



Application for an Electricity Wholesaler Licence

Application Instructions

1. Purpose of this Form

Use this form to apply, under section 60 of the *Ontario Energy Board Act, 1998* (OEB Act), for an “electricity wholesaler” licence. An electricity wholesaler licence issued by the Ontario Energy Board (OEB) enables the licensee to purchase electricity or ancillary services in the Independent Electricity System Operator (IESO) administered markets or directly from a generator; and to sell electricity or ancillary services through the IESO-administered markets or directly to another person, other than a consumer.

2. Completion Instructions

This form is in writeable PDF and can be completed electronically. If necessary, **responses may be continued on additional pages**. The applicant is encouraged to complete the form electronically, save the completed form and file it, along with any attachments, by e-mail to: boardsec@oeb.ca.

THE APPLICANT MUST ALSO SEND TWO PAPER COPIES OF THE COMPLETED AND SIGNED APPLICATION FORM, ALONG WITH TWO PAPER COPIES OF ANY ATTACHMENTS AND THE APPROPRIATE APPLICATION FEE TO:

Board Secretary
Ontario Energy Board
P.O. Box 2319
27th Floor
2300 Yonge Street
Toronto ON M4P 1E4

The OEB may require information that is additional to the information filed in this application form. Also, filing of a completed application form does not preclude the applicant from filing additional information.

Any questions regarding the completion of this application should be directed to the OEB at IndustryRelations@oeb.ca.

3. Application and Registration Fees

A non-refundable application fee is required to process this application. Please enclose a cheque or money order made payable to the **ONTARIO ENERGY BOARD**. If a licence is issued, the licensee will be required to pay an annual registration fee. The amounts of the application fee and the annual registration fee are indicated on the “Apply for a Licence” page of the “Industry” section of the OEB's website at www.oeb.ca.

4. Confidentiality

Information filed as part of or in support of sections 9 to 13 of this application will be treated as confidential. All other information filed as part of or in support of this application will be placed on the public record. Where the applicant objects to public disclosure of information filed as part of or in support of sections other than sections 9 to 13, the applicant must follow the procedure set out in the OEB's Practice Direction on Confidential Filings.

5. Important Information

Applicants should consider the timelines required to process applications to avoid submitting applications too early or too late. Submitting applications too early without reasonable certainty of the proposed licensed activities will impede regulatory efficiency while submitting applications too late will leave the applicant to bear the risk of delayed commencement of licensed activities. Processing timelines are indicated on the "[Apply for a Licence](#)" page of the "Industry" section of the OEB's website at www.oeb.ca. If submitted incomplete, there may be a delay in processing the application.

Applicants must make a copy of the non-confidential sections of the application available to any person who requests a copy.

Ontario Energy Board
P.O. Box 2319
2300 Yonge Street
27th Floor
Toronto ON M4P 1E4
Telephone: 1-888-632-6273
Facsimile: (416) 440-7656

Commission de l'énergie l'Ontario
C.P. 2319
2300, rue Yonge
27e étage
Toronto ON M4P 1E4
Téléphone: 1-888-632-6273
Télécopieur: (416) 440-7656



Application for an Electricity Wholesaler Licence

For Office Use Only	
Application Number	EB-
Date Received	

1. The Applicant

Legal Name of the Applicant : Castleton Commodities Merchant Trading L.P.

Business Classification:

Sole Proprietor

Partnership

Corporation

Other (describe) _____

Date of formation or incorporation: October 20, 2000

Place of formation or incorporation:

Province/State Delaware

Country United States

If the applicant is an individual, the applicant must be at least 18 years old. If the applicant is an individual, is he or she at least 18 years old?

Yes

No

Not Applicable - not an individual

Head Office or Business Address of Applicant

2200 Atlantic Street, Suite #800

City	Province/State	Country	Postal/Zip Code
<u>Stamford</u>	<u>CT</u>	<u>United States</u>	<u>06902-6834</u>

Phone Number	Toll Free (if available)	E-mail Address
<u>203-564-8100</u>		<u>WLT-EnergyLegal@cci.com</u>

Website Address https://www.cci.com/

2. Application Type

- New
- Renewal, provide the licence number and expiry date of the current licence.

Licence Number EW-2015-0145 Expiry Date April 22, 2020

3. Licence Primary Contact

The licensee shall designate a person who will act as primary contact with the OEB on matters related to the licence.

