**M****embership Applicant Questionnaire**

New England Market / New England Power Pool

**Please note:** All Applicants are required to provide detailed information to the New England Membership Coordinator regarding any changes to the information supplied herein after the application has been submitted. Capitalized terms used but not defined in this Questionnaire are intended to have the same meaning given to such terms in the Second Restated New England Power Pool Agreement (the “2d RNA”), the Participants Agreement (“PA”), or the ISO New England Inc. (“ISO”) Transmission, Markets and Services Tariff (“ISO Tariff”). Applications expire 12 months from the date the application is reviewed by the Membership Subcommittee. All materials may be subject to update if 6 months or older. **Application fees paid are non-refundable.**

1. **Applicant Name (full corporate name or full name if Applicant is an individual):

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

 **A. Corporate Form.** Applicant is *(please check appropriate category):*

[ ]  Corporation created under the laws of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

[ ]  LLC (limited liability company) created under the laws of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

[ ]  Political subdivision (US or US State, Canada or Canadian Province, or an agency thereof)

[ ]  Partnership [ ]  Natural Person [ ]  Electric cooperative

[ ]  Other (please describe): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 **B. Date of incorporation/formation/organization (MM-DD-YYYY):**

 **C. Registered & Principal Place of Business**:

 **D. Description of Applicant’s business operations**:

 **E.** **Prior New England Registration.** Has Applicant previously registered with the ISO or NEPOOL?

 [ ]  No. Proceed to Section II.

[ ]  Yes. Provide Participant Name and ID number:

1. **Web Page Address:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. **Applicant Dun & Bradstreet Number:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

***All Applicants must have a D&B number assigned to the Applicant named in Section I.***
If applied for but not yet received, please so indicate.

###### **Related Persons that are Participants**. Does Applicant have a Related Person/Affiliate that is currently a NEPOOL Member or Market Participant?

 [ ]  No Proceed to Section V.

 [ ]  Yes. Please provide the name of the Related Person(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

###### **Requested Effective Date of Membership:**  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Please note: Requested Effective Date should reflect the first day of a month and allow for the 60-day notice period required by the FERC following the approval of the application. Applicants which wish to be treated as if they were Participants during the interim period before the FERC has acted in a favorable manner on their application may request an earlier Effective Date with the understanding that requests for such treatment will generally be granted subject to execution of an Indemnification Agreement with the ISO and NEPOOL.)

###### **Activities.** Please identify all activities that Applicant will or plans to conduct in New England *(pending appropriate approvals)* as a New England Market and/or NEPOOL Participant *(select all that apply*):

[ ]  **Alternative Resource Provider** (“substantial business interest” in Alternative Resources located within the New England Control Area)

[ ]  **Broker** (arranges power transactions without taking title)

[ ]  **Cooperative**

[ ]  **End User**: [ ]  **Governance Only Member** [ ]  **Market Participant End User** (“MPEU”)

[ ]  **Large End User** (a single end user with a peak monthly demand for load in New England, including load served by End User Behind-the-Meter Generation, of at least one 1 MW, or a group of 2 or more corporate entities each with a peak monthly demand (non-coincident) for load in New England, including load served by End User Behind-the-Meter Generation, of at least 0.35 MWs that together totals at least 1 MW). *Please indicate peak monthly demand (non-coincident) for load in New England, including load served by End User Behind-the-Meter Generation*: \_\_\_\_\_\_\_MW.

[ ]  **End User Organization**

[ ]  Non-profit organization ( \_\_\_\_ 501(c)(3); \_\_\_\_\_ (other) ) with an organized board of directors and a membership of:

[ ]  at least 100 Entities that buy electricity at wholesale or retail in the New England states; or

[ ]  Entities with an aggregate peak monthly demand (non-coincident) for load in New England, including load served by End User Behind-the-Meter Generation, of at least 10 MW.

[ ]  **Municipality** or other **governmental agency** located in New England which does not meet the definition of Publicly Owned Entity

[ ]  **Small End User** (an End User which is not a Large End User or End User Organization.)

