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If a whole or part of a paragraph has been amended, the date of the amending regulation appears in square brackets at the end of the paragraph. If a whole paragraph or sub-paragraph has been deleted, the date of the deletion appears in square brackets beside the deleted paragraph or sub-paragraph.

Decision No. 1/10 of the Board of the Public Utilities Commission

Adopted 11 June 2014

Regulations Regarding Registration of Energy Producers and Traders

*Issued pursuant to
Section 26.¹, Paragraphs three and four, Section 32.¹, Paragraphs three and five
of the Electricity Market Law,
Section 7.¹, Paragraphs two and three of the Energy Law and
Section 25, Paragraph one
of the Law On Regulators of Public Utilities*

I. General Provisions

1. This Regulation prescribes:

1.1. the requirements for registration of electricity producers, thermal energy producers, electricity traders and thermal energy traders (hereinafter – merchant);

1.2. the procedures by which the merchant shall send a registration notification or a notification on termination of activities to the Public Utilities Commission (hereinafter — the regulator);

1.3. the information to be included in the registration notification and the notification on termination of activities;

1.4. the information to be included in the register of merchants;

1.5. the procedures by which a merchant shall be excluded from the register of merchants and re-registered.

II. Registration Notification and Notification on Termination of Activities

2. The merchant shall send a registration notification to the regulator, which is drawn up in accordance with the following annexes:

2.1. for registration of the merchant in the register of electricity producers – in accordance with Annex 1;

2.2. for registration of the merchant in the register of electricity traders – in accordance with Annex 2;

2.3. for registration of the merchant in the register of thermal energy producers – in accordance with Annex 3;

2.4. for registration of the merchant in the register of thermal energy traders – in accordance with Annex 4;

2.5. the merchant who produces electricity in co-generation shall draw up the registration notification:

2.5.1. in accordance with Annex 1, if the total installed electric capacity of co-generation installations in the co-generation plant exceeds one megawatt;

2.5.2. in accordance with Annex 2, if the total installed electric capacity of co-generation installations in the co-generation plant does not exceed one megawatt, the total installed thermal capacity of thermal energy production installations exceeds one megawatt and the amount of thermal energy transferred to users exceeds 5 000 megawatt hours per year.

3. The merchant shall append a document certifying that the electric power plant or thermal energy production object has been put into service, to the notification on registration in the register of electricity or thermal energy producers.

4. If the merchant ceases the production or trade of electricity or thermal energy, it shall send a notification to the regulator on termination of activities in accordance with Annex 5.

5. The merchant shall be liable for the veracity of the provided information.

6. The regulator has the right to request the merchant to clarify the information included in the registration notification and the notification on termination of activities.

7. If the notification is submitted electronically, electronic copies of documents supporting the notification shall be attached and attested with a safe electronic signature and time stamp in accordance with the laws and regulations regarding drawing up of electronic documents.

III. Registers of Energy Producers and Traders

8. The regulator shall maintain and update the registers of merchants on its website www.sprk.gov.lv, indicating the last date of updating the register.

9. The register of merchants shall include the following information:

9.1. regarding an electricity producer:

9.1.1. the name;

9.1.2. the unified registration number;

9.1.3. the legal address;

9.1.4. the total capacity installed for production of electricity;

9.1.5. the registration date;

9.1.6. if the electricity producer has been excluded from the register of electricity producers, the date when the electricity producer was excluded from the respective register;

9.2. regarding an electricity trader:

9.2.1. the name;

9.2.2. the unified registration number;

9.2.3. the legal address;

9.2.4. the registration date;

9.2.5. if the electricity trader has been excluded from the register of electricity traders, the date when the electricity trader was excluded from the respective register;

9.3. regarding a thermal energy producer:

9.3.1. the name;

9.3.2. the unified registration number;

9.3.3. the legal address;

9.3.4. the total capacity installed for production of thermal energy;

9.3.5. the registration date;

- 9.3.6. if the thermal energy producer has been excluded from the register of thermal energy producers, the date when the thermal energy producer was excluded from the respective register;
- 9.4. regarding a thermal energy trader:
- 9.4.1. the name;
 - 9.4.2. the unified registration number;
 - 9.4.3. the legal address;
 - 9.4.4. the territory for the provision of services;
 - 9.4.5. the registration date;
 - 9.4.6. if the thermal energy trader has been excluded from the register of thermal energy traders, the date when the thermal energy trader was excluded from the respective register.

