

State of Connecticut Public Utilities Regulatory Authority

Instructions for Application for a Connecticut Electric Supplier License

Attached is the Application for a Connecticut Electric Supplier License (Application). Filing instructions are included to assist the Applicant. Applicants are advised to consult any Decision(s) and/or evidence in the following PURA Dockets before submitting their Application for guidance on the proper conduct of suppliers and other requirements to operate as a supplier in Connecticut.

- Docket No. 98-06-17, DPUC Investigation Into Billing and Metering Protocols and Appropriate Cost Sharing Allocations Among Electric Distribution Companies and Electric Suppliers;
- Docket No. 05-08-05RE02, DPUC Investigation into the Process by Which Customers Can Choose an Electric Supplier When Initiating Electric Service – Amended Referral Program;
- Docket No. 06-10-22, PURA Monitoring the State of Competition in the Electric Industry;
- Docket No. 07-01-21, DPUC Declaratory Ruling RE: Release of Customer Information Pursuant to Conn. Gen. Stat. 16-245o;
- Docket No. 07-05-33, DPUC Administration of Disclosure Label Requirements and Examination of Direct Billing by Electric Suppliers;
- Docket No. 10-06-24, DPUC Review of the Current Status of the Competitive Supplier and Aggregator Market in Connecticut and Marketing Practices and Conduct of Participants in that Market;
- Docket No. 13-07-18, PURA Establishment of Rules for Electric Suppliers and Electric Distribution Companies Concerning Operations and Marketing in the Electric Retail Market;
- Docket No. 14-07-17, PURA Development of Standard Summary Form of Material Contract Terms;
- Docket No. 14-10-19, PURA Investigation Into Redesign of the Residential Billing Format;
- Docket No. 14-07-19RE01, PURA Investigation into Redesign of Residential Electric Billing Format – Billing Format Clarification;
- Docket No. 14-07-19RE05, PURA Investigation into Redesign of Residential Electric Billing Format – Review of Summary Information, Implementation and Display;
- Docket No. 14-07-20RE01, PURA Development and Implementation of Marketing Standards and Sales Practices by Electric Suppliers - Revised Standards; and,
Docket No. 15-06-15, PURA Variable Electric Rate Study

When filing the **Application**, the following requirements apply:

- An electronic copy of the Application must be submitted via the Authority's Web Filing System. To file an Application electronically, please go to the Authority's website at portal.ct.gov/pura. Click the link '*Make a Filing.*' Follow the steps on this page to complete the filing process. 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.
- A filing fee of \$2,500 must be submitted via either a Wire or ACH payment to the Department of Energy and Environmental Protection. The notation on wire transfer should read "EL Supplier App." 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

To view any filings made by Suppliers or Aggregators who have already been licensed by the Authority or for any other related documents or information related to Suppliers and Aggregator's, please go to the Authority's website at <https://portal.ct.gov/PURA/Electric/Information-for-Electric-Suppliers> (Information for Electric Suppliers and Aggregators).

Not more than 30 days after the Application is filed, the Authority will notify the Applicant in writing that the Application is complete and accepted, or that the Applicant must submit additional information. The Authority will issue its Decision regarding the Application after notice and a hearing (if required), no later than 90 days after receiving all information required of the Applicant.

If you have any questions about the Authority's electronic filing requirements, please dial 860-827-1553 (press 2) or submit your question via e-mail at pura.executivesecretary@ct.gov. If you have any other questions, please call the Authority's Consumer Services Unit at 800-382-4586.

Application for a Connecticut Electric Supplier License

A. APPLICANT'S INFORMATION:

(A-1) Applicant's legal name, address and web site:

Name: _____

Address: _____

Main Telephone: _____

Web site (if any): _____

(A-2) If any, Applicant's principal office in Connecticut:

Address: _____

Main Telephone: _____

Main Fax: _____

(A-3) Contact person for regulatory matters:

Name: _____

Title: _____

Address: _____

Telephone: _____

Fax: _____

E-mail Address: _____

(A-4) Applicant's agent for service in Connecticut:

Name: _____

Company: _____

Address: _____

Telephone: _____

Fax: _____

E-mail address: _____

(A-5) Applicant's address and toll-free telephone number for customer service and complaints:

Name: _____

Title: _____

Address: _____

Toll-free Telephone: _____

Fax: _____

E-mail address: _____

(A-6) Applicant's Federal Employer Identification Number (FEIN): _____

(A-7) Applicant's Connecticut Tax Identification Number: _____

(A-8) Applicant's legal form of ownership:

Corporation

LLC

Cooperative

Other: _____

(A-9) Applicant was formed or organized on _____ in _____ (City), _____ (State)

(A-10) **Exhibit A-10: "Director and Officer Information"**

Provide a complete list of Applicant's officers, directors, partners or similar officers, including: (a) name; (b) job title; (c) business address; and (d) business telephone number.

