

EB-2012-0369  
ER



## Application for an Electricity Retailer Licence

### Application Instructions

#### 1. Purpose of this Form

This form is to be used to apply for a licence that would enable the applicant

- (a) to sell or offer to sell electricity to a consumer;
- (b) to act as agent or broker for a retailer with respect to the sale of electricity; and/or
- (c) to act or offer to act as an agent or broker for a consumer with respect to the sale or offering for sale of electricity.

#### 2. Completion Instructions

This form is in a writeable PDF format. The applicant must either:

- type answers to all questions, print two copies and sign both copies; or
- print a copy of the form, clearly print answers to all questions, make a copy and sign both copies.

The applicant must also complete the checklist attached to the application form.

Please send both copies of the completed form, checklist, and two copies of any attachments to:

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

If you have any questions regarding the completion of this application, please contact the Market Operations Hotline by telephone at 416-440-7604 or 1-888-632-6273 or e-mail at [market.operations@ontarioenergyboard.ca](mailto:market.operations@ontarioenergyboard.ca).

Please note that the Board may require information that is additional or supplementary to the information filed in this application form and that filing of the form does not preclude the applicant from filing additional or supplementary information.

The Board's "Performance Standards for Processing Applications" are indicated on the "Corporate Information and Reports" section of the Board's website at [www.ontarioenergyboard.ca](http://www.ontarioenergyboard.ca). Applicants are encouraged to 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. If the submitted application is incomplete, it may be returned by the Board or there may be a delay in processing the application.

#### 3. Application and Registration Fees

A non-refundable application fee is required to process your application. Please enclose a cheque or money order made payable to the **ONTARIO ENERGY BOARD**. The amount of the application fee is indicated on the "Apply for a Licence" page of the "Licences" section of the Board's website at [www.ontarioenergyboard.ca](http://www.ontarioenergyboard.ca).

If a licence is issued, the licensee will be required to pay an annual registration fee. Annual registration fee information is indicated on the "Apply for a Licence" page of the "Licences" section of the Board's website at [www.ontarioenergyboard.ca](http://www.ontarioenergyboard.ca).

#### 4. Confidentiality

Sections 10 to 15 of this application will be treated as confidential. All other information filed as a part of or in support of this application will be placed on the public record. Where the applicant objects to public disclosure of information contained in sections other than sections 10 to 15, the applicant must follow the procedure set out in the Board's Practice Direction on Confidential Filings.

#### 5. Important Information

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

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Ontario Energy  
Board  
P.O. Box 2319  
2300 Yonge Street  
27<sup>th</sup> 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  
27<sup>e</sup> étage  
Toronto ON M4P 1E4  
Téléphone: 1-888-632-6273  
Télécopieur: (416) 440-7656



## Application for an Electricity Retailer Licence

For Office Use Only	
Application Number	EB - 2012-0369
Date Received	Sep 10/12

### 1. The Applicant

Legal Name of the Applicant : 2001 RBCP Canadian GP Limited, as General Partner of RBC Energy Services L.P.

Name to Appear on Licence: 2001 RBCP Canadian GP Limited, as General Partner of RBC Energy Services L.P.

☒ Indicate if the name to appear on the licence is the same as the legal name.

Please note that if the name to appear on the licence is not the same as the legal name, the name on the licence must include the legal name of the applicant and the legal name must appear first. The "Name to Appear on Licence" will appear on the notice of application and on the licence.

Business Classification:

☐ Sole Proprietor

☒ Partnership

☐ Corporation

☐ Other (describe) \_\_\_\_\_

Date of formation or incorporation: 09/01/2004

Place of formation or incorporation: \_\_\_\_\_

Province/state Ontario

Country Canada

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

## 2. Licence Primary Contact

As a condition of licensing, the licensee shall designate a person who will act as primary contact with the Board on matters related to the licence.

Mr. <input type="radio"/>	Mrs. <input type="radio"/>	Last Name	First Name	Initial
Miss <input type="radio"/>	Ms. <input checked="" type="radio"/>	Jordan	Elizabeth	
Other <input type="radio"/>		Title/Position		
		Vice President, Capital Markets Compliance		
Company Name if different from Name to Appear on Licence				
RBC Capital Markets				

Licence Primary Contact Address:

RBC Plaza, 200 Bay Street, South Tower, 9th Floor

City	Province/State	Country	Postal/Zip Code
Toronto	Ontario	Canada	M5J 2W7

Phone Number	Toll Free (if available)	Fax Number	E-mail Address
416-842-4434		416-842-3880	liz.jordan@rbccm.com

If the above address is not in Ontario, the applicant must also provide contact information for service purposes in the province of Ontario. Applicants whose offices are not located in Ontario may provide the address of an agent (an individual who is a resident of Ontario and is at least 18 years old, or a corporation that has its head office or registered office in Ontario) as the address of service.

