



Application for an Electricity Storage 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 storage” licence. An electricity storage licence issued by the Ontario Energy Board (OEB) enables the licensee to generate electricity or provide ancillary services for sale through the IESO-administered markets or directly to another person; purchase electricity or ancillary services in the IESO-administered markets or directly from a generator; and, 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.

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 uses the following three main criteria to assess applicants for an electricity storage licence:

- The applicant's ability to be a financially viable entity with respect to the activities the applicant intends to undertake;
- The applicant's technical capability and experience with respect to the activities the applicant intends to undertake; and
- The applicant and its key individuals' past business history and conduct such that they afford reasonable grounds for belief that the applicant will carry on business in accordance with the law, integrity and honesty.

The information requested in this application form relates to the above noted criteria. The applicant must complete and file the information requested in this application form. 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

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 may 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.

4. Confidentiality

Information filed as part of or in support of sections 12 to 16 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 12 to 16, 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 “Licences” section of the OEB's website at www.ontarioenergyboard.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

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 Storage Licence

For Office Use Only	
Application Number	EB-
Date Received	

1. The Applicant

Legal Name of the Applicant : Hecate Energy Ontario Storage II, LP

Business Classification:

☐ Sole Proprietor

☒ Partnership

☐ Corporation

☐ Other (describe) _____

Date of formation or incorporation: 2015/07/14

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

1 First Canadian Place, No. 3400

City	Province/State	Country	Postal/Zip Code
<u>Toronto</u>	<u>Ontario</u>	<u>Canada</u>	<u>M5X 1A4</u>

Phone Number	Toll Free (if available)	E-mail Address
<u>+1-518-788-7337</u>		<u>GWapner@HecateEnergy.com</u>

Website Address www.HecateEnergy.com

2. Application Type

☒ New

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

Licence Number _____ Expiry Date _____

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"/>	Wapner	Gabriel	A
Other <input type="radio"/> _____		Title/Position		
		Director		
		Company Name		
		Hecate Energy LLC		

Licence Primary Contact Address:

621 W Randolph St.

City	Province/State	Country	Postal/Zip Code
Chicago	IL	USA	60661

Phone Number	Toll Free (if available)	E-mail Address
+1-518-788-7337		GWapner@HecateEnergy.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 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		

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 storage 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.

Hecate Energy

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

(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
Hecate Energy Ontario Storage VII, LP	Affiliate	Storage	TBD

(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)
Hecate Energy LLC	Parent	United States	Project Development and Ownership	N/A

7. Key Individuals

In the table below, identify all key individuals associated with the applicant's business. Key individuals include sole proprietors, each partner, all officers and directors of a corporation, all shareholders with 10% or more of the equity shares of a corporation, managers, and any other individuals with a beneficial interest.

Name of Key Individual	Title/Position within Applicant's Business (or identify company if not the Applicant's Business)
Chris Bullinger	President & CEO
Nick Bullinger	COO
Fazli Qadir	CTO & EVP of EPC
David Tohir	Chairman

8. Intended Services and Markets

- (a) The OEB Act defines “ancillary services” as services necessary to maintain the reliability of the IESO-controlled grid, including frequency control, voltage control, reactive power, and operating reserve services. Does the applicant intend to sell electricity or ancillary services into the IESO administered market?

☒ Yes

☐ No

- (b) Does the applicant intend to settle with an electricity distributor for the electricity injected into the distribution system in accordance with the retail settlement system?

☒ Yes, please identify the electricity distributor Festival Hydro and Kitchener Wilmot Hydro

☐ No

- (c) Does the applicant intend to sell electricity to another person?

☐ Yes

☒ No

If yes, is this person a consumer (i.e., a person who uses, for the person's own consumption, electricity that the person did not generate)?

☐ Yes. The applicant may require a retailer licence. The application form can be found at www.ontarioenergyboard.ca

☐ No

9. Facility Description

Is the applicant applying to be licensed for more than one facility?

☒ Yes, please make a copy of sections 9, 10 and 11 for each facility and provide information for each facility

☐ No

Storage Type

☒ Battery ☐ Flywheel ☐ Compressed Air

☐ Other, please specify _____

Installed Capacity 2 MW

Number of Units 2

If the applicant is selling ancillary services, please describe: Reactive Support and Voltage Control to IESO.

