

MAINE PUBLIC UTILITIES COMMISSION

APPLICATION FOR LICENSE AS A COMPETITIVE ELECTRICITY PROVIDER

Pursuant to 35-A M.R.S.A. § 3203 and MPUC Rules, Chapter 305, "Licensing Requirements, Annual Reporting, Enforcement and Consumer Protection Provisions for Competitive Provision of Electricity"

Please print or type all required information. Identify all attachments in the main body of this application. All attachments should bear the legal name of the Applicant and should be included on the electronic copy provided. **Previous revisions of this application form are obsolete.** Applicants should file an original and two copies of the application and all supporting materials, plus the \$100 filing fee made payable to the Treasurer, State of Maine, with the **Maine Public Utilities Commission, Administrative Director, 18 State House Station, 242 State Street, Augusta, ME 04333-0018.** Applicants must also file an electronic copy pursuant to Chapter 305 § 2(D)(3) in accordance with the Commission's electronic filing process. Applicant must file a copy of this application and all supporting documents with the Office of Public Advocate, 112 State House Station, Augusta, ME 04333-0112.

PROVIDE ALL INFORMATION AS REQUIRED BY CHAPTER 305 BELOW AND IN SPECIFICALLY IDENTIFIED ATTACHMENTS TO THIS APPLICATION. REFER TO CHAPTER 305 FOR SPECIFIC INFORMATION REQUIRED. COMMISSION STAFF MAY REQUEST ADDITIONAL INFORMATION IN ORDER TO COMPLETE THE PROCESSING OF YOUR APPLICATION.

| <u>INFORMATION REQUIRED FROM ALL APPLICANTS</u> | | |
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| 1 | Applicant's legal name: <i>[Ch. 305 § 2(B)(8)(a)]</i> | |
| 2 | Name(s) under which Applicant will do business in Maine: <i>[Ch. 305 § 2(B)(8)(a)]</i> | |
| 3 | Applicant's business street address: <i>[Ch. 305 § 2(B)(8)(b)]</i> | |
| 4 | Applicant's mailing address, if different: <i>[Ch. 305 § 2(B)(8)(b)]</i> | |
| 5 | Applicant's web page address | |
| 6 | Contact person, address, and telephone number for regulatory/licensing matters: <i>[Ch. 305 § 2(B)(8)(e)]</i> <i>(Provide fax number and e-mail address.)</i> | |

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| 7 | Location and agent for service of process on Applicant in Maine: <i>[Ch. 305 § 2(B)(8)(c)]</i> | |
| 8 | Location, if any, of any office available to the general public or Maine customers: <i>[Ch. 305 § 2(B)(8)(d)]</i> <i>(State hours open to the public.)</i> | |
| 9 | Contact person, address, and telephone number for consumer complaints and other contacts, if different than regulatory contact: <i>[Ch. 305 § 2(B)(8)(f)]</i> <i>(Provide fax number and e-mail address.)</i> | |
| 10 | Name, title, address, telephone number, e-mail address of contact to appear on Commission CEP listing that appears on the web | |
| 11 | Type of organization of Applicant: <i>[Ch. 305 § 2(B)(8)(k)]</i> | Supporting documentation and copy of by-laws (or other documents reflecting how the Applicant is organized) are provided in Attachment ___. |
| 12 | Information on officers, directors, and partners, including business addresses: <i>[Ch. 305 § 2(B)(8)(n)]</i> | Required information, including names, titles, and business addresses, is provided in Attachment ___. |
| 13 | Names and addresses of all affiliated interests engaged in the retail sale of electricity in the U.S. or Canada. <i>[Ch. 305 § 2(B)(6)]</i> | Required information is provided in Attachment ___. Applicant may submit a copy of its most recent corporate annual report in compliance with this provision if it contains the required information. |
| 14 | Copies of most recent financial disclosures. If applicant does not make financial disclosures, it shall include the most recent financial disclosures of its corporate parent. <i>[Ch. 305 § 2(B)(1)]</i> | Required information is provided in Attachment ___. (If applicant has neither financial disclosures nor a corporate parent, provide other evidence of financial capability.) |
| 15 | State(s) in which Applicant is incorporated or otherwise registered or licensed to do business. <i>[Ch. 305 § 2(B)(8)(l)]</i> | Supporting information is provided in Attachment ___. Indicate with an * states where you may do business but are not currently doing so. |

