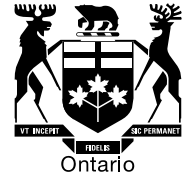


**Ontario Energy Board**  
P.O. Box 2319  
27<sup>th</sup> Floor  
2300 Yonge Street  
Toronto ON M4P 1E4  
Telephone: 416- 481-1967  
Facsimile: 416- 440-7656  
Toll free: 1-888-632-6273

**Commission de l'énergie de l'Ontario**  
C.P. 2319  
27<sup>e</sup> étage  
2300, rue Yonge  
Toronto ON M4P 1E4  
Téléphone: 416- 481-1967  
Télécopieur: 416- 440-7656  
Numéro sans frais: 1-888-632-6273



## BY E-MAIL AND WEB POSTING

March 15, 2018

To: All Licensed Electricity Distributors  
All Licensed Electricity Transmitters  
All Licensed Electricity Unit Sub-Meter Providers  
All Licensed Electricity Generators  
All Licensed Electricity Storage Providers  
All Licensed Electricity Retailers  
All Licensed Natural Gas Marketers  
All Other Interested Parties

**Re: Amendments to the Electricity RRRs and Natural Gas RRRs regarding information about publicly traded securities**

The Ontario Energy Board (OEB) issued a notice on February 22, 2018 regarding proposed amendments to the Electricity Reporting and Record Keeping Requirements (Electricity RRR) and the Natural Gas Reporting and Record Keeping Requirements Gas Marketer Licence Requirements (Natural Gas Marketer RRR) in relation to reporting by regulated entities that have publicly traded securities and affiliates of regulated entities that have publicly traded securities.

Only one comment was received regarding clarification on the change in status with respect to having publicly traded securities. The OEB uses this opportunity to confirm that if there is a change in the entity's response to whether the entity has publicly traded securities, the OEB should be notified within 10 days of the change occurring. Notification is also required for any changes to the list of affiliates that have publicly traded securities.

The OEB is issuing the amendments are set out in Attachment A and Attachment B.

The amendments to the Electricity RRR, as set out in Attachment A, and amendments to the Natural Gas Marketer RRR, as set out in Attachment B, will be effective as of today's date.

### Reporting Format

The first reporting under these sections will be due by **April 30, 2018**. Please refer to Attachment C for RRR filing instructions related to the publicly traded securities reporting.

The filing is required to be submitted on an annual basis whether or not the entity or an affiliate of the entity has issued publicly traded securities.

Any inquiries regarding the amendments to the RRR should be forwarded to [IndustryRelations@oeb.ca](mailto:IndustryRelations@oeb.ca) or 1-877-632-2727 (toll-free within Ontario).

Dated at March 15, 2018

Yours truly,

*Original Signed By*

Brian Hewson  
Vice-President,  
Consumer Protection and Industry Performance

Attach:	Attachment A:	Electricity RRR Amendments
	Attachment B:	Natural Gas Marketer RRR Amendments
	Attachment C:	RRR Filing Instructions

## **ATTACHMENT A**

### **Amendments to the Electricity RRR**

**March 15, 2018**

**EB-2018-0091**

**Note: The text of the amendments is set out in italics below, for ease of identification only.**

1. Section 1.2 is amended to add in the following definitions (in the proper place based on alphabetical order):

*"electricity storage provider" means a person who is licensed as an electricity storage provider by the Board;*

*"generator" means a person who is licensed as a generator by the Board;*

*"unit sub-meter provider" means a person who is licensed as a unit sub-meter provider by the Board;*

2. Section 1.4 is revoked and replaced with the following:

*These Electricity Reporting and Record Keeping Requirements apply to all electricity distributors, transmitters, retailers, unit sub-meter providers, generators and electricity storage providers licensed by the Board under Part V of the Act and to the IESO. All licensed distributors, transmitters, retailers, unit sub-meter providers, generators and electricity storage providers and the IESO are obligated to comply with these Reporting and Record Keeping Requirements as a condition of their licence. However, the retailer provisions do not apply to distributors who are also licensed as retailers for the purpose of providing standard supply service.*

3. Section 1.5 is revoked and replaced with the following:

*Licensed transmitters, distributors, retailers, unit sub-meter providers, generators and electricity storage providers and the IESO shall report and*

*record information under these Electricity Reporting and Record Keeping requirements in the manner and form prescribed by the Board.*

4. Section 2.1 is amended to add in the following sections:

**2.1.20** *A distributor shall provide in the form and manner required by the Board, annually, by April 30, the following information:*

- a) *whether or not the distributor has publicly traded securities; and*
- b) *a list of affiliates of the distributor that have publicly traded securities (affiliate has the same meaning as in the Ontario Business Corporations Act).*

**2.1.21** *A distributor shall provide in the form and manner required by the Board any changes to its status with respect to having publicly traded securities or any changes to its list of affiliates that have publicly traded securities within 10 days of the change occurring.*

5. Section 3.1 is amended to add in the following sections:

**3.1.5** *A transmitter shall provide in the form and manner required by the Board, annually, by April 30, the following information:*

