



**CMP, MEPCO, NYSEG, RGE, & UI**

**Compliance Policy and Plan With  
FERC Standards of Conduct and Related  
Requirements**

**Revised December 15, 2017**

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## **I. INTRODUCTION**

This Compliance Policy and Plan (the “Policy”) addresses the Standards of Conduct and related obligations as adopted by the Federal Energy Regulatory Commission (“FERC”) in Order No. 717<sup>1</sup>, revising Order No. 2004, and set forth in FERC’s regulations at 18 CFR Part 358. The Standards of Conduct apply to New York State Electric & Gas Corporation (“NYSEG”), Rochester Gas and Electric Corporation (“RGE”), Maine Electric Power Company (“MEPCO”), Central Maine Power Company (“CMP”), and The United Illuminating Company (“UI”), collectively referred to as the Transmission Providers of Avangrid Networks, Inc., and to the relationships of these Transmission Providers with their Marketing Function Employees and those Marketing Function Employees of their affiliates. Marketing Function Employee is defined in Section II herein and Avangrid Networks’ affiliates engaged in Marketing Functions are listed in Exhibit A to this Policy.

This Policy, as revised, will be maintained on the Internet websites utilized by the Avangrid Networks Transmission Providers and available to Transmission Customers. A copy of this Policy has been distributed to all Transmission Function Employees, all Marketing Function Employees, officers, directors, and any other employees likely to become privy to Transmission Function Information.

FERC requires transmission-owning public utilities (referred to herein as “Transmission Providers”) to adhere to Standards of Conduct governing the relationships between regulated Transmission Providers and all of their Marketing Function Employees and those Marketing Function Employees of their affiliates. FERC’s Standards of Conduct centers on the general principle that Transmission Providers may not provide preferential treatment or access to information about transmission that would unfairly benefit their own or their affiliates’ sales to the detriment of competitive markets.

A key component of FERC’s Standards of Conduct requirements is the designation of a Chief FERC Compliance Officer (“CFCO”). The CFCO is responsible for verifying compliance with the provisions of Order 717, as well as overseeing a process to investigate and document violations of the Standards of Conduct. In certain instances, this process requires public reporting of violations. This Policy identifies the Avangrid Networks CFCO along with the organizational structure that supports the Avangrid Networks CFCO, and defines the process for documenting, investigating, and reporting violations of the Standards of Conduct.

Employees of the Transmission Providers of Avangrid Networks are also expected to comply with the Avangrid Code of Business Conduct and Ethics (“Code of Ethics”). The Code of Ethics sets forth Avangrid’s commitment to business ethics and transparency. Further, it establishes a set of principles and guidelines for conduct designed to ensure ethical and responsible behavior by all employees. It also defines Avangrid’s Compliance Program and provides employees with contact information for reporting violations or seeking

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<sup>1</sup> *Standards of Conduct for Transmission Providers*, Order No. 717, FERC Stats. & Regs. ¶ 31,280 (2008), (“Order No. 717”), *reh’g pending* (codified at 18 C.F.R. pt. 358).

guidance about how the Code of Ethics might apply to a specific situation. The Code of Ethics is an entirely separate obligation from compliance with the FERC Standards of Conduct.

The Avangrid Networks Transmission Providers have contracted to Regional Transmission Organizations (“RTOs”) operating control of their transmission assets. RGE and NYSEG provide transmission services pursuant to the terms and conditions of the New York Independent System Operator, Inc. (“NYISO”) Open Access Transmission Tariff (“OATT”); in addition the NYISO schedules all transmission service for RGE and NYSEG. UI, CMP, and MEPCO provide transmission services pursuant to the terms and conditions of the ISO New England, Inc. (“ISO-NE”) OATT; in addition, ISO-NE schedules all transmission service for UI, CMP and MEPCO over their high voltage Pool Transmission Facilities (“PTF”), while service over CMP’s local transmission facilities (i.e., Non-PTF) is scheduled by CMP.

