

ERCOT Nodal Protocols

Section 23

Form S: Reporting and Attestation Regarding Purchase of Critical Electric Grid Equipment (CEGE) and Critical Electric Grid Services (CEGS) from a Lone Star Infrastructure Protection Act (LSIPA) Designated Company or LSIPA Designated Country

May 1, 2024

Reporting and Attestation Regarding Purchase of Critical Electric Grid Equipment (CEGE) and Critical Electric Grid Services (CEGS) from a Lone Star Infrastructure Protection Act (LSIPA) Designated Company or LSIPA Designated Country

This form should be submitted to LSIPA@ercot.com in accordance with the deadlines provided in Section 16.1.4, Market Participant Reporting of Critical Electric Grid Equipment and Services-Related Purchases.

Legal Name of Applicant or Market Participant:

Legal Address of Applicant or Market Participant:

Applicant or Market Participant Data Universal Numbering System (DUNS) Number (DUNS #):

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

1. With respect to the above-referenced Applicant or Market Participant, I hereby attest, based on my knowledge as defined in paragraph (1)(a) of Section 16.1.4, that the following statement is either true or not true, as indicated below:

The Market Participant or Applicant has purchased Critical Electric Grid Equipment (CEGE) or Critical Electric Grid Services (CEGS) from an LSIPA Designated Company or LSIPA Designated Country within one of the time periods described in paragraph (2) or (3) of Section 16.1.4.

The above statement is TRUE.

The above statement is NOT TRUE.

If you checked the box for “TRUE” in question 1, then please complete sections 2 and 3 below. Alternatively, if you checked the box for “NOT TRUE” in question 1, but are reporting a part or component of CEGE as provided in paragraph (1)(c) of Section 16.1.4, then please complete sections 2 and 3 below.

2. List each purchase of CEGE or CEGS from an LSIPA Designated Company or LSIPA Designated Country that occurred in the time periods described in paragraph (2) or (3) of Section 16.1.4 and has not already been reported to ERCOT under Section 16.1.4. For each purchase, please provide:

a. A description of the CEGE or CEGS purchased (if reporting a part or component of CEGE as provided in paragraph (1)(c) of Section 16.1.4, a general description may be provided for that part or component):

b. The name of the LSIPA Designated Company from which the purchase was made and the LSIPA Designated Country with which it is associated (if reporting a part or component as provided in paragraph (1)(c) of Section 16.1.4 and the Applicant does not actually know the name of the Company from which the part or component originated, then the Applicant may omit the Company name and provide only the LSIPA Designated Country of origin):

c. The date on which the purchase was made:

d. A general description of how each piece of equipment or service relates to the operation of ERCOT System Infrastructure:

e. For purchases made after June 8, 2023, a description of the measures taken to ensure that the purchase will NOT result in access to or control of CEGE by an LSIPA Designated Company or an LSIPA Designated Country, excluding access allowed by the Applicant or Market Participant for product warranty and support purposes:

f. For purchases made before June 8, 2023, a description of the reasonable and necessary actions taken to mitigate access to or control of CEGE by an LSIPA Designated Company or an LSIPA Designated Country, excluding access specifically allowed by the Applicant or Market Participant for product warranty and support purposes:

3. With respect to the purchase at issue:

I attest that the following purchase(s) described in my response to question 2 above will NOT result in access to or control of CEGE by an LSIPA Designated Company or LSIPA Designated Country, excluding access specifically allowed by the Applicant or Market Participant for product warranty and support purposes:

I attest that the following purchase(s) described in my response to question 2 above WILL result in access to or control of CEGE by an LSIPA Designated Company or LSIPA Designated Country:

4. If the Applicant or Market Participant attests that a purchase from an LSIPA Designated Company or an LSIPA Designated Country WILL result in access to or control of CEGE by an LSIPA Designated Company or LSIPA Designated Country, then please describe the access to or control of CEGE that was created by the purchase. Please also list any actions the Applicant or Market Participant has taken to mitigate the risks associated with such access or control:

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

Signature

Name

Title

Date