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**Market Manual 1: Market Entry,
Maintenance & Exit**

**Part 1.1: Participant
Authorization,
Maintenance & Exit**

Issue 27.0

This document provides detailed procedures to be followed by applicants who wish to become authorized as *market participants* in the *physical* and financial *IESO-administered markets*.

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This *market manual* may contain a summary of a particular *market rule*. Where provided, the summary has been used because of the length of the *market rule* itself. The reader should be aware, however, that where a *market rule* is applicable, the obligation that needs to be met is as stated in the “Market Rules”. To the extent of any discrepancy or inconsistency between the provisions of a particular *market rule* and the summary, the provision of the *market rule* shall govern.

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Table of Changes

Reference	Description of Change
Section 2.6.1	Updated Emergency Preparedness Plan submission criteria to reflect MR383. Added Restoration Participant Attachment heading and explanation.
Appendix A	Removed references to obsolete forms IMO-FORM-1145 and IMO-FORM-1270.

Market Manuals

The *market manuals* consolidate the procedures and associated forms, standards, and policies that define the operation of the various areas within the *IESO-administered markets*. *Market manuals* provide more detailed descriptions of the requirements for various activities than are specified in the *market rules*. Where there is a discrepancy between the requirements in a document within a *market manual* and the *market rules*, the *market rules* shall prevail. Standards and policies appended to, or referenced in, these procedures provide a supporting framework.

Market Procedures

“Market Entry, Maintenance & Exit Manual” is Volume 1 of the *market manuals*, where this document forms “Part 1.1: Participant Authorization, Maintenance & Exit”.

A list of the other component parts of the “Market Entry, Maintenance & Exit” *market manual* is provided in “Part 1.0: Market Entry, Maintenance & Exit Overview”, in Section 2, About This Manual.

Structure of Market Procedures

This *market manual* consists of the following contents:

1. **Introduction**, which contains general information about the procedure, including an overview, a description of the purpose and scope of the procedure, and information about roles and responsibilities of the parties involved in the procedure.
2. **Procedural Work Flow**, which contains a graphical representation of the steps and flow of information within the procedure.
3. **Procedural Steps**, which contains a table that describes each step and provides other detail related to each step.
4. **Appendices**, which may include such items as forms, standards, policies, and agreements.

Conventions

The *market manual* standard conventions are as defined in the “Market Manual Overview” document.

– End of Section –

1. Introduction

1.1 Purpose

Section 2 of this document is intended as a guide for *applicants* when submitting an application to the *IESO* to become authorized as a *market participant*. Section 3 is intended as a guide for authorized *market participants* who wish to *amend* information about their participation in the *IESO-administered markets*. Section 4 is intended as a guide for *market participants* who wish to withdraw from participation in the *IESO-administered markets*.

1.2 Scope

The overall Market Entry, Maintenance & Exit processes are comprised of three distinct process areas:

- “Participant Authorization, Maintenance and Exit”;
- “Facility Registration, Maintenance and De-registration”¹; and
- “Meter Point Registration and Maintenance”².

This procedure provides *market participants* and *applicants* planning to enter the *IESO-administered markets*, or to cause or permit electricity to be conveyed into, out of, or through the *IESO-controlled grid*, with a summary of the procedural steps required for the *market participant* authorization, maintenance and exit processes.

In addition, this procedure describes the process of registering the capability to trade using *boundary entities* for the purposes of importing and/or exporting *energy* and *operating reserve* into or out of the *IESO control area*.

Work flows and procedural steps described in this document will serve as a road map for *applicants* and the *IESO*. These work flows and procedural steps reflect the requirements set out in the *market rules* for the *market participant* authorization, maintenance and exit processes. The overview information in Subsection 2.1 is provided for context purposes only, highlighting the main actions that comprise the procedure.

¹ For information about the *facility* registration process, see “Market Manual 1: Market Entry, Maintenance & Exit, Part 1.2: Facility Registration, Maintenance and De-registration”.

² For information about the wholesale *meter* registration process, see “Market Manual 3: Metering, Part 3.2 Meter Point Registration and Maintenance”.

1.3 Overview

Overviews of each sub-procedure (Participant Authorization, Participant Maintenance and Participant Exit) are provided in their respective sections.

1.4 Roles and Responsibilities

Responsibility for *market participant* authorization, maintenance and exit activities is shared between the *applicant* and the *IESO*, as follows:

Applicant

- read and comply with the *market rules* pertaining to market participation;
- download the relevant authorization application material from the *IESO* Web site;
- submit authorization application, application fee, certificate of status (Canada) or Articles of Incorporation (US), supporting documentation, and supplementary information, as set out in Section 3;
- execute all applicable agreements pertaining to the *market participant* authorization process;
- identify the types of *prudential support* to be provided to meet its *prudential support obligation* as calculated by the *IESO*;
- post *prudential support* as determined by the *IESO*;
- review *IESO* entries into the registration system to ensure their accuracy and notify the *IESO* if they are not;
- submit *responses* to *IESO* requests for missing information or clarifications;
- respect the timelines stipulated in the *market rules*;
- submit written requests for time extensions if required;
- certify to the *IESO* that *participant workstation* complies with all applicable technical requirements as required by the *IESO* and participate in *participant workstation* testing;
- notify the *IESO* of required changes to information in the registration system;
- update authorization supporting documentation as required;
- update digital certification information as required; and
- notify the *IESO* of an intent to withdraw from the *IESO-administered markets*.

IESO

- acknowledge receipt of application;
- process *applicant* submissions;
- notifies the host LDC;
- create a *market participant* record for the *applicant* in the registration;
- update information in the applicant's registration record as requested;
- calculate the applicant's *prudential support obligation*;
- issue requests for missing information or clarifications;
- read and comply with the *market rules* pertaining to market participation;
- update the listing of all registered *market participants* on the *IESO* public website;
- certification of *participant workstation* and confirmation of successful completion of *participant workstation* testing;
- issue a notification of authorization, or denial of authorization;
- issue notification to *market participants* of sanctions that result from non-compliance with the *market rules*; and
- issue a "Notification of Impending Termination" if a *market participant's* participation in the *IESO-administered markets* is to be terminated.

1.5 Contact Information

General inquiries regarding the role of the *IESO*, becoming a *market participant*, or *market participant* related questions should be directed to *IESO* Customer Relations. Contact information is available on the *IESO's* web site (www.ieso.ca). The 'Contact Us' link at the top of the home page, when clicked, will redirect and display the *IESO* telephone numbers, e-mail, mail, and courier addresses.

During the *participant authorization* and registration process *applicants* will work with an *IESO* Registration & Compliance Support Technical Officer, and individual contact information will be supplied to the *applicant* once the process has been initiated. *IESO* Registration & Compliance Support staff may be contacted via market.entry@ieso.ca.

In addition to the required contacts identified on the "*Application for Authorization to Participate*", *applicants* have the option to identify a range of contacts within their organization that address specific areas of their business operations. Additional contact information can be supplied to the *IESO* on IMO-FORM-1238, "Market Participant Contacts".

Forms that *applicants* must complete for this process, as well as the accompanying supporting documentation, can be submitted to the *IESO* via mail or courier by using the appropriate address provided on the *IESO's* web site or on the form. These forms are generally available for download on the *IESO's* web site and are listed in Appendix A.

Correspondence that is sent to the *IESO* related to the Market Entry portion of this procedure shall be identified with the subject: **Market Entry**.

– End of Section –

2. Authorization

2.1 Overview

The *market participant* authorization process allows the *IESO* to identify the market(s) in which the *applicant* intends to participate, and to confirm the proper corporate name. It also determines that the *applicant* will satisfy their *prudential support* and other financial obligations to the *IESO-administered markets*, and establishes the applicant's technical ability to inter-operate with the *IESO*. An *applicant* must have applied for authorization as a *market participant* in order to commence the registration of *metering installations* and *facilities*. An *applicant* must be authorized as a *market participant* before the registration of *metering installations* and *facilities* can be completed.

In order to be authorized as a *market participant*, an *applicant* must meet the following requirements:

- the requirements set out Subsection 2.7, below, Components of the Participant Authorization Procedure, including completion of a series of tests to determine the applicant's ability to inter-operate with the *IESO* across the Internet; and
- the completion of the procedures set out in Subsection 2.11, below, Procedural Steps – Authorization.

Anyone planning to participate in the *IESO-administered markets*, or to cause or permit electricity to be conveyed into or out of the *IESO-controlled grid*, must apply to the *IESO* for authorization to participate in those markets. To initiate this procedure, an *applicant* completes the *application for authorization to participate* by downloading the form, along with a set of supporting documents, from the *IESO* Web site. These documents are completed, with authorized signatures where necessary, for submission to the *IESO*. Upon receipt of the application package, the *IESO* creates a record for the *applicant* in the registration system. This record is the online repository for all of a *market participant* organization's information and documents related to their participation in the *IESO-administered markets*.

When the application material has been reviewed for completeness, the *applicant* confirms their ability to inter-operate with the *IESO* via the Internet (Participant Workstation Testing) by successfully completing *participant workstation* testing that may be required by the *IESO*. The *IESO* sends a reminder that the *applicant* must sign and submit the *participation agreement*, which can be downloaded from the *IESO* Web site. The *participation agreement* formally binds the *applicant* to the *market rules*. The *applicant* is also required to post the required level of *prudential support*, as defined in the *market rules* (Chapter 2, Section 5.2). This is set out in "Prudential Support Obligation -Schedule A" via the submission of "Prudential Support Posted - Schedule B" and if applicable "Prudential Support Supplementary Form" before receiving the order of authorization for market participation.

