

Ontario Energy
Board
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Toronto ON M4P 1E4
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Commission de l'énergie
l'Ontario
C.P. 2319
2300, rue Yonge
27^e étage
Toronto ON M4P 1E4
Téléphone: 1-888-632-6273
Télécopieur: (416) 440-7656



Application for an Electricity Retailer Licence

For Office Use Only	
Application Number	EB -
Date Received	

1. The Applicant

Legal Name of the Applicant : Direct Energy Marketing Limited

Name to Appear on Licence: _____

☒ Indicate if the name to appear on the licence is the same as the legal name.

Please note that if the name to appear on the licence is not the same as the legal name, the name on the licence must include the legal name of the applicant and the legal name must appear first. The "Name to Appear on Licence" will appear on the notice of application and on the licence.

Business Classification:

☐ Sole Proprietor

☐ Partnership

☒ Corporation

☐ Other (describe) _____

Date of formation or incorporation: 12/5/1985

Place of formation or incorporation: 3200, 400-4th avenue S.W. T2P 0X9

Province/state Alberta

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

2. Licence Primary Contact

As a condition of licensing, the licensee shall designate a person who will act as primary contact with the OEB on matters related to the licence.

Mr. <input type="radio"/>	Mrs. <input type="radio"/>	Last Name	First Name	Initial
Miss <input type="radio"/>	Ms. <input checked="" type="radio"/>	Farmer	Barbara	
Other <input type="radio"/>		Title/Position		
		Licensing & Reporting Analyst		
		Company Name if different from Name to Appear on Licence		
		Direct Energy		

Licence Primary Contact Address:

12 Greenway Plaza, Suite 250

City	Province/State	Country	Postal/Zip Code
Houston	TX	United States	77046

Phone Number	Toll Free (if available)	Fax Number	E-mail Address
(713)354-4710			barbara.farmer@directenergy.com

If the above address is not in Ontario, the applicant must also provide contact information for service purposes in the province of Ontario. Applicants whose offices are not located in Ontario may provide the address of an agent (an individual who is a resident of Ontario and is at least 18 years old, or a corporation that has its head office or registered office in Ontario) as the address of service.

Mr. <input checked="" type="radio"/>	Mrs. <input type="radio"/>	Last Name	First Name	Initial
Miss <input type="radio"/>	Ms. <input type="radio"/>	Marshall	Thomas	
Other <input type="radio"/>		Title/Position		
		Sales Manager - Eastern Canada		
		Company Name if different from Name to Appear on Licence		
		Direct Energy Business, LLC		

Address for Service in Ontario (if different than the Licence Primary Contact Address above)

251 Consumers Road

City	Province	Postal Code
North York	ONTARIO	M2J 4R3

Phone Number	Toll Free (if available)	Fax Number	E-mail Address
(705)627-5497			tom.marshall@directenergy.com

3. Application Primary Contact

☒ Indicate if same as above. If yes, proceed to section 4.

The primary contact for the licence application may be a person within the applicant's organization other than the licence primary contact noted above. An applicant may also choose to designate a consultant, lawyer, etc. to be the primary contact for the licence application. The OEB will communicate with this person during the course of the application but with the licence primary contact after a licence is issued.

Mr. <input type="radio"/>	Mrs. <input type="radio"/>	Last Name	First Name	Initial
Miss <input type="radio"/>	Ms. <input type="radio"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other <input type="radio"/>	<input type="text"/>	Title/Position	<input type="text"/>	
		Company Name if different from Name to Appear on Licence	<input type="text"/>	
Application Primary Contact Address:				
<input type="text"/>				
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)	Fax Number	E-mail Address	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	

4. Customer Complaint or Inquiries Primary Contact

Provide contact information of the person to whom correspondence or communication regarding customer complaints or inquiries should be addressed. The mailing address should be in Ontario and the telephone number should be listed in Ontario. If the applicant intends to retail electricity to low-volume consumers (annually consuming less than 150,000 kilowatt hours of electricity), the applicant should also provide a telephone number which may be reached by the general public without a charge. DEML does not currently serve or market to low volume consumers in Ontario and therefore does not have a complaint contact located in Ontario.

