



August 5, 2011

**To: Market Participants and Interested Persons**

**Re: Information Document # 2010-002R Becoming a Pool Participant**

The AESO has prepared the attached revised information document to assist market participants in the process of becoming a pool participant.

Sincerely

Mike Law  
Vice-President, Operations

**Comments/Questions**

If you have any comments or questions about the information in this document please contact:

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Market participants are advised that the contents of this information document are for information purposes only and are intended to provide guidance. Information document content is subject to change from time to time. For an understanding of the governing legal and binding requirements and obligations on any referenced subject matter, please consult the actual authoritative document language within the relevant ISO rules, ISO tariff and reliability standards.

### **1) Purpose**

This information document supports section 201.1 of the ISO rules. The purpose of this document is to provide guidance to a market participant intending to participate in the Alberta energy market, or the ancillary services market, thereby, becoming a pool participant.

### **2) Energy Market Participant Support**

The AESO recommends that an applicant contact a member of the Energy Market Participant Support team prior to submitting the pool participant application and the related documentation listed below. Energy Market Participant Support team contact information can be found at the end of this information document.

### **3) How to Become a Pool Participant**

**It is recommended that the applicant contact a member of the Energy Market Participant Support team two/three months in advance of the in service date.**

#### **a) Commission Site Permit**

All applicants must submit a completed Pool Participant Application. If applying to the AESO as the legal owner of a generating unit, an applicant must also submit a copy of the Commission site permit and a copy of a single line diagram.

#### **b) Pool Participant Application**

Complete the [Pool Participant Application](#).

The sections below are cross referenced to the sections of the *Pool Participant Application* and will guide the applicant on how to complete the application.

#### Section 1 - Applicant

Enter the name of the market participant applying for registration as a pool participant. In order to facilitate transactions in the power pool which require incorporation in Alberta or extra-provincial registration, the applicant must be properly registered to do business in Alberta as required by the *Business Corporations Act*;

#### Section 2 - Eligibility of Applicant

Indicate the category of market participant on which the application for pool participant registration is based.

- Owner of a generating unit
- Owner of an industrial system
- Ancillary service provider



- PPA buyer
- Retailer
- Market Segment
- Self-retailer
- Default supplier
- Marketer
- Other

Applicants should be aware that simply holding a contract for Demand Transmission Service or Supply Transmission Service does not require them to be a pool participant, it only provides them with access to the transmission system. The person exchanging electric energy through the power pool or providing ancillary services is the person that needs to be a pool participant.

#### Section 3 - Assets

Submit an [Asset Addition Form](#).

#### Section 4 - Prudential Requirements

An AESO credit analyst will contact the applicant to help determine the amount of security the applicant will be required to post with the AESO.

In accordance with the ISO rules Section 103.3 *Financial Security Requirements* an applicant is subject to a financial review by the AESO. The intent of the review is to assess the creditworthiness of an applicant in order to determine if the AESO should grant them an unsecured credit limit. The applicant must submit information reasonably requested by the AESO in order for the AESO to complete such assessment.

#### Section 5 - Metering and System Access Service Requirements

If the applicant applies to act as a marketer or a market participant wishing to directly connect to the transmission system the AESO will prepare a system access service agreement and provide it to the applicant for execution.

#### Section 6 - Agent Appointment Request Form

The AESO functions as the administrator of agency appointments whereby a pool participant may appoint an agent to represent it in dealings with the AESO. Section 3(2) of the Fair, Efficient and Open Competition Regulation ("FEOC Regulation") allows for certain exemptions from the prohibition against the sharing of records that are not available to the public. Among the exemptions are those affected through an AESO *Agency Appointment Request Form* related to an agency between affiliates, or between any two persons for the sole purpose of financial settlement. If a pool participant wishes to appoint an agent to act on its behalf in dealings with the AESO, and such relationship otherwise is disallowed by Section 3 of the FEOC Regulation, then the pool participant

will need to seek an order from the Commission before the AESO will approve of such a relationship, as contemplated under Section 3(3) of the FEOC Regulation.

In order to appoint an agent, a market participant must follow the process set out in subsection 1.8 of the ISO rules and submit an [Agent Appointment Request Form](#) as posted on the AESO website.

#### Section 7 – GST number

Provide GST Number unless GST exempt.

#### Section 8 – Annual Participation Fee

As per ISO rule Section 103.6 – *ISO Fees*, each year the AESO will bill each pool participant a participant fee of \$150.00 plus GST. The fee will appear on the December pool statement issued in January for the upcoming year.

#### Section 9 – Applicant Contact Information

The applicant must provide the following:

- a) Contact mailing address, phone and fax number
- b) Primary corporate contact for the Energy Trading System. This individual will be required to authorize all digital certificate requests, revocations or any contact information updates in the Energy Trading System
- c) Energy market financial settlement contact for the Energy Trading System.