Facility name: HEOS II Env 1 - 1

Facility Address: 465 Wright Blvd, Stratford, ON N4Z 1H3, Canada

Licence Responsibility/Qualification Sought

☒ Owner and Operator

☐ Owner Only. Please identify operator _____

☐ Operator Only. Please identify owner _____

If the applicant is applying for only one of the two qualifications, please provide information on the status of the other qualification. The information should include confirmation as to whether or not the person or entity seeking the other qualification is licensed; if licensed, please provide the licence number and, if not, indicate when an application for the other qualification will be filed with the OEB.

10. Facility History and Status

Is the facility in commercial service?

☐ Yes, proceed to section 10(a)

☒ No, proceed to section 10(b) or 10(c) as applicable.

(a) Existing Facility in Commercial Service

When did this facility achieve commercial operation? _____

Is the applicant the original owner and operator?

☐ Yes

☐ No, identify previous owner and operator: _____

(b) New Facility

Has facility construction commenced?

☐ Yes

☒ No

What is the expected commercial in service date? 8/1/2017

(c) Existing Facility **NOT** in Commercial Service

What is the expected commercial in service date? _____

Please provide a list of all other regulatory approvals required (e.g. environmental, municipal, etc.). Please identify the status of each approval.

Site plan approval - pending; building permit - pending; connection impact assessment - pending; ESA
plan review - pending

11. Connection

What is the voltage at the perimeter of the applicant's property from the output of the storage facility?

- ☒ 50 kV or less, proceed to section 11(a)
☐ greater than 50 kV, proceed to section 11(b)

- (a) The OEB Act defines a "distribution system" as a system for distributing electricity, and includes any structures, equipment or other things used for that purpose. "Distribute", with respect to electricity, means to convey electricity at voltages of 50 kV or less.

Describe the existing or future distribution system from the output of the storage facility to the connection point with the electricity distributor or to the connection point with the transmission system (e.g., length of line, transformers, etc.).

The output of the storage facility will be roughly 40m direct buried cable to a duct bank in from of Festival Hydro's substation where a dedicated feeder will be run for connection. The duct bank is less than 50m from the substation.

Does (or will) the applicant own and/or operate the distribution system?

- ☐ Yes
☒ No, identify the owner and/or operator of the distribution system _____

If yes, does the applicant own and/or operate the distribution system only for the purpose of conveying electricity from the storage facility to the IESO-controlled grid?

- ☐ Yes
☐ No, describe the purpose of the distribution system _____

If the answer to the question above is no, the applicant may require a distribution licence. The application form can be found at www.ontarioenergyboard.ca.

Does (or will) the distribution system connect the storage facility to an electricity distributor?

- ☒ Yes, identify the electricity distributor Festival Hydro / Kitchener Wilmot Hydro
☐ No, proceed to section 11(b)

- (b) The OEB Act defines a "transmission system" as a system for transmitting electricity, and includes any structures, equipment or other things used for that purpose. "Transmit", with respect to electricity, means to convey electricity at voltages of more than 50 kV.

Describe the existing or future transmission system from the output of the storage facility or applicant's distribution system to the connection point with the transmission network (e.g., length of line, transformers, etc.).

Does (or will) the applicant own and/or operate the transmission system?

☐ Yes

☒ No, identify the owner and/or operator of the transmission system _____

If yes, does the applicant own and/or operate the transmission system only for the purpose of conveying electricity from the storage facility to the IESO-controlled grid?

☐ Yes

☐ No, describe the purpose of the transmission system _____

If the answer to the question above is no, the applicant may require a transmission licence. The application form can be found at www.ontarioenergyboard.ca.

9. Facility Description

Is the applicant applying to be licensed for more than one facility?

- ☒ Yes, please make a copy of sections 9, 10 and 11 for each facility and provide information for each facility
☐ No

Storage Type

- ☒ Battery ☐ Flywheel ☐ Compressed Air
☐ Other, please specify _____

Installed Capacity 2 MW

Number of Units 2

If the applicant is selling ancillary services, please describe: Reactive Support and Voltage Control to IESO.

Facility name: HEOS II Env 1 - 2

Facility Address: 465 Wright Blvd, Stratford, ON N4Z 1H3, Canada

Licence Responsibility/Qualification Sought

☒ Owner and Operator

☐ Owner Only. Please identify operator _____

☐ Operator Only. Please identify owner _____

If the applicant is applying for only one of the two qualifications, please provide information on the status of the other qualification. The information should include confirmation as to whether or not the person or entity seeking the other qualification is licensed; if licensed, please provide the licence number and, if not, indicate when an application for the other qualification will be filed with the OEB.