- a) *whether or not the transmitter has publicly traded securities; and*
- b) *a list of affiliates of the transmitter that have publicly traded securities (affiliate has the same meaning as in the Ontario Business Corporations Act).*

**3.1.6** *A transmitter shall provide in the form and manner required by the Board any changes to its status with respect to having publicly traded securities or any changes to its list of affiliates that have publicly traded securities within 10 days of the change occurring.*

6. Section 4.1 is amended to add in the following sections:

**4.1.3** *A retailer shall provide in the form and manner required by the Board, annually, by April 30, the following information:*

- a) *whether or not the retailer has publicly traded securities; and*
- b) *a list of affiliates of the retailer that have publicly traded securities (affiliate has the same meaning as in the Ontario Business Corporations Act).*

**4.1.4** *A retailer shall provide in the form and manner required by the Board any changes to its status with respect to having publicly traded securities or any changes to its list of affiliates that have publicly traded securities within 10 days of the change occurring.*

7. Section 6 is amended to add in the following sections:

**6.1 Reporting**

**6.1.1** *A generator shall provide in the form and manner required by the Board, annually, by April 30, the following information:*

- a) *whether or not the generator has publicly traded securities; and*
- b) *a list of affiliates of the generator that have publicly traded securities (affiliate has the same meaning as in the Ontario Business Corporations Act).*

**6.1.2** *A generator shall provide in the form and manner required by the Board any changes to its status with respect to having publicly traded securities or any changes to its list of affiliates that have publicly traded securities within 10 days of the change occurring.*

**6.1.3** *An electricity storage provider shall provide in the form and manner required by the Board, annually, by April 30, the following information:*

- a) *whether or not the electricity storage provider has publicly traded securities; and*
- b) *a list of affiliates of the electricity storage provider that have publicly traded securities (affiliate has the same meaning as in the Ontario Business Corporations Act).*

**6.1.4** *An electricity storage provider shall provide in the form and manner required by the Board any changes to its status with respect to having publicly traded securities or any changes to its list of affiliates that have publicly traded securities within 10 days of the change occurring.*

8. Section 8.1 is amended to add in the following sections:

**8.1.2** *A unit sub-meter provider shall provide in the form and manner required by the Board, annually, by April 30, the following information:*

- a) *whether or not the unit sub-meter provider has publicly traded securities; and*
- b) *a list of affiliates of the unit sub-meter provider that have publicly traded securities (affiliate has the same meaning as in the Ontario Business Corporations Act).*

**8.1.3** *A unit sub-meter provider shall provide in the form and manner required by the Board any changes to its status with respect to having publicly traded securities or any changes to its list of affiliates that have publicly traded securities within 10 days of the change occurring.*

## **ATTACHMENT B**

### **Amendments to the Natural Gas Marketer RRR**

**March 15, 2018**

**EB-2018-0091**

**Note: The text of the amendments is set out in italics below, for ease of identification only.**

1. Section 1.7 is amended to add in the following at the end of the section:  
  
*The amendments to sections 2.1 come into force on March 15, 2018 and apply to any reporting required to be made on or after that date.*
  
2. Section 2.1 is amended to add in the following sections:
  - 2.1.3 *A gas marketer shall provide in the form and manner required by the Board, annually, by the last day of the fourth month after the financial year end, the following information:*
    - a) *whether or not the gas marketer has publicly traded securities; and*
    - b) *a list of affiliates of the gas marketer that have publicly traded securities (affiliate has the same meaning as in the Ontario Business Corporations Act).*
  
  - 2.1.4 *A gas marketer shall provide in the form and manner required by the Board any changes to its status with respect to having publicly traded securities or any changes to its list of affiliates that have publicly traded securities within 10 days of the change occurring.*

## ATTACHMENT C

### RRR Filing Instructions to the OEB's SFTP Server

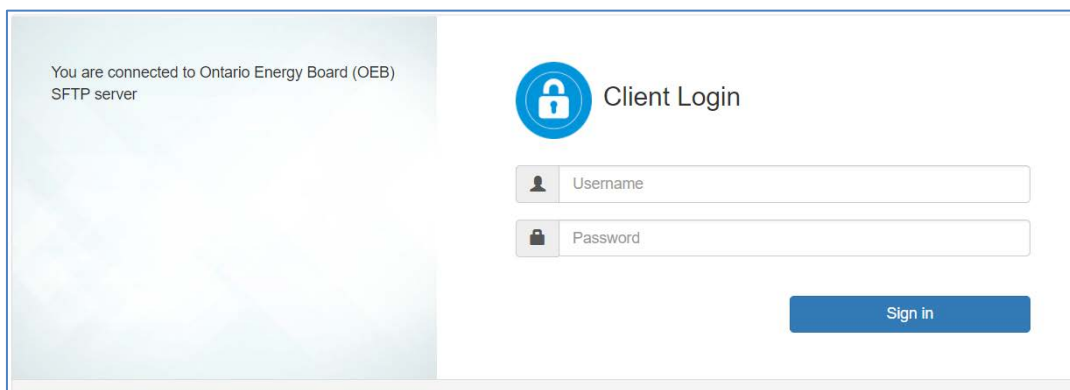
Regulated entities are required to submit the Publicly Traded Securities (PTS) Form in **Excel format** to the OEB's Secure File Transfer Protocol (SFTP) website.