(A-11) **Exhibit A-11: "Business Registration in Connecticut"**

Provide a copy of any business registration on file with the Connecticut Secretary of State.

(A-12) **Exhibit A-12: "Articles of Incorporation and Bylaws"**

Provide the following: (a) The articles of incorporation filed with the state or jurisdiction in which Applicant is incorporated and any amendments thereto; and (b) Applicant's bylaws and any amendments thereto.

A. APPLICANT'S INFORMATION (cont'd)

(A-13) Exhibit A-13: "Corporate Structure"

Provide a chart or any similar graphical depiction of Applicant's entire corporate structure to clearly show: (a) the names of all Applicant's affiliates; (b) the relationship between all the affiliates; and (c) the names of all holding companies affiliated with Applicant.

(A-14) Is Applicant, its officers, or any of the Applicant's corporate affiliates currently under investigation, or have they ever been fined, sanctioned, penalized, or subject to civil litigation, in any state?

- Yes If yes, provide **Exhibit A-14: "Violation History."** For each investigation, provide all of the following: name of the state and agency conducting the investigation; date on which investigation began; description of the nature of the alleged violation; and status of the investigation. For each fine, sanction, penalty, or civil action, provide all of the following: date of the fine, sanction, penalty, or settlement; name of state and agency imposing the fine, sanction or penalty; description of the violation; description of the fine, sanction, penalty, or civil action including monetary amounts, if applicable; and a copy of the order imposing the fine, sanction, penalty, or settlement agreement.
- No

B. PROPOSED SCOPE OF SERVICE:

(B-1) Applicant is seeking a license to serve: *(check all that apply)*

- Residential customers
 Commercial customers
 Industrial customers
 Other: _____

In the following geographic area(s):

- The ENTIRE state of Connecticut
 Other: _____

(B-2) Exhibit B-2: "Standard Service Contract"

Provide a copy of Applicant's standard service contract(s) for each class of Connecticut customer.

(B-3) Exhibit B-3: "Customer Service Plan"

Provide a copy of Applicant's Connecticut customer service plan, which shall address each of the following:

- (a) customer security deposit procedures and requirements;
(b) customer complaint handling and dispute resolution procedures;
(c) customer termination procedures;
(d) customer rights and responsibilities; and
(e) disclosure of customer information procedures.

(B-4) Does Applicant currently provide, or has Applicant ever provided, electric generation services in another state?

- Yes If yes, provide **Exhibit B-4: "Operations in other States."** For each state in which Applicant currently operates or has previously operated, provide all of the following: (a) status of Applicant's operations (e.g., active, inactive, pending); (b) copy of all decisions or orders of the agencies granting or denying Applicant the authority to offer electric generation services; (c) reasons for the cessation of Applicant's operations, if applicable; and (d) any other relevant information or materials.
- No

C. FINANCIAL CAPABILITY:

(C-1) Exhibit C-1: “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 two years.
- Applicant is a privately-held entity. Provide each of the following:
 - (a) Two 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-2) Exhibit C-2: “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-1.
- No If no, provide a detailed explanation for how the Company would access capital to fulfill its obligations if it were to find itself in a liquidity event.

(C-3) Exhibit C-3: “Budget”

Provide Applicant’s budgeted financial statements for the upcoming 12-month fiscal period and any other available budgets. Separately provide the Applicant’s projected Connecticut-specific revenue.

(C-4) Exhibit C-4: “Credit Information”

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

(C-5) Exhibit C-5: “Corporate History”

Provide a summary of Applicant’s history of bankruptcy, dissolution, merger or acquisition in the two calendar years immediately preceding the date of this application. If Applicant has no such history, provide a statement to that effect.

(C-6) Exhibit C-6: “Other Relevant Information Concerning Financial Capability”

If available, provide any other information or documentation that would demonstrate Applicant’s financial ability or fitness to provide the services proposed.

