be shared with the Auction and Reserve Sale Administrator and Financial Services rticipate in an auction or reserve sale is submitted.
NOTE: Only covere	ed and opt-in enti	ties are eligible to participate in reserve sales.
Auction and Res Information	erve Sale	
Updated By		B Smith
Last Updated		2016-10-27 20:36:43 EDT
Submit		
Initiate Even	t Participatio	n
The "Initiate Even Applications" butto	t Participation" bu on shows if the er	utton displays if there is an upcoming event that is open for applications. The "View Event ntity has submitted any applications for past or current events.
To participate in an application informa applications for pa	n event, select th ation as confirmat st and upcoming o	e "Initiate Event Participation" button to prepare new application information or resubmit tion of intent to bid for an upcoming event. Select the "View Event Applications" button to view events or to edit existing application information for an upcoming event.
Initiate Event P	articipation	View Event Applications
Current and F	uture Vintag	e Purchase Limit %
Each entity in the Limit percentage (Vintage Purchase of future vintage a the number of fut allowances in an e	Cap-and-Trade pr (shown below). Th Limit percentage allowances that m ure vintage allowa entity's accounts,	ogram is assigned a Current Vintage Purchase Limit percentage and a Future Vintage Purchase is number of current vintage allowances that may be purchased at a given auction is the Current multiplied by the number of current vintage allowances being offered at the auction. The number iay be purchased at a given auction is the Future Vintage Purchase Limit percentage multiplied by ances being offered at the auction. These purchase limits do not consider the balances of and consequently the holding limit may be more restrictive than the purchase limit.
If an entity is part be applicable beca members of the C	of a Corporate As use the purchase AG.	sociation Group (CAG), the purchase limit percentages assigned to an individual entity may not limits are shared among all members of the CAG according to the shares agreed to by the
Current Vintage Limit %	Purchase	25
Future Vintage I Limit %	Purchase	25
Last Updated		2016-10-27 20:36:43 EDT

The Auction tab, shown in Figure 3, has three sections: Auction and Reserve Sale Information, Initiate Event Participation, and Current and Future Vintage Purchase Limit %.

Auction and Reserve Sale Information

The Auction and Reserve Sale Information section provides an opportunity for a PAR or AAR to select the "Auction and Reserve Sale Information" box. Selecting the box indicates the entity's consent to have the entity name, entity contact information, account numbers, representative names, representative phone numbers, and representative email addresses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator for the purpose of facilitating the entity's participation in any upcoming auction or reserve sale.

Note that selecting the "Auction and Reserve Sale Information" box is not required to submit an event application. Further, submission of an event application by a PAR or AAR indicates the entity's consent to have the entity name, entity contact information, account numbers, representative names, representative phone numbers, and representative email addresses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator.

The "Auction and Reserve Sale Information" box is included in CITSS 8.0 as a means to facilitate transfer of entity and representative information to the Financial Services Administrator. For this reason, it is recommended that event applicants select the box. In a future release of CITSS, the box will be removed and entity and representative information for event applications will be provided to the Financial Services Administrator based solely on the submittal of an event application.

Initiate Event Participation

Entity representatives (PARs and AARs) can create event applications and view existing event applications using the buttons in the Initiate Event Participation section of the Auction tab. The "Initiate Event Participation" button will only display if there is an upcoming event that is open for applications (Figure 4). Select the "Initiate Event Participation" button to access the Create Event Application/Confirm Existing Data for Event page. This page is discussed in detail in the Creating an Event Application section of this User Reference.

Figure 4 Initiate Event Participation

Initiate Event Participation The "Initiate Event Participation" button displays if there is an upcoming event that is open for applications. The "View Event Applications" button shows if the entity has submitted any applications for past or current events. To participate in an event, select the "Initiate Event Participation" button to prepare new application information or resubmit application information as confirmation of intent to bid for an upcoming event. Select the "View Event Applications" button to view applications for past and upcoming events or to edit existing application information for an upcoming event. Initiate Event Participation

The "View Event Applications" button will only display if the entity has submitted any applications for past or current events (Figure 5). Select the "View Event Applications" button to access the Event Applications page. This page is discussed in the Reviewing and Editing an Event Application section of this guide.

Figure 5 View Event Applications

Initiate Event Participation The "Initiate Event Participation" button displays if there is an upcoming event that is open for applications. The "View Event Applications" button shows if the entity has submitted any applications for past or current events. To participate in an event, select the "Initiate Event Participation" button to prepare new application information or resubmit application information as confirmation of intent to bid for an upcoming event. Select the "View Event Applications" button to view applications for past and upcoming events or to edit existing application information for an upcoming event. View Event Applications

Both buttons will display if there is an upcoming event that is open for applications and the entity has submitted any applications for past or current events (Figure 6).

Figure 6 Initiate Event Participation and View Event Applications

Initiate Event Participation
The "Initiate Event Participation" button displays if there is an upcoming event that is open for applications. The "View Event Applications" button shows if the entity has submitted any applications for past or current events.
To participate in an event, select the "Initiate Event Participation" button to prepare new application information or resubmit application information as confirmation of intent to bid for an upcoming event. Select the "View Event Applications" button to view applications for past and upcoming events or to edit existing application information for an upcoming event.
Initiate Event Participation View Event Applications

Current and Future Vintage Purchase Limit %

The Auction tab also includes information about the current vintage purchase limit percentage and future vintage purchase limit percentage assigned to the entity based on the entity type. The current vintage purchase limit displayed is applicable to the Current Auction and the future vintage purchase limit displayed is applicable to the Advance Auction.

Per the Cap-and-Trade Regulation, covered entities, opt-in covered entities, and electrical distribution utilities are assigned a purchase limit of 25 percent of allowances offered in the Current Auction and 25 percent of allowances offered in the Advance Auction. Voluntarily associated entities are assigned a purchase limit of 4 percent of allowances offered in the Current Auction and 4 percent of allowances offered in the Advance Auction. If an entity is part of a corporate association group (CAG), the purchase limit percentages displayed on this tab may not be applicable because the purchase limit is divided among all members of the CAG. The purchase limit distribution for each member of the CAG is presented on the Corporate Associates tab on the Account Detail page.

