

Electric Quarterly Report (EQR)

Web Interface and XML System Guide



**Federal Energy Regulatory
Commission**

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I. EQR Redesign for 3rd Quarter 2013 and Beyond

The new Electric Quarterly Reports (EQR) system provides a technical solution to collect, analyze, and manage the data reported in the EQRs.

The EQR system will allow required Sellers (“Sellers”) to file their EQRs by use of a web interface or by submitting an Extensible Mark-Up Language-formatted (XML) data.

The redesigned system will engage a service-oriented architecture and capitalize on the existing systems in the FERC enterprise specifically. EQR Sellers and their designated Agents will be required to use the FERC’s eRegistration and Company Registration portals.

- The existing eRegistration services are used for authentication and authorization of the individual(s) using the system. Only individuals registered in the FERC eRegistration system may be designated to file EQRs on behalf of one or more Seller(s). Information regarding eRegistration may be found on the FERC website at <http://www.ferc.gov/docs-filing/eregistration.asp>. Please contact ferconlinesupport@ferc.gov with additional eRegistration questions.
- The existing Company Registration system is used for authorization and authentication of the Companies that do business with FERC, including Sellers and Agents. Sellers will be required to use the Company Registration system to obtain a Company Identifier (if the company does not already have a Company Identifier). A Seller may also designate employees or registered third party individuals or companies to submit EQR filings on its behalf. Information regarding Company Registration may be found on the FERC website at <http://www.ferc.gov/docs-filing/company-reg.asp>. Please contact ferconlinesupport@ferc.gov with additional Company Registration questions.

EQR Application Overview

The EQR application is designed to gather and manage information about these four main data elements:

- ID Data
- Contract Data
- Transaction Data
- Index Reporting Data

EQR Filing System Rules

The rules governing the flow of information are contained in the Data Dictionary and validation rules at the following links. Error messages and their cause are listed in Appendix B of this guide.

Data Dictionary: <http://www.ferc.gov/docs-filing/eqr/order770/data-dictionary.pdf>

Validation: http://www.ferc.gov/docs-filing/eqr/order768/validation_rules.pdf

Error Message Table: (See Appendix B in this guide for a listing of all error messages)

Filing for 2nd Quarter 2013 and Earlier

Filings prior to 3rd Quarter, 2013 should follow the steps and processes described in the “Filing for 2nd Quarter 2013 and Earlier” portion of the EQR page at the link below.

<http://www.ferc.gov/docs-filing/eqr.asp>

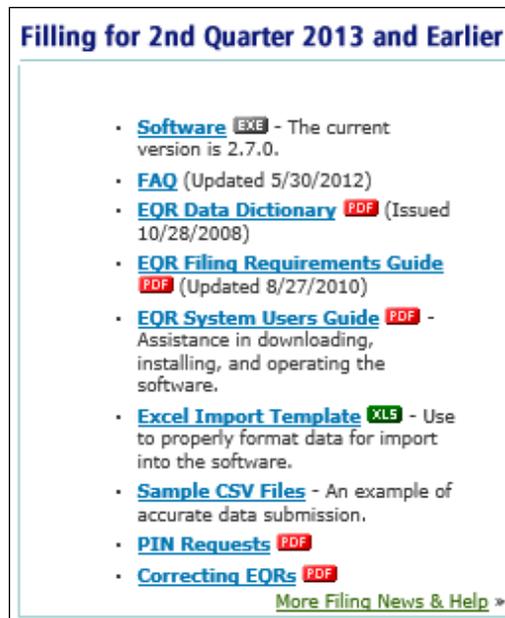


Figure 1 – Where to Find Prior Filing Information

II. Getting Started through Web Interface

The EQR system provides a web-based user interface where users can create, edit, update, copy, and delete EQR filings. Filings for 3rd Quarter 2013 and beyond should follow the steps in this Guide as well as any information described in the “Filing for 3rd Quarter 2013 and Beyond” portion of the EQR page.

NOTE: Prior to using the EQR system, a user must be eRegistered and be delegated by a registered Seller company. ¹

Logging In

To access the EQR Web client, a user should:

¹ Information regarding Company Registration and eRegistration may be found on the FERC website at <http://www.ferc.gov/docs-filing/company-reg.asp> and <http://www.ferc.gov/docs-filing/eregistration.asp>.

1. Access the public FERC Web Site at <http://www.ferc.gov>.
2. Click on the Documents & Filing menu → Electric Quarterly Report (EQR).
3. Click on the EQR Registration link Icon.



4. The following screen displays the EQR Initial Log-In Screen.

Figure 2 - EQR Initial Log In Screen

5. Enter the email address and password used in the eRegistration system.
6. The Sellers Screen lists the Seller (Data Dictionary Field 2) names that are assigned to the user who logs in.

Seller Name	SellerCID	Last Action Date	Status	Action	Filer
RFC-naruto-NGPA.six	C000514		Editable	No Action	RFC-naruto-NGPA.six
RFC Company Test 2	C000566			No Action	RFC Company Test 2
RFC-fpambrpu-naruto 63	C000652			No Action	RFC-fpambrpu-naruto 63
Order 768 Power LLC	C000738		Locked	No Action	Order 768 Power LLC
Power LLC	C000739		Editable	No Action	Power LLC
RFC(311)-naruto 29	C000565			No Action	RFC-naruto-NGPA.six

File Upload: (Select a Zip File that contains 1 to 4 CSV files for processing. You must select the appropriate action above for the relevant seller data you are uploading.)

Figure 3 – Sellers Screen

Seller Screen Field Descriptions and Options

The screenshot shows the 'Electric Quarterly Reports' interface for the Federal Energy Regulatory Commission. It includes a 'Filing Period' dropdown set to 'Q1, Jan-Mar 2013', a 'Last Action Date Populated After filing submitted successfully' field, and a 'Status populated based on filing status or other users in file' field. A table lists sellers with columns for Seller Name, SellerCID, Last Action Date, Status, Action, and Filer. A 'File Upload' section is also visible.

Filing Period

Last Action Date Populated After filing submitted successfully

Status populated based on filing status or other users in file

Seller Name List from Company Registration

Filer same as Seller plus any designated Agents

Action must be selected to process

Seller Name	SellerCID	Last Action Date	Status	Action	Filer
RFC-naruto-NGPA.six	C000514		Editable	No Action	RFC-naruto-NGPA.six
RFC Company Test 2	C000566			No Action	RFC Company Test 2
RFC-tpambrpu-naruto 63	C000652			No Action	RFC-tpambrpu-naruto 63
Order 768 Power LLC	C000738		Locked	No Action	Order 768 Power LLC
Power_LLC	C000739		Editable	No Action	Power_LLC
RFC(311)-naruto 29	C000565			No Action	RFC-naruto-NGPA.six

Figure 4 – Explanation of Fields

Filing Period

The filing period will default to the current filing period.

Seller Name

The Seller is the name of the company that is authorized and required to file as indicated in the Company Registration. The “Seller Names” column displays those companies that have assigned the currently logged-in user as an EQR Seller contact or delegated EQR Agent.

Seller CID

The Company Identifier (CID) is a number that is assigned to the Seller during the Company Registration process.

Last Action Date

This column will populate with an appropriate date if there is a filing that has been filed and accepted.

Filer

The Filer list reflects the Sellers and designated Agents registered during the Company Registration Process. In most cases, the Seller is also the Filer, as shown below.

Seller Name	Last Action Date	Status	Action	Filer
RFC naruto 37abc (C003092)			No Action	RFC naruto 37abc (C003092)
RFC-powadmin-naruto 39 (C003096)		Editable	No Action	RFC-powadmin-naruto 39 (C003096)

Figure 5 - Seller Name and Filer Name

NOTE: The user may select another Seller from the Filer drop down if the user has been assigned as an EQR Agent for multiple Sellers in the Company Registration process.

Status

This column displays one of the following:

- **Editable**-This is the status of a previous filing that has been submitted by this seller.
- **Locked**-This is the status of a filing that another user is editing. Please see rules below.
- **Blank**-This is the status if a filing has not been filed by this seller.

Locked Status Rules

It is possible for multiple users at multiple locations to perform edits in the EQR system on the same EQR filing (for the same Seller and for the same Filing Period). However, the following guidelines apply:

- Only one assigned user at a time may edit the same EQR filing in the EQR System for a given Seller and given Filing Period.
- When a user selects a Seller for a filing Action, the system locks the Seller's working data to prevent other users from selecting that same Seller for any filing Action within the same Filing Period.
- As long as the user is actively working on the data, the system will remain locked.
- The user will be automatically logged out of their session if the session is inactive for 20 minutes.
- When a user intentionally logs out, the system will also release the lock on the Seller's working data. Subsequently, the system will save the changes made by the previous user and will keep the working data available for subsequent users until FERC accept that filing.
- If a user unintentionally exits the web interface, the working data will also be saved for subsequent users' application.

Actions

A user must select an Action from the drop-down menu of available options under the “Action” column to create, review, or modify a filing. The following options are available from the drop down menu:

- **No Action** – This default status indicates that the user has not yet selected any action for the Seller/Filing period.
- **CSV New**-This action allows a user to create a new EQR filing from data that is uploaded in a zip file (containing up to four CSV files). This selection creates Seller’s Identification, Contract Information, and Transactions Information.
- **CSV Replace**-This action will override all or a portion of the information in an existing filing of the selected Seller/Filing Period with the data contained in a replacement CSV file uploaded by the user.
- **Manual New**-This action displays blank data entry screens, allows the user to enter all (or a portion of) the filing information manually. The Seller’s Identification information, the Contract Information, and/or the Transactions Information can be keyed in by the user.
- **Manual Edit**-This action retrieves existing data for the selected Seller/Filing period from the EQR database, displays the data on the screen, and allows the user to update and save the data. The Seller’s Identification Information, the Contract Information, and/or the Transactions Information can be updated manually. This option is only available for non-legacy data (*i.e.*, a Seller must have filed at least one quarter of EQR data in the new system before this option becomes available).
- **Prefill from Prior Filing Period**- This action retrieves existing Seller and Contract information from the previous quarter’s filing, and displays the data on the screen. The user can then update the data and reuse it for the current filing period. This option is only available for non-legacy data.

EQR Filing Steps “CSV New” Action

If the user selects the CSV New Action, (s)he will perform the following steps:

1. Select the correct Filing Period from the drop down box on the initial Seller’s Screen.

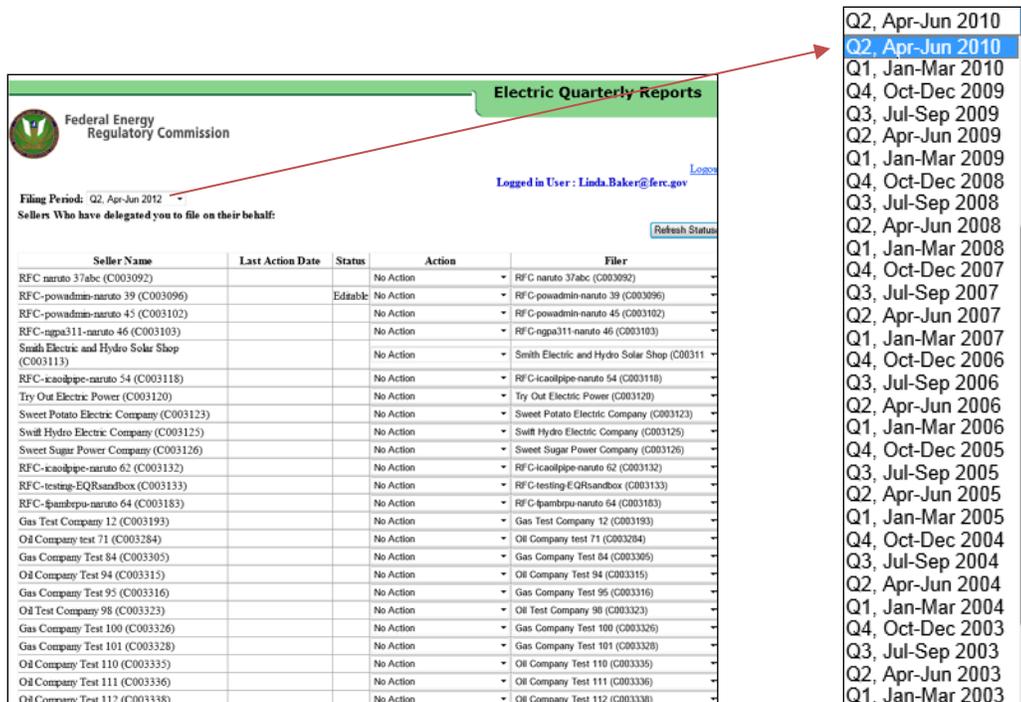


Figure 6 - Initial Seller’s Screen and Fiscal Quarter Drop Down

IMPORTANT: The filing period selected from the drop down menu must correspond to the filing quarter indicated in the Identification CSV file or the system will not accept the filing.

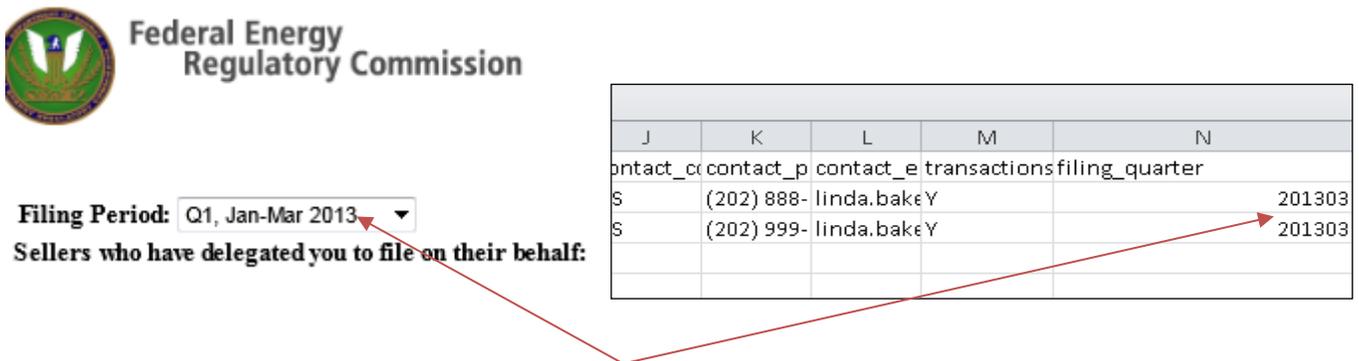


Figure 7 – Filing Period Must Match Filing Quarter Column in CSV File

2. Select **CSV New** from the Action drop down list.

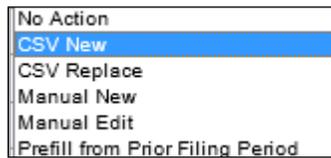


Figure 8 -Action List

3. Click Browse to locate the CSV File that will be uploaded in the EQR system.

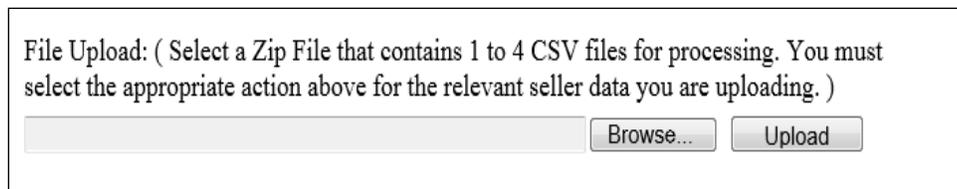


Figure 9 – File Browse Selection

4. Click Upload to upload the CSV Zip file in the EQR System.

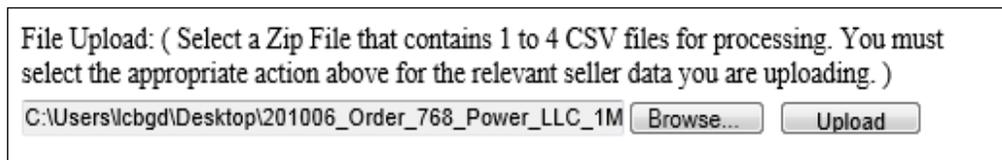


Figure 10 – File Upload Selection

NOTE: If the uploaded data contain errors, the screen will display error information. The errors listed in the screen must be corrected before the data can be successfully uploaded. For a list of error messages, please see Appendix B of this guide.