Through implementation of this Policy, the Transmission Providers commit to establishing and maintaining regulatory compliance training and to assure compliance with the FERC Standards of Conduct. Each Avangrid Networks Transmission Provider will treat all transmission customers, affiliated and nonaffiliated, on a non-discriminatory basis, and will not operate its transmission system to benefit preferentially their own or their affiliates’ Marketing Functions. Each Transmission Provider will not give its Marketing Function Employees unduly preferential treatment for transmission services.

## **II. KEY TERMS (18 CFR 358.3)**

- A. “Transmission” means electric transmission, network or point-to-point service, ancillary services or other methods of electric transmission, or the interconnection with jurisdictional transmission facilities, under part 35 of FERC’s regulations; and natural gas transportation, storage, exchange, backhaul, or displacement service provided pursuant to subparts B or G of part 284 of FERC’s regulations.<sup>2</sup>
- B. “Transmission Customer” means any eligible customer, shipper or designated agent that can or does execute a transmission service agreement or can or does receive transmission service, including all persons who have pending requests for transmission service or for information regarding transmission.<sup>3</sup>
- C. “Transmission Functions” means the planning, directing, organizing or carrying out of day-to-day transmission operations, including the granting and denying of transmission service requests.<sup>4</sup>
- D. “Transmission Function Employee” means an employee, contractor, consultant or agent of a transmission provider who actively and personally

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<sup>2</sup> 18 C.F.R. § 358.3(f).

<sup>3</sup> 18 C.F.R. § 358.3(g).

<sup>4</sup> 18 C.F.R. § 358.3(h).

engages on a day- to-day basis in transmission functions.<sup>5</sup>

- E. “Transmission Function Information” means information relating to transmission functions.<sup>6</sup>
- F. A “Transmission Provider” is (1) Any public utility that owns, operates or controls facilities used for the transmission of electric energy in interstate commerce; or (2) Any interstate natural gas pipeline that transports gas for others pursuant to subparts B or G of part 284 of FERC’s regulations. However, a “transmission provider” does not include a natural gas storage provider authorized to charge market- based rates.<sup>7</sup>
- G. “Marketing Functions” means:
1. In the case of public utilities and their affiliates, the sale for resale in interstate commerce, or the submission of offers to sell in interstate commerce, of electric energy or capacity, demand response, virtual transactions, or financial or physical transmission rights, all as subject to an exclusion for bundled retail sales, including sales of electric energy made by providers of last resort (POLRs) acting in their POLR capacity; and
  2. in the case of interstate pipelines and their affiliates, the sale for resale in interstate commerce, or the submission of offers to sell in interstate commerce, natural gas, subject to the following exclusions:
    - (a) Bundled retail sales,
    - (b) Incidental purchases or sales of natural gas to operate interstate natural gas pipeline transmission facilities,
    - (c) Sales of natural gas solely from a seller’s own production,
    - (d) Sales of natural gas solely from a seller’s own gathering or processing facilities, and
    - (e) Sales by an intrastate natural gas pipeline, by a Hinshaw interstate pipeline exempt from the Natural Gas Act, or by a local distribution company making an on-system sale.<sup>8</sup>

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<sup>5</sup> 18 C.F.R. § 358.3(i).

<sup>6</sup> 18 C.F.R. § 358.3(j).

<sup>7</sup> 18 C.F.R. § 358.3(k).

<sup>8</sup> 18 C.F.R. § 358.3(c).

- H. “Marketing Function Employee” means an employee, contractor, consultant or agent of a Transmission Provider or of an affiliate of a Transmission Provider who actively and personally engages on a day-to-day basis in Marketing Functions.<sup>9</sup>
- I. “Affiliate” of a specified entity means another person that controls, is controlled by or is under common control with, the specified entity. An affiliate includes a division of the specified entity that operates as a functional unit; “Control” as used in this definition means the direct or indirect authority, whether acting alone or in conjunction with others, to direct or cause to direct the management policies of an entity. A voting interest of 10 percent or more creates a rebuttable presumption of control.