D. TECHNICAL CAPABILITY:

- (D-1) For the 12-months following Applicant's licensure, if granted, provide an estimate of the expected total electric generation load and number of Connecticut customers to be served by Applicant in each of the following categories:

Dates: _____ through _____

	Expected Number of Customers Served	Expected Electric Generation Load (MW)	Expected Electric Generation Sales (MWh)
Residential			
Commercial			
Industrial			
Other: _____			
TOTAL			

- (D-2) Describe in detail how Applicant intends to meet the total expected 12-month electric generation load specified in (D-1) (i.e., total MW of Applicant's own generation, total MW of long-term or short-term purchase power contracts, and total MW of purchase power on spot market).

(D-3) Exhibit D-3: "Evidence of Electric Generation Supply"

Provide documentation to show evidence of electric generation supply as stated in (D-2), such as evidence of Applicant's own generation or copies of purchase power contracts.

- (D-4) Is Applicant registered with or certified by the New England Regional Independent System Operator (ISO)?

Yes If yes, provide **Exhibit D-4a: "Registration with ISO."** Provide the following information: (a) Evidence that Applicant is registered with or certified by ISO; and (b) documentation showing that Applicant is in compliance with all system rules and standards established by ISO (i.e., a letter from NEPOOL confirming Applicant's good standing as a NEPOOL participant).

No If no, provide **Exhibit D-4b: "Power providers' registration with ISO."** Provide the following information: (a) Names and addresses of all entities with whom Applicant has a contractual relationship to purchase electric power; (b) evidence that each such entity is registered with or certified by ISO; and (c) documentation showing that each such entity is in compliance with all system rules and standards established by ISO (i.e., a letter from NEPOOL confirming such entity's good standing as a NEPOOL participant).

- (D-5) Does Applicant own any electric generation facilities?

Yes If yes, provide **Exhibit D-5: "Generation Facilities."** Provide the following information for each facility: (a) name of plant or facility; (b) address or location of facility; (c) megawatt capacity of facility; (d) fuel source; (e) length of time owned or operated by Applicant; (f) an affidavit certifying that each such facility is in compliance with all applicable licensing requirements of the Federal Energy Regulatory Commission and an explanation of any noncompliance; and (g) an affidavit certifying that each facility located in Connecticut and owned by Applicant is in compliance with Chapter 277 of the General Statutes of Connecticut and state environmental laws, regulations and permits and an explanation of any noncompliance.

No

D. TECHNICAL CAPABILITY (cont'd)

(D-6) Do all electric generation facilities owned by or under long-term contract to Applicant, located in North America, and supplying power to end users in this state comply with Section 22a-174j of the General Statutes of Connecticut?

Yes

No If no, provide **Exhibit D-6: “Noncompliance with C.G.S. § 22a-174j.”** Provide a detailed explanation for the noncompliance.

Not applicable

(D-7) **Exhibit D-7: “Policies for Switching Customers”**

Provide the following: (a) a description of Applicant’s policies and procedures for switching customers’ electric suppliers; and (b) a sample copy of any documentation that will be sent to potential customers for the purpose of changing electric suppliers.

(D-8) **Exhibit D-8: “Other Relevant Information Concerning Technical Capability”**

If available, provide any other information or documentation that would demonstrate Applicant’s technical ability or fitness to provide the services proposed.

E. MANAGERIAL CAPABILITY:

(E-1) **Exhibit E-1: “Background in Electric Industry”**

Provide a detailed summary of Applicant’s background in the electric industry.

(E-2) **Exhibit E-2: “Resumes of Officers”**

Provide the following: (a) a list of the names of all officers directly responsible for Applicant’s operations, including a description of each officer’s job title and duties and responsibilities; and (b) each officer’s professional resume.

(E-3) **Exhibit E-3: “Other Relevant Information Concerning Managerial Capability”**

If available, provide any other information or documentation that would demonstrate Applicant’s managerial ability or fitness to provide the services proposed.

F. SECURITY:

For the purposes of this Application, “security” means a bond, letter of credit, guarantee, or other appropriate financial instrument from a creditworthy financial institution. Such security shall name **The State of Connecticut Public Utilities Regulatory Authority** as Obligee.