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| 16 | <p>A list of jurisdictions in which applications for authority for sale of generation, broker or aggregator services have been made and disposition of applications. <i>[Ch. 305 § 2(B)(8)(i)]</i></p> | <p>Required information is provided in Attachment ____. Indicate the status of any application</p> |
| 17 | <p>List of jurisdictions in which applicant or affiliated interest have engaged in the sale of generation services or broker or aggregator services within prior 6 years. <i>[Ch. 305 § 2(B)(8)(h)]</i></p> | <p>Required information is provided in Attachment ____.</p> |
| 18 | <p>Bankruptcy history of the Applicant's or affiliated interest of the applicant for the past six years. <i>[Ch. 305 § 2(B)(7)(j)]</i></p> | <p><input type="checkbox"/> See Attachment ____ for detailed statement of all bankruptcy proceedings for the past six years of the applicant or any affiliated interest.</p> <p><input type="checkbox"/> Neither Applicant nor affiliated interest had any bankruptcy proceedings in the past 6 years.</p> |
| 19 | <p>Disclose all civil court or regulatory enforcement proceedings or criminal prosecutions commenced against applicant or associated entity w/in the last six years or currently pending that related to or arise out of the sale of electricity, the sale of natural gas, the provision of utility services, business fraud, or unfair or deceptive sales practices. <i>[Ch. 305 § 2(B)(4)(b)]</i></p> | <p><input type="checkbox"/> See Attachment __ for summary of enforcement actions and related information</p> <p><input type="checkbox"/> Neither Applicant nor associated entity has had any such proceedings</p> |
| 20 | <p>The number of customer complaints related to the sales of electricity or natural gas filed against it at regulatory bodies other than the Maine PUC within the last 12 months. <i>[Ch. 305 § 2(B)(4)(c)]</i></p> | <p><input type="checkbox"/> See Attachment __ for a summary of such complaints, including the average number of customers served in each jurisdiction during the same period.</p> <p><input type="checkbox"/> Applicant had no customer complaints.</p> |
| 21 | <p>What type(s) of license does the Applicant seek? [Check all that apply] <i>[Ch. 305 § 2(A)(1)]</i></p> | <p><input type="checkbox"/> Aggregator or Broker <i>[defined in Ch. 305 § 1(B)(3) and (5)]</i></p> <p><input type="checkbox"/> Standard Offer Provider</p> <p><input type="checkbox"/> Competitive Electricity Provider</p> |

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| 22 | A generic list of products and services that will be marketed in Maine. <i>[Ch. 305 § 2(B)(8)(g)]</i> | Required information is provided in Attachment ____. |
| 23 | Customer classes to be served as defined in Ch. 305 §1(B): | <input type="checkbox"/> Residential (§1(B)(20)) <input type="checkbox"/> Small Non-Residential (§1(B)(21)) <input type="checkbox"/> Medium Non-Residential (§1(B)(17)) <input type="checkbox"/> Large Non-Residential (§1(B)(14)) |
| 24 | T&D utility territories in which the applicant will do business: | <input type="checkbox"/> Central Maine Power Company <input type="checkbox"/> Bangor Hydro-Electric Company <input type="checkbox"/> Maine Public Service Company <input type="checkbox"/> Eastern Maine Electric Cooperative <input type="checkbox"/> Fox Island Electric Cooperative <input type="checkbox"/> Houlton Water Company <input type="checkbox"/> Kennebunk Light and Power District <input type="checkbox"/> Madison Department of Electric Works <input type="checkbox"/> Swans Island Electric Cooperative <input type="checkbox"/> Van Buren Light & Power District <input type="checkbox"/> Additional information provided on Attachment ____ |

ADDITIONAL INFORMATION REQUIRED FROM AGGREGATORS OR BROKERS ONLY

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| 25 | Will Applicant hold retail consumer funds? <i>[Ch. 305 § 2(B)(1)(b)]</i> | <input type="checkbox"/> Yes <input type="checkbox"/> No (If yes , applicant shall include additional documentation to demonstrate financial capability sufficient to refund deposits to retail customers. See Attachment ____.) |
| 26 | Demonstration of technical capability: <i>[Ch. 305 § 2(B)(2)(a)]</i> | Information demonstrating Applicant's technical capability, including a description of industry experience is provided in Attachment ____. |

ADDITIONAL INFORMATION REQUIRED FROM ALL OTHER COMPETITIVE ELECTRICITY PROVIDERS (INCLUDING PROSPECTIVE STANDARD OFFER PROVIDERS)