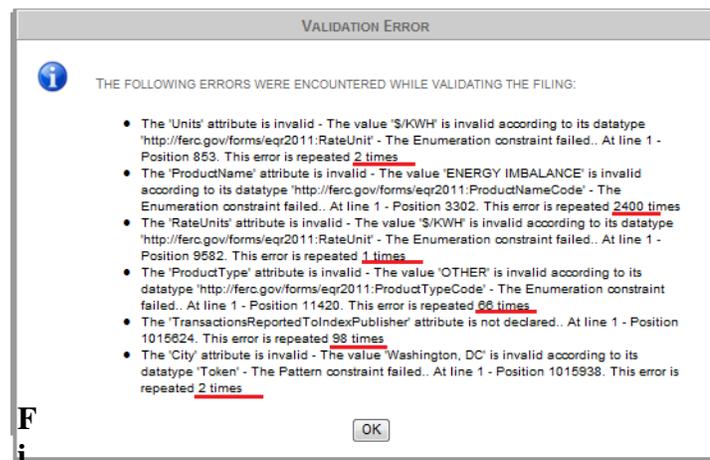


Figure 11 -Validation Error Notice

- Click the enabled Seller name. The loaded Zip file is now associated with this Seller name and will display the data detailed in the **Data Verification and Filing** section of this guide starting on page 32.



**Federal Energy
Regulatory Commission**

Electric Quarterly Reports

[Logout](#)

Logged in User : Linda.Baker@ferc.gov

Filing Period: Q2, Apr-Jun 2010

Sellers Who have delegated you to file on their behalf: [Refresh Status](#)

Seller Name	Last Action Date	Status	Action	Filer
Linda Company (C000347)			No Action	Linda Company (C000347)
RFC-naruto-NGPA.six (C000514)			No Action	RFC-naruto-NGPA.six (C000514)
DF-naruto 16 (C000531)			No Action	DF-naruto 16 (C000531)
RFC Company Test 2 (C000566)			No Action	RFC Company Test 2 (C000566)
RFC-fpambrpu-naruto 63 (C000652)			No Action	RFC-fpambrpu-naruto 63 (C000652)
Order 768 Power LLC (C000738)		Editable	CSV New	Order 768 Power LLC (C000738)
Power_LLC (C000739)			No Action	Power_LLC (C000739)
Linda Baker Test Company (D000552)			No Action	Linda Baker Test Company (D000552)
DFC Test Company 12 (D000736)			No Action	DFC Test Company 12 (D000736)
DF-naruto 109 (D000747)			No Action	DF-naruto 109 (D000747)
DF-Company Test 20 (D000756)			No Action	DF-Company Test 20 (D000756)
Oil Company Test 1 - RFC_Editing (C000553)			No Action	Linda Baker Test Company (D000552)
First Company RFC-1 (C000556)			No Action	Linda Baker Test Company (D000552)
RFC(311)-naruto 29 (C000565)			No Action	RFC-naruto-NGPA.six (C000514)
RFC-fpambrpu-naruto 111 (C000751)			No Action	DF-naruto 109 (D000747)
RFC-fpambrpu-naruto 127 (C000780)			No Action	DF-Company Test 20 (D000756)

File Upload: (Select a Zip File that contains 1 to 4 CSV files for processing. You must select the appropriate action above for the relevant seller data you are uploading.)

201006_Order_768_Power_LLC_1MB.zip
 - Start uploading: 6/20/2013 11:28:25 AM
 - End uploading: 6/20/2013 11:28:44 AM
 - Total time: 00:00:19.0781250

Figure 12 – Zip File loaded and Seller Name enabled

EQR Filing Steps “Prefill from Prior Filing Period” Action

This action retrieves existing Seller’s data information from the previous quarter filing, and displays the data on the screen. The user can then update the data and reuse it for the current filing period.

1. Select the current Filing Period from the Filing Period drop-down menu.

NOTE: The Filing Period selection is critical to this action. The filing period selected from the drop down menu, must be after the filing that is loaded (prefilled) from within the system. There will not be a **Last Action Date** message displayed if a previous filing period is selected.

Filing Period: Q2, Apr-Jun 2013	
Sellers who have delegated you to file on their behalf:	
Seller Name	Last Action Date
Linda Company (C000347)	
RFC-naruto-NGPA.six (C000514)	
RFC Company Test 2 (C000566)	
RFC-fpambr-naruto 35 (C000592)	
RFC-fpambrpu-naruto 63 (C000652)	
Order 768 Power LLC (C000738)	10/9/2013 11:43:33 PM
Power_LLC (C000739)	
RFC-poweradmin-naruto 168 (C000865)	

Figure 13 – Seller Names and Last Action Date

2. Select the **Prefill from Prior Filing Period** action from the Action drop down box.

Smith Electric and Hydro Solar Shop (C003113)	Editable	Prefill from Prior Filing Period	Smith Electric and Hydro Solar Shop (C003113)
---------------------------------------------------------------	----------	-----------------------------------------	-----------------------------------------------

Figure 14 – Prefill from Prior Period Action

3. Click the Seller name.

NOTE: If the Seller has not filed the previous quarter, the prefill option is not available and the system will display the message in Figure 15.

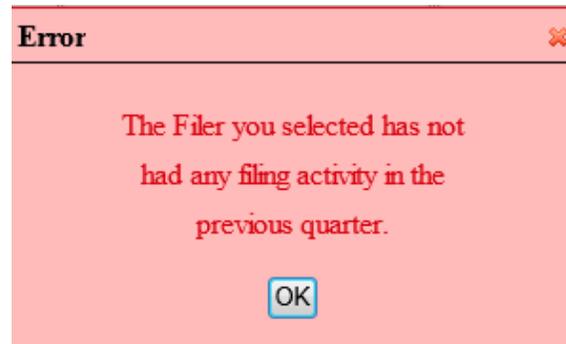


Figure 15 – No Prior Filing Error

- 4. If prefill data is available, the ID Data Tab will be displayed with data as shown in the example below.

Federal Energy Regulatory Commission

Electric Quarterly Reports

User : Linda.Baker@ferc.gov Q2, Apr-Jun 2010 Logout

ID Data Buyers Contracts

Select an option to add contact:

Filer
 Seller

Assigned Contact(s) for Order 768 Power LLC:

Email	Name	Program	Phone	Remove
Linda.Baker@ferc.gov	Linda C. Baker		202-502-8411	✖

Contact Name and Email*
Select Contact

*If a contact is not on the select list you can go to Company Registration to add the contact as a company representative. Once added as a company representative, the contact will be available on the list.

<< Back to Select Filing Period page Submit

Test

Figure 16 – ID Data Tab

5. Click **Filer** to verify contact information.

NOTE: There can be only one Filer Contact.

Federal Energy Regulatory Commission

Electric Quarterly Reports

User : Linda.Baker@ferc.gov Q2, Apr-Jun 2010 [Logout](#)

ID Data | Buyers | Contracts

Select an option to add contact:

Filer
 Seller

Assigned Contact(s) for Order 768 Power LLC:

Email	Name	Program	Phone	Remove
Linda.Baker@ferc.gov	Linda C. Baker		202-502-8411	

Contact Name and Email*

FERC, FERCTest2 --- ferctest2@gmail.com

*If a contact is not on the select list you can go to Company Registration to add the contact as a company representative. Once added as a company representative, the contact will be available on the list.

Filer Contact Details: Required fields are marked with *

Display Name: FERCTest2 FERC [Assign Contact](#)

Email: * ferctest2@gmail.com

Name Prefix: Mr.

First Name: * FERCTest2

Middle Initial:

Last Name: * FERC

Name Suffix:

Title: Tester

Street Address: * 888 1st street NE

City: * Washington

State: * DISTRICT OF COLUMBIA

Zip Code: * 20002

Country: UNITED STATES

Phone: * 202-502-6215 i.e. 555-555-5555 or 011-52-555-555-5555

Figure 17 – ID Data Tab Filer Selection

Federal Energy Regulatory Commission **Electric Quarterly Reports**

User : Linda.Baker@ferc.gov Q2, Apr-Jun 2010 [Logout](#)

ID Data | **Buyers** | Contracts

Select an option to add contact:

Filer
 Seller

Assigned Contact(s) for Order 768 Power LLC:

Email	Name	Program	Phone	Remove
Linda.Baker@ferc.gov	Linda C. Baker		202-502-8411	✖

Contact Name and Email*

FERC, FERCTest2 --- ferctest2@gmail.com

*If a contact is not on the select list you can go to Company Registration to add the contact as a company representative. Once added as a company representative, the contact will be available on the list.

Filer Contact Details:

Required fields are marked with *

Display Name: FERCTest2 FERC Assign Contact

Email: * ferctest2@gmail.com

Name Prefix: Mr.

First Name: * FERCTest2

Middle Initial:

Last Name: * FERC

Name Suffix:

Title: Tester

Street Address: * 888 1st street NE

City: * Washington

State: * DISTRICT OF COLUMBIA

Zip Code: * 20002

Country: UNITED STATES

Phone: * 202-502-6215 i.e. 555-555-5555 or 011-52-555-555-5555

Figure 18 – Contact Selected

- Click Seller to verify the Seller contact information. If there are changes in the Seller name, the user may delete the current Seller Contact and add a new Contact from the contact drop down list. The Seller Contact is unique.

Federal Energy Regulatory Commission **Electric Quarterly Reports**

User : renee.ng@ferc.gov Q3, Jul-Sep 2013 [Logout](#)

ID Data | **Buyers** | Contracts

Select an option to add contact:

Filer
 Seller

Assigned Contact(s) for E-naruto 27 (C003068):

Email	Name	Program	Phone	Remove
renee.ng@ferc.gov	Renee W. McGregor	ninja	2025026343	✖

Contact Name and Email*

Select Contact

*If a contact is not on the select list you can go to Company Registration to add the contact as a company representative. Once added as a company representative, the contact will be available on the list.

[<< Back to Select Filing Period page](#)
Submit

Figure 19 – Seller Screen

- Set **Transactions Reported to Index Publisher** if applicable. Using CSV upload, please indicate Y or N as applicable.
- Select a Publisher name (EIG, IP, DJ) from the drop down.

Figure 20 – Index Publisher Information

9. Click **Save** to save the information.
10. Click **Add** to add an additional name.
11. Click on **Buyer** Tab to view Customer Company information.

Figure 21 – Customer Company Information on Buyer Tab

12. Click **Add** to add any additional Customer Company.

The screenshot shows the FERC EQR web application interface. At the top, there is a green header with the text "Electric Quarterly Reports". Below the header, the FERC logo and name "Federal Energy Regulatory Commission" are visible on the left. On the right, the user information "User : renee.ng@ferc.gov Q3, Jul-Sep 2013" and a "Logout" link are displayed. A navigation bar contains three tabs: "ID Data", "Buyers", and "Contracts", with "Buyers" being the active tab. Below the tabs, there is a section titled "Buyers:" containing a table with one row. The table has a header "Company Name" and a cell containing "buyer 1". To the right of the table is an "Add" button. Below the table, there is a "Name: buyer 1" label and a text input field. Below the input field are three buttons: "Edit", "Delete", and "Reset". At the bottom of the page, there are two buttons: "<< Back to Select Filing Period page" and "Submit".

Figure 22 – Customer Company Information on Buyer Tab

13. Enter the new Customer Company name in the field provided.

14. Click **Save** to save the changes.

15. Click on a Customer Company to edit the Customer Company name.

16. Click **Edit** to modify the company name.

17. Click **Delete** to remove a company name from the list.

18. Click **Reset** to reset to the previous data.

19. Click **Save** to save the changes.

NOTE: If there are no additional changes, the user can send the EQR data by clicking **Submit**.

20. Click **Contracts** to view Contracts Information.

21. Click **Add** to add Contract Details information.

The screenshot displays the 'Electric Quarterly Reports' interface. At the top, the Federal Energy Regulatory Commission logo is visible. The user is logged in as 'renee.ng@ferc.gov' on '03-Jul-Sep 2013'. The 'Contracts' tab is active, showing a table with columns for 'Contract Unique ID', 'Buyer', and 'Ferc Tariff Reference'. A table with one row is shown below, with values '1', 'buyer 1', and 'Non Public Utility'. Below the table, there are input fields for 'Seller Company Name: E-naruto 27 (C003068)', 'Customer Company Name: buyer 1', 'Ferc Tariff Reference: Non Public Utility', and 'Contract Service Agreement ID: 1'. At the bottom of the table view, there are 'Contract Execution Date: 2013-07-01' and 'Contract Termination Date: 2013-07-30'. An 'Add' button is located to the right of the table. Below the table view, there is a 'Contract Details' section with a form for adding a new contract. The form includes fields for 'Seller Company Name: E-naruto 27 (C003068)', 'Customer Company Name: buyer 1', a 'Contract Affiliate' checkbox, 'Ferc Tariff Reference: Non Public Utility' with an 'NPU?' checkbox, 'Contract Service Agreement ID: 1', 'Contract Execution Date: 2013-07-01', 'Commencement Date of Contract Terms: 2013-07-02', 'Contract Termination Date: 2013-07-30', and 'Actual Termination Date: 2013-07-31'. There is also a text area for 'Extension Provision Description' containing the word 'test' and a 'Note' field. At the bottom of the form are 'Edit', 'Cancel', 'Delete', and 'Reset' buttons.

Figure 23 – Contracts Tab

22. Click **Edit** to edit the information displayed in the Contracts Details Screen.

23. Click **Delete** to delete the contract. If the Seller has existing transactions associated with this contract, the system will warn the user to first delete the associated transactions before removing the related contract.

24. Click **Save** to save the new data.

25. Click the **Contract Products** Tab to view Product information.
26. Click **Add** to add additional Contract Products.

The screenshot displays the EQR web submission interface. At the top right, the user is identified as 'User: renee.ng@ferc.gov' with a login date of '03, Jul-Sep 2013'. The navigation bar includes 'Data', 'Buyers', and 'Contracts'. Below this, there are dropdown menus for 'Select Contract: ALL', 'Buyer: ALL', and 'Ferc Tariff Reference: ALL'. A table lists contract details with columns for 'Contract Unique ID', 'Buyer', and 'Ferc Tariff Reference'. The selected contract (ID: 1) shows 'Seller Company Name: E-naruto 27 (C003068)', 'Buyer: buyer 1', 'Ferc Tariff Reference: Non Public Utility', and 'Contract Service Agreement ID: 1'. Below the table, the 'Contract Products' tab is active, showing a table with columns: 'Contract Product Unique ID', 'Product Type', 'Product Name', 'Class Name', 'Term Name', and 'Increment Name'. The selected product (ID: 1) has 'Product Type: CB', 'Product Name: CAPACITY', 'Class Name: F', 'Term Name: LT', and 'Increment Name: D'. The 'Contract Product Details' form includes fields for 'Class Name: F', 'Term Name: LT', 'Increment Name: D', 'Increment Peaking Name: FP', 'Product Type Name: CB', 'Product Name: CAPACITY', 'Quantity: 1.0000', 'Units: FLAT RATE', 'Rate: 2.0000', 'Rate Minimum: 4.0000', 'Rate Maximum: 3.0000', 'Rate Description: rate description', 'Rate Units: \$/KW', 'Point of Receipt Specific Location (PORS): DOPD', 'Point of Receipt Balancing Authority (PORBA): HUB', 'Point of Delivery Specific Location (PODSL): AESO', 'Point of Delivery Balancing Authority (PODBA): HUB', 'Begin Date: 2013-07-16T00:00:00', and 'End Date: 2013-07-17T00:00:00'. At the bottom, there are 'Edit', 'Cancel', 'Delete', and 'Reset' buttons, and a 'Submit' button.

