



ATTACHMENT 6
MINIMUM CRITERIA FOR MARKET PARTICIPATION
INFORMATION DISCLOSURE FORM

Date: _____

Prepared by: _____

Customer/Applicant: _____

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

1. List of all Principals². Please discuss each Principal’s relationship with the Certifying Entity and describe each Principal’s previous experience related to participation in North American wholesale or retail energy markets or trading exchanges:

Name	Position	Experience

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

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

Personnel means any person, current or former, responsible for decision making regarding Certifying Entity's transaction or business in the Ne

4. Provide a summary of any bankruptcy, dissolution, merger, or acquisition of Certifying Entity in the past ten (10) years (include date, jurisdiction, and other relevant details):
(Enter N/A if not applicable)

5. List all wholesale or retail energy market-related operations in North America where Certifying Entity is currently participating, or, in the past five (5) years, has previously participated other than in the New England Markets (e.g., PJM - FTRs):
(Enter N/A if not applicable)

6. Describe if Certifying Entity or any of Certifying Entity's Principals, Personnel, or any Predecessor of the foregoing ever had its participation or membership in any independent system operator or regional transmission organization (domestic or inte

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