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| 27 | Has Applicant received FERC approval as a Power Marketer? <i>[Ch. 305 § 2(B)(7)(m)]</i> | <input type="checkbox"/> Yes <input type="checkbox"/> No (If yes , attach copy) (If no , the date and docket number of application to FERC, or other explanatory information, are provided in Attachment ____.) |
| 28 | Has Applicant entered into all required interconnection arrangements or contracts with Maine utilities? <i>[Ch. 305 § 2(B)(2)(c)]</i> | <input type="checkbox"/> Yes <input type="checkbox"/> No (If yes , a list of arrangements or contracts is provided in Attachment ____.) |

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| 29 | Technical capability to secure generation: <i>[Ch. 305 § 2(B)(2)(b)(I)]</i> | Provide generation in ISO-NE control area: Documentation that applicant is either a participant in the ISO-NE electricity market or will conduct transactions through a contractual arrangement with an entity that is provided in Attachment ____. Provide generation in Northern Maine: Documentation that applicant is either a participant in the market administered by NMISA or will conduct transactions through a contractual arrangement with an entity that is provided in Attachment _____. |
| 30 | Resource portfolio requirement: <i>[Ch. 305 § 2(B)(5); 35-A M.R.S.A. § 3210]</i> | Information or a statement demonstrating Applicant's ability to satisfy resource portfolio requirements of 35-A M.R.S.A. § 3210 and Chapter 311 of the Commission's Rules is provided in Attachment _____. |
| 31 | Tax Assessor registration and collection statement: <i>[Ch. 304 §2(B)(7) and 35-A M.R.S.A. § 3203(2)(F)]</i> | Evidence demonstrating Applicant's registration with the State Tax Assessor as a seller of tangible personal property, <u>and</u> an affirmative statement that the Applicant agrees to collect and remit taxes, as required in 35-A M.R.S.A. § 3203(2)(F), are provided in Attachment _____. |

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| <p><u>ADDITIONAL INFORMATION REQUIRED FROM ALL OTHER COMPETITIVE ELECTRICITY PROVIDERS (EXCLUDING PROSPECTIVE STANDARD OFFER PROVIDERS)</u></p> |
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| 32 | Does Applicant seek to be licensed to offer service to residential or small commercial consumers as defined in Ch. 305 §1(B)(20) & (21): | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 33 | What security is Applicant providing? <i>[Ch. 305 § 2(B)(3)(e)(i-ii)]</i> | <input type="checkbox"/> Letter of credit conforming to Ch. 305, with required supporting materials, is provided in Attachment ____. <input type="checkbox"/> Cash - Bank Check issued to "Treasurer, State of Maine" for \$100,000 due prior to serving customers but within two weeks of Commission deliberating Applicants proposed license unless stated otherwise in Commission Order <input type="checkbox"/> No security required (Security instruments) |

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| 34 | If a security instrument is required, does Applicant request any modifications of the initial \$100,000 security level? [Ch. 305 § 2(B)(3)(c)] | <input type="checkbox"/> Yes Support for the requested modification is provided in Attachment ____. <input type="checkbox"/> No <input type="checkbox"/> No security required |
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- Other supporting material for this application is provided in Attachment(s) _____.
or
 No other supporting material is provided herewith.

By obtaining a license, Competitive Electricity Providers agree:

1. To comply with all Maine laws and regulations applicable to competitive electricity providers;
2. To provide updated information to the Commission if there are substantial changes in circumstances from those documented in the license application process within six months of those changes;
3. To use reasonable efforts not to conduct business with any entity acting as a competitive electricity provider in Maine without a license from the Commission. For purposes of this provision, a review of the Commission's webpage to determine if an entity is licensed constitutes a reasonable effort.
4. Submit to the jurisdiction of the courts of the State of Maine and the Maine Public Utilities Commission; and
5. That all contracts for generation, broker or aggregator service to residential or small non-residential customers will be interpreted according to Maine law and maintained in Maine courts or before Maine administrative agencies.

(Chapter 305, §2(C))

Date of Application: _____

Legal Name of Applicant: _____

(NOTE: application must be signed by two officers of Applicant, and notarized)

IN WITNESS WHEREOF the parties have below set their hands and seals.

Date: _____ *BY (signature):*

TYPED/PRINTED NAME: _____

TITLE:

Date: _____ *BY (signature):*

TYPED/PRINTED NAME: _____

TITLE:
