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| **California Air Resources Board** |  |

**Cap-and-Trade Utility Disclosure Form**

Section 95914(c)(1) of the Cap-and-Trade Regulation prohibits the disclosure of information related to an entity’s auction participation. Section 95914(c)(2) provides a list of limited exceptions to the prohibition. One of the exceptions allows disclosure by privately-owned utilities that are required to do so by a regulatory agency (section 95914(c)(2)(D)), and requires those utilities to report to the Executive Officer within 10 business days of making the disclosure. Entities qualifying for the exception in section 95914(c)(2)(D) may complete this form and return it to the Executive Officer within 10 business days of making the disclosure to satisfy the reporting requirement.

**Entity Information**

*Complete the Entity Information page once for each filing, even if reporting multiple disclosures.*

**Registered Entity Identification**

|  |  |
| --- | --- |
| **Entity Legal Name:** |  |
| **Entity CITSS ID** |  |
| **Phone:** |  |
| **Email:** |  |

**Attestation**

*By signing this attestation, I certify under penalty of perjury under the laws of the State of California that I have read and acknowledge the prohibition of sharing information with other auction participants contained in section 95914(c) of the Cap-and-Trade Regulation. I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. 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.*

|  |  |
| --- | --- |
| **Print Name:** |  |
| **Signature:** |  |
| **Date:** |  |

Per Section 95914 of the Cap-and-Trade Regulation, this information must be physically received within ten business days of the disclosure of information for which the exemption would apply. 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

**Disclosure Event Details**

*File one Disclosure Event Details page for each disclosure made.*

**Section 1.0 Timing of Auction Information Disclosure**

|  |  |
| --- | --- |
| **Date of Disclosure:** |  |
| **Date of Auction for Which Information Was Disclosed:** |  |

**Section 2.0 Check Box for Each Type of Information Disclosed:**

|  |  |
| --- | --- |
| **Intention to participate or not participate** |  |
| **Auction approval status** |  |
| **Bidding strategy** |  |
| **Bid price or quantity information** |  |
| **Bid guarantee details** |  |
| **Date of Auction for which services were retained:**  |  |

**Section 3.0 General Description of Disclosure (presentation, report, filing, etc.)**

**Section 4.0 Identification of statute, rule, order, decision or ruling requiring the disclosure**

|  |  |
| --- | --- |
| **Regulatory agency requiring the information** |  |
| **Statutory or legal reference; or order, decision, or ruling** |  |
| **Proceeding in which disclosure made, if applicable:** |  |