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ONTARIO ENERGY BOARD



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 Wholesaler Licence

For Office Use Only	
Application Number	EB-2015-0165
Date Received	April 28, 2015

### 1. The Applicant

Legal Name of the Applicant : Roctop Investments Inc.

Name to Appear on Licence: Roctop Investments Inc.

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.

Date of formation or incorporation: August 30, 2012

### 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 checked="" type="radio"/> Mrs. <input type="radio"/> Miss <input type="radio"/> Ms. <input type="radio"/> Other <input type="radio"/> _____	Last Name	First Name	Initial
	<u>Thellen</u>	<u>Vincent</u>	
	Title/Position		
	<u>President</u>		
Company Name if different from Name to Appear on Licence			
<u></u>			
Licence Primary Contact Address:			
<u>1061 Merivale Road - Unit 5</u>			
City	Province/State	Country	Postal/Zip Code
<u>Ottawa</u>	<u>Ontario</u>	<u>Canada</u>	<u>K1Z 6A9</u>
Phone Number	Fax Number	E-mail Address	
<u>613-793-2718</u>	<u></u>	<u>vincent@roctop.ca</u>	

If the above address is not in Ontario, the applicant must also provide contact information for service purposes in the province of Ontario. Wholesalers whose offices are not located in Ontario may provide the address of an agent as the address of service.

Mr. <input type="radio"/> Mrs. <input type="radio"/> Miss <input type="radio"/> Ms. <input type="radio"/> Other <input type="radio"/> _____	Last Name <input style="width: 90%;" type="text"/>	First Name <input style="width: 90%;" type="text"/>	Initial <input style="width: 80%;" type="text"/>
Title/Position/Company <input style="width: 95%;" type="text"/>			
Address for Service in Ontario (if different than the Licence Primary Contact Address above) <input style="width: 95%;" type="text"/>			
City <input style="width: 90%;" type="text"/>		Province <input style="width: 90%;" type="text" value="ONTARIO"/>	Postal Code <input style="width: 80%;" type="text"/>
Phone Number <input style="width: 90%;" type="text"/>	Fax Number <input style="width: 90%;" type="text"/>	E-mail Address <input style="width: 95%;" type="text"/>	

### 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 type="radio"/> Mrs. <input type="radio"/> Miss <input type="radio"/> Ms. <input type="radio"/> Other <input type="radio"/> _____	Last Name <input style="width: 90%;" type="text"/>	First Name <input style="width: 90%;" type="text"/>	Initial <input style="width: 80%;" type="text"/>
Title/Position <input style="width: 95%;" type="text"/>			
Company Name if different from Name to Appear on Licence <input style="width: 95%;" type="text"/>			
Application Primary Contact Address: <input style="width: 95%;" type="text"/>			
City <input style="width: 90%;" type="text"/>		Province/State <input style="width: 90%;" type="text"/>	Country <input style="width: 90%;" type="text"/>
Postal/Zip Code <input style="width: 90%;" type="text"/>			
Phone Number <input style="width: 90%;" type="text"/>	Fax Number <input style="width: 90%;" type="text"/>	E-mail Address <input style="width: 95%;" type="text"/>	

### 4. Type of Application

- New licence
- Renewal, please provide the licence number and expiry date of the existing licence  
 Licence Number: EW - \_\_\_\_\_    Expiry Date: \_\_\_\_\_

## 5. 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 5(b).

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

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

- Yes, provide details of current and expired licences in the table below  
 No

Licensee Name	Jurisdiction	Business Activity
Roctop Investments Inc./Kinkaid Capital Corp.	New-York (NYISO)	Virtual trading
Roctop Investments Inc./Kinkaid Capital Corp.	MISO	Virtual trading
Roctop Investments Inc./Kinkaid Capital Corp.	Texas (ERCOT)	Virtual trading

## 6. Key Individuals

The individuals listed as key individuals must be the individuals that are responsible for executing the following functions for the applicant: matters related to 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, or proprietors. Identify at least two key individuals. (If the applicant has only one key individual in the organization, identify the one key individual.)

Name of Key Individual	Title/position within applicant's business (or identify company if not the applicant's business)
Vincent Thellen	Director

## 7. Intended Markets and Services

Please identify the applicant's intended markets and services. You may select as many as are applicable.

- 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.ontarioenergyboard.ca](http://www.ontarioenergyboard.ca).

Note that applicants who purchase or sell in the IESO-administered markets must comply with the Market Rules and meet the IESO's prudential requirement.

### 13. Notice

The Board is authorized, under section 4.14 of the *Ontario Energy Board Act, 1998*, to collect personal information for the purpose of carrying out its duties and exercising its powers under the *Ontario Energy Board Act, 1998* or any other Act.

The information provided both on this form and attached to this form is being collected by the Board for the purpose of determining whether the applicant is qualified to receive the licence for which it is applying.

In order to verify the information on this form and/or determine whether the applicant is qualified to receive the licence for which it is applying, it may be necessary for the Board to collect additional information from some or all of the following sources: federal, provincial/state, or municipal governments; licensing bodies; law enforcement agencies; credit bureaus; and banks. Only information relevant to the application or the Board's determination of the application will be collected by the Board.

The public official who can answer questions about the collection of the information is:

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

Tel: 416-481-1967 or 1-888-632-6273


Applicants are reminded that the Board is subject to the *Freedom of Information and Protection of Privacy Act* ("FIPPA"). FIPPA addresses circumstances in which the Board may, upon request, be required to release information that is in its custody or under its control, and generally prohibits the Board from releasing personal information. "Personal Information" has the meaning given to it under FIPPA.

### 14. Certification and Acknowledgment

I certify that the information contained in this application and in the documents provided are true and accurate.

I understand and acknowledge that, as a licensed electricity wholesaler, I must provide information as the Board may require from time to time.

**Note: The issuance of an electricity wholesaler licence does not guarantee accreditation by the IESO or distributors.**

Print Name of Key Individual	Signature of Key Individual	Date
Vincent Thellen		2015/04/24

(Must be signed by one of the key individuals identified in section 6)