

NYISO Annual Affiliate Update Frequently Asked Questions

Affiliates/Parent Company

1. **Q:** What is classified as an “Affiliate?”

A: With respect to a person or entity, any individual, corporation, partnership, firm, joint venture, association, joint stock company, trust or unincorporated organization, directly or indirectly controlling, controlled by, or under common control with, such person or entity.

“Control” means the possession, directly or indirectly, of the power to direct the management or policies of a person or an entity. A voting interest of ten percent or more shall create a rebuttable presumption of control.

2. **Q:** My company does not have any Affiliates or my company does not issue securities. Should I still complete the form?

A: Yes. Please write “N/A” on the line of each section that does not apply to your company.

3. **Q:** Do I need to list my parent company even if the parent company does not issue securities?

A: Yes. Please list your company’s ultimate parent *and* any intermediate parents, even if those companies do not issue securities.

4. **Q:** Do I need to list my Affiliates’ corporate revenue even if they do not issue securities?

A: No. Only list the corporate revenue of Affiliates that issue securities.

5. **Q:** Do I need to list all Affiliates, including those that do not participate in the NYISO markets?

A: Yes. The tariff requires that you list *all* Affiliates. This includes Affiliates that are not publicly traded and Affiliates that do not participate in the NYISO markets.

6. **Q:** Where can I find a comprehensive list of Market Participant names?

A: The following link contains a list of Market Participants.

http://www.nyiso.com/public/markets_operations/services/customer_support/index.jsp

Affiliate Form Required?

7. **Q:** I have sent an update every year and nothing has changed. Do I still need to submit a form?

A: Yes. All Applicants and Customers are required to submit an updated list of Affiliates upon request from the NYISO.

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8. Q: I manage several companies that are NYISO Customers. Can I submit just one Affiliate form for all the companies?

A: No. A separate Affiliate form is required for each Customer. Each form should identify the name of the NYISO Customer as it is registered with NYISO.

Miscellaneous

9. Q: Where can I find an Affiliate's CUSIP number?

A: Your Affiliates' corporate office may have the CUSIP numbers associated with its outstanding debt.

10. Q: Where can I find an Affiliate's corporate revenue?

A: Your Affiliates' corporate office should be able to provide the most recently filed revenue.

11. Q: How can I add a contact for communications such as these?

A: Please contact stakeholder_services@nyiso.com and notify a representative of the change.