10. Facility History and Status

Is the facility in commercial service?

☐ Yes, proceed to section 10(a)

☒ No, proceed to section 10(b) or 10(c) as applicable.

(a) Existing Facility in Commercial Service

When did this facility achieve commercial operation? _____

Is the applicant the original owner and operator?

☐ Yes

☐ No, identify previous owner and operator: _____

(b) New Facility

Has facility construction commenced?

☐ Yes

☒ No

What is the expected commercial in service date? 8/1/2017

(c) Existing Facility **NOT** in Commercial Service

What is the expected commercial in service date? _____

Please provide a list of all other regulatory approvals required (e.g. environmental, municipal, etc.). Please identify the status of each approval.

Site plan approval - pending; building permit - pending; connection impact assessment - pending; ESA
plan review - pending

11. Connection

What is the voltage at the perimeter of the applicant's property from the output of the storage facility?

- ☒ 50 kV or less, proceed to section 11(a)
☐ greater than 50 kV, proceed to section 11(b)

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Describe the existing or future distribution system from the output of the storage facility to the connection point with the electricity distributor or to the connection point with the transmission system (e.g., length of line, transformers, etc.).

The output of the storage facility will be roughly 40m direct buried cable to a duct bank in from of Festival Hydro's substation where a dedicated feeder will be run for connection. The duct bank is less than 50m from the substation.

Does (or will) the applicant own and/or operate the distribution system?

- ☐ Yes
☒ No, identify the owner and/or operator of the distribution system _____

If yes, does the applicant own and/or operate the distribution system only for the purpose of conveying electricity from the storage facility to the IESO-controlled grid?

- ☐ Yes
☐ No, describe the purpose of the distribution system _____

If the answer to the question above is no, the applicant may require a distribution licence. The application form can be found at www.ontarioenergyboard.ca.

Does (or will) the distribution system connect the storage facility to an electricity distributor?

- ☒ Yes, identify the electricity distributor Festival Hydro / Kitchener Wilmot Hydro
☐ No, proceed to section 11(b)

- (b) The OEB Act defines a "transmission system" as a system for transmitting electricity, and includes any structures, equipment or other things used for that purpose. "Transmit", with respect to electricity, means to convey electricity at voltages of more than 50 kV.

Describe the existing or future transmission system from the output of the storage facility or applicant's distribution system to the connection point with the transmission network (e.g., length of line, transformers, etc.).

Does (or will) the applicant own and/or operate the transmission system?

☐ Yes

☒ No, identify the owner and/or operator of the transmission system _____

If yes, does the applicant own and/or operate the transmission system only for the purpose of conveying electricity from the storage facility to the IESO-controlled grid?

☐ Yes

☐ No, describe the purpose of the transmission system _____

If the answer to the question above is no, the applicant may require a transmission licence. The application form can be found at www.ontarioenergyboard.ca.

9. Facility Description

Is the applicant applying to be licensed for more than one facility?

- ☒ Yes, please make a copy of sections 9, 10 and 11 for each facility and provide information for each facility
☐ No

Storage Type

- ☒ Battery ☐ Flywheel ☐ Compressed Air
☐ Other, please specify _____

Installed Capacity 2.4 MW

Number of Units 2

If the applicant is selling ancillary services, please describe: Reactive Support and Voltage Control to IESO.

Facility name: HEOS II Env 1 - 3

Facility Address: 465 Wright Blvd, Stratford, ON N4Z 1H3, Canada

Licence Responsibility/Qualification Sought

☒ Owner and Operator

☐ Owner Only. Please identify operator _____

☐ Operator Only. Please identify owner _____

If the applicant is applying for only one of the two qualifications, please provide information on the status of the other qualification. The information should include confirmation as to whether or not the person or entity seeking the other qualification is licensed; if licensed, please provide the licence number and, if not, indicate when an application for the other qualification will be filed with the OEB.

10. Facility History and Status

Is the facility in commercial service?

☐ Yes, proceed to section 10(a)

☒ No, proceed to section 10(b) or 10(c) as applicable.

(a) Existing Facility in Commercial Service

When did this facility achieve commercial operation? _____

Is the applicant the original owner and operator?

☐ Yes

☐ No, identify previous owner and operator: _____

(b) New Facility

Has facility construction commenced?

