



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

ELECTRIC POWER and/or NATURAL GAS SUPPLIER LICENSE INITIAL 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) NJ Principal Business Address:

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

b) Business Telephone Number: _____

3. Website address: _____

4. Type of Application being applied for: (*Check one*)

☐ Electric Power

☐ Natural Gas

☐ Both Electric and Gas

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

☐ Corporation

☐ Partnership

☐ Sole Proprietor

☐ Limited Partnership

☐ Limited Liability Company

6. Provide the contact information for the in-state New Jersey registered agent.

(Note: This does not constitute the NJ Principal Business Address requirement.)

Name: _____

Title: _____

Telephone Number: _____

E-mail Address: _____

NJ Address: _____

7. Provide the contact information for the New Jersey customer service representative.

Name: _____

E-mail Address: _____

Toll-Free Telephone Number: _____

Address: _____

8. 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".

9. 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".

10. 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".

11. 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".

12. 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".

13. 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".

To Be Completed By Applicant
Information Provided Is For BPU Internal Use Only
(Items 14 through 18)

14. Federal Tax Number: _____

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

16. Provide names, titles, business telephone numbers, and addresses of any stockholders having 10% or more of the entity. ("N/A" if not applicable)

17. Provide the contact information for the regulatory affairs representative responsible for conduct of Licensee's business in New Jersey.

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 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 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. Attach pro forma estimate of income statement and balance sheet, projecting the first year of business under the proposed license.
- D. Attach the original perfected surety bond in the minimum amount of \$250,000. If applying for both gas and electric licenses, provide two perfected surety bonds, each in the amount of \$250,000. The required language for the bond(s) can be found in the instructions to this application.

Business Information

- E. Describe experience in electric power and/or natural gas business, as applicable, of applicant or any key operating personnel, officers, directors, partners, owners, or listed stockholders of your organization, as applicable. Resumes are acceptable.
- F. Provide the amount of customer complaints received for the two years prior to the date of the application involving the energy-related business activities of applicant.
- G. 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.

- H. Provide the name and business address of the applicant's parent company.
- I. Provide a list of all US states and jurisdictions the applicant is currently doing retail marketing and/or serving customers.
- J. Attach a list of types of services or products to be offered by applicant by customer class (Residential, Commercial, and Industrial).
- K. For applicants intending to market to residential customers, attach a sample residential supply contract. The mandated one page summary of contract of pertinent terms and conditions as required by the BPU for residential and small commercial suppliers in accordance with N.J.A.C. 14:4-7.6A must be provided.

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

Business Information (Continued)

L. Does the applicant plan on using the following means of market solicitation?

	<u>Yes</u>	<u>No</u>
a) Internet	☐	☐
b) Direct Mail	☐	☐
c) Door-to-door	☐	☐
d) Telemarketing	☐	☐

- If applicant selected yes to (d) above and will be soliciting residential customers, then complete the Do Not Call Certification found in the instructions of this application.

M. 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.

N. For Foreign Entities: Provide a copy of Certificate of Authority authorizing the collection of sales and use tax in the State of New Jersey and the New Jersey Business Registration Certificate from the New Jersey Department of the Treasury.

O. If using a "doing business as/trade name", as indicated on line 1(b) of this application, provide a copy of the County Clerk's Certificate of Trade Name and/or New Jersey Alternate Name Registration Certificate.

P. If applying for an electric power supplier license, attach evidence that applicant has met and can continue to meet the financial and other requirements necessary to move power through the independent system operator for the transmission infrastructure and the financial and other requirements for the utility distribution network. Supporting documentation includes, but is not limited to, evidence of PJM membership and evidence applicant is party to the PJM Reliability Assurance Agreement.

Q. Remit the initial application fees in the amounts listed below. See instructions for additional information.

a) Electric Supplier License Fee (Refundable if application is denied)	\$ 1,500
b) Natural Gas Supplier License Fee (Refundable if application is denied)	\$ 1,200
c) Electric Supplier License Application Fee (Non-refundable)	\$ 350
d) Natural Gas Supplier License Application Fee (Non-refundable)	\$ 350

CERTIFICATION UNDER OATH

1. I, _____, hereby certify that I am the _____ of
(Type or print name) (title)
the Licensee and have been authorized to file this initial license application and certification on behalf
of the Licensee.
2. I hereby certify that I have carefully examined all of the statements contained in this initial license
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 initial license application is grounds
for revocation of license and may subject me, the Licensee and other responsible persons on behalf of
the Licensee to penalties of perjury, as well as to other civil or criminal penalties.
3. I hereby certify that the Licensee agrees to comply with all standards, rules and regulations applicable
to this license and to meet all reliability standards in accordance with N.J.S.A. 48:3-49 et seq. or as
may be established by any applicable regulatory authority.
4. I hereby certify that the Licensee understands and agrees that approval of this initial license application
does not afford any rights with respect to use of a utility facility, but that exercise of the license, if
approved, is subject to execution of an access agreement to be entered into between the Licensee
and a utility on mutually acceptable terms.
5. I also certify that the Licensee 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 license.

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

Please complete this form in its entirety to provide updates to the Board's website listing of licensed electric power and natural gas suppliers.

Company Name: _____

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

New Jersey Office Address of Supplier: _____

(Same as New Jersey Principal Address) _____

Business Phone Number: _____

Toll-Free Customer Service Phone No.: _____

Supplier Internet Address: _____

***Direct Pricing Link:** _____

*(Required if marketing to and/or serving residential or small commercial customers)

New Jersey Utility Service Territories & Customer Classes where your firm will market to customers upon license approval:

New Jersey Utility Company Service Territories: (Check all that apply)

- | | | |
|-----------|---|---|
| Electric: | ☐ Atlantic City Electric | ☐ JCP&L |
| | ☐ PSE&G | ☐ Rockland Electric |
| Gas: | ☐ Elizabethtown Gas | ☐ New Jersey Natural Gas |
| | ☐ PSE&G | ☐ South Jersey Gas |

Customer Classes Served: (Check all that apply)

- | | | | |
|--------------------------------------|---|---|-------------------------------------|
| ☐ Residential | ☐ Small Commercial | ☐ Large Commercial | ☐ Industrial |
|--------------------------------------|---|---|-------------------------------------|

Note: If customer class served differs by utility service territory, provide specific details.

"Small Commercial" is defined as an electric customer with a cumulative peak load of 50 kilowatts or less, or a commercial gas customer with a cumulative peak load of 5,000 therms or less. N.J.S.A. 48:3-56

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.

Electric Power and Natural Gas Supplier Initial License Application