Creating an Event Application for the First Time in CITSS

Select the "Initiate Event Participation" button on the Auction tab to access the Create Event Application/Confirm Existing Data for Event page (Figure 7).

Figure 7 Create Event Application/Confirm Existing Data for Event Page

Create Event Application/Confirm Existing Data for Event

This page allows a representative to submit new application information or resubmit application information as confirmation of intent to bid for an upcoming event. Required fields are indicated by asterisks. Fields will be prepopulated with information from the most recently approved application. A representative may select one or a combination of forms of bid guarantee. If cash bid guarantee is selected, the representative must complete the "Bid Guarantee Return Instructions - Cash Bid Guarantee" pane. If a physical bid guarantee (any form other than cash) is selected, the representative must complete the "Bid Guarantee" Bid Guarantee Return Guarantee Return Instructions - Physical Bid Guarantee" pane.

Bid Guarantee Attestation Submit

Event Application Inform	ation	
CITSS Entity ID		CA990
Legal Name		Austin Corp.
Operating Name		Texas Account
Event	*	Select 🔻

Forms of Bid Guarantee	9	
Currency	* USD	¥
Please select one or more for	ms of bid guarantee:	
Cash		
Letter of Credit		
Bond		
Back To Top		

* Relact -

Attestation

Attentation Deensnee

Section 95912(d)(4)(E) of the California Cap-and-Trade Regulation requires entities to submit an attestation disclosing 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, 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. The attestation must be updated to reflect any change in the status of an investigation that has occurred since the most recent auction application attestation was submitted.

Selecting "Yes" to this Attestation Response indicates that the representative understands the requirements of section 95912(d)(4)(E) and attests that the entity will have submitted and/or updated the required attestation to ARB by the deadline to apply to participate in this auction. An Auction Application Attestation Disclosure Form is available on the ARB Auction Information webpage at https://www.arb.ca.gov/auction.

Selecting "No" to this Attestation Response indicates that the representative understands the requirements of section 95912(d)(4)(E) and attests that the entity has no updates to the disclosures since the most recent auction application attestation was submitted.

The Attestation requirement does not apply to reserve sales. Select "No" if submitting an application or confirmation of intent to bid to a reserve sale.

Confirm and Submit	
Selecting the "Confirm" bu entity name, entity contact representative email addr facilitating participation in	Itton submits event application information for the selected event. By selecting the "Confirm" button, you agree to have the t information, account numbers, representative names, representative phone numbers, bid guarantee information, and resses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator for the purpose of the selected event.
lacintating participation in	
Password	*

This page has six panes corresponding to the categories of information required in the event application: Event Application Information, Forms of Bid Guarantee, Bid Guarantee Return Instructions – Cash Bid Guarantee, Bid Guarantee Return Instructions – Physical Bid Guarantee, Attestation, and Confirm and Submit.

Note that in Figure 7 the two Bid Guarantee Return Instructions panes are not displayed. If the user has JavaScript enabled in the web browser, these panes will only be displayed as required based on the selections made in the Forms of Bid Guarantee pane. If the user does not have JavaScript enabled, the Bid Guarantee Return Instructions panes will display by default.

Required fields are indicated by asterisks (*) and tooltips are indicated by question marks (?). Tooltips are provided to assist users with the required entries and are activated by hovering the mouse cursor over the question mark (?). Select the links above the Event Application Information pane to quickly navigate to each pane. Select the "Back To Top" link at the bottom of each pane to return to the top of the page.

Event Application Information

The Event Application Information pane displays the CITSS Entity ID, Legal Name, Operating Name, and an Event dropdown menu (Figure 8). Use the Event dropdown menu to select the event for which the entity is submitting an application.

Figure 8 Event Application Information Pane

Event Application In	formation	
CITSS Entity ID		CA990
Legal Name		Austin Corp.
Operating Name		Texas Account
Event	*	Select
		Upcoming Auction 1

The Event dropdown menu will only display events that the entity is eligible to participate in during the open application period. For more information on event application periods, refer to event notices and to the Auction and Reserve Sale Activities Summary of Expected Dates on the ARB Auction Information webpage (<u>https://www.arb.ca.gov/auction</u>) and Reserve Sale Information webpage (<u>https://www.arb.ca.gov/cc/capandtrade/reservesale/reservesale.htm</u>).

Forms of Bid Guarantee and Currency Selection

In the Forms of Bid Guarantee pane (Figure 9), select the currency in which the entity's bid guarantee will be submitted and the form, or forms, of bid guarantee to be

submitted. Entities registered in the California Cap-and-Trade Program can only select United States Dollars (USD) in the Currency dropdown menu.

Figure 9 Forms of Bid Guarantee Pane

Forms of Bid Guarant	ee
Currency	* USD V
Please select one or more f	orms of bid gt <mark>USD</mark>
Cash	v
Letter of Credit	•
Bond	
Back To Top	

Select one or a combination of the allowable forms of bid guarantee to be submitted. Refer to the Detailed Auction Requirements and Instructions on the ARB Auction Information webpage (<u>https://www.arb.ca.gov/auction</u>) for guidance on submitting bid guarantees.

If cash is selected as a form of bid guarantee, instructions must be provided in the Bid Guarantee Return Instructions – Cash Bid Guarantee pane for return of funds via wire transfer. If a physical form of bid guarantee is selected, instructions must be provided in the Bid Guarantee Return Instructions – Physical Bid Guarantee pane for return of the bid guarantee.

Bid Guarantee Return Instructions - Cash Bid Guarantee

The Bid Guarantee Return Instructions – Cash Bid Guarantee pane is illustrated in Figure 10.