[ ]  **Exempt Wholesale Generator (“EWG”)**

[ ]  **Financial Marketer/Trader** (submits Increment Offers and/or Decrement Bids in the Day-Ahead Market)

[ ]  **FTR-Only Customer**

[ ]  **Fuels Industry Participant** (as defined in the 2d RNA)

[ ]  **GIS-Only Participant** (as defined in the 2d RNA)

[ ]  **Independent Power Producer** (exclusive business is owning or owning and operating all or a part of one or more generating facilities and selling electric energy at wholesale or retail, but not an EWG or QF)

[ ]  **Load Aggregator** (purchases at wholesale to sell at retail)

[ ]  **Publicly Owned Entity** (as defined in the 2d RNA)

[ ]  **Power Marketer** (purchases and sells at wholesale)

[ ]  **Provisional Member** (see 2d RNA for qualifications)

[ ]  **Qualifying Facility (“QF”).** *Please provide the FERC docket number in which:*

[ ]  **Related Person Supplier** (see 2d RNA for qualifications)

[ ]  **Transmission and/or Distribution Company**

[ ]  **Other** (please describe) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

######

1. **Regulatory Authorization.** Markets Participantsmust either (i) have on file with the FERC market-based rate authority or other FERC-approved basis for setting prices for services offered by means of the New England Transmission System or (ii) be exempt from the requirement to have, or otherwise not be required to have, rates for services on file with the FERC. Please provide the FERC docket number in which:

[ ]  FERC granted market-based rate authorization \_ER\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

[ ]  EWG status was obtained \_EG\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

[ ]  QF status was obtained \_QF\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

[ ]  Describe other FERC-approved basis \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

[ ]  Exempt from, or not subject to, FERC requirements to have rates on file with the FERC

###### **Generation (All Applicants):**

**A. Applicant’s Generation**

[ ]  No Generation. (proceed to VII.B)

[ ]  Developing Generation.\*

[ ]  (i) Owns, or (ii) leases with rights equivalent to ownership, facilities for the generation of electric energy that are located in the New England Control Area.\*

*\* Please indicate on a separate sheet of paper attached to this Questionnaire the following information for each such facility: (1) CELT Asset ID (if known); (2) Total Generation (Name-Plate Capacity); (3) Net Generation; and (4) Ancillary services to be provided*.

**B. Affiliate’s Generation**

[ ]  No Generation.

[ ]  Affiliate(s) (i) Own, or (ii) lease with rights equivalent to ownership, facilities for the generation of electric energy that are located in the New England Control Area. *Please indicate on a separate sheet of paper attached to this Questionnaire a list of Generation assets in the New England Control Area owned by your Affiliates identified pursuant to Section XII.*

###### **OATT Information (All Applicants):**

**A. Business Across the External Interfaces**. Does the Applicant anticipate conducting business across the external interfaces under the ISO’s Open Access Transmission Tariff (“OATT”)?

[ ]  **No.** Proceed to VIII.B below.

[ ]  **Yes.**

1. **NERC Purchasing Selling Entity (PSE) code**: \_\_\_\_\_\_\_\_

1. Applicant must (i) complete the OASIS registration process for external transactions, which is described in detail on the ISO’s website: <https://www.iso-ne.com/participate/applications-status-changes/access-software-systems>.

***PLEASE NOTE: OASIS access will only be approved for a Market Participant as defined by its associated DUNs number. OASIS certificates will not be approved for member company branches with a different number than the member.***

**B. Regional Network Load**. Does the Applicant anticipate that it will be responsible for Regional Network Load under Section II.B. of the OATT?

[ ]  **No.** Proceed to Section XI or XII if applicable; Section XIII if not.

