

4.2.10.1 Purchase Transactions

Customers shall purchase services from the Seller using the following basic steps (see Exhibit 4-1):

a. The Templates (*transrequest* and *ancrequest*) shall be used by a Customer to enter a request for specific transmission or ancillary services from a specific Seller. Basic requests for transmission services from the Primary Transmission Provider shall be assigned a REQUEST_TYPE of "ORIGINAL"; requests for transmission services on the secondary market (where SELLER is not the Primary Transmission Provider) shall be assigned a REQUEST_TYPE of "RESALE" (Section 4.2.13 documents other values that may be assigned to REQUEST_TYPE).

c. The Templates (*transsell* and *ancsell*) shall be used by a Seller to set a new value into STATUS, to enter a MW value in CAPACITY_GRANTED, if offering partial service, and to negotiate a price by entering a new OFFER_PRICE which is different from the BID_PRICE entered by the Customer in the *transrequest* Template . During these negotiations, a Reseller shall formally indicate the approval or disapproval of a transaction and indicate which rights from prior confirmed reservations are to be reassigned. A Primary Provider may, but is not required, to enter transaction approval or disapproval using this Template.

g. For deals consummated off the OASIS Nodes by a Seller, after the Customer has accepted the offering, the Templates (*transassign* and *ancassign*) may be used by the Seller to notify the Primary Provider of the transfer of rights to the Customer. Continuation records may be used to indicate the reassigning of rights for a "profile" of different assignments and different capacities over different time periods.

4.2.11 Reference Identifiers

The TSIP shall assign a unique reference identifier, ASSIGNMENT_REF, for each Customer request to purchase capacity or services. The value of ASSIGNMENT_REF may be used to imply the order in which the request was received by the TSIP. This identifier will be used to track the request through various stages, and will be kept with the service through out its life. Whenever a transaction is modified by a subsequent transaction, a new ASSIGNMENT_REF number is assigned to that subsequent transaction along with a reference to the previous transaction such that a chain of all transactions related to the service can be maintained. These changes create a parent/child relationship between related requests. The TSIP shall use REASSIGNED_REF or RELATED_REF as specified in section 4.2.13 to identify the parent request's ASSIGNMENT_REF and shall increment the IMPACTED counter of the parent request by 1. Reductions to a request posted by the Transmission Provider shall also reference the requests ASSIGNMENT_REF and the TSIP shall increment the IMPACTED counter of the request by 1.

Sellers may aggregate portions of several previous transmission service reservations to create a new offering to be posted on an OASIS Node. When all or a portion of such offerings are sold, the Seller (original Customer) is obligated to notify the Primary Provider of the sale/assignment by inserting appropriate reassignment information on the OASIS Node (via the *transsell* or *transassign* Templates) or by some other approved

method. This reassignment information consists of the ASSIGNMENT_REF value assigned to the original reservation(s) and the time interval and capacity amount(s) being reassigned to the new reservation. These values are retained in the REASSIGNED_REF, REASSIGNED_START_TIME, REASSIGNED_STOP_TIME, and REASSIGNED_CAPACITY Data Elements.

In general, modification to any OASIS transaction initiated by the Customer shall involve the submission of a new transaction. The new transaction shall identify the specific type of modification being requested using the REQUEST_TYPE Data Element, and reference the transaction to be modified using the RELATED_REF Data Element. In the specific case of secondary market transactions, related transactions are identified with the use of the REASSIGNED_REF Data Element. The following are the specific restricted values for the REQUEST_TYPE Data Element and a brief description of their use:

- ORIGINAL – typical reservation requests submitted to the Primary Provider
- RESALE – secondary market requests submitted to a Transmission Customer as Secondary Transmission Provider
- RENEWAL – request to renew an expiring transmission reservation
- MATCHING – request to meet or exceed a competing request to retain transmission service (right of first refusal)
- DEFERRAL – request to defer or apply for extension on start of transmission service
- REDIRECT – request to redirect all or portion of a transmission reservation to an alternate POR/POD and/or make other changes to the terms of service as permitted
- {registered} – Primary Transmission Provider's may register values for REQUEST_TYPE to implement specific provisions of their Tariffs.

The Primary Transmission Provider may also modify a Customer's transmission reservation to the extent that the original reservation's MW capacity available for scheduling may be reduced over all or a portion of the term of the original reservation subject to the terms of the Provider's Tariff. Any time a subsequent transaction initiated by the Customer modifies all or a portion of a prior transaction, or a reduction in reserved MWs is initiated by the Primary Provider, the IMPACTED counter will be incremented in the prior transaction shall be set. OASIS User's may view the list of all subsequent transactions or events impacting a given transaction using the *reduction* Template.

The following subsections describe the application of REQUEST_TYPE to actions taken on OASIS, and how various modifications to existing reservations are to be affected.

4.2.13.3 Secondary Sales – On OASIS

The sale or assignment of rights from one Transmission Customer to another may be conducted on OASIS using the same transaction process as described for purchases made from the Primary Transmission Provider. The request for purchase of transmission service from another Transmission Customer (Secondary Transmission Provider) is submitted by the Customer purchasing the capacity using the *transrequest* Template. Secondary transmission sales shall be identified by the REQUEST_TYPE of "RESALE", and be processed as described in Section 4.2.10. The RELATED_REF Data Element

must be null, the Transmission Customer owning capacity offered for resale (the Secondary Transmission Provider) specified as SELLER, and, if the REQUEST_TYPE is null, the OASIS node shall default its value to "RESALE".