Cash bid guarantee return instructions require, at a minimum, the following fields: Beneficiary Bank Name, Beneficiary Bank Routing Number or SWIFT/Bank Identifier Code (BIC), Beneficiary Account Name, Beneficiary Bank Account Number (entered twice for confirmation), and the last four characters of the Beneficiary Bank Account Number. Once the application is submitted, only the last four characters will be displayed for confirmation. If return of funds to the entity requires an Intermediary Bank, then additional information specific to the Intermediary Bank is required, including Intermediary Bank Name and Intermediary Bank Routing Number or Intermediary Bank SWIFT/BIC.

A SWIFT/BIC should be provided for international transfer of funds. If the Beneficiary Bank and the Financial Services Administrator returning funds are in the same country, a SWIFT/BIC is not required.

Use the Beneficiary Account Name field to enter identifying information such as Entity Legal Name to assist the Beneficiary Bank in identifying the wire transfer.

Note that if the "Cash" box in the Forms of Bid Guarantee pane is deselected, any fields that were completed in the Bid Guarantee Return Instructions – Cash Bid Guarantee pane will be cleared. Upon reselecting the "Cash" box, the cash bid guarantee return instructions will be blank.

Figure 10 Bid Guarantee Return Instructions – Cash Bid Guarantee Pane

		bla oddiantee	
If cash is selected as a form of bid require, at a minimum, the followin Beneficiary Account Name, Benefi Account Number. Once the applic:	guarantee, instruct ng fields: Beneficiar ficiary Bank Accoun ation is submitted,	ons must be provided for return of funds via wire / Bank Name, Beneficiary Bank Routing Number : Number (entered twice for confirmation), and the nly the last four characters will be displayed for c	transfer. Cash bid guarantee return instructions • or SWIFT/Bank Identifier Code (BIC), e last four characters of the Beneficiary Bank confirmation.
Beneficiary Bank Informati	ion		
Beneficiary Bank Name	*		
Beneficiary Bank Routing Number (ABA Routing Number or Canadian Routing Number)		?	
Beneficiary Bank SWIFT/Bank Identifier Code (BIC)		?	
Beneficiary Account Name	*	?	
Beneficiary Account Number	*		?
Re-enter Beneficiary Account Number	*		?
Last four characters of the Beneficiary Account Number	*		
Payment Detail			
Beneficiary Bank City			Z
Beneficiary Bank	Select	Υ	
Intermediary Bank Informa	ation		
If return of funds to the entity requi	ires an Intermediar	Bank, then additional information specific to the	Intermediana Bank is required including
Intermediary Bank Name and Inter	rmediary Bank Rou	ting Number or Intermediary Bank SWIFT/BIC.	Internetiary bank is required, including
Intermediary Bank Name and Inte Intermediary Bank Name	rmediary Bank Rou	ting Number or Intermediary Bank SWIFT/BIC.	intermediary bank is required, including
ntermediary Bank Name and Inte Intermediary Bank Name Intermediary Bank Routing Number (ABA Routing Number or Canadian Routing Number)	ermediary Bank Rou	ting Number or Intermediary Bank SWIFT/BIC.	intermediary bank is required, including
ntermediary Bank Name and Inte ntermediary Bank Name ntermediary Bank Routing Number (ABA Routing Number or Canadian Routing Number) ntermediary Bank SWIFT/Bank dentifier Code (BIC)	rmediary Bank Rou	ting Number or Intermediary Bank SWIFT/BIC.	intermediary bails is required, including
ntermediary Bank Name and Inte ntermediary Bank Name ntermediary Bank Routing Number (ABA Routing Number) or Canadian Routing Number) ntermediary Bank SWIFT/Bank dentifier Code (BIC) Financial Contact Informat	rmediary Bank Rou	ting Number or Intermediary Bank SWIFT/BIC.	intermediary bails is required, including
ntermediary Bank Name and Inte ntermediary Bank Name ntermediary Bank Routing Number (ABA Routing Number) or Canadian Routing Number) ntermediary Bank SWIFT/Bank dentifier Code (BIC) Financial Contact Informat Name	rmediary Bank Rou	ting Number or Intermediary Bank SWIFT/BIC.	internetiary Bank is required, including
ntermediary Bank Name and Inte ntermediary Bank Name ntermediary Bank Routing Number (ABA Routing Number) or Canadian Routing Number) ntermediary Bank SWIFT/Bank dentifier Code (BIC) Financial Contact Informat Name Company	tion	ting Number or Intermediary Bank SWIFT/BIC.	intermediary bally is required, including
ntermediary Bank Name and Inte ntermediary Bank Name ntermediary Bank Routing Jumber (ABA Routing Number) or Canadian Routing Number) ntermediary Bank SWIFT/Bank dentifier Code (BIC) Financial Contact Informat Jame Company Title	tion	ting Number or Intermediary Bank SWIFT/BIC.	imennediary Bank is required, including
ntermediary Bank Name and Inte ntermediary Bank Name ntermediary Bank Routing Number (ABA Routing Number) or Canadian Routing Number) ntermediary Bank SWIFT/Bank dentifier Code (BIC) Financial Contact Informat Name Company Fitle Felephone	tion	ting Number or Intermediary Bank SWIFT/BIC.	intermediary balls is required, including
Intermediary Bank Name and Inte Intermediary Bank Name Intermediary Bank Routing Number (ABA Routing Number) or Canadian Routing Number) Intermediary Bank SWIFT/Bank Identifier Code (BIC) Financial Contact Informat Name Company Title Telephone Email	tion	ting Number or Intermediary Bank SWIFT/BIC.	intermediary balls is required, including

Bid Guarantee Return Instructions - Physical Bid Guarantee

The Bid Guarantee Return Instructions - Physical Bid Guarantee pane is illustrated in Figure 11.

To provide physical bid guarantee return instructions, all fields must be completed. Post Office (PO) Box addresses are not acceptable for a physical return address because the return of a physical bid guarantee requires a signature for security and confirmation of receipt.

