

Commercial Operations Market Guide

January 1, 2021

Commercial Operations Market Guide

Table of Contents

January 1, 2021

| | | |
|----------|---|------------|
| 1 | PURPOSE..... | 1 |
| 2 | DEFINITIONS AND ACRONYMS..... | 2-1 |
| 2.1 | Definitions..... | 2-1 |
| 2.2 | Acronyms..... | 2-1 |
| 3 | ORGANIZATIONAL STRUCTURE..... | 1 |
| 3.1 | Electric Reliability Council of Texas..... | 1 |
| 3.1.1 | ERCOT Wholesale Client Services..... | 1 |
| 3.1.2 | Help Desk..... | 2 |
| 3.2 | Wholesale Market Subcommittee (WMS)..... | 2 |
| 4 | PROCESS FOR COMMERCIAL OPERATIONS MARKET GUIDE REVISION..... | 4-1 |
| 4.1 | Introduction..... | 4-1 |
| 4.2 | Submission of a Commercial Operations Market Guide Revision Request..... | 4-2 |
| 4.3 | Commercial Operations Market Guide Revision Procedure..... | 4-2 |
| 4.3.1 | Review and Posting of Commercial Operations Market Guide Revision Requests..... | 4-2 |
| 4.3.2 | Withdrawal of a Commercial Operations Market Guide Revision Request..... | 4-3 |
| 4.3.3 | COPS Review and Action..... | 4-4 |
| 4.3.4 | Comments to the COPS Report..... | 4-5 |
| 4.3.5 | Commercial Operations Market Guide Revision Request Impact Analysis..... | 4-5 |
| 4.3.6 | COPS Review of Impact Analysis..... | 4-6 |
| 4.3.7 | ERCOT Impact Analysis Based on COPS Report..... | 4-6 |
| 4.3.8 | Protocol Revision Subcommittee Review of Project Prioritization..... | 4-6 |
| 4.3.9 | Technical Advisory Committee Vote..... | 4-6 |
| 4.3.10 | ERCOT Board Vote..... | 4-8 |
| 4.4 | Appeal of Action..... | 4-9 |
| 4.5 | Urgent Requests..... | 4-9 |
| 4.6 | Commercial Operations Market Guide Revision Implementation..... | 4-10 |
| 5 | [Section intentionally left blank] | |
| 6 | [Section intentionally left blank] | |
| 7 | [Section intentionally left blank] | |
| 8 | ERCOT SETTLEMENT AND INVOICE PROCESS..... | 8-1 |
| 8.1 | Invoice Process..... | 8-1 |
| 8.1.2 | Types of Ad Hoc Invoices..... | 8-1 |
| 8.1.3 | Method of Communication..... | 8-1 |
| 8.1.4 | Timing of Communication..... | 8-2 |
| 8.1.5 | Content of Communication..... | 8-2 |
| 8.1.6 | Market Participants..... | 8-2 |
| 8.2 | Settlement Statements and Invoices..... | 8-2 |
| 8.2.1 | Congestion Revenue Right (CRR) Settlement Invoices..... | 8-5 |
| 8.2.1.1 | CRR Auction Award Invoices..... | 8-5 |
| 8.2.1.2 | CRR Auction Revenue Distribution (CARD) Invoice..... | 8-6 |
| 8.2.1.3 | CRR Balancing Account (CRRBA) Invoice..... | 8-7 |
| 8.2.2 | Day-Ahead Market Statements..... | 8-8 |
| 8.2.3 | Real-Time Market Statements and Invoices..... | 8-9 |
| 8.2.3.1 | Real-Time Market Statements..... | 8-9 |
| 8.2.3.2 | Settlement Invoice..... | 8-14 |

| | | |
|-----------|---|-------------|
| 8.2.3.3 | <i>Default Uplift Invoice</i> | 8-16 |
| 8.2.3.4 | <i>Miscellaneous Invoice</i> | 8-16 |
| 9 | [Section intentionally left blank] | |
| 10 | EXTRACTS AND REPORTS | 10-1 |
| 10.1 | <i>Security Classification Types</i> | 10-1 |
| 10.2 | <i>Subscribing to Extracts</i> | 10-1 |
| 10.3 | <i>ERCOT Market Information List</i> | 10-1 |
| 11 | DISPUTES | 1 |
| 11.1 | <i>ERCOT Disputes</i> | 1 |
| 11.1.1 | <i>Overview</i> | 1 |
| 11.1.2 | <i>Settlement Calendar</i> | 6 |
| 11.1.3 | <i>Dispute Access</i> | 6 |
| 11.1.4 | <i>Dispute Items</i> | 6 |
| 11.1.5 | <i>Valid Dispute Statuses and Resolutions</i> | 7 |
| 11.1.6 | <i>Dispute Reporting</i> | 7 |

Commercial Operations Market Guide

Section 1: Purpose

June 1, 2018

1 PURPOSE..... 1

1 PURPOSE

- (1) The Commercial Operations Market Guide (COPMG) contains information for Market Participants that describes the processes through which the ERCOT commercial operations market data is translated into financial Settlements. These processes include, but are not limited to, the application of Data Aggregation, Data Extract Variance (DEV) resolutions, Congestion Revenue Rights (CRRs) Settlements, Qualified Scheduling Entity (QSE) Settlements, invoicing and dispute resolution. Commercial operations market data includes, but is not limited to, Electric Service Identifier (ESI ID) and Resource ID (RID) data, registration information, aggregated Load and generation values, data extracts and market operations data.
- (2) The COPMG is not a substitute for the ERCOT Protocols or the Public Utility Commission of Texas (PUC) Substantive Rules. Each Market Participant shall comply with the ERCOT Protocols and the PUC Substantive Rules. In the event of a conflict between the ERCOT Protocols or PUC Substantive Rules, the ERCOT Protocols and PUC Substantive Rules take precedence over the COPMG.
- (3) The most recent version of the COPMG is posted on the ERCOT website.

Commercial Operations Market Guide

Section 2: Definitions and Acronyms

December 1, 2010

2 DEFINITIONS AND ACRONYMS..... Error! Bookmark not defined.

2.1 Definitions1

2.2 Acronyms.....1

2 DEFINITIONS AND ACRONYMS

Relevant terms and definitions used in this document can be found in Protocol Section 2, Definitions and Acronyms. Full text of the document is available on the ERCOT website. Sections 2.1, Definitions, and 2.2, Acronyms and Abbreviations, contain definitions and acronyms for terms not defined in the ERCOT Protocols.

2.1 Definitions

[This section intentionally left blank.]

2.2 Acronyms

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Commercial Operations Market Guide

Section 3: Organizational Structure

June 1, 2018

3 ORGANIZATIONAL STRUCTURE..... 1

3.1 Electric Reliability Council of Texas.....1

 3.1.1 *ERCOT Wholesale Client Services*..... 1

 3.1.2 *Help Desk*..... 2

3.2 Wholesale Market Subcommittee (WMS)2

3 ORGANIZATIONAL STRUCTURE

3.1 Electric Reliability Council of Texas

- (1) The functions of ERCOT are outlined in Protocol Section 1.2, Functions of ERCOT. In addition, Customer registration information can be found in Protocol Section 15, Customer Registration. As part of the certification process Competitive Retailers (CRs) and Transmission and/or Distribution Service Providers (TDSPs) must complete ERCOT registration requirements as described in Protocol Section 16, Registration and Qualification of Market Participants.

3.1.1 *ERCOT Wholesale Client Services*

- (1) ERCOT's Wholesale Client Services department is available to assist with Market Participant questions and provide education as needed on wholesale issues. Wholesale Account Managers act as the liaison between ERCOT and Market Participants as the primary contact for all wholesale market operational questions and issues and are responsible for maintaining business relationships with all Market Participants to facilitate any issue resolution. Wholesale Account Managers also address the needs of Market Participants during the registration/qualification process and actively participate in the stakeholder process to communicate and resolve issues, and monitor the rules of the market to assist Market Participants with any questions/issues. Wholesale Account Managers are also responsible for researching and resolving Settlement disputes. Wholesale Client Services is also responsible for generating and distributing market notices, Market Participant registration, and market education/training.
- (2) In addition, the Wholesale Client Services department also assists with the following:
 - (a) ERCOT Protocols;
 - (b) Market Participant registration information;
 - (c) ERCOT tools such as the ERCOT website and the Market Information System (MIS);
 - (d) Scheduling;
 - (e) Reports and extracts;
 - (f) Training needs; and
 - (g) Facilitation and general issue resolution.
- (3) Existing Market Participants should contact their assigned Wholesale Account Manager. Potential new Market Participants may call the general ERCOT Client Services phone

number at (512) 248-3900 or contact ERCOT Client Services via e-mail at ClientServices@ercot.com.

3.1.2 *Help Desk*

- (1) The ERCOT Helpdesk is available as a 24x7 technical support resource. Any technical issues with ERCOT systems should be reported to the Help Desk. For technical questions about automated communications, connectivity issues such as North American Energy Standards Board (NAESB) Electronic Delivery Mechanism (EDM) or MIS, information technology support, data, and system administration issues, Market Participants should call or e-mail ERCOT's 24-hour Help Desk at (512) 248-6800 or helpdesk@ercot.com.

3.2 Wholesale Market Subcommittee (WMS)

- (1) The Wholesale Market Subcommittee (WMS), reporting to the Technical Advisory Committee (TAC), addresses the processes through which ERCOT market data is translated into Settlements. Commercial operations include the application of Data Aggregation, Congestion Revenue Rights (CRRs) Settlements, Qualified Scheduling Entity (QSE) Settlements, invoicing, and dispute resolution.
- (2) WMS improves commercial operations by integrating the retail variance and wholesale market Settlements processes, including dispute resolution. WMS also addresses the Settlement Calendar, Settlement-related performance metrics and tracking, Market Participant data needs for shadow Settlements, and the market's overall needs for data extracts, delivery and presentation.
- (3) WMS has several working groups that are in place to allow Market Participants the opportunity to participate in developing business rules and practices that govern the commercial operations of the ERCOT electric market. Additional information about the working groups is available on the ERCOT website.

Commercial Operations Market Guide

Section 4: Process for Commercial Operations Market Guide Revision

June 1, 2018

| | | |
|----------|--|-------------|
| 4 | PROCESS FOR COMMERCIAL OPERATIONS MARKET GUIDE REVISION | 4-1 |
| 4.1 | <i>Introduction.....</i> | <i>4-1</i> |
| 4.2 | <i>Submission of a Commercial Operations Market Guide Revision Request.....</i> | <i>4-2</i> |
| 4.3 | <i>Commercial Operations Market Guide Revision Procedure.....</i> | <i>4-2</i> |
| 4.3.1 | Review and Posting of Commercial Operations Market Guide Revision Requests | 4-2 |
| 4.3.2 | Withdrawal of a Commercial Operations Market Guide Revision Request..... | 4-3 |
| 4.3.3 | WMS Review and Action | 4-4 |
| 4.3.4 | Comments to the WMS Report..... | 4-5 |
| 4.3.5 | Commercial Operations Market Guide Revision Request Impact Analysis..... | 4-5 |
| 4.3.6 | WMS Review of Impact Analysis..... | 4-6 |
| 4.3.7 | ERCOT Impact Analysis Based on WMS Report..... | 4-6 |
| 4.3.8 | Protocol Revision Subcommittee Review of Project Prioritization..... | 4-6 |
| 4.3.9 | Technical Advisory Committee Vote..... | 4-6 |
| 4.3.10 | ERCOT Board Vote | 4-8 |
| 4.4 | <i>Appeal of Action.....</i> | <i>4-9</i> |
| 4.5 | <i>Urgent Requests.....</i> | <i>4-9</i> |
| 4.6 | <i>Commercial Operations Market Guide Revision Implementation.....</i> | <i>4-10</i> |