Figure 24 – Contract Product Tab

27. Click **Edit** to edit existing data.
28. Click **Delete** to delete selected Contract Products.
29. Click **Save** to save changes.

30. Click the **Transactions** Tab to view Transaction Information.

Transaction Unique ID	Identifier	Product	Term	Quantity	Price	Units	Total Transmission Charge	Transaction Charge	Begin Date	End Date
1	PCG2-BPEC-RTM016764	capacity	lt	\$1.000	\$1.000	\$/MW	\$10.000	\$11.000	2013-05-06T01:00:00	2013-05-13T01:00:00
2	PCG2-BPEC-AHU268	capacity	lt	\$2.000	\$1.000	\$/MW	\$10.000	\$12.000	2013-05-07T01:00:00	2013-05-14T01:00:00

Jump to Page:

Transaction Details

Transaction Unique Identifier: *

Begin Date: *

End Date: *

Trade Date: *

Exchange/Brokerage Service: *

Type of Rate: *

Time Zone: *

Point of Delivery Balancing Authority (PODBA): *

Location (PODSL): *

Class Name: *

Term Name: *

Increment Name: *

Increment Peaking Name: *

Product Name: *

Transaction Quantity: *

Price: *

Rate Units: *

Standardized Quantity:

Standardized Price:

Total Transmission Charge: *

Total Transaction Charge: *

Figure 25 – Transactions Tab

31. Click **Add** to add additional Transactions. The fields will now be enabled.

IMPORTANT: Every field containing an asterisk must be reported as required in Data Dictionary.

32. Click **Submit** to send the current EQR data for filing. The following screen displays.

Confirmation

This EQR Filing has been sent to FERC.

Note:

Check your email. After submitting a filing, the data will be locked until the filing is validated. The validation process will send out an email notification which contains the details of the outcome of the validation. If the validation is not successful, the data will be unlocked to allow correction and can be resubmitted.

[Return to Home page](#)

Version 1.2

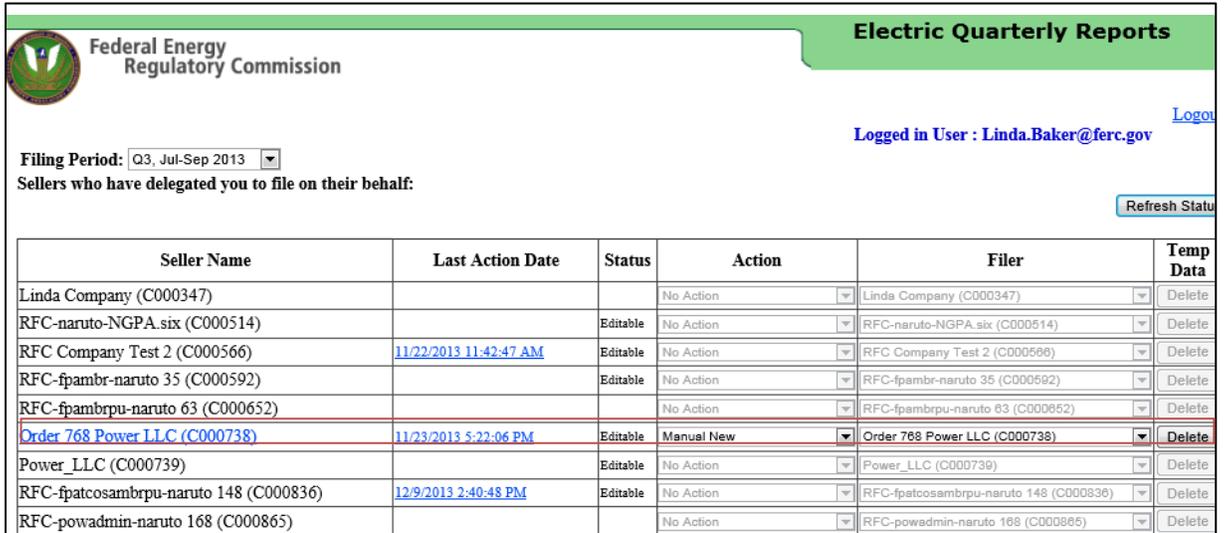
Figure 26 – Confirmation Screen

EQR Filing Steps “Manual New” Action

This action displays new data entry screens and allows the user to enter data manually. The minimum required data is the Seller Identification file. If applicable, the user must also report Contract, Transaction, and Index Reporting files.

To create a new EQR filing, the user must perform the following steps:

1. Select the **Manual New** action from the drop-down menu in the Action column of the associated seller.

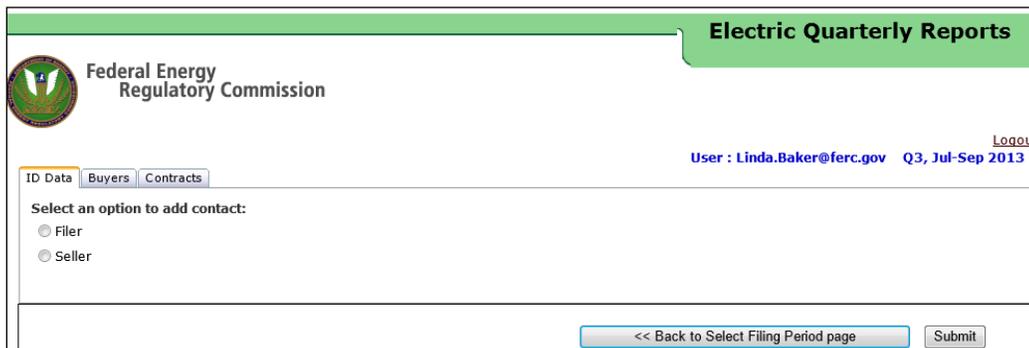


The screenshot shows the 'Electric Quarterly Reports' page for the Federal Energy Regulatory Commission. The user is logged in as Linda.Baker@ferc.gov. The filing period is Q3, Jul-Sep 2013. Below the header, there is a table listing sellers who have delegated the user to file on their behalf. The table has columns for Seller Name, Last Action Date, Status, Action, Filer, and Temp Data. The 'Order 768 Power LLC (C000738)' row is highlighted in red, and the 'Manual New' action is selected in the Action column.

Seller Name	Last Action Date	Status	Action	Filer	Temp Data
Linda Company (C000347)			No Action	Linda Company (C000347)	Delete
RFC-naruto-NGPA.six (C000514)		Editable	No Action	RFC-naruto-NGPA.six (C000514)	Delete
RFC Company Test 2 (C000566)	11/22/2013 11:42:47 AM	Editable	No Action	RFC Company Test 2 (C000566)	Delete
RFC-fpambr-naruto 35 (C000592)		Editable	No Action	RFC-fpambr-naruto 35 (C000592)	Delete
RFC-fpambrpu-naruto 63 (C000652)			No Action	RFC-fpambrpu-naruto 63 (C000652)	Delete
Order 768 Power LLC (C000738)	11/23/2013 5:22:06 PM	Editable	Manual New	Order 768 Power LLC (C000738)	Delete
Power_LLC (C000739)		Editable	No Action	Power_LLC (C000739)	Delete
RFC-fpatcosambrpu-naruto 148 (C000836)	12/9/2013 2:40:48 PM	Editable	No Action	RFC-fpatcosambrpu-naruto 148 (C000836)	Delete
RFC-powadmin-naruto 168 (C000865)			No Action	RFC-powadmin-naruto 168 (C000865)	Delete

Figure 27 – Manual New Action

2. Click the enabled Seller name link as shown in Figure 27. The ID Data Screen displays as shown in the example below.



The screenshot shows the 'ID Data' tab in the 'Electric Quarterly Reports' interface. The user is logged in as Linda.Baker@ferc.gov for the filing period Q3, Jul-Sep 2013. The 'ID Data' tab is selected, and there are sub-tabs for 'Buyers' and 'Contracts'. Below the tabs, there is a section titled 'Select an option to add contact:' with two radio buttons: 'Filer' and 'Seller'. At the bottom of the page, there are two buttons: '<< Back to Select Filing Period page' and 'Submit'.

Figure 28 – ID Data Tab

3. Click **Filer** to select and/or assign a Contact.

Federal Energy Regulatory Commission **Electric Quarterly Reports**

User : [Linda.Baker@ferc.gov](#) Q2, Apr-Jun 2010 [Logout](#)

ID Data **Buyers** Contracts

Select an option to add contact:

Filer
 Seller

Assigned Contact(s) for Order 768 Power LLC:

Email	Name	Program	Phone	Remove
Linda.Baker@ferc.gov	Linda C. Baker		202-502-8411	✖

Contact Name and Email*

FERC, FERCTest2 --- ferctest2@gmail.com

*If a contact is not on the select list you can go to Company Registration to add the contact as a company representative. Once added as a company representative, the contact will be available on the list.

Filer Contact Details:

Required fields are marked with *

Display Name: FERCTest2 FERC Assign Contact

Email: * ferctest2@gmail.com

Name Prefix: Mr.

First Name: * FERCTest2

Middle Initial:

Last Name: * FERC

Name Suffix:

Title: Tester

Street Address: * 888 1st street NE

City: * Washington

State: * DISTRICT OF COLUMBIA

Zip Code: * 20002

Country: UNITED STATES

Phone: * 202-502-6215 i.e. 555-555-5555 or 011-52-555-555-5555

Figure 29 – Filer Contact Assigned

4. Select the **Contact Name and Email** drop down to select an additional Contact.
5. Click **Assign Contact**.

Federal Energy Regulatory Commission **Electric Quarterly Reports**

User : Linda.Baker@ferc.gov Q3, Jul-Sep 2013 [Logout](#)

ID Data [Buyers](#) [Contracts](#)

Select an option to add contact:

Filer
 Seller

Assigned Contact(s) for Order 768 Power LLC:

Email	Name	Program	Phone	Remove
Linda.Baker@ferc.gov	Linda C. Baker		202-502-8411	X

Contact Name and Email*
 FERCTest2 --- ferctest2@gmail.com

*If a contact is not on the select list you can go to Company Registration to add the contact as a company representative. Once added as a company representative, the contact will be available on the list.

Filer Contact Details:

Required fields are marked with *

Display Name: FERCTest2 FERC Assign Contact

Email: * ferctest2@gmail.com

Name Prefix: Mr.

First Name: * FERCTest2

Middle Initial:

Last Name: * FERC

Name Suffix:

Title: Tester

Street Address: * 888 1st street NE

City: * Washington

State: * DISTRICT OF COLUMBIA

Zip Code: * 20002

Country: UNITED STATES

Phone: * 202-502-6215 i.e. 555-555-5555 or 011-52-555-555-5555

Figure 30 – Filer Contacts

6. Click Seller to view the seller identification data or assign at least one seller.

NOTE: The Seller name can be changed by click the **X** and selecting another contact name from the drop down menu.

Federal Energy Regulatory Commission

Electric Quarterly Reports

User : Linda.Baker@ferc.gov Q3, Jul-Sep 2013

ID Data Buyers Contracts

Select an option to add contact:

Filer

Seller

Assigned Contact(s) for Order 768 Power LLC:

Email	Name	Program	Phone	Remove
Linda.Baker@ferc.gov	Linda C. Baker		202-502-8411	

Contact Name and Email*
 Select Contact

*If a contact is not on the select list you can go to Company Registration to add the contact as a company representative. Once added as a company representative, the contact will be available on the list.

Transactions Reported To Index Publisher:

Index Publisher:

<< Back to Select Filing Period page Submit

Test

Figure 31 – Seller Contact Screen

7. Click on the **Buyer** Tab.

Federal Energy Regulatory Commission

Electric Quarterly Reports

User : Linda.Baker@ferc.gov Q3, Jul-Sep 2013

ID Data Buyers Contracts

Buyers:

There are no buyer records Add

Name: _____

Edit Delete Reset

<< Back to Select Filing Period page Submit

Figure 32 – Customer Company Information on Buyer Screen

- 8. Click **Add** to add Customer Company Data.
- 9. Enter Customer Company Name in the available field.

The screenshot shows the 'Electric Quarterly Reports' web application interface. At the top, there is a green header with the text 'Electric Quarterly Reports'. Below this, the Federal Energy Regulatory Commission logo and name are visible. The user is logged in as 'Linda.Baker@ferc.gov' for the period 'Q3, Jul-Sep 2013'. There are three tabs: 'ID Data', 'Buyers', and 'Contracts'. The 'Buyers' tab is active. Below the tabs, there is a section titled 'Buyers:' containing a table with one row: 'Shatter Electric Company'. To the right of this row is an 'Add' button. Below the table, there is a form to add a new buyer with the name 'Shatter Electric Company' and buttons for 'Edit', 'Delete', and 'Reset'. At the bottom of the page, there are two buttons: '<< Back to Select Filing Period page' and 'Submit'.

Figure 33 – Add Customer Company

- 10. Click **Save** to save Customer Company information. The Customer Company name will display in the list of Customer Companies.
- 11. Click the Contracts Tab.

12. Click **Add**.

Federal Energy Regulatory Commission

Electric Quarterly Reports

User : Linda.Baker@ferc.gov Q2, Apr-Jun 2010

Select Contract: ALL Buyer: ALL Ferc Tariff Reference: ALL

Contract Unique ID	Buyer	Ferc Tariff Reference
2	Example Energy Buyer 00022	FERC Electric Revised Rate Schedule No. 114
4	Example Energy Buyer 00020	FERC Electric 1st Revised Rate Schedule No. 77
6	Example Energy Buyer 00045	FERC Electric Tariff 1st Revised Volume No. 12
7	Example Energy Buyer 00044	FERC Electric Rate Schedule 1st Revised No. 116
9	Example Energy Buyer 00048	FERC Electric Rate Schedule No. 91
10	Example Energy Buyer 00070	FERC Electric Rate Schedule No. 88
13	Example Energy Buyer 00090	FERC Electric Rate Schedule No. 145
14	Example Energy Buyer 00093	FERC Electric Rate Schedule No. 115, 1st-2nd Revised No. 213
15	Example Energy Buyer 00095	FERC Electric Rate Schedule No. 227
27	Example Energy Buyer 00081	FERC Electric Tariff Volume No. 5

1 2 3 4 5 6 7 8 9 10

Seller Company Name: Order 768 Power LLC Customer Company Name: Example Energy Buyer 00022

Ferc Tariff Reference: FERC Electric Revised Rate Schedule No. 114 Contract Service Agreement ID: 257756

Contract Execution Date: 1987-12-21 Contract Termination Date: 2015-07-01

Contract Details | Contract Products | Transactions

Add

Seller Company Name: Order 768 Power LLC

Customer Company Name: Example Energy Buyer 00022

Contract Affiliate

Ferc Tariff Reference: FERC Electric Revised Rate Schedule No. 114 NPU?

Contract Service Agreement ID: 257756

Contract Execution Date: 1987-12-21

Commencement Date of Contract Terms: 1988-04-01

Contract Termination Date: 2015-07-01

Actual Termination Date:

Extension Provision Description: None

Note:

Edit Cancel Delete Reset

<< Back to Select Filing Period page Submit

Figure 34 – Contracts Tab

13. Enter data in the Contract Details Tab consistent with the **Data Dictionary**: <http://www.ferc.gov/docs-filing/eqr/order770/data-dictionary.pdf> and **Validation Rules**: http://www.ferc.gov/docs-filing/eqr/order768/validation_rules.pdf

IMPORTANT: The dates within the Contracts Details, Contracts Products, and Transactions must coincide with the initial filing period selected.

