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| NPRR Number | [1159](https://www.ercot.com/mktrules/issues/NPRR1159) | NPRR Title | Related to RMGRR171, Changes to Transition Process That Require Opt-in MOU and EC That Are Designating POLR to Provide Mass Transition Methodology to ERCOT |
| Date of Decision | | February 20, 2023 | |
| Action | | Recommended Approval | |
| Timeline | | Normal | |
| Proposed Effective Date | | Upon implementation of Retail Market Guide Revision Request (RMGRR) 171, Changes to Transition Process That Require Opt-in MOU and EC That Are Designating POLR to Provide Mass Transition Methodology to ERCOT | |
| Priority and Rank Assigned | | Not applicable | |
| Nodal Protocol Sections Requiring Revision | | 15.1.10.1, Request to Initiate Continuous Service Agreement  19.3.1, Defined Texas Standard Electronic Transactions | |
| Related Documents Requiring Revision/Related Revision Requests | | RMGRR171 | |
| Revision Description | | This Nodal Protocol Revision Request (NPRR) provides needed references to the Retail Market Guide to account for Texas Standard Electronic Transaction (TX SET) processing options for Municipally Owned Utility (MOU) or Electric Cooperative (EC) service areas, in alignment with RMGRR171. | |
| Reason for Revision | | Addresses current operational issues.  Meets Strategic goals (tied to the [ERCOT Strategic Plan](https://www.ercot.com/files/docs/2018/12/13/ERCOT_Strategic_Plan_2019-2023.pdf) or directed by the ERCOT Board).  Market efficiencies or enhancements  Administrative  Regulatory requirements  Other: (explain)  *(please select all that apply)* | |
| Business Case | | These changes support options available to an MOU/EC for retail transaction processes upon entry into retail competition. | |
| PRS Decision | | On 1/17/23, PRS voted unanimously to recommend approval of NPRR1159 as submitted. All Market Segments participated in the vote.  On 2/9/23, PRS voted unanimously to endorse and forward to TAC the 1/17/23 PRS Report and 12/22/22 Impact Analysis for NPRR1159. All Market Segments participated in the vote. | |
| Summary of PRS Discussion | | On 1/17/23, ERCOT Staff reviewed NPRR1159.  On 2/9/23, participants reviewed the 12/22/22 Impact Analysis. | |
| TAC Decision | | On 2/20/23, TAC voted unanimously to recommend approval of NPRR1159 as recommended by PRS in the 2/9/23 PRS Report. All Market Segments participated in the vote. | |
| Summary of TAC Discussion | | On 2/20/23, TAC reviewed the ERCOT Opinion, ERCOT Market Impact Statement, and Independent Market Monitor (IMM) Opinion for NPRR1159. | |
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| **Opinions** | | | |
| Credit Review | | ERCOT Credit Staff and the Market Credit Working Group (MCWG) have reviewed NPRR1159 and do not believe that it requires changes to credit monitoring activity or the calculation of liability. | |
| Independent Market Monitor Opinion | | The IMM has no opinion on NPRR1159. | |
| ERCOT Opinion | | ERCOT supports approval of NPRR1159. | |
| ERCOT Market Impact Statement | | ERCOT Staff has reviewed NPRR1159 and believes it has a positive market impact by addressing current operational issues through the application of references to the Retail Market Guide into the Protocols in order to account for TX SET processing options for MOU and EC services area, in alignment with RMGRR171. | |

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| Market Segment | Not applicable |

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| **Comments Received** | |
| **Comment Author** | **Comment Summary** |
| RMS 011123 | Endorsed NPRR1159 as submitted |
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| **Market Rules Notes** | |

None

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| Proposed Protocol Language Revision |