IV. Procedures for Excluding the Merchant and Suspending Its Activities

10. The merchant shall notify the regulator regarding suspending activities of a merchant no later than 30 days in advance.

11. The merchant shall notify the regulator regarding termination of the production or trade of electricity or thermal energy no later than 90 days in advance.

12. The regulator may exclude the merchant from the respective register:

12.1. after receipt of a written notification from the merchant, if the merchant has paid the State fee for the regulation of public utilities and submitted information to the regulator related to the calculation of the State fee;

12.2. if the merchant has been excluded from the Commercial Register;

12.3. if it has been established that the activities of the merchant need not be governed in accordance with the Law On Regulators of Public Utilities anymore;

12.4. if the merchant has repeatedly violated the general authorisation regulations in the energy sector.

[26 February 2015]

13. If the regulator establishes a violation of the general authorisation regulations in the energy sector in activities of a thermal energy producer or trader, the regulator shall send a warning letter to the thermal energy producer or trader in accordance with the procedures laid down in the Law On Notification, in which the violation established shall be indicated, the thermal energy producer or trader shall be requested to provide an explanation, recommendations for elimination of the established violation shall be provided and the time period by which the thermal energy producer or trader must eliminate the established violation shall be determined.

[26 February 2015]

14. If a thermal energy producer or trader fails to eliminate the violation established by the regulator in the warning letter within the prescribed period, the regulator shall initiate proceedings within the framework of an administrative violation case.

[26 February 2015]

15. If a thermal energy producer or trader fails to eliminate a similar violation committed repeatedly within a year (hereinafter — the repeat violation) within the period determined in the warning letter of the regulator, the regulator shall:

15.1. initiate proceedings within the framework of an administrative violation case;

15.2. send a letter to the thermal energy producer or trader, in which the repeat violation established is indicated, impose a duty to eliminate the repeat violation, determine a deadline

by which the repeat violation must be eliminated, and warn regarding exclusion of the thermal energy producer or trader from the respective register.
[26 February 2015]

16. If the thermal energy producer or trader does not eliminate the established repeat violation within the time period specified in the letter referred to in Sub-paragraph 15.2 of this Regulation, the regulator shall decide on exclusion of the thermal energy producer or trader from the respective register.
[26 February 2015]

16.¹ If the regulator establishes a violation of the general authorisation regulations in the energy sector in activities of a electricity producer or trader, the regulator shall initiate an administrative case in the institution regarding the established violation in accordance with the Administrative Procedure Law, notifying the electricity producer or trader thereof in accordance with the procedures laid down in the Law On Notification.
[26 February 2015]

16.² If the electricity producer or trader repeatedly commits a similar violation, the regulator shall initiate an administrative case in the institution regarding the established violation in accordance with the Administrative Procedure Law, notifying the electricity producer or trader thereof in accordance with the procedures laid down in the Law On Notification, and decide on exclusion of the electricity producer or trader from the respective register.
[26 February 2015]

17. For re-registration the merchant shall send a notification to the regulator in accordance with Paragraphs 2 and 3 of this Regulation.

18. The regulator shall make a note in the respective register regarding exclusion of the merchant from the respective register.
[26 February 2015]

19. The regulator shall make a note in the respective register regarding suspending economic activities of the merchant on the basis of a mandatory requirement of the State Revenue Service, which has been sent to the regulator in accordance with the Law On Taxes and Fees.

20. The regulator shall make a note in the register regarding suspending activities of the merchant on the basis of an entry in the Commercial Register regarding suspending activities of the merchant.