The screenshot displays the 'Electric Quarterly Reports' interface for the Federal Energy Regulatory Commission. It includes a navigation bar with 'ID Data', 'Buyers', and 'Contracts' tabs. A table lists contract details with columns for 'Contract Unique ID', 'Buyer', and 'Ferc Tariff Reference'. Below the table is a form for editing a contract, with fields for 'Seller Company Name', 'Customer Company Name', 'Ferc Tariff Reference', 'Contract Service Agreement ID', 'Contract Execution Date', 'Commencement Date of Contract', 'Contract Termination Date', 'Actual Termination Date', 'Extension Provision Description', and 'Note'. The form includes 'Add', 'Edit', 'Cancel', 'Delete', and 'Reset' buttons.

Contract Unique ID	Buyer	Ferc Tariff Reference
1	buyer 1	Non Public Utility

Contract Details Form:

Seller Company Name: E-naruto 27 (C003068)
 Customer Company Name: buyer 1
 Contract Affiliate
 Ferc Tariff Reference: Non Public Utility NPU?
 Contract Service Agreement ID: 1
 Contract Execution Date: 2013-07-01
 Commencement Date of Contract: 2013-07-02
 Contract Termination Date: 2013-07-30
 Actual Termination Date: 2013-07-31
 Extension Provision Description: test
 Note:

Figure 35 – Contracts Details Screen

14. Click **Save**. The data entered will display in the top section of the contracts screen as shown below.

15. Click the Contract Products Tab.

Contract Details | **Contract Products** | Transactions

There are no contract products for this contract Add

Contract Product Details

Class Name: Term Name:
 Increment Name: Increment Peaking Name:
 Product Type Name: Product Name:
 Quantity: Units:
 Rate: Rate Minimum:
 Rate Maximum: Rate Description:
 Rate Units: Point of Receipt Balancing Authority (PORBA):
 Point of Receipt Specific Location (PORSL): Point of Delivery Balancing Authority (PODBA):
 Point of Delivery Specific Location (PODSL):
 Begin Date: End Date:

Edit Cancel Delete Reset

<< Back to Select Filing Period page Submit

Figure 36 – Contracts Products Fields

16. Click **Add** to enable data input. The drop down menu appears after **Add** is selected.

User : renee.ng@ferc.gov Q3, Jul-Sep 2013 [Logout](#)

Data | Buyers | **Contracts**

Select Contract: ALL Buyer: ALL Ferc Tariff Reference: ALL

Contract Unique ID	Buyer	Ferc Tariff Reference
1	buyer 1	Non Public Utility

Seller Company Name: E-naruto 27 (C003068) Customer Company Name: buyer 1
 Ferc Tariff Reference: Non Public Utility Contract Service Agreement ID: 1
 Contract Execution Date: 2013-07-01 Contract Termination Date: 2013-07-30

Contract Details | **Contract Products** | Transactions

Contract Product Unique ID	Product Type	Product Name	Class Name	Term Name	Increment Name
1	CB	CAPACITY	F	LT	D

Add

Contract Product Details

Class Name: F Term Name: LT
 Increment Name: D Increment Peaking Name: FP
 Product Type Name: CB Product Name: CAPACITY
 Quantity: 1.0000 Units: FLAT RATE
 Rate: 2.0000 Rate Minimum: 4.0000
 Rate Maximum: 3.0000 Rate Description: rate description
 Rate Units: \$/KW Point of Receipt Balancing Authority (PORBA): HUB
 Point of Receipt Specific Location (PORSL): DOPD Point of Delivery Balancing Authority (PODBA): HUB
 Point of Delivery Specific Location (PODSL): AESO
 Begin Date: 2013-07-16T00:00:00 End Date: 2013-07-17T00:00:00

Edit Cancel Delete Reset

<< Back to Select Filing Period page Submit

Figure 37 – Contracts Products Data

- Click **Save** to save the new Contract Products data. The new data record will display in the Contracts Product screen.

Product Type	Product Name	Class Name	Term Name	Increment Name
CB	CAPACITY	F	LT	D

Figure 38 – Contract Product Data

- Click the **Transactions** Tab to display the screen below.
- Click **Add** to enable the fields.
- Enter the information in the Transaction Details Tab as required and defined by the Data Dictionary.

Figure 39 – Transactions Screen

- Click **Save**. The Transaction displays in the Transactions Screen.

Transaction Unique ID	Product	Term	Quantity	Price	Units	Total Transmission Charge	Transaction Charge	Begin Date	End Date
1	BOOKED OUT POWER	LT	56565	\$5,567,567.000	\$/KW	\$5,675,675.560	\$2,342,342.340	2013-07-18T00:00:00	2013-07-26T00:00:00

Figure 40 – Transactions Data

22. Click **Submit** to send the data to FERC for Filing. The following screen will display.

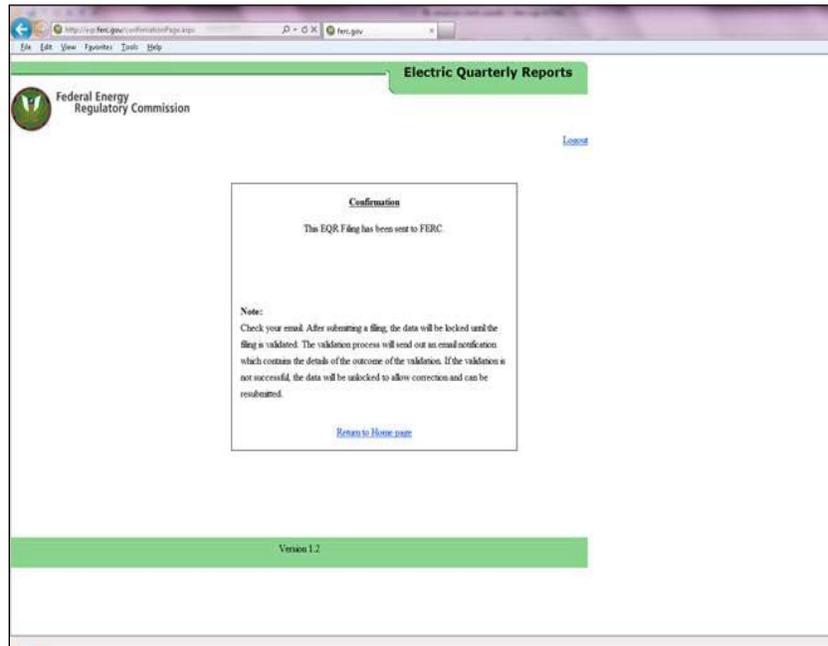


Figure 41 – Confirmation Screen

III. Data Review and Verification in the Web Interface

After the data are uploaded or manual entered or edited, the system will display the available Tabs and Fields. Although this was previously highlighted in the Manual Actions above, we will review the information in more detail below.

From the main Web Interface screen after login, click on the enabled Seller Name to open the ID Data tab.

Seller Name	Last Action Date	Status	Action	Filer
Linda Company (C000347)		No Action		Linda Company (C000347)
RFC-naruto-NGPA six (C000514)		No Action		RFC-naruto-NGPA six (C000514)
DF-naruto 16 (C000531)		No Action		DF-naruto 16 (C000531)
RFC Company Test 2 (C000566)		No Action		RFC Company Test 2 (C000566)
RFC-fpambapu-naruto 63 (C000652)		No Action		RFC-fpambapu-naruto 63 (C000652)
Order 768 Power LLC (C000738)		Editable	CSV New	Order 768 Power LLC (C000738)
Power, LLC (C000739)		No Action		Power, LLC (C000739)
Linda Baker Test Company (D000552)		No Action		Linda Baker Test Company (D000552)
DFC Test Company 12 (D000736)		No Action		DFC Test Company 12 (D000736)

Figure 42 – Seller Screen

ID Data Tab

This is the initial screen that will display after the enabled Seller link is selected.

Electric Quarterly Reports

Q1, Jan-Mar 2013

Logout

ID Data Buyers Contracts

Select an option to add contact:

Filer

Seller

<< Back to Select Filing Period page Submit

Figure 43 – ID Data Tab

Filer Radio Button

1. Click **Filer**. The Filer Screen displays as shown below.

Federal Energy Regulatory Commission

Electric Quarterly Reports

User : Linda.Baker@ferc.gov Q2, Apr-Jun 2013

Data Buyers Contracts

Select an option to add contact:
 Filer
 Seller

Assigned Contact(s) for Order 768 Power LLC (C000738):

Email	Name	Program	Phone	
JohnDoeFiler@Filer768power.com	John Doe Filer	Business Manager	(202) 999-9999	✖

Contact Name and Email*
 FER, FERCTest2 --- ferctest2@gmail.com

If a contact is not on the select list you can go to Company Registration to add the contact as a company representative. Once added as a company representative, the contact will be available on the list.

Filer Contact Details:

Required fields are marked with *

Display Name: FERCTest2 FERC Assign Contact

Email: * ferctest2@gmail.com

Name Prefix: Mr.

First Name: * FERCTest2

Middle Initial:

Last Name: * FERC

Name Suffix:

Title: Tester

Street Address: * 888 1st street NE

City: * Washington

State: * DISTRICT OF COLUMBIA

Zip Code: * 20002

Country: UNITED STATES

Phone: * 202-502-6215 i.e. 555-555-5555 or 011-52-555-555-5555

<< Back to Select Filing Period page Submit

Figure 44 – Filer Contact Screen

2. Select a Contact name from the drop down to view applicable contact information.

Federal Energy Regulatory Commission

Electric Quarterly Reports

User : Linda.Baker@ferc.gov Q3, Jul-Sep 2013 Logout

ID Data Buyers Contracts

Select an option to add contact:

Filer

Seller

Assigned Contact(s) for Order 768 Power LLC:

Email	Name	Program	Phone	Remove
Linda.Baker@ferc.gov	Linda C. Baker		202-502-8411	X

Contact Name and Email*

FERC, FERCTest2 --- ferctest2@gmail.com

*If a contact is not on the select list you can go to Company Registration to add the contact as a company representative. Once added as a company representative, the contact will be available on the list.

Filer Contact Details:

Required fields are marked with *

Display Name: FERCTest2 FERC Assign Contact

Email: * ferctest2@gmail.com

Name Prefix: Mr.

First Name: * FERCTest2

Middle Initial:

Last Name: * FERC

Name Suffix:

Title: Tester

Street Address: * 888 1st street NE

City: * Washington

State: * DISTRICT OF COLUMBIA

Zip Code: * 20002

Country: UNITED STATES

Phone: * 202-502-6215 i.e. 555-555-5555 or 011-52-555-555-5555

Figure 45 – Select a Contact Name

3. Click **Assign Contact** to assign additional contacts to the particular EQR Filing.

NOTE: The original contact information is populated from the Company Registration system. In order to modify the existing EQR contacts, the user should first edit the information in the Company Registration system.

4. Click the red **X** in the grid to remove the contact from the list.
5. Click **Seller**. The screen associated with the Seller contains the transaction field at the bottom of the page.

Sellers

Each EQR filing must have Seller Contact information associated with contract and transaction data.

Federal Energy Regulatory Commission **Electric Quarterly Reports**

User : Linda.Baker@ferc.gov Q2, Apr-Jun 2013 [Logout](#)

ID Data **Buyers** Contracts

Select an option to add contact:
 Filer
 Seller

Assigned Contact(s) for Order 768 Power LLC (CO00738):

Email	Name	Program	Phone	
JohnDoe@0768power.com	John Doe	Regulatory Analyst	(202) 888-8888	✖

Contact Name and Email*
 FERC, FERCTest2 --- ferctest2@gmail.com

*If a contact is not on the select list you can go to Company Registration to add the contact as a company representative. Once added as a company representative, the contact will be available on the list.

Seller Contact Details:

Required fields are marked with *

Display Name: FERCTest2 FERC Assign Contact

Email: * ferctest2@gmail.com

Name Prefix: Mr.

First Name: * FERCTest2

Middle Initial:

Last Name: * FERC

Name Suffix:

Title: Tester

Street Address: * 888 1st street NE

City: * Washington

State: * DISTRICT OF COLUMBIA

Zip Code: * 20002

Country: UNITED STATES

Phone: * 202-502-6215 i.e. 555-555-5555 or 011-52-555-555-5555

Transactions Reported To Index Publisher:

Index Publisher:

Index Price Publisher(s) To Which Sales Transactions Have Been Reported	Transactions Reported
EIG	Next day physical energy
IP	Balance of month physical energy
AM	Next day physical energy

Save Add

<< Back to Select Filing Period page Submit

Figure 46 – Seller Contact Screen

1. Select a Contact name from the drop down menu to display the contact information.

NOTE: Only one contact can be associated with a Seller. However, the default contract can be deleted by clicking the red **X** and replaced with a new contact from the list of available names in the drop down menu.

Figure 47 – Seller Contact Name Selected

View the **Index Price Publisher** Information in the **Transactions Reported to the Index Publisher** (Data Dictionary Field 13) section of the screen.

2. Click **Add** to add additional transactions reported to the Index Publisher.

Index Price Publisher(s) To Which Sales Transactions Have Been Reported	Transactions Reported
Energy Intelligence Group, Inc. EIG	* Next day physical energy
Bloomberg B	* Balance of month physical energy
Please select	*

Figure 48 – Transaction Fields

3. Click **Save** to save the information.

Customer Company Information on the Buyer Tab

1. Click the Buyer Tab to view the Customer Company Names (Data Dictionary Field 17).

The screenshot shows the 'Buyers' tab in the 'Electric Quarterly Reports' application. The table lists the following customer company names:

Company Name
Example Energy Buyer 00022
Example Energy Buyer 00020
Example Energy Buyer 00043
Example Energy Buyer 00044
Example Energy Buyer 00068
Example Energy Buyer 00070
Example Energy Buyer 00090
Example Energy Buyer 00093
Example Energy Buyer 00095
Example Energy Buyer 00081
Example Energy Buyer 00007
Example Energy Buyer 00058
Example Energy Buyer 00077
Example Energy Buyer 00023
Example Energy Buyer 00069
Example Energy Buyer 00028
Example Energy Buyer 00027
Example Energy Buyer 00024
Example Energy Buyer 00078
Example Energy Buyer 00013

Figure 49 – Customer Company Screen

The information displayed lists all Customer Companies populated from the CSV File or manual entries for that particular Seller during the relevant EQR Filing Period.

2. Click **Edit** to edit any existing Customer Company information.
3. Click **Delete** to delete a selected Customer Company from the list.
4. Click **Add** to add an additional Customer Company.
5. Enter the new Customer Company name in the field.

The screenshot shows the 'Customer Company Addition' form. The 'Name' field contains the text 'New Seller Energy Buyer Company'. Below the field are the 'Save', 'Delete', and 'Reset' buttons.

Figure 50 – Customer Company Addition

6. Click **Save**.

The new Customer Company information will display at the end of the Customer Company list as shown below.

Example Energy Buyer 00067
Example Energy Buyer 00067
Example Energy Buyer 00039
Example Energy Buyer 00064
New Seller Energy Buyer Company

2 3 4 5

Figure 51 -New Customer Company Added

Contracts Tab

1. Click the Contracts tab to view the contracts screen as shown below.

Federal Energy Regulatory Commission

Electric Quarterly Reports

User : Linda.Baker@ferc.gov Q2, Apr-Jun 2010

Logou

ID Date Buyers Contracts

Select Contract: ALL Buyer: ALL Ferc Tariff Reference: ALL

Contract Unique ID	Buyer	Ferc Tariff Reference
2	Example Energy Buyer 00022	FERC Electric Revised Rate Schedule No. 114
4	Example Energy Buyer 00020	FERC Electric 1st Revised Rate Schedule No. 77
6	Example Energy Buyer 00043	FERC Electric Tariff 1st Revised Volume No. 12
7	Example Energy Buyer 00044	FERC Electric Rate Schedule 3rd Revised No. 116
9	Example Energy Buyer 00068	FERC Electric Rate Schedule No. 91
10	Example Energy Buyer 00070	FERC Electric Rate Schedule No. 88
13	Example Energy Buyer 00090	FERC Electric Rate Schedule No. 145
14	Example Energy Buyer 00093	FERC Electric Rate Schedule No. 115,Sub 2nd Revised No. 213
15	Example Energy Buyer 00095	FERC Electric Rate Schedule No. 227
27	Example Energy Buyer 00081	FERC Electric Tariff Volume No. 5

1 2 3 4 5 6 7 8 9 10

Seller Company Name: Order 768 Power LLC Customer Company Name: Example Energy Buyer 00022

Ferc Tariff Reference: FERC Electric Revised Rate Schedule No. 114 Contract Service Agreement ID: 257756

Contract Execution Date: 1987-12-21 Contract Termination Date: 2015-07-01

Contract Details | Contract Products | Transactions

Add

Seller Company Name: Order 768 Power LLC

Customer Company Name: Example Energy Buyer 00022

Contract Affiliate

Ferc Tariff Reference: FERC Electric Revised Rate Schedule No. 114 NPU?