The *market participant* authorization process entails specific timelines dictated by the *market rules*. While either the *IESO* or the *applicant* may request an extension to a specified timeline, any variation of the timing specified in the *market rules* requires the agreement of both parties. Once an *applicant* has applied for authorization, the *applicant* may start to register *metering installations* and *facilities* but cannot complete this registration process until authorization is granted.

2.2 IESO Web Site

The IESO has developed a Web site (www.ieso.ca) in order to communicate with the public about *IESO-administered market* issues and to provide access to information and documents related to activities carried out in the *IESO-administered markets*. Applicants for authorization will find all of the information and documents they require to complete the *market participant* authorization process on the IESO Web site. Specifically, applicants will find the latest versions of:

- the *market rules*;
- the *participant technical reference manual*;
- the “Market Entry, Maintenance & Exit Manual”; and
- all forms required for the *market participant* authorization process.

The IESO will also *publish* on its Web site a list of all active *market participants* as well as a list of all applications for participation in the *IESO-administered markets*.

2.3 Registration System

The IESO operates a Web-based registration system for electronic processing and storing of information related to *market participants* and their participation in the *IESO-administered markets*. Upon the IESO’s receipt of a completed *application for authorization to participate*, the IESO will create a record for the applicant in the IESO registration system, containing the information supplied by the *applicant*. In order to maintain secure access to the registration system, the IESO will provide the *applicant* with authentication credentials (see Section 2.7, Authentication Credentials), during the *market participant* authorization, maintenance and exit procedure. Access will remain available to the *applicant* for use in future authorization and *facility* registration activities.

2.4 Prerequisites for the Authorization Procedure

There are a variety of activities that an *applicant* should complete before submitting their application for authorization to the IESO. These activities include:

- reviewing the *market rules*;
- reviewing the *participant technical reference manual*;
- reviewing the appropriate *market manuals* and Procedures;
- obtaining the requisite *Ontario Energy Board licence(s)* to participate in the *IESO-administered markets*;
- confirming initial intentions with regard to importing and/or exporting *energy* and *operating reserve* into or out of the *IESO-administered markets*;
- obtaining the requisite National Energy Board (NEB) permits where required;
- registering for the Goods and Services Tax; and
- setting up the appropriate *participant workstations*.

Market Rules

Chapter 2 of the *market rules* entitled Participation contains material relevant to the *market participant* authorization process and should be thoroughly reviewed by all *applicants* to the *IESO-administered markets* before submission of the application for authorization.

Participant Technical Reference Manual

The *participant technical reference manual* – specifically the sections relating to the *participant workstation* and voice communications – contains information about the technical infrastructure requirements an *applicant* must comply with in order to support their ability to inter-operate with the *IESO*. *Market applicants* will be tested as to their compliance with these requirements as part of the *market participant* authorization process. As such, the *participant technical reference manual* should be reviewed before application is made for authorization.

Market Manuals and Procedures

As many of the procedures necessary for market involvement are inter-related, it is strongly suggested that *applicants* review the entire set of *market manuals* before submission of their application for authorization. For the *market participant* authorization process, particular attention should be paid to those documents listed in the Related Documents table in this document, and in the Reference section at the end of this document.

OEB Licences

The Ontario Energy Board (*OEB*) is responsible for *licensing* all *market participants* in the *IESO-administered markets* including the *Independent Electricity System Operator (IESO)*, *generators*, *transmitters*, *distributors*, *wholesale sellers* and *retailers*, including those intending to *retail* electricity to *consumers*. *Market participants* must have an *OEB licence* for each participant class (e.g. *generator*, *distributor*) for which they intend to conduct market activities. All applications for authorization must include copies of an applicant's relevant *OEB licence(s)*³.

NEB Permits

The *IESO* is regulated by the NEB (National Energy Board) and holds two permits issued by the NEB. The EPE-22 permit is for the transfer of circulating power and enables the *IESO* to operate in parallel with other jurisdictions in the U.S. The EPE-177 permit is for the sale transfer of *emergency energy* and power and will enable the *IESO* to provide *emergency* support to neighbouring entities in the U.S. when a state of *emergency* is declared in those jurisdictions and commercial remedies cannot be brought to bear to rectify the situation in a timely manner.

The *IESO's* EPE-177 permit directs that the *IESO* shall obtain from any person in Canada seeking to wheel electricity over *facilities* over which the *IESO* has operational control, a copy of the export permit or licence issued by the NEB to the exporter, prior to providing transmission *facilities* to facilitate the export. Further, the *IESO* shall not provide the *facilities* or otherwise facilitate the export of electricity from Canada without first obtaining a copy of the exporter's permit or licence issued by the NEB. This requirement also impacts those *transmitters* whose transmission lines make up the *IESO-controlled grid*.

Depending upon the class of service applied for, all applications for authorization must include copies of an applicant's relevant NEB permit as stipulated in *market rules* Chapter 7 Section 2.2.7. *Market*

³ For more information on obtaining *OEB licences*, visit the *OEB* Web site (<http://www.oeb.gov.on.ca/>)

participants must also provide the *IESO* with a copy of any new or updated permit that they obtain as stipulated in *market rules* Chapter 2 Section 3.1.8.

Importing and Exporting – Registration of Boundary Entities

Market participants wishing to import *energy* and/or *operating reserve* into, or export *energy* from, the *IESO-administered markets* must register the capability to so do with the *IESO* through the mechanism of *boundary entity* registration. *Boundary entity* resources are the mechanism through which a *market participant* can submit *bids* and *offers* to the *IESO* to import and/or export *energy* and/or *operating reserve*.

As part of completing the *application for authorization to participate*, the *applicant* will be required to identify the *interties* between the *IESO control area* and adjacent *control areas* across which it wishes to import or export *energy* and/or *operating reserve*⁴. The form includes a list of the *interties* that are available. The *applicant* must also confirm that it has the relevant North American Electric Reliability Council (*NERC*) tagging capability and NEB permit/licences required to support such activities. Providing this information will ensure that the *market participant* has registered the relevant *boundary entity* capabilities with the *IESO* to support the submission of *bids* and *offers* for imports and exports.

HST Registration

All *energy* suppliers to the *IESO-administered markets* must have a Harmonized Sales Tax (HST) registration number⁵. This number must be supplied to the *IESO* on the *application for authorization to participate*.

Participant Workstations

Portions of the *market participant* authorization process are conducted electronically. As such, before submitting an application for authorization, *applicants* should have set up a fully functional *participant workstation*.⁶

Applicants are required to confirm that they are able to inter-operate with all applicable *IESO* systems through their *participant workstation* as part of the *market participant* authorization process. As part of the authorization process, *applicants* are required to certify that their *participant workstations* comply with all applicable technical requirements and are required to complete any *participant workstation* testing that may be requested by the *IESO*.

Preparation of Employees and Procedures for Participation in the IESO-Administered Markets

Applicants for authorization should have the appropriate employee training and procedures in place in order to ensure they are prepared for participation in the market as soon as they are authorized.⁷

⁴ *Market participants* may import *energy* and *operating reserve* but can only export *energy*.

⁵ For information on HST registration, visit the Canada Customs and Revenue Agency Web site (<http://www.ccr-aadrc.gc.ca/menu-e.html>).

⁶ Technical requirements for the participant workstation can be found in the “Participant Technical Reference Manual”.

⁷ For information on Marketplace Training, see <http://www.ieso.ca/imoweb/MarketplaceTraining/training.asp>.

2.5 Timelines for the Participant Authorization Activities

Turnaround times for *market participant* authorization activities are stipulated in the *market rules* (Chapter 2, Section 3). In general, the timelines are as follows:

- The *IESO* will respond to an applicant's initial application and accompanying submissions within 10 *business days* of the date of receipt of the application for authorization to advise if the application is incomplete or requires further information or clarification. (*market rules* Chapter 2 Section 3.1.3)
- If further information is requested from an *applicant* by the *IESO*, the *applicant* will have 15 *business days* from the date of the request to provide the information. Failure to comply with this obligation will result in the *IESO* considering the *applicant* to have withdrawn its application and terminating the application process. (*market rules* Chapter 2 Section 3.1.4)
- Within 20 *business days* of receiving the requested information/clarification (or the application, if no further information was requested), the *IESO* will notify the *applicant* as to whether or not it shall be deemed authorized to participate in the *IESO-administered markets*. (*market rules* Chapter 2 Section 3.1.5)

Either the *IESO* or an *applicant* can apply to the other for an extension to any of the above timelines. Any extension to a timeline requires the agreement of both the *IESO* and the *applicant*.

2.6 Components of the Participant Authorization Procedure

There are six steps to the *market participant* authorization process. They are:

1. Submission of the initial application components.
2. Review of the *market participant* profile in the registration System.
3. Certification and testing of *participant workstation*.
4. Submission of the *participation agreement*.
5. Calculation and posting of a *market participant's prudential support obligations*.
6. Obtain Digital Certificates.