[ ]  **Yes.** Applicant may need to complete and submit an Application for Regional Network Service (“RNS Application”). Prior to submitting a completed RNS Application, it is recommended that the Applicant contact ISO-NE Participant Support (askiso@iso-ne.com**)** and request guidance from the ISO-NE Operations Tariff & Agreement Manager with regard to the need to submit an application at this time. The RNS Application can be found at: <http://www.iso-ne.com/static-assets/documents/trans/services/types_apps/rns_tout_srvc_agrmnt_app.docx>.

###### **Market Participant End User Information (if applicable):**

**A. Current LDC** (Local Distribution Company): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**B. MPEU Accounts to be Served.** List ALL account number(s) and/or meter number(s) for loads to be served by Applicant as an MPEU (attach separate sheet if necessary):

|  |  |
| --- | --- |
| ***Account Number(s) and/or*** | ***Meter Number(s)*** |
|  |  |
|  |  |

**C. Peak Load**. Highest aggregated hourly load in any month in the preceding year (“Peak Load”) for all accounts listed in Section IX.B above:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**D. Authorization:** By submission of this questionnaire, Applicant expressly authorizes the LDC identified in IX.A above to release to ISO and NEPOOL representatives the information necessary to determine and/or verify Applicant’s coincident Peak Load, subject to the terms and conditions of the ISO New England Information Policy.

###### **Alternative Resources Provider Data (if applicable):**

**A. Aggregate Governance Rating.[[1]](#footnote-1)** For all Alternative Resources (“AR”) owned or controlled by Applicant **or** its Related Persons in the New England Control Area:

Renewable Generation:\_\_\_\_\_\_\_\_MW Distributed Generation:\_\_\_\_\_\_\_\_MW Load Response:\_\_\_\_\_\_\_\_MW

**B. Substantial Business Interest in Alternative Resources** (*check and complete all that apply*)**:**

[ ]  at least 75% of the Energy resources owned or controlled by the Undersigned within the New England Control Area are Alternative Resources. Alternative Resources are \_\_\_\_\_\_\_\_\_\_% of the Energy resources owned or controlled by the Undersigned within the New England Control Area.

[ ]  Applicant owns or controls at least 50 MW of AR within the New England Control Area.

[ ]  has an independently verifiable capital investment in its Alternative Resources in the New England Control Area of at least $30 million.

**AND**

 [ ]  the quantity of Alternative Resources (in megawatts) and other generation resources in the New England Control Area owned or controlled by it (\_\_\_\_\_\_\_\_\_\_MW) exceeds the highest quantity of hourly Governance Load responsibility held by the Participant in the prior twelve (12) months (\_\_\_\_\_\_\_\_\_\_MW).

[ ]  the quantity of generation (in megawatt hours) in the past twelve months from Alternative Resources and other generation resources in the New England Control Area that the Participant owns or controls (\_\_\_\_\_\_\_\_\_\_MWh) exceeds the total quantity of Governance Load responsibility held by the Participant in the prior twelve (12) months (\_\_\_\_\_\_\_\_\_\_MWh).

[ ]  the Participant has not held any Governance Load responsibility in the prior twelve (12) months.

**OR**

[ ]  Applicant is unable to check a box in each part of Section X.B. above and requests a determination by the AR Sector and Participants Committee that it has “a Substantial Business Interest” in AR.

###### **Sector or Provisional Member Selection.** Please indicate the Sector you will join as a Participant of the New England Power Pool *(check only one)*:

[ ]  **Generation Sector.** Aggregate Winter Capability (in megawatts) for your generation facilities in the New England Control Area: \_\_\_\_\_\_\_\_. (2d RNA Section 6.2(a))

[ ]  **Individual Voting Member**. (if > 15 MW and not electing the Group Seat immediately below)

[ ]  **Group Seat**. \*\*(mandatory under 15 MW; optional 15 MW and above)

[ ]  **Transmission Sector.** Amount of original capital investment in PTF owned or leased with rights equivalent to ownership in PTF: \_\_\_\_\_\_\_\_. (2d RNA Section 6.2(b))

[ ]  **Supplier Sector.** (2d RNA Section 6.2(c))

