



Energy Market Participant Compliance Checklist

Registration and Licensing

Verification of market participant registration and licensing requirements with relevant regulatory bodies.

Market Participant Type

- ☐ Generator
- ☐ Supplier
- ☐ Trader
- ☐ Load Serving Entity
- ☐ Transmission System Operator

Registration Number

Date of Registration

Jurisdiction of Registration

- ☐ Jurisdiction A
- ☐ Jurisdiction B
- ☐ Jurisdiction C

Contact Person Name

Contact Person Email

Financial Resources and Creditworthiness

Assessment of financial stability and creditworthiness to meet obligations and ensure market integrity.

Net Working Capital (USD)

Credit Limit (USD)

Debt-to-Equity Ratio

Last Credit Rating Review Date


Credit Rating Agency

- ☐ S&P
- ☐ Moody's
- ☐ Fitch

Current Credit Rating

- ☐ AAA
- ☐ AA
- ☐ A
- ☐ BBB
- ☐ BB
- ☐ B
- ☐ CCC
- ☐ CC
- ☐ C

Latest Audited Financial Statements

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Trading Conduct and Market Manipulation

Compliance with rules against market manipulation, insider trading, and other unfair trading practices.

Was there suspicious trading activity observed?

- ☐ Yes
- ☐ No
- ☐ Unsure

Describe any observed unusual trading patterns.

Write something...

Estimated volume of potentially manipulated trade (in relevant units).

Enter a number...

Were orders placed with the intent to create a false impression of market activity?

- ☐ Yes
- ☐ No
- ☐ Unsure

Date of suspected manipulative activity.

Enter date...

Time of suspected manipulative activity.

Which manipulative techniques are suspected (select all that apply)?

- ☐ Wash Trades
- ☐ Layering
- ☐ Spoofing
- ☐ Quote Stuffing
- ☐ Other

Upload supporting documentation (screenshots, trade records, etc.).

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Reporting Obligations

Timely and accurate submission of required data and reports to market operators and regulatory authorities.

Reporting Period Start Date

Enter date...

Reporting Period End Date

Enter date...

Total Volume Traded (MWh)

Enter a number...

Total Revenue Generated

Enter a number...

Number of Transactions

Enter a number...

Reporting Status

- ☐ Submitted
- ☐ In Progress
- ☐ Draft
- ☐ Rejected

Supporting Documentation (e.g., Trade Confirmations)

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Cybersecurity and Data Protection

Measures to protect market systems and data from cyber threats and ensure compliance with data privacy regulations.

Firewall Rule Update Frequency

Enter a number...

Latest Antivirus Definition Version

- ☐ Version 1.0
- ☐ Version 1.1
- ☐ Version 1.2
- ☐ Version 1.3

Data Encryption Methods Applied

- ☐ AES-256
- ☐ RSA
- ☐ TLS 1.3
- ☐ Hashing Algorithms

Last Penetration Test Date

Summary of Recent Security Incident Response (if any)

Backup Logs (last 14 days)

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Record Keeping and Audit Trails

Maintaining detailed records of transactions and activities to facilitate audits and investigations.

Record Creation Date

Description of Transaction/Activity

Transaction Volume/Quantity

Transaction Value/Price

Enter a number...

Transaction Type

- ☐ Purchase
- ☐ Sale
- ☐ Transfer
- ☐ Other

Supporting Documentation (e.g., Invoices, Contracts)

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Time of Transaction

Notes/Comments (Audit Trail Specific)

Write something...

Anti-Money Laundering (AML) & Counter-Terrorist Financing (CTF)

Adherence to AML/CTF regulations and due diligence procedures for customers and transactions.

Customer Risk Level Assessment

☐ Low

☐ Medium

☐ High

Transaction Amount (USD)

Enter a number...

Transaction Date

Enter date...

Source of Funds Description

Write something...

Politically Exposed Person (PEP) Status

☐ Yes

☐ No

☐ Unknown

Enhanced Due Diligence (EDD) Required?

☐ Yes

☐ No

Supporting Documentation (e.g., ID, bank statements)

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Contractual Compliance

Review of contracts to ensure they adhere to market rules and regulatory requirements.

Contract Type

- ☐ Power Purchase Agreement (PPA)
- ☐ Gas Sales Agreement
- ☐ Transmission Agreement
- ☐ Ancillary Services Agreement

Contract Start Date

Enter date...

Contract Expiration Date

Enter date...

Contract Volume (e.g., MWh, mmbtu)

Enter a number...

Pricing Mechanism (e.g., Fixed, Indexed)

Enter a number...

Key Contract Clauses Review Notes

Write something...

Force Majeure Assessment

- ☐ Compliant
- ☐ Non-Compliant
- ☐ Requires Further Review

Supporting Contract Documentation

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Employee Training & Awareness

Ensuring employees receive adequate training on market rules and compliance obligations.

Last Training Completion Date

Enter date...

Training Module Covered

- ☐ Market Rules & Regulations
- ☐ Cybersecurity Awareness
- ☐ AML/CTF Procedures
- ☐ Trading Conduct
- ☐ Reporting Obligations

Score on Post-Training Assessment

Enter a number...

Topics Requiring Additional Focus

- ☐ Market Manipulation
- ☐ Reporting Timelines
- ☐ Cyber Threat Landscape
- ☐ Contractual Obligations

Employee Signature (Acknowledgement)

Write something...

Regulatory Updates & Changes

Ongoing monitoring and adaptation to new or amended market regulations and guidelines.

Date of Regulatory Update

Enter date...

Description of Regulatory Change

Write something...

Affected Area of Compliance

- ☐ Trading Rules
- ☐ Reporting Requirements
- ☐ Market Access
- ☐ Financial Resources
- ☐ Cybersecurity

Effective Date (YYYYMMDD)

Enter a number...

Impact Assessment Summary

Write something...

Regulatory Body Source

- ☐ FERC
- ☐ NERC
- ☐ PUC
- ☐ Other

Regulatory Document (e.g., Notice, Order)

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