### **III. COMPLIANCE PROGRAM ORGANIZATIONAL STRUCTURE**

Avangrid has implemented a Compliance Program which serves as a comprehensive plan to prevent and detect violations of laws and regulations. Avangrid’s Audit and Compliance Committee of the Board of Directors has oversight responsibility for the Compliance Program. Avangrid’s General Counsel is responsible for directing the design and implementation of the Compliance Program and ensuring that the Compliance Program is effective under the applicable legal and regulatory mandates (*e.g.*, FERC Standards of Conduct, the Code of Ethics, and Market Based Rate authority Code of Conduct). Avangrid has established and maintains a toll-free telephone reporting mechanism, the Avangrid Ethics and Compliance Helpline (“Helpline”), for compliance matters.

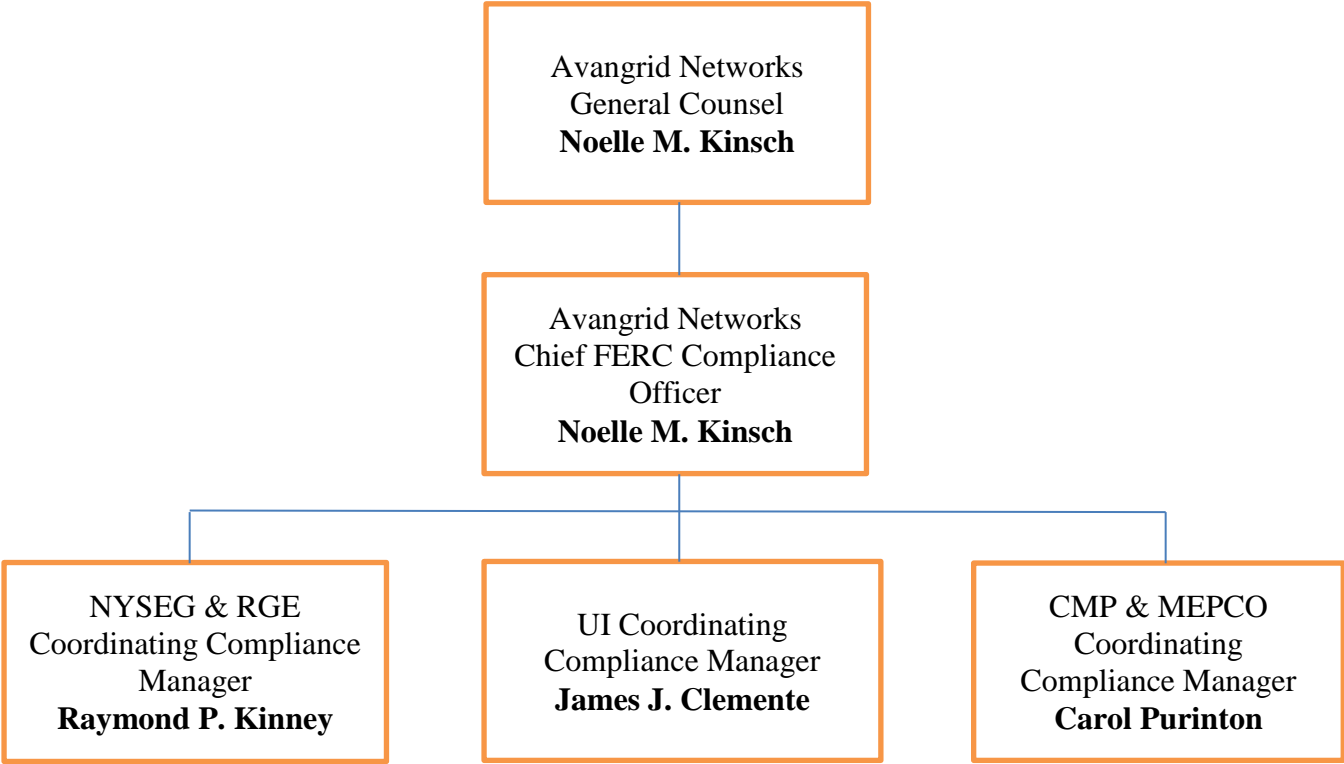
Avangrid’s General Counsel has appointed an Avangrid Networks CFCO to ensure that the Avangrid Networks subsidiary companies have compliance plans to meet all applicable FERC requirements. The CFCO is responsible for administering the process of developing, implementing, and maintaining an effective FERC compliance program, and directing Avangrid Networks subsidiary management efforts to maintain effective compliance functions that support the FERC compliance program. As such, the CFCO provides oversight to ensure consistent implementation and monitoring of the FERC Standards of Conduct across the subsidiaries.

