New York ISO

# Technical Bulletin 104

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## Subject: Requesting a Formal NYISO MMU Investigation

**Statement: A NYISO Market Participant may request that the NYISO's Market Monitoring Unit ("MMU") conduct a formal investigation into market events, market conduct, or market performance. This Technical Bulletin defines the procedure that a Market Participant must follow to request an investigation.**

## Details:

The NYISO Market Services Tariff, Attachment O, Market Monitoring Plan, grants the MMU the authority to conduct investigations into market events, conduct, or performance, as required.

Any Market Party, or other interested person or entity, may at any time submit information to the Market Monitoring Unit concerning any matter relevant to the responsibilities of the Market Monitoring Unit under the Market Monitoring Plan (which is set forth in Attachment O to the Services Tariff), or may submit a request that the MMU conduct an investigation. Such submissions or requests may be made on a confidential basis. The MMU will provide a copy of any such request to the ISO, unless an investigation request addresses the ISO's actions or inaction, and the Market Monitoring Unit determines that it would not be appropriate to reveal the submission or request to the ISO, or that it would not be appropriate to reveal the submission or request to certain ISO personnel or departments.

To request an investigation, the party initiating the request may submit a NYISO Investigation Request Form. This electronic form is located on the NYISO web site at: https://www.nyiso.com/nyiso-mmu-investigation-request-form

The requester must fill out all fields on the form identified as "required," and respond to the questions concerning specific details about the issue. A "Submit Request" button at the bottom of the form automatically submits the form to the MMU, and to the NYISO's MMA and CRD departments. The MMU will acknowledge receipt of the request within one business day. If the request for an investigation is intended to be sent only to the MMU, they can be contacted directly at 703-383-0719, or nyisommu@potomaceconomics.com

Consistent with applicable rules for the designation and protection of confidential information, the MMU and the NYISO will consider all investigation requests and the identity of the requestor to be confidential. Sensitive data and information that may be provided by the requestor in support of the request for investigation will also be considered confidential if so designated by the requestor.

The scope of the MMU's authority to perform investigations is limited by Section 30.4.5.3.1 of the Market Monitoring Plan, which requires the MMU to refer possible Market Violations to the Federal Energy Regulatory Commission (FERC) if it finds sufficient credible information to believe a Market Violation has occurred. The fact that a matter has been referred to FERC by the MMU is, by tariff, non-public information.

**This Technical Bulletin is not currently expected to be incorporated into a NYISO Manual/User Guide.**

The purpose of this "Technical Bulletin" is to facilitate participation in the NYISO by communicating various NYISO concepts, techniques, and processes to Market Participants before they can be formally documented in a NYISO manual. The information contained in this bulletin is subject to change as a result of a revision to the ISO Tariffs or a subsequent filed tariff with the FERC.