

# ISO Rules

## Part 200 Markets

### Division 201 General

#### Section 201.1 Pool Participant Registration



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#### Applicability

- 1 Section 201.1 applies to:
  - (a) A **market participant**; and
  - (b) the **ISO**.

#### Requirements

##### Mandatory Registration as a Pool Participant

- 2 In order to exchange electric energy through the **power pool** or provide **ancillary services**, a **market participant** must be registered with the **ISO** as a **pool participant**.

##### Application by a Market Participant

- 3 A **market participant** seeking to register as a **pool participant** must provide the **ISO** with the following:
  - (a) a completed **pool participant** application form, available on the AESO website; and
  - (b) at the time of submitting the application, the non-refundable pool participation fee as set out in the *Schedule of ISO Fees*.

##### Registration Eligibility Criteria

- 4 The **ISO** must process a **pool participant** application from a **market participant** who has submitted the application form and fee referred to in subsection 3 and satisfied the following eligibility criteria:
  - (a) has provided any **financial information** and **financial security**, and has the ability to meet any **financial obligations** under the **ISO rules** as applicable to the **pool participant**;
  - (b) has an agreement with a **meter data manager**, **load settlement agent** or any other such **agent** or **person** the **ISO** otherwise approves to provide **metered energy** data to the **ISO** or, if the **market participant** intends to act as an importer, an exporter or both, has a valid **system access service** agreement with the **ISO**;
  - (c) has satisfied any outstanding **financial obligations** attributable to any previous **pool participant** registration; and
  - (d) in the case of an application to facilitate the provision of **ancillary services**, has entered into a contract to trade such products, either with the **ISO** or with an approved **agent** of trading services or both, and has met the technical requirements the **ISO** has set for the provision of **ancillary services**.

##### Receipt and Approval or Rejection of an Application

- 5(1) The **ISO** must acknowledge in writing the receipt of a **pool participant** application, including any supporting documents and the non-refundable pool participation fee within five (5) **business days** of the **ISO** receiving them.
- (2) The **ISO** must review the **pool participant** application and any supporting documents to ensure completeness, and may request additional clarification or information from the **market participant**.

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(3) Within twenty (20) **business days** of receiving the application, the **ISO** must process it and provide written notification to the **market participant** of approval or rejection of the application, or of any requested clarification or information deficiencies in the application, including any deficiencies regarding **financial information**, **financial security** or supporting documents.

(4) The twenty (20) **business day** review deadline date will be extended while the **ISO** is waiting for the **market participant** to provide any further information or clarification, or to remedy any deficiencies referenced in subsection 5(3), if applicable.

(5) If, in the **ISO's** opinion, the application is complete and the **market participant** has satisfied the eligibility requirements, then the **ISO** must approve the application.

(6) If the application is deficient, then the **ISO's** remedy is to reject it.

(7) If the **ISO** approves the application, then on the condition that the **pool participant** continues to meet the eligibility criteria set out in subsection 4, the registration remains in force and effect until December 31 of that same calendar year.

#### ISO Requirement to Maintain Lists

6 The **ISO** must maintain one or more lists containing current **pool participant** information including all **pool assets**, the status of such **pool assets**, the names of the **pool participant** associated with **pool assets** and any **agents**, and must make the lists available on the AESO website.

#### Pool Participant Registration Updates

7(1) A **pool participant** must provide updated information regarding its **pool participant** registration, its **agents** and its **pool assets** by following the procedures set out on the AESO website.

(2) The **ISO** must process updates to registration information:

- (a) within twenty (20) **business days** of receiving such information, if the update is one that requires the **pool participant** to meet additional technical requirements; or
- (b) within ten (10) **business days** of receiving such information if the update is not one that requires the **pool participant** to meet additional technical requirements.

#### Changes to a Load Asset in the Capacity Market

8 A **pool participant** for a load asset must ensure that the load asset provides:

- (a) a **firm consumption level** in the energy market, if the load asset is providing a **firm consumption level** in the capacity market for the **obligation period**; or
- (b) **guaranteed load reduction** in the energy market, if the load asset is providing **guaranteed load reduction** in the capacity market for the **obligation period**.