[ ]  **Alternative Resources Sector.** (Check one Sub-Sector and one certification). *Note: a Participant eligible to join the End User Sector shall not join the AR Sector. (2d RNA Section 6.2(d))*

[ ]  **Renewable Generation** Sub-Sector (2d RNA Section 6.2(d)(i)(1))

[ ]  **Distributed Generation** Sub-Sector (2d RNA Section 6.2(d)(i)(2))

[ ]  **Load Response** Sub-Sector (2d RNA Section 6.2(d)(i)(3))

Applicant certifies that it, together with all of its Related Persons (*check only one*):

[ ]  meets the minimum requirements necessary to designate an individual voting member, and an alternate to the member, of each Principal Committee in the AR Sub-Sector selected above. The names of each Principal Committee member and alternate to that member are listed in Section **XIII**.

[ ]  elects together with the AR Providers identified herein (together, the “Self-Defined Group”) to be represented by a “self-defined” group voting member and an alternate to that member for each Principal Committee. The Self-Defined Group meets the minimum requirements of the AR Sub-Sector selected above for the designation of a “self-defined” group voting member. The names of each Principal Committee voting member and alternate to that member for the Self-Defined Group are listed in Section **XIII**.

 The Self-Defined Group will be composed of the following AR Providers: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

[ ]  is entitled and elects to join the Large Renewable Generation Group Seat.

[ ]  will join the Small Group Seat of the Sub-Sector identified above.

[ ]  **Publicly Owned Entity Sector.** (2d RNA Section 6.2(e))

[ ]  **End User Sector.** (2d RNA Section 6.2(f))

[ ]  **Governance Only Member**

[ ]  **Market Participant End User (MPEU)**

**OR**

[ ]  **Provisional Member Group Seat.** (Provisional Members that do not have a Participant Related Person in a Sector will be assigned to this group seat). Applicant intends to join the following Sector when eligible: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

###### **Affiliate Information:**

The governance provisions of the 2d RNA require that Related Persons[[2]](#footnote-2) vote together on NEPOOL matters. The Related Person definition is one that was required by the FERC and agreed to among the Participants. In addition, the ISO has an obligation to ensure that members of its board of directors and staff are not affiliated with any of the NEPOOL Participants and their Affiliates.[[3]](#footnote-3) The Participants and the FERC required that policies related to affiliation be implemented to enhance the perceived and actual independence of the ISO. There are additional Tariff provisions that require Affiliate evaluation. To ensure compliance with these obligations, each Governance Participant is required to identify its Affiliates. Accordingly, please provide a **flow chart** illustrating the corporate structure of which applicant is a part, including **all parent and subsidiary relationships**; and **every** other Affiliate that is a:

* + - **Market Participant Affiliate** (any Affiliate that is an ISO customer and/or NEPOOL member, or a market participant in another wholesale electricity market);
		- **Code of Conduct Affiliate** (any Affiliate whose securities[[4]](#footnote-4) trade or are available publicly); or
		- **LOC Affiliate** (any Affiliate that is included on the ISO’s list of “Acceptable Letter of Credit Banks” posted at: <http://www.iso-ne.com/static-assets/documents/stlmnts/assur_crdt/approved_letter_of_credit_banks.pdf>.

###### **Application Contact Information *(leave no box empty)*:**

**A. Application Contacts** (for further information regarding this application)**:**

|  |  |
| --- | --- |
| **Application Primary Contact** Name:Title:Address:Phone:Fax:E-mail: | **Application Alternate Contact**Name:Title:Address:Phone:Fax:E-mail: |

**B. Financial Assurance (“FA”) Contacts *(2 contacts required)*:**

|  |  |
| --- | --- |
| **Primary FA Contact**Name:Title:Address:Phone:Fax:E-mail: | **Alternate FA Contact**Name:Title:Address:Phone:Fax:E-mail: |

