

ELECTRICITY INDUSTRY ACT 2004

ELECTRICITY INDUSTRY (WHOLESALE ELECTRICITY  
MARKET) REGULATIONS 2004

WHOLESALE ELECTRICITY MARKET RULES

Market Procedure for:  
Registration and De-registration of Rule  
Participants

Version 2

**Commencement:** This Market Procedure is to have effect from 8:00am (WST) on the same date as the Wholesale Electricity Market Rule, in which this procedure is made in accordance with, commences

## Version history

|                   |  |
|-------------------|--|
| 21 September 2006 | Market Procedure for Registration of Rule Participants as at Market Start                |
| 10 June 2008      | IMO amended changes to the procedure resulting from Procedure Change Proposal PC_2008_01 |
| Xx xxxx 2009      | IMO added material pertaining to rule participant de-registration                        |

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# 1. Rule Participant Registration and De-Registration Procedure

The Rule Participant Registration and De-Registration Procedure covers the process by which an entity may be registered or de-registered by the IMO as a Rule Participant. All Rule Participants are able to access the Market Participant Interface (MPI, also known as the Wholesale Electricity Market Systems or WEMS) and Rule Participants that are also Market Participants may provide Reserve Capacity, or Energy to the Wholesale Electricity Market. Information that is required to be exchanged, and the timing and sequence of events in relation to the registration and de-registration processes is also described.

## 1.1 Relationship with the Market Rules

- (a) This Procedure has been developed in accordance with, and should be read in conjunction with sections 2.28 through 2.31 and 2.33 of the Wholesale Electricity Market (WEM) Rules (Market Rules).
- (b) References to particular Market Rules within the Procedure in bold and square brackets **[MR XX]** are current as at 17 April 2009. These references are included for convenience only and are not part of this procedure.
- (c) This procedure is made in accordance with MR2.31.23.

## 1.2 Interpretation

In this procedure, unless the contrary intention is expressed:

- (a) terms used in this procedure have the same meaning as those given in the Wholesale Electricity Market Rules (made pursuant to the Electricity Industry (Wholesale Electricity Market) Regulations 2004);
- (b) to the extent that this procedure is contrary or inconsistent with the Market Rules, the Market Rules shall prevail to the extent of the inconsistency;
- (c) a reference to the Market Rules or Market Procedures includes any associated forms required or contemplated by the Market Rules or Market Procedures; and
- (d) words expressed in the singular include the plural or vice versa.

## 1.3 Purpose

The purpose of this procedure is:

- (a) to describe the steps that an applicant is required to complete to be registered or de-registered as a Rule Participant;

- (b) to describe the steps that the IMO must follow in assessing an application for registration or de-registration.

## **1.4 Application**

This procedure applies to:

- (a) An applicant wishing to register as a Rule Participant;
- (b) a Rule Participant wishing to register in an additional Rule Participant class;
- (c) a Rule Participant wishing to de-register from one or more classes; and
- (d) the IMO in relation to its processing of an application for Rule Participant registration or de-registration.

## **1.5 Overview of Rule Participant Registration**

A Rule Participant is obliged to comply with the Market Rules. To ensure compliance, a Rule Participant must be conversant with the most up-to-date set of Market Rules. (available on the IMO website [http://www.imowa.com.au/market\\_rules.htm](http://www.imowa.com.au/market_rules.htm)).

Rule Participants which trade or intend to trade in the WEM are required to register as a Market Participant (i.e. a Market Generator or a Market Customer or both). However, the IMO may exempt an entity with generating capacity from the requirement to register if the generation system fulfils the conditions set out under MR 2.28.16B. Forms related to the registration process can be found on the IMO website ([http://www.imowa.com.au/10\\_5\\_1\\_market\\_forms.htm](http://www.imowa.com.au/10_5_1_market_forms.htm))

Any entity applying for registration as a Rule Participant must be registered for GST upon submitting its application and also satisfy the criteria outlined in MR 2.28.19:

- a) be resident in, or have permanent establishment in, Australia;
- b) not be an externally-administered body corporate (as defined in the Corporations Act), or under a similar form of administration under any laws applicable to it in any jurisdiction;
- c) not have immunity from suit in respect of the obligations of a Rule Participant under these Market Rules; and

d) be capable of being sued in its own name in a court of Australia.