Within each Avangrid Networks Transmission Provider a Coordinating Compliance Manager (“CCM”) has been designated and is responsible for ensuring and monitoring compliance with the FERC Standards of Conduct. The CCM reports to the CFCO on a dotted line (functional) basis for Standards of Conduct Compliance. The CCM will also be responsible for providing guidance to employees and addressing employee reports of suspected or actual violations of the FERC Standards of Conduct.

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<sup>9</sup> 18 C.F.R. § 358.3(d).

The organization chart for FERC Standards of Conduct compliance program is as follows:



In each subsidiary, the CCM, working under the direction of the CFCO, will have primary responsibility for the day-to-day implementation and monitoring of this Policy with FERC Standards of Conduct and related requirements. Responsibilities will include: 1) ensuring compliance with the posting requirements of the FERC Standards of Conduct, 2) maintenance of written procedures, 3) development of training initiatives and record keeping associated with personnel training, and 4) employee training relating to FERC Standards of Conduct.

## **FERC Standards of Conduct Compliance Program Contacts**

<b><u>Company</u></b>	<b><u>Chief FERC Compliance Officer</u></b>
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Avangrid Networks	Noelle M. Kinsch Phone: 518-434-4977 Email: <a href="mailto:noelle.kinsch@avangrid.com">noelle.kinsch@avangrid.com</a>
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### **Coordinating Compliance Managers**

RGE and NYSEG	Raymond P. Kinney Phone: (607) 762-4321 <a href="mailto:RPKinney@nyseg.com">Email: RPKinney@nyseg.com</a>
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CMP and MEPCO	Carol Purinton Phone: (207) 623-7356 <a href="mailto:carol.purinton@cmpco.com">Email: carol.purinton@cmpco.com</a>
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UI	James J. Clemente Phone: (203) 499-3669 <a href="mailto:james.clemente@uinet.com">Email: james.clemente@uinet.com</a>
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Avangrid Compliance and Ethics Helpline: 1-877-606-9171

## **IV. STANDARDS OF CONDUCT REQUIREMENTS AND RESTRICTIONS**

### **A. Independent Functioning (18 CFR§ 358.5)**

1. Transmission Function Employees of a Transmission Provider must function independently of the Transmission Provider's Marketing Function Employees.
2. Marketing Function Employees are prohibited from: (a) conducting Transmission Functions; or (b) having access to the transmission system control center (also known as Energy Control Center) or similar facilities used for transmission operations that differs in any way from the access available to other transmission customers.



3. Transmission Function Employees are prohibited from conducting Marketing Functions.
4. Transmission Function Information shall be secured to prevent unauthorized access by Marketing Function Employees. Access to the transmission system control room and marketing control room (where applicable) is controlled through system-wide security policies and procedures requiring card access. In the event any person without cardkey access seeks to enter the transmission control room or the marketing control room, he or she will sign-in and sign-out on a log and must briefly state the purpose for entry, and the area and employee they are visiting. The logs will be retained for a period of three years and periodically reviewed by the CCM. Employees must ensure that, upon entering the transmission control room or the marketing control room, the visitor is appropriately escorted.