Mr. <input checked="" type="radio"/>	Mrs. <input type="radio"/>	Last Name	First Name	Initial
Miss <input type="radio"/>	Ms. <input type="radio"/>	Robert	Haley	<input type="text"/>
Other <input type="radio"/>	<input type="text"/>	Title/Position	<input type="text"/>	
		Customer Care Supervisor		
		Company Name if different from Name to Appear on Licence	<input type="text"/>	
Customer Complaint or Inquiries Primary Contact Address:				
<input type="text"/>				
6502 S Yale Street, Suite 300				
City	Province	Postal Code		
Tulsa	ONTARIO OK	<input type="text"/>		
74136				
Phone Number	Toll Free	Fax Number	E-mail Address	
918-493-9510	N/A	<input type="text"/>	businesscanada@directenergy.com	

5. Type of Application

☐ New licence

☒ Renewal, please provide the licence number and expiry date of the existing licence

Licence Number: ER- 2015-0202 Expiry Date: September 9, 2020

6. Trade Names

The electricity retailer licence authorizes the licensee to conduct business using the name under which the licence is held. It also provides for the use of trade names by the licensed electricity retailer.

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 7.

Direct Energy

Direct Energy Marketing Limited

Direct Energy Business

7. 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 7(b).

Licensor Name	Relation to the applicant (e.g., applicant itself, affiliate, partner...etc.)	Licence Number
Direct Energy Marketing Limited	Applicant Itself	ER-2015-0202 (current permit)
Direct Energy Marketing Limited	Applicant Itself	EW-2015-0214
Direct Energy Marketing Limited	Applicant Itself	GM-2014-0015 (Withdrawn)
Direct Energy Marketing Inc.	Affiliate	EW-2018-0303

- (b) Does the applicant, an affiliate of the applicant, or an associated entity (e.g., a partnership or limited partnership) have any other application(s) before the OEB?

☒ Yes, provide details in the table below.

☐ No, proceed to 7(c).

Applicant Name	Type of Application	Ontario Energy Board File Number (if applicable)
Direct Energy Marketing Limited	Electricity Wholesale	EB-2020-0145

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

☒ Yes, provide details of current and expired licences in the table below

☐ No

Company Name	Jurisdiction	Business Activity	Name of Licensing Body	Licence/Registration No.
Please find a complete				
list of licenses in				
"Attachment A"				

8. Officers, Directors and Key Individuals

- (a) If the applicant is a corporation, provide as a separate attachment a list of all officers and directors, including name and title.
- (b) Provide a list of key individuals below. The individuals listed must be the individuals that are responsible for the following functions for the applicant: regulatory requirements and conduct, financial matters and technical matters. These key individuals may include the Chief Executive Officer, the Chief Financial Officer, other officers, directors and proprietors.

Note: Please list a minimum of three key individuals. If unable to provide a minimum of three, please explain. _____

Name of Key Individual	Title/position within applicant's business (or identify company if not the applicant's business)
See "Attachment B " for the current list of DEML Officers	

9. Intended Services and Markets

(a) Intended Services: please identify which of the following services the applicant intends to offer. You may select as many as applicable.

- ☐ to sell or offer to sell electricity to low-volume consumers (annually consuming less than 150,000 kilowatt hours of electricity) in Ontario.
- ☒ to sell or offer to sell electricity to large-volume consumers (annually consuming more than 150,000 kilowatt hours of electricity) in Ontario.
- ☐ to act as an agent or broker for a retailer with respect to the sale or offering for sale of electricity to large-volume consumers, or as an agent or broker for large-volume consumers with respect to the sale or offering for sale of electricity in Ontario.
- ☐ to act as an agent or broker for a retailer with respect to the sale or offering for sale of electricity to low-volume consumers, or as an agent or broker for low-volume consumers with respect to the sale or offering for sale of electricity in Ontario.

Is the applicant currently providing any of the above listed services?

- ☒ Yes, provide a list of the services the applicant is currently providing.

Electricity to large volume consumers

- ☐ No, indicate when the applicant intends to provide these services.
-

(b) Wholesale Market Participation: does the applicant intend to operate in the IESO-administered markets and settle bilateral contracts through the IESO?

- ☒ Yes
- ☐ No, please explain how the applicant intends to participate.
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(c) Retail Market Participation: does the applicant intend to settle the wholesale market cost of electricity consumed by its customers through a distributor's settlement system?

- ☒ Yes
- ☐ No, please explain how the applicant intends to participate.
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