

Information documents are not authoritative. Information documents are for information purposes only and are intended to provide guidance. In the event of any discrepancy between an information document and any authoritative document¹ in effect, the authoritative document governs.

1 Purpose

This Information Document relates to the following Authoritative Document:

- Section 201.1 of the ISO rules, *Pool Participant Registration* (“Section 201.1”).

The purpose of this Information Document is to provide guidance to a market participant intending to participate in the Alberta electricity market or the ancillary services market, thereby becoming a pool participant.

2 How to Become a Pool Participant

The AESO recommends that the applicant contact the AESO at info@aeso.ca at least two (2) to three (3) months in advance of the in-service date and before submitting the *Pool Participant Application*. This ensures that the application process is complete by the time the applicant intends to participate in the Alberta electricity market.

An applicant completes the *Pool Participant Application*, as required by subsection 3 of Section 201.1 of the ISO rules, along with the *Pool Asset Addition Form* and the *Agent Appointment Request Form* where appropriate. Requirements concerning the appointment of an agent can be found in Section 201.2 of the ISO rules, *Appointment of an Agent*. The *Pool Participant Application* also requires the *Request for Banking Information* to be completed and attached. The *Request for Banking Information* form cannot be processed unless signed by an authorized corporate officer. If applying to the AESO as the legal owner of a generating unit, an applicant also submits a copy of the Alberta Utilities Commission site permit and a copy of a single line diagram.

An applicant that is properly registered to carry on business in Alberta, in accordance with the *Business Corporations Act*, may facilitate transactions in the power pool.

In accordance with section 103.3 of the ISO rules, *Financial Security Requirements*, an applicant is subject to a financial review by the AESO. The intent of the review is to assess the creditworthiness of an applicant in order to determine whether the AESO is able to grant the applicant an unsecured credit limit pursuant to section 103.3 of the ISO rules. An AESO credit analyst will contact the applicant to determine the amount of security the applicant is required to post with the AESO.

The corporate contact information required on the *Pool Participant Application* is for the purposes of the Energy Trading System. This individual is responsible for the authorization of all digital certificate requests, revocations and any contact information updates in the Energy Trading System.

3 Pool Asset Addition Forms

Before the AESO approves an application to become a pool participant, an applicant provides the following supporting documents along with the *Pool Participant Application* form as appropriate:

- (a) *Metered Asset Addition Form* - if the applicant is applying as the legal owner of a generating unit, aggregated facility, or energy storage resource;
- (b) *Unmetered Asset Addition Form* - if the applicant is applying as a marketer (importing or exporting power) or requesting virtual assets (no physical assets) located within the

¹ “Authoritative documents” is the general name given by the AESO to categories of documents made by the AESO under the authority of the *Electric Utilities Act* and associated regulations, and that contain binding legal requirements for either market participants or the AESO, or both. Authoritative documents include: the ISO rules, the reliability standards, and the ISO tariff.

interconnected electric system for the purposes of registering net settlement instructions.

- (c) *Distribution Retail & Self-Retail Asset Addition Request Form* - if the applicant is applying as a retailer or self-retailer.
- (d) *Transmission Retail & Self-Retail Asset Addition Request Form* - if the applicant is applying for transmission connected load.
- (e) If applying as an ancillary service provider, in addition to providing the *Pool Participant Application, Request for Banking Information* and *Ancillary Services Asset Request Form*, the applicant submits a single line diagram, an [Automated Dispatch and Messaging System Form](#), and one or all of the Technical Characteristics and Contact Information Forms located on the AESO's website.
- (f) If applying as a marketer (importing/exporting power), in addition to providing the *Pool Participant Application, Request for Banking Information, Unmetered Asset Addition Form* and *Automated Dispatch and Messaging System Form*, the applicant also provides an [Application for Import or Export Service](#).
- (g) If applying as a marketer registering net settlement instructions, the applicant submits the *Pool Participant Application, Request for Banking Information, and Unmetered Asset Addition Form*. No *Automated Dispatch and Messaging System Form* is required.

4 Digital Certificate

To ensure that the internet based communication between pool participants and the AESO is secure, pool participants purchase a digital certificate to access the AESO's Energy Trading System. Digital certificates allow pool participants to access their invoices and reports specific to the pool assets registered under their profile in the Energy Trading System. As per section 103.6 of the ISO rules, *ISO Fees and Charges*, the AESO charges an annual fee for each digital certificate requested, which appears on the applicable monthly pool statement. For security reasons, digital certificates require renewal on the anniversary date of the installation. The AESO sends an automatic notification to pool participants, via email, one month prior to the annual renewal date.