2.6.1 Submission of Initial Application Components

The *market participant* authorization process is initiated by an *applicant* by the hard-copy submission of an *application for authorization to participate*, along with the *OEB*-approved application fee and specific supplementary documentation. Generally, these documents are accessed and completed online on the *IESO* Web site. The documents are then downloaded, signed if required, and delivered to the *IESO* via mail or courier. The components of this initial submission are illustrated in Figure 2–1.

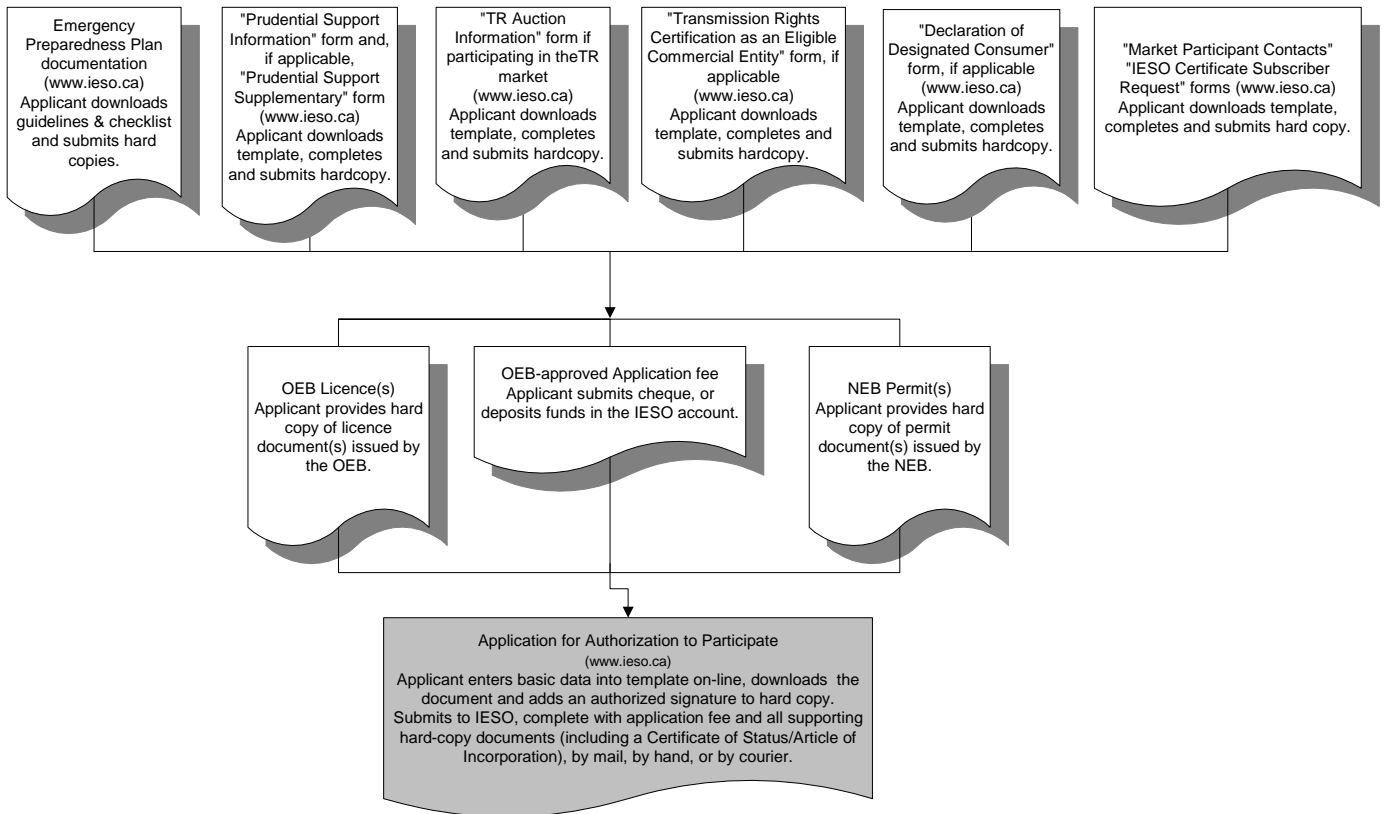


Figure 2-1: Application Requirements

Application for Authorization to Participate

Applicants initiate the *market participant* authorization process by submitting their *application for authorization to participate*. This form enables the *applicant* to record a range of contact, financial and market information that is used by the *IESO* as part of the process to establish the *applicant* as a *market participant* and includes:

- general contact information regarding the *applicant*;
- financial information, including any request for HST *exemption*;
- market information regarding the *applicant's* intended roles in the *IESO-administered markets*, including whether the *applicant* has been identified as a *Transmission Tariff* customer by a *Transmitter*; and
- the *applicant's* intention to import/export *energy* to or from the *IESO-controlled grid* through the use of *boundary entities*. This ensures that the *applicant's* capability to undertake these trades using *boundary entities* is registered with the *IESO*. This element of the form effectively serves as the registration process for the *boundary entities* a *market participant* intends to use.⁸

Information supplied on the form is entered by the *IESO* into an *applicant's market participant* record in the registration system. Please notify the *IESO* if the *applicant* wishes to be assigned the capability to take part in the *Physical Allocation Data* process through allowing *metered market participants* to allocate *energy* to the *applicant* (see “Market Manual 5: Settlements, Part 5.2: Metering Data Processing”) for more information on this process.

Ontario Electricity Board (OEB) Licence

An *applicant* must supply to the *IESO* a photocopy of any relevant *OEB licence(s)* for *physical markets* (one for each applicable *market participant* class).

National Energy Board (NEB) Permit

An *applicant* must supply to the *IESO* a photocopy of any relevant NEB permit(s) for the exportation of *energy*.

OEB-Approved Application Fee

Applicants must submit the *OEB*-approved application fee with their application.

Emergency Preparedness Plan

Participation in Ontario's electricity market requires all *market participants* to initially prepare and file emergency preparedness plans describing how they will respond to emergencies affecting the supply or delivery of electricity, should the need arise. Chapter 5, Section 11 of the market rules describes the content requirements for an emergency preparedness plan.

⁸ See “Market Manual 1: Market Entry, Maintenance and Exit, Part 1.2: Facility Registration, Maintenance and De-Registration”.

Restoration Participant Attachment

Some market participants are designated as Restoration Participants⁹ because of their size and/or grid connectivity. These participants are required to send us an additional attachment. Chapter 5, Section 11 of the market rules describes the content requirements for Restoration Participant.

Prudential Support Information Form

Applicants are required to complete the “Prudential Support Information” IMO-FORM-1044 with the “Prudential Support Spreadsheet” attachment and, if applicable, the “Prudential Support Supplementary Form” IMO-FORM-1044. These forms are used to provide an estimate of the MW value of the *applicant’s* daily activity in the *real-time energy* and *operating reserve markets* (including all import and export activity) and the *trading limit* that the *applicant* has determined is required to support its intended market activity. The *IESO* uses this information to calculate the value of the *prudential support* that the *market participant* will be required to post to participate in the *real-time energy* and *operating reserve markets*. See “Market Manual 5: Settlements, Part 5.4: Prudential Support” for more information on the calculation of the *prudential support obligation*.

Transmission Rights (TR) Auction Information Form

If a *market participant* wishes to participate in the *TR market*, they shall declare their intention to *bid* in an upcoming *TR auction* by submitting a *TR market deposit*, via IMO-FORM-1361 “TR Auction Information”. This form is necessary for the *IESO* to determine the participant’s *bidding limit*. In most cases, the *bidding limit* of the *market participant* in the *TR auction* will be ten times the amount of the *TR market deposit* provided. However, if a *market participant* has defaulted on a past *TR auction* payment, the *IESO* may elect to require that the *TR market deposit* submitted by this *market participant* be set at a reduced level (i.e. less than ten). In order to participate in a round of a *TR auction*, a *TR participant* must provide the *IESO* with a *TR market deposit* and “TR Auction Information” form, no less than five *business days* prior to the round of the *TR auction*. See the *market rules*, Chapter 8, Section 4.8. Please note that US-based participants must also complete IMO_FORM_1540 "Transmission Rights Certification as an Eligible Commercial Entity".

Declaration Required for Designated Consumers

A ‘designated consumer’ is defined in “Ontario Regulation 161/99” (amended by “Ontario Regulation 41/04”). Wholesale *market participants* who qualify as ‘designated consumers’ must inform the *IESO* by completing and submitting a declaration using IMO-FORM-1507 “Declaration of Designated Consumer” located on the *IESO* Web site. *Market participants* who satisfy the *IESO* that they qualify as designated consumers will be settled at the fixed *energy* rate. See the *market rules*, Chapter 9, Section 1.2.1. Also refer to “Market Manual 5: Settlements, Part 5.5: Physical Markets Settlement Statements” for more information on how to submit this form.

Market Participant Contacts and IESO System Access and Identity Management Form (Form 1276)

Market participants may provide to the *IESO* the names of the individuals who will serve as the contacts for information exchange with the *IESO* using IMO-FORM-1238 “Market Participant

⁹ See “Market Manual 7: Part 7.8 Ontario Power System Restoration Plan” - Section 2 Restoration Participant Criteria and General Obligations.

