

## **TECHNICAL IMPLEMENTATION OF BUSINESS PROCESS**

The Imbalance Trade Confirmation transaction set is used by the confirming trader to indicate whether the imbalance trade has been accepted or rejected. This transaction set is sent from the confirming trader to the transportation service provider. The confirming trader may not change any of the terms of the imbalance trade. The Imbalance Trade Confirmation must be received by the transportation service provider prior to the closing of the imbalance trading window, or the imbalance trade will not take place.

## SAMPLE PAPER TRANSACTION

The following example illustrates a paper transaction for the Imbalance Trade Confirmation:

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### Imbalance Trade Confirmation

Transportation Service Provider:

General Pipeline      333222555

Imbalance Period:

June, 2001

Statement Date/Time:

July 18, 2001

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Operational Impact Area:

Zone 1  
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Service Requester

Imbalance Quantity

A      999888777

14000

Type: C-3

Direction:

Due TO Svc Req

Contact:

Mary B. Service 999-555-1212h

## **TECHNICAL IMPLEMENTATION OF BUSINESS PROCESS**

The Imbalance Trade Notification transaction set is the response to the Imbalance Trade Confirmation. If there are any errors in the Imbalance Trade Confirmation, this transaction set is sent from the transportation service provider to the initiating trader. Errors will be returned in the trade reduction reason, and the imbalance trade will not be considered as “confirmed”.

If there are no errors in the Imbalance Trade Confirmation, this transaction set is sent from the transportation service provider to the initiating trader and the confirming trader. The trade reduction reason would be used if the trade quantity requested was either rejected or reduced. Then. The transportation service provider will utilize the trade quantity (i.e. the unchanged, rejected, or reduced trade quantity requested) to update each service requester’s imbalance.

After receipt of an Imbalance Trade Confirmation, the transportation service provider should send this notification no later than Noon CCT, the next business day.

## SAMPLE PAPER TRANSACTION

The following example illustrates a paper transaction for the Imbalance Trade Notification:

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### Imbalance Trade Notification

Transportation Service Provider:

General Pipeline      333222555

Imbalance Period:

June, 2001

Statement Date/Time:

July 18, 2001

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Operational Impact Area:

Zone 1  
-----

Service Requester

Imbalance Quantity

A      999888777

14000

Type: C-3

Direction:

Due TO Svc Req

Contact:

Mary B. Service 999-555-1212

## **TECHNICAL IMPLEMENTATION OF BUSINESS PROCESS**

The Authorization to Post Imbalances is used to initiate the posting of imbalances process. It is sent from a service requester, or his agent, to the transportation service provider. This authorization instructs the transportation service provider to “post” the service requester’s imbalances; posted imbalances can be viewed or, upon request, downloaded by other service requesters, or their agents.

A transportation service provider will continue to post the service requester’s imbalances until the authorization to post imbalances is rescinded by the service requester.

## **SAMPLE PAPER TRANSACTION**

**The following example illustrates a paper transaction for the Authorization to Post Imbalances:**

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### **Authorization to Post Imbalances**

Transportation Service Provider:      General Pipeline (333222555)

Service Requester:                      Omega, Corp (222333444)  
    Contact Name :                      Orville Omega  
    Contact Phone:                      999-555-4325

Authorization Effective Date:          March 24, 2001  
Authorization Indicator:                Yes

Contract Holder                          Beta, Inc. (666555444)

## TECHNICAL IMPLEMENTATION OF BUSINESS PROCESS

The Posted Imbalances Download is a listing of all posted imbalances on a transportation service provider's system that have been authorized for posting. It is sent from the transportation service provider to the data requester in response to an Upload of Request for Download of Posted Data Sets that requested the Posted Imbalances Download.

The **posted imbalance quantity** is expressed as a positive whole number. The **imbalance direction indicator** is used to designate whether the quantity is due to the service requester or due from the service requester.

## SAMPLE PAPER TRANSACTION

The following example illustrates a paper transaction for the Posted Imbalances Download:

<b><u>Posted Imbalances Download</u></b>		
Transportation Service Provider:	General Pipeline (333222555)	
Imbalance Period:	June 2001	
Statement Date/Time:	July 18, 2001	
<hr/>		
Operational Impact Area:	OA1	
<hr/>		
<u>Service Requester / Contract Holder</u>	<u>Imbalance Quantity</u>	<u>Imbalance Direction</u>
Alpha Services (999888777) Contact Name: Mary B. Service Contact Phone: 999-555-1212	100	Due To Svc Req
Alpha Services (999888777) *****		
Omega, Corp. (222333444) Contact Name: Orville Omega Contact Phone: 999-555-4325	300	Due From Svc Req
Beta, Inc. (666555444) *****		
Gamma Tech. (555444333) Contact Name: Gary Gamma Contact Phone: 999-555-2222	500	Due From Svc Req
Gamma Tech. (555444333) *****		
Delta Distributors (444333222) Contact Name: Delta Burque Contact Phone: 999-555-3322	800	Due To Svc Req
Delta Distributors (444333222)		

## **TECHNICAL IMPLEMENTATION OF BUSINESS PROCESS**

The Request for Confirmation of Imbalance Trade transaction set is an optional transaction set. If the transportation service provider chooses to support this transaction set, then this request will be sent from the transportation service provider to the confirming trader. The Request for Confirmation of Imbalance Trade will inform the confirming trader that a valid Request for Imbalance Trade has been received and processed by the transportation service provider, and that a confirmation of that request by the confirming trader is required.