Mr. <input checked="" type="radio"/>	Mrs. <input type="radio"/>	Last Name	First Name	Initial
Miss <input type="radio"/>	Ms. <input type="radio"/>	Culliton	Stephen	
Other <input type="radio"/>		Title/Position		
		Senior Vice President and Head of North American Power		
		Company Name		
		Castleton Commodities Merchant Trading L.P.		

Licence Primary Contact Address:

2200 Atlantic Street, Suite #800

City	Province/State	Country	Postal/Zip Code
Stamford	CT	United States	06902-6834

Phone Number	Toll Free (if available)	E-mail Address
203-564-8183		steve.culliton@cci.com

4. Application Primary Contact

- Indicate if same as above. Proceed to section 5.

The primary contact for the licence application may be a person within the applicant's organization other than the licence primary contact noted above. An applicant may also choose to designate a consultant, lawyer, etc. to be the primary contact for the licence application. The OEB will communicate with this person during the course of the application review process but with the licence primary contact after a licence is issued.

Mr. <input checked="" type="radio"/>	Mrs. <input type="radio"/>	Last Name	First Name	Initial
Miss <input type="radio"/>	Ms. <input type="radio"/>	Zawadzki	Christopher	
Other <input type="radio"/>		Title/Position		
		Associate		
		Company Name		
		McCarthy Tétrault LLP		

Application Primary Contact Address:

66 Wellington St W Suite 5300			
City	Province/State	Country	Postal/Zip Code
Toronto	Ontario	Canada	M5K 1E6
Phone Number	Toll Free (if available)	E-mail Address	
416-601-7868		czawadzki@mccarthy.ca	

5. Trade Names

The electricity wholesaler licence authorizes the licensee to conduct business using the name under which the licence is held (i.e. the applicant's legal name). It also provides for the use of trade names by the licensee.

Does the applicant intend to use trade names?

- Yes, provide a list of trade names the applicant intends to use in the space provided below.
- No, proceed to section 6.

6. Applicant's Licensing Status and History

(a) Has the applicant, an affiliate of the applicant, or an associated entity (e.g., a partnership or limited partnership), ever been licensed by the OEB? (The *Business Corporations Act* definition for affiliate can be found at www.e-laws.gov.on.ca)

- Yes, provide details of current and expired licences in the table below.
- No, proceed to 6(b).

Licensee Name	Relation to the Applicant (e.g., applicant itself, affiliate, partner...etc.)	Licence Number
See attached Schedule.		

(b) Does the applicant, an affiliate of the applicant, or an associated entity have any other application(s) before the OEB?

Yes, provide details in the table below.

No, proceed to 6(c).

Applicant Name	Relationship to this Applicant	Type of Application	OEB File Number

(c) Has the applicant, an affiliate of the applicant, or an associated entity ever undertaken energy sector activity in any other jurisdiction within North America?

Yes, provide details in the table below.

No

Company Name	Relation to the Applicant	Jurisdiction	Business Activity	Name of Licensing Body and Licence/Registration No. (if applicable)
See attached Schedule.				

7. Key Individuals

In the table below, identify the key individuals that are responsible for executing the following functions for the applicant: matters related to regulatory requirements and conduct, financial matters, and technical matters. Key individuals include the Chief Executive Officer, the Chief Financial Officer, other officers and directors, partners or proprietors.

Name of Key Individual	Title/Position within Applicant's Business (or identify company if not the Applicant's Business)
Stephen Culliton	Senior V.P. and Head of North American Power
Duane Duclaux	Secretary
Sarah Mullin Finn	Senior V.P. and Treasurer

8. Intended Markets and Services

Identify the applicant's intended markets and services. Select any that apply.

- To purchase electricity or ancillary services in the IESO-administered markets.
- To purchase electricity or ancillary services directly from a generator.
- To sell electricity or ancillary services in the IESO-administered markets.
- To sell electricity or ancillary services to wholesalers.
- To sell electricity or ancillary services to distributors (i.e., standard supply services).
- To sell electricity or ancillary services to electricity retailers.
- To sell electricity or ancillary services to persons outside of the Ontario market.
- To sell electricity to consumers, defined as a person who uses for the person's own consumption, electricity that the person did not generate. If the applicant selects this item, the applicant may require a retailer licence. The application form can be found at www.oeb.ca.