Contacts”. *Market participants* must provide information about all users they require to have access to the *IESO* systems using IMO-FORM-1276

Implementation of Three-Part Offers (Form 1721)

If a *registered market participant* wishes to submit three-part *offers* to the day-ahead commitment process (DACP) for its non-*quick start facilities*, the *market participant* shall declare their intent to implement three-part *offers* to the *IESO* by submitting *IESO* Form 1721 “Implementation of Three-Part Offers”. This form is necessary for the *IESO* to enable its systems to accept submission of day-ahead three-part *offers* from the *market participant*. Three-part *offers* are the incremental *energy* and fixed offered costs for operating a non-*quick start facility* during DACP; refer to IESO_MAN_0076 Market Manual 9: Part 9.1 Submitting Registration Data for the DACP.

All components of the application for authorization that require a signature shall be submitted by mail or courier. With the exception of the *OEB licence(s)* and NEB permits, all documents required for the hard-copy submission can be downloaded from the *IESO* Web site.

2.6.2 Review of Data in the Registration System

The *IESO* will create *market participant* records in the registration system for all *applicants* to the *IESO-administered markets*. These records will be the repository of all of the information and documents provided by an *applicant* during the *market participant* authorization process. It is the responsibility of the *applicant* to review this information to ensure that it has been entered correctly. *Applicants* can contact the *IESO* via email regarding any incorrect information in the record.

2.6.3 Final Authorization Components

After the applying *applicant* confirms data entries in registration, several entry tasks are illustrated in Figure 2–2 toward final authorization as a *market participant* in the *IESO-administered markets*.

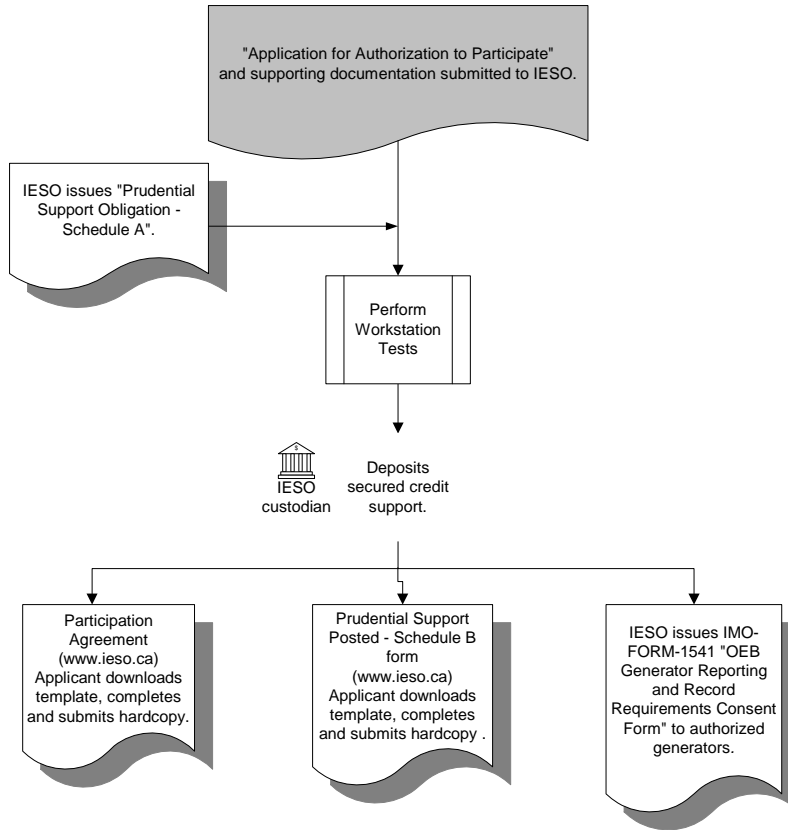


Figure 2-2: Final Authorization Summary

2.6.4 Prudential Support Obligation – Schedule A

An *applicant* shall meet their *prudential support obligations* as set out in the *market rules* as part of their application for authorization. A copy of “Prudential Support Obligation - Schedule A” is sent to the *applicant* by the *IESO* once the *IESO* has determined, based on information provided by the *applicant*, the required level of *prudential support* for the *applicant*. As part of the *market participant* authorization process, the *IESO* requires that *prudential support* be provided by any organization that is, or will be, a *market debtor*, in order to mitigate the risk to the market of payment defaults. The level of *prudential support* that a *market participant* is required to post is calculated by the *IESO* using standard calculations, based on the *market participant’s* estimate of their trading level in the market¹⁰ and their specified *trading limit*.

2.6.5 Participant Workstation Tests

IESO inter-operation with *market participants* is accomplished through the *participant workstation* via the Internet or frame relay, except for the transfer of real-time information¹¹. Examples of the type of information relayed through the Internet include:

- *bids* and *offers*;
- *pre-dispatch* results;
- *dispatch* schedules; and
- *settlement* and invoicing information.

During the *market participant* authorization process, tests as required by the *IESO* may be conducted to prove that the *applicant* can inter-operate with the *IESO* via the *participant workstation*, thus meeting the *IESO’s* technical requirements for non-real time data transfers. *Participant workstation* testing is accomplished by confirming that the *applicant* is able to successfully inter-operate with the following applications through their *participant workstation*:

- Market Participant Interface (MPI) – Home page; and
- Workflow – *Notice of Disagreement* (NoD).

Successful completion of the *participant workstation* testing process will require the *applicant* to have set up, in advance of the testing time period, the necessary hardware and software infrastructure to support the testing process.

Applicants should review the *participant technical reference manual* for information about the appropriate hardware and software installations required for *participant workstation* testing.

Applicants are responsible to ensure that personnel receive appropriate training for testing activities.

¹⁰ This estimate should include the value of any import or export activity planned by the *market participant*.

¹¹ See the “Participant Technical Reference Manual”.

2.6.6 Prudential Support Posted – Schedule B

This *prudential support obligation* is emailed to the *market participant* by the *IESO* via IMO-FORM-1443 “Prudential Support Obligation – Schedule A”. The *market participant* is then required to post the indicated level of *prudential support* and to submit to the *IESO* IMO-FORM- 1444 “Prudential Support Posted – Schedule B” and, if applicable, IMO-FORM- 1445 “Prudential Support Supplementary Form”, prior to final posting of *prudential support* by the *applicant*.

See “Market Manual 5: Settlements, Part 5.4: Prudential Support” for more information on the calculation of the *prudential support obligation*.

2.6.7 Participation Agreement

A *participation agreement* formally binds a *market participant* to the *market rules* and other applicable standards, policies or procedures established by the *IESO*. This *participation agreement* also serves as certification by the *applicant* of readiness to participate in the *IESO-administered markets*, or to cause or permit electricity to be conveyed into or out of the *IESO-controlled grid*.

The *participation agreement* forms part of the “Market Entry, Maintenance & Exit Manual”, and can be downloaded from the *IESO* Web site.

2.6.8 Generator Consent

The *Ontario Energy Board (OEB)* requires *market participants* who are authorized *generators* to provide permission for the *IESO* to submit such generation information in the *IESO’s* possession that is required by the *OEB’s* Electricity Reporting and Record Keeping Requirements. The *IESO* releases this information to the *OEB* through the authorization directed in IMO-FORM-1541 “OEB Generator Reporting and Record Requirements Consent Form”.

2.7 Authentication Credentials

A great deal of data passes back and forth between the *IESO* and *market participants* on a regular basis, much of it via the Internet. In order to maintain the *security* of this information on the *IESO’s* Web-based registration system, *market participants* are required to obtain authentication credentials from the *IESO* for all users who will be expected to interact with the *IESO* via the *market participant* or *dispatch workstations*. Each individual user will require a set of unique authentication credentials, which may include certificate activation data, a reference number and an activation code.

Market participants should complete and submit their *application for authorization to participate* prior to initiating the process of obtaining authentication credentials.

2.8 Submission and Response Methods

The *market participant* authorization process requires submission of various documents and types of information. The submission methods to be used by the *applicant* are dependent on what material is being submitted (hard copy or electronic) and include mail or courier (for hard-copy material).

The *IESO* issues letters regarding requirements, schedules and results using:

- email (for requests or notifications); and

- mail or courier (if an *IESO* signature is required).

2.8.1 Mail or Courier

The *applicant* provides hard-copy originals, bearing authorized signatures where required, of:

- IMO-FORM-1016 “*Application for Authorization to Participate*”;
- *Emergency preparedness plan* documentation;
- IMO-FORM-1044 “Prudential Support Information” form with “Prudential Support Spreadsheet” attachment;
- IMO-FORM-1361 “TR Auction Information” form, if participating in the *TR market*;
- IMO-FORM-1540 “Transmission Rights Certification as an Eligible Commercial Entity” form, if applicable;
- IMO-FORM-1507 “Declaration of Designated Consumer” form, if applicable;
- IMO-FORM-1238 “Market Participant Contacts” form;
- IMO-FORM-1444 “Prudential Support Posted – Schedule B” form;
- IMO-FORM-1445 “Prudential Support Posted – Supplementary Form”, if applicable,;
- “Certificate Subscriber Agreement”;
- IMO-FORM-1276 System Access & Identity Management Form (Form 1276) when applicable; and
- *Participation Agreement* (in duplicate).
- IESO- FORM-1721 "Implementation of Three Part Offers"

as well as photocopies of:

- *OEB licence (s)* for *physical markets* (one for each applicable *market participant* class or classes, if the *licence* specifies more than one activity);
- NEB permit(s) relevant to the exportation of *energy*; and
- Certificate or Status/Articles of Incorporation.