Note that if the "Letter of Credit" or "Bond" box in the Forms of Bid Guarantee pane is deselected, any fields that were completed in the Bid Guarantee Return Instructions – Physical Bid Guarantee pane will be cleared. Upon reselecting the "Letter of Credit" or "Bond" box, the physical bid guarantee return instructions will be blank.

Figure 11 Bid Guarantee Return Instructions – Physical Bid Guarantee Pane

Bid Guarantee Return Inst	ructions - Physical Bid Guarantee
If a physical form of bid guarantee instructions, all fields must be con requires a signature for security a	e is selected, instructions must be provided for the return of bid guarantee. To provide physical bid guarantee npleted. The mailing address must not be a Post Office (PO) Box address. The return of a physical bid guarantee nd confirmation of receipt.
Name of a contact individual	*
Physical Return Address (PO Box not allowed)	*
Return City	*
Return Postal Code	*
Return State/Province	* Select •
Return Country	* Select ▼
Return Contact Phone Number	*
Back To Top	

Attestation

In the Attestation pane, select "Yes" or "No" in response to the attestation requirement presented (Figure 12).

In addition to the attestation response in the Attestation pane, California entities must ensure that a proper Auction Attestation Disclosure has been submitted for the application to be considered complete. A California entity must submit an Auction Attestation Disclosure for the first auction that the entity participates in after November 2014. Additionally, the entity is required to disclose updates to reflect any change in the status of an investigation that has occurred since the most recent auction application attestation was submitted. A "Yes" answer in the Attestation pane indicates that you understand the Regulatory requirements and that you will submit or update the required attestation to ARB by the deadline to apply for the auction. A "No" answer in the Attestation pane indicates that you understand the Regulatory requirements and that you have no updates to the disclosures since the most recent auction application attestation was submitted.

A disclosure can be submitted using the <u>Auction Application Attestation Disclosure</u> <u>Form</u> available from the ARB Auction Information webpage. For further guidance on the Attestation, refer to the Detailed Auction Requirements and Instructions on the ARB Auction Information webpage at <u>https://www.arb.ca.gov/auction</u>.

The Attestation requirement does not apply to reserve sales. Select "No" if submitting an application to a reserve sale.

Figure 12 Attestation Pane (California Entities)

-- Select -- 🔻

Attestation



Selecting "Yes" to this Attestation Response indicates that the representative understands the requirements of section 95912(d)(4)(E) and attests that the entity will have submitted and/or updated the required attestation to ARB by the deadline to apply to participate in this auction. An Auction Application Attestation Disclosure Form is available on the ARB Auction Information webpage at https://www.arb.ca.gov/auction.

Selecting "No" to this Attestation Response indicates that the representative understands the requirements of section 95912(d)(4)(E) and attests that the entity has no updates to the disclosures since the most recent auction application attestation was submitted.

The Attestation requirement does not apply to reserve sales. Select "No" if submitting an application or confirmation of intent to bid to a reserve sale.

Attestation Response *
Back To Top

Confirm and Submit

To submit the event application, enter your CITSS password in the Confirm and Submit pane and select the "Confirm" button (Figure 13). By selecting the "Confirm" button, you agree to have the entity name, entity contact information, account numbers, representative names, representative phone numbers, bid guarantee information, and representative email addresses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator for the purpose of facilitating participation in the selected event.

Select the "Cancel" button to cancel the event application. Any information that had been entered in the application will be cleared and you will be returned to the Auction tab.

Figure 13 Confirm and Submit Pane

Confirm and Submit	
Selecting the "Confirm" but entity name, entity contact i representative email addre: facilitating participation in th	on submits event application information for the selected event. By selecting the "Confirm" button, you agree to have the nformation, account numbers, representative names, representative phone numbers, bid guarantee information, and sses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator for the purpose of he selected event.
Password	*
Cancel Confirm	

After submitting an event application, the Event Applications page will be displayed with a message stating: "Event participation successfully created." This message indicates that the event application has been submitted (Figure 14).

Figure 14 Event Participation Successfully Created



Creating Subsequent Event Applications

CITSS will maintain entity information from the entity's most recently approved event application for each event type (i.e., auction and reserve sale) and prepopulate subsequent event applications using that information for the same event type. However, if the entity has only submitted applications to one event type (e.g., auctions), the entity's first event application to the other event type (e.g., reserve sale) will be prepopulated with application information from the entity's most recently approved event application, even though it is not the same event type.

If the entity's bid guarantee return instructions have not changed from the instructions provided in the most recently approved event application, the PAR or AAR will only

need to complete the Event selection, Attestation response, enter his or her password, and select the "Confirm" button to submit the event application.

A prepopulated event application is illustrated in Figure 15. In this example, the entity's most recently approved event application information included cash bid guarantee return instructions. When an event application is prepopulated with cash bid guarantee return instructions, the Beneficiary Account Number and Re-enter Beneficiary Account Number fields will be blank (Figure 16). CITSS does not store beneficiary account numbers once they have been transmitted to the Financial Services Administrator and the event is closed.

The Last four characters of the Beneficiary Account Number field will be prepopulated with the last four characters of the account number that the Financial Services Administrator has on file from the most recently approved event application. When submitting an event application that has been prepopulated, leave the Beneficiary Account Number field blank if there is no change in the account number from what was previously submitted. If the account number needs to be updated, enter the new information in the Beneficiary Account Number field. If a new Beneficiary Account Number is entered, re-enter the account number in the Re-enter Beneficiary Account Number field, and update the last four characters of the account number in the last four characters of the Beneficiary Account Number field.