4 PROCESS FOR COMMERCIAL OPERATIONS MARKET GUIDE REVISION

4.1 Introduction

- (1) A request to make additions, edits, deletions, revisions, or clarifications to this Commercial Operations Market Guide (COPMG), including any attachments and exhibits to this COPMG, is called a Commercial Operations Market Guide Revision Request (COPMGRR). Except as specifically provided in other sections of the COPMG, this Section 4, Process for Commercial Operations Market Guide Revision, shall be followed for all COPMGRRs. ERCOT Members, Market Participants, Public Utility Commission of Texas (PUCT) Staff, the Reliability Monitor, the Independent Market Monitor (IMM), the North American Electric Reliability Corporation (NERC) Regional Entity, ERCOT, and any other Entities are required to utilize the process described herein prior to requesting, through the PUCT or other Governmental Authority, that ERCOT make a change to this COPMG, except for good cause shown to the PUCT or other Governmental Authority.
- (2) The “next regularly scheduled meeting” of the Wholesale Market Subcommittee (WMS), the Technical Advisory Committee (TAC), or the ERCOT Board shall mean the next regularly scheduled meeting for which required Notice can be timely given regarding the item(s) to be addressed, as specified in the appropriate ERCOT Board or committee procedures.
- (3) WMS shall ensure that the COPMG is compliant with the ERCOT Protocols. As such, WMS will monitor all changes to the ERCOT Protocols and initiate any COPMGRRs necessary to bring the COPMG in conformance with the ERCOT Protocols. WMS will also initiate a Nodal Protocol Revision Request (NPRR) if such a change is necessary to accommodate a proposed COPMGRR prior to proceeding with that COPMGRR.
- (4) Throughout the COPMG, references are made to the ERCOT Protocols. ERCOT Protocols supersede the COPMG and any COPMGRR must be compliant with the ERCOT Protocols. The ERCOT Protocols are subject to the revision process outlined in Protocol Section 21, Revision Request Process.
- (5) ERCOT may make non-substantive corrections at any time during the processing of a particular COMPGRR. Under certain circumstances, however, the COPMG can also be revised by ERCOT rather than using the COPMGRR process outlined in this Section.
 - (a) This type of revision is referred to as an “Administrative COPMGRR” or “Administrative Changes” and shall consist of non-substantive corrections, such as typos (excluding grammatical changes), internal references (including table of contents), improper use of acronyms, references to ERCOT Protocols, PUCT Substantive Rules, the Public Utility Regulatory Act (PURA), NERC regulations, Federal Energy Regulatory Commission (FERC) rules, etc., and revisions for the purpose of maintaining consistency between Section 4 and Protocol Section 21.

- (b) ERCOT shall post such Administrative COPMGRRs to the ERCOT website and distribute the COPMGRRs to WMS at least ten Business Days before implementation. If no Entity submits comments to the Administrative COPMGRR, in accordance with paragraph (1) of Section 4.3.3, WMS Review and Action, ERCOT shall implement it according to paragraph (4) of Section 4.6, Commercial Operations Market Guide Revision Implementation. If any ERCOT Member, Market Participant, PUCT Staff, the Reliability Monitor, the NERC Regional Entity, the IMM, or ERCOT submits comments to the Administrative COPMGRR, then it shall be processed in accordance with the COPMGRR process outlined in this Section 4.

4.2 Submission of a Commercial Operations Market Guide Revision Request

- (1) The following Entities may submit a Commercial Operations Market Guide Revision Request (COPMGRR):
 - (a) Any Market Participant;
 - (b) Any ERCOT Member;
 - (c) Public Utility Commission of Texas (PUCT) Staff;
 - (d) The Reliability Monitor;
 - (e) The North American Electric Reliability Corporation (NERC) Regional Entity;
 - (f) The Independent Market Monitor (IMM);
 - (g) ERCOT; and
 - (h) Any other Entity that meets the following qualifications:
 - (i) Resides (or represents residents) in Texas or operates in the Texas electricity market; and
 - (ii) Demonstrates that Entity (or those it represents) is affected by the Customer Registration or Renewable Energy Credit (REC) Trading Program sections of the ERCOT Protocols.

4.3 Commercial Operations Market Guide Revision Procedure

4.3.1 Review and Posting of Commercial Operations Market Guide Revision Requests

- (1) Commercial Operations Market Guide Revision Requests (COPMGRRs) shall be submitted electronically to ERCOT by completing the designated form provided on the

ERCOT website. Excluding ERCOT-sponsored COPMGRRs, ERCOT shall provide an electronic return receipt response to the submitter upon receipt of the COPMGRR.

- (2) The COPMGRR shall include the following information:
 - (a) Description of requested revision and reason for suggested change;
 - (b) Impacts and benefits of the suggested change on ERCOT market structure, ERCOT operations, and Market Participants, to the extent that the submitter may know this information;
 - (c) List of affected Commercial Operations Market Guide (COPMG) sections and subsections;
 - (d) General administrative information (organization, contact name, etc.); and
 - (e) Suggested language for requested revision.
- (3) ERCOT shall evaluate the COPMGRR for completeness and shall notify the submitter, within five Business Days of receipt, if the COPMGRR is incomplete, including the reasons for such status. ERCOT may provide information to the submitter that will correct the COPMGRR and render it complete. An incomplete COPMGRR shall not receive further consideration until it is completed. In order to pursue the COPMGRR, a submitter must submit a completed version of the COPMGRR.
- (4) If a submitted COPMGRR is complete or upon completion of a COPMGRR, ERCOT shall post the COPMGRR on the ERCOT website and distribute to the Wholesale Market Subcommittee (WMS) within three Business Days.
- (5) For any ERCOT-sponsored COPMGRR, ERCOT shall also post an initial Impact Analysis on the ERCOT website, and distribute it to WMS. The initial Impact Analysis will provide WMS with guidance as to potential ERCOT computer systems, operations, or business functions that could be affected by the submitted COPMGRR.

4.3.2 Withdrawal of a Commercial Operations Market Guide Revision Request

- (1) A submitter may withdraw or request to withdraw a COPMGRR by submitting a completed Request for Withdrawal form provided on the ERCOT website. ERCOT shall post the submitter's Request for Withdrawal on the ERCOT website within three Business Days of submittal.
- (2) The submitter of a COPMGRR may withdraw the COPMGRR at any time before WMS recommends approval of the COPMGRR.
- (3) If WMS has recommended approval of the COPMGRR, the Request for Withdrawal must be approved by the Technical Advisory Committee (TAC) if the COPMGRR has not yet been approved or recommended for approval by TAC.

- (4) If TAC has recommended approval of a COPMGRR, the Request for Withdrawal must be approved by the ERCOT Board if the COPMGRR has not yet been approved by the ERCOT Board.
- (5) Once approved, a COPMGRR cannot be withdrawn.

4.3.3 WMS Review and Action

- (1) Any ERCOT Member, Market Participant, the Public Utility Commission of Texas (PUCT), Reliability Monitor, North American Electric Reliability Corporation (NERC) Regional Entity, the Independent Market Monitor (IMM), or ERCOT may comment on the COPMGRR.
- (2) To receive consideration, comments must be delivered electronically to ERCOT in the designated format provided on the ERCOT website within 14 days from the posting date of the COPMGRR. Comments submitted after the 14 day comment period may be considered at the discretion of WMS after these comments have been posted. Comments submitted in accordance with the instructions on the ERCOT website, regardless of date of submission, shall be posted on the ERCOT website and distributed to WMS within three Business Days of submittal.
- (3) WMS shall consider the COPMGRR at its next regularly scheduled meeting after the end of the 14 day comment period. The quorum and voting requirements for WMS action are set forth in the Technical Advisory Committee Procedures. At such meeting, WMS shall take action on the COPMGRR. In considering action on a COPMGRR, WMS shall:
 - (a) Recommend approval of the COPMGRR as submitted or as modified;
 - (b) Reject the COPMGRR;
 - (c) Defer decision on the COPMGRR; or
 - (d) Refer the COPMGRR to a working group, task force, or TAC subcommittee with instructions.
- (4) If a motion is made to recommend approval of a COPMGRR and that motion fails, the COPMGRR shall be deemed rejected by WMS unless at the same meeting WMS later votes to recommend approval of, defer, or refer the COPMGRR. The rejected COPMGRR shall be subject to appeal pursuant to Section 4.4, Appeal of Action.
- (5) Within three Business Days after WMS takes action, ERCOT shall post a WMS Report reflecting the WMS action on the ERCOT website. The WMS Report shall contain the following items:
 - (a) Identification of submitter of the COPMGRR;
 - (b) COPMG language recommended by WMS, if applicable;

- (c) Identification of authorship of comments;
- (d) Proposed effective date(s) of the COPMGRR;
- (e) Recommended priority and rank for any COPMGRRs requiring an ERCOT project for implementation; and
- (f) WMS action.

4.3.4 Comments to the WMS Report

- (1) Any ERCOT Member, Market Participant, PUCT Staff, the Reliability Monitor, the NERC Regional Entity, the IMM, or ERCOT may comment on the WMS Report. Comments submitted in accordance with the instructions on the ERCOT website, regardless of date of submission, shall be posted on the ERCOT website and distributed to the committee(s) (i.e., WMS and/or TAC) considering the COPMGRR within three Business Days of submittal.
- (2) The comments on the WMS Report will be considered at the next regularly scheduled WMS or TAC meeting where the COPMGRR is being considered.

4.3.5 Commercial Operations Market Guide Revision Request Impact Analysis

- (1) If WMS recommends approval of a COPMGRR, ERCOT shall prepare an Impact Analysis based on the proposed language in the WMS Report. If ERCOT has already prepared an Impact Analysis, ERCOT shall update the existing Impact Analysis, if necessary, to accommodate the language recommended for approval in the WMS Report.
- (2) The Impact Analysis shall assess the impact of the COPMGRR on ERCOT staffing, computer systems, operations, or business functions and shall contain the following information:
 - (a) An estimate of any cost and budgetary impacts to ERCOT for both implementation and ongoing operations;
 - (b) The estimated amount of time required to implement the COPMGRR;
 - (c) The identification of alternatives to the COPMGRR that may result in more efficient implementation; and
 - (d) The identification of any manual workarounds that may be used as an interim solution and estimated costs of the workaround.
- (3) Unless a longer review period is warranted due to the complexity of the proposed WMS Report, ERCOT shall post an Impact Analysis on the ERCOT website, for a COPMGRR for which WMS has recommended approval of prior to the next regularly scheduled WMS meeting, and distribute to WMS. If a longer review period is required by ERCOT

to complete an Impact Analysis, ERCOT shall submit comments with a schedule for completion of the Impact Analysis.

4.3.6 WMS Review of Impact Analysis

- (1) After ERCOT posts the results of the Impact Analysis, WMS shall review the Impact Analysis at its next regularly scheduled meeting. WMS may revise its WMS Report after considering the information included in the Impact Analysis or additional comments received on the WMS Report.
- (2) Within three Business Days of WMS consideration of the Impact Analysis and WMS Report, ERCOT shall post the WMS Report on the ERCOT website. If WMS revises the WMS Report, ERCOT shall update the Impact Analysis, if necessary, post the updated Impact Analysis on the ERCOT website, and distribute it to the committee (i.e., WMS and/or TAC) considering the Impact Analysis. If a longer review period is required for ERCOT to update the Impact Analysis, ERCOT shall submit comments with a schedule for completion of the Impact Analysis.
- (3) If the COPMGRR requires an ERCOT project for implementation, at the same meeting, WMS shall assign a recommended priority and rank for the associated project.

4.3.7 ERCOT Impact Analysis Based on WMS Report

- (1) ERCOT shall review the WMS Report and, if necessary, update the Impact Analysis as soon as practicable. ERCOT shall distribute the updated Impact Analysis, if applicable, to the TAC and post it on the ERCOT website. If a longer review period is required for ERCOT to update the Impact Analysis, ERCOT shall submit comments with a schedule for completion of the Impact Analysis.

4.3.8 Protocol Revision Subcommittee Review of Project Prioritization

- (1) At the next regularly scheduled Protocol Revision Subcommittee (PRS) meeting after WMS recommends approval of a COPMGRR that requires an ERCOT project for implementation, PRS shall assign a recommended priority and rank for the associated project.