Hard-copy material is to be submitted by mail or courier (see Section 1.5 of this procedure for contact information).

2.9 Disputes

Either the *IESO* or an applicant may initiate the Dispute Resolution process¹² in accordance with Chapter 3, Section 2 of the “Market Rules” if either believes the circumstances warrant such action. For example, applicants may dispute denial by the *IESO* of authorization to any person to participate in the *IESO-administered markets* or to cause or permit electricity to be conveyed into, out of, or through the *IESO-controlled grid*.

¹² For more information on the Dispute Resolution process, see “Market Manual 2: Market Administration, Part 2.1: Dispute Resolution”.

2.10 Procedural Work Flow

2.10.1 Application Process

The following diagram represents the flow of information related to *market participant* authorization between the *applicant*, the *IESO*, and other parties.

Table 2–1: Legend for Work Flow Diagrams

Legend	Description
Oval	An event that triggers task or that completes task. Trigger events and completion events are numbered sequentially within procedure (01 to 99)
Task Box	Shows reference number, party responsible for performing task (if “other party”), and task name or brief summary of task. Reference number (e.g., 1A.02) indicates procedure number within current <i>market manual</i> (1), sub-procedure identifier (if applicable) (A), and task number (02)
Solid horizontal line	Shows information flow between the <i>IESO</i> and external parties
Solid vertical line	Shows linkage between tasks
Broken line	Links trigger events and completion events to preceding or succeeding task

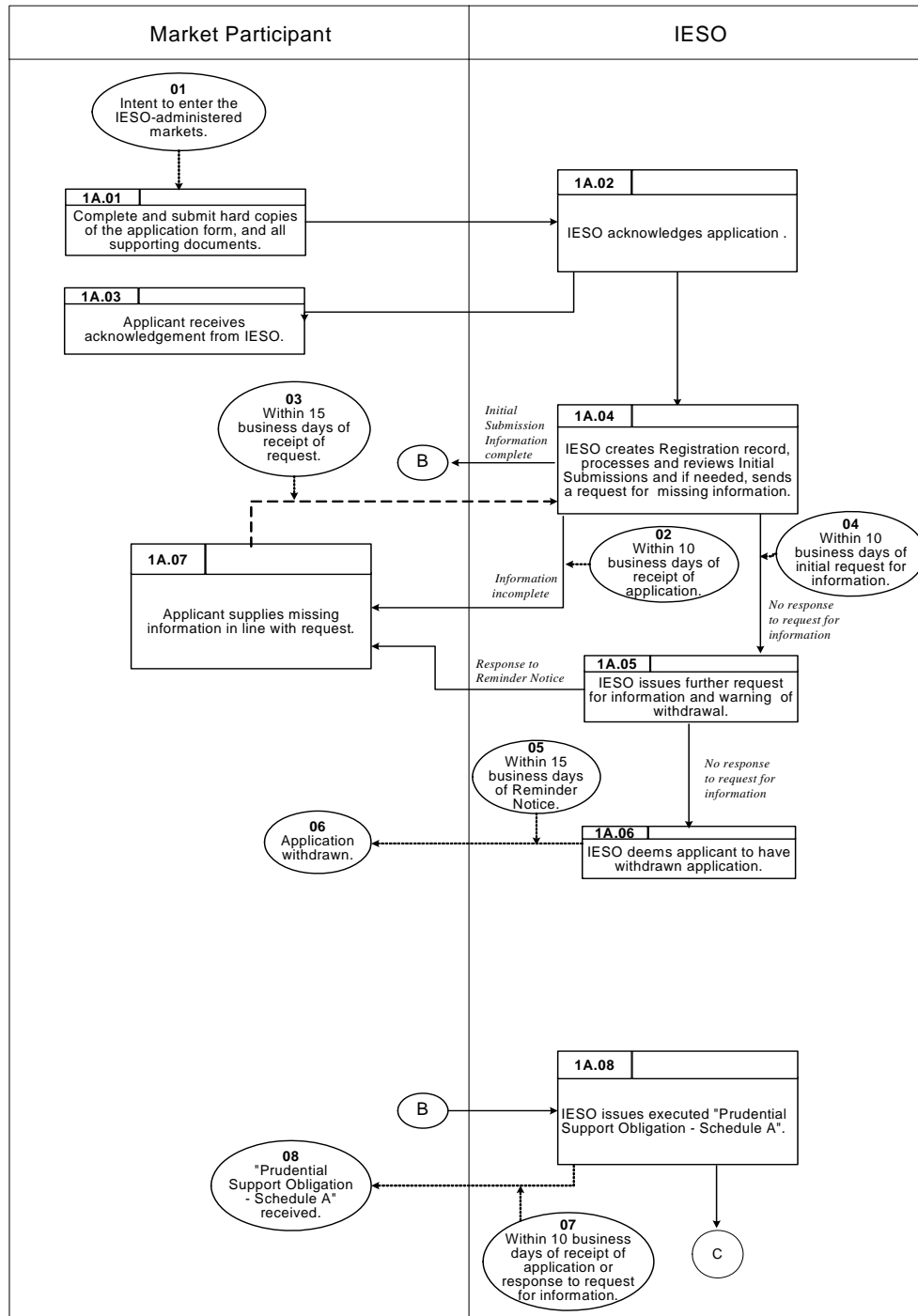


Figure 2–3: Work Flow for Participant Authorization

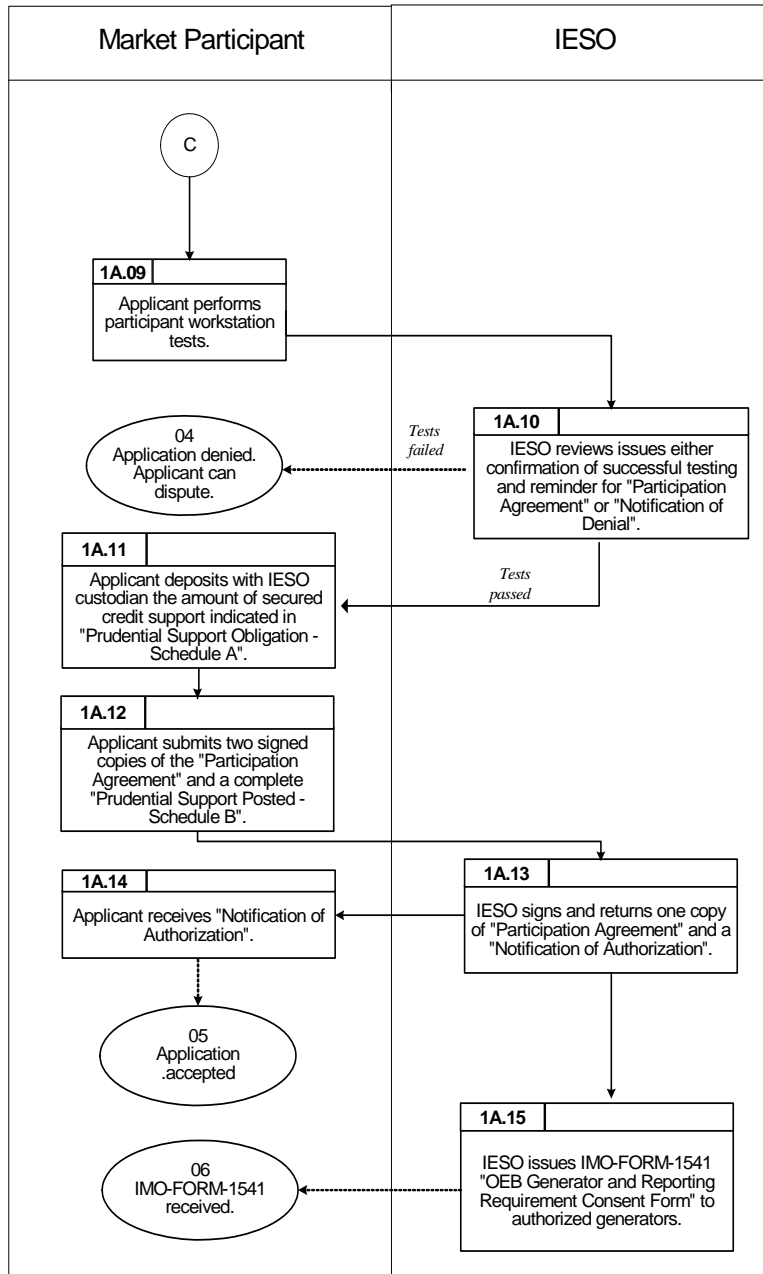


Figure 2-3: Work Flow for Participant Authorization (continued)

2.11 Procedural Steps

This subsection contains a table of the detailed tasks (steps) that comprise the *market participant* authorization, maintenance and exit procedure. The following table contains seven columns:

Ref.

The reference number for the task.

Task Name

The task name as referenced in Figure 2-2.

Task detail

Information about the task, including areas of responsibility.

When

Information about when the task will be required.

Resulting information

A list of the information that results from the task, including related *IESO* correspondence.

Method

The format and method for completing the task.

Completion events

A list of all the circumstances in which the task should be deemed complete.

