

Standards of Conduct (Transmission) Policy 6 – Affiliate Access to Customer Information	Revision: B Effective Date: 10/09/18	Author: General Counsel (Central Region) <i>Sarah B. Knowlton</i> <small>Sarah B. Knowlton (Oct 5, 2018)</small>
Approval Signature(s) and date: <i>Mary Ellen Paravalos</i> <small>Mary Ellen Paravalos (Oct 23, 2018)</small> Chief Compliance and Risk Officer		

Revision History

Revision	Date	Changes	Approved By
A	08/16/17	Created New Documentation	L. Beairsto
B	10/09/18	Annual Review; Changed Chief Compliance Officer to Chief Compliance and Risk Officer and approver from J. Tindale to M. Paravalos	M. Paravalos

PRINCIPLE:

This policy addresses how the Algonquin Transmission Providers will ensure proper designation of agents of transmission customers so that transmission customer information is only disclosed as permitted by the transmission customer.

PRACTICE:

- I. A transmission customer may voluntarily consent, in writing, to allow a third party acting as its agent to access information regarding such customer's transactions. The names of all transmission customers that provide such letters of consent will be promptly posted on the appropriate OASIS site of the APUC Transmission Provider together with the date the consent letter was received. The posting will be accompanied by a statement that the consent was given by such customer without any promises of preferential operational or rate-related treatment.
- II. Upon notice from a transmission customer that they have terminated the letter of consent or it is no longer effective, the APUC Transmission Provider will promptly terminate the agent's access to information regarding such customer. The appropriate OASIS will be updated to reflect the termination of consent. The consent letter will be retained for a period of five years after the customer revokes the consent letter.
- III. If applicable the APUC Compliance and Risk Department will conduct, on an annual basis, a review of all agents for transmission customers to verify that they are currently valid agents of such customers. The APUC Transmission Provider will retain documents related to such reviews for a period of five years.