4.3.9 Technical Advisory Committee Vote

- (1) TAC shall consider any COPMGRR that WMS has submitted to TAC for consideration for which both a WMS Report and an Impact Analysis (as updated if modified by WMS under Section 4.3.7, ERCOT Impact Analysis Based on WMS Report) have been posted on the ERCOT website. The following information must be included for each COPMGRR considered by TAC:

- (a) The WMS Report and Impact Analysis;
 - (b) The recommended priority and rank, if an ERCOT project is required; and
 - (c) Any comments timely received in response to the WMS Report.
- (2) The quorum and voting requirements for TAC action are set forth in the Technical Advisory Committee Procedures. In considering action on a WMS Report, TAC shall:
- (a) Approve the COPMGRR as recommended in the WMS Report or as modified by TAC, if the COPMGRR does not require ERCOT Board approval pursuant to Section 4.3.10, ERCOT Board Vote;
 - (b) Recommend approval of the COPMGRR as recommended in the WMS Report or as modified by TAC, including modification of the recommended priority and rank if the COPMGRR requires an ERCOT project for implementation;
 - (c) Reject the COPMGRR;
 - (d) Defer decision on the COPMGRR;
 - (e) Remand the COPMGRR to WMS with instructions; or
 - (f) Refer the COPMGRR to another TAC subcommittee or a TAC working group or task force with instructions.
- (3) If a motion is made to approve or recommend approval of a COPMGRR and that motion fails, the COPMGRR shall be deemed rejected by TAC unless at the same meeting TAC later votes to approve, recommend approval of, defer, remand or refer the COPMGRR. If a motion to approve or recommend approval of a COPMGRR fails via e-mail vote according to the Technical Advisory Committee Procedures, the COPMGRR shall be deemed rejected by TAC unless at the next regularly scheduled TAC meeting or in a subsequent e-mail vote prior to such meeting, TAC votes to approve, recommend approval of, defer, remand, or refer the COPMGRR. The rejected COPMGRR shall be subject to appeal pursuant to Section 4.4, Appeal of Action.
- (4) Within three Business Days after TAC takes action on a COPMGRR, ERCOT shall post a TAC Report reflecting the TAC action on the ERCOT website. The TAC Report shall contain the following items:
- (a) Identification of the submitter of the COPMGRR;
 - (b) Modified COPMG language proposed by TAC, if applicable;
 - (c) Identification of the authorship of comments, if applicable;
 - (d) Proposed effective date(s) of the COPMGRR;

- (e) Priority and rank for any COPMGRR requiring an ERCOT project for implementation;
 - (f) WMS action;
 - (g) TAC action; and
 - (h) ERCOT's position for any COPMGRR requiring ERCOT Board approval pursuant to Section 4.3.10.
- (5) If TAC recommends approval of a COPMGRR requiring ERCOT Board approval pursuant to Section 4.3.10, ERCOT shall forward the TAC Report to the ERCOT Board for consideration pursuant to Section 4.3.10.
 - (6) The TAC chair shall report the results of all votes by TAC related to COPMGRRs to the ERCOT Board at its next regularly scheduled meeting.

4.3.10 ERCOT Board Vote

- (1) The following COPMGRRs require ERCOT Board approval:
 - (a) Any COPMGRR requiring an ERCOT project for implementation; and
 - (b) Any COPMGRR that is related to a Nodal Protocol Revision Request (NPRR), a Planning Guide Revision Request (PGRR), or a revision request requiring an ERCOT project for implementation, excluding Administrative COPMGRRs pursuant to paragraph (5) of Section 4.1, Introduction.
- (2) For any COPMGRR requiring ERCOT Board approval, upon issuance of a TAC Report and Impact Analysis to the ERCOT Board, the ERCOT Board shall review the TAC Report and the Impact Analysis at the next regularly scheduled meeting. For Urgent COPMGRRs, the ERCOT Board shall review the TAC Report and Impact Analysis at the next regularly scheduled meeting, unless a special meeting is required due to the urgency of the COPMGRR.
- (3) The quorum and voting requirements for ERCOT Board action are set forth in the ERCOT Bylaws. In considering action on a TAC Report, the ERCOT Board shall:
 - (a) Approve the COPMGRR as recommended in the TAC Report or as modified by the ERCOT Board;
 - (b) Reject the COPMGRR;
 - (c) Defer decision on the COPMGRR; or
 - (d) Remand the COPMGRR to TAC with instructions.

- (4) If a motion is made to approve a COPMGRR and that motion fails, the COPMGRR shall be deemed rejected by the ERCOT Board unless at the same meeting the ERCOT Board later votes to approve, defer, or remand the COPMGRR. The rejected COPMGRR shall be subject to appeal pursuant to Section 4.4, Appeal of Action.
- (5) Within three Business Days after the ERCOT Board takes action on a COPMGRR, ERCOT shall post a Board Report reflecting the ERCOT Board action on the ERCOT website.

4.4 Appeal of Action

- (1) Any ERCOT Member, Market Participant, Public Utility Commission of Texas (PUCT) Staff, the Reliability Monitor, the Independent Market Monitor (IMM), the North American Electric Reliability Corporation (NERC) Regional Entity, or ERCOT may appeal a Wholesale Market Subcommittee (WMS) action to reject, defer, or refer a Commercial Operations Market Guide Revision Request (COPMGRR) directly to the Technical Advisory Committee (TAC). Such appeal to the TAC must be submitted electronically to ERCOT by completing the designated form provided on the ERCOT website within seven days after the date of the relevant WMS appealable event. ERCOT shall reject appeals made after that time. ERCOT shall post appeals on the ERCOT website within three Business Days of receiving the appeal. Appeals shall be heard at the next regularly scheduled TAC meeting that is at least seven days after the date of the requested appeal. An appeal of a COPMGRR to TAC suspends consideration of the COPMGRR until the appeal has been decided by TAC.
- (2) Any ERCOT Member, Market Participant, PUCT Staff, the Reliability Monitor, the IMM, the NERC Regional Entity, or ERCOT may appeal a TAC action to approve, reject, defer, remand or refer a COPMGRR directly to the ERCOT Board. Appeals to the ERCOT Board shall be processed in accordance with the ERCOT Board Policies and Procedures. An appeal of a COPMGRR to the ERCOT Board suspends consideration of the COPMGRR until the appeal has been decided by the ERCOT Board.
- (3) Any ERCOT Member, Market Participant, PUCT Staff, the Reliability Monitor, the IMM, or the NERC Regional Entity may appeal any decision of the ERCOT Board regarding a COPMGRR to the PUCT or other Governmental Authority. Such appeal to the PUCT or other Governmental Authority must be made within any deadline prescribed by the PUCT or other Governmental Authority, but in any event no later than 35 days of the date of the relevant ERCOT Board appealable event. Notice of any appeal to the PUCT or other Governmental Authority must be provided, at the time of the appeal, to ERCOT's General Counsel. If the PUCT or other Governmental Authority rules on the COPMGRR, ERCOT shall post the ruling on the ERCOT website.

4.5 Urgent Requests

- (1) The party submitting a Commercial Operations Market Guide Revision Request (COPMGRR) may request that the COPMGRR be considered on an urgent timeline

(“Urgent”) only when the submitter can reasonably show that an existing Commercial Operations Market Guide (COPMG) provision is impairing or could imminently impair ERCOT System reliability or wholesale or retail market operations, or is causing or could imminently cause a discrepancy between a Settlement formula and a provision of the ERCOT Protocols.

- (2) The Wholesale Market Subcommittee (WMS) may designate the COPMGRR for Urgent consideration if a submitter requests Urgent status or upon valid motion in a regularly scheduled meeting of WMS. Criteria for designating a COPMGRR as Urgent are that the COPMGRR requires immediate attention due to:
 - (a) Serious concerns about ERCOT System reliability or market operations under the unmodified language; or
 - (b) The crucial nature of Settlement activity conducted pursuant to any Settlement formula.
- (3) ERCOT shall prepare an Impact Analysis for Urgent COPMGRRs as soon as practicable.
- (4) WMS shall consider the Urgent COPMGRR and Impact Analysis, if available, at the next regularly scheduled WMS meeting, or at a special meeting called by the WMS leadership to consider the Urgent COPMGRR.
- (5) If the submitter desires to further expedite processing of the COPMGRR, a request for voting via e-mail may be submitted to the WMS chair. The WMS chair may grant the request for voting via e-mail. Such voting shall be conducted pursuant to the Technical Advisory Committee Procedures.
- (6) If recommended for approval by WMS, ERCOT shall post a WMS Report on the ERCOT website within three Business Days after WMS takes action. The Technical Advisory Committee (TAC) chair may request action from TAC to accelerate or alter the procedures described herein, as needed, to address the urgency of the situation.
- (7) Any Urgent COPMGRRs shall be subject to an Impact Analysis pursuant to Section 4.3.7, ERCOT Impact Analysis Based on WMS Report, and TAC consideration pursuant to Section 4.3.9, Technical Advisory Committee Vote.

4.6 Commercial Operations Market Guide Revision Implementation

- (1) For Commercial Operations Market Guide Revision Requests (COPMGRRs) that do not require ERCOT Board approval pursuant to Section 4.3.10, ERCOT Board Vote, upon Technical Advisory Committee (TAC) approval, ERCOT shall implement the COPMGRRs on the first day of the month following TAC approval, unless otherwise provided in the TAC Report for the approved COPMGRR.

- (2) For COPMGRRs that require ERCOT Board approval pursuant to Section 4.3.10, upon ERCOT Board approval, ERCOT shall implement COPMGRRs on the first day of the month following ERCOT Board approval, unless otherwise provided in the Board Report for the approved COPMGRR.
- (3) For COPMGRRs for which an effective date other than the first day of the month following TAC or ERCOT Board approval, as applicable, is provided, the ERCOT Impact Analysis shall provide an estimated amount of time required to implement the COPMGRR and ERCOT shall provide notice as soon as practicable, but no later than ten days prior to actual implementation unless a different notice period is required in the TAC or Board Report, as applicable, for the approved COPMGRR.
- (4) ERCOT shall implement an Administrative COPMGRR on the first day of the month following the end of the ten Business Day posting requirement outlined in Section 4.1, Introduction.

Commercial Operations Market Guide

Section 5

June 1, 2018

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Commercial Operations Market Guide

Section 6

November 1, 2007

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Commercial Operations Market Guide

Section 7

November 1, 2007

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Commercial Operations Market Guide

Section 8: ERCOT Settlement and Invoice Process

January 1, 2021

| | | |
|----------|---|-----------------|
| 8 | <i>ERCOT SETTLEMENT AND INVOICE PROCESS</i> | <i>1</i> |
| 8.1 | Invoice Process | 1 |
| 8.1.2 | <i>Types of Ad Hoc Invoices</i> | 1 |
| 8.1.3 | <i>Method of Communication</i> | 1 |
| 8.1.4 | <i>Timing of Communication</i> | 2 |
| 8.1.5 | <i>Content of Communication</i> | 2 |
| 8.1.6 | <i>Market Participants</i> | 2 |
| 8.2 | Settlement Statements and Invoices | 2 |
| 8.2.1 | <i>Congestion Revenue Right (CRR) Settlement Invoices</i> | 5 |
| 8.2.1.1 | CRR Auction Award Invoices | 5 |
| 8.2.1.2 | CRR Auction Revenue Distribution (CARD) Invoice | 6 |
| 8.2.1.3 | CRR Balancing Account (CRRBA) Invoice | 7 |
| 8.2.2 | <i>Day-Ahead Market Statements</i> | 8 |
| 8.2.3 | <i>Real-Time Market Statements</i> | 9 |
| 8.2.3.1 | Real-Time Market Statements | 9 |
| 8.2.3.2 | Settlement Invoice | 14 |
| 8.2.3.3 | Default Uplift Invoice | 16 |
| 8.2.3.4 | Miscellaneous Invoice | 16 |

8 ERCOT SETTLEMENT AND INVOICE PROCESS

8.1 Invoice Process

The process for receiving the ERCOT daily Invoice based on Settlement Statements are documented in Protocol Section 9.6, Settlement Invoices for the Day-Ahead Market and Real-Time Market. This Section explains the process for Invoices that are not settled according to the Protocol timeline.