#### Failure of a Pool Participant to Continue to Meet Registration Requirements

9(1) At any point in time after initial registration, if the **ISO** has reason to believe that a **pool participant** has ceased to meet any eligibility criteria set out in subsection 4, then the **ISO** must notify the **pool participant** in writing of the matter and provide the **pool participant** an opportunity to explain the circumstances in writing.

(2) After reviewing the explanation, if the **ISO** continues to have reason to believe that the **pool participant** has ceased to meet the requirements of subsection 4, then the **ISO** may suspend or terminate the **pool participant's** registration, and may realize on any **financial security** to the extent of any **ISO** outstanding financial exposure which results from the suspension or termination of the

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registration.

(3) A **pool participant** who has had its registration suspended or terminated under this subsection 8 may dispute the **ISO's** decision under the dispute resolution provisions of section 103.2 of the **ISO rules**, with ultimate recourse to the **Commission** or the **Market Surveillance Administrator** as provided for in subsection 4(3) of section 103.2 of the **ISO rules**, *Dispute Resolution*.

(4) Notwithstanding subsection 7 of section 103.2 of the **ISO rules**, *Dispute Resolution*, the initiation of a dispute resolution process will stay the suspension or termination of the **pool participant's** registration pending the outcome of such dispute resolution process unless the **pool participant** is in default under section 103.7 of the **ISO rules**, *Financial Default and Remedies*.

#### Voluntary Termination of Registration by a Pool Participant

- 10 A **pool participant** who wishes to terminate its registration may do so by completing all of the following:
- (a) notifying the **ISO** in writing that it wishes to terminate its registration;
  - (b) requesting in writing that the **ISO** retire any of its **pool assets** identified on the **ISO** list of **pool assets**;
  - (c) specifying in the notice a date upon which it will cease to be a **pool participant**; and
  - (d) satisfying any outstanding **financial obligations** to the **ISO**.

#### Effect of Termination

11(1) A **pool participant** that is or may become liable under these **ISO rules** in connection with its activities as a **pool participant** remains liable after the date of termination of its registration and despite ceasing to be a **pool participant**.

(2) After the **ISO** has terminated a **pool participant** registration, it must release any related **financial security** to the **pool participant** no later than thirty (30) **days** after the date the last **financial obligations** of such **pool participant** are satisfied and to the extent there is no additional outstanding **financial obligation** exposure for or to the **ISO**.

#### Reinstatement of Registration

12 If the **ISO** terminates a **pool participant** registration or if a **market participant** previously has voluntarily terminated its registration under subsection 10, then the **market participant** must submit a new application for registration under this section 201.1 in order to once again become a **pool participant**.

#### Renewal of Registration

13 The **ISO** must renew a **pool participant's** registration effective each January 1<sup>st</sup> but, in addition to the provisions of subsection 8(2), may suspend or terminate it if the **pool participant** fails to pay the applicable non-refundable pool participation fee as invoiced on its December **power pool** statement issued in January.

#### Mandatory Retirement of an Asset

14 A **pool participant** must, if a **capacity market participant** submits a permanent delist notification in accordance with Section 201.15 of the **ISO rules**, *Delisting* for a **pool asset** associated with the **pool participant**, complete all of the following:

- (a) request in writing that the **ISO** retire the **pool asset** on the date specified in the permanent delist notification as soon as reasonably practicable; and

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- (d) satisfy any outstanding **financial obligations** to the **ISO** relating to the **pool asset**.

#### Revision History

Date	Description
XXXX-XX-XX	Update to add aggregation of guaranteed load reduction in subsection 8 and to add mandatory requirement of an asset in subsection 14.
2015-12-07	Update to add non-refundable to subsections 3, 5 and 12
2011-09-30	Supersedes September 16, 2010 version