



Energy Trading Settlement Compliance Checklist

Trade Confirmation & Validation

Ensuring accuracy and completeness of trade confirmations received from counterparties.

Trade ID

Trade Type

- ☐ Spot
- ☐ Forward
- ☐ Swap

Trade Date

Trade Time

Quantity

Unit of Measure

- ☐ MWh
- ☐ GJ
- ☐ bbl

Price

Enter a number...

Price Unit

- ☐ \$/MWh
- ☐ \$/GJ
- ☐ \$/bbl

Delivery/Allocation Instructions

Verification of correct delivery/allocation instructions and adherence to contractual obligations.

Delivery Point Confirmation

- ☐ Confirmed
- ☐ Needs Verification
- ☐ Discrepancy Found

Allocated Quantity (Units)

Enter a number...

Allocation Start Date

Enter date...

Allocation Start Time

Delivery Method Confirmation

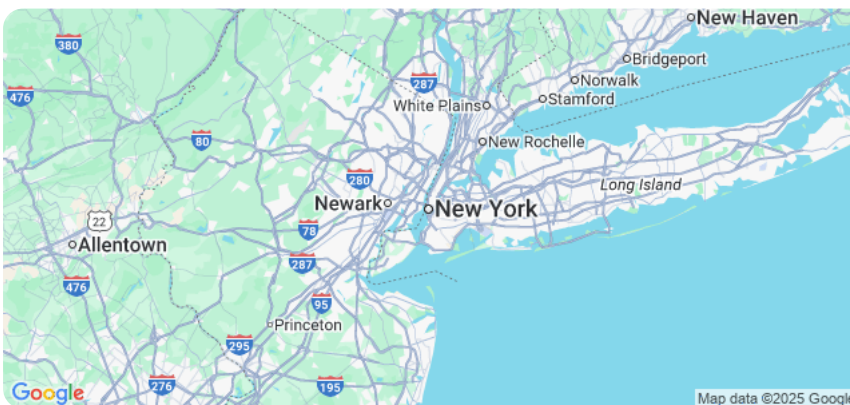
- ☐ Pipeline
- ☐ Truck
- ☐ Rail

Special Delivery Instructions (if applicable)

Write something...

Delivery Location Verification

 [Set My Current Location](#)



Nomination & Scheduling

Reviewing and confirming proper nomination and scheduling of energy transfers.

Nomination Date

Enter date...

Nomination Time

Nominated Volume (MW/MMBtu)

Enter a number...

Delivery Point

☐ Point A

☐ Point B

☐ Point C

Scheduling Method

☐ Firm

☐ Non-Firm

☐ Interruptible

Nomination Justification/Notes

Write something...

Settlement Instructions & Payment Processing

Validation of settlement instructions and confirmation of accurate payment processing.

Payment Method

- ☐ Wire Transfer
- ☐ ACH
- ☐ Letter of Credit

Invoice Amount

Enter a number...

Payment Amount

Enter a number...

Currency

- ☐ USD
- ☐ EUR
- ☐ GBP

Payment Due Date

Enter date...

Actual Payment Date

Enter date...

Payment Notes

Write something...

Market Data Reconciliation

Reconciling market data used for settlement against internal records and counterparty confirmations.

Settlement Price (Benchmark)

Enter a number...

Settlement Quantity

Enter a number...

Volume Differences (if any)

Enter a number...

Price Differences (if any)

Enter a number...

Data Source Verification (e.g., ICE, Bloomberg)

- ☐ ICE
- ☐ Bloomberg
- ☐ Reuters

Date of Market Data Extraction

Comments/Discrepancy Notes

Position Reconciliation

Verification of accurate trading positions and reconciliation with counterparties.

Initial Position Quantity

Trades Executed (Net)

Deliveries/Allocations

Adjustments (e.g., corrections)

Final Position Quantity

Enter a number...

Counterparty Agreement Status

- ☐ Agreed
- ☐ Disagreement – Minor
- ☐ Disagreement – Major

Notes on Reconciliation Discrepancies

Write something...

Reconciliation Date

Enter date...

Regulatory Reporting Compliance

Ensuring compliance with relevant regulatory reporting requirements for settlement activities.

Reporting Standard Applied

- ☐ NERC CIP
- ☐ FERC Form 6
- ☐ ISO Reporting
- ☐ State-Specific Reporting

Reporting Period Start Date

Enter date...

Reporting Period End Date

Enter date...

Total Volume Reported (e.g., MWh)

Enter a number...

Reporting Status

- ☐ Submitted
- ☐ Pending Submission
- ☐ Approved
- ☐ Rejected

Comments/Notes (if applicable)

Write something...

Credit Risk Management

Monitoring and managing credit risk exposure related to settlement transactions.

Counterparty Credit Exposure Limit

Enter a number...

Last Credit Review Date

Enter date...

Credit Rating Agency

- ☐ S&P
- ☐ Moody's
- ☐ Fitch

Credit Rating Score

Enter a number...

Summary of Credit Risk Assessment

Write something...

Collateral Requirements

- ☐ No Collateral
- ☐ Cash Margin
- ☐ Letter of Credit
- ☐ Other

Margin Call Threshold (%)

Enter a number...

System Access & Security

Reviewing system access controls and security measures related to settlement processes.

Multi-Factor Authentication Enabled?

- ☐ Yes
- ☐ No
- ☐ N/A

Access Reviews Performed?

- ☐ Yes - Regularly
- ☐ Yes - Annually
- ☐ No

Number of Users with Settlement System Access

Enter a number...

Last Password Reset Policy Review Date

Enter date...

Principle of Least Privilege Applied?

- ☐ Yes
- ☐ No
- ☐ Not Applicable

Description of Security Incident Response Plan

Write something...

Documentation & Audit Trail

Maintaining complete and accurate documentation of all settlement activities for audit purposes.

Document Creation Date

Enter date...

Time of Document Creation

Summary of Settlement Activity

Write something...

Settlement Confirmation Document

 Upload File

Document Review Status

- ☐ Not Reviewed
- ☐ Reviewed
- ☐ Approved

Reviewer Signature

Document Version Number

Enter a number...