**B. No Conduit Rule and Transparency (18 CFR § 358.6-7)**

1. A Transmission Provider is prohibited from using anyone as a conduit for the disclosure of non-public Transmission Function Information to its Marketing Function Employees.<sup>10</sup>
2. An employee, contractor, consultant or agent of a Transmission Provider, and an employee, contractor, consultant or agent of an affiliate of a Transmission Provider that is engaged in Marketing Functions, are prohibited from disclosing non-public Transmission Function Information to any of the Transmission Provider's Marketing Function Employees.<sup>11</sup>
3. If a Transmission Provider discloses, in a manner contrary to these requirements, non-public transmission customer information, critical energy infrastructure information (CEII), or any other information that FERC, by law, has determined is to be subject to limited dissemination, the Transmission Provider must immediately post notice on its Internet website that the information was disclosed.<sup>12</sup>
4. The CCM of each Transmission Provider will ensure that its Marketing Function Employees will only have access to that information available to the Transmission Provider's other transmission customers (*i.e.*, the information posted on the Open Access Same Time Information System ("OASIS"), or Internet website, as applicable). For example, Marketing Function Employees are restricted from access to transmission function studies or reports unless they have been put on the OASIS and are

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<sup>10</sup> 18 C.F.R. § 358.6 (a).

<sup>11</sup> 18 C.F.R. § 358.6 (b).

<sup>12</sup> 18 C.F.R. § 358.7 (a).

available to all transmission customers at the same time.

5. Transmission Function Employees and Marketing Function Employees may participate in joint training or joint meetings where the topic(s) of the meeting does not include non-public Transmission Function Information. Such meetings might include:
  - (i) training on information technology systems;
  - (ii) meetings regarding employee benefits issues and compensation issues;
  - (iii) meetings regarding allocation of personnel and staffing issues; and
  - (iv) meetings regarding employee management relations, diversity and other general corporate matters.
  
6. Certain meetings may include review of and/or discussion of Transmission Function Information. If a Marketing Function Employee attends a meeting or conference call with Transmission Function Employees, a statement will be read as a reminder to participants that they will not discuss non-public Transmission Function Information. If a Transmission Function matter that refers to non-public Transmission Function Information will be discussed, the Marketing Function Employee must be excused from the meeting or conference call. A brief write-up memorializing that the Marketing Function Employee left the room/call during the portions of the discussion relating to non-public Transmission Function Information is recommended.
  
7. If a Transmission Provider discloses other non-public Transmission Function Information in a manner contrary to the above requirements, the Transmission Provider must immediately post the information that was disclosed on its Internet website.<sup>13</sup>

Exceptions:

- (a) A Transmission Provider's Transmission Function Employee may discuss with its Marketing Function Employee a specific request for transmission service submitted by the Marketing Function Employee.<sup>14</sup>
  
- (b) A transmission customer may voluntarily consent, in writing, to allow the transmission provider to disclose the transmission customer's non-public information to the Transmission Provider's Marketing Function Employees. If the transmission customer authorizes the transmission provider to disclose its information to Marketing Function Employees, the transmission provider must post notice on its Internet website of that consent

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<sup>13</sup> 18 C.F.R. § 358.7 (a).

<sup>14</sup> 18 C.F.R. § 358.7 (b).

along with a statement that it did not provide any preferences, either operational or rate-related, in exchange for that voluntary consent.<sup>15</sup>

- (c) A Transmission Provider may provide Marketing Function Employees with non-public information pertaining to compliance with reliability standards approved by the Commission, and information necessary to maintain or restore operation of the transmission system or generating units, or that may affect the dispatch of generating units. The Transmission Provider must make and retain a contemporaneous record of all such exchanges except in emergency circumstances, in which case a record must be made of the exchange as soon as practicable after the fact. The Transmission Provider shall make the record available to the Commission upon request. The record may consist of hand-written or typed notes, electronic records such as e-mails and text messages, recorded telephone exchanges, and the like, and must be retained for a period of five years.
8. The transfer of an employee between the Transmission Function and the Marketing Function may not result in that employee acting as a conduit of Transmission Function Information from the Transmission Provider to the Marketing Function, and the transfer may not otherwise circumvent these Standards of Conduct.
- (a) The Transmission Function and Marketing Function will ensure the termination of the transferring employee's access to previous information systems, databases, or applications that contain information that may not be shared with the transferring employee upon his or her transfer. Additionally, the transferring employee's access to his/her previous work areas will be terminated as necessary.
  - (b) Employees shall not be "cycled" between the Transmission Function and the Marketing Function without the prior review and written approval of the CFCO (*e.g.*, transferred from a Transmission Provider's Transmission Function to a Marketing Function and back again, or vice-versa). Under all circumstances, the cycling of employees that would have the effect of improper sharing of Transmission System Information with Marketing Function Employees is prohibited. Under no circumstances may the transferring employee be a conduit of Transmission Function Information between the Transmission Function and the Marketing Function.