As listed under MR 2.28.1, the classes of Rule Participant include:

Network Operator;  
Market Generator;  
Market Customer;  
Ancillary Service Provider;  
System Management; and  
IMO.

As per MR 2.28.16, the IMO may determine that an entity is exempted from the requirement to register in a particular class.

In short, the registration process involves:

- Submitting the Rule Participant Registration form<sup>1</sup>,
- Payment of the applicable registration application fee<sup>2</sup>;
- If the registration application is successful, registration as a Rule Participant in the MPI under an appropriate 'short name'<sup>3</sup> will ensue. Once registered, a Rule Participant is bound by the Market Rules.
- Once a Rule Participant is registered and their 'short name' appears in the MPI Registration screen, registration of facilities can occur (if applicable).
- A contact for the new Rule Participant must be chosen and their details entered into the blank tabs under the headings 'Application' and 'Contacts'.

The process for registering facilities is outlined in the Market Procedure for: Facility Registration, Facility de-Registration and Facility Transfer.

Table 1-1 lists those entities which must register as a Rule Participant and those which have the option of doing so. [MR2.28.14, MR2.28.15 & MR2.28.16].

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<sup>1</sup> Applications forms are available at: [http://www.imowa.com.au/10\\_5\\_1\\_market\\_forms.htm](http://www.imowa.com.au/10_5_1_market_forms.htm)

<sup>2</sup> Registration application fees are listed at: [http://www.imowa.com.au/10\\_5\\_1\\_registration\\_documents.htm](http://www.imowa.com.au/10_5_1_registration_documents.htm)

<sup>3</sup> A 'short name' is the approved abbreviated form of a Rule Participant's name used in the MPI.

**Table 1-1: Types of Rule Participants**

| <b>Role of the Applicant after Energy Market Commencement</b>   | <b>Situation</b>   | <b>Rule Participation</b> | <b>Rule Participant Class if Registered</b> |
|---|--|---------------------------|---|
| Owns, controls, or operates a transmission or distribution network which forms part of the South West interconnected system or is electrically connected to that system.  | System Management has informed the IMO that it does not require information about the facility to maintain Network System Security and Reliability. [MR 2.28.3(a)] | Optional                  | Network Operator                            |
|   | No Market Participant Registered Facilities are directly connected to the Network. [MR 2.28.3(b)]  | Optional                  | Network Operator                            |
|   | The IMO has exempted the person from the requirement to register. [MR 2.28.16]   | Optional                  | Network Operator                            |
|   | All other situations [MR 2.28.2]   | Compulsory                | Network Operator                            |
| From some time after Energy Market Commencement, intends to own, control or operate a transmission or distribution network which forms part of the South West interconnected system or is electrically connected to that system.  | All situations. [MR 2.28.4]  | Optional                  | Network Operator                            |
| Owns, controls, or operates a generating facility with a rated capacity of greater than or equal to 10 MW which is electrically connected to a transmission or distribution network which forms part of the South West interconnected system or is electrically connected to that system.   | The IMO has exempted the person from the requirement to register. [MR 2.28.16]   | Optional                  | Market Generator                            |
|   | All other situations [MR 2.28.6]   | Compulsory                | Market Generator                            |
| Owns, controls, or operates a generating facility with a rated capacity of less than 10 MW, but greater than or equal to 0.005 MW, which is electrically connected to a transmission or distribution network which forms part of the South West interconnected system or is electrically connected to that system.  | All situations [MR 2.28.7]   | Optional                  | Market Generator                            |
| From some time after Energy Market Commencement, intends to own, control or operate a generating facility with a rated capacity of greater than or equal to 0.005 MW which will be electrically connected to a transmission or distribution network which forms part of the South West interconnected system or is electrically connected to that system. | All situations [MR 2.28.8]   | Optional                  | Market Generator                            |

