Dear [Primary Compliance Contact],

Notice of Listing on NERC Compliance Registry (NCR)

The North American Electric Reliability Corporation (NERC) provides notice in accordance with Section 500 of the NERC Rules of Procedure,¹ that [Entity Name], NERC Compliance Registry (NCR) ID Number [NCR ID#], is listed on the NERC Compliance Registry (NCR) as set forth below. The NCR identifies the owners, operators, and users of the Bulk Power System (BPS) that are responsible for complying with approved reliability standards applicable to the functions for which each entity is registered.

The Statement of Compliance Registry Criteria² identifies the criteria used to determine which organizational entities may be candidates for inclusion on the NCR. The NCR is posted on the NERC Web site under Compliance Registry.³

[Entity Name], [NCR ID#], is listed as a Registered Entity in the following Region(s) for the indicated functional category(s) with the listed effective registration date(s):

<table>
<thead>
<tr>
<th>Region</th>
<th>Function</th>
<th>Effective Registration Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>[REGION]</td>
<td>[FUNCTION]</td>
<td>[Effective Registration Date]</td>
</tr>
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</table>

A listing on the NCR indicates that an entity is subject to compliance with the applicable NERC Reliability Standards that have been approved by the Federal Energy Regulatory Commission (FERC or Commission) as of the effective registration date.

Organization registration by function establishes that [Entity Name] is:


³ The current listing of active Registered Entities is located here [http://www.nerc.com/pa/comp/Pages/Registration-and-Certification.aspx](http://www.nerc.com/pa/comp/Pages/Registration-and-Certification.aspx) under “Compliance Registry Files”.

[Entity Name], ([NCR ID#])

[Generation Date]

1. Subject to monitoring and enforcement of compliance with all applicable requirements within Reliability Standards approved by the Commission, and

2. Responsible for any sanctions, penalties, and mitigation actions (including mitigation plans and remedial action directives) that are assessed due to noncompliance with the applicable requirements of the Reliability Standards.

NERC has posted on its website a matrix that lists all the requirements within the approved Reliability Standards and the associated functional entity types that are responsible for each requirement.\(^4\) In addition, on NERC’s website is a list of the mandatory enforceable date of each standard/requirement.\(^5\)

**Appeals of Registration**

Any entity included on the NCR may challenge its listing and functional assignments with NERC. All appeals must be received within 21 calendar days of receipt of this NERC letter informing the entity that it is listed on the NCR. The appeal must state why the Registered Entity believes it should not be registered based on the NERC Rules of Procedure and the *NERC Statement of Compliance Registry Criteria*.\(^6\) Any appeal should be filed in writing to the NERC Manager Organization Registration and Certification.

Prior to filing a formal challenge, NERC encourages you to contact the applicable Regional Entity to further discuss any matters regarding the inclusion of your organization on the NCR.\(^7\) If the Regional Entity discovers a registration error, the Regional Entity may provide NERC with corrections to the NCR, and NERC will issue a corrected notice.

The Compliance Committee of the NERC Board of Trustees will provide a written decision regarding any challenges, along with the basis for its decision. The decision of the committee will be final unless the entity appeals the decision to the applicable governmental authority (for U.S. entities, FERC, in accordance with 18 C.F.R. Part 385) within 21 calendar days of the issuance of the committee’s decision on the challenge.

**Notification of Additional Changes in Status**

\(^4\) Located here [http://www.nerc.com/pa/Stand/Pages/default.aspx](http://www.nerc.com/pa/Stand/Pages/default.aspx) under “US Enforcement Status/Functional Applicability”.

\(^5\) Located here [http://www.nerc.com/pa/Stand/Pages/default.aspx](http://www.nerc.com/pa/Stand/Pages/default.aspx) under “US Enforcement Status/Functional Applicability”.


\(^7\) Regional map and contact information is located here [http://www.nerc.com/AboutNERC/keyplayers/Pages/default.aspx](http://www.nerc.com/AboutNERC/keyplayers/Pages/default.aspx).
Section 501.1.3.5 of NERC’s Rules of Procedure requires the registered entity to notify NERC through its corresponding Regional Entity of any changes in ownership, corporate structure, or similar matters that affect the entity’s responsibilities with respect to the reliability standards. Failure to notify NERC through its corresponding Regional Entity will not relieve the registered entity from any responsibility to comply with the reliability standards or be liable for any penalties or sanctions associated with failing to comply with such standards.

NERC Alert System Registration

As a separate part of the NERC registration process and inclusion on the NCR, please contact NERC via email at NERC.Alert@nerc.net to register or revise your listing for the NERC Alert System. Alternately, you may call the NERC Alerts Hotline at 404.446.9797 to speak with someone. Each registered entity identified in the NCR is required to notify NERC Alert of any corrections, revisions, deletions, changes in ownership, corporate structure, or similar matters that affect the Registered Entity’s responsibilities with respect to the Reliability Standards.

NERC’s Alert System is the tool used to disseminate information that is critical to ensuring the reliability of the BPS in North America. Generally, NERC distributes Alerts broadly to owners, operators, and users of the BPS utilizing the listing of the NCR. Entities registered with NERC are required to provide and maintain up-to-date compliance and cyber security contacts.

If you have further questions, please contact the undersigned:

[Manager], Manager of Registration Services
North American Electric Reliability Corporation
3353 Peachtree Road NE
Suite 600, North Tower
Atlanta, GA 30326
[Manager Email]

Respectfully,

[Manager],
Manager of Registration Services