



## 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@ontarioenergyboard.ca](mailto:boardsec@ontarioenergyboard.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  
27<sup>th</sup> 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@ontarioenergyboard.ca](mailto:IndustryRelations@ontarioenergyboard.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 "Licences" section of the OEB's website at [www.ontarioenergyboard.ca](http://www.ontarioenergyboard.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.

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 : McMaster University

Business Classification:

- Sole Proprietor
- Partnership
- Corporation
- Other (describe) not-for-profit

Date of formation or incorporation: 1887

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

Head Office or Business Address of Applicant

1280 Main Street West

City	Province/State	Country	Postal/Zip Code
<u>Hamilton</u>	<u>ON</u>	<u>Canada</u>	<u>L8S 4M3</u>

Phone Number	Toll Free (if available)	E-mail Address
<u>(905) 525-9140</u>		

Website Address www.mcmaster.ca

## 2. Application Type

New

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

Licence Number EW-2011-0035

Expiry Date 04/19/2016

## 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"/> Miss <input type="radio"/> Ms. <input type="radio"/> Other <input type="radio"/> _____	Last Name	First Name	Initial
	<u>Emberson</u>	<u>Joe</u>	
	Title/Position		
	<u>Director of Engineering Operations</u>		
Company Name			
<u>McMaster University</u>			
Licence Primary Contact Address:			
<u>1280 Main Street West, CSB 102</u>			
City	Province/State	Country	Postal/Zip Code
<u>Hamilton</u>	<u>ON</u>	<u>Canada</u>	<u>L8S 4M3</u>
Phone Number	Toll Free (if available)	E-mail Address	
<u>(905)525-9140 ext. 24409</u>		<u>embers@mcmaster.ca</u>	

## 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 type="radio"/> Mrs. <input type="radio"/> Miss <input type="radio"/> Ms. <input type="radio"/> Other <input type="radio"/> _____	Last Name	First Name	Initial
	Title/Position		
Company Name			

Application Primary Contact Address:

\_\_\_\_\_

City Province/State Country Postal/Zip Code

\_\_\_\_\_

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

\_\_\_\_\_

### 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](http://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

(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)

## 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)
Roger Couldrey	Vice-President (Administration)
Dr. Mohamed Attalla	AVP & Chief Facilities Officer
Joe Emberson	Director of Engineering Operations

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

Information filed as part of or in support of sections 9 to 13 of this application will be treated as confidential.

## 9. Corporate Organization

- (a) Provide a corporate organization chart for the applicant.
- (b) Provide a description of the applicant's current business activities and the applicant's corporate organization including the applicant's relationship with its affiliates and associated entities.

McMaster University is a research intensive educational institution. The University corporation consists of up to thirty-seven governors. Academic work is under the direction of the University Senate, which is made up of representatives of the teaching and administrative staff, Governors, student body, and Alumni.

See attached list of affiliates, associated entities and the descriptions.

## 10. Finance

Provide the audited financial statements for the applicant for the last two years. If audited financial statements are not available, provide unaudited financial statements for the applicant for the last two years. Documents must be signed by at least one key individual.

If the applicant does not have financial statements for itself, the applicant may submit the financial statements of its parent company. If the applicant submits the financial statements of its parent company, the applicant must also provide a parental guarantee. Please note that the OEB has developed a parental guarantee template which the applicant may use by entering the necessary information and submitting it with the application. Further information, including a copy of the template, may be obtained by contacting the OEB at [IndustryRelations@ontarioenergyboard.ca](mailto:IndustryRelations@ontarioenergyboard.ca). An applicant may wish to provide its own parental guarantee; however, this will be subject to review during the application review process to determine whether or not it is satisfactory.