**C. Affiliate Information and Asset Registration Contacts:**

|  |  |
| --- | --- |
| **Affiliate Information Contact:**Name:Title:Address:Phone:Fax:E-mail: | **Asset Registration Contact:**Name:Title:Address:Phone:Fax:E-mail: |

D. Participant Contact *(only if Applicant (i) is a Related Person to a current NEPOOL Participant or (ii) will be represented by a group voting member)*:

|  |  |
| --- | --- |
| **Participant Contact** Name:Title:Address:Phone:Fax:E-mail: | **Participant Contact** Name:Title:Address:Phone:Fax:E-mail: |

1. Principal NEPOOL Committee Designations  *(only if Applicant (i) is not a Related Person to a current NEPOOL Participant or (ii) will not be represented by a group voting member)*:

**A. PARTICIPANTS COMMITTEE**

|  |  |
| --- | --- |
| **NPC Member** Name:Title:Address:Phone:Fax:E-mail: | **NPC Alternate**Name:Title:Address:Phone:Fax:E-mail: |

**B. MARKETS COMMITTEE**

|  |  |
| --- | --- |
| **Markets Committee Member** Name:Title:Address:Phone:Fax:E-mail: | **Markets Committee Alternate**Name:Title:Address:Phone:Fax:E-mail: |

**C. RELIABILITY COMMITTEE**

|  |  |
| --- | --- |
| **Reliability Committee Member** Name:Title:Address:Phone:Fax:E-mail: | **Reliability Committee Alternate**Name:Title:Address:Phone:Fax:E-mail: |

**D. TRANSMISSION COMMITTEE**

|  |  |
| --- | --- |
| **Transmission Committee Member** Name:Title:Address:Phone:Fax:E-mail: | **Transmission Committee Alternate**Name:Title:Address:Phone:Fax:E-mail: |

###### **Registration For Eligible FTR Bidder and/or FTR Holder Status:**

 Complete only if registering for Eligible FTR Bidder and/or FTR Holder Status

**A. First Auction Period for which Market Participant requests it be deemed an Eligible FTR Bidder and/or FTR Holder (MM/YYYY):

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

(Please note: The First Auction Period requested should allow for satisfaction of the applicable financial assurance criteria, which is Exhibit IA to the ISO Tariff, and any other standards and procedures that may be set forth in the ISO New England Manuals and ISO New England Administrative Procedures)

**B. Eligible FTR Bidder or FTR Holder Contact Information:**

|  |
| --- |
| **Correspondence in connection with the administration of FTR Auction should be addressed to:****Contact(s) and Titles(s):** Primary: Alternate: |
| Address – Street | City, State | Zip |
| **Phone(s):** | **Fax #:** | **E-mail address(es):** |

 **C. Authorization**

The undersigned Participant hereby registers as shown above to become an Eligible FTR Bidder and/or FTR Holder in accordance with the ISO New England Filed Documents and System Rules, including the ISO Tariff and the Market Rules.

 Participant FTR Customer

 \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 By its Duly Authorized Officer

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

###### **NEPOOL Agreement Counterpart Signature Page & Evidence of Due Authorization:**

###### ***Counterpart Signature Page***: A counterpart to the New England Power Pool Agreement immediately follows this page and should be completed and returned, together with the appropriate evidence of due authorization (as described immediately below), with this application.

###### **Evidence of *Due* Authorization**: Applicants are required to provide one of the following:

1. a certified copy of a vote of the applicant’s board of directors, or such other body or bodies as may be appropriate, duly authorizing the execution, delivery and performance of the NEPOOL Agreement (*see* Certified Resolution template immediately following the Counterpart Signature page); or
2. an opinion of competent outside counsel, reasonably acceptable to NEPOOL Counsel, that the execution, delivery and performance of the NEPOOL Agreement by the applicant has been duly authorized; and, an affidavit of the duly-authorized officer that executed the NEPOOL Agreement that he/she fully understands and acknowledges the financial obligations that could arise under the 2d RNA and the ISO Tariff from participation in the New England Power Pool and/or the New England Markets.