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<sup>15</sup>

18 C.F.R. § 358.6 (c).

C. **Tariff Implementation** (18 CFR § 358.4)

1. Transmission Providers and their employees must strictly enforce non-discretionary tariff provisions related to the sale or purchase of open access transmission service. Any tariff provision that allows for the use of discretion must be fairly and impartially applied to ensure that all customers are treated in a non-discriminatory manner. ISOs and RTOs have limited opportunities for Transmission Providers to exercise such discretion.
  - (a) Transmission Providers will work with the relevant ISO or RTO to maintain a written log, available for FERC audit, detailing the circumstances and manner in which they exercised discretion under any terms of the applicable Open Access Transmission Tariff. Discretion log entries will be posted on the Transmission Provider's OASIS within 24 hours of the exercise of such discretion.
  - (b) Transmission Providers will process all similar requests for transmission in the same manner and within the same time period.
  - (c) If any Transmission Provider offers a discount for transmission service, the Transmission Provider will ensure that the relevant ISO or RTO will report such discount on the OASIS contemporaneously with the time that the offer is contractually binding. The posting must include:
    - (i) the name of the customer involved in the discount and whether an affiliate is involved in the transaction;
    - (ii) the rate offered;
    - (iii) the maximum rate;
    - (iv) the time period for which the discount would apply;
    - (v) the quantity of power scheduled to be moved;
    - (vi) the delivery points under the transaction; and
    - (vii) any conditions or requirements applicable to the discount.

D. **Books and Records** (18 CFR §358.8(d))

1. Transmission Providers will maintain their books of accounts and records (as proscribed under parts 101,125, 201 and 225 of FERC's regulations) separately from those of their affiliates that employ or retain Marketing Function Employees, and these will be available for FERC inspection.

E. **Posting**

1. Transmission Providers will post on its internet or OASIS website:
  - (a) the names and addresses of all of its affiliates that employ or retain Marketing Function Employees (see Exhibit A hereto);
  - (b) a complete list of the employee-staffed facilities shared by any of the Transmission Provider's Transmission Function Employees and Marketing Function Employees (see Exhibit B hereto);
  - (c) any merger information as soon as possible but in no event later than seven (7) days after a potential merger is announced. Information posted will identify the name and address of the potential merger partner and its affiliates engaged in Marketing Functions. For purposes of the Standards of Conduct, once a potential merger is announced, the Transmission Provider will apply the Standards of Conduct as if the entity were already acquired or merged (*i.e.*, as if the companies were already under common ownership and control during the pendency of the proposed transaction); and
  - (d) the job titles and job descriptions of its Transmission Function Employees.
2. If an employee of the Transmission Provider improperly discloses non-public Transmission Function Information (see B. 7 above) the Transmission Provider will immediately post such information on its Internet website.
3. If a Transmission Provider or an affiliate engaged in Marketing Functions transfers an employee from the Transmission Function to the Marketing Function (see B. 8 above), the Transmission Provider will post on its Internet website the name of the transferring employee, the respective titles held while performing each function, and the effective date(s) of such transfer. Information regarding all employee transfers will be posted on the Transmission Provider's Internet website for a minimum of 90 days and will be posted as soon as possible but in no event later than seven (7) business days of the effective date of the transfer.