8.1.2 *Types of Ad Hoc Invoices*

The following are types of Settlements that will be invoiced on an ad hoc basis:

- (a) Recurring ad hoc charges - These are recurring ad hoc charges that are not included in other ERCOT market Settlement Invoices including the following:
 - (i) Wide Area Network (WAN) fee; and
 - (ii) Electric Reliability Organization (ERO) fee.
- (b) Other ad hoc Settlements - These are Settlements that are issued infrequently and are not included in ERCOT market Settlement Invoices including litigation and other undefined scenarios such as the following:
 - (i) Uplift of short pays;
 - (ii) Litigation; and
 - (iii) Other undefined scenarios.

8.1.3 *Method of Communication*

- (1) ERCOT will communicate with Market Participants regarding the posting of ad hoc Invoices by sending Market Notices to registered contacts of Market Participants and public e-mail distribution lists applicable to the Invoices.
- (2) Market Notices regarding ad hoc invoices will be sent to the following contact types:
 - (a) Primary Authorized Representative;
 - (b) Backup Authorized Representative;
 - (c) Accounts payable; and
 - (d) Accounts payable backup.

8.1.4 *Timing of Communication*

ERCOT will send Market Notices regarding ad hoc invoices as many days in advance of the posting of the Invoice as possible, but no later than the next Business Day after the ad hoc Invoice is posted.

8.1.5 *Content of Communication*

The Market Notice from ERCOT will contain as much detail as possible including the following:

- (a) A subject line indicating the appropriate urgency and action required.
- (b) A description of the type of Market Participants to which ad hoc Invoices have been issued.
- (c) Contact information for ERCOT personnel to be contacted for inquiries regarding ad hoc Invoices.
- (d) When and where the Invoice will be posted. Ad hoc Invoices are normally posted on the Market Information System (MIS) Certified Area.

8.1.6 *Market Participants*

Each Market Participant should ensure that the accounting contacts registered with ERCOT are current to ensure that the Invoices are received and paid in a timely manner.

8.2 *Settlement Statements and Invoices*

- (1) The Real-Time Market (RTM), the Day-Ahead Market (DAM), and the Congestion Revenue Right (CRR) Auction are settled separately. Each type of Settlement has a unique set of statements and/or Invoices and settles according to a different timeline. Settlement Statements and Invoices can apply to a registered CRR Account Holder (CRRAH), a registered Qualified Scheduling Entity (QSE), or both. The table below provides details regarding the various statements and Invoices.

| Type | Invoice or Statement | Recipient | Frequency | Post Timing | Payment Due |
|------|----------------------|--|-----------|--|--|
| CRR | CRR Auction Invoice | <ul style="list-style-type: none"> • CRRAHs | Monthly | 1 st Business Day after completion of a CRR Auction (Monthly and Annual CRR Auctions will be invoiced separately) | 3 rd Bank Business Day after Invoice posts (<i>or next day that is both Business Day and Bank Business Day</i>) |

| Type | Invoice or Statement | Recipient | Frequency | Post Timing | Payment Due |
|------|--|---|-----------|---|--|
| | CRR Auction Revenue Distribution Invoice | <ul style="list-style-type: none"> • QSEs (with Load) | Monthly | 1 st Business Day after RTM Initial Statement posts for the last day of the relevant month and 1 st Business Day after RTM Final Statement posts for the last day of the relevant month | 5 th Bank Business Day after Invoice posts (<i>or next day that is both Business Day and Bank Business Day</i>) |
| | CRR Balancing Account Invoice | <ul style="list-style-type: none"> • CRRRAH (due a shortfall refund) • QSEs (with load) | Monthly | 1 st Business Day after RTM Initial Statement posts for the last day of the relevant month | 1 st Bank Business Day after the due date of the Settlement Invoice that includes the RTM Initial Settlement statement for the last day of the month (<i>or next day that is both Business Day and Bank Business Day</i>) *Note: Payout to market only |
| DAM | DAM Statement | <ul style="list-style-type: none"> • QSEs • CRRRAHs | Daily | 2 nd Business after the Operating Day | n/a |
| | DAM Resettlement Statement | <ul style="list-style-type: none"> • QSEs • CRRRAHs | Ad hoc | Ad hoc (<i>on Business Day</i>) | n/a |
| RTM | RTM Initial Settlement Statement | <ul style="list-style-type: none"> • QSEs • CRRRAHs | Daily | Operating Day + 5 (<i>or next Business Day</i>) | n/a |
| | RTM Final Settlement Statement | <ul style="list-style-type: none"> • QSEs • CRRRAHs | Daily | Operating Day + 55 (<i>or next Business Day</i>) | n/a |
| | RTM True-Up Settlement Statement | <ul style="list-style-type: none"> • QSEs • CRRRAHs | Daily | Operating Day + 180 (<i>or next Business Day</i>) | n/a |
| | RTM Resettlement Settlement Statement | <ul style="list-style-type: none"> • QSEs • CRRRAHs | Ad hoc | Ad hoc (<i>on Business Day</i>) | n/a |
| STL | Settlement Invoice | <ul style="list-style-type: none"> • QSE • CRRRAHs | Daily | Every Business Day – Rolls up all statements posted that day | 2 nd Bank Business Day after the Invoice posts, (<i>or next day that is both Business Day and Bank Business Day</i>) |
| | Default Uplift Invoice | <ul style="list-style-type: none"> • QSEs • CRRRAHs | Ad hoc | Ad hoc (<i>on Business Day</i>) *Market Notice required | 5 th Bank Business Day after the Invoice posts, (<i>or next day that is both Business Day and Bank Business Day</i>) |
| | | | | | |

| Type | Invoice or Statement | Recipient | Frequency | Post Timing | Payment Due |
|------|-----------------------|---|-----------|--|--------------------------------|
| MISC | Miscellaneous Invoice | <ul style="list-style-type: none"> • QSEs • CRRAs | Ad hoc | Ad hoc (<i>on Business Day</i>) *Market Notice required | Specified in the Market Notice |

- (2) Upon approval and posting of Settlement Statements and Invoices, the associated data is sent to the Credit Monitoring & Management (CMM) system for use in credit calculations. Similarly, when payment is made to or from the QSE/CRRAs, the payment data is subsequently sent to the CMM system.
- (3) The QSE Settlement Statements and Invoices and the CRRAs Statements and Invoices are available on the Market Information System (MIS) Certified Area. Statements and Invoices are 'MIS Certified' meaning they are Market Participant specific and have data proprietary to individual Entities. Therefore, these files are only available to those Entities owning the data and having a matching Data Universal Numbering System (DUNS) Number.
- (4) Market Participants must have access to the ERCOT MIS and a Digital Certificate with appropriate roles in order to retrieve data via the MIS and/or Application Programmatic Interface (API). This Digital Certificate must be obtained from your Entity's User Security Administrator (USA) and must contain the role of QSE Extracts (for QSEs) or CRR Extracts (for CRRs) in order to view and download statements, Invoices and/or related Settlement extracts.
- (5) Invoices, statements and extracts are also available via the API. To download the information from the API, utilize the report type IDs as listed in the ERCOT Market Information List (EMIL), along with the GetReport functionality on the API. For details regarding this option, refer to the External Web Services information posted to the ERCOT website.
- (6) In addition to statements and Invoices, the Settlements Calendar which provides statement, Invoice and dispute posting information details, is provided as an extract and can be found on the ERCOT website. Supporting information for the Settlements Calendar can be found in the Settlements Calendar User Guide and in the Data Definition Language (DDL) and Extensible Markup Language (XML) Schema Definition (XSD).
- (7) Settlement details, including the supporting input, intermediate, and output Settlement billing determinants and other data associated with Settlement Statements and Invoices are found in the appropriate Settlements extracts and reports. When viewing QSE/CRRAs Settlement Statements, a negative amount represents a payment due to the QSE/CRRAs and a positive amount represents a payment due to ERCOT. More information about the available extracts and reports, as well as example statements and Invoices, are available on the ERCOT website. Descriptions and definitions for the billing determinants can be found on the ERCOT website in the Settlement Charge Matrix and in the relevant Protocol sections. (Also see Section 10, Extracts and Reports).

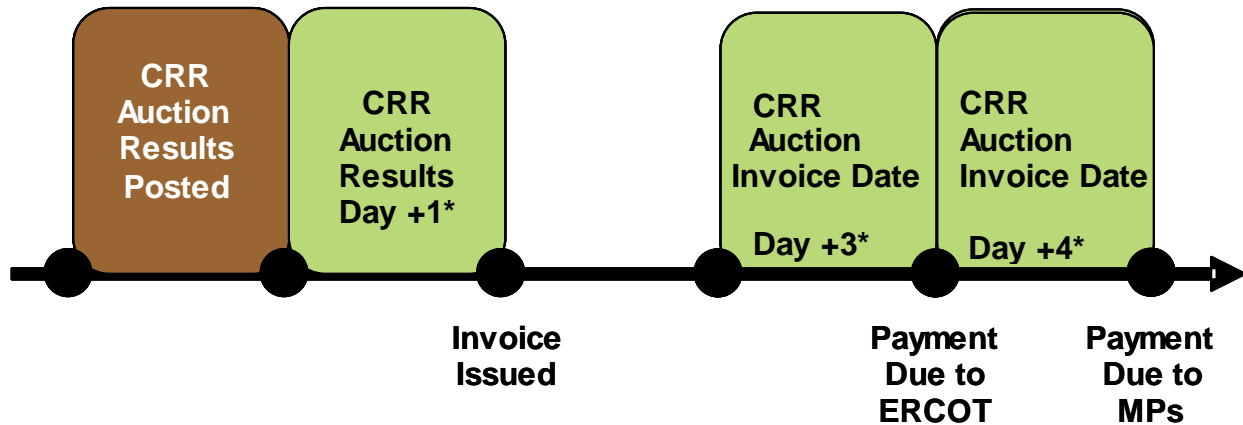
- (8) Information about the Settlements Calendar, statements, and Invoices may be found in Protocol Section 9, Settlement and Billing.

8.2.1 Congestion Revenue Right (CRR) Settlement Invoices


8.2.1.1 CRR Auction Award Invoices

Refer to Protocol Sections 9.8, CRR Auction Award Invoices, and 9.9, Payment Process for CRR Auction Invoices, for details regarding CRR Auction invoicing. Monthly and Annual CRR Auctions are invoiced separately. Additionally, each auction of the CRR Long-Term Auction Sequence auctions will be invoiced separately.

CRR Auction Invoice Timeline



***Must be a Business Day or move to next Business Day.**



CRR AUCTION INVOICE

Auction: MONTHLY-FEBRUARY,2013

Invoice No: CRR450

Invoice Date: 01/24/2013

Payments are due to ERCOT by 5:00 P.M. (CPT) on: 01/29/2013

Payments will be made to Invoice Recipients by 5:00 P.M. (CPT) on: 01/30/2013

AMOUNT OWED (DUE): \$366.45

INVOICE RECIPIENT

Name: CRRAH 1 (CRRAH)
ID: 1234567895000

| CRR ID | HEDGE TYPE | PCRR TYPE | BUY/SELL | AMOUNT | CLEARING PRICE | AWARD FEE |
|--------------|------------|-----------|----------|-----------------|----------------|----------------|
| 15480000 | OPTPAMT | | B | \$158.45 | \$0.02 | \$0.00 |
| 15480001 | OPTPAMT | | B | \$27.69 | \$0.01 | \$4.31 |
| 15480002 | OPTPAMT | | B | \$55.37 | \$0.01 | \$8.63 |
| 15480003 | OPTPAMT | | B | \$54.49 | \$0.01 | \$1.51 |
| 15480004 | OPTPAMT | | B | \$54.49 | \$0.01 | \$1.51 |
| TOTAL | | | | \$350.49 | | \$15.96 |

REMITTANCE INFORMATION

| | ERCOT Account | Recipient Account |
|--------------------|---------------|-------------------|
| Account Name | ERCOT ACCOUNT | CRRAH 1 ACCOUNT |
| Bank Name | ERCOT BANK | CRRAH 1 BANK |
| ABA Routing Number | 444444444 | 222222222 |
| Account Number | 333333333333 | 111111111111 |

Overdue Terms
In the event ERCOT does not receive your payment by close of business on the "Payments are due to ERCOT" date, CRR Bids awarded and/or PCRRs allocated shall be forfeited by the Invoice Participant.

