Washington State Climate Commitment Act

CITSS Compliance Instrument Transfer Guide

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The information in this document is based on the requirements set forth in the Climate Commitment Act (CCA), Chapter 70A.65 RCW, and the CCA Program Rule, Chapter 173-446 WAC (collectively referred to as CCA Requirements). If there is any apparent conflict between this document and the CCA Requirements, the CCA Requirements shall control.

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Initialisms and Acronyms

AVA	Account Viewing Agent
AAR	Alternate Account Representative
PAR	Primary Account Representative
CCA	Climate Commitment Act
CITSS	Compliance Instrument Tracking System Service
WCI, Inc	Western Climate Initiative, Inc
Participant	Participating natural person or legal entity
Covered Entity	Any entity or facility covered under WAC 173-446 of the Climate Commitment Act required to participate in the cap-and-invest program
Opt-In Entity	An entity with emissions in Washington State that is not required to participate in the program.
GMP	General Market Participant
Rule	Rule respecting the cap-and-invest program for greenhouse gas emissions allowances

Introduction

The Compliance Instrument Tracking System Service (CITSS) Compliance Instrument Transfer Guide assists entities in transferring compliance instruments (allowances or offset credits) between their own accounts, other Washington-registered entities' accounts and Jurisdiction Auction and Allocation accounts.

This manual is fourth in a series of CITSS guidance published by Ecology:

- 1. CITSS New User Registration and User Profile Management Guide
- 2. <u>CITSS Entity Account Application Guide</u>
- **3.** CITSS Entity Account Management Guide
- 4. CITSS Entity Transfers Guide

Additional guidance and updated versions of publications will be made available on the Auctions and Market Trainings and Resources Webpage.

QUESTION:

"Can I transfer allowances from my Washington entity to an entity in another Emissions Trading System (ETS)?"

ANSWER:

No, you cannot transfer allowances between entity accounts in Washington and other jurisdictions. The Washington capand-invest program is separate from California's cap-and-trade program and the cap-and-trade system of Québec (which are linked), and the Nova Scotia cap-and-trade program (which is not linked with another jurisdiction).

Entity Accounts

There are three types of entity accounts in CITSS: Holding (general) Accounts, Compliance Accounts, and Limited Use Holding Accounts (LUHAs).

Holding (general) Account

Each entity has a Holding Account. Transfers of allowances to other entities takes place between Holding Accounts. Allocation of no-cost allowances to Emissions Intensive Trade Exposed (EITE) entities and electric utilities are placed into the entity's Holding Account.

Compliance Account

Compliance Accounts are only assigned to Covered and Opt-In entities. The Compliance Account is used to surrender instruments to meet a compliance obligation. **Once instruments are placed into the compliance account, they can no longer be traded, sold, or consigned to auction.**

Ecology will place a specified percentage of no-cost allowances into the Compliance Account of natural gas utilities at the discretion of the entity.

Limited Use Holding Account (LUHA)

Limited Use Holding Accounts (LUHA) are assigned to eligible Electric and Natural Gas utilities. No-cost allowances to Natural Gas utilities are placed into the LUHA. Once allowances are placed in to the LUHA, they can no longer be removed. From the LUHA, allowances can only be transferred to the Jurisdiction Auction Account for consignment.

Ecology will place a specified percentage of no-cost allowances into the LUHA of natural gas utilities at the discretion of the entity.

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Overview of the Transfer Process

Entities can conduct three types of transfers:

- 1. Internal transfers between their own accounts (Figure 3);
- 2. Transfers from their accounts to Washington Jurisdiction Accounts (Figure 3); and
- **3.** Transfers to other entities (Figure 4).

Figure 1: Internal transfers and transfers to jurisdiction accounts¹.



Figure 2: Transfers between entity general accounts



¹Transfers to the Jurisdiction Retirement account for voluntary retirement require acceptance by the Jurisdiction for the transfer to be complete.

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Naming Conventions

Sending entity	The entity proposing the transfer of compliance instruments.
Receiving entity	The entity receiving the proposed allowances of compliance instruments (aka the beneficiary of the transfer).
Agreement Date	The date a contract or agreement to transfer emission allowances is accepted by the parties involved. It is the date a contract is signed. The agreement date and transaction date may be different.
Transaction Date	The expected date when the terms of the agreement will be complete. This is typically the date of transfer of compliance instruments and payment.
Contract Expiration Date	The date the contract expires for transfers resulting from futures markets or other transaction services. It is the same date when the price for the emission allowance transfer is established.

Account Numbers and Entity Reference Codes

To transfer to other entities, sending entities must have the receiving entity's General Account Number and Entity Reference Code. Account Numbers are available on the User Homepage in the <u>MY ACCOUNTS</u> box in the <u>ACCOUNT NUMBER</u> column.

(WCL Inc	CITS	SS Complex	ce Instrument System Service		English • Fra	nçais • LOGGED I	NAS: usemar
Log Out	Welcome	to WCI CI	rss		Last succ	cessful login: 2023-03	-14 13:41:27 EC
Home Contact Us	My Account	s					
My User Profile	Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Account Registration	Entity A. Core	Entity A	General	WA4376-5556	Washington State	Active	View
	Entity_A_Core	Entity A	Compliance	WA4376-5557	Washington State	Active	View
Representative Reports	Entity A. Corp	Entity A	Limited Use Holding	WA4376-5558	Washington State	Active	View
C1							3 records
Glossary							
Glossary							

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Your Entity Reference Code is in the General Tab on the Account Detail page. Select the hyperlinked **ENTITY NAME** in the **NAME** column to access the Account Detail Page.

WCI, Inc.	CITSS Compliance Instrument Tracking System Service English · Français · LOGGED IN AS: username
Log Out Home Contact Us My User Profile Account Registration Representative Reports	Entity A, Corp 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 Account Limited Use Holding Account General Contact Information Representatives Account Viewing Agents Holding Limits Corporate Associates
Glossary	Auction Facilities General Identification WA4376 CITSS Entity ID WA4376 Legal Name Entity A, Corp Operating Name Entity A Entity Reference Code 29462635 Jurisdiction Washington State Entity Type Covered Entity, Covered Source, or Opt-in Entity
	Fig. 4: Entity Information Page, General Tab

Transferring allowances within an entity's own accounts or to Jurisdiction Accounts

There are some situations where an entity will transfer instruments within their own accounts. Transferring emissions allowances to an entity's own compliance account or LUHA, or to the Jurisdiction Auction Account for consignment must occur within a specific timeframe in CITSS:

- **Step 1.** An account representative proposes transfer of allowances between accounts.
- **Step 2.** Another account representative approves the transfer no later than 2 calendar days after it is proposed by 11:59 pm ET.

If the transfer is not accepted by the second account representative of the sending entity within the above timeframe, the transfer will expire, and the emissions allowances will not transfer. An AAR or PAR can propose the transfer again to reinitiate the process.

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Table 1: Visualization of transfer timeline within an entity's own accounts or to Jurisdiction Accounts²

Step	Responsible Party	Day 0	Day 1	Day 2
1	Sending Entity Representative 1	Transfer Proposed	-	-
2	Sending Entity Representative 2	Approval Wind 11:59pm ET	dow closes on Day 2	

EXAMPLE (Internal):

John and Jane are account representatives for the same entity.

John proposes a transfer from the Holding Account to the Compliance Account on January 1 (DAY 0). Jane must approve the proposed transfer no later than January 3rd at 11:59 pm Eastern Time (DAY 2). Jane approves the transfer before the deadline.

The transfer is now complete, and the instruments have been transferred from the Holding Account to the Compliance Account.

EXAMPLE (to Jurisdiction):

John and Jane are account representatives for Entity A.

John proposes a transfer from the Limited Use Holding Account (LUHA) to the Washington State Jurisdiction Auction Account on January 1 (DAY 0). Jane must approve the proposed transfer no later than January 3rd at 11:59 pm Eastern Time (DAY 2). Jane approves the transfer before the deadline.

The transfer is now complete, and the instruments have been transferred from the LUHA to the Washington Jurisdiction Auction account for consignment.

The proposed allowances will be subtracted from the sending's account balance to reflect a transfer in progress.

Account representatives may approve transfers sooner than two days after proposal. There is no penalty for completing transfers earlier than the deadline to approve them.

² Entity transfers to the Jurisdiction Retirement account do require acceptance by the Jurisdiction

Transferring allowances to another entity

Entities may transfer allowances between their Holding account and another Washingtonregistered entity's Holding Account. Transferring emissions allowances to another entity (three-step) must occur within a specific timeframe in CITSS:

- **Step 1**: An account representative from the sending entity proposes the transfer.
- **Step 2:** A second account representative from the sending entity approves the transfer no later than 2 calendar days after it is proposed by 11:59 pm ET.
- **Step 3:** An account representative from the receiving entity accepts the transfer no later than 3 calendar days after it is proposed by 11:59 pm ET.

If the transfer is not accepted by the receiving within the above timeframe, the transfer will expire, and the emissions allowances will not transfer. An AAR or PAR must propose the transfer to reinitiate the process again.

Step	Responsible Party	Day 0	Day 1	Day 2	Day 3
1	Sending Entity Representative 1	Transfer Proposed	-	-	-
2	Sending Entity Representative 2	Approval Wind 11:59pm ET	dow closes on Day 2		-
3	Receiving Entity Representative	Acceptance V 11:59pm on	Vindow clos Day 3	ses at	

EXAMPLE:

John and Jane are account representatives for Entity A. Mark and Molly are account representatives for Entity B.

John proposes a transfer from Entity A to Entity B on January 1 (DAY 0). Jane must approve the proposed transfer no later than January 3rd at 11:59pm Eastern Time (DAY 2). Jane approves the transfer before the deadline.

Mark **or** Molly must accept the transfer from Entity A no later than January 4th at 11:59pm (DAY 3). Mark is out of office on vacation, so Molly accepts the transfer before the deadline

The transfer is now complete, and the instruments have been transferred from Entity A to Entity B.

Compliance instruments remain the property of the sending entity until the transfer status is Complete in CITSS in the account transfer history and the transfer history report. The proposed allowances will be subtracted from the sending entity's account balance to reflect a transfer in progress.

CITSS is based on Eastern Time (ET). A "day" begins at 12:00am ET and ends at 11:59pm ET. Day 1 is 24 hours after the transfer has been proposed or the Settlement Date of a contract agreement.

Transfers may be completed sooner than the maximum three-day timeframe. There is no penalty to completing transfers earlier. If the transfer expires, account representatives can propose another transfer at any time.

Transfer Statuses

Transfer Statuses display in transfers records, which can be found in the Transfer History Report for all your entity accounts and in the Transfer History for each respective entity account. They are the third column in Fig. 5.