Contract Service Agreement Id: 257756

Contract Execution Date: 1987-12-21

Commencement Date of Contract Terms: 1988-04-01

Contract Termination Date: 2015-07-01

Actual Termination Date:

Extension Provision Description: None

Note:

Edit Cancel Delete Reset

<< Back to Select Filing Period page Submit

Figure 52 – Contracts Lists

NOTE: The Contract Unique ID (Data Dictionary Field 15) should begin with the letter C. The Contract Unique ID matches the contract product to the related contract.

2. Select the Contract drop down menu to display all or specific contracts.

3. Select a Customer Company from the Buyer drop down menu to view contracts with a given Customer.

The screenshot shows a form with three main sections: 'Select Contract:', 'Buyer:', and 'Tarrif Reference:'. The 'Buyer:' dropdown menu is open, displaying a list of options. The selected option is 'Example Energy Buyer 00020'. Below the dropdown is a table with columns: Contract UID, Buyer, Ferc Tariff Reference, and Service Agreement ID. The table contains one row with values: 4, Example Energy Buyer 00020, FERC Electric 1st Revised Rate Schedule No. 77, and 253897. At the bottom, there are text input fields for 'Seller Company Name' (Smith Electric and Hydro Solar Shop) and 'Customer Company Name' (Example Energy Buyer 00020).

Figure 53 – Customer Company Drop Down Menu

4. Select a FERC Tariff reference (Data Dictionary Field 19) from the drop down menu to view the referenced information.

The screenshot shows a dropdown menu titled 'Ferc Tarrif Reference:'. The menu is open, showing a list of options. The 'ALL' option is highlighted. The list includes various FERC tariff references such as 'FERC Electric Revised Rate Schedule No. 114', 'FERC Electric 1st Revised Rate Schedule No. 77', 'FERC Electric Tariff 1st Revised Volume No. 12', and many others.

Figure 54 –Tariff Reference Listing

The screenshot shows the 'Contracts' tab selected in the interface. The 'Buyer:' dropdown is set to 'Example Energy Buyer 00020' and the 'Tarrif Reference:' dropdown is set to 'FERC Electric 1st Revised Rate Schedule No. 77'. Below the dropdowns is a table with columns: Contract UID, Buyer, Ferc Tariff Reference, and Service Agreement ID. The table contains one row with values: 4, Example Energy Buyer 00020, FERC Electric 1st Revised Rate Schedule No. 77, and 253897. At the bottom, there are text input fields for 'Seller Company Name' (Smith Electric and Hydro Solar Shop), 'Customer Company Name' (Example Energy Buyer 00020), 'Ferc Tariff Reference' (FERC Electric 1st Revised Rate Schedule No. 77), 'Contract Service Agreement ID' (253897), 'Contract Execution Date' (2013-04-01), and 'Contract Termination Date'.

Figure 55 - Screen showing Contract-Customer Company and Tariff Reference Selected

NOTE: A non-public utility without a FERC Tariff Reference should enter “NPU” in the associated field.

Contracts Details Tab

This section of the Contracts Screen provides information about the relevant agreement.

Contract UID	Buyer
2	
4	

Figure 56 - Contracts Selected

1. Click **Add** to add additional Contract Details Entries.

Figure 57 – Contract Details Enabled Fields

2. Add mandatory data in the fields identified with an asterisk.
3. Click **Save** to save the new Contract Details Information.
4. Click **Delete** to delete the selected Contract Details Information.
5. Click **Edit** to make changes in the contract details.
6. Click **Save** to save changes to the information in these screens. The **Save** option is enabled after the user completes data edits.

Figure 58 – Contracts Details Screen

Contract Products Tab

All contracts must include at least one contract product.

Figure 59 – Contract Product Screen

1. Click **Add** to add additional contract products.
2. Click **Edit** to make changes to a selected Contract Product.
3. Click **Delete** to delete the Contract Product Details selected.
4. Click **Save** to save the changes.

Transactions Tab

The Transactions Tab lists the transactions from the selected Contract.

1. Click **Add** to add additional transaction information in the fields provided. All fields with asterisks are mandatory.
2. Click **Edit** to edit the selected transaction.
3. Click **Delete** to delete the selected transaction.
4. Click **Save** to save the new transaction or changes to the existing transaction.

Transaction Unique ID	Product	Term	Quantity	Price	Units	Total Transmission Charge	Transaction Charge	Begin Date	End Date
36	ENERGY IMBALANCE	ST	0.1339	(\$26.512)	\$/MWH	\$0.000	(\$3.550)	2010-04-01T23:00:00	2010-04-01T23:10:00
37	ENERGY IMBALANCE	ST	0.0449	(\$33.853)	\$/MWH	\$0.000	(\$1.520)	2010-04-01T23:00:00	2010-04-01T23:10:00
38	ENERGY IMBALANCE	ST	0.0072	(\$36.111)	\$/MWH	\$0.000	(\$0.260)	2010-04-01T23:00:00	2010-04-01T23:10:00
39	ENERGY IMBALANCE	ST	0.8630	(\$35.435)	\$/MWH	\$0.000	(\$30.580)	2010-04-01T23:00:00	2010-04-01T23:10:00
40	ENERGY IMBALANCE	ST	0.0687	(\$35.517)	\$/MWH	\$0.000	(\$2.440)	2010-04-01T23:00:00	2010-04-01T23:10:00
41	ENERGY IMBALANCE	ST	0.0101	(\$35.644)	\$/MWH	\$0.000	(\$0.360)	2010-04-01T23:00:00	2010-04-01T23:10:00
42	ENERGY IMBALANCE	ST	0.0195	(\$36.410)	\$/MWH	\$0.000	(\$0.710)	2010-04-01T23:00:00	2010-04-01T23:10:00
43	ENERGY IMBALANCE	ST	0.0319	(\$36.050)	\$/MWH	\$0.000	(\$1.150)	2010-04-01T23:00:00	2010-04-01T23:10:00
44	ENERGY IMBALANCE	ST	0.0204	(\$35.294)	\$/MWH	\$0.000	(\$0.720)	2010-04-01T23:00:00	2010-04-01T23:10:00
45	ENERGY IMBALANCE	ST	0.0625	(\$33.920)	\$/MWH	\$0.000	(\$2.120)	2010-04-01T23:00:00	2010-04-01T23:10:00

Add

Jump to Page:

Transaction Details

Begin Date: 2010-04-01T23:00:00	End Date: 2010-04-01T23:10:00
Trade Date: <input type="text"/>	Exchange/Brokerage Service: <input type="text"/>
Type of Rate: Fixed	Time Zone: PPT
Point of Delivery Balancing Authority (PODBA): CISO	Point of Delivery Specific Location (PODSL): CLAP_BART_BART
Class Name: N/A	Term Name: ST
Increment Name: N/A	Increment Peaking Name: N/A
Product Name: ENERGY IMBALANCE	Transaction Quantity: 0.1339
Price: 265,123.00	Rate Units: \$/MWH
Standardized Quantity: 0.0	Standardized Price: 0.0
Total Transmission Charge: 0.00	Total Transaction Charge: 3.55

Figure 60 – Transaction Details Screen

IV. Submitting the EQR Filing

1. From any of the screens in the previous sections, click **Submit** to send the data to FERC for Filing.

NOTE: If there are errors that will prevent the report to be filed with FERC, these errors will display on the screen below and the confirmation screen will not display.

2. Click **OK** to affirm the decision to send the EQR data.

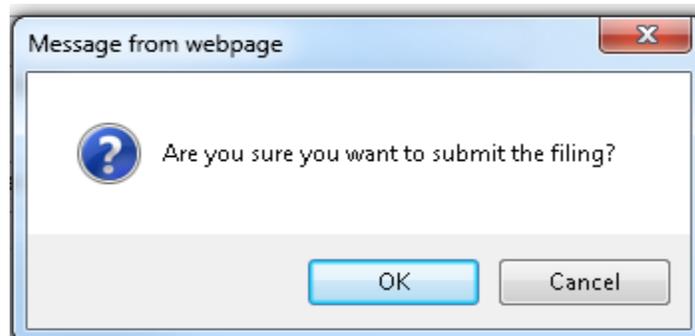


Figure 61 – Confirmation Pop-up

3. The confirmation screen displays.

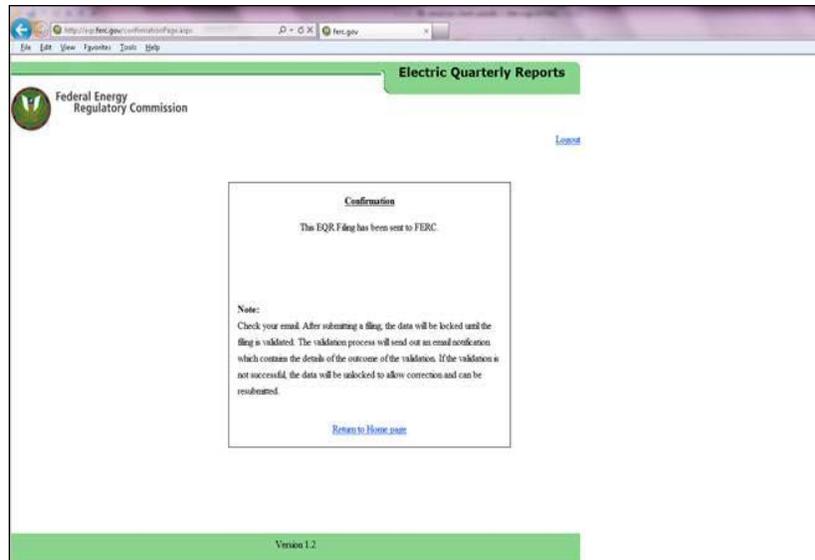


Figure 62 – Confirmation Screen

V. EQR Test Only Option

The Test Only Validation feature allows users to send a file for validation before actually sending data to FERC for filing. In addition, this feature allows users to download data in CSV or XML File after changes are made in the EQR system.

For CSV downloads, the system will reproduce the data under EQR Working Data system into CSV files, compress the data, and then send the zip file back to the user with an option to save or open the file. The CSV files sent back to the user might not exactly match the file that the user originally submitted. The revised files can differ in order and/or some standardized formats.

IMPORTANT: Since the “CSV download” can only return the data from EQR Temporary Working Data system, if the user wishes to obtain data from a previously submitted filing, it is recommended to delete the temporary data first (if any), then use the **Manual Edit** action to get data from EQR filing server into the Temporary Working Data system.

Once data are available in the data system, the user can use the “CSV download” button to download the files.

Accessing the Test Only Option

1. Click the ID Data Tab or any available tab to view the Test Only Option Triangle as shown in the screen below.
2. Click the blue triangle to display the Test Only box.

Filer
 Seller

Assigned Contact(s) for Order 768 Power LLC:

Email	Name	Program	Phone	Remove
Linda.Baker@ferc.gov	Linda C. Baker		202-502-8411	

Contact Name and Email*

FERC, FERCTest2 --- fercctest2@gmail.com

*If a contact is not on the select list you can go to Company Registration to add the contact as a company representative. Once added as a company representative, the contact will be available on the list.

Filer Contact Details:

Required fields are marked with *

Display Name: FERCTest2 FERC Assign Contact
 Email: * fercctest2@gmail.com
 Name Prefix: Mr.
 First Name: * FERCTest2
 Middle Initial:
 Last Name: * FERC
 Name Suffix:
 Title: Tester
 Street Address: * 888 1st street NE
 City: * Washington
 State: * DISTRICT OF COLUMBIA
 Zip Code: * 20002
 Country: UNITED STATES
 Phone: * 202-502-6215 i.e. 555-555-5555 or 011-52-555-555-5555

<< Back to Select Filing Period page Submit
 Test Only Option

Figure 63 – Test Triangle

3. Check the **Test Only Option** box to view the additional menus.

<< Back to Select Filing Period page Submit For Test Download CSV
 Test Only Option

Figure 64 – Test Only Options Selected

- **Submit for Test**-This will allow the user to send this file and view data before validating the EQR.
- **Download CSV**-This will allow the user to view the CSV at any point before or after changes have been made.

Sending Data for Test Only Validation

The "Submit for Test" button allows the user to submit the data for validation in the test only environment before actually sending the data to FERC for filing.

Load the CSV File according to the steps listed in this guide.

1. Click the Submit for Test button.

The screenshot shows a web form for adding a contact. At the top, there are radio buttons for 'Filer' (selected) and 'Seller'. Below this is a table titled 'Assigned Contact(s) for Order 768 Power LLC:' with columns for Email, Name, Program, Phone, and Remove. The table contains one entry: Linda.Baker@ferc.gov, Linda C. Baker, (blank), 202-502-8411, and a red 'x' icon. Below the table is a dropdown menu for 'Contact Name and Email*' with the selected value 'FERC, FERCTest2 --- ferctest2@gmail.com'. A note below the dropdown states: '*If a contact is not on the select list you can go to Company Registration to add the contact as a company representative. Once added as a company representative, the contact will be available on the list.' The main section is 'Filer Contact Details:' with a note 'Required fields are marked with *'. It contains various input fields: Display Name (FERCTest2 FERC), Email (ferctest2@gmail.com), Name Prefix (Mr.), First Name (FERCTest2), Middle Initial (blank), Last Name (FERC), Name Suffix (blank), Title (Tester), Street Address (888 1st street NE), City (Washington), State (DISTRICT OF COLUMBIA), Zip Code (20002), Country (UNITED STATES), and Phone (202-502-6215). There is an 'Assign Contact' button. At the bottom right, there are three buttons: '<< Back to Select Filing Period page', 'Submit For Test' (highlighted with a red box), and 'Download CSV'. A checkbox for 'Test Only Option' is checked at the bottom right.

Figure 65 –Submit For Test

2. Click **OK** to submit the test file.

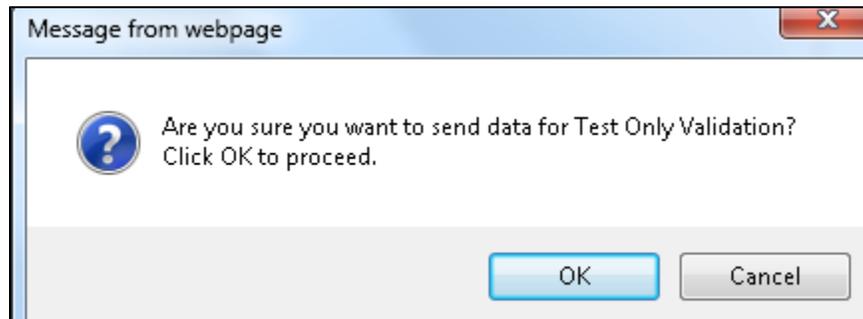


Figure 66 – Confirmation to Submit

3. A confirmation will appear on the screen. In addition, an automated email of receipt will be sent to the person who sent the EQR for Validation.