Mr. <input type="radio"/>	Mrs. <input type="radio"/>	Last Name	First Name	Initial
Miss <input type="radio"/>	Ms. <input type="radio"/>			
Other <input type="radio"/>		Title/Position		
Company Name if different from Name to Appear on Licence				

Address for Service in Ontario (if different than the Licence Primary Contact Address above)

City	Province	Postal Code
	ONTARIO	

Phone Number	Toll Free (if available)	Fax Number	E-mail Address

### 3. Application Primary Contact

☐ Indicate if same as above. If yes, proceed to section 4.

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 Board will communicate with this person during the course of the application 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"/>	Arnold	Matthew	S
Other <input type="radio"/>		Title/Position		
		Senior Counsel		
Company Name if different from Name to Appear on Licence				
Royal Bank of Canada				

Application Primary Contact Address:

RBC Plaza, 200 Bay Street, North Tower, 14th Floor

City	Province/State	Country	Postal/Zip Code
Toronto	Ontario	Canada	M5J 2J5

Phone Number	Toll Free (if available)	Fax Number	E-mail Address
416-974-4371		416-842-5544	matthew.arnold@rbccm.com

### 4. Customer Complaint or Inquiries Primary Contact

Provide contact information of the person to whom correspondence or communication regarding customer complaints or inquiries should be addressed. The mailing address should be in Ontario and the telephone number should be listed in Ontario. If the applicant intends to retail electricity to low-volume consumers (annually consuming less than 150,000 kilowatt hours of electricity), the applicant should also provide a telephone number which may be reached by the general public without a charge.

Mr. <input type="radio"/>	Mrs. <input type="radio"/>	Last Name	First Name	Initial
Miss <input type="radio"/>	Ms. <input checked="" type="radio"/>	Bayley	Lindsay	
Other <input type="radio"/>		Title/Position		
		Associate		
Company Name if different from Name to Appear on Licence				
RBC Capital Markets				

Customer Complaint or Inquiries Primary Contact Address:

RBC Plaza, 200 Bay Street, South Tower, 2nd Floor

City	Province	Postal Code
Toronto	ONTARIO	M5J 2W7

Phone Number	Toll Free	Fax Number	E-mail Address
416-842-9912			lindsay.bayley@rbccm.com

## 5. Type of Application

☐ New licence

☒ Renewal, please provide the licence number and expiry date of the existing licence

Licence Number: ER- 2007-0876      Expiry Date: January 13, 2013

## 6. Trade Names

The electricity retailer licence authorizes the licensee to conduct business using the name under which the licence is held. It also provides for the use of trade names by the licensed electricity retailer.

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 7.


## 7. 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 Ontario Energy Board? (the *Business Corporations Act* definition for affiliate can be found at [www.e-laws.gov.on.ca](http://www.e-laws.gov.on.ca)).

☒ Yes, provide details of current and expired licences in the table below.

☐ No, proceed to 7(b).

Licensee Name	Relation to the applicant (e.g., applicant itself, affiliate, partner...etc.)	Licence Number
2001 RBCP Canadian GP Limited, as Gener	Applicant itself	ER-2007-0876
2001 RBCP Canadian GP Limited, as Gener	Applicant itself	EW-2007-0665
2001 RBCP Canadian GP Limited, as Gener	Applicant itself	GM-2007-0875
Royal Bank of Canada	Affiliate of applicant	EW-2008-0152

- (b) Does the applicant, an affiliate of the applicant, or an associated entity (e.g., a partnership or limited partnership) have any other application(s) before the Ontario Energy Board?

☒ Yes, provide details in the table below.

☐ No, proceed to 7(c).

Applicant Name	Type of Application	Ontario Energy Board File Number (if applicable)
2001 RBCP Canadian GP Limited, as General	Electricity Wholesaler Licence	EB-2012-0234
2001 RBCP Canadian GP Limited, as General	Gas Marketer License	Submitted concurrently herewith.