☐ Yes

☒ No

What is the expected commercial in service date? 8/1/2017

(c) Existing Facility **NOT** in Commercial Service

What is the expected commercial in service date? _____

Please provide a list of all other regulatory approvals required (e.g. environmental, municipal, etc.). Please identify the status of each approval.

Site plan approval - pending; building permit - pending; connection impact assessment - pending; ESA
plan review - pending

11. Connection

What is the voltage at the perimeter of the applicant's property from the output of the storage facility?

- ☒ 50 kV or less, proceed to section 11(a)
☐ greater than 50 kV, proceed to section 11(b)

- (a) The OEB Act defines a "distribution system" as a system for distributing electricity, and includes any structures, equipment or other things used for that purpose. "Distribute", with respect to electricity, means to convey electricity at voltages of 50 kV or less.

Describe the existing or future distribution system from the output of the storage facility to the connection point with the electricity distributor or to the connection point with the transmission system (e.g., length of line, transformers, etc.).

The output of the storage facility will be roughly 40m direct buried cable to a duct bank in from of Festival Hydro's substation where a dedicated feeder will be run for connection. The duct bank is less than 50m from the substation.

Does (or will) the applicant own and/or operate the distribution system?

- ☐ Yes
☒ No, identify the owner and/or operator of the distribution system _____

If yes, does the applicant own and/or operate the distribution system only for the purpose of conveying electricity from the storage facility to the IESO-controlled grid?

- ☐ Yes
☐ No, describe the purpose of the distribution system _____

If the answer to the question above is no, the applicant may require a distribution licence. The application form can be found at www.ontarioenergyboard.ca.

Does (or will) the distribution system connect the storage facility to an electricity distributor?

- ☒ Yes, identify the electricity distributor Festival Hydro / Kitchener Wilmot Hydro
☐ No, proceed to section 11(b)

- (b) The OEB Act defines a "transmission system" as a system for transmitting electricity, and includes any structures, equipment or other things used for that purpose. "Transmit", with respect to electricity, means to convey electricity at voltages of more than 50 kV.

Describe the existing or future transmission system from the output of the storage facility or applicant's distribution system to the connection point with the transmission network (e.g., length of line, transformers, etc.).

Does (or will) the applicant own and/or operate the transmission system?

☐ Yes

☒ No, identify the owner and/or operator of the transmission system _____

If yes, does the applicant own and/or operate the transmission system only for the purpose of conveying electricity from the storage facility to the IESO-controlled grid?

☐ Yes

☐ No, describe the purpose of the transmission system _____

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Is the applicant applying to be licensed for more than one facility?

- ☒ Yes, please make a copy of sections 9, 10 and 11 for each facility and provide information for each facility
☐ No

Storage Type

- ☒ Battery ☐ Flywheel ☐ Compressed Air
☐ Other, please specify _____

Installed Capacity 2.4 MW

Number of Units 2

If the applicant is selling ancillary services, please describe: Reactive Support and Voltage Control to IESO.

Facility name: HEOS II Env 1 - 4

Facility Address: 465 Wright Blvd, Stratford, ON N4Z 1H3, Canada

Licence Responsibility/Qualification Sought

☒ Owner and Operator

☐ Owner Only. Please identify operator _____

☐ Operator Only. Please identify owner _____

If the applicant is applying for only one of the two qualifications, please provide information on the status of the other qualification. The information should include confirmation as to whether or not the person or entity seeking the other qualification is licensed; if licensed, please provide the licence number and, if not, indicate when an application for the other qualification will be filed with the OEB.

10. Facility History and Status

Is the facility in commercial service?

☐ Yes, proceed to section 10(a)

☒ No, proceed to section 10(b) or 10(c) as applicable.

(a) Existing Facility in Commercial Service

When did this facility achieve commercial operation? _____

Is the applicant the original owner and operator?

☐ Yes

☐ No, identify previous owner and operator: _____

(b) New Facility

Has facility construction commenced?

☐ Yes

☒ No

What is the expected commercial in service date? 8/1/2017

(c) Existing Facility **NOT** in Commercial Service

What is the expected commercial in service date? _____

Please provide a list of all other regulatory approvals required (e.g. environmental, municipal, etc.). Please identify the status of each approval.

Site plan approval - pending; building permit - pending; connection impact assessment - pending; ESA
plan review - pending

11. Connection

What is the voltage at the perimeter of the applicant's property from the output of the storage facility?

- ☒ 50 kV or less, proceed to section 11(a)
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Does (or will) the applicant own and/or operate the distribution system?

- ☐ Yes
☒ No, identify the owner and/or operator of the distribution system _____

If yes, does the applicant own and/or operate the distribution system only for the purpose of conveying electricity from the storage facility to the IESO-controlled grid?

- ☐ Yes
☐ No, describe the purpose of the distribution system _____

If the answer to the question above is no, the applicant may require a distribution licence. The application form can be found at www.ontarioenergyboard.ca.

Does (or will) the distribution system connect the storage facility to an electricity distributor?

- ☒ Yes, identify the electricity distributor Festival Hydro / Kitchener Wilmot Hydro
☐ No, proceed to section 11(b)

- (b) The OEB Act defines a "transmission system" as a system for transmitting electricity, and includes any structures, equipment or other things used for that purpose. "Transmit", with respect to electricity, means to convey electricity at voltages of more than 50 kV.

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Does (or will) the applicant own and/or operate the transmission system?

☐ Yes

☒ No, identify the owner and/or operator of the transmission system _____

If yes, does the applicant own and/or operate the transmission system only for the purpose of conveying electricity from the storage facility to the IESO-controlled grid?

☐ Yes

☐ No, describe the purpose of the transmission system _____

If the answer to the question above is no, the applicant may require a transmission licence. The application form can be found at www.ontarioenergyboard.ca.

9. Facility Description

Is the applicant applying to be licensed for more than one facility?

- ☒ Yes, please make a copy of sections 9, 10 and 11 for each facility and provide information for each facility
☐ No

Storage Type

- ☒ Battery ☐ Flywheel ☐ Compressed Air
☐ Other, please specify _____

Installed Capacity 2 MW

Number of Units 2

If the applicant is selling ancillary services, please describe: Reactive Support and Voltage Control to IESO.

Facility name: HEOS II Env 4 - 1

Facility Address: 59 Graber Pl, Kitchener, ON N2A 2A4, Canada

Licence Responsibility/Qualification Sought

☒ Owner and Operator

☐ Owner Only. Please identify operator _____

☐ Operator Only. Please identify owner _____

If the applicant is applying for only one of the two qualifications, please provide information on the status of the other qualification. The information should include confirmation as to whether or not the person or entity seeking the other qualification is licensed; if licensed, please provide the licence number and, if not, indicate when an application for the other qualification will be filed with the OEB.

10. Facility History and Status

Is the facility in commercial service?

☐ Yes, proceed to section 10(a)

☒ No, proceed to section 10(b) or 10(c) as applicable.

(a) Existing Facility in Commercial Service

When did this facility achieve commercial operation? _____

Is the applicant the original owner and operator?

☐ Yes

☐ No, identify previous owner and operator: _____

(b) New Facility

Has facility construction commenced?

☐ Yes

☒ No

What is the expected commercial in service date? 8/1/2017

(c) Existing Facility **NOT** in Commercial Service

What is the expected commercial in service date? _____

Please provide a list of all other regulatory approvals required (e.g. environmental, municipal, etc.). Please identify the status of each approval.

Site plan approval - pending; building permit - pending; connection impact assessment - pending; ESA
plan review - pending

11. Connection

What is the voltage at the perimeter of the applicant's property from the output of the storage facility?

- ☒ 50 kV or less, proceed to section 11(a)
☐ greater than 50 kV, proceed to section 11(b)

- (a) The OEB Act defines a "distribution system" as a system for distributing electricity, and includes any structures, equipment or other things used for that purpose. "Distribute", with respect to electricity, means to convey electricity at voltages of 50 kV or less.

Describe the existing or future distribution system from the output of the storage facility to the connection point with the electricity distributor or to the connection point with the transmission system (e.g., length of line, transformers, etc.).

The output of the storage facility will connect in a switchgear at the property location on Graber PI where a feeder will run underground through an existing unused Kitchener-Wilmot Hydro duct bank back to the POI at the Kitchener-Wilmot Substation on the distribution side.

Does (or will) the applicant own and/or operate the distribution system?

- ☐ Yes
☒ No, identify the owner and/or operator of the distribution system _____

If yes, does the applicant own and/or operate the distribution system only for the purpose of conveying electricity from the storage facility to the IESO-controlled grid?