#### Section 10 - Banking Information

The applicant must submit a [Request for Banking Information](#) to the Energy Market Participant Support team. The form must be signed by a corporate officer.

### **4) Asset Addition Form**

The applicant must fill out the appropriate asset addition form:

- [Generator Asset Addition Form](#) is required if the applicant is applying as the legal owner of a generating unit
- [Unmetered Asset Addition Form](#) is required if the applicant is applying as a marketer (importing or exporting power) or requesting virtual assets (no physical assets) located within the interconnected system for the purposes of registering net settlement instructions
- [Distribution Retail & Self-Retail Asset Addition Request Form](#) is required if the applicant is applying as a retailer or self-retailer
- [Transmission Retail & Self-Retail Asset Addition Request Form](#) is required if the applicant is applying for transmission connected load.
- If applying as an ancillary service provider, in addition to providing the pool application, request for banking information and ancillary services asset request form, the applicant must submit a single line diagram, an [Automated Dispatch and Messaging System](#)

[Form](#), and one or all of the forms within the following technical requirements depending on the type of service being provided (found on the AESO's website):

- a. [Technical Requirements for Provision of Regulating Reserves](#)
  - b. [Technical Requirements for Provision of Spinning Reserves](#)
  - c. [Technical Requirements for Provision of Supplemental Reserve by Loads](#)
  - d. [Technical Requirements for Provision of Supplemental Reserves by Generation Units](#)
- If applying as a marketer (importing/exporting power), in addition to providing the *Pool Application*, *Request For Banking Information*, *Unmetered Asset Addition Form* and *Automated Dispatch and Messaging System Form*, the applicant will also provide an [Application for Import or Export Service](#).
  - If applying as a marketer registering net settlement instructions the applicant must submit the *Pool Participant Application*, *Request For Banking Information*, and *Unmetered Asset Addition Form*. No *Automated Dispatch and Messaging System Form* is required.

## **5) Digital Certificate**

To ensure that the internet based communication between pool participants and the AESO is secure, pool participants must purchase a digital certificate to access the AESO's Energy Trading System. Digital certificates cost \$100.00 each, plus GST, per year. For every digital certificate requested the associated cost will appear on the applicable monthly pool statement. For security reasons, digital certificates require renewal on the anniversary date of the installation. An automatic notification, via email, one month prior to the annual renewal date is sent to pool participants. Digital certificates allow pool participants to access their invoices and reports specific to the assets registered under their profile in the Energy Trading System.

For more information on digital certificates review [Applying for a Digital Certificate](#).

The *Application Form for Digital Certificate* must be submitted to [cert.admin@aeso.ca](mailto:cert.admin@aeso.ca).

### **Applicant Information**

Indicate the name of the person who requires the digital certificate.

### **Participant Information**

Indicate the pool participant name exactly as it appears in the Energy Trading System.

The requests for digital certificates must be authorized by the corporate contact listed in the Energy Trading System. The participant list includes the corporate contact for all registered pool participants. The AESO will not approve digital certificates if the corporate contact names and pool participant names do not match.

### **User Access Levels Required for Individuals**

Indicate whether the individual will be granted “modify” or “view” only access to submission information, net settlement instructions and/or “view” only access for reports.

Once the [Application form for Digital Certificate](#) is completed submit the form to [cert.admin@aeso.ca](mailto:cert.admin@aeso.ca). The AESO will notify the pool participant, via email, when the digital ID is ready for pickup.

## **6) Disputes**

If the applicant is not satisfied with any AESO decision, it may use the processes set out in the ISO rules to resolve the matter.

## **7) Pool Participant Amendments**

The following information provides the pool participant guidelines on how to amend a *Pool Participant Application*. The documentation may be submitted via email with the original to follow via courier.

- a) Submit a *Generator Asset Addition Form* to amend or add assets. The request to add a new asset should come from the corporate contact. Alternatively, the corporate contact can be carbon copied on the request.
- b) Send an email notification to a member of the Energy Market Participant Support team, to request to amend company contact information in the Energy Trading System. The request should come from the corporate contact. Alternatively, the corporate contact can be copied on the request.
- c) Written notice for a company name change (i.e. corporate registry documents).
- d) For a change of asset from one registered ETS party to another provide a letter in writing that outlines the change, the parties involved and the effective date. The letter must be signed by an individual with signing authority for each party. Contact a member of the Energy Market Participant Support team for a letter template.
- e) To retire an asset the pool participant must provide the request in writing. This request should come from the corporate contact. Alternatively the corporate contact can be copied on the request.

