

User Manual – Volume 7

# REGISTRATION FOR GOVERNMENT SALES

CITSS Compliance Instrument Tracking System Service

**November 2024**

**The Québec Cap-and-Trade System for Greenhouse Gas  
Emission Allowances**

**Coordination and drafting**

This publication was produced by the Carbon Market Division of the Ministère de l'Environnement, de la Lutte contre les changements climatiques, de la Faune et des Parcs (MELCCFP). It was produced by the Direction des communications of the MELCCFP.

**For information, call:**

Phone: 418 521-3830, option 2  
1-833-522-0935 (toll-free), option 2

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## HISTORICAL BACKGROUND OF NEW FEATURES

<b>Date</b>	<b>Section</b>	<b>Changes</b>
February 2019	All	Updating of the figures
February 2019	All	Reorganization of the manual's sections
February 2019	All	Adjustment of various sections of the text
July 2021	3.1.4 and 3.3.6	Updating figure 8 and 19
November 2022	3.3.6	Updating figure 19. Adding a note at the end of the section.
November 2024	Multiple sections	Overall content review, toll free phone number and extensions modified

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## ACRONYMS, INITIALISMS AND DEFINITIONS

<b>Auction Administrator</b>	Contractor providing auction and sale by mutual agreement by the Minister administrative services to participating jurisdictions
<b>Auction Platform</b>	Electronic platform through which allowance auctions and sale by mutual agreement by the Minister are conducted
<b>CITSS</b>	Compliance Instrument Tracking System Service
<b>CSV</b>	Comma Separated Values (format)
<b>Emitter</b>	Any person covered by Section 2 or Section 2.1 of the <i>Regulation respecting a cap-and-trade system for greenhouse gas emission allowances</i>
<b>Financial Services Administrator</b>	Contractor providing financial services administration for auctions and sales by mutual agreement by the Minister
<b>Ministry</b>	Ministère de l'Environnement, de la Lutte contre les changements climatiques, de la Faune et des Parcs
<b>Reserve Sale</b>	Sale by mutual agreement by the Minister (SBMA)
<b>WCI, Inc.</b>	Western Climate Initiative, Inc.

# 1. Introduction

The *CITSS User Manual* was developed to support Compliance Instrument Tracking System Service (CITSS) users who must carry out various actions under the Québec government's GHG emission cap-and-trade (C&T) system.

The system's numerous functions include the issuance by the government of emission allowances, recording of the ownership of emission allowances and account information, performing and recording of emission allowance transfers and the verification of compliance. It also allows entities to register for government sales.

The *CITSS User Manual* is divided into seven volumes developed specifically according to the types of operations that users will have to perform in the system:

- Volume 1    User Registration
- Volume 2    User Profile Management
- Volume 3    Opening an Account
- Volume 4    Account Management
- Volume 5    Emission Allowance Transfers
- Volume 6    Compliance Management
- Volume 7    Registration for Government Sales**

Additional volumes and updated versions will be published where warranted.

## 1.1. Access to CITSS

CITSS can be directly accessed at <https://www.wci-citss.org>.

The CITSS home page is the point of entry to carry out any operation in the system. To have access to user profiles, open an account and access accounts for which the user is a representative, users must, if they already have a valid user ID, click on "Login" in the left-hand menu and enter their personal access information (user ID and password). To obtain a user ID, please refer to Volume 1 of the *CITSS User Manual*.

### General Guidelines

- CITSS is compatible with the main web browsers, but certain functions differ slightly from one browser to the next. Compatible browsers are listed on the CITSS website home page.
- As a security precaution, it is recommended to delete the browsing history if other people use the computer on which a profile has been created or on which CITSS has been used. It is also recommended to clear the browser cache upon completion of each CITSS session.
- CITSS is accessible 24 hours a day, seven days a week (except during periodic maintenance).

## 2. “Auction” Tab

Registration for auctions and sales by mutual agreement by the Minister with the CITSS system is mainly done on the “Auction tab” of the “Account Details” page. To access the “Account Details” page of an entity, click on its name in the “Name” field of the “My Accounts” box on the User home page (Figure 1). Then click on the “Auction” tab to display its content (Figure 2).

Figure 1: User Home Page: My Accounts

Welcome to WCI CITSS

Last successful login: 2018-11-21 16:09:32 EST  
Last failed login: 2015-11-26 16:10:45 EST

Log Out  
Home  
Contact Us  
My User Profile  
Account Registration  
Representative Reports  
Glossary

My Accounts

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
<a href="#">Entreprise QC01124</a>	Dénomination commerciale QC01124	General	QC01124-41655	Québec	Active	<a href="#">View</a>
<a href="#">Entreprise QC01124</a>	Dénomination commerciale QC01124	Compliance	QC01124-61654	Québec	Active	<a href="#">View</a>

2 records

The “Auction” tab contains three sections: “Auction and Reserve Sale Information”, “Initiate Event Participation” and “Current and Future Vintage Purchase Limit %”.



Figure 2: "Auction" Tab

Log Out

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My User Profile

Account Registration

Representative Reports

Glossary

## T1QCEmetteurD

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

General
Contact Information
Representatives
Account Viewing Agents
Holding Limits
Auction
Facilities

### Auction and Reserve Sale Information

By selecting the "Auction and Reserve Sale Information" box below, you are agreeing to have your entity name, entity contact information, account numbers, representative names, representative phone numbers, and representative email addresses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator for the purpose of facilitating your entity's participation in any upcoming auction or reserve sale. You may disable the "Auction and Reserve Sale Information" option if you wish to stop sharing your entity's information with the Auction and Reserve Sale Administrator and Financial Services Administrator. Information will continue to be shared with the Auction and Reserve Sale Administrator and Financial Services Administrator if an application to participate in an auction or reserve sale is submitted.

NOTE: Only covered and opt-in entities are eligible to participate in reserve sales.

<b>Auction and Reserve Sale Information</b>	<input checked="" type="checkbox"/>
Updated By	T1QC UserA
Last Updated	2019-05-05 23:14:48 EDT

Submit

### Initiate Event Participation

The "Initiate Event Participation" button displays if there is an upcoming event that is open for applications. The "View Event Applications" button shows if the entity has submitted any applications for past or current events.

To participate in an event, select the "Initiate Event Participation" button to prepare new application information or resubmit application information as confirmation of intent to bid for an upcoming event. Select the "View Event Applications" button to view applications for past and upcoming events or to edit existing application information for an upcoming event.

Initiate Event Participation

### Current and Future Vintage Purchase Limit %

Each entity in the Cap-and-Trade program is assigned a Current Vintage Purchase Limit percentage and a Future Vintage Purchase Limit percentage (shown below). The number of current vintage allowances that may be purchased at a given auction is the Current Vintage Purchase Limit percentage multiplied by the number of current vintage allowances being offered at the auction. The number of future vintage allowances that may be purchased at a given auction is the Future Vintage Purchase Limit percentage multiplied by the number of future vintage allowances being offered at the auction. These purchase limits do not consider the balances of allowances in an entity's accounts, and consequently the holding limit may be more restrictive than the purchase limit.