Event Date	Status	Transfer Type	Transferring Account + Name	Transferring Account Type	Receiving Account Name	Receiving Account Type	Quantity
2023-02- 11 00:01:01 EST	Expired	General - Exchange	Entity A, Corp (WA4376-5556)	General	WA Company A (WA1000- 1000)	General	5,000
2023-02- 11 00:01:01 EST	Expired	Compliance	Entity A, Corp (WA4376-5556)	General	Entity A, Corp (WA4376- 5557)	Compliance	5,000
2023-02- 11 00:01:01 EST	Expired	Limited Use Holding	Entity A, Corp (WA4376-5556)	General	Entity A, Corp (WA4376- 5558)	Limited Use Holding	5,000
2023-02- 11 00:01:01 EST	Expired	Voluntary Retirement	Entity A, Corp (WA4376-5556)	General	Washington State (WAJ985- 984)	Retirement	5,000
2023-02- 11 00:01:01 EST	Expired	General - OTC > 3 Days/Multiple/Combined	Entity A, Corp (WA4376-5556)	General	WA Company A (WA1000- 1000)	General	5,000
2023-02- 08 17:03:06 EST	Complete	General - OTC <= 3 Days	Entity A, Corp (WA4376-5556)	General	WA Company A (WA1000- 1000)	General	5.000
2023-02- 08 11:40:59 EST	Cancelled	General - OTC <= 3 Days	Entity A. Corp (WA4376-5556)	General	WA Company A (WA1000- 1000)	General	500
2023-02- 07 11:23:10 EST	Complete	Compliance	Entity A, Corp (WA4376-5556)	General	Entity A, Corp (WA4376- 5557)	Compliance	1,000
2023-01- 15 18:25:59 EST	Complete	Limited Use Holding	Entity A, Corp (WA4376-5556)	General	Entity A, Corp (WA4376- 5558)	Limited Use Holding	50
2023-01- 15 18:07:04 EST	Complete	Administrative	Entity A, Corp (WA4376-5556)	General	Washington State (WAJ985- 987)	Auction	2,500,000
	2023-02- 11 2023-02- 11 2023-02- 11 2023-02- 11 00:01:01 EST 2023-02- 11 00:01:01 EST 2023-02- 11 00:01:01 EST 2023-02- 08 2023-02- 01 00:01:01 EST 2023-02- 08 2023-02- 08 EST 2023-02- 07 11:23:10 EST 2023-01- 15 18:25:59 EST 2023-01- 15 15 15 15 15 15 15 15 15 15	Event Date Status 2023-02- 11 00:01:01 EST Expired 2023-02- 11 00:01:01 EST Expired 2023-02- 11 00:01:01 Expired 2023-02- 11 00:01:01 Expired 2023-02- 11 00:01:01 Expired 2023-02- 11 00:01:01 Expired 2023-02- 11 00:01:01 Expired 2023-02- 08 EST Complete 2023-02- 08 EST Complete 2023-02- 08 EST Complete 2023-02- 08 EST Complete 2023-02- 08 EST Complete 2023-02- 07 11:23:10 Complete 2023-01- 15 18:25:59 Complete 2023-01- 15 18:0.7:04 Complete	Event DateStatusTransfer type2023-02- 11 00-01-01 ESTExpiredGeneral - Exchange2023-02- 11 00-01-01 ESTExpiredCompliance2023-02- 11 00-01-01 ESTExpiredLimited Use Holding2023-02- 11 00-01-01 ESTExpiredVoluntary Retirement2023-02- 11 00-01-01 ESTExpiredVoluntary Retirement2023-02- 11 00-01-01 ESTExpiredGeneral - OTC > 3 Days/Multiple/Combined2023-02- 03-02-02- 11:40-59 ESTCompleteGeneral - OTC <= 3 Days2023-02- 03-02-02- 05 ESTCompleteGeneral - OTC <= 3 Days2023-02- 03-02-02- 05 ESTCompleteGeneral - OTC <= 3 Days2023-02- 03-02-02- 05 ESTCompleteGeneral - OTC <= 3 Days2023-02- 05 07 11:23:10 ESTCompleteCompliance2023-02- 07 11:23:10 ESTCompleteCompliance2023-02- 07 11:23:10 ESTCompleteAdministrative	DateStatusHansler TypeHansler Type2023-02- 11 00:01:01 ESTExpiredGeneral - ExchangeEntity A, Corp (WA4376-5556)2023-02- 11 00:01:01 ESTExpiredComplianceEntity A, Corp (WA4376-5556)2023-02- 11 00:01:01 ESTExpiredLimited Use HoldingEntity A, Corp (WA4376-5556)2023-02- 11 00:01:01 ESTExpiredVoluntary RetirementEntity A, Corp (WA4376-5556)2023-02- 11 00:01:01 ESTExpiredGeneral - OTC > 3 Days/Multiple/CombinedEntity A, Corp (WA4376-5556)2023-02- 11 00:01:01 ESTCompleteGeneral - OTC < 3 DaysEntity A, Corp (WA4376-5556)2023-02- 03 11:40-59 ESTCompleteGeneral - OTC <= 3 DaysEntity A, Corp (WA4376-5556)2023-02- 03 03 11:40-59 ESTCompleteGeneral - 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OTC <= 3 DaysEntity A, Corp (WA4376-5556)General2023-02- 03 03:01CompleteGeneral - OTC <= 3 DaysEntity A, Corp (WA4376-5556)General2023-02- 03 03 04:01CompleteComplianceEntity A, Corp (WA4376-5556)General2023-02- 03 04:01CompleteCompleteCompleteGeneral2023-02- 03 04:11:40:59 ESTCompleteCompleteEntity A, Corp (WA4376-5556)General2023-02- 03 04 ESTCompleteLimited Use Holding 14:0:59 18:07:04Entity A, Corp (WA4376-5556	DateStatusTransfer TypeTransfer TypeTransfer TypeTransfer TypeAccount A Account A MameAccount A Count A MameAccount A Mame <t< td=""><td>Count DateStatusTransier TypeTransier TypeTransier TypeTransier TypeReceiving Account TypeReceiving Account Type2023-02- ESTEvpiredGeneral - ExchangeEntity A, Corp (V/A4376-5556)GeneralWA Company A (V/A4376-5556)GeneralCompany A (V/A4376-5556)GeneralCompany A (V/A4376-5556)GeneralCompany A (V/A4376-5556)GeneralEntity A, Corp (V/A4376-5556)Compliance2023-02- 11 00 01:01ExpiredLimited Use HoldingEntity A, Corp (V/A4376-5556)GeneralEntity A, Corp (V/A4376-5556)Compliance2023-02- 11 00 01:01ExpiredLimited Use HoldingEntity A, Corp (V/A4376-5556)GeneralWatsington (V/A4376-5556)Retrement (V/A4376-5556)2023-02- 11 10 01:01ExpiredGeneral - 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- Propose The transfer request has been initiated (proposed) by an account representative of the sending entity and is awaiting approval from another account representative of the sending entity.
 If the transfer is between two different entities' General Accounts, the receiving entity cannot view the proposed transfer until it is approved by the second account representative of the sending.
- Approved The transfer has been agreed to (approved) by the second account representative of the sending. In the two-step process, the transfer is now complete. In the three-step process, the receiving is notified there is a transfer request to review and approve prior to being considered complete. The transfer will display on the account representative home page under Pending Transfers. An account representative of the receiving must accept or decline the transfer.
- **Complete** The transfer request is finished (completed), and the allowance(s) have been transferred out of the sending's account to the receiving's account. Upon approval of a transfer in the two-step process, the transfer is deemed Complete. Upon acceptance of a transfer request in the three-step process, the transfer is deemed Complete.
- **Cancelled** The transfer request has been voided (cancelled) by the sending account representative. Only the representative that initially proposed the transfer can cancel a proposed transfer.

If the proposed transfer was to another entity, the receiving will not receive notification of a transfer request. Allowances will not be transferred.

- **Denied** The transfer request has been prevented (denied) by the second account representative of the sending. The account representative that proposed the transfer is notified that the transfer request has been denied. If the transfer was to another entity, the receiving was not notified of a transfer request. Allowances have not been transferred.
- **Declined** The transfer request has not been approved (declined) by the receiving. The representatives of both entities are notified that the transfer request has been declined. No allowances will be transferred.
- **Expired** The transfer request was not approved within the timeframe allotted for transfers. No allowances will be transferred.

Transfer Proposals

An account representative can view the entities they represent on the CITSS home page after logging in, under the My Accounts heading.

- Step 1. Log into CITSS
- Step 2. Select "View" in the Actions Column of the entity General Account

Log Out	Welcome	to WCI CI	rss		Last suc	cessful login: 2023-02	-08 11:34:44 E
Home Contact Us	My Account	\$					
My User Profile	Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Locoust Desistration	Entity.A.,Corp	Entity A	General	WA4376-5556	Washington State	Active	View
Account Negetation	Entity_A_Core	Entity A	Compliance	WA4376-5557	Washington State	Active	View
Representative Reports	Entity A. Core	Entity A	Limited Use Holding	WA4376-5558	Washington State	Active	View
Glossary							3 records
	Pending Tra	ansfers					

Selecting Instruments to Transfer

The General Account page provides overall information on the account, including account number, account type, status, balance, and available account balance.

The **HOLDINGS** tab provides information on the types of compliance instruments held in the compliance account. They are organized by vintage, type, subtype, offset type, project ID, and special category. Some columns are only applicable to offset credits and will not display information for emission allowance records.

Selecting the "Initiate Transfer" button begins the transfer process.

WCl. Inc	CITS	5 S 🛛	ompliance Instrum Icking System Se	nent Irvice			English • Fra	nçais • LOGG	ED IN AS: usemam
Log Out	Entity A,	Corp G	eneral A	ccour	nt (WA4	1376-555	56)		
Home Contact Us My User Profile	Your account inform instrument transfer	nation is provide from this accourt	d below. Select "A nt, select "Initiate 1	ccount Det Transfer" fro	ell" to view or o m the Holding	change entity and s tab. To view the	d account representa e transfer history for	ative information. 1 this account, sele	to initiate a compliance ct the Transfers tab.
Account Registration	Account Number		WA4376-55	555					
Representative Reports	Account Status		Active						
Glossary	Account Balance Available Account	Balance	1.098.950						
	Account Detail								
		_							
	Holdings	iransfers							
	Vintage	Jurisdiction	n Type	Sub- Type	Offset Type	Offset Project ID	Special Category	Quantity	Initiate Transfer
	2023		Allowance					498,950	Initiate Transfer
	2026		Allowance					600,000	Tnitiate Transfer
								<u>CSV</u> E	xcel 2 records

The **TRANSFERS** tab provides information on all transfers in and out of the account. Account representatives can also access this transfer history information from the "Transfer History" report under Representative Reports on the left side menu.

