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

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" or "Board") 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 submission of confidential information. All sections of this form, including related attachments, are subject to the rules and requirements of the State of New Jersey's Open Public Records Act. (N.J.S.A. 47:1A-1 et seq.)

All documentation must be submitted electronically via the BPU External Access Portal.

E-Filing instructions can be found at: https://nj.gov/bpu/agenda/efiling/

Section 1

1. a) Legal Name of Registrant: _____

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

2. Principal Business Address:

   _____

   _____

   _____

   _____

3. Business Telephone Number: _____

4. Website address: _____

5. 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.)*

6. 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: _____

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

   _____

8. 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*)

   _____

   _____

   _____

9. 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*)

   _____

   _____

   _____

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

    Name: _____

    Title: _____

    E-mail Address: _____

    CC E-mail (*"N/A" if not applicable*): _____

    Telephone Number: _____

    Address: _____

    _____

11. If the regulatory affairs representative, provided in #10 above, will <u>not</u> 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: _____

12. Provide the name and business address of the applicant's parent company. (*"N/A" if not applicable*)

    _____

    _____

    _____

    _____

13. 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, see Attachment No.: _____

    ☐ 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.

14. 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, see Attachment No.: _____

    ☐ 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.

15. 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, see Attachment No.: _____

    ☐ 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.

16. 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, see Attachment No.: _____

☐ No

If yes, attach a schedule giving details and provide relevant documents.

17. 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, see Attachment No.: _____

☐ 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.

18. 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, see Attachment No.: _____

☐ 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.

For Energy Consultants only (items 19 through 20):

19. Provide the required New Jersey office address:

(*Note: Applicant must lease or own space in a building in New Jersey. A post office box, virtual office, or rented mail-receiving space shall not constitute a New Jersey office. See instructions for more information.)*

_____

_____

_____

20. Provide a copy of the original surety bond continuation certificate for the perfect surety bond 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.*)

Section 2

Attach the following items to the application. Do not leave any items below unanswered. Responses to multiple items may be combined into a single attachment. If an item is not applicable, type or print "N/A" with a brief explanation detailing the reason why it is not applicable in the corresponding attachment. All attachments must be labeled with an identifying number and provided below.

A. Attach financial statements from the latest fiscal year.

- Attachment No.: _____

B. Provide a reference letter from a bank or other 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).

- Attachment No.: _____

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.

- Attachment No.: _____

D. Provide a list of all US states and jurisdictions the Registrant is currently doing retail marketing and/or serving customers.

- Attachment No.: _____

E. 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. 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.

- Attachment No.: _____

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

- Attachment No.: _____

G. 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:

_____

State of New Jersey
BOARD OF PUBLIC UTILITIES

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

PLEASE NOTIFY LICENSING & REGISTRATION UNIT OF ANY CHANGES SUBSEQUENT TO FILING.

REPLY TO: NJBPU LICENSING & REGISTRATION UNIT
E-MAIL: Audits.Licensing@bpu.nj.gov