If an entity is part of a Corporate Association Group (CAG), the purchase limit percentages assigned to an individual entity may not be applicable because the purchase limits are shared among all members of the CAG according to the shares agreed to by the members of the CAG.

Current Vintage Purchase Limit %	25
Future Vintage Purchase Limit %	25
Last Updated	2019-12-13 16:50:59 EST

## 2.1 Initiating Event Participation

This section allows access to the page to register for government sales and the page to view active registration applications. Registration for an event and viewing of registration applications are described in detail in Section 3.

## 2.2 Current and Future Vintage Purchase Limits

This section provides information on the part of the emission units purchase limit at auctions. The purchase limit displayed for past and current vintage emission units applies to the sales of vintage emission units of the current year and past years, and the limit displayed for the future vintage applies to sales of emission units of the future vintage.

Pursuant to the *Regulation respecting a cap-and-trade system for greenhouse gas emission allowances*, at each auction, the total quantity of emission units available for purchase by a single bidder is limited, both for emission units of vintages of the current year or past years as well as for emission units of vintages of years subsequent to the current year. This limit is 25% of units auctioned off in the case of an emitter and 4% of units auctioned off in the case of a participant.

An entity that is part of a group of related entities may not benefit fully from the purchase limit displayed on the current tab, since the purchase limit of a group of related entities is divided among all its members. The limit applicable to each member of the group of related entities is indicated on the “Corporate Associates” tab of the “Account Details” page.

### 3. Registration for an Event

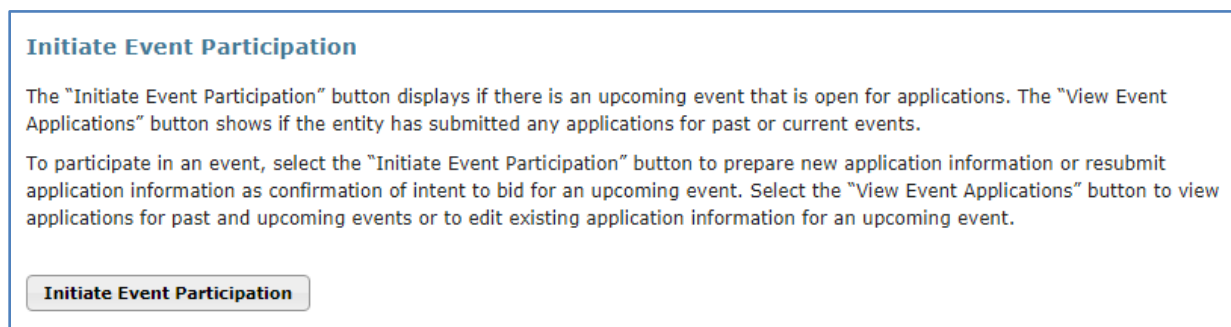
For each auction or sale by mutual agreement by the Minister in which an entity wants to participate, one of its representatives (its main account representative or an account representative) must submit a registration application with the CITSS system. The period of registration starts sixty (60) days before each sale, in other words, at the time when the notice is posted, and ends thirty (30) days before the event.

Are eligible to auctions emitters, legal person participants and natural person participants. Only emitters are eligible for sales by mutual agreement by the Minister.

The information provided by each entity in their registration application is kept in the CITSS system to make it easier to confirm their intent to participate in future events. Submitting a registration application and confirming intent to participate are similar processes, with the close difference that there is no need for the entity to enter again the information provided in their registration application when they confirm their intent to participate in an event.

The representative of an entity can submit a registration application and view submitted applications by clicking on the button of the “Initiate Event Participation” section on the “Auction” tab. The “Initiate Event Participation” button is only displayed if the registration period is open for a future event (Figure 3). It leads to the “Create Event Application/Confirm Existing Data for Event” page, described in detail in Sections 3.1 and 3.2 of this guide.

Figure 3: “Initiate Event Participation” Button



The “View Event Application” button (Figure 4) displays only after a past or future event registration application has been submitted. It leads to the “Initiate Event Participation” page, discussed in detail in Section 3.3 of this guide.

If registrations are open for a particular future event and the entity has already submitted a registration application for a past or future event, the two buttons will be displayed simultaneously (Figure 5).

Figure 4: “View Event Application” Button

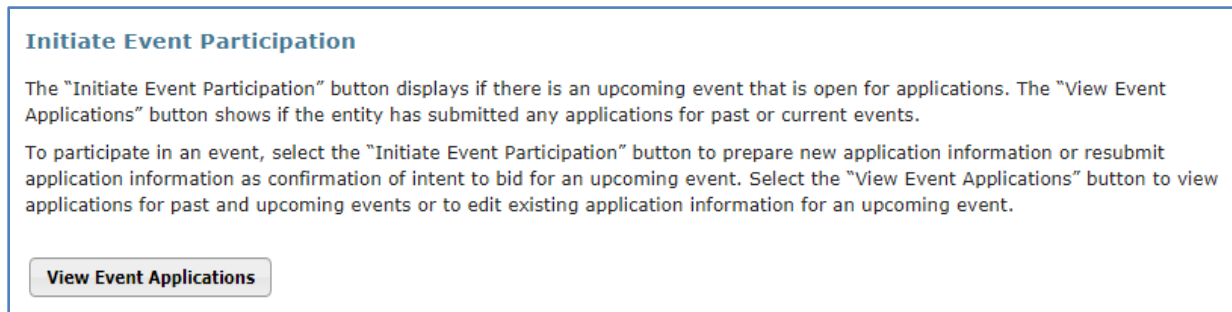
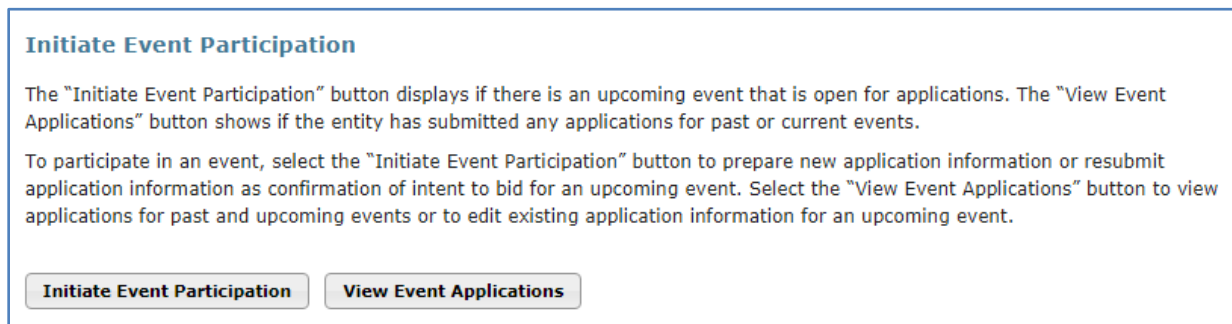


Figure 5: “Initiate Event Participation” and “View Event Application” Buttons



### 3.1 Submitting a First Registration Application to the CITSS System

In the “Auction” tab, the “Initiate Event Participation” button leads to the “Create Event Application/Confirm Existing Data for Event” page (Figure 6) to submit a first registration application.