- ☐ Yes
☐ No, describe the purpose of the distribution system _____

If the answer to the question above is no, the applicant may require a distribution licence. The application form can be found at www.ontarioenergyboard.ca.

Does (or will) the distribution system connect the storage facility to an electricity distributor?

- ☒ Yes, identify the electricity distributor Festival Hydro / Kitchener Wilmot Hydro
☐ No, proceed to section 11(b)

- (b) The OEB Act defines a "transmission system" as a system for transmitting electricity, and includes any structures, equipment or other things used for that purpose. "Transmit", with respect to electricity, means to convey electricity at voltages of more than 50 kV.

Describe the existing or future transmission system from the output of the storage facility or applicant's distribution system to the connection point with the transmission network (e.g., length of line, transformers, etc.).

Does (or will) the applicant own and/or operate the transmission system?

☐ Yes

☒ No, identify the owner and/or operator of the transmission system _____

If yes, does the applicant own and/or operate the transmission system only for the purpose of conveying electricity from the storage facility to the IESO-controlled grid?

☐ Yes

☐ No, describe the purpose of the transmission system _____

If the answer to the question above is no, the applicant may require a transmission licence. The application form can be found at www.ontarioenergyboard.ca.

9. Facility Description

Is the applicant applying to be licensed for more than one facility?

- ☒ Yes, please make a copy of sections 9, 10 and 11 for each facility and provide information for each facility
☐ No

Storage Type

- ☒ Battery ☐ Flywheel ☐ Compressed Air
☐ Other, please specify _____

Installed Capacity 2 MW

Number of Units 2

If the applicant is selling ancillary services, please describe: Reactive Support and Voltage Control to IESO.

Facility name: HEOS II Env 4 - 2

Facility Address: 59 Graber Pl, Kitchener, ON N2A 2A4, Canada

Licence Responsibility/Qualification Sought

☒ Owner and Operator

☐ Owner Only. Please identify operator _____

☐ Operator Only. Please identify owner _____

If the applicant is applying for only one of the two qualifications, please provide information on the status of the other qualification. The information should include confirmation as to whether or not the person or entity seeking the other qualification is licensed; if licensed, please provide the licence number and, if not, indicate when an application for the other qualification will be filed with the OEB.

10. Facility History and Status

Is the facility in commercial service?

☐ Yes, proceed to section 10(a)

☒ No, proceed to section 10(b) or 10(c) as applicable.

(a) Existing Facility in Commercial Service

When did this facility achieve commercial operation? _____

Is the applicant the original owner and operator?

☐ Yes

☐ No, identify previous owner and operator: _____

(b) New Facility

Has facility construction commenced?

☐ Yes

☒ No

What is the expected commercial in service date? 8/1/2017

(c) Existing Facility **NOT** in Commercial Service

What is the expected commercial in service date? _____

Please provide a list of all other regulatory approvals required (e.g. environmental, municipal, etc.). Please identify the status of each approval.

Site plan approval - pending; building permit - pending; connection impact assessment - pending; ESA
plan review - pending

11. Connection

What is the voltage at the perimeter of the applicant's property from the output of the storage facility?

- ☒ 50 kV or less, proceed to section 11(a)
☐ greater than 50 kV, proceed to section 11(b)

- (a) The OEB Act defines a "distribution system" as a system for distributing electricity, and includes any structures, equipment or other things used for that purpose. "Distribute", with respect to electricity, means to convey electricity at voltages of 50 kV or less.

Describe the existing or future distribution system from the output of the storage facility to the connection point with the electricity distributor or to the connection point with the transmission system (e.g., length of line, transformers, etc.).

The output of the storage facility will connect in a switchgear at the property location on Graber PI where a feeder will run underground through an existing unused Kitchener-Wilmot Hydro duct bank back to the POI at the Kitchener-Wilmot Substation on the distribution side.

Does (or will) the applicant own and/or operate the distribution system?

- ☐ Yes
☒ No, identify the owner and/or operator of the distribution system _____

If yes, does the applicant own and/or operate the distribution system only for the purpose of conveying electricity from the storage facility to the IESO-controlled grid?

- ☐ Yes
☐ No, describe the purpose of the distribution system _____

If the answer to the question above is no, the applicant may require a distribution licence. The application form can be found at www.ontarioenergyboard.ca.

Does (or will) the distribution system connect the storage facility to an electricity distributor?