Closing Provisions

21. Decision No. 1/34 of the Public Utilities Commission of 11 December 2013, Regulations Regarding Registration of Energy Producers and Traders (*Latvijas Vēstnesis*, 2013, No. 247), is repealed.

22. The Regulation shall come into force on 1 July 2014.

Acting Chair, Board Member of the Public Utilities Commission

G. Zeltiņš

Notification on Registration of the Electricity Producer

General information regarding the merchant

Name of the merchant:	Unified registration number:
Given name, surname of the person entitled to represent the merchant:	Telephone, fax:
Legal address:	<input checked="" type="checkbox"/> Electronic mail address:

I agree that the regulator shall send documents and notifications to the electronic mail address indicated in this registration notification, using the official electronic mail address of the regulator sprk@sprk.gov.lv, in accordance with Section 9, Paragraph two of the Law On Notification, and they shall be deemed as notified on the second working day after sending thereof. The regulator and the merchant may also use other means of notification specified in the Law On Notification in their mutual communication.

Please register _____

(name of the merchant)

for the provision of public service – production of electricity.

Information regarding each power plant of the merchant

1.	Actual address of the power plant			
2.	Date of issue of the permit of the Ministry of Economics			
3.	No. of the permit of the Ministry of Economics			
4.	Type of the power plant:*			
	Wind power plant			
	Hydroelectric power plant			
	Solar power plant			
	Co-generation plant			
	Condensation power plant			
5.	Installed capacity of the power plant	Electric capacity (P, MW)	Thermal capacity of co-generation installations (Qkoġ, MW)**	Thermal capacity of water heaters (Qūk, MW)**

6.	Type of fuel***			
	Natural gas			
	Biogas			
	Biomass			
	Peat			
	Coal			
	Diesel fuel			
	Oil fuel			
7.	Production capacity per year:			
7.1.	Electricity, MWh			
7.2.	Thermal energy, MWh**			
8.	Person to whom thermal energy is sold**			
9.	Date of putting in operation of the power plant			

I confirm that I understand the obligations specified for an electricity producer in laws and regulations, the information provided is true.

I hereby acknowledge that the respective local government(s) is (are) informed.****

Date**** _____ 20_____

Person entitled to represent the merchant _____

/signature***** and full name/

Notes:

* – mark one type with an X as appropriate.

** – complete only regarding co-generation plants.

*** – mark one type with an X only regarding co-generation plants or condensation power plants.

**** – applies only to co-generation plants.

***** – the details of the document “date” and “signature” shall not be completed, if the electronic document has been drawn up in accordance with the laws and regulations regarding drawing up of electronic documents.

Notification on Registration of the Electricity Trader

Name of the merchant:	Unified registration number:
Given name, surname of the person entitled to represent the merchant:	Telephone, fax:
Legal address:	<input checked="" type="checkbox"/> Electronic mail address:
Planned amount of sale of electricity per year, MWh:	

I agree that the regulator shall send documents and notifications to the electronic mail address indicated in this registration notification, using the official electronic mail address of the regulator sprk@sprk.gov.lv, in accordance with Section 9, Paragraph two of the Law On Notification, and they shall be deemed as notified on the second working day after sending thereof. The regulator and the merchant may also use other means of notification specified in the Law On Notification in their mutual communication.

Please register _____

(name of the operator)

for the provision of public service – trade of electricity.

I confirm that I understand the obligations specified for an electricity trader in laws and regulations, the information provided is true.

Date* _____ 20_____

Person entitled to represent the merchant

/signature* and full name/

Note: * – the details of the document “date” and “signature” shall not be completed, if the electronic document has been drawn up in accordance with the laws and regulations regarding drawing up of electronic documents.

Notification on Registration of the Thermal Energy Producer**General information regarding the merchant**

Name of the merchant:	Unified registration number:
Given name, surname of the person entitled to represent the merchant:	Telephone, fax:
Legal address:	<input checked="" type="checkbox"/> Electronic mail address:

I agree that the regulator shall send documents and notifications to the electronic mail address indicated in this registration notification, using the official electronic mail address of the regulator sprk@sprk.gov.lv, in accordance with Section 9, Paragraph two of the Law On Notification, and they shall be deemed as notified on the second working day after sending thereof. The regulator and the merchant may also use other means of notification specified in the Law On Notification in their mutual communication.