15.1.10.1 Request to Initiate Continuous Service Agreement

(1) When a CR establishes a CSA at an ESI ID, the CR will send an 814\_18, Establish/Delete CSA Request, to ERCOT. This will be forwarded to the MOU/EC TDSP within one Retail Business Day, unless otherwise indicated in Retail Market Guide Section 8.1, Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market. ERCOT will send the 814\_18 transaction, and if an 814\_19, Establish/Delete CSA Response, is not received from the MOU/EC TDSP within ten Business Days, ERCOT will cancel the CSA request and send an 814\_08, Cancel Request, to the requesting CSA CR and MOU/EC TDSP. Additional 814\_18 transactions received on the ESI ID while the first 814\_18 transaction is still pending will be rejected at ERCOT. If an 814\_18 transaction is received on an ESI ID with an existing CSA relationship, ERCOT will forward the 814\_18 transaction to the MOU/EC TDSP within one Retail Business Day, and upon receipt of the 814\_19 transaction (accept) from the MOU/EC TDSP, will send an 814\_18 transaction to the current CSA CR and an 814\_19 transaction to the new CSA CR within one Retail Business Day of receipt of the 814\_19 transaction from the MOU/EC TDSP.

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| ***[NPRR1095: Replace paragraph (1) above with the following upon system implementation and renumber accordingly:]***  (1) When a CR establishes a CSA at an ESI ID, the CR will send an 814\_18, Establish/Delete CSA Request, to ERCOT. This will be forwarded to the MOU/EC TDSP within one Retail Business Day, unless otherwise indicated in Retail Market Guide Section 8.1, Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market. ERCOT will send the 814\_18 transaction, and if an 814\_19, Establish/Delete CSA Response, is not received from the MOU/EC TDSP within ten Business Days, ERCOT will cancel the CSA request and send an 814\_08, Cancel Request, to the requesting CSA CR and MOU/EC TDSP. Additional 814\_18 transactions received on the ESI ID while the first 814\_18 transaction is still pending will be rejected at ERCOT. Upon receipt of the 814\_19 transaction (accept) from the MOU/EC TDSP, ERCOT will send an 814\_19 transaction to the new CSA CR within one Retail Business Day. ERCOT will hold the CSA in a pending status until the start date of the CSA.  (2) If an 814\_18 transaction is received on an ESI ID with an existing CSA relationship, ERCOT will forward the 814\_18 transaction to the MOU/EC TDSP within one Retail Business Day, and upon receipt of the 814\_19 transaction (accept) from the MOU/EC TDSP, will send an 814\_19 transaction to the new CSA CR within one Retail Business Day of receipt of the 814\_19 transaction from the MOU/EC TDSP. ERCOT will hold the CSA in a pending status until the start date of the CSA. On the start date of the new CSA, ERCOT will send notice of the CSA termination using the 814\_18 transaction to the current CSA. |

(2) If a CSA CR wishes to establish CSAs with multiple ESI IDs, the CSA CR must submit an 814\_18 transaction for each ESI ID.

19.3.1 Defined Texas Standard Electronic Transactions

(1) **Service Order Request (650\_01)**

This transaction set:

(a) From the Competitive Retailer (CR) to the Transmission and/or Distribution Service Provider (TDSP) via point to point protocol, is used to initiate the original service order request, cancel request, or change/update request.

(b) For every 650\_01, Service Order Request, there will be a 650\_02, Service Order Response.

(2) **Service Order Response (650\_02)**

This transaction set:

(a) From the TDSP to the CR via point to point protocol, is used to send a response to the CR’s original 650\_01, Service Order Request, that the transaction is complete, complete unexecutable, rejected, or requires a permit.

(b) For every 650\_01 transaction, there will be a 650\_02 transaction.

(3) **Planned or Unplanned Outage Notification (650\_04)**

This transaction set:

(a) From the TDSP to the CR via point to point protocol, is used to notify the CR of a suspension of delivery service or to cancel the suspension of delivery service.

(b) From Municipally Owned Utility/Electric Cooperative (MOU/EC) TDSP to CR via point to point protocol, is used to notify the CR of disconnect/reconnect of delivery service for non-payment of wires charges, unless otherwise indicated in Retail Market Guide Section 8.1, Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market.

(4) **Planned or Unplanned Outage Response (650\_05)**

This transaction set is no longer valid as of Texas SET 4.0.

(5) **TDSP Invoice (810\_02)**

This transaction set:

From the TDSP to the CR via point to point protocol, is an invoice for wire charges as listed in each TDSP tariff, (i.e., delivery charges, late payment charges, discretionary service charges, etc.). The 810\_02, TDSP Invoice, may be paired with an 867\_03, Monthly or Final Usage, to trigger the Customer billing process.