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Log Out	Entity A,	Corp G	eneral	Account (WA	4376-5556)		
Home Contact Us My User Profile	Your account inform instrument transfer	ration is provide from this accou	d below. Selec nt, select "Initia	t "Account Detail" to view o te Transfer' from the Holdin	r change entity and account rgs tab. To view the transfer	representative information history for this account.	on. To initiate a compliance select the Transfers tab.
	Account Number		WA4376	-5556			
Account Registration	Account Type		General				
Representative Reports	Account Status		Active				
	Account Balance		1,098,95	50			
Glossary	Available Account	Balance	1,098,95	50			
	Holdings	Fransfers Event	Status	Transferring	Receiving Account Name	Quantity	Quantity
	ID			Account mame	Account reame	Рторомов	Transferred
	ID 153629	2023-02-	Cancelled	Entity A, Corp	WA Company A	-500	
	1D 153629 153631	2023-02- 08 2023-02- 08	Cancelled Complete	Entity A, Corp (WA4376-5556) Washington State (WAJ985-989)	WA Company A (WA1000-1000) Entity A, Corp (WA4376-5356)	-500	600,000
	ID 153629 153631 153628	2023-02- 08 2023-02- 08 2023-02- 07	Cancelled Complete Complete	Entity A, Corp (WA4376-5556) Washington State (WAJ985-989) Entity A, Corp (WA4376-5556)	WA Company A (WA1000-1000) Entity A, Corp (WA4376-5356) Entity A, Corp (WA4376-5557)	-500 600,000 -1,000	600,000
	ID 153629 153631 153628 153628	2023-02- 08 2023-02- 08 2023-02- 07 2023-02- 07 2023-01- 15	Cancelled Complete Complete Complete	Entity A, Corp (WA4376-S556) Washington State (WA34376-S556) Entity A, Corp (WA4376-S556) Entity A, Corp (WA4376-S556)	WA Company A (WA1000-1000) Entity A, Corp (WA326-5358) Entity A, Corp (WA4376-5557) Entity A, Corp (WA4376-5558)	-500 600,000 -1,000 -50	600,000 -1,000 -50
	10 153629 153631 153628 153622 153622	2023-02- 08 2023-02- 08 2023-02- 07 2023-01- 15 2023-01- 15	Cancelled Complete Complete Complete Complete	EntRy A, Corp (WA4376-5556) Washington State (WA398-989) EntRy A, Corp (WA4376-5556) EntRy A, Corp (WA4376-5556) EntRy A, Corp (WA4376-5556)	WA Company A (WA1006-1000) Entity A, Corp (WA4376-5555) Entity A, Corp (WA4376-5557) Entity A, Corp (WA4376-5558) Washington State (WA3985-967)	-500 600,000 -1,000 -50 -2,500,000	600,000 -1,000 -50 -2,500,000
	10 153629 153628 153628 153623 153622 153622	2023-02- 08 2023-02- 08 2023-02- 07 2023-01- 15 2023-01- 15 2023-01- 13	Cancelled Complete Complete Complete Complete	EntRy A, Corp (WA4376-5556) Washington State (WA3985-989) EntRy A, Corp (WA4376-5556) EntRy A, Corp (WA4376-5556) EntRy A, Corp (WA4376-5556) EntRy A, Corp (WA4376-5556)	WA Company A (WA1005-1000) Entity A, Corp (WA4376-5356) Entity A, Corp (WA4376-5557) Entity A, Corp (WA4376-5558) Washington State (WA3985-987) Entity A, Corp (WA4376-5557)	-500 600,000 -1,000 -50 -2,500,000 -17,000,000	600,000 -1,000 -50 -2,500,000 -17,000,000
	10 153629 153631 153628 153628 153622 153618 153618	2023-02- 08 2023-02- 08 2023-02- 07 2023-01- 15 2023-01- 13 2023-01- 13	Cancelled Complete Complete Complete Complete Complete Complete	EntRy A, Corp (WA4376-5556) Washington State (WA4376-5556) EntRy A, Corp (WA4376-5556) EntRy A, Corp (WA4376-5556) EntRy A, Corp (WA4376-5556) EntRy A, Corp (WA4376-5556) Washington State (WA393-889)	WA Company A (WA1005-1000) Entity A, Corp (WA4376-5556) Entity A, Corp (WA4376-5557) Entity A, Corp (WA4376-5558) Washington State (WA985-987) Entity A, Corp (WA4376-5557) Entity A, Corp (WA4376-5556)	-500 600,000 -1,000 -50 -2,500,000 -17,000,000 20,000,000	600,000 -1,000 -50 -2,500,000 -17,000,000 20,000,000

- 12 -

Transfer Types

After initiating the transfer, you will be prompted to select the type of transfer:

- 1. Over-the-Counter (OTC) Agreement with delivery in no more than 3 days
- 2. Over-the-Counter (OTC) Agreement with delivery more than 3 days or involving multiple transfers or combining compliance instruments with other products
- 3. Exchange Agreement (not to an Exchange Clearing Service Provider)
- 4. To Compliance Account³
- 5. To Limited Use Holding Account⁴
- 6. Exchange Agreement to a Clearing House (not applicable in Washington at this time)
- 7. Voluntary Retirement (more information in Compliance Guidance.)

The above transfer types are from an entity's general (holding) account. Entities with LUHAs can transfer allowances from the LUHA to the Jurisdiction Auction Account for consignment. For more guidance on consignment, see [Consignment Guidance].

	CITS	S	Compliance Instrument Facking System Service	English • Français • LOGGED IN AS: username
Log Out Home Contact Us My User Profile	Select Typ To propose a transfer Note: Over-the-Count	e of '	Transfer nce instruments, select the type of transfer that de rfers to a trade of compliance instruments not exe	escribes what you would like to do. cuted through an exchange. An Exchange Clearing Service Provider is a
Account Registration	* = Required field	nunasa	To its not to be contrated with an exchange.	
Glossery	type of transfer	•	Over-the-Counter (OTC) Agreeme	ang Acceunt: ant with delivery in no more than 3 days ?
			Over-the-Counter (OTC) Agreeme involving multiple transfers or com Exchange Agreement - <u>not</u> to an 6	nt with delivery more than 3 days or ? Ioining compliance instruments with other products Exchange Clearing Service Provider ?
			Other Transfer Type:	
			To my Compliance Account ? To my Limited Use Holding Account	nt ?
			Exchange Agreement - to an Exch Exchange Clearing Holding Account	hange Clearing Service Provider's 7 unt
			O Voluntary Retirement ?	
	Back Submit			

³ This option will only appear if your entity is assigned a compliance account

⁴ This option will only appear if your entity is assigned a LUHA

Transfer Type Detail

This section provides information for each of the seven (7)⁵ possible transfer scenarios from an entity's holding (general) account.

1. Over-the-Counter (OTC) Agreement with delivery in no more than 3 days

This transfer type is for contract agreements with a receiving entity where the transaction is expected to be completed in no more than 3 days after entering into the agreement.

Follow the steps to select the instruments to transfer and select the radio button for "Overthe-Counter (OTC) Agreement with delivery in no more than 3 days."

Transferring Account Information

The Transferring Account Detail box displays the information about the sending entity. This information is automatically entered by CITSS.

- General Account Number
- Account Type
- Entity Legal Name
- Entity Operating Name
- Compliance Instrument
- Account Balance
- Available Account Balance

⁵ Entities that do not have compliance accounts and/or LUHAs will not see options to transfer to a compliance account or LUHA.

WCl. Inc		nplance Instrument English • Français • LOCCED IN AS: usernam King System Service
1.00	Transfer to Gene	ral Account-OTC with Delivery in No More Than 3 Days
Home		
Contact Us My User Profile	You may use this page to propose a for which delivery will take place no r transferred in CITSS until the following the following the following transferred in CITSS until the following the following the following transferred in CITSS until the following transferred in CITSS transferred in CITSS transferred transfe	transfer of compliance instruments to another entity's General Holding Account for an over-the-counter (OTC) agreement more than three days from the date the parties enter into the transaction agreement. Compliance instruments will not be to gatesh have been completed.
Account Registration	Step 1: A PAR or AAR from the trans request will be proposed. The account	Hering entity proposes the transfer request in CiTSS. After selecting Submit, Step 1 will be completed and the transfer If representatives for the transferring entity will be notified via email.
Representative Reports	Step 2: A PAR or AAR from the trans representative must be different than of the second calendar day following	tering account approves the transfer request in CITSS. Except for individual account holders, the approving the PAR or AAR who proposes the transfer request. The transfer request must be approved by micright (Bastern Time corposal of the transfer request. Alter calection Process Transfer Step 2 will be correlated and the transfer request will
Glossary	be approved. The account represent	atives for the transferring and receiving entity will be notified via email.
	Step 3: A FAR or AAR from the receil the third calendar day following prop- accepted. The account representative	ving entity accepts the transfer request in CITSS. The transfer request must be accepted by midnight (Eastern Time) of otal of the transfer request. After relecting Process Transfer, Step 3 will be completed and the transfer request will be es for the transferring and receiving entity will be notified via email.
	Entities may enter a price of zero if the	te transaction agreement does not contain a price for compliance instruments and the proposed transfer.
	is between entities with a direct of	orporate association.
	 is part of a transaction agreement by a California entity meets the or 	that combines compliance instruments and other products without pricing information. Iteria stipulated in the California Cap-and-Trade regulation. Refer to the Regulation for guidance before entering \$0 as
	 by a Washington entity: meets the 	criteria stipulated in the Washington cap and invest regulation. Select an option in the drop down menu below.
	Refer to the Regulation for specific n	equirements.
	Transferring Account Deta	
	Account Number	WA4376-5558
	Account Type	General
	Legal Name	Entity A, Corp
	Operating Name	Entity A
	Compliance Instrument	2023 Allowance
	Account Balance	496,950
	Auxiliable Assessed Dalasses	100.020

Receiving Account Transfer Information

The sending entity account representatives should communicate with the receiving entity account representatives to collect the information required to execute the transfer. Fields marked with an orange asterisk (*) are required.

Account Number*

The account number of the receiving entity consists of the prefix "WA" (Washington) and two (2) series of four (4) digits separated by a hyphen. Example: WA1234-5678. This information is found on the entity's Account Detail Page.

Entity Reference Code*

The Entity Reference Code of the receiving consists of eight (8) numbers. This information is found on the entity's Account Detail Page. This is not the same as the entity account number.

Quantity*

The amount of compliance instruments to be transferred. This value must not exceed the sending entity's available account balance. **Enter whole numbers only.**

Agreement Date*

The date a contract agreement is accepted by the parties involved in the transaction of compliance instruments.

Expected Termination Date

The date the accepted terms of the contract agreement are completed. This is typically the date of transfer of compliance instruments and payment.

Expected Termination Date Not Specified

Check this box if the termination date was not specified in the contract agreement.

Price \$*

The sending should enter the **average price** for each emissions allowance (**not** the total price of the transaction). For example, if 1,000 allowances are transferred at \$40 per allowance, \$40 should be entered as the price **not** \$40,000.

A price of 0.00 may be entered for five scenarios described in the dropdown of the following field.

If the price is \$0.00, transfer:

There are five scenarios where a transfer may be priced at \$0.00. The transfer is:

- 1. between parties with a direct corporate association (CAG);
- **2.** part of a transaction agreement that combines compliance instruments and other products without pricing information;
- **3.** from an electric utility to an entity operating a generation facility under an agreement that has no pricing information;
- **4.** from an electric utility to a federal power administrator for emissions associated with imported power; or
- 5. an offset transfer to replace invalidated offset credits.

Currency

Specify USD (United States Dollar) as the currency involved in the transaction.

Receiving Account and	Tra	nsfer Information
Account Number	*	WA1001-1004 ?
Entity Reference Code	*	84120909 ?
Quantity		5000 ?
Agreement Date		14 V March V 2023 V ?
Expected Termination Date		
Expected Termination Date Not Specified		C ?
Price \$	*	25
Select Currency		v)?
Select Currency		v)?
By clicking on the Submit button, i behalf of the party that owns the c have personally examined, and ar those individuals with primary resy statements and information submit pollution control hearings board fo aware that there are significant pe possibility of fine or imprisonment.	certify omplia n famili tonsibil tted to r purpo nalties	under penalty of perjury under the laws of the state of Washington that I am authorized to make this submission on ince instruments held in the account. I certify under penalty of perjury under the laws of the state of Washington that I ar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of ity for obtaining the information, I certify under penalty of perjury under the laws of the state of Washington that the Ecology are true, accurate, and complete. I consent to the junsdiction of Washington state, its courts, and the sees of enforcement of the laws, rules, and regulations perfaining to chapters 173-446 WAC and 704.65 RCW. I am for submitting false statements and information or omitting required statements and information, including the
Password Cancel Submit	•	

View the Transfer Request

Upon successful submission of the transfer proposal, the account representative of the sending entity is taken to the Compliance Instrument Transfer Detail page.