Figure 15 Event Application Prepopulated

CITSS Entity ID				
Logal Name		CA990		
Leyai Name		Austin Corp.		
Operating Name		rexas Account		
Event	*	Select	T	
Forms of Bid Guarantee				
Currency	*	USD V		
Please select one or more forms of	f bid g	uarantee:		
Cash		×		
Letter of Credit				
Back To Top				
Bid Guarantee Return Instru	uctio	ons - Cash Bid Guaran	tee	
require, at a minimum, the following Beneficiary Account Name, Benefic Account Number. Once the applica	guara ig field iciary E ation is	is: Beneficiary Bank Name, E Bank Account Number (enter s submitted, only the last four	orded for fearing of and s via whe dansier. Cash bid gualantee seneficiary Bank Routing Number or SWIFT/Bank Identifier Coc ed twice for confirmation), and the last four characters of the Be r characters will be displayed for confirmation.	le (BIC eneficia
Beneficiary Bank Informatio	on			
Beneficiary Bank Name	*	Hank's Bank		
Beneficiary Bank Routing		123456789	?	
Number (ABA Routing Number or Canadian Routing Number)				
Beneficiary Bank SWIFT/Bank			?	
Identifier Code (BIC)				
Beneficiary Account Name	*	Austin Corp. Savings Acct	¢	
Beneficiary Account Number	*			?
Re-enter Beneficiary Account Number	*			?
Last four characters of the	*	3456		
Beneficiary Account Number				
Payment Detail		WCI Auction		
Beneficiary Bank City		Sacramento	2	
Beneficiary Bank		California	×	
State/Province				
Internediary bank Name			?	
Intermediary Bank Routing				
Intermediary Bank Routing Number (ABA Routing Number or Canadian Routing Number)				
Intermediary Bank Routing Number (ABA Routing Number or Canadian Routing Number) Intermediary Bank SWIFT/Bank			?	
Intermediary Bank Routing Number (ABA Routing Number or Canadian Routing Number) Intermediary Bank SWIFT/Bank Identifier Code (BIC)			?	
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Intermediary Bank Routing Number (ABA Routing Number) or Canadian Routing Number) Intermediary Bank SWF/TBank Meinter Code (RU) Financial Contact Informati Name Company Title Email Back To Too Attestation	ion	Hank Austin Corp. President 5551234567 hhudson@demo.citsdev	7	
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Intermediary Bank Routing Number (ABA Routing Number or Canadian Routing Number) Financial Contact Informati Name Company Tibe Telephone Company Attestation Attestation Section 95912(d)(4)E) of the Calif ongoing Investigation or an investig Attestation Section 95912(d)(4)E) of the Calif ongoing Investigation or an investig Attestation Response Backeding Yice's this Attestation R the entity Name submitted and Application Response Backeding Yice In Attestation R the tentity Name submitted and Attestation Response Backeding Yice In Statestation R the entity Name submitted and Attestation Response Backeding Name Statestation R Attestation Response Backeding Name Attestation R Attestation Response Backeding Name Attestation R Statestation Response Backeding Name Attestation R Attestation Response Backeding Name Attestation R Attestation Response Backeding Name Attestation R Attestation Response Backeding Name Attestation R Attestation Response Backeding Name Attestation R Statestation Response Backeding Name Attestation R Statestation R Attestation R Atte	fornia igatior ecurtile ilon, di Form i espon or upd Form i espon sclosu not ap * mits e tion, a nınsfen cted e	Hank. Austin Corp. President Status Corp. President Status Corp. President Status Corp. President Cap-and-Trade Regulation in the Arbane Course of which in the Arbane course of which in the Arbane course of the Arbane Course of the Arbane and Course of the Arbane Course of the Arbane and Course and the representation on the Arbane Course of the Arbane and Course and the representation on the Arbane Course of the Arbane and Course and the representation on the Arbane Course of the Arbane and Course and the representation on the Arbane Course and the Arbane and Course and the Arbane Course and the Arbane Course and the Arbane Course and the Arbane Course of the Arbane Course of the Arbane Course and the Arbane Course of the Arbane Cours	P equires entities to submit an attestation disclosing the existence last ten years with respect to any alleged violation of any rule, in market of the entity participating in the autors, and all offer rindirect corporate association pursuant to section 59533 that refeet any change in the status of an investigation that has occ entative understands the requirements of section 595912(c)(4)(1) A RAB by the deather is apply to participation that has occ entative understands the requirements of section 595912(c)(4)(1) Con application attestation was submitted. No' if submitting an application or confirmation of intent to bid to be the selected event. By selecting the "Confirm" builton, you al to the selected event. By selecting the "Confirm" builton, you al to the anames, representative phone numbers, the guarantee first ve Sale Administrator and Financial Services Administrator for	e and s regular particip urred s E) and i) and a o a rese pree to mation the pur
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Figure 16 Cash Bid Guarantee Return Instructions Prepopulated

Bid Guarantee Return Inst	ructi	ons - Cash Bid Guarantee
If cash is selected as a form of bid require, at a minimum, the followi Beneficiary Account Name, Bener Account Number. Once the applic	l guara ng fiel ficiary ation i	antee, instructions must be provided for return of funds via wire transfer. Cash bid guarantee return instructions ds: Beneficiary Bank Name, Beneficiary Bank Routing Number or SWIFT/Bank Identifier Code (BIC), Bank Account Number (entered twice for confirmation), and the last four characters of the Beneficiary Bank is submitted, only the last four characters will be displayed for confirmation.
Beneficiary Bank Informat	ion	
Beneficiary Bank Name	*	Hank's Bank
Beneficiary Bank Routing Number (ABA Routing Number or Canadian Routing Number)		123456789 ?
Beneficiary Bank SWIFT/Bank Identifier Code (BIC)		?
Beneficiary Account Name	*	Austin Corp. Savings Acct ?
Beneficiary Account Number	*	?
Re-enter Beneficiary Account Number	*	?
Last four characters of the Beneficiary Account Number	*	3456

Reviewing and Editing an Event Application

Current and past event applications can be accessed on the Event Applications page. To access the Event Applications page, select "Representative Reports" on the Main Menu, and then under the Event Reports section select the "Continue" button for Event Applications (Figure 17). The Event Applications page can also be accessed by selecting the "View Event Applications" button on the Auction tab on the Account Detail page (Figure 5).