## SAMPLE PAPER TRANSACTION

The following example illustrates a paper transaction for the Request for Confirmation of Imbalance Trade:

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### Request for Confirmation of Imbalance Trade

Transportation Service Provider:

General Pipeline      333222555

Imbalance Period:

June, 2001

Statement Date/Time:

July 18, 2001

-----  
Operational Impact Area:

Zone 1  
-----

Service Requester

Imbalance Quantity

A      999888777

14000

Type: C-3

Direction:

Due TO Svc Req

Contact:

Mary B. Service 999-555-1212

## **TECHNICAL IMPLEMENTATION OF BUSINESS PROCESS**

The Request for Imbalance Trade Quick Response transaction set is the response to the Request for Imbalance Trade. This transaction set is sent from the transportation service provider to the initiating trader.

The quick response informs the initiating trader of whether or not there were any errors or warnings associated with the Request for Imbalance Trade; it also contains any applicable validation codes and messages generated during the validation process.

During the hours of 9:00 AM CCT to 5:00 PM CCT, then a transportation service provider receives the Request for Imbalance Trade from an initiating trader by the conclusion of a given quarter hour period, the transportation service provider will send to the initiating trader's designated site a corresponding Request for Imbalance Trade Quick Response by the conclusion of the next quarter hour period. When the Request for Imbalance Trade is received during other hours, the transportation service provider will send the initiating trader's designated site a corresponding Request for Imbalance Trade Quick Response by 9:00 AM CCT, the next business day. The quarter hour periods will be defined to begin on the hour and at 15, 30, and 45 minutes past the hour. A given quarter hour will contain all transactions whose receipt time is less than the beginning of the subsequent quarter hour.

## SAMPLE PAPER TRANSACTION

The following example illustrates a paper transaction for the Request for Imbalance Trade Quick Response:

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### Request for Imbalance Trade Quick Response

Transportation Service Provider:

General Pipeline      333222555

Imbalance Period:

June, 2001

Statement Date/Time:

July 18, 2001

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Operational Impact Area:

Zone 1  
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Service Requester

Imbalance Quantity

A      999888777

14000

Type: C-3

Direction:

Due TO Svc Req

Contact:

Mary B. Service 999-555-1212

## TECHNICAL IMPLEMENTATION OF BUSINESS PROCESS

The Request for Imbalance Trade is used to initiate the process of trading imbalances. The party submitting the request to the transportation service provider is identified as the **initiating trader**. The initiating trader provides the specifics of the trade for both the initiating trader and the party with whom they are trading, the **confirming trader**.

The contract holder is the party to whom the imbalance has been assigned. In the situation where the transportation service provider has the business practice of netting imbalances across contract holders for a single agent, the agent becomes the party listed as the contract holder.

The **imbalance trade tracking id** originates in the Request for Imbalance Trade. It is line item specific and is used to tie the Request for Imbalance Trade Quick Response, the Request for Confirmation of Imbalance Trade (a mutually agreed data set), the Imbalance Trade Confirmation and the Imbalance Trade Notification back to the Request for Imbalance Trade. It is neither validated by the receiver of the process, nor is it used as a key in the receiver of the process' data base.

The **trade quantity requested** is expressed as a positive whole number. The **imbalance trade direction indicator** is used to designate whether the quantity is being traded:

- TO the initiating trader FROM the confirming trader, or
- FROM the initiating trader TO the confirming trader.



## **TECHNICAL IMPLEMENTATION OF BUSINESS PROCESS**

The Withdrawal of Request for Imbalance Trade transaction set is utilized in the event that the initiating trader decided to withdraw the imbalance trade. This transaction set is sent from the initiating trader to the transportation service provider. An imbalance trade, however, can be withdrawn, only if the confirming trader has not confirmed the imbalance trade.

## SAMPLE PAPER TRANSACTION

The following example illustrates a paper transaction for the  
Withdrawal of Request for Imbalance Trade:

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### Withdrawal of Request for Imbalance Trade

Transportation Service Provider:

General Pipeline      333222555

Imbalance Period:

June, 2001

Statement Date/Time:

July 18, 2001

-----  
Operational Impact Area:

Zone 1  
-----

Service Requester

Imbalance Quantity

A      999888777

14000

Type: C-3

Direction:

Due TO Svc Req

Contact:

Mary B. Service 999-555-1212