Please register _____

(name of the operator)

for the provision of public service – production of thermal energy.

Information regarding each thermal energy production object of the merchant

1.	Actual address of the object		
2.	Capacity of the installed boilers, (Q _{uk} , MW)		
3.	Capacity of the installed co-generation installations*	Electric capacity (P, MW)	Thermal capacity of co-generation installations (Q _{koģ} , MW)
4.	Type of fuel**:		
	Natural gas		
	Biogas		
	Biomass		
	Peat		
	Coal		
	Diesel fuel		
	Oil fuel or other petroleum products		
Electricity			

5.	Amount of thermal energy transferred from the object to users per year, MWh	
6.	Person to whom thermal energy is sold	
7.	Date of putting in operation of the object	

I confirm that I understand the obligations specified for a thermal energy producer in laws and regulations, the information provided is true, the the respective local government(s) is (are) informed.

Date*** _____ 20_____

Person entitled to represent the merchant _____

/signature*** and full name/

Notes:

* – complete if such co-generation installations have been installed in the object, the total electric capacity of which does not exceed 1 MW.

** – mark one type of heating fuel with an X as appropriate.

*** – the details of the document “date” and “signature” shall not be completed, if the electronic document has been drawn up in accordance with the laws and regulations regarding drawing up of electronic documents.

Notification on Registration of the Thermal Energy Trader

Name of the merchant:	Unified registration number:
Person entitled to represent the merchant, given name, surname:	Telephone, fax:
Legal address:	<input checked="" type="checkbox"/> Electronic mail address:
Amount of sale of thermal energy per year, MWh:	Administrative territory of provision of the service:
Description of users of the public service (number, division – natural or legal persons):	

I agree that the regulator shall send documents and notifications to the electronic mail address indicated in this registration notification, using the official electronic mail address of the regulator sprk@sprk.gov.lv, in accordance with Section 9, Paragraph two of the Law On Notification, and they shall be deemed as notified on the second working day after sending thereof. The regulator and the merchant may also use other means of notification specified in the Law On Notification in their mutual communication.

Please register _____

(name of the merchant)

for the provision of public service – trade of thermal energy.

I confirm that I understand the obligations specified for a thermal energy trader in laws and regulations, the information provided is true, the the respective local government(s) is (are) informed.

Date* _____ 20_____

Person entitled to represent the merchant

/signature* and full name/

Note: * – the details of the document “date” and “signature” shall not be completed, if the electronic document has been drawn up in accordance with the laws and regulations regarding drawing up of electronic documents.

Notification on Termination of Activities

Name of the merchant:	Unified registration number:
Given name, surname of the person entitled to represent the merchant:	Phone, fax, e-mail:
Legal address:	

Please exclude _____
(name of the merchant)

from the following register starting from ____ 20____:*

- register of electricity traders
 register of electricity producers
 register of thermal energy traders
 register of thermal energy producers

indicate the grounds for exclusion** _____

State fee in the amount of EUR _____ for regulation of public utilities in _____ [year] was paid on ____ 20____.

I hereby acknowledge that the respective local government(s) is (are) informed.***

Date**** ____ 20____

Authorised representative of the merchant _____
/signature**** and full name/

Notes:

* – if the merchant has indicated a date before which the regulator may exclude the merchant from the respective register, the regulator shall exclude the merchant from the respective register on the date indicated by the regulator, indicating it in the respective register.

** – need not be indicated, if the merchant is excluded from the Commercial Register.

*** – applies to the request to delete from the register of thermal energy traders or thermal energy producers.

**** – the details of the document “date” and “signature” shall not be completed, if the electronic document has been drawn up in accordance with the laws and regulations regarding drawing up of electronic documents.

Board of the Public Utilities Commission,
Acting Chairman, Board Member

G. Zeltiņš