



State of New Jersey
BOARD OF PUBLIC UTILITIES
44 South Clinton Avenue
1st Floor, Post Office Box 350
Trenton, New Jersey 08625-0350

**ENERGY AGENT, PRIVATE AGGREGATOR, and/or ENERGY CONSULTANT
INITIAL REGISTRATION APPLICATION**

Before completing this form, please refer to the instructions located on the New Jersey Board of Public Utilities ("BPU") website. Please type or print all answers. Do not leave any questions unanswered. If a question is not applicable or the answer is none, please type or print "N/A" only when instructed. See instructions for information regarding sections of the application designated as "BPU Internal Use Only".

1. a) Legal Name of Applicant: _____

b) D/B/A or Trade Name: ("N/A" if not applicable) _____

2. a) Principal Business Address:

b) Business Telephone Number: _____

3. Website address: _____

4. Type of Application being applied for: (*Check all that apply*)

☐ Energy Agent

☐ Private Aggregator

☐ *Energy Consultant

***Note:** An Energy Consultant is an Energy Agent that has met the additional requirements at N.J.A.C. 14:4-5.11. See instructions for additional information.

5. Type of Ownership: (*Check one*)

☐ Corporation

☐ Partnership

☐ Sole Proprietor

☐ Limited Partnership

☐ Limited Liability Company

6. In the past five years, is or has the applicant or any of the key operating personnel, officers, directors, partners, owners, or listed stockholders now or has ever been under investigation in New Jersey, or any other state, or federal jurisdiction in connection with the sale or delivery of electricity or natural gas?

☐ Yes

☐ No

If yes, attach a schedule giving details regarding the status of the investigation, (including but not limited to pending negotiations, pending hearings, pending decisions, or closed with settlements and approvals/decisions) and provide final dispositions, including court orders, regulatory orders and approved settlements in addition to the official filed petition or complaint initiating the investigation. Please mark the attachments as "BPU Internal Use Only".

7. In the past five years, has the applicant or any of the key operating personnel, officers, directors, partners, owners, or listed stockholders ever been arrested or convicted of any offense, crime, misdemeanor, or disorderly persons charge in New Jersey or any other state, or by the federal government (excluding motor vehicle violations)?

☐ Yes

☐ No

If yes, attach a schedule giving details regarding the status of the charges, (including but not limited to pending negotiations, pending hearings, pending decisions, or closed with settlement and approvals/decisions) and provide final dispositions, including court orders, regulatory orders and approved settlements in addition to the official filed documentation leading up to the charges. Please mark the attachments as "BPU Internal Use Only".

8. In the past five years, has the applicant or any of the key operating personnel, officers, directors, partners, owners, or listed stockholders ever had a license, or right to engage in any business or profession, revoked, denied, suspended, or restrained by any agency of New Jersey or any other state, or by the federal government in connection with the sale or delivery of electricity or natural gas?

☐ Yes

☐ No

If yes, attach a schedule giving details regarding the status of the matter, (including but not limited to pending negotiations, pending hearings, pending decisions, or closed with settlements and approvals/decisions) and provide final dispositions, including court orders, regulatory orders and approved settlements in addition to the official documents leading to the matter. Please mark the attachments as "BPU Internal Use Only".

9. In the past five years, has the applicant or any of the key operating personnel, officers, directors, partners, owners, or listed stockholders of your organization ever been subject to any disciplinary proceeding in connection with a license or right to engage in any business or profession in New Jersey, any other state, or by the federal government in connection with the sale or delivery of electricity or natural gas?

☐ Yes

☐ No

If yes, attach a schedule giving details and provide relevant documents. Please mark the attachments as "BPU Internal Use Only".

10. In the past five years, has the applicant or any of the key operating personnel, officers, directors, partners, owners or listed stockholders ever filed a petition in bankruptcy or reorganization or been affiliated with any entity that has filed a petition in bankruptcy or reorganization in connection with the sale or delivery of electricity or natural gas?

☐ Yes

☐ No

If yes, give particulars on a separate schedule containing date of bankruptcy or reorganization proceedings, copy of petition in bankruptcy and copy of discharge, if applicable. Please mark the attachments as "BPU Internal Use Only".

11. In the past five years, has the applicant or any of the key operating personnel, officers, directors, partners, owners or listed stockholders ever been investigated or involved as a defendant in any regulatory proceeding?

☐ Yes

☐ No

If yes, give particulars on a separate schedule containing date of such investigation or litigation, regulatory body or authority initiating such proceeding and resolution. Please mark the attachments as "BPU Internal Use Only".

For Energy Consultants only (items 12 through 14):

12. If already registered with the Board as an Energy Agent, provide registration number: _____

13. Provide the required New Jersey office address:

All BPU Regulatory Correspondences are received at this address.

(Note: The aforementioned regulatory correspondences include all license certificates and approval letters.)

14. Attach the original perfected surety bond in the minimum amount of \$10,000.
The required language for the bond can be found in the instructions to this application.