4. Special Posting Requirement for Generator Interconnection Scoping Meetings. If a transmission Provider intends to conduct a Scoping Meeting<sup>16</sup> with an affiliate, it shall post advance notice on OASIS of its intent to conduct the Scoping Meeting with the affiliate. In addition, a written transcript or audio recording of the meeting shall be made and retained for three years. To the extent the meeting is recorded, the consent of each party to the meeting shall be obtained in writing prior to the meeting. The Transmission Provider's CCM should be contacted for additional guidance prior to holding the meeting.
  - a. The affiliate is required to provide written notice to the interconnections department of the Transmission Provider and the RTO of its affiliate status and its intent to do business through the interconnection tariff. Affiliate status may be confirmed through the Avangrid Corporate Organization and Records Management department.
  - b. The affiliate and the Transmission Provider shall comply with all laws, rules, and regulations regarding affiliate transactions, including the FERC Standards of Conduct, during the course of their work.

**F. Violations of Standards of Conduct**

1. Transmission Customers of Avangrid Networks Transmission Providers are encouraged to report suspected standards of conduct violations relating to Avangrid. The CCM is the designated point of contact for reporting alleged violations. In the event that a market participant believes that the CCM is involved in or responsible for the alleged violation, reporting may be done directly to the CFCO. The CFCO and CCM, along with the contact information, are listed in Section III above.
2. Transmission Customers with concerns about Standards of Conduct compliance relating to Avangrid Networks also have the option of reporting such concerns pursuant to procedures in place under the Code of Ethics. The Code of Ethics is available to all market participants on-line at the Avangrid Networks Internet website [link]. The Code of Ethics states that reports of suspected or actual violations may be made by contacting the Avangrid Ethics and Compliance Helpline (1- 877-606-9171). The Helpline may also be used to report a matter anonymously.

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<sup>16</sup> A Scoping Meeting is the meeting between representatives of a Transmission Provider, the ISO, and an Interconnection customer to discuss possible points of interconnection and exchange technical information, including data expected to affect interconnection options. The meeting is scheduled within 10 days of an interconnection request

3. If an employee suspects or has knowledge of a violation of the Standards of Conduct, that employee has an obligation to report it and has several options of how to do so. The employee may report the alleged violation to the employee's supervisor, the CCM, or the CFCO, or the employee can contact the Avangrid Ethics and Compliance Helpline. Supervisors must promptly communicate the employee report to the appropriate CCM, or the CFCO. The employee reporting the alleged violation shall identify the time and place of the alleged violation and provide a brief description of the violation.
4. Every effort will be made to maintain an employee's confidentiality. In order to protect his or her identity, an employee may elect to report an alleged violation of the Standards of Conduct by contacting the Avangrid Ethics and Compliance Helpline. The Avangrid Compliance Officer receives a report from the Helpline's independent service provider for each Helpline report. As with similar reports by market participants, any report related to the Standards of Conduct made by an employee will be referred to the CFCO who will refer the report to the CCM. The CCM will immediately conduct an investigation and prepare a report of his or her findings.
5. Even if an employee does not specifically make a complaint, a supervisor must report situations where he or she suspects or believes a violation has occurred, is occurring, or will occur in the future.
6. Any employee receiving a report of an alleged violation of the Standards of Conduct must notify his or her supervisor, the CCM, the CFCO, or the Avangrid Ethics and Compliance Helpline of such alleged violation.
7. The CFCO will refer any such report to the appropriate CCM unless the CFCO determines that it would be best to perform the investigation at the CFCO level (for example, the employee may refer to the CCM's involvement in an alleged violation in which case the CFCO will conduct the investigation at the CFCO level).
8. The CCM (or in some instances the CFCO) will immediately conduct an investigation and prepare a report of the findings to be transmitted to the CFCO as soon as reasonably possible. Reports confirming violations of the Standards of Conduct will include the remedial actions taken to correct the violation and updates to the compliance procedures to reduce the possibility of future violations.
9. The CFCO will notify the Avangrid General Counsel of the results of the report, along with any remedial actions taken to correct the violation and reduce the possibility of future violations, as soon as reasonably possible.

