



STATE OF CONNECTICUT

PUBLIC UTILITIES REGULATORY AUTHORITY

Instructions for Application for Review of A Connecticut Electric Supplier License

Pursuant to section 16-245-2 of the Regulations of Connecticut State Agencies (Conn. Agencies Regs.), each licensed electric supplier is required to file an application for review of their license every two years no later than January 31 of the required year. Further any Applicant should refer to the specific date in the Final Decision granting the original electric supplier license and the Applicant's last completed review for specific orders. The Applicant maintains an obligation to stay current as to changes in statute, regulations or other applicable administrative law.

When filing the Review Application, the following requirements apply:

- An electronic copy of the Application, including supporting documents, must be submitted via the Authority's Web Filing System. To file an Application electronically, go to the Authority's website at portal.ct.gov/pura, select 'Make a Filing.' Follow the steps listed on this web page to complete the filing process. If you already have obtained a Web Filing Account, proceed directly to the link 'File a New Docket Application'.
- The Applicant must submit a Review filing fee of \$2500 made payable to the Treasurer of the State of Connecticut via either a Wire or ACH payment to the Department of Energy and Environmental Protection. A receipt from such an electronic payment must be submitted as a compliance filing in this proceeding, and identified as "XX-XX-XX (DOCKET NO.) Review Application Fee". Directions for making such an electronic payment are as follows:

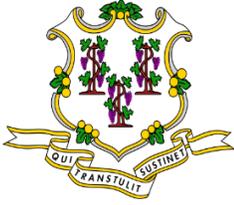
Wire To: Bank of America- Treasurer State of Connecticut
ABA/Transit/Routing # 026009593
Account # 1130477
Beneficiary/ Descriptive Detail: DEP43000 & Invoice or Docket Number

For ACH: Bank of America- Treasurer State of Connecticut
ABA/Transit/Routing # 011900254
Account# 1130477
Beneficiary/ Descriptive Detail: DEP43000 & Invoice or Docket Number

- All materials are publicly available as filed. Any Applicant may seek a protective order for any part of a Review Application by filing a Motion for Protective Order. Such Motion should identify the need for protection pursuant to standards outlined in the Connecticut Freedom of Information Act, Conn. Gen. Stat. §1-200, et seq. The Authority will rule on the Motion, and order subsequent filing instructions if necessary.
- All attachments, including Exhibits and Affidavits, should be clearly identified. For example, Exhibit A-10 should be marked, "Exhibit A-10: Business Registration." All pages should be numbered and attached in sequential order. Please see List of Attachments to ensure the Application is complete prior to filing.

- By including any e-mail addresses in connection with the Applicant, the Applicant agrees to receive official correspondence from PURA, at this electronic address, concerning the subject application. The Applicant should check their security settings to be able to receive e-mails from “ct.gov” addresses. The Applicant must notify PURA in the event of a change in any regulatory contact(s).
- Applicants will be promptly notified if their application appears incomplete.

Direct any questions about the Authority’s electronic filing requirements, to PURA’s Executive Secretary at 860-827-1553 (press 3) or via e-mail to pura.executivesecretary@ct.gov.



**STATE OF CONNECTICUT
PUBLIC UTILITIES REGULATORY AUTHORITY**

**Application for Review of
A Connecticut Electric Supplier License**

Part A

(A-1) Applicant/Licensee:

Name on License: _____ [Entity the application pertains to or is being filed on behalf of]

Address Line 1: _____

Address Line 2: _____

City/Town: _____ State: _____ Zip Code: _____

Business Phone: _____ ext.: _____

Applicant's Website: _____

(a) Federal Tax ID Number: _____

(b) Connecticut Tax ID Number: _____

(A-2) Preparer:

Name: _____ [Submitter of filing]

Address Line 1: _____

Address Line 2: _____

City/Town: _____ State: _____ Zip Code: _____

Business Phone: _____ ext.: _____

*E-mail: _____

(A-3) Customer Service Contact:

Name: _____

Address Line 1: _____

Address Line 2: _____

City/Town: _____ State: _____ Zip Code: _____

Business Phone: _____ ext.: _____

*E-mail: _____

Part A – (continued)

(A-4) RPS Compliance Contact:

Name: _____
Address Line 1: _____
Address Line 2: _____
City/Town: _____ State: _____ Zip Code: _____
Business Phone: _____ ext.: _____
*E-mail: _____

(A-5) Gross Revenues and Annual Assessment Contact (pursuant to Conn. Gen. Stat. § 16-49):

Name: _____
Address Line 1: _____
Address Line 2: _____
City/Town: _____ State: _____ Zip Code: _____
Business Phone: _____ ext.: _____
*E-mail: _____

(A-6) Regulatory Compliance Contact:

Name: _____
Address Line 1: _____
Address Line 2: _____
City/Town: _____ State: _____ Zip Code: _____
Business Phone: _____ ext.: _____
*E-mail: _____

*By providing this e-mail address you are agreeing to receive official correspondence from DEEP, at this electronic address, concerning the subject application. Please remember to check your security settings to be sure you can receive e-mails from "ct.gov" addresses. Also, please notify DEEP if your e-mail address changes.

Part B - Scope of Service

(B-1) The Applicant is currently licensed to serve (check all that apply). If Applicant's license was expanded to serve additional customer classes, indicate the original and subsequent docket numbers granting such service:

Residential Customers Commercial Customers Industrial Customers

Licensing Docket Numbers _____

(B-2) Have there been any material changes to the Applicant's initial license application or its last license review application? Changes could include, but not be limited to, the following: (a) significantly modified standard service contracts or customer service plans; or (b) any new or resolution of existing investigations, fines, sanctions, penalties, or civil litigation, including settlements, regarding the Applicant, its corporate affiliates, or officers.

Yes No

If Yes, provide an update of material changes to original application as Attachment (B-2) with this review application pursuant to Regulations of Connecticut State Agencies § 16-245-2(b). Provide an initial, bulleted summary of the material changes reflected in the updated material.

Part C – Security & Financial Capability

(C-1) Exhibit C-1: “Security”

As Attachment (C-1a) provide current security demonstrating Applicant’s financial responsibility naming the State of Connecticut Public Utilities Regulatory Authority as the obligee, as required by Conn. Gen. Stat. §16-245(c) and Regulations of Connecticut State Agencies §16-245-4 which must be continuous without an expiration date during the term of the electric supplier’s license.

As Attachment (C-1b) provide current security demonstrating Applicant’s adherence to the renewable portfolio standards (RPS) responsibility which must be continuous, in the form of a bond, letter of credit, guarantee, or other financial instrument from a *creditworthy financial institution*, and naming the State of Connecticut Public Utilities Regulatory Authority as the obligee, as required by Conn. Agencies Regs. § 16-245a-1.

A consolidated security for both financial and RPS responsibilities can be provided so long as it meets the specific RPS Regulations and Licensing Regulations (security must be continuous and in the form of a bond, letter of credit, guarantee, or other financial instrument from a creditworthy financial institution).

(C-2) Exhibit C-2: “Corporate History”

Is there corporate history of any bankruptcy, dissolutions, merger, and/ or acquisitions involving the Applicant or its affiliates/subsidiaries since its electric supplier license was initially granted or its last license review was completed? Yes No

If Yes, as Attachment (C-2) provide such corporate history and an explanation if there is or was any bankruptcy proceeding in any jurisdiction of the US involving the Applicant or its affiliates.

