

Ontario Energy
Board
P.O. Box 2319
2300 Yonge Street
27th Floor
Toronto ON M4P 1E4
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Facsimile: (416) 440-7656

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 : DUKE ENERGY SERVICES CANADA ULC

Name to Appear on Licence: DUKE ENERGY SERVICES CANADA ULC

☒ 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) Unlimited liability company

Date of formation or incorporation: March 01, 1996

Place of formation or incorporation: Alberta

Province/state Alberta (continued in British Columbia, 2009)

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 checked="" type="radio"/>	Mrs. <input type="radio"/>	Last Name	First Name	Initial
Miss <input type="radio"/>	Ms. <input type="radio"/>	Franceschi	Collin	
Other <input type="radio"/>		Title/Position		
		Manager		
		Company Name if different from Name to Appear on Licence		
		Duke Energy One, Inc.		

Licence Primary Contact Address:

400 South Tryon Street, Suite ST26X

City	Province/State	Country	Postal/Zip Code
Charlotte	North Carolina	United States of America	28202

Phone Number	Toll Free (if available)	Fax Number	E-mail Address
(704) 382-6209	N/A	N/A	collin.franceschi@duke-energy.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 type="radio"/>	Mrs. <input type="radio"/>	Last Name	First Name	Initial
Miss <input type="radio"/>	Ms. <input checked="" type="radio"/>	Goyal	Reena	
Other <input type="radio"/>		Title/Position		
		Litigation Counsel		
		Company Name if different from Name to Appear on Licence		
		McCarthy Tetrault LLP		

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

66 Wellington Street West, Suite 5300

City	Province	Postal Code
Toronto	ONTARIO	M5K 1E6

Phone Number	Toll Free (if available)	Fax Number	E-mail Address
416-601-4308	N/A	416-868-0673	rgoyal@mccarthy.ca

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"/>	Jageman	Caroline	
Other <input type="radio"/>		Title/Position		
		Lawyer (External Counsel)		
		Company Name if different from Name to Appear on Licence		
		Jageman Law		

Application Primary Contact Address:

2 Bloor St. E. Suite 3500

City	Province/State	Country	Postal/Zip Code
Toronto	Ontario	Canada	M4W 1A8

Phone Number	Toll Free (if available)	Fax Number	E-mail Address
(416) 546-7259			caroline@jagemanlaw.com

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.

Mr. <input type="radio"/>	Mrs. <input type="radio"/>	Last Name	First Name	Initial
Miss <input type="radio"/>	Ms. <input type="radio"/>	Jageman	Caroline	
Other <input type="radio"/>		Title/Position		
		Lawyer (External Counsel)		
		Company Name if different from Name to Appear on Licence		
		Jageman Law		

Customer Complaint or Inquiries Primary Contact Address:

2 Bloor St. E. Suite 3500

City	Province	Postal Code
Toronto	ONTARIO	M4W 1A8

Phone Number	Toll Free	Fax Number	E-mail Address
(416) 546-7259			caroline@jagemanlaw.com

5. Type of Application

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

Licence Number: ER- _____ Expiry Date: _____

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.

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).

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 (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)
Duke Energy Services Canada ULC	Electricity Generation License	Not yet assigned

- (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 see attached				

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)
Melisa Johns	Vice President
Lawrence Denney	Director of Policy and Strategy, Duke Energy Corp.
Christopher Gillman	GM, DER Execution and Development, Duke Energy Cor

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.

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

As soon as possible - upon receipt of the Generator and Retailer Licences

(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.

Applicant will provide on-site generation to its customer to serve the customer's load.

(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.

Applicant will provide on-site generation to its customer to serve the customer's load.