This page contains six sections: “Event Application Information”, “Forms of Bid Guarantee”, “Bid Guarantee Return Instructions - Cash Bid Guarantee”, “Bid Guarantee Return Instructions - Bid Guarantee Instrument”, “Attestation” and “Confirm and Submit”.

Please note that the two “Bid Guarantee Return” sections are not shown in Figure 6. If the JavaScript function of the Web browser used is activated, these sections will be displayed or not depending on the selections made in Section “Forms of Bid Guarantee”. If the JavaScript function is not activated, all the sections are displayed by default.

The mandatory fields are marked with an asterisk (\*). A question mark (?) indicates a help section, which provides explanations on specific fields. To view them, place the mouse cursor over the question mark. A series of links available above the “Event Application Information” section simplifies browsing the sections, with each containing a link to go back to the top of the page.

Figure 6: "Create Event Application/Confirm Existing Data for Event" Page

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## Create Event Application/Confirm Existing Data for Event

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

[Bid Guarantee](#)   [Attestation](#)   [Submit](#)

### Event Application Information

CITSS Entity ID	QC3042
Legal Name	T1QCEmetteurD
Operating Name	T1QCEmetteurD
Event	* -- Select --

### Forms of Bid Guarantee

Currency \* -- Select --

Please select one or more forms of bid guarantee:

Cash

Letter of Credit

Letter of Guarantee

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### Attestation

Section 10, paragraph 6 of the Regulation respecting a cap-and-trade system for greenhouse gas emission allowances (chapter Q-2, r. 46.1) requires all account representatives of entities holding accounts in the Compliance Instrument Tracking System Service (CITSS) to declare any conviction for a criminal offence or an offence to in section 13 of the Regulation respecting a cap-and-trade system for greenhouse gas emission allowances (chapter Q-2, r. 46.1) from the 5 years prior to the submission of the information and documents. Account representatives are also required to declare that they have not been convicted of any infraction of sections 28 to 31 of the Regulation respecting a cap-and-trade system for greenhouse gas emission allowances (chapter Q-2, r. 46.1), of any tax law, of the Derivatives Act (chapter F-14.01) or its regulations, or of the Securities Act (L.R.Q., c. V-1.1) or its regulations, unless they have been cleared of charges or obtained a pardon. In addition, account representatives must declare any finding of guilt by a foreign court of any criminal act or offense related to the attestation in question that, had they occurred in Canada, would have resulted in criminal or legal proceedings.

Selecting "Yes" to this Attestation Response indicates that the representative understands the requirements of section 10, paragraph 6 and sections 28 to 31 of the Regulation respecting a cap-and-trade system for greenhouse gas emission allowances (chapter Q-2, r. 46.1) and attests that he or she has been **found guilty** of an infraction related to any tax act, the Derivatives Act (chapter F-14.01) or its regulations, or the Securities Act (L.R.Q., c. V-1.1) or its regulations, unless he or she has been cleared of charges or obtained a pardon, or has been convicted in a foreign court of an infraction of a related law or regulation that, had it occurred in Canada, would have resulted in criminal or legal proceedings.

Selecting "No" to this Attestation Response indicates that the representative understands the requirements of section 10, paragraph 6 and sections 28 to 31 of the Regulation respecting a cap-and-trade system for greenhouse gas emission allowances (chapter Q-2, r. 46.1) and attests that he or she has **not been found guilty** of an infraction related to the described types of acts and their regulations in Canada or been the subject of criminal or legal proceedings for infractions of similar foreign laws and regulations.

Attestation Response \* -- Select --

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### Confirm and Submit

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

Password \*

### 3.1.1 Event Application Information

The “Event Application Information” section contains the CITSS Entity ID, the legal name and operating name of the entity, and an “Event” drop-down menu allowing to select the event application. The “Event” drop-down menu only contains the events with an open registration period for which the entity is eligible.

### 3.1.2 Selecting the Forms of Bid Guarantee

The “Forms of Bid Guarantee” section allows to select the currency and the forms of bid guarantee that the entity intends to provide. Entities registered with the Quebec system may select “CAD” (Canadian dollar) or “USD” (American dollar) in the case of a joint auction or simply “CAD”, in the case of a sale by mutual agreement by the Minister.

One or more forms of bid guarantee may be selected. If the “Cash” form of bid guarantee is selected, the accounts representative must provide the information needed to return the unused amount to pay the awarded units in the “Bid Guarantee Return Instructions - Cash Bid Guarantee” section. If the “Letter of Credit” or “Letter of Guarantee” form of bid guarantee is selected, the accounts representative must provide the information required in the “Bid Guarantee Return Instructions - Bid Guarantee Instrument” section.

### 3.1.3 Bid Guarantee Return Instructions - Cash

The “Bid Guarantee Return Instructions - Cash Bid Guarantee” section is shown in Figure 7.

The following fields are mandatory: “Beneficiary Bank Name”; “Beneficiary Bank Routing Number” or “Beneficiary Bank Routing Number”; “Beneficiary Account Name”; “Beneficiary Account Number”; “Re-enter Beneficiary Account Number” and “Last four characters of the Beneficiary Account Number”. Once the registration application is submitted, only the last four characters of the beneficiary’s account number will be displayed. If an intermediary financial institution is needed to return funds to the entity, the following fields must be completed: “Last four characters of the Beneficiary Account Number” and “Intermediary Bank Routing Number” or “Intermediary Bank Routing Number”.

A SWIFT or BIC code must be provided for any international fund transfer. But such a code is not required if the beneficiary’s financial institution and Financial Services Administrator both operate in the same country.

The main purpose of the “Beneficiary Account Name” field is to simplify transfers by the beneficiary’s financial institution. For instance, the entity’s legal name may be entered.

Please note that if the “Cash” box in the “Forms of Bid Guarantee” section is unchecked after the fields are completed, all the information entered in the fields of the “Bid Guarantee Return Instructions - Cash Bid Guarantee” section will be deleted. But if the “Cash” box is checked again, the empty fields will have to be completed once more.

Figure 7: "Bid Guarantee Return Instructions - Cash Bid Guarantee" Section

### Bid Guarantee Return Instructions - Cash Bid Guarantee

If cash is selected as a form of bid guarantee, instructions must be provided for return of funds via wire transfer. Cash bid guarantee return instructions require, at a minimum, the following fields: Beneficiary Bank Name, Beneficiary Bank Routing Number or SWIFT/Bank Identifier Code (BIC), Beneficiary Account Name, Beneficiary Bank Account Number (entered twice for confirmation), and the last four characters of the Beneficiary Bank Account Number. Once the application is submitted, only the last four characters will be displayed for confirmation.