The box at the top of the page displays the information entered about the receiving entity as well as the type of transfer. The transfer is given a unique Transfer ID; it is a six-digit ID.

The **ACCOUNTS** section displays information on the general accounts of both the transferring and receiving entities.

The **TRANSFER EVENT HISTORY** section displays the current status of the transfer, when the status was changed, any comments, and who changed the status of the transfer.

WCI, Inc		lance Instrument g System Service	English • Fran	çais • LOGGED IN AS: username
Log Out	Compliance Instru	ment Transfer Detail		
Home Contact Us My User Profile	Detailed transfer information for this tran Accepted) is dependent on which steps The transfer request must be Approved Approved by a different account represe	nsfer, identified by the unique Transfer ID, is pr in the transfer process have been completed i by midhight (Eastern Time) of the second cale intative than the individual that proposed the t	rovided below. The status of this by the account representatives to indar day following the transfer re- ransfer request. The transfer re-	transfer request (Proposed, Approved, to the transferring and receiving entities proposal. The request can only be guest must be Accepted by an account
Account Registration	representative of the receiving entity by	midnight (Eastern Time) of the third calendar	day following the transfer proport	cal.
Representative Reports	Account Number	WA4376-5556		
	Account Type	General		
Glossary	Transfer ID	153668		
	Type	General - OTC <= 3 Days		
	Compliance Instrument	2023 Allowance		
	Transfer Status	Proposed 7		
	Agreement Date	2023-03-14		
	Expected Termination Date			
	Expected Termination Date Not Specified	Yes		
	Price	\$25.00		
	Currency	USD		
	If the price is \$0.00, transfer			
	Quantity	5,000		
	Accounts			
		Transferring Account	Receiving Accor	unt
	Legal Name	Entity A, Corp	WA Company B	
	Operating Name	Entity A	WA Operating Con	npany B
	Account Number	WA4376-5556	WA1001-1004	
	Account Type	General	General	
	Transfer Event History			
	Event Event Da	le	Comment	Action By
	Proposal 2023-03-1	4 13:55:02 EDT		User Name

Approve the Transfer Request

When a transfer is proposed, a second representative of the sending entity must approve the transfer. See Transfer Approval section.

<u>Over-the-Counter (OTC) Agreement with delivery more than 3 days or involving multiple</u> <u>transfers or combining compliance instruments with other products</u>

This transfer type is for contract agreements with a receiving entity where:

- the transaction is expected to be completed more than three (3) days after entering into the agreement,
- the transaction involves the transfer of several allowances, or
- the allowances are tied to other products being purchased or sold.

Follow the steps to select the instruments to transfer and select the radio button for "Over-the-Counter (OTC) Agreement with delivery in more than 3 days or involving multiple transfers or combining compliance instruments with other products."

Sending Account Information

The Transferring Account Detail box displays the information about the sending entity. This information is automatically entered by CITSS.

- General Account Number
- Account Type
- Entity Legal Name
- Entity Operating Name
- Compliance Instrument
- Account Balance
- Available Account Balance



Receiving Account and Transfer Information

The sending entity account representatives should communicate with the receiving entity account representatives to collect the information required to execute the transfer. Fields marked with an orange asterisk (*) are required.

Account Number*

The account number of the receiving entity consists of the prefix "WA" (Washington) and two series of four digits separated by a hyphen. Example: WA1234-5678. This information is found on the entity's Account Detail Page.

Entity Reference Code*

The Entity Reference Code of the receiving consists of eight (8) numbers. This information is found on the entity's Account Detail Page. This is not the same as the entity account number.

Quantity*

The amount of compliance instruments to be transferred. This value must not exceed the sending entity's available account balance. Enter whole numbers only.

Agreement Date*

The date a contract agreement is accepted by the parties involved in the transaction of compliance instruments.

Expected Termination Date

The date the accepted terms of the contract agreement are completed. This is typically the date of transfer of compliance instruments and payment.

Expected Termination Date Not Specified

Check this box if the termination date was not specified in the contract agreement.

Does the agreement provide for further transfers after this one?

If the agreement allows for additional transfers after this transfer, select "Yes." Otherwise, select "No."

Does the agreement provide for transfers of other products?

If the agreement allows for transfer of other products with allowances, select "Yes." Otherwise, select "No."

Receiving Account and Tra	nsfe	r Information
Account Number	*	WA1001-1004 ?
Entity Reference Code	*	84120909 ?
Quantity	٠	5000 ?
Agreement Date	*	14 v March v 2023 v ?
Expected Termination Date		
Expected Termination Date Not Specified		° 🖸
Does the agreement provide for further transfers after this one?	*	No v)?
Does the agreement provide for transfers of other products?	*	No v]?

Pricing Information* (Enter data for one of the following)

1. Fixed Price \$

Fixed Price

If the agreement provides for a fix price per emissions allowance, enter the average price for each emissions allowance (not the total price of the transaction). A price of \$0.00 may be entered for five scenarios described in the dropdown of the following field.

If the price is \$0.00, transfer:

There are five scenarios where a transfer may be priced at 0.00:

- 1. Is between parties with a direct corporate association (CAG)
- **2.** Is part of a transaction agreement that combines compliance instruments and other products without pricing information
- **3.** Is from an electric utility to an entity operating a generation facility under an agreement that has no pricing information
- **4.** Is from an electric utility to a federal power administrator for emissions associated with imported power
- 5. Is an offset transfer to replace invalidated offset credits

Currency

Specify the USD (United States Dollar) as the currency involved in the transaction.

2. Cost Base + Margin Cost Base

If the agreement provides for a base price and margin, enter the average base price (not the total price of the transaction)

Margin

If the agreement provides for a base price and margin, enter the average margin price (not the total price of the transaction)

Currency

Specify the USD (United States Dollar) as the currency involved in the transaction

3. Other Pricing Method

Pricing Method Description

If the agreement provides for a method other than fixed price or cost base + margin, describe the pricing method.

1) Fixed Price	
Fixed Price \$	20 ?
If the price is \$0.00, transfer:	
Select	v)?
Currency	USD V?
2) Cost Base + Margin	
Cost Base \$?
Margin \$?
Currency	- Select - • • ?
3) Other Pricing Method	
Pricing Method Description	?
Comment	
Comment	
By clicking on the Submit butto	n, I certify under penalty of perjury under the laws of the state of Washington that I am authorized to make this submission
on behalf of the party that own	s the compliance instruments held in the account. I certify under penalty of perjury under the laws of the state of
Washington that I have person Based on my inquiry of those in	ally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Individuals with primary responsibility for obtaining the information. I certify under penalty of periury under the laws of the
state of Washington that the st	atements and information submitted to Ecology are true, accurate, and complete. I consent to the jurisdiction of
Washington state, its courts, an	In the pollution control hearings board for purposes of enforcement of the laws, rules, and regulations pertaining to
required statements and inform	Nov rows, i am aware that there are significant penalities for submitting table statements and information of omitting tables, including the possibility of fine or imprisonment.
Password	

View the Transfer Request

Upon successful submission of the transfer proposal, the account representative of the sending entity is taken to the Compliance Instrument Transfer Detail page.

The box at the top of the page displays the information entered about the receiving entity as well as the type of transfer. The transfer is given a unique Transfer ID; it is a six-digit ID.

The **ACCOUNTS** section displays information on the general accounts of both the transferring and receiving entities.

The **TRANSFER EVENT HISTORY** section displays the current status of the transfer, when the status was changed, any comments, and who changed the status of the transfer.

WCI, Inc		spliance Instrument ang System Service	English • Fran;	ais • LOGGED IN AS. username
Log Out	Compliance Instr	ument Transfer Detail		
Home Contact Us My User Profile Account Registration	Detailed transfer information for this to Accepted) is dependent on which ster The transfer request must be Approve Approved by a different account repre- representative of the receiving entity to	ransfer, identified by the unique Transfer ID, is s ps in the transfer process have been completed d by midhight (Eastern Time) of the second cal isentative than the individual that proposed the y midhight (Bastern Time) of the third calendar	rovided below. The status of this by the account representatives fir endar day following the transfer reg transfer request. The transfer reg day following the transfer propos	transfer request (Proposed, Approved, or the transferring and receiving entities proposal. The request can only be uest must be Accepted by an account ral.
Depresentative Deports	Account Number	WA4376-5556		
Nepresenauve Nepons	Account Type	General		
Glossary	Transfer ID	153669		
	Type	General - OTC > 3 Days/Multiple/Combi	Ned.	
	Compliance Instrument	2023 Allowance		
	Transfer Status	Proposed ?		
	Agreement Date	2023-03-14		
	Expected Termination Date			
	Expected Termination Date Not Specified	Yes		
	Does the agreement provide for further transfers after this one?	No		
	Does the agreement provide for transfers of other products?	No		
	Fixed Price	\$20.00		
	Currency	USD		
	If the price is \$0.00, transfer			
	Cost Base			
	Margin			
	Pricing Method Description			
	Quantity	5,000		
	Accounts			
		Transferring Account	Receiving Accou	mt
	Legal Name	Entity A, Corp	WA Company B	
	Operating Name	Entity A	WA Operating Con	npany B
	Account Number	WA4376-5556	WA1001-1004	
	Account Type	General	General	
	Transfer Event History			
	Event Event	Date	Comment	Action By
	Proposal 2023-03	-14 13:56:52 EDT		User Name
	Back Cancel Proposed Tra	msfer		

Approve the Transfer Request

When a transfer is proposed, a second representative of the sending entity must approve the transfer. See Transfer Approval section.

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Exchange Agreement Transfer to General Account - not to an Exchange Clearing Service Provider

This transfer type is for contract agreements with a receiving where the agreement involves stock exchange or other transaction service.

Follow the steps to select the instruments to transfer and select the radio button for "Exchange Agreement Transfer to General Account – <u>not</u> to an Exchange Clearing Service Provider."

Sending Account Information

The Transferring Account Detail box displays the information about the sending entity. This information is automatically entered by CITSS.

- General Account Number
- Account Type
- Entity Legal Name
- Entity Operating Name
- Compliance Instrument
- Account Balance
- Available Account Balance

WCI, Inc.		npliance Instrument king System Service	English • Français • LOOGED IN AS: usemame
.og Out	Exchange Agreer	nent Transfer to Ge	neral Account - <u>not</u> to an ECSP
fome Contact Us My User Profile	You may use this page to propose a not use this page to initiate a transfe transferred in CITSS until the followir	transfer of compliance instruments to anot r of compliance instruments to an Exchang ng steps have been completed:	ther entity's General Holding Account as part of an Exchange Agreement. Do ge Clearing Service Provider (ECSP). Compliance instruments will not be
Account Registration	Step 1: A PAR or AAR from the trans request will be proposed. The account	ferring entity proposes the transfer reques nt representatives for the transferring entit	t in CiTSS. After selecting Submit, Step 1 will be completed and the transfer y will be notified via email.
Representative Reports Slossary	Step 2: A PAR or AAR from the trans representative must be different than of the second calendar day following be approved. The account represent	ferring account approves the transfer require the PAR or AAR who proposes the transfer proposal of the transfer request. After set atives for the transferring and receiving en	est in CITSS. Except for individual account holders, the approving er request. The transfer request must be approved by midnight (Eastern Time) ecting Process Transfer, Step 2 will be completed and the transfer request will ety will be notified via email.
	Step 3: A PAR or AAR from the receil the third calendar day following prop- accepted. The account representative	ving entity accepts the transfer request in osal of the transfer request. After selecting es for the transferring and receiving entity	CITSS. The transfer request must be accepted by midnight (Eastern Time) of Process Transfer, Step 3 will be completed and the transfer request will be will be notified via email.
	Transferring Account Deta	1	
	Account Number	WA4376-5556	
	Account Type	General	
	Legal Name	Entity A. Corp	
	Operating Name	Entity A	
	Compliance Instrument	2023 Allowance	
	Account Balance	498,950	
		100.050	

Receiving Account Transfer Information

The sending entity account representatives must communicate with the receiving entity account representatives to collect the information required to execute the transfer. Fields marked with an orange asterisk (*) are required.