- (c) Has the applicant, an affiliate of the applicant, or an associated entity (e.g., a partnership or limited partnership) ever undertaken licensed energy sector activity in any other jurisdiction within North America?

☒ Yes, provide details of current and expired licences in the table below

☐ No

Company Name	Jurisdiction	Business Activity	Name of Licensing Body	Licence/Registration No.
See Schedule A				
attached for additional				
details.				

## 8. Officers, Directors and Key Individuals

- (a) If the applicant is a corporation, provide as a separate attachment a list of all officers and directors, including name and title.
- (b) Provide a list of key individuals below. The individuals listed must be the individuals that are responsible for the following functions for the applicant: regulatory requirements and conduct, financial matters and technical matters. These key individuals may include the Chief Executive Officer, the Chief Financial Officer, other officers, directors and proprietors.

**Note: Please list a minimum of three key individuals. If unable to provide a minimum of three, please explain.**

Name of Key Individual	Title/position within applicant's business (or identify company if not the applicant's business)
Bruce Macdonald	Head, Commodity & Electronic Trading, RBCCM
Frank Riley	Vice President, 2001 RBCP Canadian GP Limited
Kevin Paley	Vice President, 2001 RBCP Canadian GP Limited
Blair Rodgers	Chief Financial Officer, 2001 RBCP Canadian GP Limited

## 9. Intended Services and Markets

(a) Intended Services: please identify which of the following services the applicant intends to offer. You may select as many as applicable.

- ☐ to sell or offer to sell electricity to low-volume consumers (annually consuming less than 150,000 kilowatt hours of electricity) in Ontario.
- ☒ to sell or offer to sell electricity to large-volume consumers (annually consuming more than 150,000 kilowatt hours of electricity) in Ontario.
- ☒ to act as an agent or broker for a retailer with respect to the sale or offering for sale of electricity to large-volume consumers, or as an agent or broker for large-volume consumers with respect to the sale or offering for sale of electricity in Ontario.
- ☐ to act as an agent or broker for a retailer with respect to the sale or offering for sale of electricity to low-volume consumers, or as an agent or broker for low-volume consumers with respect to the sale or offering for sale of electricity in Ontario.

Is the applicant currently providing any of the above listed services?

- ☐ Yes, provide a list of the services the applicant is currently providing.

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- ☒ No, indicate when the applicant intends to provide these services.

Timelines to be determined.

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(b) Wholesale Market Participation: does the applicant intend to operate in the IESO-administered markets and settle bilateral contracts through the IESO?

- ☒ Yes
- ☐ No, please explain how the applicant intends to participate.

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(c) Retail Market Participation: does the applicant intend to settle the wholesale market cost of electricity consumed by its customers through a distributor's settlement system?

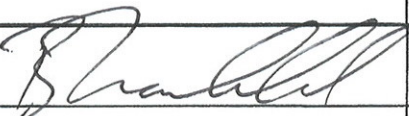
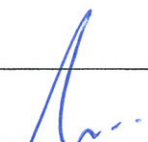
- ☒ Yes
- ☐ No, please explain how the applicant intends to participate.

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(g) I understand and acknowledge that, as a licensed electricity retailer, I must enter into a service agreement with the distributor before registering customers in a distributor's service area.

Name	Signature	Date
Bruce Macdonald		SEPTEMBER 7, 2012
Frank Riley		
Kevin Paley		
Blair Rodgers		
Angus Rigby		SEPTEMBER 7, 2012

Must be signed by:

- (a) the proprietor or by at least one partner, officer or director of the organization; and
- (b) each key individual identified in section 8(b)


(g) I understand and acknowledge that, as a licensed electricity retailer, I must enter into a service agreement with the distributor before registering customers in a distributor's service area.

Name	Signature	Date
Bruce Macdonald		
Frank Riley		SEPTEMBER 7, 2012
Kevin Paley		SEPTEMBER 7, 2012
Blair Rodgers		
Angus Rigby		

Must be signed by:

- (a) the proprietor or by at least one partner, officer or director of the organization; and
- (b) each key individual identified in section 8(b)

(g) I understand and acknowledge that, as a licensed electricity retailer, I must enter into a service agreement with the distributor before registering customers in a distributor's service area.

Name	Signature	Date
Blair Rodgers		SEPTEMBER 7, 2012

Must be signed by:

- (a) the proprietor or by at least one partner, officer or director of the organization; and
- (b) each key individual identified in section 8(b)