If the applicant does not submit financial statements for itself or its parent company, along with a parental guarantee, the applicant must identify and attach to its application at least two of the following items:

- Most recent prospectus and quarterly report.
- If the applicant is a new entity, pro forma financial statements for two years along with notes or business plan explaining the assumptions used in preparing the pro forma statements. Documents must be signed by at least one key individual.
- Letter of reference from the applicant's bank showing the following information:
  - Details respecting any line(s) of credit available to the applicant including dollar limit amount, outstanding amount as of current date, terms and conditions and whether the account is secured;
  - Details respecting cash and cash equivalents (names of short-term investments, amounts and expiry dates if applicable; name of saving/chequing accounts, date accounts opened, account balances as of current date); and
  - Details of any bank guarantee and/or letter of credit available to the applicant including amounts and the terms and conditions.
- Other, specify (i.e., proof of meeting the prudential payments required in the IESO wholesale market, general liability insurance, credit reports or credit ratings regarding the applicant's payment and credit history).

If the financial statements of either the applicant or its parent company demonstrate that the applicant or parent company (as applicable) is not in a healthy financial position, the applicant may be required to submit information in addition to that listed above.

**11 . Technical Resources**

Does the applicant employ technical resource staff or contractors with appropriate qualifications and experience in wholesaling electricity?

Yes, briefly describe the technical qualifications of the applicant's key technical and operational personnel.

No, identify plans to acquire the necessary technical resources for technical matters related to electricity wholesaling activities.

We hire energy consultants

**12. Legal and Regulatory Proceedings**

(a) Has the applicant ever been declared bankrupt, or is it presently the subject of a bankruptcy proceeding?

Yes, provide a copy of the Assignment in Bankruptcy, a list of creditors, or proof of discharge

No

(b) Does the applicant have any unpaid judgements against it?

Yes, provide a copy of each judgement and state the amount outstanding and repayment arrangements

No

(c) Has the applicant been found guilty or convicted of a criminal offence under any law in the past 5 years or are any charges now pending?

Yes, provide full particulars

No



(d) Has the applicant ever had a licence or registration of any kind refused, suspended, revoked or cancelled?

Yes, provide full particulars

No

(e) Has the applicant been subject to penalties, fines, payments as a result of investigation or any other disciplinary actions by a regulatory body in Ontario or any other jurisdiction within North America in the past 5 years?

Yes, provide full particulars

No

(f) If the applicant has been previously licenced by the OEB, are there any outstanding licensing fees, outstanding information requests, or compliance orders?

Not Applicable - not a licensee

Yes, provide full particulars

No

13. Key Individual Information

Required for each key individual identified in section 7.

Key Individual # 1

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
	Couldrey	Roger	
	Title/Position		
	Vice-President (Administration)		
Company Name			
McMaster University			

Personal Experience in the Energy Sector

(a) Does this person have experience in the energy sector?

Yes, provide details

No

(b) Has this person been a proprietor, partner, officer or director of an entity that was licensed by the OEB?

Yes, provide licence number and name of licensee    EW-2011-0035, McMaster University  
ER-2011-0034, McMaster University

No

(c) Has this person been a proprietor, partner, officer or director of an entity that was registered or licensed in relation to any energy sector activities in Ontario or any other jurisdiction within North America?

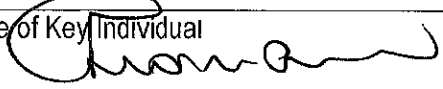
Yes, provide jurisdiction, name of business and business activity \_\_\_\_\_

No

(d) Has this person been a proprietor, partner, officer or director of an entity that had a registration or licence of any kind in Ontario or any other jurisdiction within North America refused, suspended, revoked or cancelled?

Yes, provide name of business, jurisdiction and describe the situation \_\_\_\_\_

No

Signature of Key Individual 	Date 8/12/15
--	-----------------

13. Key Individual Information

Key Individual # 2

Mr. <input type="radio"/> Mrs. <input type="radio"/> Miss <input type="radio"/> Ms. <input type="radio"/> Other <input checked="" type="radio"/> Dr. _____	Last Name	First Name	Initial
	Attalla	Mohamed	
	Title/Position		
	AVP & Chief Facilities Officer		
Company Name			
McMaster University			

Personal Experience in the Energy Sector

(a) Does this person have experience in the energy sector?