| <b>Role of the Applicant after Energy Market Commencement</b>  | <b>Situation</b>   | <b>Rule Participation</b> | <b>Rule Participant Class if Registered</b>                    |
|--|--|---------------------------|--|
| Sells electricity to Contestable Customers from facilities electricity connected to a transmission or distribution network which forms part of the South West interconnected system or is electrically connected to that system.   | The IMO has exempted the person from the requirement to register. [MR 2.28.16] | Optional                  | Market Customer  |
|  | All other situations [MR 2.28.10]  | Compulsory                | Market Customer  |
| From some time after Energy Market Commencement, intends to sell electricity to customers in respect of facilities electricity connected to a transmission or distribution network which forms part of the South West interconnected system or is electrically connected to that system. | All situations [MR 2.28.11]  | Optional                  | Market Customer  |
| Any other person who sells or purchases electricity or another service contemplated by the Market Rules to or from the IMO.  | The IMO has exempted the person from the requirement to register. [MR 2.28.16] | Optional                  | Market Generator or Market Customer, as determined by the IMO. |
|  | All other situations [MR 2.28.13]  | Compulsory                | Market Generator or Market Customer, as determined by the IMO. |

## 1.6 Procedure Steps to be followed by the Applicant

In order to be registered as a Rule Participant as well as obtain access to the Wholesale Electricity Market Systems (WEMS or MPI), an applicant must complete the Application to Register for WEMS Access form and submit it to the IMO. The form will provide the IMO with the information necessary to issue the applicant with a digital certificate, which is required for access to the WEMS.

1. *The Application to Register for WEMS Access form:* After completing the form, the applicant is to submit the signed form to the IMO along with the applicable Registration application fee [MR2.31.2]<sup>4</sup>. The following information is also required:
  - entity's name and contact details;
  - applicable registration class;
  - the name of the main user (other users may be added after the registration has been approved).

The Application to Register for WEMS Access form must be signed:

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<sup>4</sup> see the IMO website at [http://www.imowa.com.au/10\\_5\\_1\\_registration\\_documents.htm](http://www.imowa.com.au/10_5_1_registration_documents.htm)

- by two of the entity's Directors ; or
- one Director and the Company Secretary from the entity; or
- if the entity has only one sole director, by that Director.

The signatories to the Application to Register for WEMS Access form do not have to be either the contact person or a WEMS user.

The Application to Register for WEMS Access form contains an undertaking to comply with the obligations set out in the Market Rules and a declaration as to the accuracy of information provided to the IMO.

2. *Recipient Created Tax Invoice:* The applicant may enter into an Agreement for the IMO to Issue Recipient Created Tax Invoices<sup>5</sup> (RCTIs) on their own accord. However an applicant must enter into a recipient created tax invoice agreement if requested to do so by the IMO in accordance with clause 9.1.2(e).
3. If a Rule Participant enters into this Agreement it will need to be signed by an individual with the authority to enter into such an agreement on behalf of the organisation, in the presence of a witness able to independently verify the identity of the signatory and the signatory's position within the organisation.

The relevant company particulars will need to be included in the Agreement, and the signed Agreement provided to the IMO by mail or courier to the IMO's address, as listed in the Notice and Communication Procedure. The Agreement also enables Rule Participants to issue Recipient Created Tax Invoices for Registration Fees.

4. *Invoice for registration application fee:* Upon receiving an invoice from the IMO for the Registration application fee, the applicant must pay the fee within 30 days from the date on the invoice. The applicant may prefer to issue an RCTI for the registration fee (and any subsequent facility registration fees) instead of receiving an invoice from the IMO. If this is the case, the applicant must inform the IMO that it wishes to issue an RCTI for the applicable registration fees upon applying for registration..
5. *Digital Certificate and accessing WEMS:* On receipt of a valid Digital Certificate from the IMO, the applicant will be able to access the WEMS via the internet in order to enter their details in the system as a Rule Participant. To access the WEMS, the applicant must log into the web server from their internet browser and have the IMO-issued digital certificate installed in their browser. Information on accessing and logging onto the WEMS will accompany the Digital Certificate.

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<sup>5</sup> The template Agreement is available from the IMO website at [http://www.imowa.com.au/10\\_5\\_1\\_market\\_forms.htm](http://www.imowa.com.au/10_5_1_market_forms.htm)

Upon successfully logging into the WEMS, the Market Participant Interface Home Page will be displayed. To apply for registration as a Rule Participant, the applicant will be required to complete the on-line forms in the Registration menu. These forms are listed under different category display tabs, namely:

- Application;
- Contacts;
- Users;
- Prudential Support;
- Financials; and
- Facilities.