10. If the violation involves the improper disclosure of information between the transmission and marketing functions, the CCM (or in some instances the CFCO) will investigate the violation on an expedited basis (to be completed in less than 24 hours, if possible) and immediately post such information on the OASIS upon confirming that an improper disclosure occurred. The CCM will notify the CFCO, Avangrid Networks' General Counsel, and any other appropriate operating company management of the improper disclosure of information and of the required posting on the OASIS.
11. Avangrid Networks will not tolerate any form of reprisal or retaliation against any employee reporting actual or suspected violations of the Standards of Conduct, the Avangrid Code of Business Conduct and Ethics, or other laws or regulations. Those who retaliate will be subject to disciplinary action, up to and including discharge.
12. **Disciplinary Rules:** No individual, regardless of his or her level or position, is authorized to commit or ask another employee to commit an illegal act or violation of the Policy. In addition, no employee of Avangrid Networks Transmission Providers may justify unlawful conduct or any conduct in violation of the Policy by claiming to have been following the instructions of a senior manager. Any such instructions should be reported to Human Resources, to the Compliance Department or through the Helpline. When it is found that an employee has violated the terms of the Policy, the matter is referred to Human Resources for disciplinary measures. Such measures will be determined based on applicable company policies, collective bargaining agreements and labor laws.

G. **Written Procedures**

1. Transmission Providers distribute written procedures within the Policy to ensure that the Standards of Conduct independent functioning and information sharing restrictions are observed by its employees and by the employees of its affiliates, to all its Transmission Function Employees, Marketing Function Employees, officers, directors, and any other employees likely to become privy to Transmission Function Information.
2. Transmission Providers will provide annual standards of conduct training to Transmission Function Employees, Marketing Function Employees, officers, directors, and any other employees likely to become privy to Transmission Function Information. The Transmission Provider must provide standards of conduct training to new employees in those categories within the first 30 days of their employment. Transmission Providers must require each employee who has taken the training to certify electronically or in writing that s/he has completed the training.



## Exhibit A

### AVANGRID Networks Affiliates Engaged in Marketing Functions

Affiliate	Address
Avangrid Renewables, LLC	1125 NW Couch Street Suite 700 Portland, Oregon 97209
Central Maine Power Company	83 Edison Drive Augusta, ME 04336
ENSTOR Energy Services, LLC	20329 State Highway 249 Suite 500 Houston, Texas 77070
ENSTOR Inc.	20329 State Highway 249 Suite 500 Houston, Texas 77070
New York State Electric & Gas (NYSEG)	18 Link Drive PO Box 5224 Binghamton NY 13902-5224
Rochester Gas & Electric Corp (RG&E)	89 East Avenue Rochester, NY 14649
The United Illuminating Company	60 and 180 Marsh Hill Road Orange, CT 06477

According to documents publicly available on FERC’s eLibrary, Sandy Ridge Wind, LLC (“Sandy Ridge”) is an indirect, wholly-owned subsidiary of Gamesa Corporación Tecnología, S.A. (“Gamesa”). As Iberdrola, S.A. holds an approximate 19% interest in Gamesa, Sandy Ridge is arguably considered an affiliate of the entities identified on Exhibit A. However, neither Iberdrola nor any of the entities identified in Exhibit A has access to any information on Sandy Ridge or Gamesa’s U.S. operations other than information that is publicly available.

The United Illuminating Company has a 50% ownership in five subsidiaries that have no employees: GCE Holding LLC, GenConn Energy LLC, GenConn Devon LLC, GenConn Middletown LLC and UIL Distributed Resources LLC. However, certain United Illuminating employees, including employees from the Legal, Accounting, and Marketing Departments, charge some of their time to these subsidiaries, per the directions of the State of Connecticut Public Utilities Regulatory Authority.

## **Exhibit B**

### **List of Employee-Staffed Facilities Shared by Both Transmission Function and Marketing Function Employees**

Avangrid Networks has a building at the following location(s) that is shared by Transmission Function Employees and Marketing Function Employees:

CMP and MEPCO

Central Maine Power Company General Office  
83 Edison Drive  
Augusta, ME 04336

NYSEG/RGE

Kirkwood General Office  
18 Link Drive  
Binghamton, NY 13904

These facilities include Marketing Function Employees and Transmission Function employees who are located in different sections of the building. Marketing Function Employees are not allowed access to the transmission system control room or energy control center, which requires card access and is controlled through system-wide security policies and procedures.