

Attestation Regarding Market Participant Citizenship, Ownership, or Headquarters

Legal Name of Market Participant (Applicant): _____

Legal Address of Applicant: _____

Applicant DUNS Number: _____

Check the one box that applies [do not check both boxes]:

1. With respect to the above referenced Applicant, I hereby attest that:

NONE of the following statements in paragraphs (A) - (D) are TRUE.

ONE OR MORE of the following statements in paragraphs (A) - (D) are TRUE.

(A) The Applicant, or a wholly-owned subsidiary, majority-owned subsidiary, parent company, or Affiliate of the Applicant, is owned by:

(i) Individuals who are citizens of China, Iran, North Korea, Russia, or a designated country;¹ or

(ii) A company or other entity, including a governmental entity, that is owned or controlled by citizens of or is directly controlled by the government of China, Iran, North Korea, Russia, or a designated country; or

(B) The majority of stock or other ownership interest of the Applicant, or a wholly-owned subsidiary, majority-owned subsidiary, parent company, or Affiliate of the Applicant is held or controlled by:

(i) Individuals who are citizens of China, Iran, North Korea, Russia, or a designated country; or

(ii) A company or other entity, including a governmental entity, that is owned or controlled by citizens of or is directly controlled by the government of China, Iran, North Korea, Russia, or a designated country; or

¹ The term “designated country” as used in this attestation shall have the same meaning as the definition of that term in Texas Business and Commerce Code, Section 113.001(4), added by Act of June 18, 2021, 87th Leg. R.S. Ch. 975 (S.B. 2116).

- (C) The Applicant, or a wholly-owned subsidiary, majority-owned subsidiary, parent company, or Affiliate of the Applicant is headquartered in China, Iran, North Korea, Russia, or a designated country; or
- (D) The Applicant is a person and is a citizen of China, Iran, North Korea, Russia, or a designated country.

If you checked the box for “ONE OR MORE of the following statements in paragraphs (A) - (D) are TRUE” solely because a wholly-owned subsidiary, majority-owned subsidiary, or Affiliate meets any of the citizenship or headquarters criteria listed above, then please answer question 2 below.

2. With respect to the subsidiary or Affiliate at issue, check the one box that applies [do not check both boxes]:

- The subsidiary or Affiliate will NOT have direct or remote access to or control of ERCOT’s Wide Area Network (WAN), Market Information System (MIS), or any data from such ERCOT systems.
- The subsidiary or Affiliate will have direct or remote access to or control of ERCOT’s WAN, MIS, or any data from such ERCOT systems.

By signing below, I certify that I am authorized to bind the Applicant listed above, that I am authorized to execute and submit this attestation on behalf of Applicant, and that the statements contained herein are true and correct.

Signature

Name

Title

Date