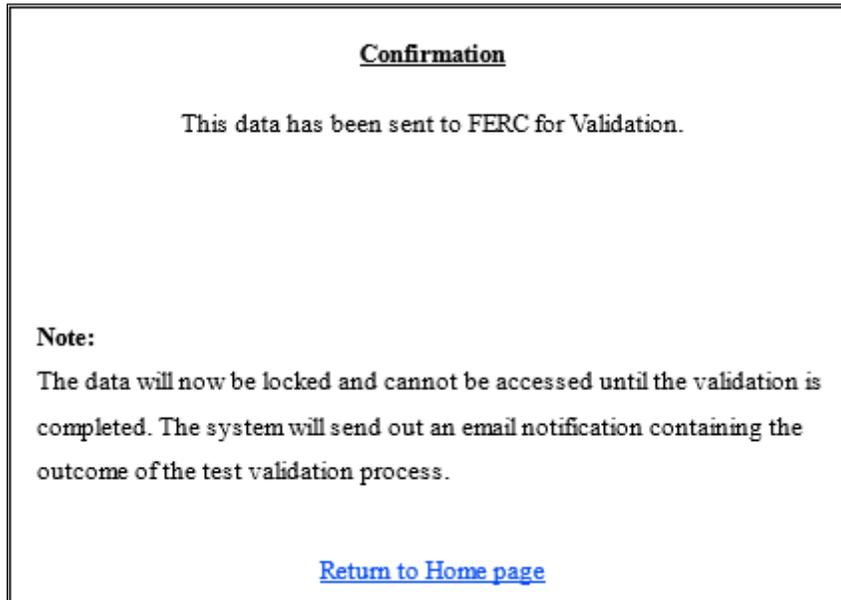


Figure 67 – Confirmation Screen

Test Only-CSV File Download

Load the CSV File according to the steps listed in this guide.

1. Click the ID Data Tab or any available tab to view the Test Only Option Triangle as shown in Figure 63 above.
2. Click the blue triangle to display the Test Only box as shown in Figure 64 above.
3. Click the **Download CSV** button. The following screen displays.



Figure 68 – Confirmation Message

4. Click **OK** to view the unzipped CSV File as shown below.

Name	Type	Compressed size	Password ...	Size
 201309_Order_768_Power_LLC_contracts.CSV	Microsoft Excel Comma S...	1 KB	No	
 201309_Order_768_Power_LLC_ident.CSV	Microsoft Excel Comma S...	1 KB	No	

Figure 69 – CSV Files Displayed

5. Click on each file to view the file contents.

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1	filer_unid	company_name	company_contact_n	contact_ti	contact_ai	contact_city	contact_state	contact_zi	contact_ci	contact_p	contact_e	transactio	filing_quarter		
2	FS1	Order 768 Power LLC	C000738	Linda C. Baker	888 1st St, Washington	NT	T2P 0J1 CA	202-502-8	Linda.Baki	N	201309				
3	FA1	Order 768 Power LLC	C000738	Linda C. Baker	888 1st St, Washington	N/A	20426 GB	202-502-8	Linda.Baki	N	201309				
4															
5															
6															
7															
8															
9															
10															
11															
12															
13															
14															
15															

Figure 70 – Example of CSV Content

Test Only XML Submission Download

This menu option allows the user to view the test file in XML format regardless of the initial file format.

1. Click the Test Only XML Submission Download link as shown below.

FERC Online - Web Applications of the Federal Energy Regulatory Commission

www.ferc.gov

FERC Online TEST

Log In

eRegister

Company Registration

EQR Submission Client Software

Release Notes

Direct XML Submissions

Test Only XML Submissions Download

Web Submission Service Technical Guide

Testing Instructions

EQR Reports

Test only XML Submissions Download

Registered Email Address

Password

Test Only Submissions

EQR Test only submissions

Last Modified: 10/23/13

Figure 71 – Test XML Download Screen

2. Enter email address.
3. Enter password.
4. Click **Test Only** Submissions to view all of the submissions that the user has sent.

IMPORTANT: This Download button will display the file in XML, even if the initial files were submitted as CSV or manual entered.

FERC Online - Web Applications of the Federal Energy Regulatory Commission

www.ferc.gov

FERC Online TEST

Log In

eRegister

Company Registration

EQR Submission Client Software

Release Notes

Test only XML Submissions Download

Registered Email Address

Password

Test Only Submissions

EQR Test only submissions

Submission ID	Filed Date	Email Address	Filer Name	Submission Status	Download
208719	11/20/2013 4:48:19 PM	Linda.Baker@ferc.gov	Linda C. Baker	Final	Download
208716	11/20/2013 3:02:07 PM	Linda.Baker@ferc.gov	Linda C. Baker	Rejected	Download

Figure 72 – File Submission View

5. Click the **Download** link of the XML Submission.
6. Click **Open** to open the file.

Delete Working Data

Once the user logs into the EQR Submission Viewer and accesses the Seller page, the user will see a Temp Data column on the right side of the screen.

Logged in User : Linda.Baker@ferc.gov

Filing Period: Q3, Jul-Sep 2013

Sellers who have delegated you to file on their behalf:

[Refresh Status](#)

Seller Name	Last Action Date	Status	Action	File	Temp Data
Linda Company (C000347)			No Action	Linda Company (C000347)	Delete
RFC-naruto-NGPA six (C000514)		Editable	No Action	RFC-naruto-NGPA six (C000514)	Delete
RFC Company Test 2 (C000566)			No Action	RFC Company Test 2 (C000566)	Delete
RFC-fpambr-naruto 35 (C000592)		Editable	No Action	RFC-fpambr-naruto 35 (C000592)	Delete
RFC-fpambrpu-naruto 63 (C000652)			No Action	RFC-fpambrpu-naruto 63 (C000652)	Delete
Order 768 Power LLC (C000738)	10/7/2013 9:13:14 PM	Editable	No Action	Order 768 Power LLC (C000738)	Delete
Power_LLC (C000739)			No Action	Power_LLC (C000739)	Delete
RFC-powadmin-naruto 168 (C000865)			No Action	RFC-powadmin-naruto 168 (C000865)	Delete
Sweet Water Sausage Electric company (C000877)			No Action	Sweet Water Sausage Electric company (C000877)	Delete
FPA company test 1 (C000890)		Editable	No Action	FPA company test 1 (C000890)	Delete
Oil Company Test 1 (C000893)			No Action	Oil Company Test 1 (C000893)	Delete
Oil Company Test 1 (C000894)	10/30/2013 4:20:14 PM	Editable	No Action	Oil Company Test 1 (C000894)	Delete
Gas Company Test 10 (C000896)		Editable	No Action	Gas Company Test 10 (C000896)	Delete
Gas Company Test 11 (C000897)		Editable	No Action	Gas Company Test 11 (C000897)	Delete
Oil Company Test 12 (C000898)		Editable	No Action	Oil Company Test 12 (C000898)	Delete
Oil Company Test 15 (C000900)	11/12/2013 1:05:10 PM	Editable	No Action	Oil Company Test 15 (C000900)	Delete
Oil Company Test 1 (C000920)		Editable	No Action	Oil Company Test 1 (C000920)	Delete
Oil Company Test 100 (C000921)			No Action	Oil Company Test 100 (C000921)	Delete
Oil Company Test 2 (C000923)			No Action	Oil Company Test 2 (C000923)	Delete
Gas Company Test 2 (C000924)			No Action	Gas Company Test 2 (C000924)	Delete

Figure 76 – Delete Button

The **Delete** button is enabled depending on the status of the Test Filing as indicated in the chart below.

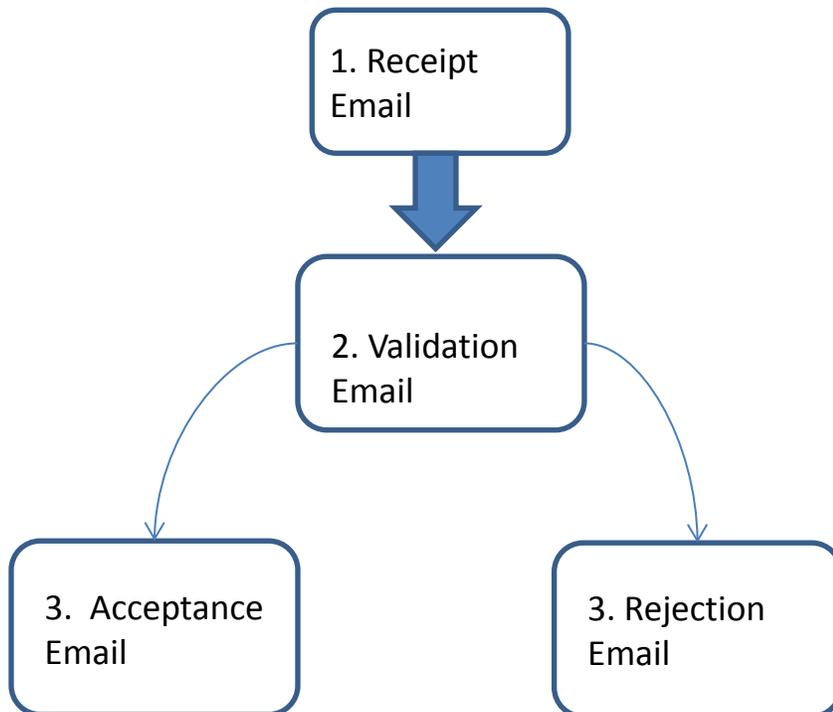
IMPORTANT: This button can only delete test data using the Test Only Features. If the user has submitted the report as a final filing, this button will not be enabled. The user must refile through the steps indicated in this guide.

Scenario	Does Working Data Exist	Filing Exists in EQR DB For same Filing Period	Enable Delete Button	Populate UI From:
1	Yes	No	Yes	Working Data
2	Yes	Yes	Yes	Working Data
3	No	Yes	No	EQR DB

VI. Notifications

There are different emails notifications based on the status of the EQR filing. It is important that the user review the emails for instructions or errors that may require data correction in order for the report to be filed with FERC.

The following diagram displays the three possible email types and the order in which the emails will be received. If the filing submitted is for test then this will be indicated in the email.



FERC Receipt of EQR data

Once data is sent to FERC, an automatic email is sent to the user who clicks the Submit button, but it does not mean that the EQR has been accepted by FERC. Figure 77 shows an example of receipt email.

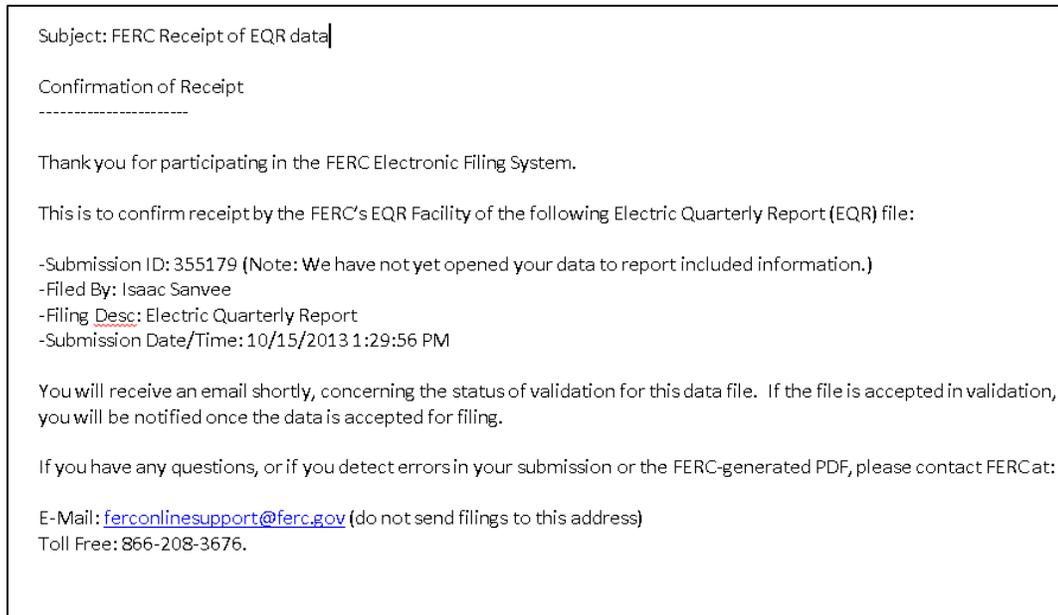


Figure 77 -Receipt Confirmation

FERC Validation Processing

Once data is sent to FERC, an automatic email is sent to the user when the data enters validation. It does not mean that the EQR has been accepted by FERC. If the data is sent for **Test Only Validation**, the email message will differ slightly.

The email will indicate any initial errors or warnings associated with the file. However, an additional email will signal final results. If the file is rejected a separate rejection email is sent to the user. The file will not be considered accepted until a separate acceptance email is sent.

```
Subject: FERC Validation of EQR data: <Seller Company Name><CID><Filing Period>

Confirmation of EQR Validation
-----

Thank you for participating in the FERC Electronic Filing System. The FERC Electric Quarterly Report (EQR) facility has found that the following EQR data is acceptable:

-Submission ID: {1}
-Company Identifier: <CID>
- Company Name: <Seller Company Name>
-Filing Identifier: 2
-Filing Period: <Filing Period>
-Filed By: {2}
-Time file received: {3}
-Time file began processing: {19}
-Time file ended processing: {8}

Although your file passed Validation, following is the list of specific data Warnings that were triggered:

--Warning List – Minor Defects; filing will be accepted for processing if no errors were identified.
No warnings

If you have any questions, please contact FERC at:

E-Mail: ferconlinesupport@ferc.gov (do not send filings to this address)
Toll Free: 866-208-3676.
```

Figure 78 – Validation email

FERC Rejection of EQR Filing

This email is sent to all Filer and Seller Contacts if a Filing is rejected. If this email has been received, please contact FERC Online Support at ferconlinesupport@ferc.gov (Telephone: 202-502-6652; Toll-free: 1-866-208-3676) to report the issue.

Subject: FERC Rejection of EQR data: <Seller Company Name><CID> <Filing Period>

Notice of EQR Validation Rejection

Thank you for participating in the FERC Electronic Filing System. The FERC Electric Quarterly Report (EQR) facility has found that the following EQR data cannot be processed due to errors in validation:

- Submission ID: {1}
- Company Identifier: <CID>
- Company Name: <Seller Company Name>
- Filing Identifier: 2
- Filing Period: <Filing Period>
- Filed By: {2}
- Time file received: {3}
- Time file began processing: {19}
- Time file ended processing: {8}

We have examined the data content of your filing. Following is the list of specific data content defects that were identified. In some cases the list may not be exhaustive based on the type of defect identified. Please see http://www.ferc.gov/docs-filing/eqr/order768/validation_rules.pdf for more information on Validation errors and warnings.

---Error List – Severe defects that result in rejection of the filing.
Subject: Organization(1); Message: F.16.14.2 A Seller Contact is missing in a Seller record. At least one Seller Contact is required.

--Warning List - Minor Defects; filing will be accepted for processing if no errors were identified.
No warnings

You may resend your data once you have made the corrections identified herein.

If you have any questions, please contact FERC at:

E-Mail: ferconlinesupport@ferc.gov (do not send filings to this address)

Figure 79 – Rejection of Filing Confirmation

FERC Acceptance of EQR Filing

This email is sent to all Filer and Seller Contacts once a Filing is Accepted. If this email has not been received, then FERC has not accepted the filing.