Figure 17 Representative Reports – Event Applications

Log Out	Representative Reports	
Home Contact Us My User Profile Account Registration Representative Reports Glossary	This page allows a user to view or download Representative Reports. Representative Reports provide informati accounts. Most Representative Reports are configurable, allowing users to select criteria for custom reports. The instrument transfers. The Transfer Event Audit Report lists more detailed information about each transfer. The En balances. The Entity Monthly Statement provides a statement of account balances and transfers. The Emissions True-Up Quantity Report lists the true-up quantity assigned by year. The Compliance Obligations Report allows a for current or past compliance obligations. The Compliance Obligation (Data Export) Report presents approved Instruments for Retirement Report provides a list of compliance instruments that can be used during a selected o provides information about current or past notifications. To prepare a Representative Report, select the "Continu CITSS will open a report screen to select criteria for the selected report.	on to support user management of CITSS a Transfer History lists compliance tity Account Balance Report lists account Report presents facility emissions. The access to detailed information and status compliance obligations. The Eligible ubligation period. The Notifications Report e" button in the Action column on the right.
	Transfer and Balance Reports	
	Report Name	Action
	Transfer History	Continue
	Transfer Event Audit Report	Continue
	Entity Account Balance Report	Continue
	Entity Monthly Statement	Continue
	Event Reports Report Name Event Applications	Action Continue
	Compliance Reports	Action
	Emissions	Continue
	True-Up Quantity	Continue
	Compliance Obligations	Continue
	Compliance Obligations (Data Export)	Continue
	Eligible Instruments for Retirement	Continue
	Notifications	Continue

Event Applications Page

The Event Applications page allows a representative to view event applications for current or past auctions and reserve sales (Figure 18). Select the "Current" tab to view event applications for current events. Select the "Past" tab to view event applications for past events. Events move from the "Current" tab to the "Past" tab once the bidding window for the event has closed.

Event applications are listed in tabular form at the bottom of the page. To filter the list of event applications in the table, select an Event Type from the selection box, enter an Event Name, Event Date, CITSS Entity ID, Entity Legal Name, and/or select an Application Status from the selection box, and select the "Search" button. The table is sortable (ascending or descending) by clicking on the column titles. Additional pages are accessed using the page numbers below the table on the left.

Select the "Clear" button to remove the search filters and display all event applications in the table.

Select the "CSV" or "Excel" link to export the table in its entirety to CSV or Excel format.

Select the Application Status link in the table to view the Event Application Detail page.

Figure 18 Event Applications Page

Event Applications

This page allows a representative to view event applications for current or past auctions and reserve sales by selecting the appropriate tab at the top of the page. Event applications are listed in tabular form at the bottom of the page. An entity's Application Status will be one of the following: Applicant, Qualified Applicant, Qualified Bidder, Rejected, or Cancelled. The Application Status changes from Applicant to Qualified Applicant when a bid guarantee is accepted by the Financial Services Administrator. The Application Status changes from Qualified Applicant to Qualified Bidder when an application has been approved by the jurisdiction. Selecting the Application Status link in the table allows a representative to view the Event Application Detail page.

The search function allows searching by Event Type, Event Name, Event Date, CITSS Entity ID, Entity Legal Name, or Application Status. Search results are presented in tabular form. The table is sortable (ascending or descending) by clicking on the column titles. Additional pages are accessed using the page numbers below the table on the left. This table can be exported in its entirety to CSV or Excel format by selecting the appropriate link below the table on the right. Selecting the "Clear" button clears the search fields.

Event Type Auction Reserve Sale Event Name Event Date From V V V Event Date To V	
Event Name Event Date From Form Event Date To Image: Class of the second	
Event Date From <l< td=""><td></td></l<>	
Event Date To V CITSS Entity ID Entity Legal Name Application Status Applicant Qualified Applicant Qualified Bidder V Results per page 10	
CITSS Entity ID Entity Legal Name Application Status Applicant Qualified Applicant Qualified Bidder Results per page 10 Search Clear	
Entity Legal Name Application Status Applicant Qualified Applicant Qualified Bidder Results per page 10 Search Clear	
Application Status Applicant Qualified Applicant Qualified Bidder Results per page 10 Search Clear	
Results per page 10 V	
Search Clear	
Event Event Name Event CITSS Entity Legal Application Updat Type Date Entity ID Name Status Date/	ed Fime
Auction Upcoming Auction 2017-08- 1 15 CA990 Austin Corp. <u>Qualified Bidder</u> 2017-09- 01:18:5	5-08 3 EDT
Reserve SaleUpcoming Reserve Sale 12017-10- 20CA990Austin Corp.Applicant2017-00 01:50:20	5-08 1 EDT
<u>CSV</u> Ex	

Application Status and Email Notifications

An entity's Application Status will be one of the following:

- Applicant: the application has been submitted by a PAR or AAR.
- **Qualified Applicant:** a bid guarantee has been accepted by the Financial Services Administrator.
- Qualified Bidder: the application has been approved by the jurisdiction.
- **Rejected:** the application has been rejected by the jurisdiction.
- **Cancelled:** the application has been cancelled by a PAR or AAR.

The PAR and all AARs will receive an email from CITSS with the subject line "CITSS Event Application Update" when there is a change to the application status.

The PAR and all AARs will receive an email from CITSS with the subject line "CITSS Event Financial Services Information Update" when there is an update to the entity's financial services account number or bid guarantee information. Note that the PAR and AARs will receive this email when there is a change to Qualified Applicant because this status is associated with the acceptance of a bid guarantee by the Financial Services Administrator.

Event Application Detail Page

The Event Application Detail page presents the event application information, forms of bid guarantee, bidding limitation data, bid guarantee return instructions, attestation response, and event application status history for the selected application.