(6) **MOU/EC Invoice (810\_03)**

This transaction set:

From the CR to the MOU/EC TDSP via point to point protocol, is an invoice for monthly energy charges, discretionary, and service charges for the current billing period, unless otherwise indicated in Retail Market Guide Section 8.1. The 810\_03, MOU/EC Invoice, will be preceded by an 867\_03, Monthly or Final Usage, to trigger the Customer billing process.

(7) **Maintain Customer Information Request (814\_PC)**

This transaction set:

(a) From a CR to the TDSP via point to point protocol, is used to maintain the information needed by the TDSP to verify the CR’s end use Customer’s identity (i.e., name, address and contact phone number) for a particular point of delivery served by the CR. A CR shall be required to provide TDSP with the information to contact the Customer and to continuously provide TDSP updates of changes in such information.

(b) From the CR to the TDSP via point to point protocol, will be transmitted only after the CR has received the 867\_04, Initial Meter Read, from the TDSP for that specific move in Customer. Also, the CR will not transmit this transaction set and/or provide any updates to the TDSP after receiving the 867\_03, Monthly or Final Usage, final meter read for that specific move out Customer.

(c) From a MOU/EC TDSP to CR via point to point protocol, is used to provide the CR with updated Customer information (name, address, membership ID, home phone number, etc.) for a particular point of delivery served by both the MOU/EC TDSP and the CR and to continuously provide CR updates of such information, unless otherwise indicated in Retail Market Guide Section 8.1.

(8) **Maintain Customer Information Response (814\_PD)**

This transaction set:

From the TDSP to the CR via point to point protocol, or from the CR to MOU/EC TDSP via point to point protocol, unless otherwise indicated in Retail Market Guide Section 8.1, is used to respond to the 814\_PC, Maintain Customer Information Request.

(9) **Switch Request (814\_01)**

This transaction set:

From a new CR to ERCOT, is used to begin the Customer enrollment process for a switch.

(10) **Switch Reject Response (814\_02)**

This transaction set:

From ERCOT to the new CR, is used by ERCOT to reject the 814\_01, Switch Request, based on incomplete or invalid information. This is a conditional transaction and will only be used as a negative response. If the 814\_02, Switch Reject Response, is not received from ERCOT, the new CR will receive the 814\_05, CR Enrollment Notification Response, from ERCOT.

(11) **Enrollment Notification Request (814\_03)**

This transaction set:

(a) From ERCOT to the TDSP, passes information from the 814\_01, Switch Request; 814\_16, Move In Request; or an 814\_24, Move Out Request, where a Continuous Service Agreement (CSA) exists.

(b) The historical usage, if requested by the submitter of the initiating transaction, will be sent using the 867\_02, Historical Usage.

(c) Will be initiated by ERCOT and transmitted to the TDSP in the event of a Mass Transition.

(d) Will be initiated by ERCOT and transmitted to the TDSP in the event of an acquisition transfer.

(12) **Enrollment Notification Response (814\_04)**

This transaction set:

From the TDSP to ERCOT, is used to provide the scheduled meter read date that the TDSP has calculated and pertinent Customer and Premise information in response to an 814\_01, Switch Request; 814\_16, Move In Request; 814\_24, Move Out Request, where a CSA exists initiated by a CR or a Mass Transition or acquisition transfer of Electric Service Identifiers (ESI IDs) initiated by ERCOT. TDSPs will acknowledge the initiating CRs request for historical usage with this transaction but will send the usage using the 867\_02, Historical Usage.

(13) **CR Enrollment Notification Response (814\_05)**

This transaction set:

From ERCOT to the new CR, is essentially a pass through of the TDSP’s 814\_04, Enrollment Notification Response, information. This transaction will provide the scheduled meter read date for the CR’s 814\_01, Switch Request, or 814\_16, Move In Request.

(14) **Loss Notification (814\_06)**

This transaction set:

From ERCOT to the current CR, is used to notify a current CR of a drop initiated by an 814\_01, Switch Request, or drop notification due to a pending 814\_16, Move In Request, from a new CR.