8.2.1.2 CRR Auction Revenue Distribution (CARD) Invoice

Refer to Protocol Sections 9.10, CRR Auction Revenue Distribution Invoices, and 9.11, Payment Process for CRR Auction Revenue Distribution, for details regarding CRR Auction Revenue Distribution (CARD) invoicing. The 'Time Period' label on the Invoice indicates the month relevant to the CRR Auction revenue being paid out to QSEs.



CRR AUCTION REVENUE DISTRIBUTION (CARD INVOICE)

Time Period: FEB 2010

Invoice No: CR053

Invoice Date: 02/11/2010

Payments are due to ERCOT by 5:00 P.M. (CPT) on: 02/19/2010
 Payments will be made to Invoice Recipients by 5:00 P.M. (CPT) on: 02/20/2010

AMOUNT OWED (DUE): \$7,059.30

INVOICE RECIPIENT

Name: GSE1
 ID: 1234567892000

| DESCRIPTION | CATEGORY | MONTHLY TOTALS | BILLABLE AMOUNT |
|--|----------------------|----------------|------------------|
| LACMRHIZBILLAMT - Load-Allocated CRR Monthly Revenue Non-Zonal Bill Amount | INITIAL Distribution | (\$774,425.34) | (\$774,425.34) |
| | FINAL Distribution | (\$800,425.34) | (\$26,000.00) |
| LACMRZBILLAMT - Load-Allocated CRR Monthly Revenue Zonal Bill Amount | INITIAL Distribution | (\$316,466.90) | (\$316,466.90) |
| | FINAL Distribution | (\$297,526.20) | \$18,940.70 |
| TOTALS | INITIAL Distribution | | (\$1,090,892.24) |
| | FINAL Distribution | | (\$7,059.30) |

REMITTANCE INFORMATION

| | ERCOT Account | Recipient Account |
|--------------------|---------------|-------------------|
| Account Name | ERCOT | GSE1 |
| Bank Name | ERCOT Bank | GSE1 Owner Bank |
| ABA Routing Number | 111111111 | 222222222 |
| Account Number | 333333333 | 444444444 |

Overdue Terms

In the event ERCOT does not receive your payment by close of bank business on the "Payment are due to ERCOT" date, your credit standing with ERCOT may be affected and subject to review.

8.2.1.3 CRR Balancing Account (CRRBA) Invoice

Refer to Protocol Sections 9.12, CRR Balancing Account Invoices, and 9.13, Payment Process for CRR Balancing Account, for details regarding CCR Balancing Account (CRRBA) invoicing.

The “Time Period” label on the Invoice indicates the month relevant to the balancing account funds being paid out to CRRAHs and/or QSEs.



CRR BALANCING ACCOUNT INVOICE

Time Period: **JAN-2010**

Invoice No: **CBA10**

Invoice Date: **02/11/2010**

Payments will be made to Invoice Recipients by 5:00 P.M. (CPT) on: **02/26/2010**

AMOUNT OWED (DUE): (\$5,714.71)

INVOICE RECIPIENT

Name: **CRRAH1**
ID: **1234567895000**

DESCRIPTION

CRRAMT - CRR Refund Amount **AMOUNT (\$5,714.71)**

AMOUNT OWED (DUE): (\$5,714.71)

REMITTANCE INFORMATION

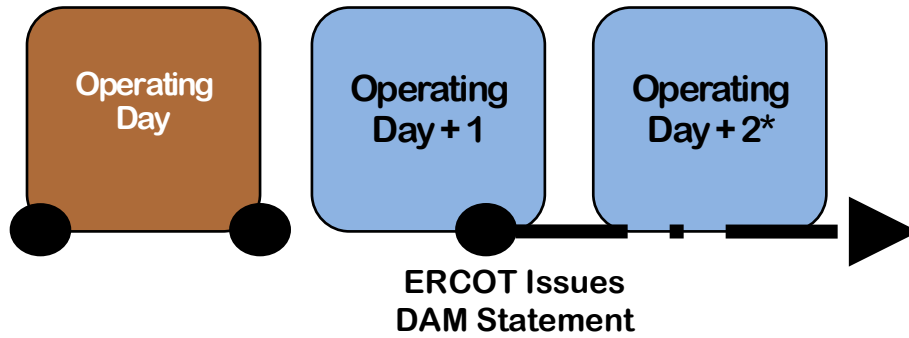
| | ERCOT Account | Recipient Account |
|--------------------|---------------|-------------------|
| Account Name | ERCOT | CRRAH1 |
| Bank Name | ERCOT Bank | CRR Owner Bank |
| ABA Routing Number | 111111111 | 555555555 |
| Account Number | 333333333 | 666666666 |

8.2.2 Day-Ahead Market Statements

The DAM Statements for CRRAHs and QSEs are issued two days after the Operating Day.

Refer to Protocol Section 9.2, Settlement Statements for the Day-Ahead Market, for details regarding DAM Statements. In the case of a “No DAM” scenario, where DAM is not successfully executed for an Operating Day, DAM Statements will not be generated or posted for that Operating Day.

DAM Statement Timeline



*Must be a Business Day or move to next Business Day.

DAM Statement

DAY-AHEAD MARKET STATEMENT

Participant Name
Participant ID

OSE1
1234567892000

SETTLEMENT SUMMARY

Statement ID

DAM_021010_1234567892000_D1

Operating Day

02/10/2010

TOTALS

| Status | Version | Billed Amount |
|---------------------|---------|----------------|
| DAM | 1 | \$2,884,232.71 |
| Operating Day Total | | \$2,884,232.71 |

▶ DAY-AHEAD ANCILLARY SERVICES

BILLABLE AMT: \$55,921.22

▶ DAY-AHEAD ENERGY

BILLABLE AMT: \$2,828,311.49

▶ DAY-AHEAD MAKE-WHOLE

NO ACTIVITY

▶ DAY-AHEAD CONGESTION REVENUE RIGHTS

NO ACTIVITY

TOTALS

| Status | Version | Billed Amount |
|---------------------|---------|----------------|
| DAM | 1 | \$2,884,232.71 |
| Operating Day Total | | \$2,884,232.71 |

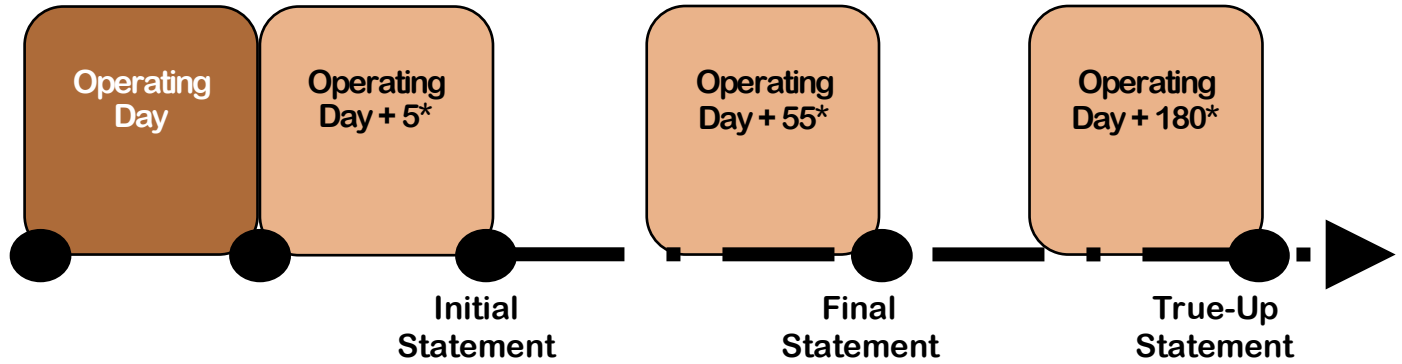
8.2.3 Real-Time Market Statements

8.2.3.1 Real-Time Market Statements

- (1) Refer to Protocol Section 9.5, Settlement Statements for Real-Time Market, for details regarding RTM Settlement Statements.


- (2) There are four types of RTM Settlement Statements: Initial, Final, True-Up and Resettlement.
- (3) The figure below illustrates the timing of each statement. Resettlements can occur at any point in accordance with Protocol Section 9.5.6, RTM Resettlement Statement.

RTM Statement Timeline



****Must be a Business Day or move to next Business Day.***

8.2.3.1.1 *RTM Initial Statement*



REAL-TIME MARKET STATEMENT

Participant Name GSE1

Participant ID #1234567892999

Statement ID RTM_#11518_#1234567892999_H

SETTLEMENT SUMMARY

Operating Day #1/15/2018

| TOTALS | | |
|-------------|---------|----------------------------|
| Status | Version | Billed Amount |
| RTM_INITIAL | 1 | \$1,342,652.80 |
| | | Operating Day Total |
| | | \$1,342,652.80 |

▶ REAL-TIME ANCILLARY SERVICES
BILLABLE AMT: \$1,086.41

▶ BLACK START CAPACITY
BILLABLE AMT: \$207.43

▶ EMERGENCY OPERATIONS
NO ACTIVITY

▶ GENERATION RESOURCE BASE-POINT DEVIATION
BILLABLE AMT: \$2197.08

▶ REAL-TIME CONGESTION REVENUE RIGHTS
BILLABLE AMT: \$893,268.67

▶ REAL-TIME ENERGY
BILLABLE AMT: \$633,718.83

▶ REAL-TIME REVENUE NEUTRALITY ALLOCATION
BILLABLE AMT: (\$191,330.65)

▶ RELIABILITY MUST-RUN
BILLABLE AMT: \$440.19


▶ RELIABILITY UNIT COMMITMENT
BILLABLE AMT: (\$1,986.85)

▶ VOLTAGE SUPPORT
NO ACTIVITY

▶ ADMINISTRATIVE FEES
BILLABLE AMT: \$5,051.77

| TOTALS | | |
|-------------|---------|----------------------------|
| Status | Version | Billed Amount |
| RTM_INITIAL | 1 | \$1,342,652.80 |
| | | Operating Day Total |
| | | \$1,342,652.80 |

8.2.3.1.2 *RTM Final Statement*



REAL-TIME MARKET STATEMENT

Participant Name
Participant ID

05E1
01234567892000

Statement ID
RTM_011510_01234567892000_F2

SETTLEMENT SUMMARY

Operating Day
01/15/2010

TOTALS

| Status | Version | Billed Amount |
|-------------|---------|---------------------|
| RTM_INITIAL | 1 | \$1,342,052.00 |
| RTM_FINAL | 2 | \$910.63 |
| | | Operating Day Total |
| | | \$1,343,163.40 |

▶ REAL-TIME ANCILLARY SERVICES

BILLABLE AMT: \$344.02

▶ BLACK START CAPACITY

BILLABLE AMT: \$113.00

▶ EMERGENCY OPERATIONS

NO ACTIVITY

▶ GENERATION RESOURCE BASE-POINT DEVIATION

BILLABLE AMT: \$0.00

▶ REAL-TIME CONGESTION REVENUE RIGHTS

BILLABLE AMT: (\$256.61)

▶ REAL-TIME ENERGY

BILLABLE AMT: (\$1,529.40)

▶ REAL-TIME REVENUE NEUTRALITY ALLOCATION

BILLABLE AMT: \$2,811.04

▶ RELIABILITY MUST-RUN

BILLABLE AMT: (\$52.02)

▶ RELIABILITY UNIT COMMITMENT

BILLABLE AMT: (\$1,340.77)

▶ VOLTAGE SUPPORT

NO ACTIVITY

▶ ADMINISTRATIVE FEES

BILLABLE AMT: \$421.29

TOTALS

| Status | Version | Billed Amount |
|-------------|---------|---------------------|
| RTM_INITIAL | 1 | \$1,342,052.00 |
| RTM_FINAL | 2 | \$910.63 |
| | | Operating Day Total |
| | | \$1,343,163.40 |