The applicant must fill out the required information in the respective on-line displays, with the exception of Facility registration which may be done separately. For a more detailed description on the steps for completing the Market Participant Registration Details in WEMS, applicants should refer to the Market Participant Registration Software User Guide (“User Guide”) provided with the digital certificate. The User Guide describes the processes for both Operators and Market Participant Users. The applicant should read the processes outlined for Market Participant Users.

### **Application for Authorisation to Participate**

The Application display in WEMS, is for the applicant to record general application details, such as organisation information and to confirm certain requirements. The fields to be completed by the applicant in the Application Display are described in section 3.4 of the User Manual which includes an illustration of the Application Display screen on the WEMS. Upon initial login, this is the only screen able to be viewed by a new Rule Participant. Once further details have been submitted and approved by the IMO, further screens will become accessible.

### **Contacts**

The Contacts display is for the applicant to add a contact person’s details. The fields to be completed in the Contacts Display are described in section 3.5 of the User Manual including an illustration of the Contacts Display screen in WEMS.

### **Users**

The Users Display allows the applicant to add new Users or update existing users' details. The fields to be completed in the Users Display are described in section 3.6 of the User Manual including an illustration of the Users Display screen in WEMS.

### **Prudential Support**

Applicants should refer to the separate Prudential Support Procedure for information on the requirements for Prudential Support. The fields to be completed in the Prudential Support Display are described in section 3.7 of the User Manual including an illustration of the Prudential Support Display screen in WEMS.

### **Financial Details**

The Financial Details Display is for the applicant to add financial information, including bank name, branch name, BSB Number, Bank Address and Account number. The fields to be completed in the Financials Display are described in section 3.8 of the User Manual including an illustration of the Financial Details Display screen in WEMS.

### **Facilities**

Applicants are not required to register Facilities as part of the Market Participant registration process. The registration of Facilities is a separate registration process. However, applicants may choose to apply for Facility registration at the same time as Participant registration. Applicants should refer to the separate Facility Registration, Facility de-Registration and Facility Transfer Procedure for information on the processes and requirements for registering a Facility. The fields to be completed in the Facilities Display are described in section 3.9 of the User Manual including illustrations of the Facilities Details Display screens in WEMS.

### **Submitting Application Details and Supporting Information**

The File Exchange is an interface allowing data to be exchanged between WEMS users and the IMO. Files can be uploaded and downloaded using the File Exchange, which is supported for registration to exchange data. Through this interface an applicant will be able to provide supporting information as required, via a secure process. Any documentation not able to be provided through the File Exchange, must be provided to the IMO by mail or courier to the IMO's address, as listed in the Notices and Communications Procedure.

On completing the application fields, the applicant is to submit the application information for each display category by clicking on the respective submit button at the bottom of the relevant application screen. Each screen must be submitted separately, and it is advisable to complete each screen before moving to the next. Note that details can be edited at a later stage by returning to the relevant display screen.

After clicking the submit button, the applicant will receive either:

- a tracking number indicating that the application information has been submitted; or
- notification that errors or omissions are found in the fields completed.

Where notified of errors or omissions, the applicant must rectify these and resubmit the information.

The applicant must, if requested by the IMO, provide additional information with respect to any information which, in the IMO's view, was inadequate. [MR2.31.4]

The IMO may communicate with the applicant through the messaging system in WEMS. Applicants are able to save these messages in file format. This does not preclude the IMO from using other means of communication with the applicant.

Upon approval by the IMO, the applicant will become a Rule Participant in a particular Rule Participant Class from the date and time indicated in the notification of registration. [MR2.31.10]

## **1.7 Procedure steps to be followed by the IMO**

1. The IMO must notify an applicant of the receipt of the application within one Business Day of receipt of an application form. [MR2.31.3]
2. On receipt of an applicant's Application to Register for WEMS Access, the IMO must review and check the validity of the application details.
3. Where the details provided on the Application to Register for WEMS Access form are complete, the IMO will assign the applicant a 'short name' and create a new user for the purpose of accessing WEMS. The IMO will also set the required access privileges for the applicant.
4. Where the details provided in the Application to Register for WEMS Access form are not complete, the IMO may require that an applicant provide information that is missing or is inadequately specified. The date at which the requested information is submitted to the IMO in full is to become the date of receipt of the application for the purpose of clause 2.31.3 [MR2.31.4]
5. If the IMO decides to progress the application, the IMO will issue the required Digital Certificate(s) for the applicant, and provide the applicant with information on accessing WEMS to complete the application process.

