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OSLER

Toronto

November 27, 2019

Montréal

Isabelle Crew
Direct Dial: 416.862.4222
rking@osler.com
Our Matter Number: 1205023

Calgary

Sent by Overnight Courier

Ottawa

Christine Long
Board Secretary and Registrar
Ontario Energy Board
27th Floor - 2300 Yonge Street
Toronto, Ontario M4P 1E4

Vancouver

New York

RECEIVED

NOV 29 2019

ONTARIO ENERGY BOARD

EB-2019-0289

Dear Ms. Long:

Engelhart CTP (US) LLC - Application for an Electricity Wholesaler Licence

We are counsel to Engelhart CTP (US) LLC ("Engelhart") in respect of its application for an Electricity Wholesaler Licence. Enclosed please find the following, submitted on behalf of Engelhart:

1. Executed Electricity Wholesaler Application;
2. Audited Financial Statements of Engelhart CTP (UC) LLC for the year ended December 31, 2017;
3. Audited Financial Statements of Engelhart CTP (UC) LLC for the year ended December 31, 2018;
4. Organizational Structure of Engelhart Commodities Trading Partners; and
5. Cheque in the amount of \$1000 CAD payable to the Ontario Energy Board.

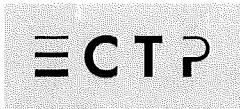
Please do not hesitate to contact our office should you have any questions regarding this application.

Sincerely,



Isabelle Crew
Associate

c: Richard King (*Osler*)
CJ Lee; Danielle Fazio; Camilla Cunha (*ECTP*)



Engelhart CTP (US) LLC
400 Atlantic Street 11th floor
Stamford, CT 06901
PH +1 203 349 7520

Attn: Board Secretary
Ontario Energy Board
P.O. Box 2319
27th Floor
2300 Yonge Street
Toronto ON M4P 1E4

Dear Board Secretary:

Enclosed please find Engelhart CTP (US) LLC's, application for an electricity wholesaler licence. Along with two copies of the application form with original signatures, please find the following documents: audited financial statements for the year ended December 31, 2017, and year ended December 31, 2018, Engelhart CTP (US) LLC's organizational structure and lastly all documents are signed by one key individual.

If you have any questions regarding Engelhart CTP (US) LLC's, application, you may reach me by telephone (203)-349-7520 or email danielle.fazio@ectp.com .

Sincerely,

A handwritten signature in black ink that reads 'Danielle Fazio'. The signature is written in a cursive, flowing style.

Danielle Fazio



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@oeb.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 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@oeb.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 "Industry" section of the OEB's website at www.oeb.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.

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 "Industry" section of the OEB's website at www.oeb.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 copy.

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

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ONTARIO ENERGY BOARD



Application for an Electricity Wholesaler Licence

For Office Use Only	
Application Number	EB-2019-0289
Date Received	Nov. 29/19

1. The Applicant

Legal Name of the Applicant : Engelhart CTP (US) LLC

Business Classification:

Sole Proprietor

Partnership

Corporation

Other (describe) _____

Date of formation or incorporation: June 24, 2013

Place of formation or incorporation:

Province/State Delaware

Country United States of America

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

City	Province/State	Country	Postal/Zip Code
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

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

<input type="text"/>	<input type="text"/>	<input type="text"/>
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Website Address

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"/>	Lee	Changjae	
Other <input type="radio"/>	_____	Title/Position		
		Head of Legal for the Americas		
		Company Name		
		Engelhart CTP (US) LLC		
Licence Primary Contact Address:				
Weslayan Tower, 24, Greenway Plaza, Suite 700				
City	Province/State	Country	Postal/Zip Code	
Houston	Texas	United States of America	77046	
Phone Number	Toll Free (if available)	E-mail Address		
+18323256066		CJ.Lee@ectp.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 checked="" type="radio"/>	Last Name	First Name	Initial
Miss <input type="radio"/>	Ms. <input type="radio"/>	Kennedy	Monique	
Other <input type="radio"/>	_____	Title/Position		
		Global Head of Compliance		
		Company Name		
		Engelhart CTP (US) LLC		

Application Primary Contact Address:

400 Atlantic ST, 11th floor

City	Province/State	Country	Postal/Zip Code
Connecticut	Stamford	United States of America	06901
Phone Number	Toll Free (if available)	E-mail Address	
+12033497598		OL-Compliance@ectp.com	

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)

- 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)
Engelhart CTP (US) LLC	same	United States of America	power marketer (Market Based Rate authority)	Federal Energy Regulatory Commission

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)
Danielle L Fazio	Head of ISO Settlements
Monique Kennedy	Global Head of Compliance
Daniel King	Legal Entity Controller

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.