Account Number*

The account number of the receiving entity consists of the prefix "WA" (Washington) and two series of four digits separated by a hyphen. Example: WA1234-5678. This information is found on the entity's Account Detail Page.

Entity Reference Code*

The Entity Reference Code of the receiving consists of eight numbers. This information is found on the entity's Account Detail Page. This is not the same as the entity account number.

Quantity*

The amount of compliance instruments to be transferred. This value must not exceed the sending entity's available account balance. Enter whole numbers only.

Exchange and Contract Description Code

Choose the exchange code used to trade the allowances being transferred, and the code that the stock exchange assigned the contract. If the exchange code is not listed, see the following field.

Exchange and Contract Description Code is not available above

If the exchange and contract code is not available, check this box.

Other Exchange

Complete this field if you selected the box above.

Other Contract Description Code

Complete this field if you selected the box above.

Date of Close of Trading for the Contract*

The date the contract expires. This is also the date the price of the transfer is established.

Price at Close of Trading for the Contract*

The price of allowances for the contract code established when the stock exchanged closes the day the contract expires.

Currency*

Specify the USD (United States Dollar) as the currency involved in the transaction.

Receiving Account and	Tra	nsfer Information
Account Number	*	WA1001-1004 7
Entity Reference Code	*	84120909 ?
Quantity	*	5000 ?
Exchange and Contract Description Code		Description 79
Exchange and Contract Description Code is not available above		□ [?]
Other Exchange		?
Other Contract Description Code		, ,
Date of Close of Trading for the Contract	*	14 v March v 2023 v ?
Price at Close of Trading for the Contract	1	25 ?
Currency	*	USD v?
Comment		
By clicking on the Submit button, I behalf of the party that owns the co have personally examined, and an those individuals with primary resp statements and information submit pollution control hearings board for aware that there are significant per possibility of fine or imprisonment.	certify omplia onsib ted to r purp naities	Inder penalty of perjury under the laws of the state of Washington that I am authorized to make this submission on ince instruments held in the account. I certify under penalty of perjury under the laws of the state of Washington that I lar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of lify for obtaining the information. I certify under penalty of perjury under the laws of the state of Washington that the Ecology are true, accurate, and complete. I consent to the jurisdiction of Washington state, its courts, and the oses of enforcement of the laws, rules, and regulations pertaining to chapters 173-446 WAC and 70A.65 RCW. I am for submitting false statements and information or omitting required statements and information, including the
Password	•	

View the Transfer Request

Upon successful submission of the transfer proposal, the account representative of the sending entity is taken to the Compliance Instrument Transfer Detail page.

The box at the top of the page displays the information entered about the receiving entity as well as the type of transfer. The transfer is given a unique Transfer ID; it is a six-digit ID.

The **ACCOUNTS** section displays information on the general accounts of both the transferring and receiving entities.

The **TRANSFER EVENT HISTORY** section displays the current status of the transfer, when the status was changed, any comments, and who changed the status of the transfer.

WCL Inc		pflance Instrument ing System Service	English • Français • LOGGED IN AS. v	rs-ermanne
Log Out	Compliance Instru	ument Transfer Detai		
Contact Us My User Profile Account Registration	Detailed transfer information for this tr Accepted) is dependent on which step The transfer request must be Approve Approved by a different account repre representative of the receiving entity b	ansfer, identified by the unique Transfer ID, is in the transfer process have been complet d by midnight (Eastern Time) of the second sentative than the individual that proposed th y midnight (Eastern Time) of the third calend	s provided below. The status of this transfer request (Proposed, A id by the account representatives for the transferring and receivir alendar day following the transfer proposal. The request can only e transfer request. The transfer request must be Accepted by an ar day following the transfer proposal.	pproved, ng entities, y be account
Representative Reports	Account Number	WA4376-5556		
	Account Type	General		
Glossary	Transfer ID	153670		
	Туре	General - Exchange		
	Compliance Instrument	2023 Allowance		
	Transfer Status	Proposed ?		
	Exchange and Contract Description Code	Description 79		
	Date of Close of Trading for the Contract	2023-03-14		
	Price at Close of Trading for the Contract	\$25.00		
	Currency	USD		
	Quantity	5,000		
	Accounts			
		Transferring Account	Receiving Account	
	Legal Name	Entity A. Corp	WA Company B	
	Operating Name	Entity A	WA Operating Company B	
	Account Number	WA4376-5556	WA1001-1004	
	Account Type	General	General	
	Transfer Event History			
	Event Event C	late	Comment Action By	
	Proposal 2023-03	14 13:58:07 EDT	User Name	

Approve the Transfer Request

When a transfer is proposed, a second representative of the sending must approve the transfer. See Transfer Approval section.

Transfer to Compliance Account

This transfer type is for entities to transfer allowances to their compliance account to meet a compliance obligation.

Compliance Accounts are assigned to Covered/Opt-in entities **only**. Once instruments are transferred into a compliance account, **they can no longer be accessed by the entity**. Instruments in compliance accounts can only be accessed by Ecology.

Follow the steps to select the instruments to transfer and select the radio button for "Transfer to Compliance Account."

Sending Account Information

The Transferring Account Detail box displays the information about the sending entity. This information is automatically entered by CITSS.

- General Account Number
- Account Type
- Entity Legal Name
- Entity Operating Name
- Compliance Instrument
- Account Balance
- Available Account Balance

Receiving Account and Transfer Information

CITSS populates the receiving account information with the entity's compliance account information. Fields marked with an orange asterisk (*) are required.

Quantity*

The amount of compliance instruments to be transferred. This value must not exceed the sending entity's available account balance. **Enter whole numbers only.**



WCL Inc	CITSS Compliance Instrument Tracking System Service English · Français · LOGGED IN AS: usemame
Log Out	Propose Transfer from: General Account
Home Contact Us My User Profile	You may use this screen to transfer compliance instruments from your General Holding Account to your Compliance Account. Transferring compliance instruments to your Compliance Account is a permanent action. Compliance instruments will not be transferred to your Compliance Account until the following steps have been complieted:
Account Registration	Step 1: A PAR or AAR from the transferring account proposes the transfer request in CITSS. After selecting Submit, Step 1 will be completed and the transfer request will be proposed in CITSS and the account representatives for the transferring account will be notified via email.
Representative Reports	Step 2: A PAR or AAR from the transferring account approves the transfer request in CITSS. Except for individual account holders, the representative that approves a transfer request must be different than the representative that proposed the transfer request. The transfer request must be approved by midnight
Glossary	(Eastern Time) of the second calendar day following the date the transfer was initially proposed. A transfer request to the Compliance Account DOES NOT require Acceptance, and is completed upon Approval by the second representative.
	Transferring Account Detail
	Account Number WA4376-5556
	Account Type General
	Legal Name Entity A, Corp
	Operating Name Entity A
	Compliance Instrument 2023 Allowance
	Account Balance 498,950
	Available Account Balance 483,950
	Receiving Account and Transfer Information
	Account Number WA4376-5557
	Account Name Entry & Corp
	Account Type Complance
	Quantity 5000 ?
	Pamarak
	Comment
	E RUNDER AN THE SUMME SUMME SUMME SUMME ANALY AND ANALY AT ANY UNDER THE SUM AT THE SUMA
	behalf of the party that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the state of Washington 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 penaity of perjury under the laws of the state of Washington that the statements and information submitted to Ecology are true, accurate, and complete. I consent to the jurisdiction of Washington state, its courts, and the
	pollution control hearings board for purposes of enforcement of the laws, rules, and regulations pertaining to chapters 173-446 WAC and 70A 65 RCW. I am
	aware that there are significant penables for submitting false statements and information or omitting required statements and information, including the exemplifies of fee as impresented.
	peaalenty et inte et improventment.
	Password • •
	Cancel Submit
	Fig. 20: To Compliance Account Transfer Page

View the Transfer Request

Upon successful submission of the transfer proposal, the account representative of the sending entity is taken to the Compliance Instrument Transfer Detail page.

The box at the top of the page displays the information entered about the receiving as well as the type of transfer. The transfer is given a unique Transfer ID; it is a six-digit ID.

The **Accounts** section displays information on the general account and compliance account of the entity.

The **Transfer Event History** section displays the current status of the transfer, when the status was changed, any comments, and who changed the status of the transfer.

WCL Inc	CITSS	Compliance instrument Tracking System Service	English • Français • LOGOED IN AS: usernam			
		Instrument Transfer Detai				
Log Out	Compliance	instrument nunsier betur				
Home	Balalad Incode Salaranda	- for this Township ID is seen ideal below. The status of the	is transfer example in dependent on which show in the transfer encoder			
Contact Us	have been completed by th	have been completed by the account representatives. One account representative must Propose the transfer request. For the compliance instruments to be				
My User Profile	transferred to the complian	ce account, the transfer request must be Approved by a	transferring account representative other than the initiating representative			
Account Registration	by midnight (Eastern Time) of the second calendar day following the initial transfer proposal.					
	A transfer request to the Co	empliance Account DOES NOT require Acceptance, and	d is completed upon Approval by the second representative.			
Representative Reports	Account Number	WA4376-5556				
Glosser	Account Type	General				
(internal)	Transfer ID	153635				
	Type	Compliance				
	Compliance Instrument	2023 Allowance				
	Transfer Status	Processed ?				
	Quantity	5.000				
	A					
	Accounts	Transferring Account	Receiving Account			
	Legal Name	Entity A, Corp	Entity A, Corp			
	Operating Name	Entity A	Entity A			
	Account Number	WA4376-5556	WA4376-5557			
	Account Type	General	Compliance			
	Transfer Event His	story				
	Event	Event Date	Comment Action By			
	Proposal	2023-02-08 14:18:50 EST	User Name			

Approve the Transfer Request

When a transfer is proposed, a second representative of the sending entity must approve the transfer. See Transfer Approval section.

Transfer to Limited Use Holding Account

This transfer type is for entities to transfer allowances to their Limited Use Holding Account (LUHA).

LUHAs are assigned to electric and natural gas utilities **only**. Once instruments are transferred into a LUHA, **they can no longer be accessed by the entity**. Instruments in LUHAs can only be transferred by the entity to the Jurisdiction Auction Account for consignment.

Follow the steps to select the instruments to transfer and select the radio button for "Transfer to Limited Use Holding Account."

Sending Account Information

The Transferring Account Detail box displays the information about the sending entity. This information is automatically entered by CITSS.