6. On receipt of the applicant's details, via the WEMS, for registering as a Rule Participant, the IMO must determine if all the required information has been provided
7. The IMO must not require that an applicant for Rule Participant registration provide information on any application form, or evidence to support that application form, pertaining to registration if the applicable Market Rules requiring that information to be provided have not commenced. [MR 2.30.C.1]
8. The IMO must determine whether it is satisfied that the applicant can comply with the requirements of the Market Rules. The Market Rules list those situations which would give rise to the IMO rejecting a registration application [MR2.31.13].
9. The IMO must determine whether the applicant has previously been de-registered as a Rule Participant following an order from the Energy Review Board and, if so, the IMO must determine whether it is satisfied that the applicant has remedied the reason for the prior de-registration. [MR 2.31.13(e)]
10. The IMO must determine whether the applicant complies with the requirements set out in clause 2.28.19 of the Market Rules.
11. The IMO must determine whether the required Registration Fee has been paid, following an invoice from the IMO being sent out. [MR 2.31.13(c)]
12. If the applicant informed the IMO (see section 1.5 step 4) that it wished to provide an RCTI instead of being invoiced, the IMO will verify if the required Registration Fee as well as an RCTI covering the Registration Fee has been provided.
13. The IMO must determine whether to accept or reject the application to register as a Rule Participant. [MR2.31.10]
14. Prior to notifying the applicant, if the IMO determines that it should accept the application, it will notify System Management, that the applicant has applied to become a Rule Participant and that the IMO has accepted the application. Pursuant to clause 2.31.22(b) System Management must facilitate participation of the applicant in a Rule Participant class as soon as practicable. .
15. If an applicant applies for Rule Participant Registration in either the Market Generator or Market Customer class the IMO must notify the applicant in writing of the IMO's acceptance or rejection of the application within 20 Business Days [MR2.31.10(b)]. The 20 Business Days starts from the date of notification of receipt of the application or, if additional information was provided to the IMO in accordance with Step 2, from the date of notification of receipt of the additional information.

16. Excepting applications to register as a Market Generator or Market Customer or registering a new facility (i.e. non-trading rule participant or network operator registration application), the IMO must determine whether to accept or reject a registration application and notify an applicant within five Business Days from the date of notification of receipt. The five Business Days start from the date of notification of receipt of the application or, if additional information was provided to the IMO in accordance with Step 2, from the date of notification of receipt of the additional information.
17. The notification to the applicant concerning whether or not the IMO has approved the admission of the applicant into the Rule Participant Class(es) to which the application relates, will include the following.
  - (a) if the application is rejected, the reason for its rejection. [MR2.31.12]
  - (b) if the application is accepted, the date and time from which the applicant will become a Rule Participant in a particular class, where the date is to be the later of the earliest date by which the IMO can facilitate the registration and the date specified in the application. [MR 2.31.11(a)]
- 1 The IMO's determination of an application may be appealed to the Energy Review Board by the applicant. [MR 2.17.1 (e)]
- 2 Upon accepting the registration of an entity in a Rule Participant Class, the IMO must record that registration in its Registry of Rule Participants. [MR 2.31.21]
- 3 Upon obtaining from a Rule Participant an Agreement for the IMO to Issue Recipient Created Tax Invoices that has been properly executed by the Rule Participant, the IMO will countersign the agreement and provide an original to the Rule Participant.

## **1.8 Procedure steps to be followed to change data on the Market Participant Registration screens**

An applicant or Rule Participant, as the case may be, can create or edit registration details on the relevant display screens in WEMS. Data submitted through the File Exchange can be revised by uploading a new file under the relevant category. The IMO will review any new or updated information prior to it being accepted.

## 1.9 Additional Users and User Privileges

After registration as a Rule Participant, a Rule Participant can request that the IMO create additional users to access WEMS, as required. This request is made by entering the details for each new user in the User tab in WEMS and pressing Submit. There is no fee for additional users.

