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ONTARIO ENERGY BOARD



## Application for an Electricity Wholesaler Licence

| For Office Use Only |               |
|---------------------|---------------|
| Application Number  | EB- 2019-0286 |
| Date Received       | Nov 26/19     |

### 1. The Applicant

Legal Name of the Applicant : ROCTOP INVESTMENTS INC.

Business Classification:

- Sole Proprietor  
 Partnership  
 Corporation  
 Other (describe) \_\_\_\_\_

Date of formation or incorporation: August 30, 2012

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

5-1061 Merivale Road

| City          | Province/State | Country       | Postal/Zip Code |
|---------------|----------------|---------------|-----------------|
| <u>Ottawa</u> | <u>Ontario</u> | <u>Canada</u> | <u>K1Z 6A9</u>  |

| Phone Number        | Toll Free (if available) | E-mail Address           |
|---------------------|--------------------------|--------------------------|
| <u>613-793-2718</u> |                          | <u>vincent@roctop.ca</u> |

Website Address www.roctop.ca

*vt*

## 2. Application Type

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

Licence Number EW-2015-0165 Expiry Date 3-Jun-20

## 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"/><br>Miss <input type="radio"/> Ms. <input type="radio"/><br>Other <input type="radio"/> _____ | Last Name                              | First Name                                     | Initial                              |
|  | <input type="text" value="Thellen"/>   | <input type="text" value="Vincent"/>           | <input type="text"/>                 |
|  | Title/Position                         |  |                                      |
|  | <input type="text" value="President"/> |  |                                      |
| Company Name   |  |  |                                      |
| <input type="text" value="Roctop Investments Inc."/>   |  |  |                                      |
| Licence Primary Contact Address:   |  |  |                                      |
| <input type="text" value="5-1061 Merivale Road"/>  |  |  |                                      |
| City   | Province/State                         | Country  | Postal/Zip Code                      |
| <input type="text" value="Ottawa"/>  | <input type="text" value="Ontario"/>   | <input type="text" value="Canada"/>            | <input type="text" value="K1Z 6A9"/> |
| Phone Number   | Toll Free (if available)               | E-mail Address                                 |                                      |
| <input type="text" value="613-793-2718"/>  | <input type="text"/>                   | <input type="text" value="vincent@roctop.ca"/> |                                      |

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

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<br>(e.g., applicant itself, affiliate, partner...etc.) | Licence Number |
|-------------------------|--|----------------|
| Roctop Investments Inc. | applicant itself   | EW-2015-0165   |
|                         |  |                |
|                         |  |                |
|                         |  |                |
|                         |  |                |

(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) |
|-------------------------|---------------------------|--------------|-----------------------------|---|
| Roctop Investments Inc. | Applicant                 | NYISO        | Virtuals, TCC and Real time | FERC MBR ER15-1971-000  |
| Roctop Investments Inc. | Applicant                 | ISONE        | Virtuals, FTR and Real time | FERC MBR ER15-1971-000  |
| Roctop Investments Inc. | Applicant                 | ERCOT        | Virtuals and CRR            | Registered with ISO #202889630                                      |

*↳ continuation, see extra page.*

## 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) |
|------------------------|--|
| Vincent Thellen        | President  |
|                        |  |
|                        |  |

## 8. Intended Markets and Services

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

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