- ☒ Yes, identify the electricity distributor Festival Hydro / Kitchener Wilmot Hydro
☐ No, proceed to section 11(b)

- (b) The OEB Act defines a "transmission system" as a system for transmitting electricity, and includes any structures, equipment or other things used for that purpose. "Transmit", with respect to electricity, means to convey electricity at voltages of more than 50 kV.

Describe the existing or future transmission system from the output of the storage facility or applicant's distribution system to the connection point with the transmission network (e.g., length of line, transformers, etc.).

Does (or will) the applicant own and/or operate the transmission system?

☐ Yes

☒ No, identify the owner and/or operator of the transmission system _____

If yes, does the applicant own and/or operate the transmission system only for the purpose of conveying electricity from the storage facility to the IESO-controlled grid?

☐ Yes

☐ No, describe the purpose of the transmission system _____

If the answer to the question above is no, the applicant may require a transmission licence. The application form can be found at www.ontarioenergyboard.ca.

Information filed as part of or in support of sections 12 to 16 of this application will be treated as confidential.

12. 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.

Please review Hecate Energy's qualifications attached to this application.

13. Finance

(a) 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. 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 (e.g., 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.

(b) Is the storage facility under construction or extensive rehabilitation?

☐ Yes, provide the projected capital cost

☒ No

(c) Has the applicant secured financing?

☒ Yes

☐ No

14. Technical Resources

Does the applicant employ technical resource staff or contractors with appropriate qualifications and experience in operating and maintaining storage facilities and any other technical matters associated with storage facilities?

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

Please review Hecate Energy's qualifications attached to this application.

☐ No, identify plans to acquire the necessary technical resources for technical matters related to storage facilities

15. Legal and Regulatory Proceedings

(a) Has the applicant or any of its directors and officers (if the applicant is a corporation), an affiliate of the applicant, or an associated entity 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 or any of its directors and officers (if the applicant is a corporation), an affiliate of the applicant, or an associated entity 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 or any of its directors and officers (if the applicant is a corporation), an affiliate of the applicant, or an associated entity 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 or any of its directors and officers (if the applicant is a corporation), an affiliate of the applicant, or an associated entity had a licence or registration of any kind refused, suspended, revoked or cancelled?

☐ Yes, provide full particulars

☒ No

- (e) Has the applicant or any of its directors and officers (if the applicant is a corporation), an affiliate of the applicant, or an associated entity 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, an affiliate of the applicant, or an associated entity 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

16. Key Individual Information

Required for each key individual identified in section 7. Make a copy of section 16 for each key individual identified in section 7.

Key Individual Information

<input checked="" type="radio"/> Mr. <input type="radio"/> Mrs. <input type="radio"/> Miss <input type="radio"/> Ms. <input type="radio"/> Other _____	Last Name Bullinger	First Name Chris	Initial
Title/Position President & CEO			
Company Name Hecate Energy LLC			

Personal Experience

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

☒ Yes, provide details

Please review Hecate Energy's qualifications attached to this application.

☐ 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 _____

☒ 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 _____
 Member of Hecate Energy LLC, Hecate NE Solar LLC, Hecate Energy Old Alabama Rd LLC

☐ No

Legal and Regulatory Proceedings

(a) Has this person ever been declared bankrupt or is presently the subject of a bankruptcy proceeding?

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

☒ No

- (b) Has this person been a proprietor, partner, officer or director of an entity that has been declared bankrupt or is presently the subject of bankruptcy proceedings?

☐ Yes, provide full particulars

☒ No

- (c) Are there any unpaid judgements against this person?

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

☒ No

- (d) Has this person 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

- (e) 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 _____

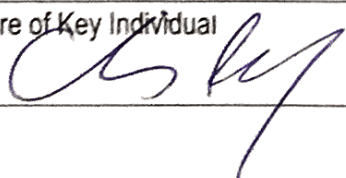
☒ No

- (f) Has this person been a proprietor, partner, officer or director of an entity that had been subject to penalties, fines, voluntary payments, 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 name of business, jurisdiction, and describe the situation _____

☒ No

Signature of Key Individual



Date

15 FEB 2017

17. 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, 27th 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 storage licence does not guarantee registration with the IESO or connection to a transmission or distribution system.

Print Name of Key Individual <i>CARRIS BULLINGER</i>	Signature of Key Individual <i>[Handwritten Signature]</i>	Date <i>15 FEB 2017</i>
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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 13 has been completed and all relevant financial information has been included
- ☐ Section 16 has been completed for all key individuals