- General Account Number
- Account Type
- Entity Legal Name
- Entity Operating Name
- Compliance Instrument
- Account Balance
- Available Account Balance

WO. Inc		iance Instrument English • Français • LOOGED IN AS: username g System Service					
	Propose Transfer f	rom: General Account					
Log Out Home Contact Us My User Profile	You may use this screen to transfer com compliance instruments to your Limit Use Holding account until the following o	pliance instruments from your General Holding Account to your Limited Use Holding Account. Transferring ted Use Holding Account is a permanent action. Compliance instruments will not be transferred to your Limited thos have been completed:					
Account Registration	Step 1: A PAR or AAR from the transferring account proposes the transfer request in CITSS. After selecting Submit. Step 1 will be completed and the transfer request will be proposed in CITSS and the account every second second will be notified via amail.						
Representative Reports	Step 2: A PAR or AAR from the transferring account approves the transfer request in CITSS. Except for individual account holders, the representative that approves a transfer request must be different than the representative that proposed the transfer request. The transfer request must be approved by midnight (2) astern Torus of the second called the data the transfer request.						
Glossary	(Eastern Time) of the second calendar day following the date the transfer was initially proposed. A transfer request to the Limited Use Holding Account DOES NOT require Acceptance, and is completed upon Approval by the second representative.						
	Transferring Account Detail						
	Account Number	W04376-5556					
	Account Type	General					
	Legal Name	Entity A. Corp					
	Operation Name	Entry A					
	Compliance Instrument	COOD ARAUMANA					
	Compliance instrument	2V23 Allowance					
	Account Balance	430,350					
	Available Account Balance	478,950					
	Receiving Account and Tra	Insfer Information					
	Account Number	WA4376-5558					
	Account Name	Entity A, Corp					
	Account Type	Limited Use Holding					
	Quantity *	5000 ?					
	Comment						
	By clicking on the Submit button, I certify under penalty of perjury under the laws of the state of Washington that I am authoritzed to make this submission on behalf of the party that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the state of Washington that 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 Washington that the statements and information submitted to Ecology are true, accurate, and complete. I consert to the jurisdiction of Washington state, its courts, and the pollution control hearings board for purposes of enforcement of the laws, rules, and regulations pertaining to chapters 172-442 WAC and T0A.85 RCW. 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.						
	Password .	********					

Receiving Account and Transfer Information

CITSS populates the receiving account information with the entity's LUHA information. Fields marked with an orange asterisk (*) are required.

Quantity*

The amount of compliance instruments to be transferred. This value must not exceed the sending entity's available account balance. Enter whole numbers only.

View the Transfer Request

Upon successful submission of the transfer proposal, the account representative of the sending is taken to the Compliance Instrument Transfer Detail page.

The box at the top of the page displays the information entered about the receiving as well as the type of transfer. The transfer is given a unique Transfer ID; it is a six-digit ID.

The Accounts section displays information on the general account and LUHA of the entity.

The **Transfer Event History** section displays the current status of the transfer, when the status was changed, any comments, and who changed the status of the transfer.

WCI, Inc	CITSS	Compliance Instrument Tracking System Service	English • Fra	nçais • LOGGED IN AS: username
Log Out Home Contact Us My User Profile	Compliance Inst Detailed transfer information for have been completed by the ac- transferred to the Limited Use H	strument Transfer Detail this Transfer ID is provided below. The status of thi court representatives. One account representative roking Account, the transfer request must be Appro-	s transfer request is dependent o nust Propose the transfer reques red by a transfering account rep	n which steps in the transfer process I. For the compliance instruments to be resentative other than the initiating
Account Registration	A transfer request to the Limited	Use Holding Account DOES NOT require Acceptar	initial transfer proposal. ice, and is completed upon Appro	val by the second representative.
Representative Reports Glossary	Account Number Account Type Transfer ID Type Compliance Instrument Transfer Status Quantity Accounts Legal Name Constition Name	WR4376-5556 General 153636 Limited Use Holding 2023 Allowance Proposed ⁹ 5,000 Transferring Account Entity A, Corp Entity A	Receiving Entity A. Entity A.	g Account orp
	Account Number	WA4376-5556	WA4376-5	558
	Account Type	General	Limited Us	e Holding
	Transfer Event Histor	у		
	Event Ev	rent Date	Comment	Action By
	Proposal 20	23-02-06 14:29:39 EST		User Name
	Back Cancel Propose	d Transfer		

-33-

Approve the Transfer Request

When a transfer is proposed, a second representative of the sending must approve the transfer. See Transfer Approval section.

Exchange Agreement - to an Exchange Clearing Service Provider's Exchange Clearing Holding Account

At this time, Exchange Clearing Holding Accounts are not assigned to entities in the Washington cap-and-invest program for purposes of facilitating an exchange clearing agreement.

Voluntary Retirement

This transfer type is for entities to transfer allowances to the Jurisdiction Retirement Account.

Once instruments are transferred into the Jurisdiction Retirement Account, they can no longer be accessed by the entity. Allowances transferred for voluntary retirement do not meet a compliance obligation for an entity.

More information about transfers to the Jurisdiction Retirement Account can be found in the Compliance Guide.

Transfer Approval

All proposed transfers are listed on the CITSS homepage under the "Pending Transfers" section. Account representatives are also notified via an automated email from CITSS that a transfer has been proposed. In the **two-step transfer process**, once a transfer is approved the transfer is considered Complete.

For transfers proposed by Covered/Opt-In and General Market Participant Organization entities, a different account representative must approve the proposed transfer.

Individual General Market Participants can propose and approve transfers if there are no other account representatives assigned to the account. If there is at least one other account representative assigned to an individual GMP account, the other account representative will have to approve any proposed transfers.

To confirm the proposed transfer, the second account representative must:

- Step 1. Log in to CITSS
- Step 2. Select the Transfer ID of the pending transfer on the CITSS homepage
- **Step 3.** Review the transfer information
- **Step 4.** Approve/deny transfer
- Step 5. Enter password to agree to the attestation
- Step 6. Select Process Transfer

Note

Once the second account representative selects to process transfer, the transfer cannot be reversed by the sending entity.

						see the local sectors	
Log Out	Welcom	e to WCI CI	rss		Cast Soci	cession logini. 2023-	13-14 13.42.19 E
Home	My Account	le					
Contact Us My User Profile	My Account	15					
	Name Failty & Care	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Account Registration	Entry A. Corp.	Entity A	Compliance	W44376-5555	Washington State	Artive	View
Representative Reports	Enlity A. Corp	Entity A	Limited Use Holding	WA4376-5558	Washington State	Active	View
	MALERIA A. M. M. M. M.						
Glossary	Pending Tra	ansfers					3 record
Glossary	Pending Tra	ansfers	Transferring	Roceiving Account	t Receiving	Status	3 records
Glossary	Pending Transfer	ansfers Transferring Account Name Entity A. Corp (WA4376-5556)	Transferring Account Type General	Receiving Account Name V/A Company B (VA 1001-1004)	t Receiving Account Typ General	De Status Proposed	3 records
Glossary	Pending Transfer ID 153658 153659	ansfers Transforring Account Name Ently A. Corp (WA4376-5556) Ently A. Corp (WA4376-5556)	Transferring Account Type General General	Receiving Account Name WA Company B (WA 1001-1004) WA Company B (WA 1001-1004)	t Receiving Account Tyj General General	pe Status Proposed Proposed	3 records
Glossary	Pending Transfer 10 153858 153859 153859	ansfers Transferring Account Name Entity A. Corp (WA4376-5556) Entity A. Corp (WA4376-5556) Entity A. Corp (WA4376-5556)	Transferring Account Type General General General	Receiving Account Name ViA Company B (ViA1001-1004) ViA Company B (ViA1001-1004) ViA Company B (ViA1001-1004)	t Receiving Account Tyj General General General	Proposed Proposed Proposed	3 records
Glossary	Pending Tra- Transfer 153858 153859 153859 153870 153871	ansfers Transfering Account Name Ently A. Corp (WA4376-5556) Ently A. Corp (WA4376-5556) Ently A. Corp (WA4376-5556) Ently A. Corp (WA4376-5556)	Transferring Account Type General General General General	Receiving Account Name WA Company B (WA1005-1004) WA Company B (WA1001-1004) WA Company B (WA1005-1004) WA Company B (WA1005-1004) Ently A, Corp (WA105-5557)	t Receiving Account Typ General General General Compliance	Proposed Proposed Proposed Proposed Proposed	3 records Updated 2023-03-14 2023-03-14 2023-03-14 2023-03-14



Log Out

Contact Us

Glossary

My User Profile

English . Français . LOGGED IN AS: annwilson

Compliance Instrument Transfer Detail

CITSS Security extensions

Detailed transfer information for this transfer, identified by the unique Transfer ID, is provided below. The status of this transfer request (Proposed, Approved, Accepted) is dependent on which steps in the transfer process have been completed by the account representatives for the transferring and receiving entities. The transfer request must be Approved by midnight (Eastern Time) of the second calendar day following the transfer proposal. The request can only be Approved by a different account representative than the individual that proposed the transfer request. The transfer request must be Accepted by an account representative of the receiving entity by midnight (Eastern Time) of the third calendar day following the transfer proposal.

Representative Reports

Account Registration

Account Number	WA4376-5556
Account Type	General
Transfer ID	153668
Type	General - OTC <= 3 Days
Compliance Instrument	2023 Allowance
Transfer Status	Proposed ?
Agreement Date	2023-03-14
Expected Termination Date	
Expected Termination Date Not Specified	Yes
Price	\$25.00
Currency	USD
If the price is \$0.00, transfer	
Quantity	5,000

Accounts

	Transferring Account	Receiving Accor	unt
Legal Name	Entity A, Corp	WA Company B	
Operating Name	Entity A	WA Operating Company B	
Account Number	WA4376-5556	WA1001-1004	
Account Type	General	General	
Transfer Ever	nt History		
Event	Event Date	Comment	Action By
Proposal	2023-03-14 13:55:02 EDT		User Name

Fig. 25: Transfer Detail Page for Approval

Approve/Deny Transfer

A transfer to another general holding account in CITSS has been proposed. You must either approve or deny this transfer request by midnight (Eastern Time) of the second calendar day following the proposal of the transfer request. If you approve this transfer request, the receiving entity account representatives will be notified via email of your approval. An account representative from the receiving entity will need to accept or decline this transfer for the transfer to be completed.

* = Required field

Decision

Comment

O Approve O Deny

By clicking on the Submit button, I certify under penalty of perjury under the laws of the state of Washington that I am authorized to make this submission on behaif of the party that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the state of Washington 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 Washington that the statements and information submitted to Ecology are true, accurate, and complete. I consent to the jurisdiction of Washington state, its courts, and the pollution control hearings board for purposes of enforcement of the laws, rules, and regulations pertaining to chapters 173-445 WAC and 70A.65 RCW. 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 imposonment.

Password

Process Transfer

Back

Fig. 26: Approve/Deny Transfer Page

Once the second account representative has approved the transfer, the General Account detail page will appear with a success message at the top indicating the transfer has been approved.