Bidding Limitation Data

The bidding limitation data presented on the Event Application Detail page includes the bid guarantee value, holding limits applicable to the Current Auction and Advance Auction, and purchase limits applicable to the Current Auction and Advance Auction (Figure 19).

Forms of Bid Guarantee	
Currency	USD
Form(s) of Bid Guarantee to be Submitted	Cash
Bidding Limitation Data	
Cash Bid Guarantee Value	\$10,000,000.00
Physical Bid Guarantee Value	
Total Bid Guarantee	\$10,000,000.00
Holding Limit Current Vintage Allowances	2782750
Holding Limit Future Vintage Allowances	2557500
Purchase Limit Current Auction	37500
Purchase Limit Future Auction	62500

The bid guarantee values displayed will reflect the bid guarantees that have been accepted by the Financial Services Administrator.

The holding limit is the maximum number of allowances that may be held by an entity or jointly held by a group of entities with a direct corporate association. The holding limit applicable to the Current Auction is the current year holding limit. The holding limit applicable to the Advance Auction is the future year holding limit corresponding to the vintage of allowances offered in the Advance Auction.

For an entity with one or more direct corporate associations, the entity holding limit is the maximum number of allowances the entity may hold based on the allocation of the holding limit among associated entities. For the current year holding limit, the maximum number of allowances an entity can hold at one time equals the holding limit plus the limited exemption. For allowances to be counted towards an entity's limited exemption, they must be held in the entity's compliance account. The Holding Limits tab on the Account Detail page provides the entity current year holding limit, the limited exemption applicable to the current year holding limit, and future year holding limits by vintage. The total allowances an entity can obtain and remain in compliance with an entity holding limit is provided as "Available" in the Entity Holding Limit sections. The total allowances an entity can obtain to take full advantage of the limited exemption and remain in compliance with the entity holding limit is provided as "Available" in the Limited Exemption section.

The "Holding Limit Current Vintage Allowances" displayed on the Event Application Detail page is equal to the "Available" entity holding limit plus "Available" limited exemption in the Current Year Holding Limit section on the Holding Limits tab.

The "Holding Limit Future Vintage Allowances" displayed on the Event Application Detail page is equal to the "Available" entity holding limit for the future year corresponding to the vintage of allowances offered in the Advance Auction in the Future Year Holding Limits section on the Holding Limits tab.

The holding limits applicable to an event will be based on CITSS account balances and limited exemption data available in CITSS at approximately 9:00 AM PT / 12:00 PM (Noon) ET the day prior to the event. Prior to this time, the holding limit data displayed on the Event Application Detail page will reflect CITSS account balances in real time. After this time, the holding limit data displayed on the Event Application Detail page will reflect on the Event Application Detail page will reflect on the Event Application Detail page will reflect on the Event Application Detail page will remain static.

Refer to the Auction Examples available on the ARB Auction Information webpage at <u>https://www.arb.ca.gov/auction</u> for further guidance on how bidding limitations apply to an auction.

Editing an Event Application

Event applications can be edited before the application period has closed. An "Edit Application" button is available at the top of the Event Application Detail page during the application period (Figure 20). Select the "Edit Application" button to access the Edit Event Application page (Figure 21). Make any necessary edits to the application information, enter your password, and select the "Resubmit" button at the bottom of the page. This will submit the edited event application.

Figure 20 Edit Application Button

Event Application Detail

Edit Application

This page allows a representative to view the Financial Services Instructions by selecting the "Generate Financial Services Instructions" button.

This page also allows a representative to view and edit the application details submitted for an event. A representative can edit submitted application information during the application period by selecting the "Edit Application" button; cancel an application before the application is approved or rejected by selecting the "Cancel Application" button at the bottom of the page; or resubmit a cancelled application by selecting the "Resubmit Application" button which will appear at the bottom of the page during the application period if an application has been cancelled.

After an application period has closed, an "Edit Bid Guarantee Return" option becomes available at the top of the page. A representative can edit bid guarantee return instructions between the close of the application period and completion of the event by selecting the "Edit Bid Guarantee Return" button.

Edit Event Application

This page allows a representative to edit an event application. The representative may update the form of bid guarantee to be submitted, return instructions for the bid guarantee, and the responses to the attestation and material change questions. After entering updates, select the "Resubmit" button.

	tion
ITSS Entity ID	CA990
egal Name	Austin Corp.
perating Name	Texas Account
vent Name	Upcoming Auction 1
orms of Bid Guarantee	
Currency	* USD •
lease select one or more forms o	of bid guarantee:
ash	
etter of Credit	2
Bond	
lask Ta Tan	
<u>аск ю тор</u>	
id Guarantee Return Inst	ructions - Physical Bid Guarantee
a physical form of bid guarantee	is selected, instructions must be provided for return of the bid guarantee. To provide physical bid guarantee return
nstructions, all fields must be com equires a signature for security a	spleted. The mailing address cannot be a Post Office (PO) Box address. The return of a physical bid guarantee nd confirmation of receipt.
lame of a contact individual	* Hank
hysical Return Address (PO	* 123 Street
Afurn City	* Ourseast
icturil City	Sacramento
leturn Postal Code	* 95811
leturn State/Province	* California T
leturn Country	* United States ▼
leturn Contact Phone Number	* 5551234567
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Editing Bid Guarantee Return Instructions

Bid guarantee return instructions can be edited before or after the application period has closed. To edit bid guarantee return instructions before the application period has closed, follow the process to edit the event application as described above.

After the application period has closed, an "Edit Bid Guarantee Return" button will appear at the top of the Event Application Detail page (Figure 22). Select the "Edit Bid Guarantee Return" button to access the Edit Bid Guarantee Return page. The Edit Bid Guarantee Return page resembles the Edit Event Application page, but only allows the forms of bid guarantee and bid guarantee return instructions fields to be edited. Make any necessary edits to the forms of bid guarantee and bid guarantee return instructions, enter your password, and select the "Resubmit" button at the bottom of the page. This will submit the edited bid guarantee return instructions.

