Submit this form by e-mail to: exemptions@ieso.ca

**Subject: Request to Transfer Exemption**

All information submitted in this 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 licence. All submitted information will be assigned the appropriate confidentiality level upon receipt.

Terms and acronyms used in this Form that are italicized have the meanings ascribed thereto in Chapter 11 of the *market rules*.

| Part 1 – Exemption Applicant (Transferor) - General Information | |
| --- | --- |
| *Market Participant* Name: | |
| *Market Participant* No: | Date: |
| Address: | |
| City/Town: | Province/State: |
| Postal/Zip Code: | Country: |
| Main Contact | |
| Name: | |
| Telephone No.: |  |
| E-mail Address: | |
| **Alternative Contact** | |
| Name: | |
| Telephone No.: |  |
| E-mail Address: | |

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| --- | --- |
| Part 2 – Exemption Transferee - General Information | |
| Organization Name: | |
| *Market Participant* No.: | |
| Address: | |
| City/Town: | Province/State: |
| Postal/Zip Code: | Country: |
| Main Contact | |
| Name: | |
| Telephone No.: |  |
| E-mail Address: | |
| **Alternative Contact** | |
| Name: | |
| Telephone No.: |  |
| E-mail Address: | |

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| Part 3 – Request to Transfer Exemption |
| 1. Please specify the date on which the proposed *exemption* transferee will take ownership of the *facilities* or equipment that are presently the subject of this *exemption*.[[1]](#footnote-1)   Date:   1. Please provide, in reasonable detail, the reason for the proposed transfer. |

| Part 4 – Submission in Support of Request to Transfer Exemption |
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| The *IESO* considers applications to transfer *exemptions* based on a number of criteria set out below, as specified in Section 4.4 of the Exemption Application and Assessment Procedure. The following submission should respond to the criteria below. Responses may be included either as attachments or in the space provided below:  * whether the transfer meets the applicable conditions set forth in the *exemption* (other than the conditions relating to transfer) and whether the transfer would affect the ability of the proposed transferee to comply with all of the conditions of the *exemption*; * whether the proposed transferee is a *market participant* or undertakes in writing to the *IESO* to apply for authorization as a *market participant*; * whether the *exemption applicant* and the proposed transferee undertake in writing to the *IESO* to provide such information and documentation as may be required by the *IESO* to reflect the transfer (such as information pertaining to the registration of the equipment or *facilities*); * whether the extent to which the transfer of the *exemption* will impact the timely implementation of the plan to become compliant with the exempted obligation (such plan may be the *exemption* plan, modified as required by the Panel as part of the terms and conditions of the *exemption*); and * whether the transfer of the *exemption* raises significant incremental concerns regarding: * the ability of the *IESO* to direct the operations and maintain the *reliability* of, or ensure non-discriminatory access to, the *IESO-controlled grid*; * the ability of the *IESO* to operate the *IESO-administered markets* in an efficient, competitive and reliable manner; * the capability of either the proposed transferee or party acquiring control of the *exemption applicant* to operate the *facility* or equipment that is the subject matter of the *exemption* consistent with the conditions of the *exemption*; or * the costs borne by the *IESO* or other *market participants* above and beyond those that exist in respect of the *exemption applicant* and that cannot be adequately addressed with an amendment to the conditions of the *exemption*. |
| Submission Information: |

| Part 5 – Supporting Documentation Attached |
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| List any supporting documentation that is attached. |
| 1. |
| 2. |
| 3. |
| 4. |

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| Part 6 – Exemption Applicant (Transferor) Certification | | |
| The *exemption applicant* hereby declares that the information contained in and submitted in support of this document is, to the best of the *exemption applicant’s* knowledge, complete and accurate. | | |
| Name (Please Print) |  | Title |
| Signature |  | Date |
| Exemption Transferee Certification | | |
| The *exemption* transferee hereby acknowledges that the assets it is acquiring are subject to the terms and conditions set forth in the *exemption* decision and agrees to comply with those terms and conditions as specified in Section 4.4 of the Exemption Application and Assessment Procedure. | | |
| Name (Please Print) |  | Title |
| Signature |  | Date |
| Signed by the Main Contact – an officer of the *exemption* transferee organization with signing authority for agreements and contracts. | | |

[\* as identified in the Participant Life Cycle System]

| Part 7 – Confidentiality | | | |
| --- | --- | --- | --- |
|  | The *exemption applicant* and the *exemption* transferee agree that information on this application may be posted in its entirety on the *IESO* Web site in accordance with the provisions of the Exemption Applicationand Assessment Procedure.  *OR* | | |
|  | The *exemption applicant* and/or the *exemption* transferee claims confidentiality over parts of the *Exemption* Transfer Application in accordance with Section 1.3 of the Exemption Applicationand Assessment Procedure*.*  Parts of this *Exemption* Transfer Application over which confidentiality is claimed are highlighted, with reference to the *exemption applicant* or *exemption* transferee, as the case may be. The balance of the information on this *exemption* transfer application may be posted on the *IESO* Web site. | | |
| Name | |  | Title |

1. Note: Section 4.4 of the Exemption Application and Assessment Procedure provides that where an *exemption* does not set out the conditions of transfer or where *IESO* staff concludes that those conditions have not been met and an *exemption applicant* intends to sell, assign, lease, transfer control or otherwise dispose of equipment or *facilities* that are the subject-matter of an *exemption*, then the transfer request will require Panel approval*.* *IESO* staff will prepare a staff recommendation considering the nature of the request, the considerations set out below and the criteria in section 3.2.4. [↑](#footnote-ref-1)