#### Beneficiary Bank Information

Beneficiary Bank Name	*	<input type="text"/>
Beneficiary Bank Routing Number (ABA Routing Number or Canadian Routing Number)		<input type="text"/> ?
Beneficiary Bank SWIFT/Bank Identifier Code (BIC)		<input type="text"/> ?
Beneficiary Account Name	*	<input type="text"/> ?
Beneficiary Account Number	*	<input type="text"/> ?
Re-enter Beneficiary Account Number	*	<input type="text"/> ?
Last four characters of the Beneficiary Account Number	*	<input type="text"/>
Payment Detail		<input type="text"/>
Beneficiary Bank City		<input type="text"/>
Beneficiary Bank State/Province		-- Select --
Beneficiary Bank Region – if not a Canadian Province or U.S. State		<input type="text"/>
Beneficiary Bank Country		-- Select --

#### Intermediary Bank Information

If return of funds to the entity requires an Intermediary Bank, then additional information specific to the Intermediary Bank is required, including Intermediary Bank Name and Intermediary Bank Routing Number or Intermediary Bank SWIFT/BIC.

Intermediary Bank Name	<input type="text"/>
Intermediary Bank Routing Number (ABA Routing Number or Canadian Routing Number)	<input type="text"/> ?
Intermediary Bank SWIFT/Bank Identifier Code (BIC)	<input type="text"/> ?

#### Financial Contact Information

Name	<input type="text"/>
Company	<input type="text"/>
Title	<input type="text"/>
Telephone	<input type="text"/>
Email	<input type="text"/>

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### 3.1.4 Bid Guarantee Return Instructions – Bid Guarantee Instrument

To ensure the physical return of bid guarantee instruments, all the fields must be completed, except for the Return Region field if the region is located in a Canadian province or a state member of the United States (Figure 8). Please note that postal office boxes are not allowed, because the acknowledgment of receipt must be signed for security purposes.

If the “Letter of Credit” or “Letter of Guarantee” box in the “Forms of Bid Guarantee” section is unchecked after the fields are completed, all the information entered in the fields of the “Bid Guarantee Return Instructions - Bid Guarantee Instrument” section will be deleted. But if one of these boxes is checked again, the empty fields will have to be completed once more.

Figure 8: “Bid Guarantee Return Instructions - Bid Guarantee Instrument” Section

**Bid Guarantee Return Instructions - Bid Guarantee Instrument**

Instructions must be provided for the return of a bid guarantee instrument, regardless of the method of delivery of the bid guarantee instrument. All fields must be completed. The mailing address must not be a Post Office (PO) Box address. The return of a physical bid guarantee requires a signature for security and confirmation of receipt. The Financial Services Administrator will return electronic bid guarantee instruments by replying to the email to which the bid guarantee instrument was attached.

Name of a contact individual *	<input type="text"/>
Physical Return Address (PO Box not allowed) *	<input type="text"/>
Return City *	<input type="text"/>
Return Postal Code *	<input type="text"/>
Return State/Province	-- Select --
Return Region – if not a Canadian Province or U.S. State	<input type="text"/>
Return Country *	-- Select --
Return Contact Phone Number *	<input type="text"/>

### 3.1.5 Attestation

In the “Attestation” section, the requisite attestation must be submitted by selecting “Yes” or “No” from the drop-down menu (Figure 9).

By clicking on “Yes”, the accounts representative confirms understanding the requirements and attests having been found guilty of an offence under the laws listed in the text. By clicking on “No”, the representative confirms understanding the requirements and **having not been found guilty** of any offence under the laws listed in the text.

Figure 9: “Attestation” (Quebec entities) Section

**Attestation**

Section 10, paragraph 6 of the Regulation respecting a cap-and-trade system for greenhouse gas emission allowances (chapter Q-2, r. 46.1) requires all account representatives of entities holding accounts in the Compliance Instrument Tracking System Service (CITSS) to declare any conviction for a criminal offence or an offence to in section 13 of the Regulation respecting a cap-and-trade system for greenhouse gas emission allowances (chapter Q-2, r. 46.1) from the 5 years prior to the submission of the information and documents. Account representatives are also required to declare that they have not been convicted of any infraction of sections 28 to 31 of the Regulation respecting a cap-and-trade system for greenhouse gas emission allowances (chapter Q-2, r. 46.1), of any tax law, of the Derivatives Act (chapter I-14.01) or its regulations, or of the Securities Act (L.R.Q., c. V-1.1) or its regulations, unless they have been cleared of charges or obtained a pardon. In addition, account representatives must declare any finding of guilt by a foreign court of any criminal act or offense related to the attestation in question that, had they occurred in Canada, would have resulted in criminal or legal proceedings.

Selecting “Yes” to this Attestation Response indicates that the representative understands the requirements of section 10, paragraph 6 and sections 28 to 31 of the Regulation respecting a cap-and-trade system for greenhouse gas emission allowances (chapter Q-2, r. 46.1) and attests that he or she has been **found guilty** of an infraction related to any tax act, the Derivatives Act (chapter I-14.01) or its regulations, or the Securities Act (L.R.Q., c. V-1.1) or its regulations, unless he or she has been cleared of charges or obtained a pardon, or has been convicted in a foreign court of an infraction of a related law or regulation that, had it occurred in Canada, would have resulted in criminal or legal proceedings.

Selecting “No” to this Attestation Response indicates that the representative understands the requirements of section 10, paragraph 6 and sections 28 to 31 of the Regulation respecting a cap-and-trade system for greenhouse gas emission allowances (chapter Q-2, r. 46.1) and attests that he or she has **not been found guilty** of an infraction related to the described types of acts and their regulations in Canada or been the subject of criminal or legal proceedings for infractions of similar foreign laws and regulations.

Attestation Response \*

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### 3.1.6 Confirming and Submitting

To submit a registration application, the accounts representative must enter his or her CITSS system password in the “Confirm and Submit” section, then click on the “Confirm” button (Figure 10). By doing so, he or she agrees to share the information available in the “Event Application Information” section and the information about the bid guarantee with the Auction Administrator and the Financial Services Administrator.

The accounts representative may click on the “Cancel” button to cancel an application. However, all the information entered in the application will be deleted and the representative will be redirected to the “Auction” tab.

Figure 10: “Confirm and Submit” Section

**Confirm and Submit**

Selecting the “Confirm” button submits event application information for the selected event. By selecting the “Confirm” button, you agree to have the entity name, entity contact information, account numbers, representative names, representative phone numbers, bid guarantee information, and representative email addresses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator for the purpose of facilitating participation in the selected event.

Password \*

## 3.2 Submitting Subsequent Applications

The CITSS system saves the information provided with the last approved registration application (the status of the registration is “Qualified Bidder”) for each type of event (auction and sale by mutual agreement by the Minister) to pre-fill subsequent applications.

