

Minimum Filing Requirements for Preferential Sharing of Records Applications

The Commission has identified the following minimum information requirements to guide parties in completing their application to the Commission under subsection 3(3) of the *Fair, Efficient and Open Competition Regulation* (FEOC Regulation):

- (a) a description of the approval or order applied for and the duration of the approval or order applied for;
- (b) the grounds on which the application is made, including a representation by a senior officer of each party to the Preferential Information Sharing that the records will not be used for any purpose that does not support the fair, efficient and openly competitive operation of the electricity market, including the conduct referred to in section 2 of the FEOC Regulation, and a representation by a senior officer of the Applicant that the sharing of the records is reasonably necessary for the market participant to carry out its business;
- (c) a reference to the statutory provision under which the application is made;
- (d) a clear and concise statement of the facts relevant to the application, including a general description of the Preferential Information Sharing between the parties, the authority of parties to submit price and quantity records to the AESO, and the “offer control” of parties as that term is defined in the FEOC Regulation;
- (e) a copy of the agreement between the parties regarding Preferential Information Sharing;
- (f) a list of the applicant’s affiliates who are pool participants (if any), the agent and agent’s affiliates who are pool participants (if any);
- (g) any other information that may be useful in explaining or supporting the application;
- (h) the applicant’s name, mailing address, telephone number, fax number and, if available, e-mail address;
- (i) if the applicant is represented by a representative, the representative’s name, address in Alberta, telephone number, fax number and, if available, e-mail address
- (j) a representation by a senior officer of the party who obtains records pursuant to the Preferential Information Sharing that a formal program for internal compliance is in place regarding the information sharing requirements under the FEOC Regulation, and relevant details of the internal compliance program including a description of how the use of the records will be controlled and monitored.