(15) **Loss Notification Response (814\_07)**

This transaction set is no longer valid as of Texas SET 4.0.

(16) **Cancel Request (814\_08)**

This transaction set:

(a) From ERCOT to the TDSP, is used to cancel an 814\_03, Enrollment Notification Request, or an 814\_24, Move Out Request.

(b) From ERCOT to the current CR, is used to cancel an 814\_06, Loss Notification, (forced Move-Out or Switch Request), an 814\_24 transaction, or an 814\_11, Drop Response.

(c) From ERCOT to the new CR, is used to cancel an 814\_01, Switch Request, an 814\_16, Move In Request, or an 814\_14, Drop Enrollment Request.

(d) From the current CR to ERCOT, is used to cancel an 814\_24 transaction.

(e) From the new CR to ERCOT, is used to cancel an 814\_01 or an 814\_16 transaction.

(f) From ERCOT to the CSA CR, is used to cancel an 814\_22, CSA CR Move In Request.

(g) From ERCOT to the requesting CR/Provider of Last Resort (POLR), is used to cancel pending transactions involved in a Mass Transition.

(h) From ERCOT to the gaining CR, is used to cancel pending transaction involved in an acquisition transfer.

(17) **Cancel Response (814\_09)**

This transaction set:

(a) From the TDSP to ERCOT, is used in response to the cancellation of an 814\_03, Enrollment Notification Request, or an 814\_24, Move Out Request.

(b) From the current CR to ERCOT, is no longer valid as of Texas SET 4.0.

(c) From the new CR to ERCOT, is no longer valid as of Texas SET 4.0.

(d) From ERCOT to the current CR, is used in forwarding the response of the Customer cancel of an 814\_24 transaction.

(e) From CSA CR to ERCOT, is no longer valid as of Texas SET 4.0.

(f) From ERCOT to the submitter of an 814\_08, Cancel Request, is used to reject the cancellation request.

(g) From POLR to ERCOT, is no longer valid as of Texas SET 4.0.

(18) **Drop Request (814\_10)**

This transaction set is no longer valid as of March 8, 2007 (Reference Project No. 33025, PUC Rulemaking Proceeding to Amend Commission Substantive Rules Consistent With §25.43, Provider of Last Resort (POLR)).

(19) **Drop Response (814\_11)**

This transaction set:

(a) From ERCOT to the current CR, is sent within one Retail Business Day to notify the CR that the request is invalid.

(b) From ERCOT to the current CR, is used in response to a Mass Transition.

(c) From ERCOT to the current CR, is used in response to an acquisition transition.

(20) **Date Change Request (814\_12)**

This transaction set:

(a) From new CR to ERCOT, is used when the Customer requests a date change to the original 814\_16, Move In Request.

(b) From ERCOT to the current CR, is used for a notification of the date change on the 814\_16 transaction, from the new CR.

(c) From ERCOT to the TDSP, is used for notification of a move in or move out date change request.

(d) From the current CR to ERCOT, is used when the Customer requests a date change to the original 814\_24, Move Out Request.

(e) From ERCOT to the new CR, is used for notification of the date change on the 814\_24 transaction from the current CR.

(f) From ERCOT to the CSA CR, is used for notification of the date change on the 814\_24 transaction only.

(21) **Date Change Response (814\_13)**

This transaction set:

(a) From ERCOT to new CR, is used to respond to the requested date change to the original move in date on the 814\_12, Date Change Request.

(b) From the current CR to ERCOT, is no longer valid as of Texas SET 4.0.

(c) From the CSA CR to ERCOT, is no longer valid as of Texas SET 4.0.

(d) From the TDSP to ERCOT, is used to respond to the requested date change to the original move in or move out date on the 814\_12 transaction.

(e) From ERCOT to the current CR, is used to respond to the requested date change to the original move out date on the 814\_12 transaction.

(f) From the new CR to ERCOT, is no longer valid as of Texas SET 4.0.

(22) **Drop Enrollment Request (814\_14)**

This transaction set:

(a) From ERCOT to the POLR or designated CR, is used in response to a Mass Transition.