(F-1) **Exhibit F-1a:** Please indicate the amount of security the Applicant maintains pursuant to Conn. Agencies Regs. § 16-245-4 (Licensing Security), as amended on July 24, 2024. Security must be ‘continuous’ without any expiration date. Provide a twelve month estimate of the expected total load to be served in Connecticut by the Applicant including the underlying analysis of the Company’s forecasted load.¹

Exhibit F-1b: Please indicate the amount of security the Applicant maintains pursuant to Conn. Agencies Regs. §16-245a-1 (Renewable Portfolio Standards Security). The Renewable Portfolio Standards (RPS) Security must be ‘continuous’ without any expiration date.

¹ The currently required Security based on forecasted load pursuant to Conn. Agencies Regs. § 16-245-4a(2)(A) is as follows: (i) Up to 100,000 MWh: \$ 250,000; (ii) 100,001 MWh to 499,999 MWh: \$500,000; (iii) 500,000 MWh to 999,999 MWh: \$1 million; and (iv) 1,000,000 to 1,500,000 MWh: \$2 million.

Exhibit F-1c: Applicant may consolidate the Licensing and Renewable Portfolio Standards Securities. Please indicate if the Applicant has chosen to do so, and, if applicable, identify the total amount of Security obtained.

(F-2) Exhibit F-2: “License and RPS Securities”

Provide documentation demonstrating that the Applicant maintains the securities as required pursuant to Conn. Agencies Regs. §§ 16-245-4 and 16-245a-1. A consolidated security for both the Applicant’s License and RPS obligations may be provided so long as it is continuous without an expiration date during the term of the Supplier’s license and in the form of a bond, letter of credit, guarantee, or other financial instrument from a creditworthy financial institution.

G. CONSUMER SERVICES:

(G-1) Contact for Consumer complaints: Provide the name, address, telephone number, fax number and e-mail address of Applicant’s employee whom the Authority should contact regarding customer complaints.

(G-2) Will Applicant perform its own solicitation for Connecticut customers or will Applicant utilize subcontractors/third-party marketers?

(G-3) Refer to G-2. If Applicant intends to utilize third party marketers or subcontractors, provide the following information:

- a) How service quality is ensured;
- b) Quantity of training for third party marketers or subcontractors; and
- c) Company oversight of any third-party marketers or subcontractors.

(G-4) Refer to Application Exhibit B-2, Standard Service Contract. If Applicant intends to perform door-to-door sales, is Applicant aware of municipal requirements in some communities that require representatives to be registered? If so, has Applicant complied with all applicable municipal requirements? If not, why not?

(G-5) Explain in detail how Applicant will ensure that its telemarketing and door-to-door sales staff will not represent themselves as working with or working for one of Connecticut’s local distribution companies.

(G-6) Refer to Application Exhibit B-3, Customer Service Plan. Explain how Applicant will inform its customers of all customer service policies, rights and responsibilities. Will this information be provided in writing to customers and/or prospective customers?

(G-7) Refer to Application Exhibit D-7, Policies for Switching Customers. Does Applicant provide any written documentation, other than the standard service contract or customer service plan that is sent to potential customers specifically for the purpose of changing electric suppliers? If so, provide a sample copy.

(G-8) Provide a copy of Applicant’s Code of Conduct for its marketing staff and/ or any third-party marketers it uses.

(G-9) Provide a description of Applicant’s and any third-party agent’s cyber and security practices pursuant to Conn. Agencies Regs. § 16-245-2(b)(17).

AFFIDAVIT #1
"Veracity of Statements"

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, certifies under penalty of false statement that all statements made in the application for licensure are true and complete and that it will also amend its application while the application is pending if any substantial changes occur regarding the information provided in the application within ten days of any such change.

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 _____.

AFFIDAVIT #3
“Full Cooperation in the Event of an Emergency”

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 cooperate fully with the Public Utilities Regulatory Authority, ISO-NE, the electric distribution companies, and other electric suppliers in the event of an emergency condition that may jeopardize the safety and reliability of the electric service in accordance with emergency plans and other procedures as may be determined appropriate by the Authority.

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)

AFFIDAVIT #4
"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)

AFFIDAVIT #5
“Compliance with FERC Licensing Requirements”

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 use its best efforts to verify that any entity with whom it has a contractual relationship to purchase power is in compliance with all applicable licensing requirements of the Federal Energy Regulatory Commission.

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)

AFFIDAVIT #7

“Compliance with Connecticut Renewable Portfolio Standards”

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 comply with the Renewable Portfolio Standards established in Section 16-245a of the General Statutes of Connecticut.

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)