

ISO Rules

Part 200 Markets

Division 201 General

Section 201.1 Pool Participant Registration



External Consultation Draft
August 31, 2018

Applicability

- 1 Section 201.1 applies to:
 - (a) an **electricity 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**, an **electricity market participant** must be registered with the **ISO** as a **pool participant**.

Application by an Electricity Market Participant

- 3 An **electricity 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 an **electricity 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 a **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 **electricity 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 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 **electricity market participant**.

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(3) Within 20 **business days** of receiving the application, the **ISO** must process it and provide written notification to the **electricity 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 20 **business day** review deadline date will be extended while the **ISO** is waiting for the **electricity 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 **electricity 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 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 10 **business days** of receiving such information if the update is not one that requires the **pool participant** to meet additional technical requirements.

Failure of a Pool Participant to Continue to Meet Registration Requirements

8(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 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 Section 103.2 of the **ISO rules**, *Dispute Resolution*.

(4) Notwithstanding 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

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Section 103.7 of the **ISO rules**, *Financial Default and Remedies*.

Voluntary Termination of Registration by a Pool Participant

- 9** 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

10(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 **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

11 If the **ISO** terminates a **pool participant** registration or if an **electricity market participant** previously has voluntarily terminated its registration under subsection 9, then the **electricity 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

12 The **ISO** must renew a **pool participant's** registration effective each January 1st 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.

Revision History

Date	Description
XXXX-XX-XX	Revised to clarify "market participant" as "electricity market participant" Administrative amendments
2015-12-07	Update to add non-refundable to subsections 3, 5 and 12
2011-09-30	Supersedes September 16, 2010 version