Table 2–2: Procedural Steps - Authorization

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
1A.01	Complete and submit hard copies of the application form, and all supporting documents.	<i>Applicant</i> downloads, completes, signs, and submits the <i>application for authorization to participate</i> with all supporting hard-copy documents, as set out in this procedure.	<i>Applicant</i> wishes to participate in the <i>IESO-administered markets</i> or to cause or permit electricity to be conveyed into or out of the <i>IESO-controlled grid</i> .	Completed documents: <ul style="list-style-type: none"> • <i>application for authorization to participate</i> (signed), • Certificate of Status/Articles of Incorporation, • <i>OEB</i>-approved Application Fee, • <i>OEB licence(s)</i> (photocopies), • NEB permits(s) (photocopies), • <i>Emergency preparedness plan</i> documentation, • “Prudential Support Information form with “Prudential Support Spreadsheet” attachment, • “Prudential Support Supplementary Form” (if applicable), • “TR Auction Information” form (if applicable), • “Transmission Rights Certification as an Eligible Commercial Entity” (if applicable), • “Declaration of Designated Consumer” (if applicable), • “Market Participant Contacts” and “IESO System Access and Identity Management” forms. • "Implementation of Three Part Offers" form • See Appendix A: Forms. 	Mail or courier.	Participation documentation received by <i>IESO</i> Market Relations Consultant.

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
1A.02	<i>IESO</i> acknowledges application.	<i>IESO</i> acknowledges receipt of application material and creates a <i>market participant</i> record in the registration system.	Application received by <i>IESO</i> .	“Acknowledgement of <i>Application for Authorization to Participate</i> ”.	Email.	Registration Task Status reflects all applicable tasks as ‘UNDER REVIEW’.
1A.03	<i>Applicant</i> receives acknowledgement from the <i>IESO</i> .	<i>Applicant</i> receives “Acknowledgement of <i>Application for Authorization to Participate</i> ”,	After processing of initial application submissions by the <i>IESO</i> .	None.	None.	None.
1A.04	<i>IESO</i> creates registration record for <i>applicant</i> , processes and reviews Initial Submissions and, if needed, sends a request for missing information.	The <i>IESO</i> Registration & Compliance Support Technical Officer verifies all components of the initial submissions for the Application. If the application is invalid or incomplete, the <i>IESO</i> will request missing information. If the information is complete the <i>IESO</i> sends “Prudential Support Obligation – Schedule A” by fax. If the information is incomplete, a request for missing information is issued.	Within 10 <i>business days</i> of receiving application.	If incomplete: “Missing Information”, notifying the <i>applicant</i> that information submitted is incomplete.	Email.	If incomplete: Registration Task Status reflects status of MISSING INFORMATION for the related task(s) that are incomplete.
				If complete: <i>IESO</i> issues “Prudential Support Obligation – Schedule A”.	Fax.	If complete: Registration Task Status reflects status of APPROVED for related tasks.

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
1A.05	<i>IESO</i> issues further request for information and warning of withdrawal.	If there is no <i>response</i> to the initial request for additional information sent by the <i>IESO</i> , a reminder notice is issued with a warning to the <i>market participant</i> that if information is not provided within the stated timeline, the <i>IESO</i> will consider the application to have been withdrawn by the <i>applicant</i> .	No <i>response</i> received from <i>applicant</i> within <i>10 business days</i> of initial request for information.	All information requested in “Reminder Notice”.	Email.	Registration Task Status reflects status of APPROVED for related tasks.
1A.06	<i>IESO</i> deems <i>applicant</i> to have withdrawn application.	If no <i>response</i> to “Reminder Notice” is received, application is deemed withdrawn by the <i>IESO</i> .	No <i>response</i> to “Reminder Notice” within <i>15 business days</i> of request.	None.	None.	Registration Task Status reflects a status of DENIED for the Authorized <i>Market Participant</i> task.
1A.07	<i>Applicant</i> supplies missing information in line with request.	<i>Applicant</i> supplies additional or corrected information to support the application, in <i>response</i> to “Missing Information”.	By date specified in “Missing Information”. (within <i>15 business days</i> of request).	All information requested in “Missing Information”.	Mail or courier.	Registration Task Status reflects status of APPROVED for related tasks.

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
1A.08	<i>IESO</i> issues executed “Prudential Support Obligation – Schedule A”.	<i>IESO</i> calculates applicant’s <i>prudential support obligations</i> based on applicant’s estimated market activity and stated <i>trading limit</i> . <i>IESO</i> sends executed “Prudential Support Obligation – Schedule A”. (See “Market Manual 5: Settlements, Part 5.4: Prudential Support” for more information on the calculation of the <i>prudential support obligation</i> .)	Upon receipt of “Prudential Support” form from <i>market participant</i> and <i>IESO</i> Finance calculation of applicant’s <i>prudential support obligation</i> . Within 10 <i>business days</i> of receipt of application or 10 <i>business days</i> of a <i>response</i> to a “Request for Missing Information”.	“Prudential Support Obligation – Schedule A”.	Email.	Task status in registration for MP Calculation Prudential Support set to “APPROVED”.
1A.09	<i>Applicant</i> performs <i>participant workstation tests</i> .	<i>Applicant</i> performs <i>participant workstation</i> testing to verify the applicant’s ability to inter-operate with the <i>IESO</i> through the internet and other communications media.	When <i>applicant</i> has access to all applications (i.e. Digital Certificates, NOD).	Test results.	Email.	<i>Participant workstation</i> tests completed as scheduled.

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
1A.10	<i>IESO</i> reviews <i>participant workstation</i> test results, and issues either confirmation of successful testing and reminder for <i>participation agreement</i> , or “Notification of Denial”.	The <i>IESO</i> informs <i>applicant</i> of <i>participant workstation</i> test results.	Upon completion of <i>participant workstation</i> test.	If passed: “Confirmation of Successful Participant Workstation Testing” confirming successful testing, along with any agreed workarounds. “Confirmation of Successful Participant Workstation Testing” includes a reminder for submission of <i>participation agreement</i> .	Email.	Registration Task Status reflects APPROVED, status for Participant Workstation Test task.
				If failed: “Notification of Denial” denying the application.	Mail or Courier.	Application is denied.
1A.11	<i>Applicant</i> deposits with the <i>IESO</i> custodian the amount of secured credit support specified in “Prudential Support Obligation – Schedule A”.	<i>Applicant</i> deposits with the <i>IESO</i> custodian the amount of secured credit support specified in “Prudential Support Obligation – Schedule A”.	When ready to enter the market.	None.	None.	Registration Task Status reflects APPROVED status for Prudential Support Posted task..
1A.12	<i>Applicant</i> submits two signed copies of the <i>participation agreement</i> and a completed “Prudential Support Posted - Schedule B”.	<i>Applicant</i> downloads, signs, and submits two copies of the <i>participation agreement</i> and a completed “Prudential Support Posted - Schedule B”.	Upon receipt of request in “Confirmation of Successful Participant Workstation Testing”.	Two signed copies of the <i>participation agreement</i> , both bearing authorized signature.	Mail or courier.	Registration Task Status reflects UNDER REVIEW status for Participation Agreement task.

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
1A.13	<i>IESO</i> signs and returns one copy of the <i>participation agreement</i> , and a “Notification of Authorization”.	<i>IESO</i> returns a copy of the <i>participation agreement</i> bearing <i>IESO</i> -authorized signature, and the <i>applicant</i> is notified authorization has been approved.	Following Step 1A.16 and legal review.	<i>IESO</i> -signed copy of <i>participation agreement</i> and “Notification of Authorization”, notifying <i>applicant</i> that <i>market participant</i> status has been approved.	Mail or courier.	Registration Task Status reflects APPROVED status for Participation Agreement and Application tasks.
1A.14	<i>Applicant</i> receives “Notification of Authorization”.	If all requirements have been met, the <i>applicant</i> is notified that authorization has been approved.	<i>IESO</i> sends “Notification of Authorization”.	None.	None.	<i>Applicant</i> is authorized as a <i>market participant</i> .
1A.15	<i>IESO</i> issues IMO-FORM-1541 “OEB Generator Reporting and Record Requirements Consent Form” to authorized <i>generators</i> .	To provide reporting commitments to the <i>OEB</i> , the <i>IESO</i> issues IMO-FORM-1541 “OEB Generator Reporting and Record Requirements Consent Form” to authorized <i>generators</i> .	Upon authorization of a <i>generator</i> to participate in the <i>IESO-administered markets</i> .	Issued consent form to authorized <i>generators</i> .	Email.	Consent form issued to authorized <i>generators</i> .

– End of Section –

3. Participant Maintenance

3.1 Overview - Changes to Market Participant Record Information

Market participants may occasionally require changes to the information contained in their record in the registration system. For example, *market participants* may require a change of address, desire to participate in an additional *IESO-administered market*, or change contact names. Areas within the registration where additions or changes may be required may include:

- Market Participant Information;
- Market Type Applications;
- Market Applications;
- Bank account information;
- Class Applications;
- Market Participant Contacts;
- Prudential Support Information; and
- Revised documentation.

For changes to information contained in a *market participant's* registration record where the change does not require a signature, the *market participant* should mail or fax a revised form or email the required changes to IESO Registration & Compliance Support (market.entry@ieso.ca). Changes shall be submitted by a recognized and accepted contact before any changes to that *market participant's* record will be made by the IESO. If the change is to a signed document, please submit the signed document including the change via mail or courier.