## **8) Voluntary Termination of Registration by a Pool Participant**

A pool participant may voluntarily terminate its pool participant registration as provided in section 201.1, subsection 8 of the ISO rules by providing the request in writing and forwarding to the Energy Market Participant Support team.

All assets listed opposite the pool participant’s name in ETS must be retired or transferred to another registered party so that the outcome is to have the pool participant’s status changed from “active” to “inactive” in ETS.

### **Participant and Asset list**

The AESO maintains a list of all registered [Pool Participants](#). A pool participant’s name will remain on the list of pool participants until the AESO directs that it be removed.

The pool participant list contains the following information:



- i) Contact individual's name, phone number, mailing address, and fax number
- ii) Where applicable, the agent's name

The AESO will maintain an [Asset List](#). This list will contain every asset (source/generation or sink/consumption) and the pool participant to which the asset is registered in the Energy Trading System (ETS).



**Energy Market Participant Support Team**

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## Appendices

Appendix 1 – Pool Participant Application (revised)

## Revision History

Version	Effective Date	Description of Changes
2010-06	June 10, 2010	Addition of Appendices, update of ISO Fee Schedule
2010-09	September 17, 2010	Revised pool participant application
2011-02	February 9, 2011	Revised Digital Certificate link
2011-06	June, 2011	Updating links to various documents
2011-08	August, 2011	Updating links to various documents, removal of Appendix 2 – Prudential Requirement and ISO Fees. Addition of Appendix 2 – Financial Security Requirements and Appendix 3 – ISO Fees and Charges

### Comments/Questions

If you have any comments or questions about the information in this document please contact:

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Appendix 1

**POOL PARTICIPANT APPLICATION FORM**

1. Applicant

\_\_\_\_\_ (insert company name)  
(the "Applicant") hereby applies to the ISO to be registered as a pool participant.

2. Eligibility

The Applicant is applying for registration as a pool participant by virtue of its status as (check one or more as applicable):

- legal owner of a generating unit
- legal owner of an industrial system pursuant to the *Hydro and Electric Energy Act*
- ancillary service provider (system support services that include operating reserves, transmission must run, black start, and load shed scheme services)
- PPA buyer (In August 2000 government auctions rights to market generator output. Contracts to sell output were called Power Purchase Arrangements).
- retailer (competitive)
- retailer (regulated rate provider)
- self-retailer (buys electricity at wholesale prices directly from the Power Pool)
- marketer (an importer, exporter or person trading within Alberta, registering net settlement instructions)
- other (subject to specific ISO approval)\_\_\_\_\_ (provide details)

3. Assets

The Applicant has completed and attached the applicable [Asset Addition Form](#) available on the AESO website.

4. Prudential Requirements



The Applicant has reviewed and fully understands the prudential requirements of the ISO rules.

5. Metering and System Access Service Requirements

The Applicant intends to (check any that apply):

- Act as an importer and/or exporter.
- Receive transmission services from the ISO (and has obtained an *Electric Utilities Act* section 101 letter from the legal owner of the electric distribution system).

If either of these boxes is checked, the Applicant must obtain system access service in accordance with the ISO tariff.

6. Agent Appointment Request Form

The Applicant:

- Is appointing an agent and has attached a completed [Agent Appointment Request Form](#).
- or
- Is not appointing an agent.

7. GST Number

Exchanges in the power pool are transactions to which Goods and Services Tax (GST) applies. A GST registration number is required for the Applicant unless the Applicant is GST exempt.

- GST exempt.
- Not exempt and the Applicant's GST number is \_\_\_\_\_.

8. Annual Participation Fee

The Applicant has enclosed with this application its first annual pool participation fee in accordance with the [ISO Fee Schedule](#).

9. Applicant Contact Information

Address for Notices:  
Mailing Address:  
Main Telephone Number:



Main Fax Number:

Corporate Contact: (for purposes of the Energy Trading System ie: authorizing digital certificate requests and revocations, updates to contact information, address changes, etc.)

Contact Name:  
Telephone Number:  
Fax Number:  
Email Address:

Financial Settlement Contact:  
Contact Name:  
Telephone Number:  
Fax Number:  
Email Address:

10. Banking Information

The Applicant has completed and attached the [Request for Banking Information](#) form available on the AESO website.

DATED the \_\_\_\_ day of \_\_\_\_\_, 201 \_\_\_\_.

\_\_\_\_\_  
(Applicant Name)

Per: \_\_\_\_\_



Application has been approved.

DATED the \_\_\_\_\_ day of \_\_\_\_\_, 201\_\_.

PER: \_\_\_\_\_

*For AESO use only*

Application has been denied.

DATED the \_\_\_\_\_ day of \_\_\_\_\_, 201\_\_.

PER: \_\_\_\_\_



Appendix 2

[Financial Security Requirements](#)



Appendix 3

[ISO Fees and Charges](#)