If the return instructions for the entity’s bid guarantee have not changed since its last approved application, the accounts representative only has to select the type of event, provide the answer in the “Attestation” section, enter his or her password and click on the “Confirm” button to submit the new application.

The last four characters of the account number are pre-filled using the characters available in the Financial Services Administrator’s files (i.e. those of the last approved registration application).

The CITSS system does not save the account numbers of beneficiaries once their application is submitted to the Financial Services Administrator and the sale is concluded. To submit a pre-filled application, the beneficiary’s accounts representative must leave the “Beneficiary Account Number” field empty if this number has not changed since the last application. This field only needs to be filled if this number must be changed. If such is the case, the representative must also fill the “Re-enter Beneficiary Account Number” and “Last four characters of the Beneficiary Account Number” fields.

## 3.3 Viewing and Editing a Registration Application

Current and past registration applications can be found on the “Event Applications” page. To access the page, select “Representative Reports” in the main menu and, once in the “Event Reports” section, click on the “Continue” button on the “Event Applications” report line (Figure 11). This page can also be accessed by clicking on the “View Event Application” button located on the “Auction” tab of the “Account Details” page (Figure 5 and Figure 6).

Figure 11: “Event Applications” Report

**Representative Reports**

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

**Transfer and Balance Reports**

Report Name	Action
Transfer History	<a href="#">Continue</a>
Transfer Event Audit Report	<a href="#">Continue</a>
Entity Account Balance Report	<a href="#">Continue</a>
Entity Monthly Statement	<a href="#">Continue</a>

**Event Reports**

Report Name	Action
Event Applications	<a href="#">Continue</a>

### 3.3.1 Viewing Registration Applications

This page allows the accounts representatives of an entity to view registrations for current or past auctions and sales by mutual agreement by the Minister (Figure 12) by selecting the appropriate tab at the top of the page. The events switch from the “Current” tab to the “Past” tab when the date of the event has passed.

Applications are shown in the form of a table at the bottom of the page. A function of the table allows searching per type of event, name of event, date of event, CITSS entity identification number, legal name or registration status. The table values can also be sorted by ascending or descending order by clicking on the column titles. To display the other pages, simply click on the numbers at the bottom left of the screen.

The “Clear” button allows to delete the content of all the search fields and display all the applications in the table.

The “CSV” or “Excel” hyperlinks allow to explore the entire table in any format.

To access the “Event Application Detail” page, click on the hyperlink in the “Application Status” column corresponding to the sale to be viewed.

Figure 12: "Event Applications" Page

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## Event Applications

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

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

Current Past

**Event Type**

**Event Name**

**Event Date From**

**Event Date To**

**CITSS Entity ID**

**Entity Legal Name**

**Application Status**

**Results per page**

Event Type	Event Name	Event Date	CITSS Entity ID	Entity Legal Name	Application Status	Updated Date/Time
Auction	Test CA QC Auction (En)	2019-09-28	QC997	Quebec Power Corp.	<a href="#">Applicant</a>	2015-12-01 16:00:00 EST
Auction	Test QC Auction (En)	2019-10-02	QC997	Quebec Power Corp.	<a href="#">Applicant</a>	2015-12-01 16:00:00 EST

[CSV](#) [Excel](#) 2 records

### 3.3.2 Registration Application Status and Email Notice

Registration applications are associated to one of the following entity statuses:

- **Applicant:** The application was submitted by an account representative;
- **Qualified Applicant:** The participant's bid guarantee was accepted by the Financial Services Administrator;
- **Qualified Bidder:** The application was approved by the participating government;
- **Rejected:** The application was rejected by the participating government;
- **Cancelled:** The application was cancelled by an account representative.

When the status of an application is changed, all the accounts representatives concerned receive an email from the CITSS system with "CITSS Event Application Update" on the subject line. Likewise, when the account number or the application bid guarantee information change, all the participants' accounts representatives receive an email from the CITSS system with "CITSS Event Financial Services Information Update" on the subject line.

### 3.3.3 Viewing Registration Application Details

To access the "Event Application Detail" page (Figure 13), click on the hyperlink in the "Application Status" column corresponding to the event in question, as indicated in Section 3.1.1. This page provides the following information regarding the selected registration application: event application information, forms of bid guarantee, applicable bidding limitation data, bid guarantee return instructions, attestation response and status history.

Figure 13: "Event Application Detail" Page

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## Event Application Detail

[Edit Application](#)

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

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

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

[Generate Financial Services Instructions](#)

### Event Application Information

Event	Test CA QC Auction (En)
Event Application Period Status	Open
CITSS Entity ID	QC41118
Entity Legal Name	Entreprise QC41118
Entity Operating Name	
General Account Number	QC41118-61635
General Account Status	Active
Active PAR	Prénom31397 Nom31397
Active AARs	
Event Application Status	Applicant
Submitted By	Prénom31397 Nom31397
Submitted Date/Time	2019-01-30 13:43:10 EST

### Forms of Bid Guarantee

Currency	CAD
Form(s) of Bid Guarantee to be Submitted	Cash Letter of Credit

### Bidding Limitation Data

Cash Bid Guarantee Value	
Physical Bid Guarantee Value	
Total Bid Guarantee	

### Bid Guarantee Return Instructions - Cash Bid Guarantee

#### Beneficiary Bank Information

Beneficiary Bank Name	Bank ABCD
Beneficiary Bank Routing Number (ABA Routing Number or Canadian Routing Number)	123456789
Beneficiary Bank SWIFT/Bank Identifier Code (BIC)	
Beneficiary Account Name	Desrosiers Properties
Last four characters of the Beneficiary Account Number	4321

Payment Detail

Beneficiary Bank City	
Beneficiary Bank State/Province	
Beneficiary Bank Region	
Beneficiary Bank Country	

#### Intermediary Bank Information

Intermediary Bank Name	
Intermediary Bank Routing Number (ABA Routing Number or Canadian Routing Number)	
Intermediary Bank SWIFT/Bank Identifier Code (BIC)	



Figure 13: “Event Application Detail” Page (cont’d)

**Intermediary Bank Information**

Intermediary Bank Name

Intermediary Bank Routing Number  
(ABA Routing Number or Canadian Routing Number)

Intermediary Bank SWIFT/Bank Identifier Code (BIC)

**Financial Contact Information**

Name

Company

Title

Telephone

Email

**Bid Guarantee Return Instructions - Physical Bid Guarantee**

Contact Name                      Hugh Rose

Return Address                      100, Melcc avenue

Return City                              Citssville

Return Postal Code                      A1A 2B2

Return State/Province                      Québec

Return Region

Return Country                              Canada

Return Contact Phone Number                      5145551234

**Attestation**

Attestation Response                      No

**Event Application Status History**

Application Status	Updated By	Updated Date/Time
Applicant	Prénom31397 Nom31397	2019-01-30 13:43:10 EST

## Bidding Limitation Data

Bidding limitation data are presented on the “Event Application Detail” page. These data include total bid guarantee, the holding limits for current and future vintage allowances and the purchase limits for current and future auctions (Figure 14).