The Rule Participant will need to provide the IMO with the user name, login name and details in relation to the requested access privileges for the user.

Usernames should be in the form 'initial letter of first name' followed by 'surname' (eg JSMITH for John Smith).

Different users can have different access profiles.<sup>6</sup>

The user privileges available are:

- (a) Market Participant User with Add/Edit Privileges
  - restricted only to the data of relevant Market Participant;
  - can view/add/edit the information of relevant Market Participant;
  - cannot view details of other Market Participants;
  - can submit changes;
  - can request to Apply/De-Register/Reactivate for a particular market or a facility. However, these changes are applied to the system only after it has been reviewed and accepted by the IMO;
- (b) Market Participant User with Read Only Privileges
  - restricted only to the data of relevant Market Participant;
  - can view the information of relevant Market Participant but cannot submit any changes;
  - cannot view details of other Market Participants.

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<sup>6</sup> For an overview, go to [http://www.imowa.com.au/10\\_5\\_1\\_user\\_access.htm](http://www.imowa.com.au/10_5_1_user_access.htm)

## 1.10 Overview of Rule Participant De-Registration

De-registration as a Rule Participant retracts the entity's ability to participate in the WEM, access the MPI and removes their obligations under the Market Rules.

Prior to an applicant applying to be de-registered as a Rule Participant they must have undertaken the following steps in the case where they are also a Market Participant:

- The Market Participant must apply to the IMO to have any current Capacity Credits for its Facilities changed to zero (the Market Rules do not allow a facility with current Capacity Credits to be de-registered) [MR2.31.13(k)]
- Upon the IMO accepting an application for de-registration, the Market Participant can then apply to have its facilities de-registered from the market, using the facility de-registration form available on the IMO website<sup>7</sup>. The entity must de-register all facilities which are relevant to the class they are de-registering. This process is covered in more detail in the Market Procedure for Facility Registration, Facility de-Registration and Facility Transfer.

Once the relevant facility has been de-registered by the IMO, the relevant Rule Participant can apply to be de-registered.

The fact that a person has ceased to be registered in any Rule Participant class does not affect any right, obligation or liability of the person under these Market Rules which arose prior to the cessation of its registration. [MR2.31.17]

## 1.11 Procedure Steps to be followed by the Applicant

### Application to De-register as a Rule Participant

1. After completing the application form for Rule Participant de-registration<sup>8</sup> the applicant is to submit the form to the IMO along with the relevant, non-refundable, de-registration fee(s) [MR2.31.2]. The applicant must also provide the following information [MR2.33.2]:
  - Organisation name and contact details;
  - The classes of Rule Participation to which the application relates;
  - A proposed date for ceasing operation in each Rule Participant class covered by the application. The date supplied must not be earlier than 10 Business Days after the date of application;
  - Any supporting information that would be beneficial for the IMO to consider when making its decision; and
  - A statement that the information provided is accurate.

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<sup>7</sup> This form is also available at this site: [http://www.imowa.com.au/10\\_5\\_1\\_market\\_forms.htm](http://www.imowa.com.au/10_5_1_market_forms.htm)

<sup>8</sup> This form is available at this address: [http://www.imowa.com.au/10\\_5\\_1\\_market\\_forms.htm](http://www.imowa.com.au/10_5_1_market_forms.htm)

2. Rule Participants must also make a de-registration request in the WEMS.
  - a. If de-registering as a Rule Participant from all applicable classes then a de-registration Schedule must also be entered into the WEMS.
  - b. if the entity only wishes to de-register from a class but remain registered in another class, they are to change the application detail screen so that only the class they wish to remain in is selected and update the parameter effective date accordingly.
3. On receipt of an applicant's Application to De-Register for WEMS Access, the IMO must review and check the validity of the application details. When a change is made in the MPI, an automatic notification will be sent to the Market Participant within one Business Day of receipt of the application by the IMO [MR2.31.3].
4. The IMO may require the Participant to clarify or provide any additional information necessary for making a decision on their application [MR2.31.4]
5. The Rule Participant's application for de-registration does not affect any of their rights, obligations or liabilities relating to the Market Rules prior to the time of de-registration [MR2.31.17].
6. If an entity has applied to be de-registered as a Market Customer or Market Generator and the application is accepted, they must cease trading under the applicable class by the date supplied to the IMO in their de-registration application. This date must be no earlier than 10 Business Days after the date of application [MR2.31.15].
7. De-registration as a Rule Participant will only be effective from the date on which all (if any) outstanding debts to the market have been settled [MR2.31.16].