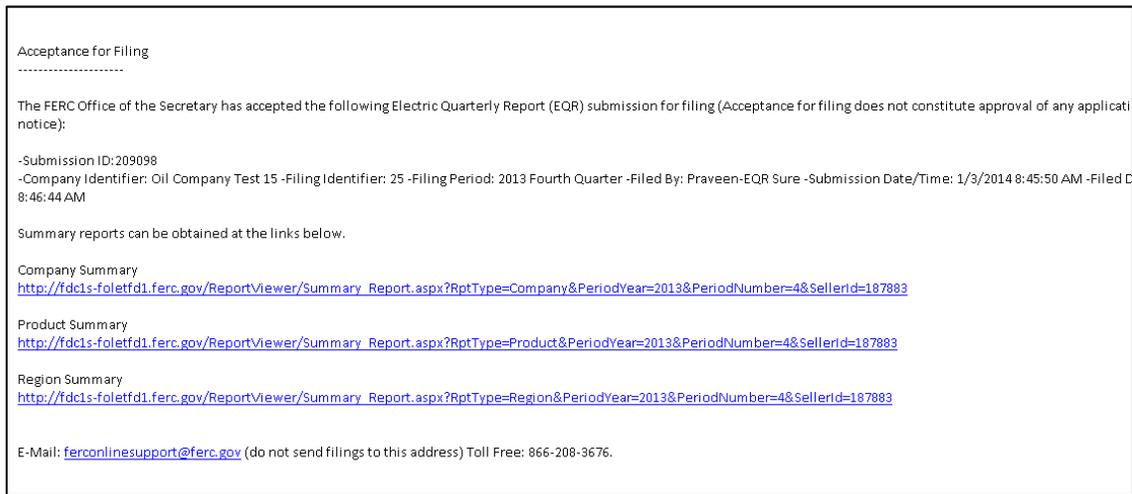


Figure 80 – Acceptance of Filing Confirmation

IMPORTANT: If there are no errors and the acceptance email is not received, please contact FERC Online Support at ferconlinesupport@ferc.gov (Telephone: 202-502-6652; Toll-free: 1-866-208-3676) to report the issue.

VII. Uploading an XML File

In Order 770, the Commission discussed the many XML parser programs (commonly referred to as XML editors) available free on-line that can help you to check whether your XML file is consistent with the EQR XML Schema. The editors will check for data formatting errors. If your file contains business logic errors, a validation email will notify you. You can find some of the EQR XML editors @ http://en.wikipedia.org/wiki/Comparison_of_XML_editors

FERC has released a web service for the outside users to submit the zipped EQR XML files to FERC. To send the EQR filing in XML format, there are two options.

Option-1: Direct XML Upload

This webpage is used to upload an EQR XML to the FERC. The EQR XML must be zipped. The direct xml upload page is as follows. <http://eqrsandbox.ferc.gov/FormsSubmissionWCF.aspx>

1. Enter the eRegistered email address and password to upload the zipped XML to FERC.

Figure 81-Direct XML File Submission

- Click the **Browse** button to locate the file to load.

Name	Size	Item type
2013Q2_C000672new (2).zip	2 KB	Compressed (zipped) Folder
2013Q2_C000672new (2).zip	2 KB	Compressed (zipped) Folder
2013Q2_C000672new.zip	2 KB	Compressed (zipped) Folder
Copy of Ace Federal Invoice Tracking #FERC13-D-0183 8-1-13 - 10-31-...	29 KB	Microsoft Excel Worksheet
Book1.xlsx	9 KB	Microsoft Excel Worksheet
ePortfolio.xls	21 KB	Microsoft Excel 97-2003 Worksheet
EQRVersionsReleaseNotes_2013_Nov06_v1_10.docx	31 KB	Microsoft Word Document
List of Error Messages for CSV Upload and Pre-Validation (akrshr) (2).do...	67 KB	Microsoft Word Document
201207_C003055_test8.zip	3 KB	Compressed (zipped) Folder
Functional Requirements Document (FRD) template.doc	234 KB	Microsoft Word 97 - 2003 Document
201207_C003055_testonly7.zip	3 KB	Compressed (zipped) Folder
201207_C003055_testonly6.zip	3 KB	Compressed (zipped) Folder
201207_C003055_testonly4.zip	3 KB	Compressed (zipped) Folder
201207_C003055_testonly3.zip	3 KB	Compressed (zipped) Folder
201207_C003055_testonly2.zip	3 KB	Compressed (zipped) Folder
201207_C003055_Testonly.zip	3 KB	Compressed (zipped) Folder
HRFORM505A.docx	1,495 KB	Microsoft Word Document
Task 5- Training.docx	131 KB	Microsoft Word Document
OALJDR Mark-Up.docx	106 KB	Microsoft Word Document
EQR User Guide 110713 redline.docx	2,891 KB	Microsoft Word Document
Linda file.notebook	3 KB	NOTEBOOK File
Training Plan_2012.doc	316 KB	Microsoft Word 97 - 2003 Document
ALJDR Requirements.docx	46 KB	Microsoft Word Document
EQR Versions Release Notes (Market Oversight Team 10-23-13)AR_LB.d...	28 KB	Microsoft Word Document
EQR Versions Release Notes (Market Oversight Team 10-23-13)AR_LB.d...	28 KB	Microsoft Word Document

Figure 82 – File Listings to Load XML File

- Click the **Upload** button to upload the zipped XML to FERC.

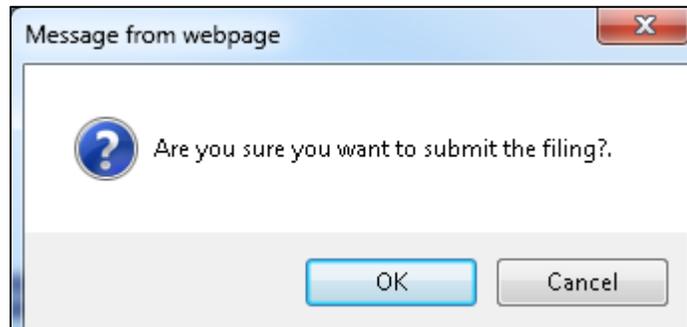


Figure 83 – XML Confirmation Box

- Click **OK** to submit the filing.

5. Upon successful submission, file upload status and FERC EQR submission Id will be displayed in the screen As shown in the figure below.

The screenshot shows the FERC Online web application interface. At the top, it says "FERC Online - Web Applications of the Federal Energy Regulatory Commission" with the URL "www.ferc.gov". A left-hand navigation menu includes links for "FERC Online TEST", "Log In", "eRegister", "Company Registration", "EQR Submission Client Software", "Release Notes", "Direct XML Submissions", "Test Only XML Submissions Download", "Web Submission Service Technical Guide", "Testing Instructions", "Web Interface User's Guide", and "EQR Reports". The main content area is titled "Direct XML Submissions" and contains the following information:

Test Only Option	<input type="checkbox"/>
Registered Email Address	<input type="text" value="linda.baker@ferc.gov"/>
Password	<input type="password"/>
EQR XML File (Zipped)	<input type="text"/> <input type="button" value="Browse..."/>
File Upload Status	<input type="button" value="Upload"/>
Submission ID	Succeeded 357479

Figure 79 – XML Upload Status Screen

Once the XML file has been uploaded and sent for validation, users will receive notifications detailed above.

Option-2: Web Service

FERC has released a web service for the users to submit EQL files. The WSDL location for the service is as follows, <https://formsubmissionservice.ferc.gov/>.

The service features two interface methods, Hearbeat() and SubmitFile() and submitFileValidateOnly () is https enabled. The client software can use the above link to access the service and generate a proxy class. The example below is written in c#.

```
<?xml version="1.0" encoding="utf-8" ?>
- <wsi:definitions name="FormsSubmissionService" targetNamespace="http://tempuri.org/" xmlns:wsi="http://schemas.xmlsoap.org/wsdl/"
  xmlns:wsa="http://schemas.xmlsoap.org/ws/2004/09/soap" xmlns:wsp="http://www.w3.org/2005/09/addressing" xmlns:tns="http://tempuri.org/"
  xmlns:soap12="http://schemas.xmlsoap.org/wsdl/soap12/" xmlns:xsi="http://docs.oasis-open.org/ws/2004/01/oasis-200401-ws-security-utility-1.0.xsd"
  xmlns:wsu="http://schemas.xmlsoap.org/ws/2004/09/policy" xmlns:wsap="http://schemas.xmlsoap.org/ws/2004/08/addressing/policy"
  xmlns:msc="http://schemas.microsoft.com/ws/2005/12/wsdl/contract" xmlns:wsa="http://schemas.xmlsoap.org/ws/2004/08/addressing"
  xmlns:wsm="http://www.w3.org/2007/05/addressing/metadata" xmlns:wsam="http://www.w3.org/2006/05/addressing/wsdl" xmlns:soap="http://schemas.xmlsoap.org/wsdl/soap/"
  xmlns:td="http://ferc.gov/forms" xmlns:xsd="http://www.w3.org/2001/XMLSchema" xmlns:soapenc="http://schemas.xmlsoap.org/soap/encoding"/>
- <wsi:import namespace="http://ferc.gov/forms" location="http://formsubmissionservice.ferc.gov/FormsSubmissionService.svc?wsdl:wsdl0"/>
- <wsi:types />
- <wsi:binding name="BasicHttpBinding_IFormsSubmissionService" type="tns:IFormsSubmissionService">
  <soap:binding transport="http://schemas.xmlsoap.org/soap/http" />
- <wsi:operation name="HeartBeat">
  <soap:operation soapAction="http://ferc.gov/forms/IFormsSubmissionService/HeartBeat" style="document" />
  <wsi:input>
    <soap:body use="literal" />
  </wsi:input>
  <wsi:output>
    <soap:body use="literal" />
  </wsi:output>
  </wsi:operation>
- <wsi:operation name="SubmitFile">
  <soap:operation soapAction="http://ferc.gov/forms/IFormsSubmissionService/SubmitFile" style="document" />
  <wsi:input name="FileMover">
    <soap:header message="tns:FileMover_Headers" part="ShipManifest" use="literal" />
    <soap:body use="literal" />
  </wsi:input>
  <wsi:output name="FileMover">
    <soap:header message="tns:FileMover_Headers" part="ShipManifest" use="literal" />
    <soap:body use="literal" />
  </wsi:output>
  <wsi:fault name="StringFault">
    <soap:fault name="StringFault" use="literal" />
  </wsi:fault>
  </wsi:operation>
- <wsi:operation name="SubmitFileValidateOnly">
  <soap:operation soapAction="http://ferc.gov/forms/IFormsSubmissionService/SubmitFileValidateOnly" style="document" />
  <wsi:input name="FileMover">
    <soap:header message="tns:FileMover_Headers" part="ShipManifest" use="literal" />
    <soap:body use="literal" />
  </wsi:input>
  <wsi:output name="FileMover">
    <soap:header message="tns:FileMover_Headers" part="ShipManifest" use="literal" />
    <soap:body use="literal" />
  </wsi:output>
  <wsi:fault name="StringFault">
    <soap:fault name="StringFault" use="literal" />
  </wsi:fault>
  </wsi:operation>
- <wsi:binding>
- <wsi:service name="FormsSubmissionService">
  <wsi:port name="BasicHttpBinding_IFormsSubmissionService" binding="tns:BasicHttpBinding_IFormsSubmissionService">
    <soap:address location="https://formsubmissionservice.ferc.gov/FormsSubmissionService.svc" />
  </wsi:port>
</wsi:service>
</wsi:definitions>
```

Figure 85 – XML file displayed

XML Data Validation

For XSD validation, FERC is providing two online documents,
http://eqr.ferc.gov/XSD/XmlModelPublic_DataStructure.xsd
http://eqr.ferc.gov/XSD/XmlModelPublic_DataValue.xsd

For validation, reference only http://eqr.ferc.gov/XSD/XmlModelPublic_DataStructure.xsd from code. This file contains an *xs:include* to the second file, http://eqr.ferc.gov/XSD/XmlModelPublic_DataValue.xsd, so both are automatically included in the validation.

The XML data should be validated before uploading to FERC. Two XML samples are hyperlinked below:

1. [Filing Type = New](#)
2. [Filing Type = Replace](#)

Note: The PORSL and PODSL fields were split into two parts PORSL/PORSLHub, and PODSL/PODSLHub because of business rules that could not be used in XSD without splitting. Specifically, if PODBA=HUB, then PODSL must come from Appendix C, but if PODBA is not HUB, then PODSL can be anything. Likewise, if PORBA=HUB, then PORSL must come from Appendix C, but if PORBA is not HUB, then PORSL can be anything.

In order to accommodate the logic in XSD the fields were split into two. If PODBA=HUB, then set PODSLHub from Appendix C and exclude PODSL from the XML, but if PODBA is not HUB, then set PODSL and exclude PODSLHub from the XML. Likewise if PORBA=HUB, then set PORSLHub from Appendix C and exclude PORSL from the XML, but if PORBA is not HUB then set PORSL and exclude PORSLHub from the XML.

Direct XML Submissions Test Only

1. Click the Direct XML Submission Link.

Figure 80 – XML Submissions Test Only

2. Click the **Test Only Option**. The Test Only confirmation box displays.

Figure 81 – Test Only Confirmation

3. Click the **OK** box.
4. Enter the user's email address as eRegistered.

5. Enter the password.
6. Click **Browse** to locate the file.

FERC Online - Web Applications of the Federal Energy Regulatory Commission

www.ferc.gov

FERC Online TEST

Direct XML Submissions

Test Only Option

Registered Email Address lcbgd

Password

EQR XML File (Zipped) C:\Users\lcbgd\Desktop\Filing_XML - lindaReplace.zip

File Upload Status

Submission ID

Last Modified: 10/23/13

Figure 82 – Loading XML File for Test Only Validation

7. Click **Upload** to upload the XML File.
8. Click **OK** to confirm the upload.

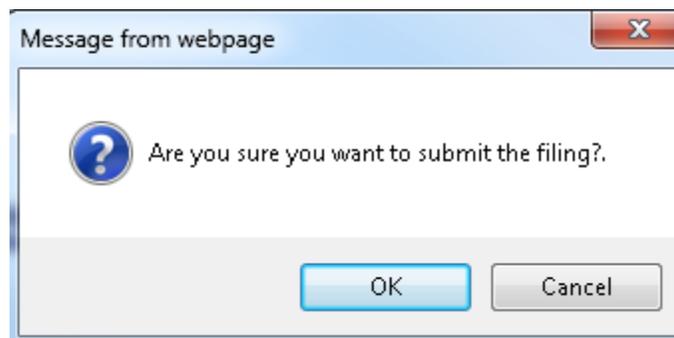


Figure 89 – Confirmation

9. The Test filing has been sent and a submission ID will display as shown below.

The screenshot shows the FERC Online web application interface. At the top, it says "FERC Online - Web Applications of the Federal Energy Regulatory Commission" with the "www.ferc.gov" logo. A left-hand navigation menu includes links for "Log In", "eRegister", "Company Registration", "EQR Submission Client Software", "Release Notes", "Direct XML Submissions", "Test Only XML Submissions Download", "Web Submission Service Technical Guide", "Testing Instructions", and "EQR Reports". The main content area is titled "Direct XML Submissions" and contains a form with the following fields: "Test Only Option" (checked), "Registered Email Address" (Linda.Baker@ferc.gov), "Password" (empty), and "EQR XML File (Zipped)" (with a "Browse..." button). Below the form is an "Upload" button. The status area shows "File Upload Status: Succeeded" and "Submission ID: 208699".

Figure 90 - Direct XML Submission-Succeed

Appendix A – The CSV File

The tabs and information in the following sections will display data contained in the CSV File. The CSV File must be zipped before being uploaded into the EQR System.

The CSV is composed of four individual files. The beginning part of the file name can be different but all four files must end with the following text.

_ident.csv
_contracts.csv
_transactions.csv
_indexpub.csv

The CSV files must be zipped using a MS Windows standard compression tool. The extension name of the uploading file must be **.zip**; for example, the name of the zip file might be **201306_C003118.zip** or **2013_TestEnergyCompany.zip**.