The Secondary Transmission Provider (original Customer) selling their transmission rights over OASIS shall use the *transsell* Template to approve/deny the request. If the request is to be approved (STATUS=ACCEPTED), the transmission reservation(s) currently held by the Customer selling their capacity and the amount of capacity over time from each such reservation to be transferred to the secondary market Customer must be identified. This information is supplied via the REASSIGNED_REF, REASSIGNED_CAPACITY, REASSIGNED_START_TIME and REASSIGNED_STOP_TIME Data Elements. The aggregation of all REASSIGNED_XXX Data Elements must match the capacity and time frame of the secondary transmission request as specified in the CAPACITY_GRANTED (and/or CAPACITY_REQUESTED), START_TIME and STOP_TIME Data Elements of the "RESALE" transaction.

The Customer purchasing transmission service on the secondary market over OASIS shall use the *transcust* to monitor the transaction and CONFIRM the sale if necessary. Upon confirmation of the secondary sale the IMPACTED attribute will be incremented for each reservations referenced by the REASSIGNED_REF Data Elements.

4.2.13.4 Secondary Sales – Off OASIS

The sale or assignment of rights from one Transmission Customer to another does not have to be conducted on OASIS. However, the Transmission Customer acting as a Secondary Transmission Provider is obligated to notify the Primary Transmission Provider of all sales or assignments of transmission rights to a third party. The *transassign* Template shall be used by the Secondary Transmission Provider to convey this sale/assignment information to the Primary Provider.

The *transassign* Template allows the Secondary Transmission Provider to submit all information related to the secondary market sale. The REQUEST_TYPE of "RESALE" is directly implied by use of the *transassign* Template. The REASSIGNED_REF, REASSIGNED_CAPACITY, REASSIGNED_START_TIME and REASSIGNED_STOP_TIME Data Elements identify the transmission reservation(s) currently held by the Secondary Transmission Provider, and the amount of capacity over time from each such reservation to be transferred to the secondary market Customer. The aggregation of all REASSIGNED_XXX Data Elements must match the capacity and time frame of the secondary transmission request as specified in the CAPACITY_GRANTED, START_TIME and STOP_TIME Data Elements of the "RESALE" transaction. The IMPACTED attributed will be incremented for each reservations referenced by the REASSIGNED_REF Data Elements.

4.3.6.2 Status of Customer Purchase Request (transstatus)

The **Status of Customer Purchase Request** (*transstatus*) is provided upon the request of any Customer or Provider to indicate the current status of one or more reservation records. Users may also view any transaction's status. However, the SOURCE and SINK may be masked for User requests until Transmission Providers must make source and

sink information available at the time the request statusposting is updated to show that a transmission request is confirmed.

Continuation records may be returned in association with a transmission reservation to convey information regarding: 1) sale or assignment of transmission rights on the secondary market (reassignments), 2) profiled requests, or 3) service over multiple paths. Each continuation record associated with a transmission reservation shall be identified by the CONTINUATION_FLAG Data Element set to 'Y' and include the ASSIGNMENT_REF Data Element. When a transmission reservation request acquires its rights to transmission service as the result of a sale or assignment of transmission rights on the secondary market, the identity of the original reservation, capacity, and time interval over which rights are assigned to the new reservation are defined by the Data Elements REASSIGNED_REF, REASSIGNED_CAPACITY, REASSIGNED_START_TIME, and REASSIGNED_STOP_TIME. These Data Elements will be returned in continuation records when more than one set of reassignment information is associated with a reservation.

4.3.6.3 Seller Approval of Purchase (transsell)

Seller Approval of Purchase (Input) (*transsell*) is input by a Seller to modify the status and queue of a request by a Customer.

The following fields may be submitted in continuation records for the transsell Template to convey transmission rights from multiple original transmission reservations to this new reservation: REASSIGNED_REF, REASSIGNED_CAPACITY, REASSIGNED_START_TIME, and REASSIGNED_STOP_TIME. Use of continuation records is only supported when using the CSV format upload of Template data.

If the Provider/Seller cannot accommodate the Customer's CAPACITY_REQUESTED and is obligated or elects to offer the Customer partial service that varies over the total period of the reservation, CAPACITY_GRANTED, START_TIME and STOP_TIME Data Elements may be repeated in continuation records.

If the Provider/Seller supports the negotiation of price on individual segments of a profiled reservation request (support for reservation profiles is at the discretion of the Provider), OFFER_PRICE,

4.3.6.5 Seller to Reassign Service Rights to Another Customer (transassign)

Seller to Reassign Service Rights to Another Customer (Input) (*transassign*) is used by the seller to ask the Transmission Services Information Provider to reassign some or all of the seller's rights to Services to another Customer, for seller confirmed transactions that have occurred off the OASIS Node. The TSIP shall assign a unique ASSIGNMENT_REF in the response (acknowledgment) and enter the status CONFIRMED as viewed in the *transstatus* Template.

SELLER_CODE and SELLER_DUNS shall be determined from the registered connection used to input the request.

Only the following fields may be redefined in a continuation record for the *transassign* input Template: CAPACITY_REQUESTED, CAPACITY_GRANTED, START_TIME, STOP_TIME, REASSIGNED_REF, REASSIGNED_CAPACITY, REASSIGNED_START_TIME, and REASSIGNED_STOP_TIME. The

REQUEST_TYPE of "RESALE" is implied through execution of this Template.
Template: **transassign**