Figure 22 Edit Bid Guarantee Return Button

Event Application Detail

Edit Bid Guarantee Return

This page allows a representative to view the Financial Services Instructions by selecting the "Generate Financial Services Instructions" button.

This page also allows a representative to view and edit the application details submitted for an event. A representative can edit submitted application information during the application period by selecting the "Edit Application" button; cancel an application before the application is approved or rejected by selecting the "Cancel Application" button at the bottom of the page; or resubmit a cancelled application by selecting the "Resubmit Application" button which will appear at the bottom of the page during the application period if an application has been cancelled.

After an application period has closed, an "Edit Bid Guarantee Return" option becomes available at the top of the page. A representative can edit bid guarantee return instructions between the close of the application period and completion of the event by selecting the "Edit Bid Guarantee Return" button.

Financial Services Delivery Instructions

The Financial Services Delivery Instructions include the information needed to submit a bid guarantee, including the Financial Services Account Number, which must be referenced when submitting a bid guarantee to the Financial Services Administrator, as well as wiring instructions for submitting cash by wire transfer and mailing instructions for submitting physical bid guarantee instruments.

Select the "Generate Financial Services Instructions" button on the Event Application Detail page (Figure 23) to access the Auction and Reserve Sale Financial Services Delivery Instructions page (Figure 24).

Figure 23 Generate Financial Services Button

Event Application Detail

Edit Application

This page allows a representative to view the Financial Services Instructions by selecting the "Generate Financial Services Instructions" button.

This page also allows a representative to view and edit the application details submitted for an event. A representative can edit submitted application information during the application period by selecting the "Edit Application" button; cancel an application before the application is approved or rejected by selecting the "Cancel Application" button at the bottom of the page; or resubmit a cancelled application by selecting the "Resubmit Application" button which will appear at the bottom of the page during the application period if an application has been cancelled.

After an application period has closed, an "Edit Bid Guarantee Return" option becomes available at the top of the page. A representative can edit bid guarantee return instructions between the close of the application period and completion of the event by selecting the "Edit Bid Guarantee Return" button.

Generate Financial Services Instructions

Event Application Information

Figure 24 Financial Services Delivery Instructions Page

Auction and Reserve Sale Financial Services Delivery Instructions

The Financial Services Delivery Instructions provide information needed to submit a bid guarantee and submit payment for allowances awarded following an event. The instructions include wiring instructions for submitting cash by wire transfer and instructions for submitting a physical bid guarantee. The entity's Financial Services Account Number will be populated in both the Financial Services Account Number field and the Port field once the Financial Services Administrator has established or verified the entity's account.

Bid Guarantee	
Financial Services Account Name	Austin Corp.
Financial Services Account Number	
Total Bid Guarantee	
Currency	USD

Instructions for Wiring USD

Bank Name	Deutsche Bank Trust Company Americas
Routing Number	021001033 - New York NY
SWIFT/Bank Identifier Code (for financial institutions outside US)	BKTRUS33
City	New York
State/Province	New York
DDA Number	01419647
Beneficiary	Trust And Agency Services
Payment Details	WCI Auction
Port	

Mailing Instructions for Physi	cal Bid Guarantee
Payable to	Deutsche Bank National Trust Company
Mailing Address	
Name	Auction and Reserve Sale Financial Services Administrator
C/O	C/O Deutsche Bank Trust Company Americas
Address 1	60 Wall Street, 16th Floor
Address 2	Mail Stop: NYC60-1630
City	New York
State/Province	New York
Postal Code	10005-2836
Directions Please include your CITSS Entity Leg Number when mailing the bid guaran Deutsche Bank National Trust Compa	al Name or Individual Name if a General Market Participant, Individual, and Financial Services Account tee forms. For questions on bid guarantee submittal or the financial settlement process, please contact iny at db.wcisupport@db.com. For additional contact information, please see the Auction Notice.

Note that the Financial Services Account Number and Port fields will be blank until the Financial Services Administrator has established or verified the entity's financial services account. The PAR and all AARs will receive an email from CITSS with the subject line "CITSS Event Financial Services Information Update" when the financial services account number becomes available on this page.

Refer to the Auction Notice and Detailed Auction Requirements and Instructions available on the ARB Auction Information webpage at https://www.arb.ca.gov/auction for further guidance on submitting a bid guarantee.

Cancelling an Event Application

Event applications can be cancelled by the PAR or an AAR before the application has been approved or rejected. Select the "Cancel Application" button at the bottom of the Event Application Detail page to cancel the event application (Figure 25). A confirmation pop-up message will be presented after selecting the "Cancel Application" button (Figure 26). Select "Yes" to cancel the application; select "No" to return to the Event Application Detail page without cancelling the application.

Figure 25 Cancel Application Button

cant Hank Hudson 2017-05-07 11	-07 11:24:06 EDT

Figure 26 Cancel Application Confirmation



Resubmitting an Event Application

If an application has been cancelled and the application period is still open, a "Resubmit Application" button will appear at the bottom of the Event Application Detail page (Figure 27). Select the "Resubmit Application" button to resubmit the event application. This will resubmit the application information displayed on the Event Application Detail page, without allowing the user to edit the information.

Figure 27	Resubmit	Application	Button
g			

Event Application Status History			
Application Status	Updated By	Updated Date/Time	
Applicant	Hank Hudson	2017-05-07 11:24:06 EDT	
Applicant	Hank Hudson	2017-05-07 11:57:17 EDT	
Cancelled	Hank Hudson	2017-05-07 12:00:17 EDT	

Resubmit Application

Editing and Resubmitting an Event Application

To edit a cancelled application prior to resubmitting it during the application period, select the "Edit Application" button at the top of the Event Application Detail page (Figure 20). The Edit Event Application page will be displayed (Figure 21). Make any necessary edits to the application information, and then select the "Resubmit" button at the bottom of the Edit Event Application page. This will resubmit the application with the edited application information.