(C-3) Exhibit C-3: “Applicant’s Financial Statements”

- Applicant is a publicly held company. Provide at least one of the following:
- (a) Applicant’s two most recent annual reports to stockholders, which shall include balance sheets, income statements, statements of cash flow, and notes to financial statements; or
 - (b) Applicant’s filings made with the Securities and Exchange Commission, such as 10-K or 10-Q and 8-K filings, covering the most recent five years.
- Applicant is a privately held entity. Provide each of the following:
- (a) Five most recent annual financial statements (audited if available), which shall include balance sheets, income statements, and notes to financial statements;
 - (b) Most recent quarterly financial statement, if available; and
 - (c) Copies of the Applicant’s two most recent federal income tax returns, if applicable.

(C-4) Exhibit C-4: “Parent or Affiliated Company Financial Statements”

If applicable, would a Parent or Affiliated Company intercede on behalf of the Applicant to pay an Alternative Compliance Payment or any fines?

- Yes If yes, provide applicable Parent or Affiliated Company Financial Statement information as identified within C-3.
- No If no, provide a detailed explanation for how the Applicant would access capital to fulfill its obligations if it were to find itself in a liquidity event.

(C-5) Exhibit C-5: “Budget”

Provide Applicant’s budgeted financial statements for the upcoming 12-month fiscal period and any other available budgets.

(C-6) Exhibit C-6: “Credit Information”

Provide evidence of Applicant’s current credit rating or information, such as a Dun and Bradstreet Credit Report or other similar independent financial service report(s).

Part D – Applicant’s Information

- (D-1)** As Attachment (D-1) provide the address of the Applicant’s headquarters, the articles of incorporation filed with the state or jurisdiction in which the Applicant is incorporated, and any bylaws and amendments thereto. If the Applicant is a holding company or the subsidiary of a holding company, a graphical depiction of the organization shall also be provided.
- (D-2)** For each state in which the Applicant currently operates, has previously operated or is newly licensed to operate since its initial or most recent review application, provide the following as Attachment (D-2):
- (a) status of each of the Applicant’s operations (e.g., active, inactive, pending) and the date that each license was issued;
 - (b) for any state in which the Applicant is newly licensed, a copy of all decisions or orders of the agencies granting the Applicant the authority to offer electric generation services;
 - (c) reasons for the cessation of the Applicant’s operations, if applicable; and
 - (d) any other relevant information or materials.

List of Attachments

Check the applicable box below for each attachment being submitted with this application form. When submitting any supporting documents, please label the required documents as indicated below (e.g., Attachment B-2, etc.). Be sure to include the Applicant's name on each submission.

- Attachment B-2:** If there has been any changes to the Applicant's original license application, provide all material changes to the original application pursuant to Regulations of Connecticut State Agencies §16-245-2(b).
- Attachment C-1:** Provide current security(ies) demonstrating Applicant's financial and renewable energy portfolio responsibilities as required by Regulations of Connecticut State Agencies §§16-245-4 and 16-245a-1.
- Attachment C-2:** If there is or was a corporate history of any bankruptcy, dissolutions, merger, or acquisitions involving the Applicant or its affiliates/subsidiaries since its electric supplier license was granted or its last license review was complete, provide such corporate history and an explanation for any jurisdiction in the United States.
- Attachment C-3:** Provide Applicant's Financial Statement information to include:
 - Publicly held company:
 - a. Annual reports to stockholders for the past two years, inclusive of balance sheets, income statements, statements of cash flow, and notes to the financial statements; or
 - b. Filings made with Securities and Exchange Commission for most recent five years.
 - Privately held entity:
 - a. Annual Financial Statements for the past five years, inclusive of balance sheets, income statements, statements of cash flow, and notes to the financial statements;
 - b. Quarterly Financial Statements since year-end, if applicable;
 - c. Copies of Applicant's two most recent federal income tax returns, if applicable.
 - Other information to demonstrate financial capability to maintain this Connecticut electric supplier license.
- Attachment C-4:** Provide Parent or Affiliate Financial Statement information, similar to Attachment C-3, or a detailed explanation for how the Applicant would access capital to fulfill its obligations if it were to find itself in a liquidity event.
- Attachment C-5:** Provide Applicant's budgeted financial statements for upcoming 12-month fiscal period and other available information.
- Attachment C-6:** Provide evidence of Applicant's current credit rating.
- Attachment D-1:** Provide the address of the Applicant's headquarters, the articles of incorporation filed with the state or jurisdiction in which the Applicant is incorporated, and any bylaws and amendments thereto. If the Applicant is a holding company or the subsidiary of a holding company, a graphical depiction shall also be provided.
- Attachment D-2:** Provide Applicant licensing information, if applicable, to include:
 - (a) Status of each of the Applicant's operations (e.g., active, inactive, pending) and the date that each license was issued;
 - (b) For any state in which the Applicant is newly licensed, a copy of all decisions or orders of the agencies granting the Applicant the authority to offer electric generation services;
 - (c) Reasons for the cessation of the Applicant's operations, if applicable; and
 - (d) Any other relevant information or materials.