Yes, provide details

No

(b) Has this person been a proprietor, partner, officer or director of an entity that was licensed by the OEB?

Yes, provide licence number and name of licensee    EW-2011-0035, McMaster University  
ER-2011-0034, McMaster University

No

(c) Has this person been a proprietor, partner, officer or director of an entity that was registered or licensed in relation to any energy sector activities in Ontario or any other jurisdiction within North America?

Yes, provide jurisdiction, name of business and business activity \_\_\_\_\_

No

(d) Has this person been a proprietor, partner, officer or director of an entity that had a registration or licence of any kind in Ontario or any other jurisdiction within North America refused, suspended, revoked or cancelled?

Yes, provide name of business, jurisdiction and describe the situation \_\_\_\_\_

No

Signature of Key Individual <i>M. Attalla</i>	Date <i>Dec. 8, 2015</i>
--	-----------------------------

13. Key Individual Information

Key Individual # 3

Mr. <input checked="" type="radio"/>	Mrs. <input type="radio"/>	Last Name	First Name	Initial
Miss <input type="radio"/>	Ms. <input type="radio"/>	Emberson	Joe	
Other <input type="radio"/>		Title/Position	Director of Engineering Operations	
		Company Name	McMaster University	

Personal Experience in the Energy Sector

(a) Does this person have experience in the energy sector?

Yes, provide details

No

(b) Has this person been a proprietor, partner, officer or director of an entity that was licensed by the OEB?

Yes, provide licence number and name of licensee EW-2011-0035, McMaster University  
ER-2011-0034, McMaster University

No

(c) Has this person been a proprietor, partner, officer or director of an entity that was registered or licensed in relation to any energy sector activities in Ontario or any other jurisdiction within North America?

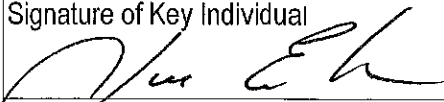
Yes, provide jurisdiction, name of business and business activity \_\_\_\_\_

No

(d) Has this person been a proprietor, partner, officer or director of an entity that had a registration or licence of any kind in Ontario or any other jurisdiction within North America refused, suspended, revoked or cancelled?

Yes, provide name of business, jurisdiction and describe the situation \_\_\_\_\_

No

Signature of Key Individual 	Date Dec 8/15
--	------------------

## 14. Notice

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

The information provided both on this form and attached to this form is being collected by the OEB 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 OEB 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 OEB's determination of the application will be collected by the OEB.

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

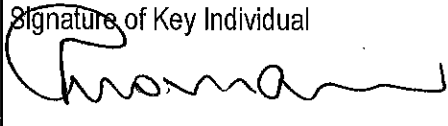
Board Secretary  
Ontario Energy Board  
P.O Box 2319  
2300 Yonge Street, 27<sup>th</sup> Floor  
Toronto, ON  
M4P 1E4

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

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

## 18. Certification and Acknowledgement

- (a) I certify that the information contained in this application and in the documents provided are true and accurate.
- (b) I understand and acknowledge that, as a licensee, I must provide information as the OEB may require from time to time.
- (c) I understand and acknowledge that 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
Roger Coudray		8/12/15

**If the applicant is a sole proprietor, he/she must sign.**

**If the applicant is a corporation, a person with authority to bind the corporation must sign.**

**If the applicant is a partnership, a partner with authority to sign on behalf of the partnership must sign.**

### **Checklist (return with application form)**

- Two copies of the application form have been included with original signature on both copies
- A cheque or money order for the non-refundable application fee has been included
- A corporate organization chart has been attached to the application form
- Section 10 has been completed and all relevant financial information has been included
- Section 13 has been completed for all key individuals