Name	Type	Compressed size	Password ...	Size
201006_Order_768_Power_LLC_contracts.csv	Microsoft Excel Comma Separated Values File	7 KB	No	
201006_Order_768_Power_LLC_ident.csv	Microsoft Excel Comma Separated Values File	1 KB	No	
201006_Order_768_Power_LLC_indexpub.csv	Microsoft Excel Comma Separated Values File	1 KB	No	
201006_Order_768_Power_LLC_transactions.csv	Microsoft Excel Comma Separated Values File	54 KB	No	

Figure 91 –Example CSV Files

	A	B	C	D	E	F	G	H	I	J
1	filer_unique_id	company_name	company_contact_n	contact_title	contact_address	contact_city		contact_state	contact_zip	contact_country
2	FS1	Order 768 Power LLC	C000738	Linda C. Baker	888 1st St. Washington			NT	T2P 0J1	CA
3	FA1	Order 768 Power LLC	C000738	Linda C. Baker	888 1st St. Washington			N/A	20426	GB
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										
15										
16										
17										
18										
19										
20										
21										

Figure 92 - Example of an Ident file displayed in Excel

Each file contains various fields that contain information on company data, transaction data, contract data, and various types of contact information. For detailed information concerning the fields and information in each file, please refer to the Data Dictionary at the following URL: <http://www.ferc.gov/docs-filing/eqr/order770/data-dictionary.pdf>

IMPORTANT: When opening a CSV file, which includes any long date time format, please use Notepad instead of Excel. Excel will automatically convert the file into scientific format, which will have to be changed to the general format with no decimals.

Appendix B - Error Messages for CSV Upload and Pre-Validation

NOTE: Message numbers do not indicate any classification or categorization of errors.

Message #	Cause	Message
100	Login or password is incorrect.	Login or password is incorrect. Please try again or contact FERC Online Support.
200	Logged in email address was not registered.	The email address is not registered in the FERC Company Registration System (http://www.ferc.gov/docs-filing/company-reg.asp).
300	No Seller found for a logged in user	You are not currently authorized to file on behalf of any Seller. Please contact the Seller contact for the Seller Company on whose behalf you wish to file.
400	Zip file was unable to select / Zip file is empty	No file was selected or the selected file is empty. Please check the zip file you uploaded to confirm that it contains the appropriate CSV files.
500	When the user selected a wrong Action	Incorrect Action type selected for CSV upload. Please try again.
600	Selected file for upload has different extension than ".zip"	The file you tried to upload is not recognized as a ".zip" file. Please confirm that the file name ends in ".zip" and it is a .zip file.
800	Server data file is locked for further processing purpose (like queuing for submission, or is opening under other user name, or under system maintenance, or within 20 minutes since last processing...)	The current data is being processed and cannot be edited. Please try again later.
900	Unknown cause of errors.	The uploaded file could not be processed. Please retry or contact FERC Online Support at ferconlinesupport@ferc.gov or Telephone: 202-502-6652; Toll-free: 1-866-208-3676.
1000	Successfully uploaded to Working Table.	Your file has successfully been uploaded. If you chose not to file your EQR at this time, it will be held in a working directory until overwritten.
1200	When there was at least an error with uploading.	The following errors were encountered while validating the data:

Message #	Cause	Message
1300	Seller name clicked without CSV uploading (CSV new, CSV replace)	You have tried to select a Seller without uploading data files. Before proceeding to the next step, you must upload CSV files or choose an alternate Action.
1400	System unable to connect to servers.	A communication error has occurred. Please retry or contact FERC Online Support at ferconlinesupport@ferc.gov or Telephone: 202-502-6652; Toll-free: 1-866-208-3676.
1700	Seller has no filings in previous quarter.	No previous quarter data for this Seller exist. Previous quarter data cannot be used to prefill the current quarter unless Seller has successfully submitted a filing in the previous quarter.
1800	Action not selected.	Please select an Action from one of the Seller's drop down menus above to continue.
1900	Seller's data is opened under other user or within '20 minutes policy'	Active User Name: <name> Company: <name> appears to be working with data in this filing period. If (s)he is not, please ask the active user to log out of the EQR system or try again in 30 minutes.
2000	Unknown system errors.	An unknown error has occurred. The error message is {0}. Please retry or contact FERC Online Support at ferconlinesupport@ferc.gov or Telephone: 202-502-6652; Toll-free: 1-866-208-3676.
2100	Trying to open data that are in validation.	The current data are being validated and cannot be edited or changed. Please try again later.
2200	Current requested data are under processing.	The current data are being processed and cannot be edited or changed. Please try again later.
2300	Server is unable to connect to FERC Online Support for verification ID/Password.	An error occurred due to a server communication problem. Please try at a later time or contact FERC Online Support at ferconlinesupport@ferc.gov or Telephone: 202-502-6652; Toll-free: 1-866-208-3676.
2400	Contract Page unknown error	A processing issue has occurred; please try resubmitting or contact FERC Online Support at ferconlinesupport@ferc.gov or Telephone: 202-502-6652; Toll-free: 1-866-208-3676.
2500	Contract Page missing Customer Company	Customer Company Name (Data Dictionary Field 17) is a required field. Please include at least one Customer Company Name to upload or

Message #	Cause	Message
		manually add a contract. Please see the EQR Data Dictionary available at http://www.ferc.gov/docs-filing/eqr.asp .
2600	Contract Page error: too many contracts	There are too many contracts to display in the Web Interface. Please use the download CSV option to obtain a copy of your working data and review the Contracts that you have submitted.
2700	Zip file compressing type unrecognized.	The file you tried uploading is not recognized as a “.zip” file. Please confirm that the file name ends in “.zip” and is a .zip file. Please see the instructions in the Filing Guide regarding submitting compressed zip files.
2800	More than four files found in the zip.	No more than four files can be included in the zip file that you upload at any one time. The four CSV files must end with the following text: _ident.CSV _contracts.CSV _transactions.CSV _indexpub.CSV There are <zipEntryCount> files in the uploaded zip file.
2900	No Zip File was selected or the selected Zip file was empty.	The zip file you submitted is empty. Please check the zip file you uploaded to confirm that it contains the appropriate CSV files.
3000	Files in zip file are not CSV type.	The zip file you uploaded does not include files in CSV format with CSV extensions.
3100	Mandatory valid _ident.csv file not found	Each submitted upload must include a zip file whose name ends in _ident.csv.
3200	More than one of each four CSV files found in the zip	Submitted uploads cannot include multiple files with the same suffix. There is more than one <sSuffix>.CSV in the zip file.
3300	Incorrect CSV file named found in the zip	The submitted upload cannot be processed because the CSV file(s): <csvFile> is (are) not allowed as a file name(s). The CSV files must end with the following text: _ident.CSV _contracts.CSV _transactions.CSV _indexpub.CSV

Message #	Cause	Message
3400	Uploaded _transactions.csv without _contracts.csv file	No _contracts.csv file found for the uploaded _transactions.CSV file in the zip. Transactions that occur within the reporting quarter must have corresponding contracts reported during the same reporting quarter.
3600	CSV file size is too big	File streaming error - CSV file size exceeds maximum allowed bytes.
3700	Compressing errors found in the zip.	The uploaded zip file has compression errors. Please create a new zip file and retry uploading with the new file.
3800	Unable to de-compress zip file.	The file you tried uploading is not recognized as a “.zip” file. Please create a new zip file- and re-upload the files.
3900	Unknown CSV files parsing errors	The EQR system has had unidentifiable problems reading your CSV files. Please recreate your CSV files, compress them, and try resubmitting the files.
4100	_ident.csv file missing FS row	No Seller (code 'FS') found in the ID Data file (Ident.CSV). At least one Filer Unique Identifier of FS# (where “#” is an integer) is required to indicate a Seller employee’s contact information.
4300	_ident.csv file missing FA row	No Agent (code 'FA') found under Ident.CSV file. A Filer Unique Identifier of FA1 is required to indicate the Agent contact information. The Agent should reflect a person actually sending the data and may be a company employee or designated third party.
4400	More than 1 FA code found in _ident.csv	There is more than one Agent row (code 'FA') found under Ident.CSV file.
4500	Selected reporting period is different than the one from _ident.csv	The Filing Quarter (Data Dictionary Field 14) in the Ident.CSV file (<quarter>) does not match the selected Filing Period indicated in the User Interface. Please change the CSV or chose an alternate Filing Period from the pull down menu above before uploading the CSV data.
4600	Selected Seller CID is different than the one from _ident.csv file	The Seller CID from Ident.CSV file <theSellerCID> does not match selected the Seller CID indicated on the User Interface list selected above. Please check that you are uploading data for the Seller you intend to and/or check that the CIDs are correct.
4700	The selected CID is different than the one from	Company Identifier (Data Dictionary Field 3) of the ID Data in

Message #	Cause	Message
	_ident.csv file	_Ident.CSV <theAgentCID> does not match the Seller CID indicated on the User Interface list selected. Please check that you are uploading data for the Seller you intend to and/or check that the CIDs are correct.
4800	Seller name and Seller CID are mismatched where Filer Unique Identifier is FS#.	Company Name (Data Dictionary Field 2) of the ID Data (_Ident.CSV) [<theSellerName>] for <Filer Unique Identifier> does not match with registered name [<RegisteredName>] for the specified Company Identifier (Data Dictionary Field 3).
4900	The Contact name and Company Identifier are mismatched where Filer Unique Identifier is FA1	Company Name (Data Dictionary Field 2) of the ID Data (_Ident.CSV) [<theFilerName>] for <Filer Unique Identifier> does not match with registered name [<RegisteredName>] for the specified Company Identifier (Data Dictionary Field 3).
5000	Missing _indexpub.csv file with field (13) answered as YES	When Transactions Reported to Index Publishers is reported as Y (Data Dictionary Field 13) an Index Reporting Data file, indexpub.csv (Data Dictionary Fields 71 through 74) is required. Please include the _indexpub.csv in the Zip file and try uploading again.
5100	Field (71) does not match field (1)	Filer Unique Identifier (Data Dictionary Field 71) of the Index Reporting Data (_indexpub.csv) does not match a Filer Unique Identifier in Field 1 of the ID data (_ident.csv).
5300	Uploaded header row differs from system header row. Warning only. Appears only when there was another error.	Warning: It appears that <file>.CSV file has data in the wrong fields because your file's header row does not match the System sample files. Please check that uploaded data includes all fields. - System header row: <list of standard fields> - Your header row: <list of submitted fields>.
5400	Other than FS, FA found in the _ident.csv file	The ID Data must include at least one Seller and one Agent. <UID> is unidentified Filer Unique ID Filer Unique Identifier (Data Dictionary Field 1) is used to identify contact information for the seller and the agent. (1) A Filer Unique Identifier of FS# (where “#” is an integer) should be

Message #	Cause	Message
		used to indicate a Seller employee contact(s) information. (2) A Filer Unique Identifier of FA1 should be used to indicate the Agent contact Information. Agent may be a company employee or designated third party.
5500	Other than FS1, FA1 found in the _indent.csv file	<FS,FA> from Ident.csv file is not coded as <FS,FA>1 as required Filer Unique Identifier (Data Dictionary Field 1) is used to identify contact information for the seller and the agent. (1) A Filer Unique Identifier of FS# (where “#” is an integer) should be used to indicate a Seller employee contact(s) information. (2) A Filer Unique Identifier of FA1 should be used to indicate the Agent contact Information. Agent may be a company employee or designated third party. The ID Data must include at least one Seller and one Agent.
5600	Contract Service Agreement ID missing from _Contracts.csv file	Contract Service Agreement ID (Data Dictionary Field 20) is required. Please review contracts with Contract Unique IDs <list of first 10 incorrect Contract Unique IDs>.
5700	Contract Service Agreement ID missing from _Transactions.csv file	Contract Service Agreement ID (Data Dictionary Field 49) is required. Please review transactions with Transaction Unique IDs <list of first 10 incorrect Transaction Unique IDs>.
5800	Seller Company Name missing from _Contracts.csv file	Seller Company Name (Data Dictionary Field 16) is required. Please review contracts with Contract Unique IDs <list of first 10 incorrect Contract Unique IDs>.
5900	Seller Company Name missing from _Transactions.csv file	Seller Company Name (Data Dictionary Field 46) is required. Please review transactions with Transaction Unique IDs <list of first 10 incorrect Transaction Unique IDs>.
6000	Customer Company Name missing from _Contracts.csv file	Customer Company Name (Data Dictionary Field 17) is required k. Please review contracts with Contract Unique IDs <list of first 10

Message #	Cause	Message
		incorrect Contract Unique IDs>.
6100	Customer Company Name missing from _Transactions.csv file	Customer Company Name (Data Dictionary Field 47) is required. Please review transactions with Transaction Unique IDs <list of first 10 incorrect Transaction Unique IDs>.
6200	FERC Tariff Reference missing from _Contracts.csv file	The FERC Tariff Reference (Data Dictionary Field 19) is required. Please review contracts with Contract Unique IDs <list of first 10 incorrect Contract Unique IDs>.
6300	FERC Tariff Reference missing from _Transactions.csv file	The FERC Tariff Reference (Data Dictionary Field 48) is required. Please review transactions with Transaction Unique IDs <list of first 10 Transaction Unique IDs>.
6400	4 keys fields found duplicated.	Contracts, which are matched with 4 keys - namely, Seller Company Name (Data Dictionary Field 16), Customer Company Name (Data Dictionary Field 17), Contract Service Agreement ID (Data Dictionary Field 20), and FERC Tariff Reference (Data Dictionary Field 19) - are found duplicated between <list of first 10 duplicated UID groups>.
6500	Unable to assign transactions to any contracts.	Transactions that occur within the reporting quarter must be under contracts reported during the same reporting quarter; The Seller Company Name (Data Dictionary Field 16), Customer Company Name (Data Dictionary Field 17), Contract Service Agreement ID (Data Dictionary Field 20), and FERC Tariff Reference (Data Dictionary Field 19) must be identical for the transaction to be matched to a contract. Please review transactions with Transaction Unique IDs <list of first 10 Transaction Unique IDs> to match them with reported contracts:
6600	Contract UID not started by C	Error: Contract Unique ID (Data Dictionary Field 15) <Contract Unique ID> is not valid. This Field should be a number preceded by "C" but cannot include any leading zeroes.
6700	Leading zeroes found after C in field (15)	Error: Contract Unique ID (Data Dictionary Field 15) < Contract Unique ID> is not valid. This Field should be a number preceded by "C" but cannot include any leading zeroes.

Message #	Cause	Message
6800	Transaction UID not started by T	Error: Transaction Unique ID (Data Dictionary Field 45) < Transaction Unique ID > is not valid. This Field should be a number preceded by “T” but cannot include any leading zeroes.
6900	Leading zeroes found after T in field (45)	Error: Transaction Unique ID (Data Dictionary Field 45) < Transaction Unique ID> is not valid. This Field should be a number preceded by “T” but cannot include any leading zeroes.
7000	Transactions UID duplicated	Error: Some UIDs from _transactions.csv are found duplicated: <list first 10 duplicated UIDs>.
7100	Missing field detected	Error: There is a missing field exception while parsing the <file> CSV file on line number <lineNo> and field number <fieldNo>. While reading your CSV file the system has encountered a blank entry where none is allowed or text when a number was expected. This error may have occurred because an earlier entry on the line is missing or an extra comma was inadvertently added.
7300	Append mode: field (15) found smaller than the current max UID.	You are trying to Append CSV files. The current maximum Contract Unique IDs (Data Dictionary Field 15) for this filing period is C<maxUID>. Please use Contract Unique IDs greater than C<maxUID> during Append.
7400	Append mode: field (45) found smaller than the current max UID.	You are trying to Append CSV files. The current maximum Transaction Unique IDs (Data Dictionary Field 45 for this filing period is T<maxUID>. Please use Transaction Unique IDs greater than T<maxUID> during Append.
7500	_indexpub.csv file presents in the zip for not YES in field (13)	Field 13 – Transactions Reported to Index Publishers is reported as “N” (indicating No). If transactions are not reported to an index price publisher, an Index Reporting Data file (Data Dictionary Fields 71 through 74 in _indexpub.csv) is should not be included. Please correct Data Dictionary Field 13 or remove the _indexpub.csv file before uploading. (See FAQ)
7600		Data Dictionary Field 13 – Transactions Reported to Index Publishers is required to be reported as “Y” or “N”. Please change No to “N” or

Message #	Cause	Message
		Yes to "Y" as applicable.