

Minimum filing requirements for preferential sharing of records applications

The Commission has identified the following minimum information requirements to guide market participants submitting an application to the Commission to share records pursuant to Section 3(3) of the *Fair, Efficient and Open Competition Regulation*:

- (a) A clear and concise statement of the facts relevant to the application, including:
 - i) a reference to the statutory provision under which the application is made;
 - ii) a description of the approval or order applied for, including:
 - a. the units (asset ID's),
 - b. the types of records (related to energy, ancillary services and/or DDS), and
 - c. the market participant providing the records (the applicant) and the party receiving the records;
 - iii) the start and end dates of the approval or order applied for;
 - iv) a general description of the preferential information sharing between the parties;
 - v) the authority of parties to submit price and quantity records to the AESO; and
 - vi) 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 *Fair, Efficient and Open Competition Regulation*, including:
 - a. relevant details of the internal compliance program, and
 - b. a description of how the use of the records will be controlled and monitored..
- (b) The grounds on which the application is made, including:
 - i) 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; and,
 - ii) 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 but not limited to the conduct referred to in Section 2 of the *Fair, Efficient and Open Competition Regulation*.
- (c) A copy of the preferential information sharing agreement between the parties.
- (d) A list of the each parties affiliates who are market participants (if any), the agent and agent's affiliates who are market participants (if any).
- (e) The "offer control" as that term is defined and calculated (including each term used in the calculation) in the *Fair, Efficient and Open Competition Regulation* for each party to the agreement and each of their affiliates (listed individually, if any).
- (f) The applicant's name, mailing address, telephone number, fax number and, if available, e-mail address.
- (g) If the applicant is represented by a representative, the representative's name, address in Alberta, telephone number, fax number and, if available, email address.
- (h) Any other information that may be useful in explaining or supporting the application.