**COUNTERPART SIGNATURE PAGE**

**NEW ENGLAND POWER POOL AGREEMENT**

IN WITNESS WHEREOF, the undersigned has caused this counterpart signature page to the New England Power Pool Agreement, being dated as of September 1, 1971, as amended, to be executed by its duly authorized representative as of \_\_\_\_\_\_ .

 (please insert date)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 (Applicant Company Name)

By: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name:

Title:

Company:

Address:

*(Please adjust this template to fit specific corporate form and authorizations of Applicant)*

 **RESOLUTION FOR ADOPTION BY NEPOOL APPLICANTS**

**CERTIFIED RESOLUTION
{pick one} OF THE BOARD OF DIRECTORS [if a corporation]
OF THE [authorized body, e.g. Members Committee, if a LLC]**

The undersigned, being the Secretary of the [Applicant Name] (the “Company”), a [State] [{pick one}[corporation/limited liability company/partnership], certifies that on a meeting of the [{pick one} [Board of Directors][authorized body, e.g. Members Committee][Partners] of the [Company] held on [Date] in accordance with the provisions of the duly-adopted by-laws of the [Company], the following resolution was adopted and the same remains in full force and effect as of the date hereof.

RESOLVED, that the [Company] shall apply to become a Participant in the New England Power Pool under the New England Power Pool Agreement dated as of September 1, 1971, as amended, (the “Agreement”) and the [{pick one}[officers are severally][[name of individual] is] authorized to execute a counterpart of the Agreement on behalf of the [Company] and to cause the [Company] to perform its obligations under the Agreement upon the effectiveness of its membership.

Dated:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

By [Name of Secretary]

Its Secretary

**AFFIDAVIT**

I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, being duly sworn, depose and say that:

1. I am [insert OFFICER (or equivalent) TITLE] of [insert APPLICANT NAME], and as a duly authorized representative of [insert APPLICANT NAME] with the power and authority to execute contracts on behalf of [insert APPLICANT NAME], I am making this affidavit on behalf of [insert APPLICANT NAME].
2. I have reviewed the Second Restated New England Power Pool Agreement (“2d RNA”) and ISO New England Inc.’s Transmission, Markets and Services Tariff (“ISO Tariff”), including the billing policy and financial assurance policies set forth as Exhibits to Section I of the ISO Tariff, and I fully understand and acknowledge [insert APPLICANT NAME]’s financial obligations that could arise under the 2d RNA and the ISO Tariff from participation in the New England Power Pool and/or the New England Markets.

I declare under the pains and penalties of perjury that I have reviewed this affidavit and the statements I have made in it and declare that they are true.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Name:
Title:
Company: Address:

Subscribed to and sworn before me on this \_\_\_\_\_ day of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, 202\_\_\_.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Notary Public
My Commission Expires:

###### **Provide financial and other required documentation to ISO New England**

The complete list of membership registration requirements can be found on the ISO New England website at: <https://www.iso-ne.com/participate/applications-status-changes/new-registration/registration-checklist>. Please refer to the webpage for links to registration documents and additional information for membership activation.

###### **Membership Subcommittee Consideration**:

###### In order to avoid any deferral of, or delay in, consideration of the Application, Applicants must participate in the Membership Subcommittee meeting at which the Application will be considered. Notice of the meeting, together with specifics as to location (if in-person) or dial-in information (if teleconference), will be provided during the week before the Membership Subcommittee meeting.

###### **Additional Application Materials:**

###### Applicants will be provided, as applicable, an execution copy of NEPOOL’s Standard Conditions, Waivers, and Reminders (“SCWRs”), a Market Participant Service Agreement (“MPSA”) and an Indemnification Agreement following conditional acceptance by the NEPOOL Membership Subcommittee. Those materials will be sent electronically to the Application Contacts identified in Section XIII above.

