



## 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) the ability to meet all financial obligations under these **ISO rules** applicable to the **pool participant**, including compliance with any **prudential requirements**;
  - (b) has an agreement with a **meter data manager**, **load settlement agent** or any other such **agent** or **person** otherwise approved by the **ISO** 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 **prudential requirements** 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, the **ISO** must approve the application.
- (6) If the application is deficient, 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 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 **assets**, the status of such **assets**, the names of the **pool participant** associated with **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 **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, 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 **prudential requirements** security held by the **ISO** 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 102.2 of the **ISO rules**, with ultimate recourse to the **Commission** or the **Market Surveillance Administrator** as provided for in subsection 4(3) of section 102.2.

(4) Notwithstanding subsection 7 of section 102.2 of the **ISO rules**, 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 but only if the **pool participant** continues to meet all of its **prudential requirements**.

### **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 **assets** identified on the **ISO** list of **assets**;
- (c) specifying in the notice a date upon which it will cease to be a **pool participant**; and
- (d) satisfying any outstanding payment obligations to the **ISO** and other **prudential requirements**.

### **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 a **pool participant** registration has been terminated, the **ISO** must release any related **prudential requirements** securities to the **pool participant** no later than thirty (30) **days** after the date the last of such **pool participant's** financial obligations are satisfied and to the extent there is no additional outstanding financial 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
2010/09/16	