### **Prudential Support**

8. Once all accounts have been settled and the de-registration is effective, the IMO will repay any credit support held and, upon provision of a release form for execution by IMO Directors, release the fixed and floating charge.
9. As per [MR2.31.16] a Rule Participant's obligations will cease from the end of the first Business Day in which :
  - their application to de-register from a Rule Participant class has been accepted by the IMO;
  - the Rule Participant has de-registered all their facilities applicable to the class to be de-registered from;

- all outstanding disputes, investigations and enforcement actions have been resolved and settled;
- all outstanding debts to the IMO have been paid; and
- the Rule Participant has received final payment for the amounts owed to it by the IMO.

## **1.12 Procedure Steps to be followed by the IMO**

1. Upon receiving an application to be de-registered as a Rule Participant, the IMO must provide receipt of the application within one Business Day. [MR2.31.3]
2. The IMO must not set about processing the application for de-registration until the applicable fee has been paid by the applicant.
3. If the IMO receives a request from a participant to be de-registered as a Rule Participant via the WEMS but no application form has been supplied the IMO must request the Rule Participant to fill in the relevant de-registration form [MR2.31.2].
4. If the IMO receives a de-registration form requesting that a Participant be de-registered as a Rule Participant but no corresponding WEMS notification the IMO must request that the participant make a de-registration request in WEMS.
5. The IMO must determine whether the applicant has supplied sufficient detail, including any required supporting evidence, to make a determination as to the de-registration of the Rule Participant. The IMO must request further information in respect to any details that, in the IMO's view, should be further explained or evidenced [MR2.31.4].
6. The IMO must check the application details supplied in the WEMS to ensure that:
  - no loads and no generators are registered in any class in the case of a Rule Participant de-registering completely.
  - any existing facilities have been transferred or de-registered.
7. Prior to notifying the applicant, if the IMO determines that it should accept the application, it will notify System Management and the Network Operator that the applicant has applied to de-register as a Rule Participant and that the IMO has accepted the application.

8. The IMO must determine whether to accept or reject the application to de-register as a Rule Participant. The Market Rules list those situations which would give rise to the IMO rejecting a de-registration application [MR2.31.13].
9. Within five Business Days of the date of application or, if additional information was provided to the IMO in accordance with Step 4, within five Business Days of the last date on which additional information was provided to the IMO, the IMO must notify the applicant, in writing, of the IMO's acceptance or rejection of the application for each Rule Participant Class identified on the applicant's application [MR2.31.10(c)].
10. The notification to the applicant relating to whether or not the IMO has approved the de-registration of the applicant as a Rule Participant in one or more classes, will include the following.
  - (a) if the application is rejected, the reason for its rejection. [MR 2.31.12]
  - (b) if the application is accepted it must include the following details [MR2.31.11(b)]:
    - i) where the Rule Participant is a Market Generator or Market Customer, the date and time on which the Rule Participant must cease trading which will correlate to the start of the trading day originally proposed by the Participant in their application.
    - ii) a statement that de-registration as a Rule Participant will not take effect until the requirements outlined in section 1.11.9 [MR2.31.16] have been met.
11. If the IMO has accepted the Rule Participant's application to be de-registered, it must accept the de-registration in WEMS and ensure users will have no access rights effective for the day after the originally proposed ceasing operation date supplied in the application.
12. The IMO's decision to deny an application for de-registration may be appealed to the Energy Review Board [MR 2.17.1(e)].

### **1.13 Where the ERB issues a de-registration notice**

1. Where the IMO receives notice that the Energy Review Board has made a decision in accordance with the Regulations that a Rule Participant be de-registered, the relevant Rule Participant ceases to be a Rule Participant from the time specified in the notice. The IMO must de-register all of the Facilities registered by the Rule Participant by the time specified in the notice. [MR 2.32.7].