8.2.3.1.3 *RTM True-Up Statement*



REAL-TIME MARKET STATEMENT

Participant Name GSE1

Participant ID #1234567892999

SETTLEMENT SUMMARY

Statement ID RTM_#11519_#1234567892999_T3

Operating Day #1152919

| TOTALS | | |
|----------------------------|---------|-----------------------|
| Status | Version | Billed Amount |
| RTM_INITIAL | 1 | \$1,342,652.80 |
| RTM_FINAL | 2 | \$510.63 |
| RTM_TRUEUP | 3 | \$204.37 |
| Operating Day Total | | \$1,343,367.70 |

▶ **REAL-TIME ANCILLARY SERVICES** BILLABLE AMT: \$50.47

▶ **BLACK START CAPACITY** BILLABLE AMT: \$59.03

▶ **EMERGENCY OPERATIONS** NO ACTIVITY

▶ **GENERATION RESOURCE BASE-POINT DEVIATION** BILLABLE AMT: \$0.00

▶ **REAL-TIME CONGESTION REVENUE RIGHTS** BILLABLE AMT: \$0.00

▶ **REAL-TIME ENERGY** BILLABLE AMT: (\$35.59)

▶ **REAL-TIME REVENUE NEUTRALITY ALLOCATION** BILLABLE AMT: \$104.21

▶ **RELIABILITY MUST-RUN** BILLABLE AMT: (\$81.74)


▶ **RELIABILITY UNIT COMMITMENT** BILLABLE AMT: \$0.00

▶ **VOLTAGE SUPPORT** NO ACTIVITY

▶ **ADMINISTRATIVE FEES** BILLABLE AMT: \$27.99

| TOTALS | | |
|----------------------------|---------|-----------------------|
| Status | Version | Billed Amount |
| RTM_INITIAL | 1 | \$1,342,652.80 |
| RTM_FINAL | 2 | \$510.63 |
| RTM_TRUEUP | 3 | \$204.37 |
| Operating Day Total | | \$1,343,367.70 |

8.2.3.1.4 RTM Resettlement Statement



REAL-TIME MARKET STATEMENT

Participant Name: **OSE1**

Participant ID: **01234567892000**

Statement ID: **RTM_020110_01234567892000_R3**

SETTLEMENT SUMMARY

Operating Day: **02/01/2010**

| TOTALS | | |
|----------------------------|---------|---------------------|
| Status | Version | Billed Amount |
| RTM_INITIAL | 1 | (\$7,554.50) |
| RTM_FINAL | 2 | \$0.00 |
| RTM_RESETTLEMENT | 3 | \$119.77 |
| Operating Day Total | | (\$7,434.81) |

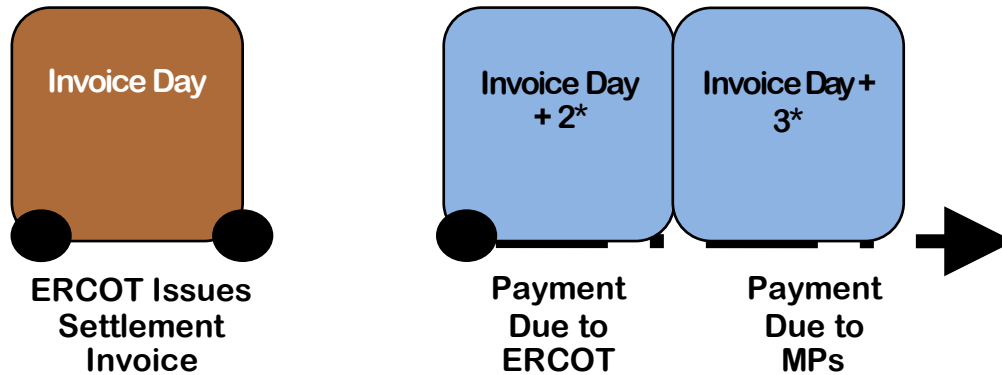
| | |
|---|---------------------------------|
| ▶ REAL-TIME ANCILLARY SERVICES | BILLABLE AMT: \$33.18 |
| ▶ BLACK START CAPACITY | BILLABLE AMT: \$40.64 |
| ▶ EMERGENCY OPERATIONS | NO ACTIVITY |
| ▶ GENERATION RESOURCE BASE-POINT DEVIATION | BILLABLE AMT: \$0.00 |
| ▶ REAL-TIME CONGESTION REVENUE RIGHTS | BILLABLE AMT: (\$154.27) |
| ▶ REAL-TIME ENERGY | BILLABLE AMT: \$19.65 |
| ▶ REAL-TIME REVENUE NEUTRALITY ALLOCATION | BILLABLE AMT: \$150.49 |
| ▶ RELIABILITY MUST-RUN | BILLABLE AMT: (\$54.90) |
| ▶ RELIABILITY UNIT COMMITMENT | BILLABLE AMT: \$0.00 |
| ▶ VOLTAGE SUPPORT | NO ACTIVITY |
| ▶ ADMINISTRATIVE FEES | BILLABLE AMT: \$84.98 |

| TOTALS | | |
|----------------------------|---------|---------------------|
| Status | Version | Billed Amount |
| RTM_INITIAL | 1 | (\$7,554.50) |
| RTM_FINAL | 2 | \$0.00 |
| RTM_RESETTLEMENT | 3 | \$119.77 |
| Operating Day Total | | (\$7,434.81) |


8.2.3.2 Settlement Invoice

Refer to Protocol Section 9.6, Settlement Invoices for the Day-Ahead Market and Real-Time Market, for details regarding the invoicing process. The daily Settlement invoicing process finds

and includes the DAM, RTM Initial, Final, True-Up and/or Resettlement Statements that are posting on the same day.



***Must be a Business Day or move to next Business Day.**



SETTLEMENT INVOICE

Invoice No: STL13388
Invoice Date: 01/02/2013

Payments are due to ERCOT by 5:00 P.M. 01/04/2013
Payments will be made to Invoice Recipients by 5:00 P.M. 01/07/2013

AMOUNT OWED (DUE): (\$31,855.92)

| INVOICE RECIPIENT | | | |
|-------------------|------------|--|--|
| Name: | QSE1 (QSE) | | |
| ID: | 123456789 | | |


| CATEGORY | STATEMENT ID | OPERATING DAY | STATEMENT AMOUNT | SUBTOTAL |
|--------------------|---|---------------|------------------------------------|----------------------|
| DAM Statements | DAM_STATEMENT_20121228_123456789_D1 | 12/28/2012 | (\$0.01) | |
| | | | DAM Statements Subtotal | (\$0.01) |
| Initial Statements | RTM_INITIAL_STATEMENT_20121223_123456789_I1 | 12/23/2012 | (\$16,885.34) | |
| | RTM_INITIAL_STATEMENT_20121224_123456789_I1 | 12/24/2012 | (\$14,976.48) | |
| | | | Initial Statements Subtotal | (\$31,861.82) |
| Final Statements | RTM_FINAL_STATEMENT_20121103_123456789_F2 | 11/03/2012 | \$0.00 | |
| | RTM_FINAL_STATEMENT_20121104_123456789_F2 | 11/04/2012 | \$0.00 | |
| | | | Final Statements Subtotal | \$0.00 |
| True-Up Statements | RTM_TRUEUP_STATEMENT_20120705_123456789_T3 | 07/05/2012 | (\$0.73) | |
| | RTM_TRUEUP_STATEMENT_20120706_123456789_T3 | 07/06/2012 | \$6.64 | |
| | | | True-Up Statements Subtotal | \$5.91 |
| | | | NET AMOUNT OWED (DUE) | (\$31,855.92) |

| REMITTANCE INFORMATION | |
|------------------------|---------------|
| Account Name | ERCOT Account |
| Bank Name | ERCOT BANK |
| ABA Routing Number | 444444444 |
| Account Number | 3333333333 |
| Recipient Account | QSE1 ACCOUNT |
| | QSE1 BANK |
| | 222222222 |
| | 1111111111 |

Overdue Terms
In the event ERCOT does not receive your payment by close of bank business on the "Payments are due to ERCOT" date a late fee of Prime + 2% APR may be applied to any outstanding balance.

8.2.3.3 Default Uplift Invoice

Refer to Protocol Sections 9.19.1, Default Uplift Invoices, and 9.19.2, Payment Process for Default Uplift Invoices, for details regarding the Default Uplift Invoicing process. The Default Uplift Invoicing process allocates DAM and/or RTM losses to QSEs and CRRAs.



DEFAULT UPLIFT INVOICE

Invoice No: DEF1209
 Invoice Date: 09/02/2014

Payments are due to ERCOT by 5:00 P.M. (CPT) on: 09/09/2014
 Payments will be made to Invoice Recipients by 5:00 P.M. (CPT) on: 09/10/2014

AMOUNT OWED (DUE): \$167.07

| INVOICE RECIPIENT | | | | |
|-------------------|---------------|--|--|--|
| Name: | QSE 1 | | | |
| ID: | 1234567892000 | | | |

| DESCRIPTION | INVOICE DUE | REFERENCE | UPLIFTED AMOUNT | BILLABLE AMOUNT |
|--|-------------|-----------|-----------------------|-----------------|
| September 2014 Default | 03/04/2014 | STL16843 | \$7,997.56 | |
| Subtotal - September 2014 Default | | | \$7,997.56 | |
| Previous Uplift for September 2014 Default | | | \$0.00 | |
| Reduction due to \$2.5M cap | | | \$0.00 | |
| TOTAL - September 2014 Default | | | \$7,997.56 | \$167.07 |
| | | | NET AMOUNT DUE | \$167.07 |

| REMITTANCE INFORMATION | | |
|------------------------|---|-------------------|
| | ERCOT Account | Recipient Account |
| Account Name | ELECTRIC RELIABILITY COUNCIL OF TEXAS INC | QSE 1 |
| Bank Name | ERCOT Bank | QSE 1 Owner Bank |
| ABA Routing Number | 111111111 | 333333333 |
| Account Number | 222222222 | 444444444 |

Overdue Terms
 In the event ERCOT does not receive your payment by close of bank business on the "Payments are due to ERCOT" date a late fee of Prime + 2% APR may be applied to any outstanding balance.

8.2.3.4 Miscellaneous Invoice

- (1) In the event that ERCOT cannot reasonably Invoice Market Participants via one of the other Protocol-defined Invoices, ERCOT may utilize the Miscellaneous Invoice. Use of the Miscellaneous Invoice would be noticed to the market and could be in support of any invoicing activity described as "ad hoc" in Section 8.1, Invoice Process, of this document. The Miscellaneous Invoice posts to the same location on MIS as other QSE/CRRAs Invoices. This Invoice is generated out of the Settlements and Billing System using data which is derived and input by analysts. The Invoice format allows for flexibility to communicate descriptive information which varies depending on the nature of the ad hoc Invoice.



MISCELLANEOUS INVOICE

Category: **MISC**Invoice No: **MSC100**Invoice Date: **05/11/2009**

Payments are due to ERCOT by 5:00 P.M. (CPT) on: **05/16/2009**
 Payments will be made to Invoice Recipients by 5:00 P.M. (CPT) on: **05/17/2009**

AMOUNT OWED (DUE): **\$2,500.00**

INVOICE RECIPIENT

Name: **QSE1**
 ID: **1234567892000**

| DESCRIPTION 1 | DESCRIPTION 2 | DESCRIPTION 3 | DESCRIPTION 4 | AMOUNT |
|------------------------------|---------------|-------------------------------|---------------|---------|
| Ad-Hoc Reason Description | March 2009 | Allocation Factor = 0.1111 | | 2500.00 |

REMITTANCE INFORMATION

| | ERCOT Account | Recipient Account |
|--------------------|---------------|-------------------|
| Account Name | ERCOT | QSE1 Bank |
| Bank Name | ERCOT BANK | QSE1 Owner Bank |
| ABA Routing Number | 111111111 | 222222222 |
| Account Number | 333333333 | 444444444 |

Overdue Terms

In the event ERCOT does not receive your payment by close of bank business on the "Payments are due to ERCOT" date your credit standing with ERCOT may be affected and subject to review.