(b) From ERCOT to the gaining CR, is used in response to an acquisition transfer.

(23) **Drop Enrollment Response (814\_15)**

This transaction set is no longer valid as of Texas SET 4.0.

(24) **Move In Request (814\_16)**

This transaction set:

From the new CR to ERCOT, is used to begin the Customer enrollment process for a move in.

(25) **Move In Reject Response (814\_17)**

This transaction set:

From ERCOT to the new CR, is used by ERCOT to reject the 814\_16, Move In Request, based on incomplete or invalid information. This is a conditional transaction and will only be used as a negative response. If the 814\_17, Move In Reject Response, is not received from ERCOT, the CR will receive the 814\_05, CR Enrollment Notification Response.

(26) **Establish/Delete CSA Request (814\_18)**

This transaction set:

(a) From the new CSA CR to ERCOT, is used to establish the owner/landlords’ new CSA CR in the registration system.

(b) From the current CSA CR to ERCOT, is used to remove an existing CSA CR from the registration system.

(c) From ERCOT to the current CSA CR, is used for notification that the owner/landlord has selected a new CSA CR.

(d) From ERCOT to the MOU/EC TDSP, is used to validate the CSA relationship information in the MOU/EC TDSP’s system, unless otherwise indicated in Retail Market Guide Section 8.1.

(e) From ERCOT to the MOU/EC TDSP, is used for notification of CSA deletion, unless otherwise indicated in Retail Market Guide Section 8.1.

(27) **Establish/Delete CSA Response (814\_19)**

This transaction set:

(a) From ERCOT to the new CSA CR, is used to respond to the 814\_18, Establish/Delete CSA Request, enrolling the new CSA CR in the registration system.

(b) From ERCOT to the current CSA CR, is used to respond to the 814\_18 transaction deleting the current CR from the registration system.

(c) From the current CSA CR to ERCOT, is no longer valid as of Texas SE.

(d) From the MOU/EC TDSP to ERCOT, is used to provide a response to the 814\_18 transaction, unless otherwise indicated in Retail Market Guide Section 8.1.

(28) **ESI ID Maintenance Request (814\_20)**

This transaction set:

(a) From the TDSP to ERCOT, is used to initially populate the registration system for conversion/opt-in.

(b) From the TDSP to ERCOT, is used to communicate the addition of a new ESI ID, changes to information associated with an existing ESI ID, or retirement of an existing ESI ID.

(c) From ERCOT to current CR and any pending CR(s), is notification of the TDSP’s changes to information associated with an existing ESI ID.

(29) **ESI ID Maintenance Response (814\_21)**

This transaction set:

(a) From ERCOT to TDSP, is used to respond to the 814\_20, ESI ID Maintenance Request.

(b) From the current CR and any pending CR(s) to ERCOT, is no longer valid as of Texas SET 4.0.

(c) From the new CR to ERCOT, is no longer valid as of Texas SET 4.0.

(30) **CSA CR Move In Request (814\_22)**

This transaction set:

From ERCOT to CSA CR, is used to start a CSA service for the ESI ID.

(31) **CSA CR Move In Response (814\_23)**

This transaction set:

From the CSA CR to ERCOT, is no longer valid as of Texas SET 4.0.

(32) **Move Out Request (814\_24)**

This transaction set:

(a) From the current CR to ERCOT, is used for notification of a Customer’s moveout request.

(b) From ERCOT to the TDSP, is notification of the Customer’s move out request. If a CSA exists on the ESI ID, then the 814\_03, Enrollment Notification Request, is sent instead of the 814\_24, Move Out Request.

(33) **Move Out Response (814\_25)**

This transaction set:

(a) From the TDSP to ERCOT to the current CR, is used to respond to the 814\_24, Move Out Request. If a CSA exists on the ESI ID and ERCOT sent the 814\_03, Enrollment Notification Request, instead of the 814\_24 transaction, the TDSP will then respond with the 814\_04, Enrollment Notification Response.

(b) From ERCOT to the current CR, is used to respond to the 814\_24 transaction.

(34) **Historical Usage Request (814\_26)**

This transaction set:

(a) From the current CR to ERCOT, is used to request the historical usage for an ESI ID.