###### **Additional Questions**:

###### If you have any questions pertaining to membership as a Governance Participant, to avoid any confusion or misinformation that could result from differing interpretations of questions and/or answers, please contact:

# Membership Support ISO New England Inc.

One Sullivan Road

Holyoke, MA 01040-2841

E-mail: memcoord@iso-ne.com

1. 1 Governance Rating is (a) for electric generating units or combination of units (other than a Distributed Generation Resource), (i) the Winter Capability of such unit or combination of units determined by the ISO, or (ii) the aggregate name plate rating of such unit or combination of units; (b) for Demand Response Resources, the highest adjusted capability value (determined in accordance with the Load Response Program) for those Demand Response Resources in the prior twelve (12) months; (c) for Distributed Generation Resources not participating in the New England Markets or the Load Response Program, the name plate rating of the Distributed Generation Resource; or (d) for Energy Efficiency Resources, the highest verified co-incident peak savings provided during the hours of the Load Response Program during the prior twelve (12) months. [↑](#footnote-ref-1)
2. Section 1 of the 2d RNA provides that, “A Related Person of a Participant is (a) for all Participants, either (i) a corporation, partnership, business trust or other business organization 10% or more of the stock or equity interest in which is owned directly or indirectly by, or is under common control with, the Participant, or (ii) a corporation, partnership, business trust or other business organization which owns directly or indirectly 10% or more of the stock or other equity interest in the Participant, or (iii) a corporation, partnership, business trust or other business organization 10% or more of the stock or other equity interest in which is owned directly or indirectly by a corporation, partnership, business trust or other business organization which also owns 10% or more of the stock or other equity interest in the Participant , or (iv) a natural person, or a member of such natural person’s immediate family, who is, or within the last 6 months has been, an officer, director, partner, employee, or representative in NEPOOL activities of, or natural person having a material ongoing business or professional relationship directly related to NEPOOL activities with, the Participant or any corporation, partnership, business trust or other business organization related to the Participant pursuant to clauses (i), (ii) or (iii) of this Section (a); and (b) for all End User Participants which are also natural persons, a Related Person is (i) a member of such End User’s immediate family, or (ii) a Participant and any corporation, partnership, business trust, or other business organization related to the Participant pursuant to clauses (i), (ii) or (iii) of Section (a), of which such End User Participant, or a member of such End User Participant’s immediate family, is, or within the last six (6) months has been, an officer, director, partner, or employee of, or with which an individual End User Participant has, or within the last twelve (12) months had, a material ongoing business or professional relationship directly related to NEPOOL activities, or (iii) another Participant which, within the last twelve (12) months, has paid a portion of the End User Participant's expenses under Section 14 of [the NEPOOL] Agreement, or (iv) a corporation, partnership, business trust or other business organization in which the End User Participant owns stock and/or equity with a fair market value in excess of $50,000. (c) Notwithstanding the foregoing, for the purposes of this definition, an individual shall not be deemed to have or had a material on-going business relationship directly related to NEPOOL activities with any corporation, partnership, business trust, other business organization or Publicly Owned Entity solely as a result of being served, as a customer, with electricity or gas.” [↑](#footnote-ref-2)
3. Pursuant to the ISO’s Code of Conduct, Affiliate “with respect to an entity, means any individual, corporation, partnership, firm, joint venture, association, joint-stock company, trust or unincorporated organization, or other form of entity, directly or indirectly Controlling, Controlled by, or under common Control with, such entity. The term “Control” means the possession, directly or indirectly, of the power to direct the management or policies of an entity. A voting interest of ten percent or more creates a rebuttable presumption of control.” [↑](#footnote-ref-3)
4. “Securities” means stocks, stock options, bonds and any other instruments of debt or equity, and includes all interests in debt or equity instruments, including, without limitation, secured and unsecured bonds, debentures, notes, securitized assets, commercial paper, preferred and common stock, any beneficial or legal interest derived from a trust, and any right to acquire any long or short position in such securities, including, without limitation, interests convertible into the aforementioned securities, options, rights, warrants, puts, calls and straddles with respect to such securities. [↑](#footnote-ref-4)