WCI, Inc.	CITS	SS 📾	pliance Instru Ing System Si	ment arvice			English • Fra	nçals • LOGG	ED IN AS: annwilso
Log Out	Entity A,	Corp Ge	neral A	ccour	nt (WA4	1376-555	56)		
Contact Us	The transfer	has been approved							
My User Profile									
	Your account infor instrument transfe	mation is provided b r from this account.	select "Initiate"	Voccunt Deb Transfer' fro	all" to view or m the Holding	change entity and is tab. To view the	account representate transfer history for	tive information. 1 this account, sele	To initiate a compliance of the Transfers tab.
Account Registration									
Representative Reports	Account Number		WA4370-0	900					
	Account Type		Active						
Glossary	Account Balance		1.003.050						
	Available Account	d Balance	1.068.050						
	Account Detai	1							
	Holdings	Transfers							
	Vintage	Jurisdiction	Туре	Sub-	Offset	Offset	Special	Quantity	Initiate
				Туре	Туре	Project 1D	Category		Transfer
	2023		Allowance					493,950	Initiate Transfer
	2026		Allowance					600,000	Initiate
									Transfer
								COV D	sharan C law

Under the TRANSFERS Tab of the General Account, the transfer status will be changed to "Approved."

(WCL lac	CITS	S 🛛	mpliance Inst cking System	rument Service	English	i • Français • LC	CCED IN AS: annwilson
Log Out Home	Entity A, C	orp G	eneral /	Account (WA	4376-5556)		
Contact Us	The transfer has	been approv	ed.				
My User Profile	Your account information instrument transfer from	on is provide n this accourt	d below. Select it, select "Initial	"Account Detail" to view or e Transfer" from the Holdin	change entity and account r ps tab. To view the transfer t	epresentative informati history for this account,	on. To initiate a compliance select the Transfers tab.
	Account Number		WA4376	-5558			
Representative Reports	Account Type		General				
Glossary	Account Status		Active				
	Account Balance		1,093,95	0			
	Available Account Ba	lance	1,068,95	0			
	Holdings Tran	nsfers					
	Transfer ID	Event Date	Status	Transferring Account Name	Receiving Account Name	Quantity Proposed	Quantity Transferred
	153668	2023-03-	Approved	Entity A, Corp (WA4376-5556)	WA Company B (WA1001-1004)	-5,000	
	Fig.	28: Er	ntity Ge	neral Account	, transfers tal	b	

Transfer Acceptance

Three-step transfers must be accepted by an account representative of the receiving entity. Once a transfer is accepted by the receiving entity, the transfer is considered complete.

For transfers proposed by Covered/Opt-In and General Market Participant Organization entities, a different account representative must approve the proposed transfer.

Individual General Market Participants can propose and approve transfers if there are no other account representatives assigned to the account. If there is at least one other account representative assigned to an individual GMP account, the other account representative will have to approve any proposed transfers.

- Step 1. Log in to CITSS
- **Step 2.** Select the Transfer ID of the pending transfer on the CITSS homepage ("Approved" status)
- **Step 3.** Review the transfer information
- Step 4. Accept/decline transfer
- Step 5. Enter password to agree to the attestation
- Step 6. Select Process Transfer

	Welcom	e to WCI CIT	rss		Last succes	sful login: 2023-0	3-13 20.52.06 ED
Log Out							
Contact Us	My Account	its					
My User Profile	Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Account Registration	WA Company 6	WA Operating Company A	General	WA1000-1000	Washington State	Active	View
Representative Reports	WA Company	WA Operating Company A	Compliance	WA1000-1001	Washington State	Active	View
Glossary	WA Company 8	WA Operating Company A	Limited Use Holding	WA1000-1002	Washington State	Active	View
	WA Comeany 6	WA Operating Company A	(g) Annual Allocation Holding	WA1000-1003	Washington State	Inactive	View
	WA Company B	WA Operating Company B	General	WA1001-1004	Washington State	Active	View
	1 2 Next						1-5 of 8 records
	Pending Tr Transfer	ansfers Transferring	Transferring	Receiving Account	Receiving	Status	Last
	153668	Account Name	Account Type General	Name W& Company B	Account Type General	korrowed	Updated 2023-03-14
	10000	(WA4376-5556)		(WA1001-1004)	Venera		
	153669	Entity A, Corp (WA4376-5556)	General	(WA1001-1004)	General	Approved	2023-03-14

(wCl. lec

Log Out Home

Contact Us

My User Profile

CITSS Compliance Instrument English · Français · LOGGED IN AS: adamwest Tracking System Service

Compliance Instrument Transfer Detail

Detailed transfer information for this transfer, identified by the unique Transfer ID, is provided below. The status of this transfer request (Proposed, Approved, Accepted) is dependent on which steps in the transfer process have been completed by the account representatives for the transferring and receiving entities. The transfer request must be Approved by midnight (Eastern Time) of the second calendar day following the transfer request can only be Approved by a different account representative than the individual that proposed the transfer request. The transfer request must be Accepted by an account representative of the receiving entity by midnight (Eastern Time) of the third calendar day following the transfer request.

1	~~	~~	 ~~~	÷	***	
					_	

Glossary

Account Number	WA1001-1004
Account Type	General
Transfer ID	153668
Type	General - OTC <= 3 Days
Compliance Instrument	2023 Allowance
Transfer Status	Approved ?
Agreement Date	2023-03-14
Expected Termination Date	
Expected Termination Date Not Specified	Yes
Price	\$25.00
Currency	USD
If the price is \$0.00, transfer	
Quantity	5,000

Accounts

	Transferring Account	Receiving Account
Legal Name	Entity A. Corp	WA Company B
Operating Name	Entity A	WA Operating Company B
Account Number	WA4376-5556	WA1001-1004
Account Type	General	General

Action By

Transfer Event History

Event	Event Date	Comment
Proposal	2023-03-14 13:55:02 EDT	
Approval	2023-03-14 14:00.35 EDT	

Fig. 30: Transfer Detail Page to Accept

An entity has proposed to the transfer request. You the transfer request in Cl	a transfer compliance instruments to your account. As the receiving account representative, you may use this screen to review must either accept or decline this transfer request by midnight (Eastern Time) of the third calendar day following the proposal o TSS. When you accept or decline this transfer request, the PAR and the AARs of the transferring account and the receiving
entity, accept this transfe	a email of your decision. Compliance instruments will not be transferred in CLISS until you, or another HAR or AAR from your r request in CITSS.
* = Required field	
Decision	O Accepted
C	U Declined
Comment	
By clicking on the Submi on behalf of the party tha Washington that I have p Based on my inquiry of t state of Washington that Washington state. Its co	Lotton, I certify under penalty of perjury under the laws of the state of Washington that I am authorized to make this submission t owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the state of ersonally examined, and am familiar with, the statements and information submitted in this document and all its attachments take individuals with primary responsibility for obtaining the information. I certify under penalty of perjury under the laws of the the statements and information submitted to Ecology are true, accurate, and complete. I consent to the jurisdiction of urts, and the pollution control hearings board for purposes of enforcement of the laws, rules, and regulations pertaining to
chapters 173-446 WAC (required statements and	and TOA.65 RCW. I am aware that there are significant penalties for submitting false statements and information or omitting information, including the possibility of fine or imprisonment.
Password	and 704.65 RCW. I am aware that there are significant penalties for submitting false statements and information or omitting information, including the possibility of fine or imprisonment.
Password Process Transfer	and TOA.65 RCW. I am aware that there are significant penalties for submitting false statements and information or omitting information, including the possibility of fine or imprisonment.

Once an account representative of the receiving (receiving entity) has accepted the transfer, the General Account detail page will appear with a success message at the top indicating the transfer has been accepted. The compliance instruments have successfully been transferred to the account.

(WC), Inc.	CITS	SS 📾	pliance Instru ng System Se	nent Irvice			English • Franç	ais • LOGGE	D IN AS: adamwe
Los Ord	WA Com	ipany B G	eneral	Acco	unt (WA	1001-1(004)		
Home									
Contact Us	O The transfer	has been accepted	and the compli	ance instru	uments transferred	d to your accou	nt		
My User Profile			day for the						
Account Registration	instrument transfe	r from this account.	elect 'Initiate'	fransfer" fr	om the Holdings t	ange entity and lab. To view the	account representative transfer history for th	is account, select	the Transfers tab.
Representative Reports	Account Number	r	WA1001-10	004					
Nepresentative Neponta	Account Type		General						
Glossary	Account Status		Active						
	Account Balance	•	30,915						
	Available Accourt	nt Balance	30,915						
	Account Detai	4							
	Account Detai	4							
	Account Detai	4							
	Account Detai	4 Transfers							
	Account Detail Holdings Vintage	Transfers Jurisdiction	Туре	Sub- Type	Offset Type	Offset Project ID	Special Category	Quantity	Initiate Transfer
	Account Detail Holdings Vintage 2015	Transfers Jurisdiction Washington State	Type Offset	Sub- Туре	Offset Type Livestock Projects	Offset Project ID WA2015- 1	Special Category Direct Environmental Denefis in the State Not On Tribal Land	Quantity 615	Initiate Transfer Initiate Transfer
	Account Detail Holdings Vintage 2015 2016	Transfers Jurisdiction Washington State Washington State	Type Offset Offset	Sub- Type	Offset Type Uvesteck Projects Ozone Depleting Substances Projects	Offset Project ID WA2015-1 WA2016-1	Special Category Direct Environmental Henefis in the State Not On Tribal Land Direct Environmental Benefis in the State and On Tribal Land	Quantity 615 300	Initiate Transfer Initiate Transfer
	Account Detail Holdings 2015 2016 2023	Transfers Jurisdiction Washington State Washington State	Type Offset Offset	Sub- Type	Offset Type Livestock Projects Ozone Depleting Substances Projects	Offset Project ID WA2015-1 WA2016-1	Special Category Direct Environmental Benefits in the State Not On Tribal Land Direct Environmental Benefits in the State and On Tribal Land	Quantity 615 300 30,000	Initiate Transfer Initiate Transfer Initiate Transfer
	Account Detail Holdings 2015 2016 2023	Transfers Jurisdiction Washington State Washington State	Type Offset Offset Allowance	Sub- Type	Offset Type Livestock Projects Ozone Depleting Substances Projects	Offset Project ID WA2015-1 WA2016-1	Special Category Direct Environmental Benefits in the State Not On Tribal Land Direct Environmental Benefits in the State and On Tribal Land	Quantity 615 300 30,000	Initiate Transfer Initiate Transfer Initiate Transfer Initiate Transfer Initiate Transfer

Under the TRANSFERS tab of the General Account, the transfer status will be changed to "Complete."

	CITSS	Compliance Inst Tracking System	tument Service	English	• Français • LO	GGED IN AS: adamwest			
Log Dut	WA Company	B Genera	I Account (W/	\1001-1004)					
Contact Us	The transfer has been a	ccepted and the con	pliance instruments transfer	red to your account					
My User Profile Account Registration	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.								
Representative Reports	Account Number	WA1001	-1004						
	Account Type Account Status	General							
Geossery	Account Balance	30,915							
	Available Account Balance	30,915							
	Account Detail								
	Holdings Transfers]							
	Transfer Even ID Date	t Status	Transferring Account Name	Receiving Account Name	Quantity Proposed	Quantity Transferred			
	153668 2023- 14	03- Complete	Entity A, Corp (WA4376-5556)	WA Company B (WA1001-1004)	5,000	5,000			
	Fig. 33	: Entity Ge	eneral Accoun	t. transfers ta	b				

Transfer History

Account representatives can view an entity's transfer history for all accounts or by individual account⁶.