The bid guarantee values on this page are those that have been accepted by the Financial Services Administrator.

The holding limit is the maximum number of emission units likely to be held by a single entity. The holding limit is calculated separately for current and future vintage emission unit auctions. Emission units already held by the entity and, where applicable, the part of the holding limit allowed to the entity if it is part of a group of related entities are considered in the values presented on this page.

Account balances and exemption data available in the CITSS system at 12 p.m. (noon) (ET) / 9 a.m. (PT) the eve of a particular event are considered in holding limits applicable to that event. Before that time, holding limit data displayed on this page reflect the account

balances in the CITSS system in real time. After that time, they remain fixed.

The purchase limit indicates the maximum number of emission units that an entity can purchase during a sale. The limit is calculated separately for current and future vintage emission unit auctions. The quantity of auctioned off units and, where applicable, the part of purchase limit allowed to the entity if it is part of a group of related entities are considered in the values presented on this page.

Figure 14: “Bidding Limitation Data” Page

<b>Forms of Bid Guarantee</b>	
Currency	CAD
Form(s) of Bid Guarantee to be Submitted	Letter of Guarantee
<b>Bidding Limitation Data</b>	
Cash Bid Guarantee Value	
Physical Bid Guarantee Value	\$220,000,000.00
Total Bid Guarantee	\$220,000,000.00
Holding Limit Current Vintage Allowances	11953750
Holding Limit Future Vintage Allowances	0
Purchase Limit Current Auction	4000
Purchase Limit Future Auction	20000

### 3.3.4 Editing a Registration Application

The accounts representative of an entity can edit a registration application any time before the end of the registration period. The “Edit Application” button (Figure 15) at the top of the “Event Application Detail” page provides access to the “Edit Event Application” page (Figure 16) during the registration period. The accounts representative makes the edits needed on this page, enters his or her password and clicks on the “Resubmit” button at the bottom of the page.

Figure 15: "Edit Application" Button

## Event Application Detail

Edit Application

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

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

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

Figure 16: "Edit Event Application" Page

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### Edit Event Application

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

[Bid Guarantee](#) | [Bid Guarantee Cash](#) | [Bid Guarantee Physical](#) | [Attestation](#) | [Submit](#)

#### Event Application Information

CITSS Entity ID	QC41118
Legal Name	Entreprise QC41118
Operating Name	
Event Name	Test CA QC Auction (En)

#### Forms of Bid Guarantee

Currency \* CAD

Please select one or more forms of bid guarantee:

Cash

Letter of Credit

Letter of Guarantee

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#### Bid Guarantee Return Instructions - Cash Bid Guarantee

If cash is selected as a form of bid guarantee, instructions must be provided for return of funds via wire transfer. Cash bid guarantee return instructions require, at minimum, the following fields: Beneficiary Bank Name, Beneficiary Bank Routing Number or SWIFT/Bank Identifier Code (BIC), Beneficiary Account Name, Beneficiary Bank Account Number (entered twice for confirmation), and the last four characters of the Beneficiary Bank Account Number. Once the application is submitted, only the last four characters will be displayed for confirmation.

#### Beneficiary Bank Information

Beneficiary Bank Name \* Bank ABCD

Beneficiary Bank Routing Number (ABA Routing Number or Canadian Routing Number) 123456789 ?

Beneficiary Bank SWIFT/Bank Identifier Code (BIC)  ?

Beneficiary Account Name \* Desrosiers Properties ?

Beneficiary Account Number \*  ?

Re-enter Beneficiary Account Number \*  ?

Last four characters of the Beneficiary Account Number \* 4321

Payment Detail

Beneficiary Bank City

Beneficiary Bank State/Province -- Select --

Beneficiary Bank Region -- if not a Canadian Province or U.S. State

Beneficiary Bank Country -- Select --



Figure 16: "Edit Event Application" Page (cont'd)

**Intermediary Bank Information**

If return of funds to the entity requires an Intermediary Bank, then additional information specific to the Intermediary Bank is required, including Intermediary Bank Name and Intermediary Bank Routing Number or Intermediary Bank SWIFT/BIC.

Intermediary Bank Name

Intermediary Bank Routing Number (ABA Routing Number or Canadian Routing Number)  ?

Intermediary Bank SWIFT/Bank Identifier Code (BIC)  ?

**Financial Contact Information**

Name

Company

Title

Telephone

Email

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**Bid Guarantee Return Instructions - Physical Bid Guarantee**

If a physical form of bid guarantee is selected, instructions must be provided for return of the bid guarantee. To provide physical bid guarantee return instructions, all fields must be completed. The mailing address cannot be a Post Office (PO) Box address. The return of a physical bid guarantee requires a signature for security and confirmation of receipt.

Name of a contact individual \*

Physical Return Address (PO Box not allowed) \*

Return City \*

Return Postal Code \*

Return State/Province

Return Region – if not a Canadian Province or U.S. State

Return Country \*

Return Contact Phone Number \*

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**Attestation**

Section 10, paragraph 6 of the Regulation respecting a cap-and-trade system for greenhouse gas emission allowances (chapter Q-2, r. 46.1) requires all account representatives of entities holding accounts in the Compliance Instrument Tracking System Service (CITSS) to declare any conviction for a criminal offence or an offence in section 13 of the Regulation respecting a cap-and-trade system for greenhouse gas emission allowances (chapter Q-2, r. 46.1) from the 5 years prior to the submission of the information and documents. Account representatives are also required to declare that they have not been convicted of any infraction of sections 28 to 31 of the Regulation respecting a cap-and-trade system for greenhouse gas emission allowances (chapter Q-2, r. 46.1), of any tax law, of the Derivatives Act (chapter I-14.01) or its regulations, or of the Securities Act (L.R.Q., c. V-1.1) or its regulations, unless they have been cleared of charges or obtained a pardon. In addition, account representatives must declare any finding of guilt by a foreign court of any criminal act or offense related to the attestation in question that, had they occurred in Canada, would have resulted in criminal or legal proceedings.

Selecting "Yes" to this Attestation Response indicates that the representative understands the requirements of section 10, paragraph 6 and sections 28 to 31 of the Regulation respecting a cap-and-trade system for greenhouse gas emission allowances (chapter Q-2, r. 46.1) and attests that he or she has been **found guilty** of an infraction related to any tax act, the Derivatives Act (chapter I-14.01) or its regulations, or the Securities Act (L.R.Q., c. V-1.1) or its regulations, unless he or she has been cleared of charges or obtained a pardon, or has been convicted in a foreign court of an infraction of a related law or regulation that, had it occurred in Canada, would have resulted in criminal or legal proceedings.

Selecting "No" to this Attestation Response indicates that the representative understands the requirements of section 10, paragraph 6 and sections 28 to 31 of the Regulation respecting a cap-and-trade system for greenhouse gas emission allowances (chapter Q-2, r. 46.1) and attests that he or she has **not been found guilty** of an infraction related to the described types of acts and their regulations in Canada or been the subject of criminal or legal proceedings for infractions of similar foreign laws and regulations.