To Be Completed By Applicant
Information Provided Is For BPU Internal Use Only
(Items 15 through 17)

15. Provide the names, titles, telephone numbers, and the email addresses of the key operating personnel including Directors, Officers, Partners, or Sole Proprietors:

16. Provide the contact information for the regulatory affairs representative responsible for conduct of Registrant's business in New Jersey. (For Internal Board Use Only)

Name: _____

Title: _____

E-mail Address: _____

CC E-mail (If applicable): _____

Telephone Number: _____

Address: _____

17. If the regulatory affairs representative, provided in #16 above, will not be the point of contact to provide additional information to the BPU to complete this application, then please provide the contact information for the authorized representative who will handle these requests. ("N/A" if not applicable)

Name: _____

E-mail Address: _____

Telephone Number: _____

To Be Completed By Applicant
Information Provided Is For BPU Internal Use Only
(Items A through K)

Attach the following items to the application. Do not leave any items below unanswered. If an item is not applicable, please type or print "N/A" with a brief explanation detailing the reason why it is not applicable.

Financial and Business Information

- A. Attach financial statements from the latest two fiscal years or covering the life of the business, whichever is shorter.
- B. Provide a reference letter from a licensed lending institution affirming company's state of good standing, as well as the age and figure amount of the account (e.g. 4,5,6 figures).
- C. Provide a company profile including but not limited to: The length of time the registrant has been in business, the length of time in the electric and/or natural gas business and a summary of service offerings.
- D. Describe experience of applicant and key operating personnel, officers, directors, partners, or owners of your organization in electric power and/or natural gas business, as applicable. Resumes are acceptable.
- E. Attach a list of licensed electric power or gas suppliers through which the registrant has arranged for the delivery of electric energy, natural gas and/or electric energy or gas services.
- F. Provide the name and business address of the applicant's parent company.
- G. Provide a list of all US states and jurisdictions the applicant is currently doing retail marketing and/or serving customers.
- H. Provide a statement, signed by an authorized officer on company letterhead, listing affiliations to any other third party supplier, local distribution company, or any other entity. If there are no affiliations please state as such in the letter.

Note: For this statement, "Affiliate" shall mean two or more entities, one of which controls the other or that are under common control. "Control" of an entity means the ownership, either directly or indirectly, in aggregate, of 10% or more of the voting shares of the entity, or representation on its Board of Directors (or equivalent), or influence over day-to-day management of the entity.

- I. For New Jersey Entities: Provide a copy of the Certificate of Incorporation or Certificate of Formation bearing the New Jersey Secretary of State's dated filing stamp.
- J. For Foreign Entities: Provide a copy of the New Jersey Business Registration Certificate from the New Jersey Department of the Treasury.
- K. Remit the initial application fee in the amount of \$750. See instructions for additional information.

CERTIFICATION UNDER OATH

1. I, _____, hereby certify that I am the _____ of the
(Type or print name) (title)
Registrant and Registrant and been authorized to file this initial application and certification on behalf of the Registrant.
2. I hereby certify that I have carefully examined all of the statements contained in this initial application and in the attachments hereto and made a part hereof, that I have knowledge of the matters set forth herein, that all statements made and matters set forth herein are true and correct to the best of my knowledge, information, and belief and that I know of no material omission. I am aware that submitting false or misleading information in connection with this renewal application is grounds for revocation of license and may subject me, the Registrant and other responsible persons on behalf of the Registrant to penalties of perjury, as well as to other civil or criminal penalties.
3. I hereby certify that the Registrant agrees to comply with all standards, rules and regulations applicable to this registration.
4. I also certify that the Registrant shall provide such information as the Board or its staff shall require to assist the Board in making any determination concerning revocation, suspension, issuance or renewal of the registration pursuant to N.J.S.A. 48:3-81 (Section 32 of the Act).

Dated this _____ day of _____, _____ at _____.

(day) (month) (year) (location)

Signature: _____

(title)

NOTARIZATION:

**New Jersey Board of Public Utilities
ATTN: Licensing and Registration Unit
44 South Clinton Avenue
1st Floor, P.O. Box 350
Trenton, New Jersey 08625-0350**

RE: NJBPU Internet Website Information Disclosure

Whether opting in for, or out of, inclusion on the Board's website listing of licensed energy agents, private aggregators, and energy consultants, **please complete this form in its entirety.**

Company Name: _____

DBA or Trade Name: ("N/A" if not applicable) _____

Principal Office Address of Registrant: _____

*(If Energy Consultant, provide the
New Jersey Office Address)* _____

Business Phone Number: _____

Internet Address: _____

Customer Classes Served Upon Approval of Registration(s): *(Check all that apply)*

☐ Residential ☐ Commercial ☐ Industrial

Registration Type: *(Check all that apply)*

☐ Energy Agent ☐ Private Aggregator ☐ Energy Consultant

Check "Yes" or "No" for inclusion on the Board's website listing of registered energy agents, private aggregators, and energy consultants: ☐ Yes ☐ No

REPLY TO: NJBPU LICENSING & REGISTRATION UNIT

E-MAIL: Audits.Licensing@bpu.nj.gov

*PLEASE NOTIFY LICENSING & REGISTRATION UNIT OF ANY CHANGES SUBSEQUENT TO FILING
CONTACT INFORMATION ABOVE*