Commercial Operations Market Guide

Section 9

November 1, 2007

This section intentionally left blank.

Commercial Operations Market Guide

Section 10: Extracts and Reports

January 1, 2021

| | | |
|-----------|-------------------------------------|-------------|
| 10 | EXTRACTS AND REPORTS | 10-1 |
| 10.1 | Security Classification Types | 10-1 |
| 10.2 | Subscribing to Extracts | 10-1 |
| 10.3 | ERCOT Market Information List..... | 10-1 |

10 EXTRACTS AND REPORTS

- (1) ERCOT provides reports and extracts to assist Market Participants in understanding data pertaining to, but not limited to, energy and Ancillary Services, market prices, retail and wholesale activity, Load Profiling, Metering, Data Aggregation and Settlements. Extracts and reports provide supplemental data to allow Market Participants a view into ERCOT's operational and commercial systems. Extract data is provided in raw form to facilitate the loading of data into a database. Reports are in a formatted presentation which facilitates stand-alone reading.
- (2) ERCOT publishes information regarding extracts and reports at <http://www.ercot.com/services/mdt/>. This information includes, but is not limited to, the ERCOT Market Information List (EMIL), Data Definition Language (DDL), XML Schema Definition (XSD), user guides and market aid documentation.

10.1 Security Classification Types

- (1) For more information on public, secure and certified data security classifications, please see the definition of Market Information System (MIS) in Protocol Section 2, Definitions and Acronyms.

10.2 Subscribing to Extracts

- (1) Market Participants who wish to receive certain certified extracts must access the extract subscriber application which allows Market Participants to subscribe/unsubscribe to the listed extracts. The individual extract user guides contain specific information on the availability and format of the given extract.

10.3 ERCOT Market Information List

- (1) The ERCOT Market Information List (EMIL) is an inventory list of all products externally delivered by ERCOT as required by Protocols and Other Binding Documents.
- (2) The EMIL contains unique report type ids for each product as delivered by ERCOT as well as attribute information on the corresponding product.

Attribute information includes:

- (a) Name of product;
- (b) Description;
- (c) Traceability references;
- (d) Data delivery access points;

- (e) Audience;
 - (f) Supporting reference material information;
 - (g) Report type id;
 - (h) Format;
 - (i) Inclusion on Extract Subscriber: and
 - (j) Market Information System (MIS) specific information for data classification.
- (3) Reference materials include Data Definition Language (DDL) and XML Schema Definition (XSD), which can be found on the ERCOT website as well as the MIS. DDLs and XSDs are used in conjunction with .csv and .xml file formats. DDLs are used to load .csv files into a relational database and include the column and table name definitions. XSDs provide the data tag and element information for use with .xml files and are also used for web services. Other reference materials available include user guides and market aides. These documents will provide specifics regarding content, format, Extract Subscriber, loading suggestions, use, etc.
- (4) Report type ids are listed for each product that can be retrieved using the external web service “Get Report” functionality.

Commercial Operations Market Guide

Section 11: Disputes

January 1, 2021

11 DISPUTES..... 1

11.1 ERCOT Disputes.....1

 11.1.1 Overview..... 1

 11.1.2 Settlement Calendar..... 6

 11.1.3 Dispute Access..... 6

 11.1.4 Dispute Items..... 6

 11.1.5 Valid Dispute Statuses and Resolutions..... 7

 11.1.6 Dispute Reporting..... 7

11 DISPUTES

11.1 ERCOT Disputes

- (1) Section 9, Settlement and Billing, describes the various requirements for the implementation and maintenance of the Dispute Management Process. Qualified Scheduling Entities (QSEs) in the Day-Ahead Market (DAM) and Real-Time Market (RTM) and QSEs and Congestion Revenue Right (CRR) Account Holders for the DAM, RTM, and CRR markets are responsible for the review of their Settlement Statements and Settlement Invoices to verify the accuracy of the Settlement data used to produce the Settlement Statement and Settlement Invoice. Recipients must submit any dispute related to the Settlement Statement or Settlement Invoice data. All communication to and from ERCOT concerning disputes must be through either the Market Information System (MIS) Certified Area dispute tool or other electronic communications. Recipients shall be able to file the dispute, create the dispute-associated activities and view the progress of the dispute.
- (2) In accordance with Protocols, ERCOT will issue Resettlement Statements as soon as possible due to data error other than prices that result in an impact greater than two percent of the total payments due to ERCOT, otherwise ERCOT will wait until the next scheduled Settlement. Protocol Sections 9.2.5, DAM Resettlement Statement, and 9.5.6, RTM Resettlement Statement, describes the timing of resettlements due to Settlement and billing disputes.

11.1.1 Overview

- (1) The following figures illustrate an overview of the process flow of the Dispute Management System, detailed process flows based on the type of statement being disputed, and the process for denied disputes. Protocol Section 9, Settlement and Billing, also describes the timing of disputes.

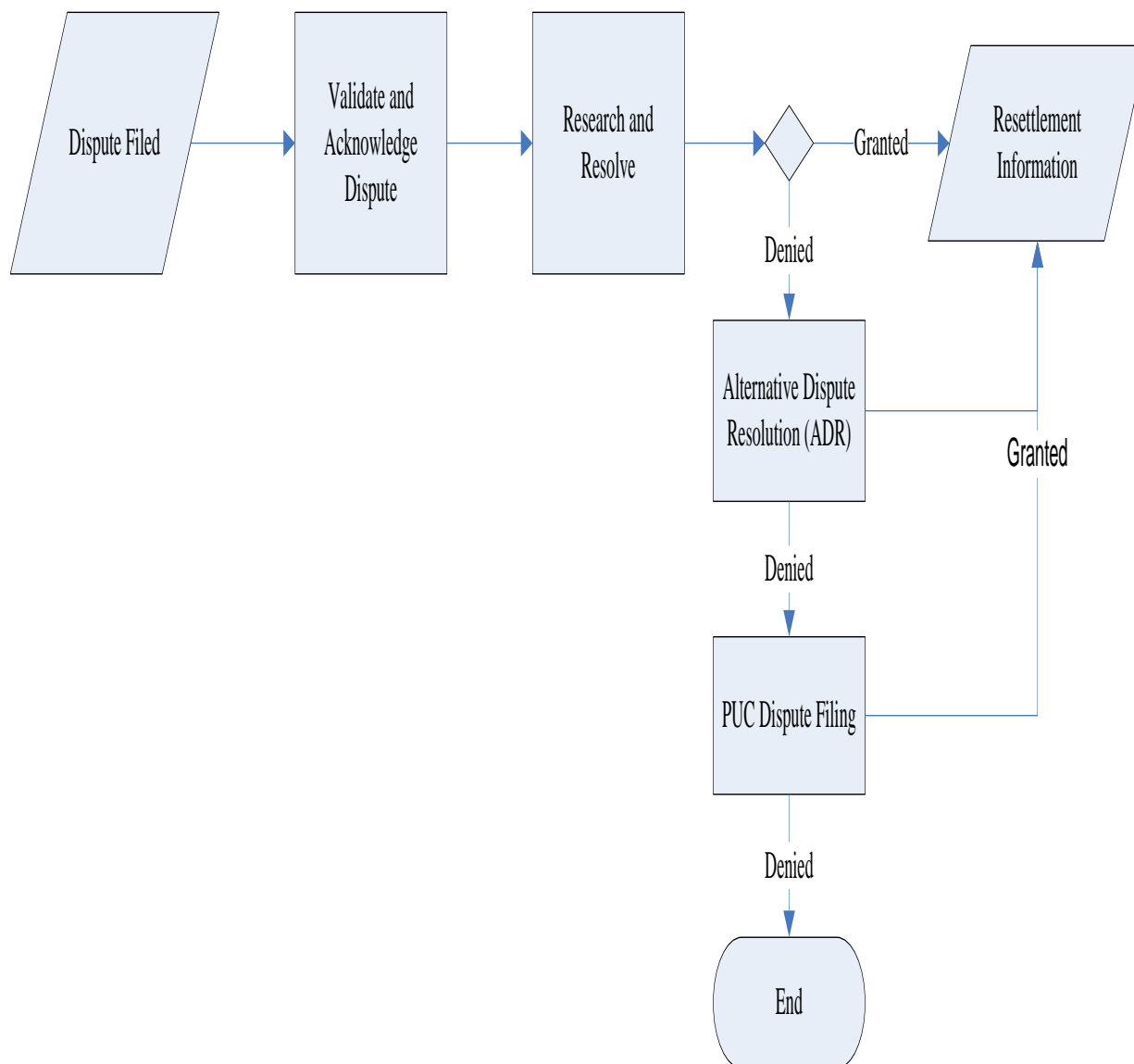
Figure 1: Dispute Management System Process Flow Overview

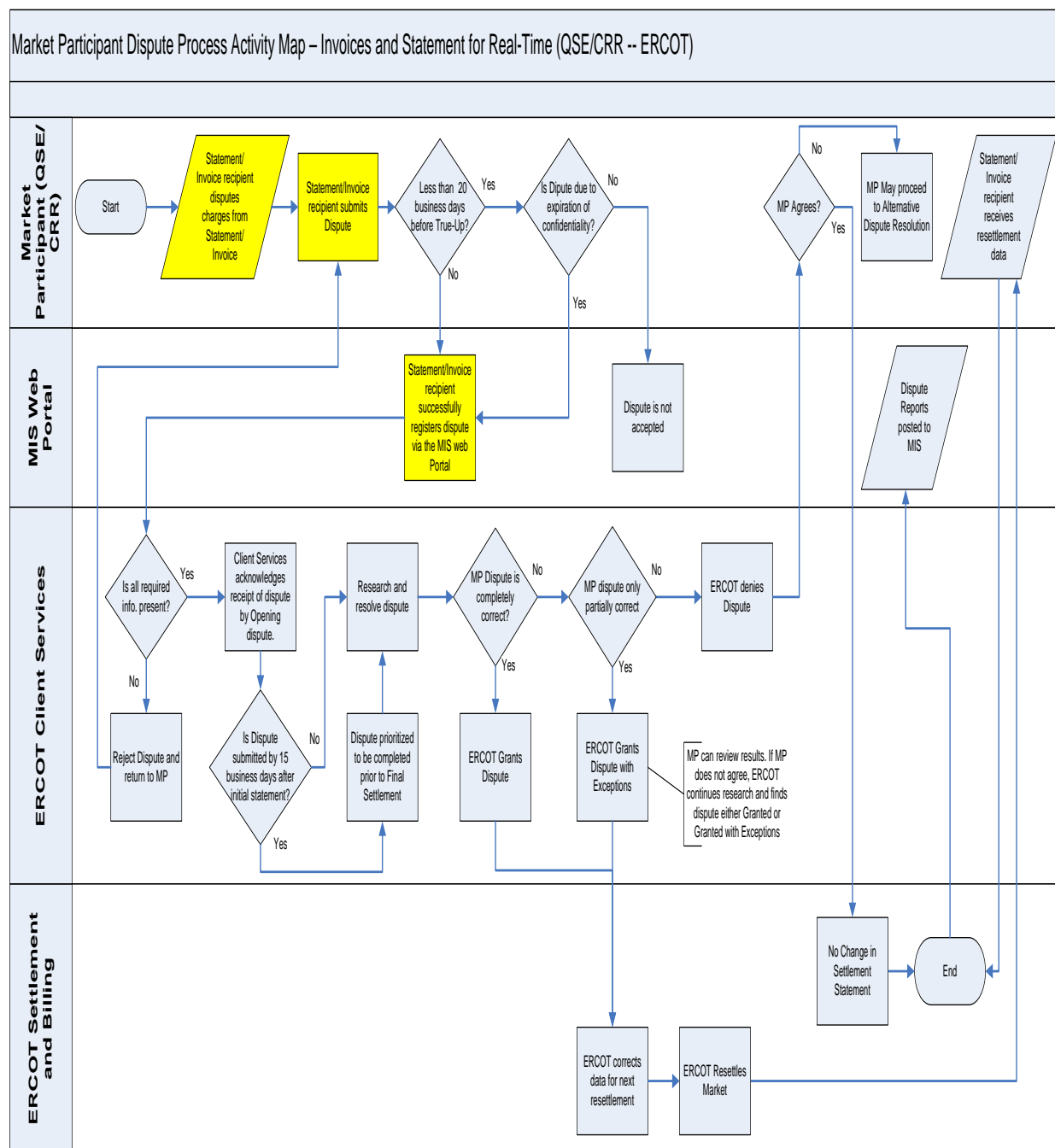
Figure 2: Process for Disputing a Real-Time Statement and Invoice