Changes to information in the *Market Participant Information*, *Bank Account Information* and *Market Participant Contacts* areas can be made immediately by the IESO if the information provided by the *market participant* is complete. However, the *market rules* (Chapter 9, Section 6.18) require that *market participants* and *transmitters* provide details of changes to bank details or *settlement account* details in writing to the IESO at least 60 *business days* before the change takes effect.

Where a *market participant* is seeking to change its name, as stated in the *participation agreement* it must submit a "Participation Amending Agreement and a Certificate of Status/Articles of Incorporation" to the IESO, as listed in Appendix A, detailing the change of name. The *market participant* must also update its Prudential Information/Letter of Credit, revised Application to Participate, as well as its OEB Licence & NEB permits (if applicable). If a *market participant's* Bank Account Information changes, a VOID cheque is required.

Where a *market participant* is seeking to change its name due to amalgamations, buyouts, etc, the *market participant* must:

- Resubmit and sign the "Application Form for Authorization to Participate";
- Submit a "Participation Agreement" (two signed copies);
- Submit a new "Certificate Subscriber Agreement" for future digital certificate requests;

- Submit a Certificate of Status/Articles of Incorporation;
- Submit new Prudentials/Letter of Credit. The posting might be different;
- Submit a void cheque that reflect any changes to banking information; and
- OEB licence and NEB permits if applicable.

Note: If the *market participant* is directly connected, they should contact their transmitter, to update the Transmission Agreement.

The *IESO* will make the necessary revisions to a *market participant's* registration record when this has been accomplished. The *market participant* shall then access the registration system and verify that the changes have been made correctly.

3.2 New Documentation

To submit new documentation, for example, when a new *OEB licence* or NEB permit must be submitted to support participation in a new market, *market participants* should send the documents to the *IESO* by mail or courier.

3.3 Additions/Changes to Digital Certificates

Market participants may from time to time be required to add or delete users from access to the various software systems used to exchange information between themselves and the *IESO*. As any user requires a digital certification to ensure the *security* of information passing between a *market participant* and the *IESO*, additions, changes and deletions will also be required for the digital certificates themselves. See “Market Manual 1: Part 1.3: Identity Management Operations Guide” for more information on the certification.

– End of Section –

4. Market Participant Exit from the IESO-Administered Markets

4.1 Overview

A *market participant's* exit from participation in the *IESO-administered markets* may be triggered in two ways:

- an “Application for Withdrawal” submitted by the *market participant*; or
- a *termination order* issued by the *IESO* as a result of a *market participant's* non-compliance with the *market rules*.

Any organization that withdraws from the *IESO-administered markets* remains liable for all outstanding payments to the *IESO* relating to its previous participation in the *IESO-administered markets*.

4.2 Application for Withdrawal

A *market participant* who no longer wishes to participate in any of the *IESO-administered markets*, or to cause or permit electricity to be conveyed into, through or out of the *IESO-controlled grid*, must notify the *IESO* in writing that it wishes to cease to be a *market participant*, specifying the date on which it wishes to withdraw. *Market participants* must fulfill this obligation by completing and submitting to the *IESO*, by mail or courier, the “Application for Withdrawal” form. This process is distinct from terminating participation from one or more particular markets, which is accomplished by having the *IESO* change the end date in the appropriate Market Application record in the registration. *Market participants* must indicate on the “Application for Withdrawal” form the date on which they intend to cease to participate in the *IESO-administered markets*, or to cause or permit electricity to be conveyed into, through or out of the *IESO-controlled grid*.

Market participants with *registered facilities* shall apply to the *IESO* to transfer or de-register their applicable *facilities* before they submit their application for withdrawal¹³.

The date specified for withdrawal by a *market participant* with *registered facilities* shall not be earlier than the date on which:

- the last of the *market participant's* applicable *registered facilities* is to be de-registered by the *IESO* and, where applicable, *disconnected* from the *IESO-controlled grid*; or
- the registration of the last of the *market participant's* applicable *registered facilities* is to be transferred by the *IESO*.

A *market participant's* application for withdrawal will be reviewed and assessed by the appropriate *IESO* groups with respect to its potential impact on the *reliability* and *security* of the *IESO-controlled grid*. Particular attention will be paid to the potential impact of any required de-registration of *facilities* that would result from the withdrawal. If the *IESO* concludes that the removal from service

¹³ See “Market Manual 1: Market Entry, Maintenance & Exit, Part 1.2: Facility Registration, Maintenance & Exit”.

of the *registered facility* will or is likely to have an unacceptable impact on the *reliability* of the *IESO-controlled grid*, the *IESO* and the *market participant* shall commence the process described in the *market rules* Chapter 7, Section 9.6 and 9.7 and in Chapter 5, Section 4.8 as explained in Chapter 7, Section 2.4.5. The *registered facility* shall not be removed from service during the course of such process.

A *market participant* withdrawing from the *IESO-administered markets* will be required to submit their final contact information together with a request to revoke all user system access and digital certificates by mail, courier or e-mail when notified by *IESO* Registration & Compliance Support.

If the *IESO* determines that a *market participant's* withdrawal can proceed as per the *market participant's* withdrawal application, the *IESO* will send the *market participant* a "Confirmation of Withdrawal" letter by mail or courier. The *IESO* will also update the necessary fields in the *market participant's* registration record to indicate the *market participant* has withdrawn their participation in the *IESO-administered markets*. The *IESO* should contact the host LDC (where applicable).

A *market participant* who has given notice of their intention to withdraw from the *IESO-administered markets* will cease to be a *market participant* on whichever of the following dates is the later:

- the date of withdrawal specified on the "Application for Withdrawal" form;
- the date on which the last of the *market participant's* applicable *registered facilities* is de-registered by the *IESO* and, where applicable, *disconnected* from the *IESO-controlled grid*;
- the date on which the registration for the last of the *market participant's* applicable *registered facilities* has been transferred by the *IESO* to another eligible *market participant*;
or
- the date on which all payments due to be paid by the *market participant* to the *IESO* have been paid.

4.2.1 Termination Order

Market participants are monitored on an ongoing basis for compliance with their obligations under the *Market Rules*. A breach of the *Market Rules* may result in the *IESO* issuing to the *market participant* a financial or non-financial penalty, a *suspension order*, or a *termination order*. A *termination order* results in the forced withdrawal of the *market participant* from the *IESO-administered markets*. As such, this process is not detailed in the workflow in Figure 4–1. For complete information on the compliance process, including the issuance of *termination orders* by the *IESO*, see "Market Manual 2: Market Administration, Part 2.6: Treatment of Compliance Issues".

4.3 Procedural Work Flow

4.3.1 Application Process

The following diagram represents the flow of information between the *IESO* and a *market participant* when the *market participant* wishes to voluntarily withdraw as a *market participant*. *IESO's* *termination order* of a *market participant's* rights to participate in the *IESO-administered markets* or to cause or permit electricity to be conveyed into, through or out of the *IESO-controlled grid* is not included.

Table 4–1: Legend for Work Flow Diagrams

Legend	Description
Oval	An event that triggers task or that completes task. Trigger events and completion events are numbered sequentially within procedure (01 to 99)
Task Box	Shows reference number, party responsible for performing task (if “other party”), and task name or brief summary of task. Reference number (e.g., 1A.02) indicates procedure number within current <i>market manual</i> (1), sub-procedure identifier (if applicable) (A), and task number (02)
Solid horizontal line	Shows information flow between the <i>IESO</i> and external parties
Solid vertical line	Shows linkage between tasks
Broken line	Links trigger events and completion events to preceding or succeeding task

