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/

ELECTRIC POWER and/or NATURAL GAS SUPPLIER LICENSEE

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 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 Licensee: _____

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

2. New Jersey Principal Business 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.*)

   _____

   _____

   _____

3. Business Telephone Number: _____

4. Website address: _____

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

   ☐ Electric Power ☐ Natural Gas ☐ Both Electric and Gas

6. Provide the current license number(s): (*"N/A" if not applicable*)

   a) New Jersey Electric Power Supplier License Number: _____

   b) New Jersey Natural Gas Supplier License Number: _____

7. Provide the BPU docket numbers for the last approved license application(s): (*"N/A" if not applicable*)

   a) Docket No. of Last Approved Electric Power Supplier License: _____

   b) Docket No. of Last Approved Natural Gas Supplier License: _____

8. Provide any changes to the information (names, titles, telephone numbers, and email addresses) contained in the Licensee's most recent license filing, including but not limited to: Officers, Directors, Partners; New Jersey in-state Registered Agent; and New Jersey Customer Service 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 Licensee since the most recent license 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 Licensee'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 year, is or has the Licensee 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 Licensee or any of the key operating personnel, officers, directors, partners, owners, or listed stockholders ever been indicted 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 Licensee 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 Licensee 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.

17. In the past three years, has the Licensee 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 regarding the status of the disciplinary proceeding, (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 final order, official filed petition, or complaint initiating the disciplinary proceeding.

Section 2

Attach the following items to the annual information update form. Responses to multiple items may be combined into a single attachment. Do not leave any items below unanswered. 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. Provide the number of New Jersey customers in the chart below, by customer class, currently being served by the Licensee.

- Attachment No.: _____

Customer Class Served	***Number of NJ Electric Customers***	***Number of NJ Gas Customers***
Residential		
*Small Commercial		
Large Commercial		
Industrial		

(**Refer to the Website Information Disclosure Form on page 6 for definition*)

B. Provide the Licensee's most recent 12-month and calendar year sales volume in New Jersey, by customer class and by month; in addition, attach a copy of the Licensee's latest quarterly New Jersey ST-50-EN sales and use tax report.

- Attachment No.: _____

C. Provide financial statements for the Licensee's most recent fiscal year. If public company, attach most recent 10K and 10Q SEC filings.

- Attachment No.: _____

D. If marketing to residential customers, provide a copy of all marketing materials, including but not limited to electronic, print, radio or television media, internet websites or scripts used in door-to-door, telephone or other point-of-sale marketing, such as detailed information regarding the training given to marketing personnel acting on behalf of the Licensee.

- Attachment No.: _____

E. Provide a copy of the New Jersey residential contract and renewal contract, with summary contract sheet.

- Attachment No.: _____

(*Note: Whenever an electric or gas supplier intends to use new or updated marketing materials, residential contract, renewal contract, and summary contract sheet targeted at retail customers in the State of New Jersey, including but not limited to, electronic, print, radio or television media, internet websites or scripts used in door-to-door, telephone or other point-of-sale marketing, the supplier shall submit to the Board of Public Utilities at least five (5) business days prior to the use of such materials a certification. The certification shall identify specific changes or updates made by the supplier and shall state that the new or updated marketing materials fully comply with all applicable laws, rules, regulations and Board Orders concerning marketing standards. Failure to timely submit this certification may result in enforcement action. Moreover, the Board reserves the right to request and review any marketing materials it deems necessary at any time while the supplier is licensed by the Board.*)

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. 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.: _____

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

- Attachment No.: _____

H. Does the Licensee use the following means of market solicitation?

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

(*Note: If applicant selected yes to (d) above <u>and</u> will be soliciting residential customers, then complete the Do Not Call Certification found in the instructions of this application.*)

- Attachment No.: _____

I. Provie a copy of the original surety bond continuation certificate for the perfected surety bond in the minimum amount of $250,000 for each supplier license, as applicable.

- Attachment No.: _____

(*Note: If the current surety bond continuation certificate has already been submitted to the Board prior to this annual information update form submission, please state as such and provide a copy of the continuation certificate that was submitted for each supplier license, as applicable.)*

J. 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.: _____

K. Remit the annual license fee(s) in the amount(s) listed below. See instructions for additional information.

a) Annual Electric Supplier License Fee $ 750
b) Annual Natural Gas Supplier License Fee $ 600

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 license annual information update form and certification on behalf of the Licensee.

2. I hereby certify that I have carefully examined all of the statements contained in this license 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 initial license annual information update form 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 license annual information update form does not afford any rights with respect to use of a utility facility, but that exercise of the license, 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 continuation of the license.

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

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 currently markets to and/or serves customers: (DO NOT INDICATE SERVICE NOT YET OFFERED)

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

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

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