(b) From ERCOT to the TDSP, it is a pass through of the current CR’s 814\_26, Historical Usage Request.

(35) **Historical Usage Response (814\_27)**

This transaction set:

(a) From the TDSP to ERCOT, is used to respond to the 814\_26, Historical Usage Request.

(b) From ERCOT to the current CR, is a pass through of the TDSP’s response to the 814\_26 transaction.

(36) **Complete Unexecutable or Permit Required (814\_28)**

This transaction set:

(a) For a move out, is from the TDSP to ERCOT, and from ERCOT to the current CR, to notify the current CR the move out was unexecutable. Upon sending this transaction, the TDSP closes the initiating move out transaction. The CR must initiate corrective action and resubmit the Move-Out Request.

(b) For a move in, is from the TDSP to ERCOT, and from ERCOT to the new CR, or the current CR for energized accounts, to notify the CR that the work was complete unexecutable, or that a permit is required. Upon sending this transaction to notify the new CR of a complete unexecutable, the TDSP closes the initiating transaction. The new CR must initiate corrective action and resubmit the Move-In Request.

(c) Upon sending the 814\_28 (PT) transaction to notify the new CR that a permit is required, ERCOT will allow the TDSP 20 Retail Business Days to send the 814\_04, Enrollment Notification Response, due to permit requirements. After the 20 Retail Business Days, if no 814\_04 transaction is received, ERCOT will then issue an 814\_08, Cancel Request. If the move in is cancelled due to permit not received, ERCOT will note the reason in the 814\_08 transaction.

(d) For a switch, is from the TDSP to ERCOT, and from ERCOT to the new CR or current CR, to notify CRs that the work has been complete unexecutable.

(37) **Complete Unexecutable or Permit Required Response (814\_29)**

This transaction set:

(a) From ERCOT to the TDSP to reject the 814\_28, Complete Unexecutable or Permit Required.

(b) From the CR (current CR for a move out or a new CR for a move in) to ERCOT, and from ERCOT to the TDSP is no longer valid as of Texas SET 4.0.

(38) **CR Remittance Advice (820\_02)**

This transaction set:

(a) From the CR to the TDSP, is used as a remittance advice concurrent with a corresponding payment to the TDSP banking institution for a dollar amount equal to the total of the itemized payments in the 820\_02, CR Remittance Advice. This transaction will reference the 810\_02, TDSP Invoice, by ESI ID. If payment and remittance are transmitted together to a financial institution, this implementation guide may be used as a baseline for discussion with the payer’s financial institution. All “must use” fields in the 820\_02 transaction must be forwarded to the payer’s financial institution and be supported by the payee’s financial institution.

(b) A single payment sent via the bank and a single remittance sent to the TDSP can include multiple invoices, however a one to one correlation must exist between the payment submitted to the bank and the corresponding remittance advice to the TDSP.

(39) **MOU/EC Remittance Advice (820\_03)**

This transaction set:

From the MOU/EC TDSP to the CR, is used as a remittance advice concurrent with a corresponding payment to the CR banking institution for a dollar amount equal to the total of the itemized payments in the 820\_03, MOU/EC Remittance Advice, unless otherwise indicated in Retail Market Guide Section 8.1. This transaction will reference the CR’s Customer account number and ESI ID. If payment and remittance are transmitted together to a financial institution, this implementation guide may be used as a baseline for discussion with the payer’s financial institution. All “must use” fields in the 820\_03 transaction, must be forwarded to the payer’s financial institution and be supported by the payee’s financial institution.

(40) **Invoice or Usage Reject Notification (824)**

This transaction set:

(a) From the CR to the TDSP, is used by the CR to reject and/or accept with exception the 810\_02, TDSP Invoice, sent by the TDSP.

(b) From ERCOT to the TDSP, is used to reject the 867\_03, Monthly or Final Usage, transaction sent by the TDSP.

(c) From the CR to ERCOT, is used to reject the 867\_03 transaction sent by ERCOT.

(d) From the MOU/EC TDSP to the CR, is used to reject the 810\_03, MOU/EC Invoice, sent by the CR, unless otherwise indicated in Retail Market Guide Section 8.1.