Attestation Response \*

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Selecting the "Resubmit" button submits event application information for the selected event. By selecting the "Resubmit" button, you agree to have the entity name, entity contact information, account numbers, representative names, representative phone numbers, bid guarantee information, and representative email addresses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator for the purpose of facilitating participation in the selected event.

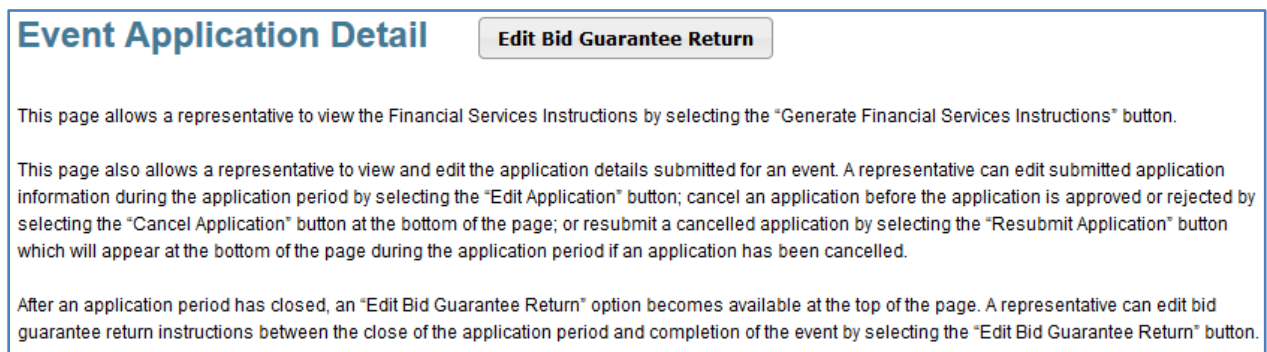
Password \*

### 3.3.5 Editing Bid Guarantee Return Instructions

Bid guarantee return instructions can be edited during or after the registration period. To do so before the end of the registration period, follow the process explained in the previous section (Section 3.3.4).

To edit bid guarantee return instructions after the registration period, click on the “Edit Bid Guarantee Return” button located at the top of the “Event Application Detail” page (Figure 17). The “Edit Bid Guarantee Return” page is similar to the “Edit Application” page, but it only allows editing forms of bid guarantee and guarantee return instructions. The accounts representative makes the edits needed on this page, enters his or her password and clicks on the “Resubmit Application” button at the bottom of the page.

Figure 17: “Edit Bid Guarantee Return” Page



### 3.3.6 Instructions to Submit a Bid Guarantee

These instructions provide all the information needed to submit a bid guarantee, including the financial services account number. This number must be indicated when the bid guarantee is submitted to the Financial Services Administrator, along with the bank transfer or mailing instructions.

Click on the “Generate Financial Services Instructions” button on the “Event Application Detail” page (Figure 18) to access the “Auction and Reserve Sale Financial Services Delivery Instructions” page (Figure 19).

Figure 18: “Generate Financial Services Instructions” Button

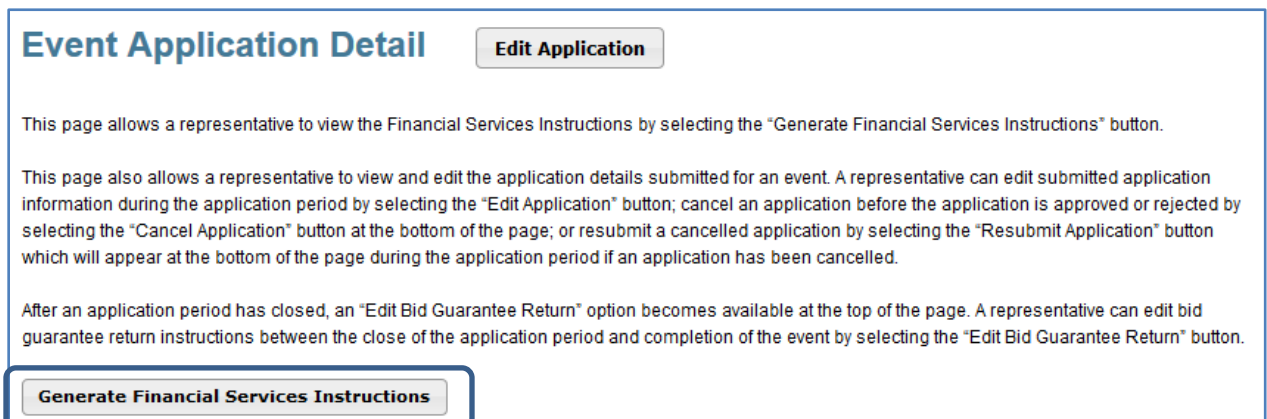


Figure 19: "Auction and Reserve Sale Financial Services Delivery Instructions" Page

**Instructions for Wiring USD**

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

**Instructions for Wiring CAD**

Intermediary Bank Name	Royal Bank of Canada
Intermediary Bank SWIFT/Bank Identifier Code (BIC)	ROYCCAT2
Beneficiary Bank Name	Deutsche Bank AG Francfort
Beneficiary Street Address	
Beneficiary City, Province/State	
Branch Transit Number	
Beneficiary Bank IBAN or Account Number	DE28500700100959163708
Beneficiary Bank SWIFT/Bank Identifier Code	DEUTDEFF
Beneficiary Bank Account Name	DBTCA for DBNTC as FSA for WCI, Inc.
Payment Details	WCI Auction FBO Quebec

Figure 20: “Auction and Reserve Sale Financial Services Delivery Instructions” Page (cont’d)

Instructions for Bid Guarantee Instrument	
Beneficiary	Deutsche Bank National Trust Company, DBTCA for DBNTC as FSA for WCI, Inc.
<b>Mailing Address</b>	
Name	Auction and Reserve Sale Financial Services Administrator
C/O	DBTCA, Attn: Tai Bill Lee
Address 1	60 Wall Street, 24th Floor
Address 2	Mail Stop: NYC60-2409
City	New York
State/Province	New York
Postal Code	10005-2836
<b>Directions</b>	
Please include your CITSS Entity Legal Name or Individual Name if a General Market Participant, Individual, and Financial Services Account Number when submitting the bid guarantee forms. For questions on bid guarantee submittal or the financial settlement process, please contact Deutsche Bank National Trust Company at <a href="mailto:db.wcisupport@db.com">db.wcisupport@db.com</a> . For additional contact information, please see the Auction Notice.	
Instructions for Electronic Delivery (Email)	
If the issuing bank elects to submit an electronic bid guarantee instrument, the issuing bank must include the below quoted statement in the email to which an electronic PDF bid guarantee instrument is attached. The issuing bank should copy bank representatives that will cancel the electronic bid guarantee as instructed by the beneficiary. The FSA will cancel the electronic operative instrument by replying to the email to which the electronic bid guarantee was attached.	
“This [Letter of Credit or Letter of Guarantee] signed by the issuing bank is legally valid and enforceable. The issuing bank is transmitting this [Letter of Credit or Letter of Guarantee] to the beneficiary by electronic transmission (PDF via email) to <a href="mailto:DB.WCISUPPORT@DB.COM">DB.WCISUPPORT@DB.COM</a> . For the avoidance of doubt, any electronic PDF version of this [Letter of Credit or Letter of Guarantee] received by the beneficiary shall be the operative instrument and may be used by the beneficiary as it would a hardcopy original. The beneficiary is able to submit a draw request on the operative instrument. In addition, when applicable, the beneficiary will reply to all addressees on this email to confirm cancellation of the electronic operative instrument. The Reply email will serve as the return of the bid guarantee.”	