The [Participant ETS User Access Request and Authorization Form](#), along with other information on digital certificates, is found on the AESO's website. This form is submitted by email to cert.admin@aeso.ca.

The pool participant name and the corporate contact name on the *Participant ETS User Access Request and Authorization Form* must be exactly as they appear in the Energy Trading System in order for the digital certificate to be approved.

The AESO notifies the pool participant, via email, when the digital certificate is ready for pickup.

5 Automated Dispatch and Messaging System

In accordance with subsection 3(1) of section 203.1 of the ISO rules, *Offers and Bids for Energy*, a pool participant must submit an offer for each of its source assets with a maximum capability of five (5) MW or greater. A pool participant that submits an offer may receive a dispatch or directive. In accordance with Table 1 of subsection 7 of Section 201.10 of the ISO rules, *Automated Dispatch and Messaging System*, a pool participant who may receive a dispatch or directive must have an Automated Dispatch and Messaging System. To request an Automated Dispatch and Messaging System, an applicant completes and submits the [Automated Dispatch and Messaging System Request Form](#).

6 Disputes

If the applicant is not satisfied with any AESO decision, it may use the processes set out in section 103.2 of the ISO rules, *Dispute Resolution*, to resolve the matter.

7 Pool Participant Application Amendments

The following guidelines provide information on how to amend a *Pool Participant Application*. The documentation may be submitted via email to info@aeso.ca, with the original to follow via courier.

- a) Submit the appropriate *Asset Addition Form* to amend or add pool assets. The request to add a new pool asset comes from the corporate contact. Alternatively, the corporate contact can be copied on the request.
- b) Send an email notification to a member of the Operations Support team to request an amendment to company contact information in the Energy Trading System. The request comes from the corporate contact. Alternatively, the corporate contact can be copied on the request.
- c) For a company name change, provide written notice (i.e. corporate registry documents).
- d) For a transfer of a pool asset from one registered Energy Trading System party to another, provide a letter in writing that outlines the change, the parties involved and the effective date. In order for the transfer to be completed, the letter must be signed by an individual with signing authority for each party. Contact a member of the Operations Support team for a letter template.
- e) For a pool asset retirement, the pool participant provides the request in writing. This request comes from the corporate contact. Alternatively the corporate contact can be copied on the request.

8 Voluntary Termination of Registration by a Pool Participant

A pool participant may voluntarily terminate its pool participant registration as provided in subsection 8 of Section 201.1, *Pool Participant Registration*, by providing the request in writing and forwarding to the AESO at info@aeso.ca.

In order to voluntarily terminate its registration, a pool participant retires all pool assets listed opposite its name in the Energy Trading System or transfers them to another registered party so that the outcome is to have the pool participant's status changed from "active" to "inactive" in the Energy Trading System.

9 Pool Participant List and Pool Asset List

The AESO maintains a [Pool Participant List](#) which contains the registered names of all current pool participants. A pool participant's name remains on the list of pool participants until the AESO directs that it be removed.

The pool participant list contains the following information:

- (a) contact individual's name, phone number, mailing address, and fax number; and
- (b) where applicable, the agent's name.

The AESO maintains a [Pool Asset List](#). This list contains every pool asset (source/generation or sink/consumption) and the pool participant to which the pool asset is registered.

10 Contact Information

For additional clarification or further questions, please call the AESO FirstCall at 1-888-588-AESO (2376), or email info@aeso.ca.

Revision History

Posting Date	Description of Changes
2024-04-25	Administrative amendments to align with the Energy Storage ISO Rule amendments and new forms.
2016-09-28	Administrative amendments
2014-12-23	Administrative updates
2013-02-01	Updates to sections of the ISO rules
2012-12-05	Updates to links
2011-08-05	Updated links to various documents, removal of Appendix 2 – <i>Prudential Requirement and ISO Fees</i> . Addition of Appendix 2 – <i>Financial Security Requirements</i> and Appendix 3 – <i>ISO Fees and Charges</i>
2011-06-10	Updating links to various documents
2011-02-09	Revised Digital Certificate link
2010-09-17	Revised pool participant application
2010-06-10	Addition of Appendices, update of ISO Fee Schedule