



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 REGISTRANT

ANNUAL INFORMATION UPDATE FORM

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, type or print "N/A" only when instructed. See instructions for information regarding sections of the form designated as "BPU Internal Use Only".

1. a) Legal Name of Registrant: _____
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 Registration: (*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. Provide the current registration numbers: ("N/A" if not applicable)

a) Energy Agent Registration Number: _____

b) Private Aggregator Registration Number: _____

c) Energy Consultant Registration Number: _____

6. Provide the BPU docket numbers for the last approved registration application(s):

7. In the past three years, is or has the Registrant 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".

8. In the past three years, has the Registrant 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".

9. In the past three years, has the Registrant 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".

10. In the past three years, has the Registrant 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".

11. In the past three years, has the Registrant 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".

12. In the past three years, has the Registrant 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 13 through 14):

13. Provide the required New Jersey office address:

Note: All BPU Regulatory Correspondences are received at this address.

14. Attach the original perfected surety bond, or copy of the continuation certificate of existing surety bond already submitted to the New Jersey BPU, in the minimum amount of \$10,000.

Note: If the current surety bond continuation certificate has already been submitted to the Board prior to this annual information update form filing, please state as such and provide a copy of the continuation certificate that was submitted.

To Be Completed By Registrant
Information Provided Is For BPU Internal Use Only
(Items 15 through 18)

15. Provide any changes to the information contained in the Registrant's most recent registration filing, including but not limited to: Officers, Directors, Partners, New Jersey In-State Registered Agent, Key New Jersey operating personnel, etc.

Use separate sheets, as necessary. (Respond "N/A" if not applicable)

16. Provide details of all changes in ownership interest in the Registrant, since the most recent registration filing to the New Jersey Board of Public Utilities.

Use separate sheets, as necessary. (Respond "N/A" if not applicable)

17. 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: _____

18. If the regulatory affairs representative, provided in #17 above, will not be the point of contact to provide additional information to the BPU to complete this filing, 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 Registrant
Information Provided Is For BPU Internal Use Only
(Items A through H)

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 fiscal year.
- 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. 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.
- D. Provide the name and business address of the Registrant's parent company.
- E. Provide a list of all US states and jurisdictions the Registrant is currently doing retail marketing and/or serving customers.
- F. 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.

- G. If using a "doing business as/trade name", as indicated on line 1(b) of this form, provide a copy of the County Clerk's Certificate of Trade Name and/or New Jersey Alternate Name Registration Certificate.
- H. Remit the annual registration fee in the amount of \$300. 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 have been authorized to file this registration annual information update form and certification on behalf of the Registrant.
2. I hereby certify that I have carefully examined all of the statements contained in this registration annual information update form 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 annual information update form is grounds for revocation of registration 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 and N.J.S.A. 48:3-82.

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 registered 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 Telephone Number: _____

Internet Address: _____

Customer Classes Served:

(Check all that apply)

☐ Residential

☐ Commercial

☐ Industrial

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 SUSBEQUENT TO FILING CONTACT
INFORMATION ABOVE