

## 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 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 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**.
- (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.

### 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 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

- 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 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

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

**12** 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 pool participation fee as invoiced on its December **power pool** statement issued in January.

### Revision History

Effective	Description
2011/09/30	Supersedes September 16, 2010 version