Application Attestation:

By signing below, the Applicant and Preparer herein attest and certify, under penalty of false statement, that they have the authority to bind the Applicant to the content of this Application and Attestations, that they have personally examined and are familiar with the information submitted in this document and all attachments thereto, and that based on reasonable investigation, including inquiry of the individuals responsible for obtaining the information, the submitted information is true, accurate and complete to the best of their knowledge and belief. The Applicant and Preparer attest that they will amend this application within ten days of any substantial changes that occur regarding the information provided in the application while the application is pending before the Public Utilities Regulatory Authority (Authority). The Applicant and Preparer further attest and certify that it understands that a false statement in the submitted information may be punishable as a criminal offense, in accordance with section 22a-6 of the Connecticut General Statutes, pursuant to section 53a-157b of the Connecticut General Statutes, and in accordance with any other applicable statute.

“I have read, understood and AGREE with and ACCEPT all of the representations in the above Attestations.”	
_____ Signature of Applicant/Authorized Representative	_____ Date
_____ Printed Name of Applicant/Authorized Representative	_____ Title (if applicable)
_____ Signature of Preparer (if different than above)	_____ Date
_____ Printed Name of Preparer	_____ Title (if applicable)

Note: When filing this Application Form:

All supporting documentation should be numbered and attached in sequential order.

An **electronic copy** of the Application, including supporting documents, must be submitted via the Authority’s Web Filing System. To file an Application electronically, go to the Authority’s website at portal.ct.gov/pura, select ‘Make a Filing.’ Follow the steps listed on this web page to complete the filing process. If you already have obtained a Web Filing Account, proceed directly to the link ‘File a New Docket Application’.

For questions regarding this filing, contact the Executive Secretary at pura.executivesecretary@ct.gov or by phone at 860-827-1553.

AFFIDAVIT #1
“Non-Divulgence of Unauthorized Customer Information”

State of _____ :
: _____ ss.
(Town)

County of _____ :

_____, Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/she is the _____ (Office of Affiant) of _____ (Name of Applicant);

That he/she is authorized to and does make this affidavit for said Applicant;

That _____, the Applicant herein, attests that it will not release customer information to any person, as that term is defined in Section 16-1 of the General Statutes of Connecticut, unless the customer signs a release, the form for which will be made available by the Authority. The applicant and the applicant’s third party agents have reasonable cyber and data security practices pursuant to Conn. Agencies Regs. § 16-245-2. For purposes of this affidavit, “customer information” means customer-specific information that the electric supplier acquired or developed in the course of providing electric generation services and includes, but is not limited to information that relates to the quantity, time of use, type and destination of electric service, information contained in electric service bills and other data specific to an electric supplier customer.

That the facts above set forth are true and correct to the best of his/her knowledge, information, and belief and that he/she expects said Applicant to be able to prove the same at any hearing hereof.

Signature of Affiant

Sworn and subscribed before me this _____ day of _____, _____.
Month Year

Signature of official administering oath

Print Name and Title

My commission expires _____.
(For Notary Publics only)