



ATTACHMENT 6
MINIMUM CRITERIA FOR MARKET PARTICIPATION
INFORMATION DISCLOSURE FORM

Date: _____

Prepared by: _____

Customer/Applicant:¹ _____

I, _____, a duly authorized Senior Officer of _____ (“Certifying Entity”), understanding that ISO New England Inc. (“ISO”) is relying on this certification provided pursuant to Financial Assurance Policy Section II.A.1(a), hereby certify that I have full authority to bind Certifying Entity and further certify on behalf of Certifying Entity that the information contained herein is true, complete, and correct and is not misleading or incomplete for any reason, including by reason of omission:

1. List of all Principals.² Please discuss each Principal’s relationship with the Certifying Entity and describe each Principal’s previous experience related to participation in North American wholesale or retail energy markets or trading exchanges:

Name	Position	Experience

Name	Position	Experience

¹ Customer and Applicant are each defined in Section II.A of the ISO New England Financial Assurance Policy, Exhibit 1A to Section 1 of the ISO Transmission, Markets, and Services Tariff (“Tariff”). Capitalized terms used but not otherwise defined herein shall have the meaning given to them in the Tariff.

² Principal is (i) the sole proprietor of a sole proprietorship; (ii) a general partner of a partnership; (iii) a president, chief executive officer, chief operating officer or chief financial officer (or equivalent position) of an organization; (iv) a manager, managing member or a member vested with the management authority for a limited liability company or limited liability partnership; (v) any person or entity that has the power to exercise a controlling influence over an organization’s activities that are subject to regulation by the Federal Energy Regulatory Commission (“FERC”), the Securities and Exchange Commission (“SEC”), the Commodity Futures Trading Commission (“CFTC”), any exchange monitored by the National Futures Association (“NFA”), or any state entity responsible for regulating activity in energy markets; or (vi) any person or entity that: (a) is the direct owner of 10% or more of any class of an organization’s equity securities; or (b) has directly contributed 10% or more of an organization’s capital.

2. List all material litigation (criminal or civil) against Certifying Entity or any of the Certifying Entity's Principals, Personnel,³ or Predecessors,⁴ arising out of participation in any wholesale or retail energy market (domestic or international) or trading exchanges in the past ten (10) years:
(Enter N/A if not applicable)

3. List all sanctions issued against or imposed upon Certifying Entity, Certifying Entity's Principals, Personnel, or Predecessors, by the FERC, the SEC, the CFTC, any exchange monitored by the NFA, or any entity responsible for regulating activity in any wholesale or retail energy market (domestic or international) or trading exchanges where such sanctions were either imposed in the past ten (10) years or, if imposed prior to that, are still in effect. List all known material ongoing investigations regarding Certifying Entity, Certifying Entity's Principals, Personnel, or Predecessors, imposed by the FERC, the SEC, the CFTC, any exchange monitored by the NFA, or any entity responsible for regulating activity in any wholesale or retail energy market (domestic or international) or trading exchanges:
(Enter N/A if not applicable)

³ Personnel means any person, current or former, responsible for decision making regarding Certifying Entity's transaction of business in the New England Markets, including, without limitation, decisions regarding risk management and trading, or any person, current or former, with access to enter transactions into ISO systems. Disclosures regarding former Personnel shall only be required for when such Personnel was employed by Certifying Entity.

⁴ Predecessor shall mean any person or entity whose liabilities, including liabilities arising under the Tariff, have or may have been retained or assumed by Certifying Entity, either contractually, by operation of law or considering all relevant factors, including the interconnectedness of the business relationships, overlap in relevant personnel, similarity of business activities, overlap of customer base.

4. Provide a summary of any bankruptcy, dissolution, merger, or acquisition of Certifying Entity in the past ten (10) years (include date, jurisdiction, and other relevant details):
(Enter N/A if not applicable)
5. List all wholesale or retail energy market-related operations in North America where Certifying Entity is currently participating, or, in the past five (5) years, has previously participated other than in the New England Markets (e.g., PJM - FTRs):
(Enter N/A if not applicable)
6. Describe if Certifying Entity or any of Certifying Entity's Principals, Personnel, or any Predecessor of the foregoing ever had its participation or membership in any independent system operator or regional transmission organization (domestic or international) terminated, its registration/membership application denied, or is subject to an existing uncured suspension from participating in the markets of any independent system operator or regional transmission organization (domestic or international), each in the past five (5) years.
(Enter N/A if not applicable)

If you are currently an active participant and this is your annual submission you do not have to complete Question 7 and can skip to the signature block below. If you are in the process of applying for membership with the ISO you are required to answer the additional questions listed below.

7. Describe how Certifying Entity plans to fund its operations, including persons or entities providing financing and such person(s)' or entity(ies)' relationship to the Certifying Entity. Include any relationships that may impact Certifying Entity's ability to (a) comply with the time frames to post financial assurance and/or pay invoices or other amounts owed to the ISO, each as required by the Tariff; or (b) provide a first priority perfected security interest in required financial assurance to the ISO:

Certifying Entity: _____

By: _____

(Signature)

Print Name: _____

Title: _____

Date: _____

** To satisfy the disclosure requirements above, a Certifying Entity may attach additional materials and may provide the ISO with filings made to the SEC or other similar regulatory agencies that include substantially similar information to that required above, provided that Certifying Entity clearly indicates where the specific information is located in those filings.