It should be noted that the “Financial Services Account Number” and “Port” fields remain empty until the Financial Services Administrator creates or verifies the financial services account. When changes are made to this account number, all the accounts representatives involved receive an email with “CITSS Event Financial Services Information Update” as subject line from the CITSS system.

**Note: Information on the figure is displayed for user guide purpose only. Always refer to information displayed in CITSS when submitting a financial guarantee.**

### 3.4 Cancelling a Registration Application

A registration application can be cancelled before it is approved or refused. Simply click on the “Cancel Application” button at the bottom of the “Event Application Detail” page (Figure 21). A confirmation message pops up (Figure 22). Click on “Yes” to cancel the registration application or “No” to go back to the “Event Application Detail” page without



cancelling the registration application.

Figure 21: “Cancel Application” Button

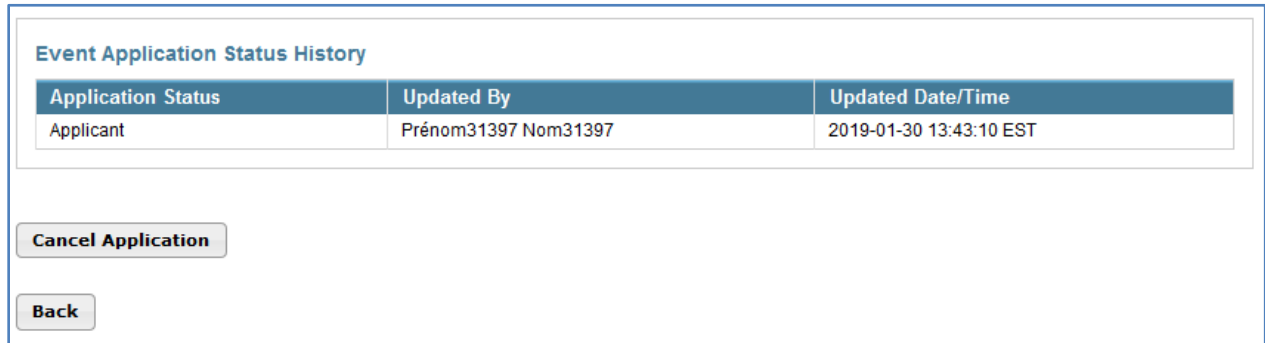
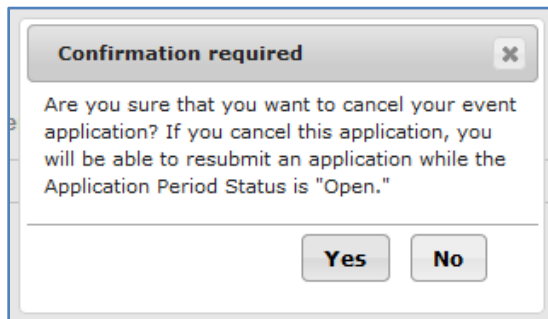


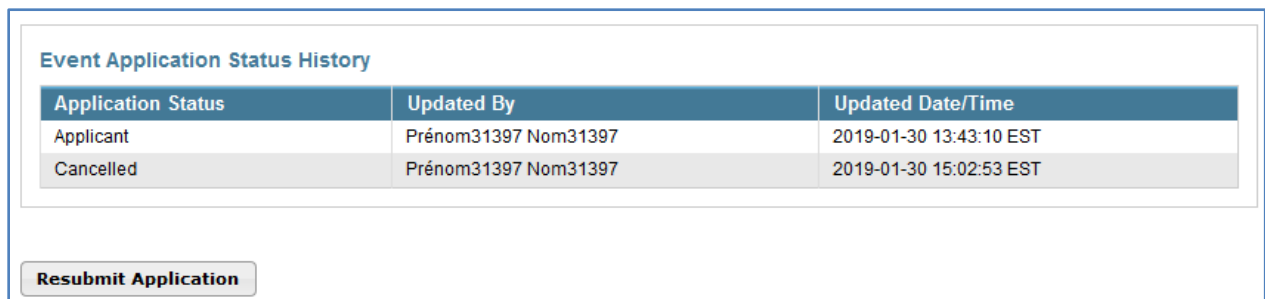
Figure 22: Confirming the Cancellation of a Registration



### 3.4.1 Resubmitting a Registration Application

If the application is cancelled before the end of the registration period, the “Resubmit Application” button pops up at the bottom of the “Event Application Detail” page (Figure 23), allowing to submit it again. The application is resubmitted exactly as it is displayed on the “Event Application Detail” page without any possibility for the accounts representative to make edits.

Figure 23: “Resubmit Application” Button



### 3.4.2 Editing and Resubmitting a Registration Application

To edit a cancelled registration application before submitting it again during the registration period, click on the “Edit Application” button located at the top of the “Event Application Detail” page. The “Edit Event Application” page (Figure 16) will be displayed.

Make the edits needed and click on the “Resubmit” button at the bottom of the page. The application will be submitted as edited.

## 4. CITSS Support Services

For questions concerning registrations or participation in auctions or sales by mutual agreement by the Minister, please refer to the Ministère de l’Environnement, de la Lutte contre les changements climatiques, de la Faune et des Parcs website with a section on auctions or sales by mutual agreement by the Minister, at the following addresses:

<https://www.environnement.gouv.qc.ca/changements/carbone/Ventes-encheres-en.htm>

<https://www.environnement.gouv.qc.ca/changements/carbone/Ventes-gre-ministre-en.htm>

Several useful documents are available on those websites, including:

- Auction notices
- Detailed instructions and requirements (for auctions)
- Auction examples
- Sale by mutual agreement by the Minister notices
- Detailed instructions and requirements (for sales by mutual agreement by the Minister)
- Sales by mutual agreement by the Minister examples

You can also contact the auction support services by calling 418-521-3868, option 2 or toll-free at 1-833-522-0935, option 2 or by emailing at:

[EncheresGES-qc@environnement.gouv.qc.ca](mailto:EncheresGES-qc@environnement.gouv.qc.ca).



**Environnement,  
Lutte contre  
les changements  
climatiques,  
Faune et Parcs**

**Québec** 