Transfer History for All Accounts

- Step 1. Log into CITSS
- Step 2. Select "Representative Reports" from the left side menu
- **Step 3.** Select "Continue" for the "Transfer History" Report under Transfer and Balance Reports

WCI, Inc.	CITSS Compared to the second	English • Français • LOGGED IN AS: username
og Out	Representative Reports	
ome ontact Us by User Profile ccount Registration epresentative Reports ilossary	This page allows a user to view or download Representative Reports. Representat accounts. Most Representative Reports are configurable, allowing users to select transfers. The Transfer Event Audit Report lists more detailed information about ea- Entity Monthly Statement provides a statement of account balances and transfers. Report lists the true-up quantity assigned by year. The Compliance Obligations Re- compliance obligations. The Compliance Obligation (Data Export) Report presents Report provides a list of compliance instruments that can be used during a selecte current or past notifications. To prepare a Representative Report, select the "Confir screen to select criteria for the selected report.	Ive Reports provide information to support user management of CITSS criteria for custom reports. The Transfer History lists compliance instrument on transfer. The Entity Account Balance Report lists account balances. The The Emissions Report presents facility emissions. The True Up Quantity port allows access to detailed information and status for current or past approved compliance obligations. The Eligible Instruments for Retirement d obligation period. The Notifications Report provides information about nue' button in the Action column on the right. CITSS will open a report
	Transfer and Balance Reports	
	Report Name	Action
	Transfer History	Continue
	Transfer Event Audit Report	Continue
	Entity Account Balance Report	Continue
	Enlity Monthly Statement	Continue
	Event Reports	
	Depart Name	Action
	Event Applications	Continue
	Compliance Reports	
	Report Name	Action
	Emissions	Continue
	True-Up Quantity	Continue
	Compliance Obligations	Continue
	Compliance Obligations (Data Export)	Continue
	Eligible Instruments for Retirement	Continue
	Notifications	Continue

⁶ "Individual account" refers to account types, such as a holding account, compliance account, or LUHA.

On the report page, an account representative can filter and refine search results for transfers conducted across all accounts. Account representatives can search by:

- Transfer ID
- Status (see Transfer Statuses section above for a description of different statuses)
- Transfer Type
- Transferring Account Name
- Transferring Account Number
- Transferring Account Type
- Receiving Account Name
- Receiving Account Number
- Receiving Account Type
- Event Date From
- Event Date To
- Results per Page

Select "Search" to generate results. Select "Clear" to erase search criteria.

WCl. Inc	CITSS 📟	Itance Instrument English • Français • LOGOED IN AS: usemame Ig System Service
Log Dut	Transfer History fo	or All Accounts
Home Contact Us My User Profile	This page lists all compliance instrument instrument transfer. Compliance instrum	nt transfers for your accounts. Select the Transfer ID number to view more details on the individual compliance tents are not transferred in CITSS until the transfer status is listed as "Complete."
Language Description	Transfer ID	
Representative Reports	Status	Approved Cancelied Complete v
Glossary	Transfer Type	Administrative Compliance Consignment •
	Transferring Account Name	
	Transferring Account Number	
	Transferring Account Type	(c) Annual Atlocation Holding (g) Annual Allocation Holding Allocation
	Receiving Account Name	
	Receiving Account Number	
	Receiving Account Type	(c) Annual Allocation Holding (g) Annual Allocation Holding Allocation
	Event Date From	V V V
	Event Date To	
	Results per page	10 🗸
	Search Clear	

The table below the search criteria can be exported as a CSV or Excel file. If search criteria is entered, the exported CSV or Excel file will contain only the refined results.

Transfer ID	Event Date	Status	Transfer Type	Transferring Account Name	Transferring Account Type	Receiving Account Name	Receiving Account Type	Quantity
153632	2023-02- 08 17:03:06 EST	Complete	General - OTC <= 3 Days	Entity A, Corp (WA4376-5556)	General	WA Company A (WA1000- 1000)	General	5,000
<u>153637</u>	2023-02- 08 14:34:03 EST	Proposed	Voluntary Retirement	Entity A, Corp (WA4376-5556)	General	Washington State (WAJ985- 984)	Retirement	5,000
153636	2023-02- 08 14:29:39 EST	Proposed	Limited Use Holding	Entity A, Corp (WA4376-5556)	General	Entity A, Corp (VIA4376- 5558)	Limited Use Holding	5,000
153635	2023-02- 08 14:18:50 EST	Proposed	Compliance	Entity A, Corp (WA4376-5556)	General	Entity A, Corp (WA4376- 5557)	Compliance	5,000
153634	2023-02- 08 13:31:10 EST	Proposed	General - Exchange	Entity A, Corp (WA4376-5556)	General	WA Company A (WA 1000- 1000)	General	5,000
153633	2023-02- 08 13:04:43 EST	Proposed	General - OTC > 3 Days/Multiple/Combined	Entity A, Corp (WA4376-5556)	General	WA Company A (WA 1000- 1000)	General	5,000
153629	2023-02- 08 11:40:59 EST	Cancelled	General - OTC <= 3 Days	Entity A, Corp (WA4376-5556)	General	WA Company A (WA 1000- 1000)	General	50
153631	2023-02- 08 11:40:42 EST	Complete	Jurisdiction	Washington State (WAJ985- 989)	Issuance	Entity A, Corp (V(A4376- 5556)	General	600,000
153628	2023-02- 07 11:23:10 EST	Complete	Compliance	Entity A, Corp (WA4376-5556)	General	Entity A, Corp (WA4376- 5557)	Compliance	1,000
<u>153623</u>	2023-01- 15 18:25:59 EST	Complete	Limited Use Holding	Entity A, Corp (WA4376-5556)	General	Entity A, Corp (VIA4376- 5558)	Limited Use Holding	54
1 2 Nex	1					CSV	Excel 1-10	of 14 record

Transfer History for One Account

- **Step 1.** Log into CITSS
- Step 2. Select "View" for the account to review on the CITSS homepage under My Accounts
- **Step 3.** Select the Transfers Tab

Transfers for an individual account cannot be filtered. Entire transfer histories for individual accounts can be exported as either CSV or Excel.

WCI. Inc.	CITS	SS 🛛	mpliance Inst cking System	rument Service	Englis	h • Français • LO	GGED IN AS: user
Log Out	Entity A,	Corp G	eneral /	Account (WA	4376-5556)		
Home Contact Us My User Profile	Your account inform instrument transfer	nation is provide from this accourt	d below. Select nt, select "Initia	t "Account Defail" to view o te Transfer" from the Holdi	r change entity and account ngs tab. To view the transfer	representative information history for this account, or	on. To initiate a compl select the Transfers ta
Annual Devictoria	Account Number		WA4376	-5556			
Account Registration	Account Type		General				
Representative Reports	Account Status		1.093.94	50			
Glossary	Available Account	Balance	1,068,95	50			
	Account Detail	1					
	Holdings	Transfers					
			CT-T-T-	Town of other	a contra	Conception 1	0
	1D 1D	Date	Status	Account Name	Account Name	Proposed	Quantity Transferred
	153632	2023-02- 08	Complete	Entity A, Corp (WA4376-5556)	WA Company A (WA1000-1000)	-5,000	-5,00
	153637	2023-02- 08	Proposed	Entity A, Corp (WA4376-5556)	Washington State (WAJ985-984)	-\$,000	
	153636	2023-02-08	Proposed	Entity A, Corp (WA4376-5556)	Entity A, Corp (WA4376-5558)	-5,000	
	153635	2023-02-	Proposed	Entity A, Corp (WA4376-5556)	Entity A, Corp (WA4376-5557)	-5,000	
	153634	2023-02-	Proposed	Entity A, Corp	WA Company A	-5,000	
	153633	2023-02-	Proposed	Entity A, Corp	WA Company A	-5,000	
	153629	2023-02-	Cancelled	Entity A, Corp	WA Company A	-500	
	153631	2023-02-	Complete	(WA4376-5556) Washington State	(WA1000-1000) Entity A, Corp	600,000	600,00
	153628	08 2023-02-	Complete	(WAJ985-989) Entity A, Corp	(WA4376-5556) Entity A, Corp	-1,000	-1.00
	153623	2023-01-	Complete	(WA4376-5556) Enbty A. Corp	(WA4376-5557) Entity A. Corp	-50	.5
	153633	15	Complete	(WA4376-5556)	(WA4376-5558)	-1 500 000	-1 500.00
	122944	15	Comprete	(WA4376-5556)	(WAJ985-987)	-2,900,000	-2,300,00
	153618	2023-01-	Complete	(WA4376-5556)	(WA4376-5557)	-17,000,000	-17,000,00
	153617	2023-01- 13	Complete	Washington State (WA3985-989)	Entity A, Corp (WA4376-5556)	20,000,000	20,000,00

Transfer Details

Transfer details are provided by the Transfer ID from either the Transfer History Report or the Transfers Tab for individual accounts.

The details page shows all events involved in transfer process with time and date stamps. CITSS operates on Eastern Time (ET). All times shown are in ET.

All account representatives of both entities involved in a transfer can view any comments left during the transfer process . The names of account representatives are not disclosed, but the name and account numbers of the transferring and receiving accounts are available.



Log Out Home Contact Us

Glossary

My User Profile

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Compliance Instrument Transfer Detail

CITSS Sector CITSS

Detailed transfer information for this transfer, identified by the unique Transfer ID, is provided below. The status of this transfer request (Proposed, Approved, Accepted) is dependent on which steps in the transfer process have been completed by the account representatives for the transferring and receiving entities. The transfer request must be Approved by midnight (Eastern Time) of the second calendar day following the transfer proposal. The request can only be Approved by a different account representative than the individual that proposed the transfer request. The transfer request must be Accepted by an account representative of the receiving entity by midnight (Eastern Time) of the third calendar day following the transfer proposal.

Account Registration

Account Number	WA4376-5556
Account Type	General
Transfer ID	153632
Type	General - OTC <= 3 Days
Compliance Instrument	2023 Allowance
Transfer Status	Complete ?
Agreement Date	2023-02-08
Expected Termination Date	
Expected Termination Date Not Specified	Yes
Price	\$25.00
Currency	USD
If the price is \$0.00, transfer	
Quantity	5,000

Accounts

	Transferring Account	Receiving Account
Legal Name	Entity A, Corp	WA Company A
Operating Name	Entity A	WA Operating Company A
Account Number	WA4376-5556	WA1000-1000
Account Type	General	General

Ti	rar	ารก็	er	Ev	en	t H	list	tor	y

Event	Event Date	Comment	Action By
Proposal	2023-02-08 12:32:49 EST		User Name
Approval	2023-02-00 16:57:29 EST		Ann Wilson
Acceptance	2023-02-08 17:03:06 EST		
Completion	2023-02-06 17:03:06 EST		

Back

Fig. 38: Transfer Detail Page, completed transfer

Resources

CITSS New User Registration and User Profile Management Guide <u>CITSS Entity Account Application Guide</u> CITSS Entity Account Management Guide <u>CITSS homepage</u> <u>CITSS support webpage</u> Auction Platform Guide <u>WCI Auction Platform</u> <u>Ecology CCA Auctions and Market webpage</u> Ecology Climate Commitment Act webpage

If you have additional questions, please contact us at <u>RegistrarCCA@ecy.wa.gov</u> or 360-407-6296.

Appendices

Appendix A - Access to CITSS

Registered users can access CITSS at <u>https://www.wci-citss.org</u>. Take note of the information in the **GUIDELINES FOR USE** section of the CITSS home page.

- Do not use your browser's back arrow.
- Do not switch between English and French.
- Use a compatible web browser (Microsoft Edge, Firefox, Safari, Chrome, and Opera)
- Storing CITSS user names and passwords in your browser makes your account less secure.
- Please avoid using your browsers "autofill" function as this may result in improper data entry and return errors.

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