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| IESO (Connecting Today. Powering Tomorrow) Logo | **Market Rule Compliance and Enforcement Guidance Request** |

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| **Market Rule Compliance and Enforcement Guidance Request**  The Market Assessment and Compliance Division (MACD) of the *IESO* provides compliance and enforcement guidance with respect to the *Market Rules* and *market manuals* as a service to foster compliance and support the *IESO-administered markets* and *IESO-controlled grid*. This form is to be completed when requesting compliance and enforcement guidance, including requesting changes to an existing Interpretation Bulletin. Please review the instructions on pages 1 and 2, complete Parts 1-3 of this form and submit the completed form by email to the following address, using the Subject line indicated below.  **Email Address:** [CEG.Request.MACD@ieso.ca](mailto:CEG.Request.MACD@ieso.ca)  **Subject:** Market Rule Compliance and Enforcement Guidance Request  All information submitted in the Market Rule Compliance and Enforcement Guidance process will be used by the *IESO* solely in support of its obligations under the *Electricity Act, 1998,* the *Ontario Energy Board Act, 1998,* the *Market Rules* and associated policies, standards and procedures and its OEB license. All submitted information will be assigned the appropriate confidentiality level upon receipt.  Italicized terms and acronyms used in this form have the meanings ascribed thereto in Chapter 11 of the *Market Rules*.  **Disclaimer**  Any guidance developed in response to this Compliance and Enforcement Request assumes that complete and accurate information related to this request is provided to MACD. MACD’s guidance may change if there are subsequent amendments to relevant provisions in the *Electricity Act, 1998*, the *Market Rules, market manuals*, Interpretation Bulletins, or other applicable legislation or regulations. The guidance would not supersede the findings of the *Dispute Resolution Panel*, the *Ontario Energy Board*, the courts, or any other adjudicative body with jurisdiction over the subject matter of this document.  **Instructions for completing this form**  **Part 1 – Applicant Information:**  Please enter the relevant information as described below.  **Date of Request** (date the request is submitted)  **Name** (name of individual submitting the request – the “Applicant”)  **Title** (the job title of the Applicant within their organization or company)  **Organization/Company** (name of the Applicant’s organization/company)  **Facility** (if this request is in regard to a *registered facility* or *registered facilities* in the *IESO-administered-markets*, please specify which *registered facility* or *registered facilities*)  **Telephone** (the Applicant’s preferred telephone number)  **Fax** (the Applicant’s preferred fax number)  **E-mail address** (the Applicant’s preferred e-mail address)  **Part 2 – Market Rule Compliance and Enforcement Guidance Request Reference:**  For the purposes of this process, MACD considers that there are distinct types of guidance that would serve the objective of enabling compliance with the *Market Rules*. The categories below define those distinct types of guidance**.** Select the type of guidance being sought. For the purposes of these definitions, references to *Market Rules* include *market manual*s.   1. Rule Interpretation.   This type of guidance can involve explanations of the *Market Rule’s* language in order to explain the *Market Rule*’s basic parameters, such as whether it is mandatory or permissive, which entity is subject to the *Market Rule* and the legal thresholds that would have to be met for compliance. There is no consideration of specific facts, historical or prospective, relating to actions, events or conduct that would be governed by that *Market Rule*.   1. Application and Compliance Guidance   This type of guidance includes a Rule Interpretation of a *Market Rule* as defined above, as well as:   * 1. the application of the *Market Rule* in regard to specific planned, potential or hypothetical facts, events or conduct presented by the Applicant; and   2. a conditional compliance assessment in relation to the specific planned, potential or hypothetical facts, events or conduct presented by the Applicant.  1. Enforcement Guidance.   This includes an Application and Compliance Guidance as defined above, as well as guidance related to the likely or conditional MACD enforcement decision and/or action in cases where the Application and Compliance Guidance concludes that non-compliance with the *Market Rule* would likely be determined.  Please indicate the relevant *Market Rule* Chapter, section and subsection. If applicable, indicate the *market manual* name, volume, section and subsection.  If your request is in regard to an existing Interpretation Bulletin, please indicate the Interpretation Bulletin number.  **Part 3 – Details of the Request**  Please complete all sections and provide as much information and details as possible, so that MACD can most expeditiously assess the request and provide the appropriate guidance.  Where appropriate, the *IESO* may initiate other actions, including a compliance investigation, as a result of the submission of this request. Where appropriate, the *IESO* may *publish* the response developed for this request as an Interpretation Bulletin under Chapter 1 section 12 of the *Market Rules*  **Part 4 – Acknowledgement (For IESO use only)** |

# Part 1 – Applicant Information

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| **Please enter your name, organization and contact information in full.** | |
| Date of Request: |  |
| Name: | Title: |
| Organization/Company: | |
| Facility: | |
| Telephone:: | Fax: |
| E-mail Address: | |

## Part 2 – Market Rule Compliance and Enforcement Guidance Request Reference

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| Type of Compliance and Enforcement Guidance Being Sought (please indicate with x): | |
| **Rule Interpretation** |  |
| **Application and** **Compliance Guidance** |  |
| **Enforcement Guidance** |  |
| *Market Rule* Chapter/Section/Sub-section (Including baseline): | |
| *Market Manual* Name/Volume/Section/Sub-section (Including baseline): | |
| Interpretation Bulletin Number (Including version number): | |

### Part 3 – Details of the Request

Please provide details regarding your request, including:

* the reasons for the request and
* whether the request is in regard to any specific events, facts or conduct which have already occurred.

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If you are seeking an Application and Compliance Guidance or Enforcement Guidance, please provide details as to the specific planned, potential or hypothetical facts, events or conduct, including when they may or are likely to occur.

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Have you previously received any opinion from *IESO* staff as to the interpretation or application of the *Market Rule* or *market manual* section for which you are currently seeking guidance? (Y/N)

If yes, please provide details: What was the opinion? When was the opinion provided? Who provided the opinion? Under what circumstances was the opinion provided?

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Do you have your own view as to the appropriate interpretation and application of the subject *Market Rule* or *market manual*? (Y/N)

If yes, please provide your view.

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#### Part 4 – ACKNOWLEDGEMENT (For IESO Use Only)

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| CEG Request Number:  Date Request Received: |
| Date Acknowledgement Sent: |