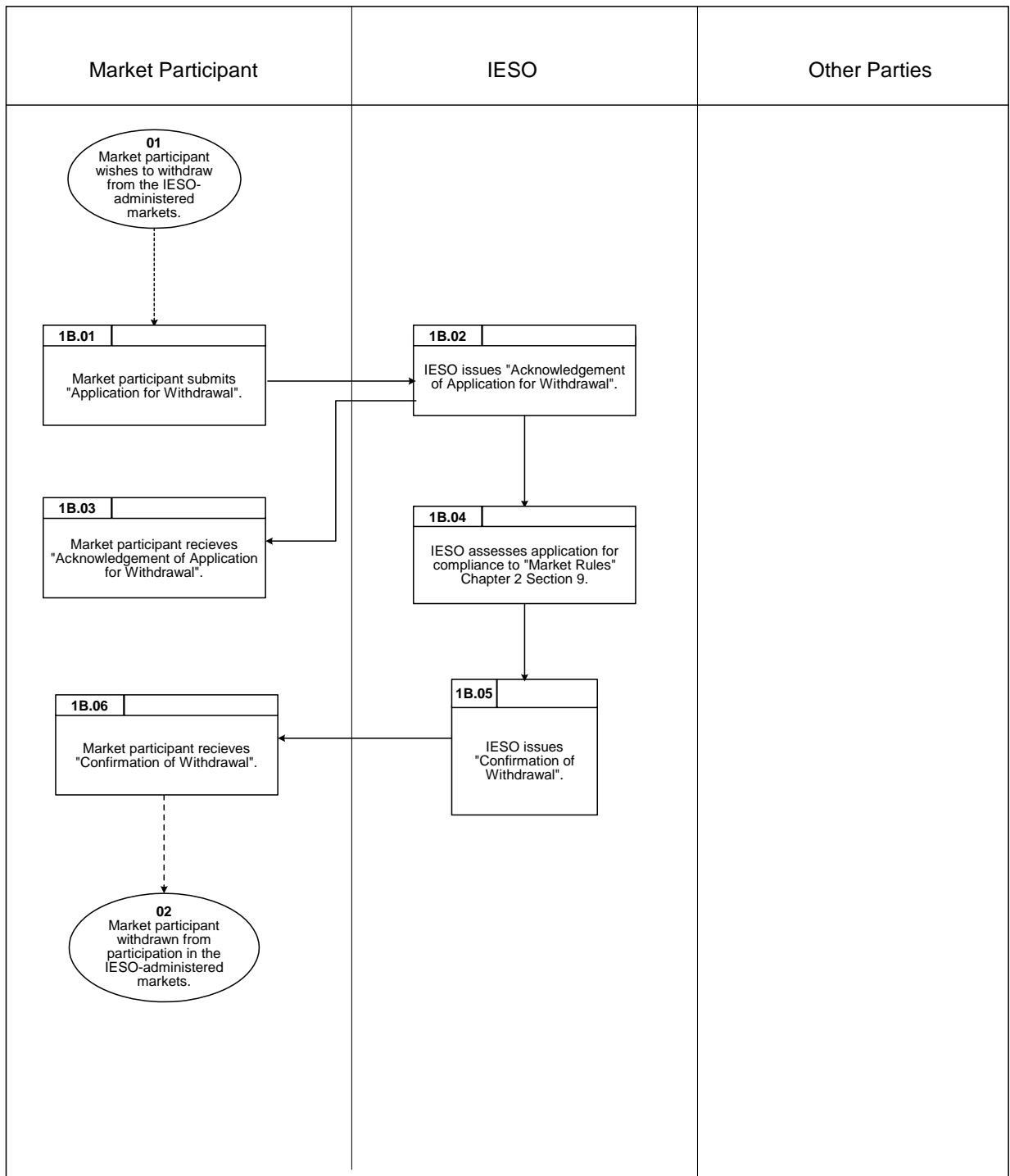


Figure 4-1: Work Flow for Market Participant Withdrawal

4.4 Procedural Steps

This section contains a table of the detailed tasks (steps) that comprise the process for the voluntary withdrawal of a *market participant* from the *IESO-administered markets*. The following table contains seven columns:

Ref.

The reference number for the task.

Task Name

The task name as referenced in Figure 4-1.

Task detail

Information about the task, including areas of responsibility.

When

Information about when the task will be required.

Resulting information

A list of the information that results from the task, including related *IESO* correspondence.

Method

The format and method for completing the task.

Completion events

A list of all the circumstances in which the task should be deemed complete.

Table 4–1: Legend for Work Flow Diagrams

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
1B.01	<i>Market participant submits “Application for Withdrawal”.</i>	<i>The market participant downloads the “Application for Withdrawal” from the IESO Web site. Market participant completes and sends form to the IESO.</i>	<i>When the market participant wants to withdraw from participation in all of the IESO-administered markets, or to no longer cause or permit electricity to conveyed into, through or out of the IESO-controlled grid and after the market participant has requested that the IESO de-register or transfer any applicable registered facilities.</i>	<i>IESO receives information relating to the withdrawal including planned date of withdrawal.</i>	<i>Mail or courier.</i>	<i>“Application for Withdrawal” submitted to the IESO.</i>

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
	<i>Market participant</i> submits written notification to the <i>IESO</i> containing final contact information and request to revoke all user system access and digital certificates if applicable.	The <i>market participant</i> submits a letter or e-mail to <i>IESO</i> Registration & Compliance Support.	When standing bids, offers, schedules and physical bilaterals have been cancelled.	<i>IESO</i> receives final revocation information for digital certificates and termination of all contacts information in Registration.	E-mail, Mail or courier.	Revocation of digital certificates and/or termination of all contact information in Registration.
1B.02	<i>IESO</i> issues “Acknowledgement of Application for Withdrawal”.	The <i>IESO</i> receives the <i>market participant’s</i> “Application for Withdrawal” and issues “Acknowledgement of Application for Withdrawal”.	Upon receipt of the <i>market participant’s</i> “Application for Withdrawal”.	None.	None.	<i>IESO</i> conducts impact assessment.
1B.03	<i>Market participant</i> receives “Acknowledgement of Application for Withdrawal”.	<i>Market participant</i> receives “Acknowledgement of Application for Withdrawal”.	When sent by <i>IESO</i> .	Receipt of “Application for Withdrawal” by the <i>IESO</i> is confirmed.	None.	Receipt of email.

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
1B.04	<i>IESO</i> assesses application for compliance with <i>market rules</i> Chapter 2 Section 9.	Various groups within the <i>IESO</i> are notified by Registration & Compliance Support of the <i>market participant's</i> intent to withdraw by e-mail along with a request they perform assessments to determine compliance with <i>market rules</i> Chapter 2 Section 9.	Receipt of internal e-mail from Registration & Compliance Support indicating <i>market participant's</i> desire to withdraw as a <i>market participant</i> .	Reports from various groups within the <i>IESO</i> detailing the compliance of the <i>market participant's</i> withdrawal as a <i>market participant</i> .	Internal email.	<i>IESO</i> groups inform <i>IESO</i> Market Relations Consultant of results of the assessments.
1B.05	<i>IESO</i> issues "Confirmation of Withdrawal Request".	<i>IESO</i> determines that request for withdrawal of the <i>market participant</i> is compliant and the Market Relations Consultant issues to the <i>market participant</i> a "Confirmation of Withdrawal Request", signed by the VP of Market Services.	Upon <i>IESO</i> determination that the withdrawal of the <i>market participant</i> complies with <i>market rules</i> Chapter 2 Section 9.	None.	None.	Terminated/Withdrawn status applied to <i>market participant's</i> Authorized task in the registration. <i>Market participant</i> withdrawn from Applicant's List on <i>IESO</i> Web site.
1B.06	<i>Market participant</i> receives "Confirmation of Withdrawal Request".	<i>Market participant</i> receives "Confirmation of Withdrawal Request".	When sent by <i>IESO</i> .	None.	None.	Confirmation of date of withdrawal as a <i>market participant</i> .

– End of Section –

Appendix A: Forms

This appendix contains a list of the forms, agreements and letters used in the *market participant* authorization, maintenance and exit processes.

The following table lists the forms and agreements, which are available on the *IESO* Web site (<http://www.ieso.ca>). The forms and agreements included are:

Form Name	Document Number
Application for Authorization to Participate	IMO-FORM-1016
Participation Agreement	MDP_AGR_0012
Prudential Support Information / Prudential Support Spreadsheet	IMO-FORM-1044
Market Participant Contacts	IMO-FORM-1238
Application for Withdrawal	IMO-FORM-1242
IESO System Access and Identity Management Form (Form 1276)	IMO-FORM-1276
TR Auction Information	IMO-FORM-1361
Prudential Support Obligation – Schedule A	IMO-FORM-1443
Prudential Support Posted – Schedule B	IMO-FORM-1444
Prudential Support Supplementary Form	IMO-FORM-1445
Declaration of Designated Consumer	IMO-FORM-1507
Transmission Rights Certification as an Eligible Commercial Entity	IMO-FORM-1540
OEB Generator Reporting and Record Requirements Consent Form	IMO-FORM-1541
Participation Amending Agreement	IMP_TPL_0006
Implementation of Three-Part Offer Form	IESO-FORM-1721

– End of Section –

References

The following table contains the list of all documents referenced in this procedure.

Document ID	Document Title
MDP_RUL_0002	Market Rules
MDP_PRO_0015	Market Manual 1: Market Entry, Maintenance & Exit Part 1.0: Market Entry, Maintenance & Exit Overview
MDP_PRO_0016	Market Manual 1: Market Entry, Maintenance & Exit Part 1.2: Facility Registration, Maintenance and De-registration
IMP_GDE_0088	Market Manual 1: Market Entry, Maintenance & Exit Part 1.3 PKI Operations Guide
MDP_PRO_0017	Market Manual 2: Market Administration Part 2.1: Dispute Resolution
MDP_PRO_0022	Market Manual 2: Market Administration Part 2.6: Treatment of Compliance Issues
MDP_PRO_0013	Market Manual 3: Metering Part 3.2: Metering Point Registration and Maintenance
MDP_PRO_0032	Market Manual 5: Settlements Part 5.2: Metering Data Processing
MDP_PRO_0045	Market Manual 5: Settlements Part 5.4: Prudential Support
MDP_PRO_0033	Market Manual 5: Settlements Part 5.5: Physical Markets Settlement Statements
IMO_PLAN_0001	Market Manual 7: System Operations Part 7.8: Ontario Power System Restoration Plan
IESO_MAN_0076	Market Manual 9: Part 9.1 Submitting Registration Data for the DACP
IMO_GDE_0001	Market Participant Emergency Planning Guidelines
IMO_MAN_0024	Market Manual 6: Participant Technical Reference Manual
	Legislation Bill 210 "Electricity Pricing, Conservation and Supply Act, 2002"
	Regulation 339/02 (Under the Ontario Energy Board Act, 1998) "Electricity Pricing"
	Regulation 433/02 (Under the Ontario Energy Board Act, 1998) "Electricity Pricing"

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