**The Excel file will be sent to your regulatory contact via email from [securities@oeb.ca](mailto:securities@oeb.ca).**

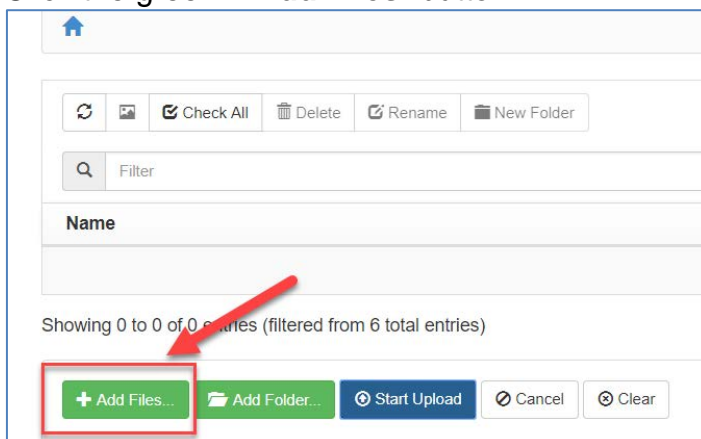
The following steps are required for this year's submission:

1. Please proceed to the OEB's SFTP server at <https://oebftp.ontarioenergyboard.ca>
2. Enter your log-in and password.

Note: This is not your e-Filing Services login. Log-in details to the SFTP server will be sent to your regulatory contact via email.



3. Click the green "+Add Files" button



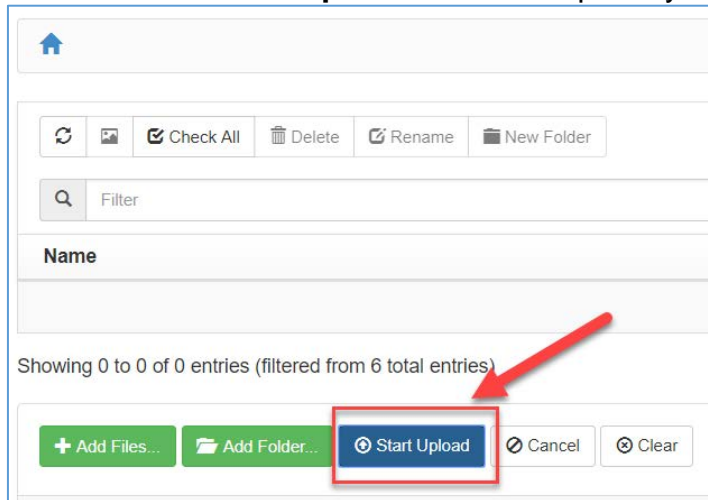
4. Browse and select the Excel file to be uploaded (Note: PDF documents are not



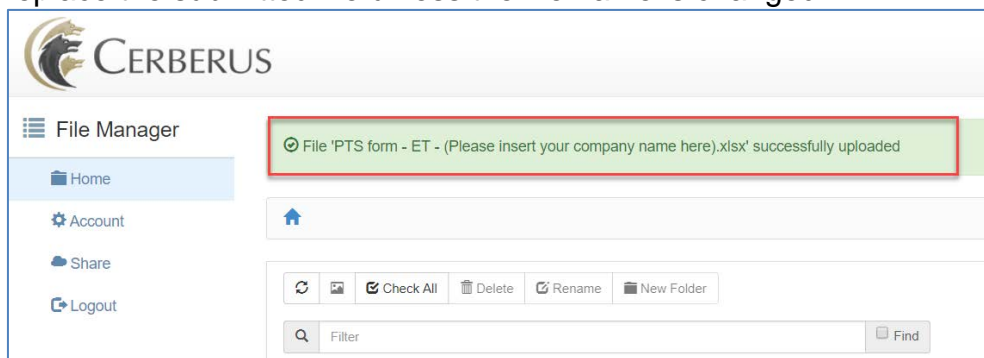
accepted).

Please ensure that your file name includes your entity's licence name. (i.e. 'PTS form - ET - (Please insert your company name here).xlsx')

5. Click the blue **"Start Upload"** button to upload your file to the OEB's SFTP server.



6. Your submission is uploaded when a message on the top of webpage indicates that your file has been successfully uploaded. Once uploaded you will not be able to replace the submitted file unless the file name is changed.



7. If there is a change to your status with respect to having publicly traded securities or any changes to your list of affiliates that have publicly traded securities, please notify the OEB by email to [BoardSec@oeb.ca](mailto:BoardSec@oeb.ca) with a subject line *"Change in Status related to Publicly Traded Securities Reporting"*.