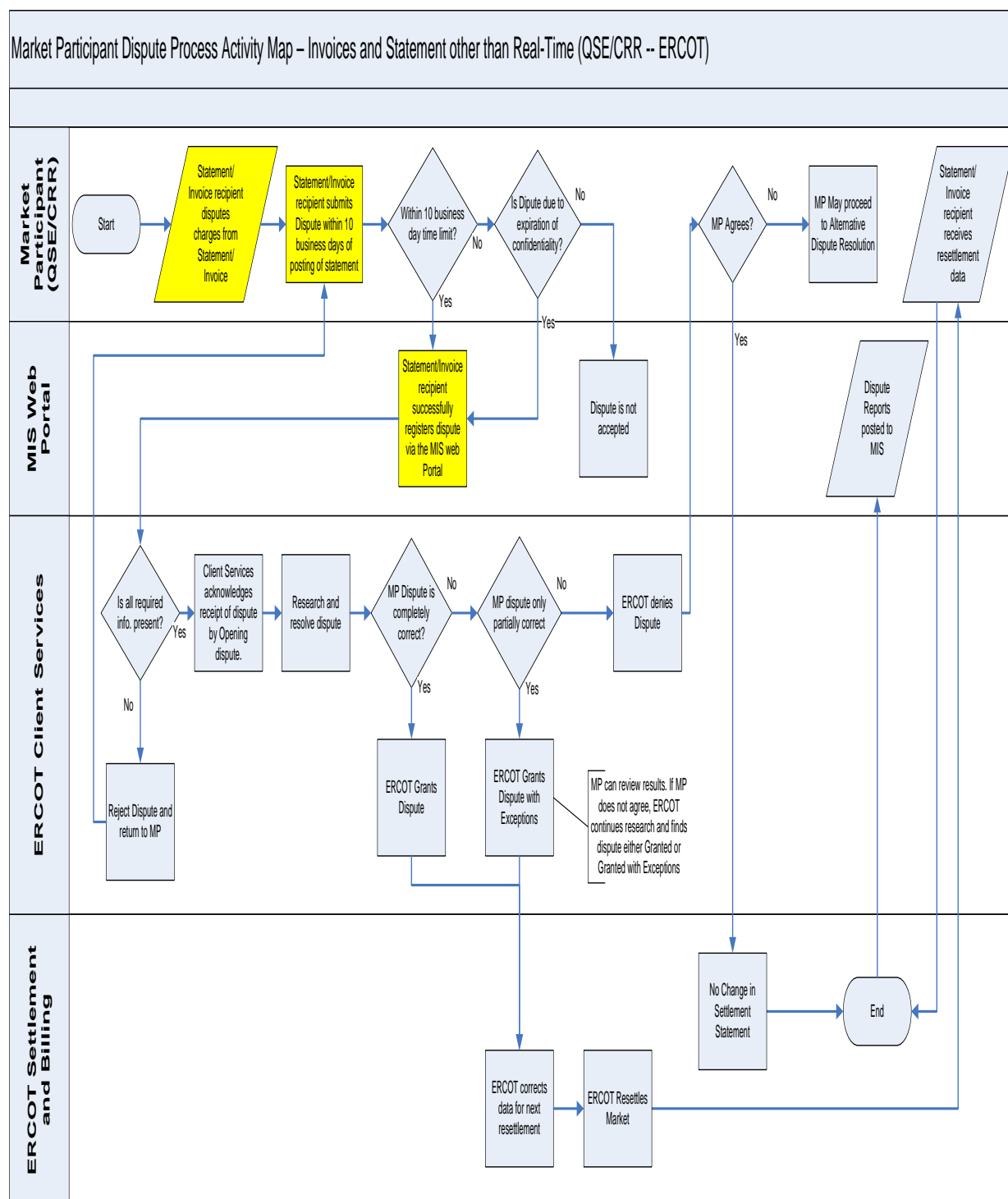
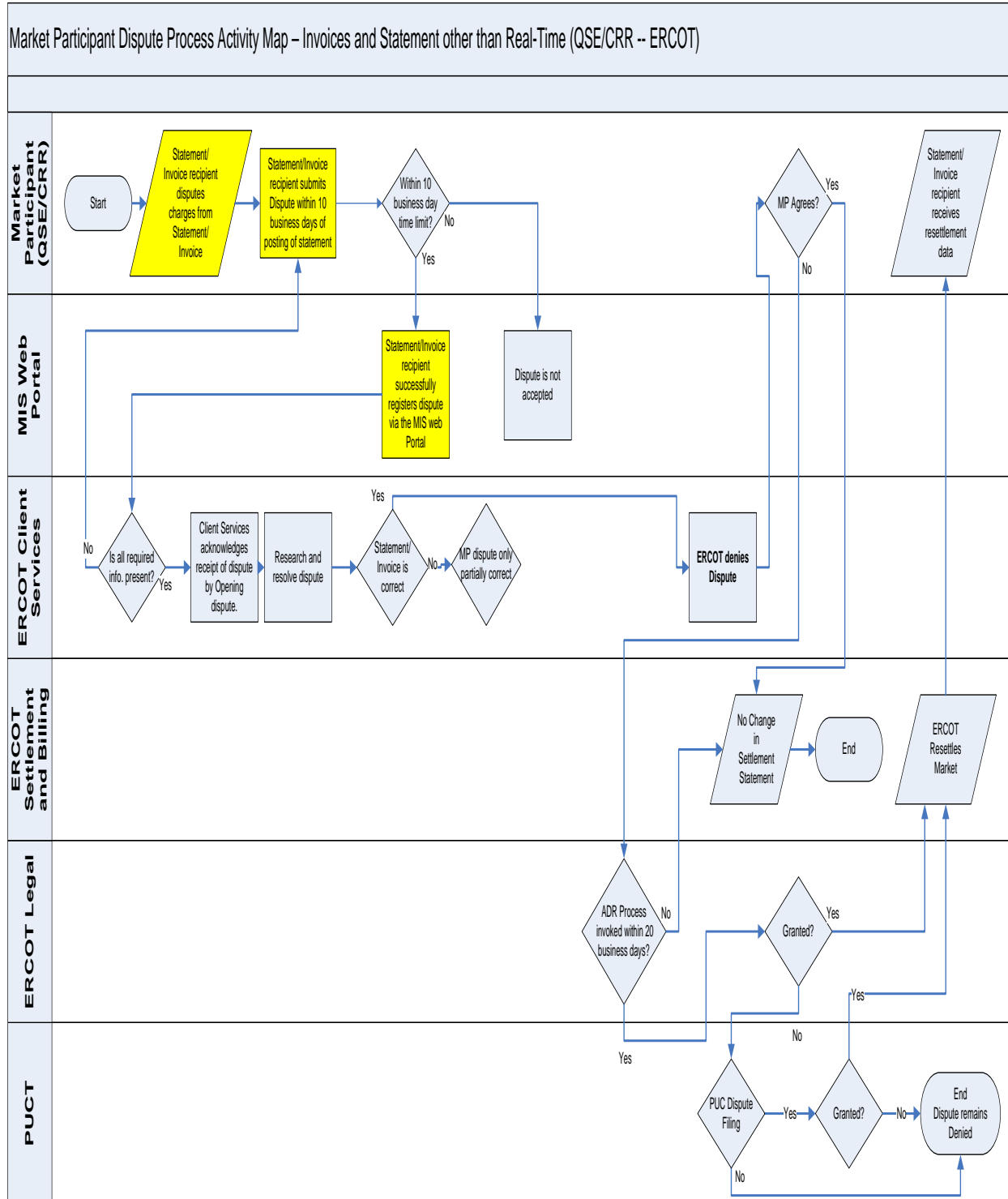
Figure 3: Process for Disputing Statements and Invoices Other than Real-Time

Figure 4: Process for a Denied Dispute

11.1.2 Settlement Calendar

- (1) The Settlement Calendar provides the dates by which ERCOT will post, process payments, and administer disputes for Settlement Statements and Invoices, including:
 - (a) Settlement Statements for the DAM and RTM; and
 - (b) Settlement Invoice, CRR Auction, CRR Auction Revenue Distribution (CARD), and CRR Balancing Account (CRRBA).
- (2) The Settlement Calendar is provided as an extract and can be found on the ERCOT website. Supporting information for the Settlement Calendar (i.e. the Data Definition Language (DDL) and Extensible Markup Definitions) are also available on the ERCOT website.

11.1.3 Dispute Access

- (1) There are two methods available for filing a dispute, MIS Web Portal and Application Programmatic Interface (API).
 - (a) MIS Web Portal – The web portal user interface utilizes the Market Participant’s Digital Certificate for authentication. The disputes area can be found by navigating to the on Markets/Settlements landing page or the applications home page. From either page, you can open the dispute application, based on roles, Create Nodal Settlement Dispute or Find Nodal Settlement Disputes.

Market Participants also have the ability to search for or view disputes using the ‘Find Nodal Settlement Disputes’ function on the Graphic User Interface (GUI). Disputes may be viewed and searched for by dispute IDs and various other criteria.
 - (b) API – Allows you to utilize a third-party application to submit your disputes to and from ERCOT. See the External Interfaces Specification (EIP) document on the ERCOT.com website for the API technical requirements.

11.1.4 Dispute Items

- (1) The following are a list of the statement and Invoice items that can be disputed. For Invoices, the items not listed on the statement can be disputed, such as interest.
 - (a) DAM Statement;
 - (b) DAM Resettlement Statement;
 - (c) RTM Initial Statement;
 - (d) RTM Final Statement;
 - (e) RTM True-Up Statement;

- (f) Any RTM Resettlement Statement issued after the RTM True-Up Statement;
- (g) Default Uplift Invoice;
- (h) CRR Auction Invoice;
- (i) CARD Invoice; and
- (j) CRRBA Invoice.

11.1.5 Valid Dispute Statuses and Resolutions

- (1) An automatic Notification will be sent to the disputing Entity if there is a change in the dispute resolution or dispute status.
 - (a) Statuses:
 - (i) Not Started – The initial status of the dispute when it is submitted to ERCOT.
 - (ii) Open – ERCOT has begun to work on the issue.
 - (iii) Alternative Dispute Resolution (ADR) – The Market Participant begins the ADR process once ERCOT has denied a dispute.
 - (iv) Closed – The dispute has been resolved.
 - (v) Withdrawn – Market Participant withdraws the dispute.
 - (b) Resolutions:
 - (i) Granted – ERCOT grants the dispute and the adjustments display on the next Settlement Statement for the Operating Day.
 - (ii) Granted with Exceptions – ERCOT grants a partial adjustment of the disputed amount. The Market Participant is notified of the exception(s).
 - (iii) Denied – ERCOT rejects the dispute. An automatic Notification will be sent to the disputing Market Participant.

11.1.6 Dispute Reporting

- (1) ERCOT will post a summary level dispute report and a Market Participant specific dispute extract on the MIS Certified Area.
 - (a) Market Participant Dispute Extract – This certified extract provides QSEs and CRR Account Holders with the current status of all of their Entity specific disputes that are not closed or withdrawn, as well as all disputes closed or withdrawn within the last 120 days.

- (b) ERCOT Summary Dispute Report – This report is a summary by Operating Day , status and market type (DAM and RTM) with resolution and count of disputes, as disputes move to a ‘Closed’ or ‘Withdrawn’ status, the data will remain available on the report for 30 days before rolling off’.