

Ontario Energy Board
Commission de l'énergie de l'Ontario



Application for an Electricity Retailer Licence

Application Instructions

1. Purpose of this Form

This form is to be used to apply for a licence that would enable the applicant

- (a) to sell or offer to sell electricity to a consumer;
- (b) to act as agent or broker for a retailer with respect to the sale of electricity; and/or
- (c) to act or offer to act as an agent or broker for a consumer with respect to the sale or offering for sale of electricity.

2. Completion Instructions

This form is in a writeable PDF format. The applicant must either:

- type answers to all questions, print two copies and sign both copies; or
- print a copy of the form, clearly print answers to all questions, make a copy and sign both copies.

The applicant must also complete the checklist attached to the application form.

Please send both copies of the completed form, checklist, and two copies of any attachments to:

Board Secretary
Ontario Energy Board
P.O Box 2319
2300 Yonge Street, 27thFloor
Toronto, ON M4P 1E4

Any questions regarding the completion of this application should be directed to the Ontario Energy Board (OEB) at IndustryRelations@oeb.ca.

Please note that the OEB may require information that is additional or supplementary to the information filed in this application form and that filing of the form does not preclude the applicant from filing additional or supplementary 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 "[Performance Standards for Processing Applications](#)" page of the OEB's website at www.oeb.ca. If submitted incomplete, there may be a delay in processing the application.

3. Application and Registration Fees

A non-refundable application fee is required to process your application. Please enclose a cheque or money order made payable to the **ONTARIO ENERGY BOARD**. The amount of the application fee is indicated on the "Apply for a Licence" page of the "Industry" section of the OEB's website at www.oeb.ca.

If a licence is issued, the licensee will be required to pay an annual registration fee. Annual registration fee information is indicated on the "Apply for a Licence" page of the "Industry" section of the OEB's website at www.oeb.ca.

4. Confidentiality

Sections 10 to 15 of this application will be treated as confidential. All other information filed as a part of or in support of this application will be placed on the public record. Where the applicant objects to public disclosure of information contained in sections other than sections 10 to 15, the applicant must follow the procedure set out in the OEB's Practice Direction on Confidential Filings.

5. Important Information

The applicant must make a copy of the non-confidential sections of the application available to any person who requests a copy of the application.

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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
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 : Enel X North America, Inc.

Name to Appear on Licence: Enel X North America, Inc.

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: June 5, 2003

Place of formation or incorporation: _____

Province/state Delaware

Country United States

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 checked="" type="radio"/> | Last Name | First Name | Initial |
| Miss <input type="radio"/> | Ms. <input type="radio"/> | Smith | Kelly | |
| Other <input type="radio"/> | | Title/Position | Internal Controls Specialist | |
| | | Company Name if different from Name to Appear on Licence | | |
| | | | | |
| Licence Primary Contact Address: | | | | |
| One Marina Park Drive, Suite 400 | | | | |
| City | Province/State | Country | Postal/Zip Code | |
| Boston | MA | United States | 02210 | |
| Phone Number | Toll Free (if available) | Fax Number | E-mail Address | |
| 919-244-9043 | 888-363-7662 | 617-224-9910 | compliance.enelx@enel.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 checked="" type="radio"/> | Last Name | First Name | Initial |
| Miss <input type="radio"/> | Ms. <input type="radio"/> | Griffiths | Sarah | |
| Other <input type="radio"/> | | Title/Position | Director, Regulatroy Affairs | |
| | | Company Name if different from Name to Appear on Licence | | |
| | | | | |
| Address for Service in Ontario (if different than the Licence Primary Contact Address above) | | | | |
| 11-1155 North Service Road West | | | | |
| City | Province | Postal Code | | |
| Oakville | ONTARIO | M45-1T9 | | |
| Phone Number | Toll Free (if available) | Fax Number | E-mail Address | |
| 416-697-3744 | 888-363-7662 | 617-224-9910 | sarah.griffiths@enel.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.

| | | | | |
|--|---------------------------------------|--|--------------------------|----------------------|
| Mr. <input type="radio"/> | Mrs. <input checked="" type="radio"/> | Last Name | First Name | Initial |
| Miss <input type="radio"/> | Ms. <input type="radio"/> | Griffiths | Sarah | <input type="text"/> |
| Other <input type="radio"/> | <input type="text"/> | Title/Position | | |
| | | Director, Regulatory Affairs | | |
| | | Company Name if different from Name to Appear on Licence | | |
| | | <input type="text"/> | | |
| Customer Complaint or Inquiries Primary Contact Address: | | | | |
| 11-1155 North Service Road West | | | | |
| City | Province | Postal Code | | |
| Oakville | ONTARIO | M45-1T9 | | |
| Phone Number | Toll Free | Fax Number | E-mail Address | |
| 416-697-3744 | 888-363-7662 | 617-224-9910 | Sarah.Griffiths@enel.com | |

5. Type of Application

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

Licence Number: ER- 2015-0171 Expiry Date: July 22, 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.

| |
|--|
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| |

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 |
|-----------------------------|--|----------------|
| World Energy Services, Inc. | Wholly owned subsidiary | EB-2013-0332 |
| | | |
| | | |
| | | |
| | | |
| | | |

- (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) |
|----------------|---------------------|---|
| | | |
| | | |
| | | |

- (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. |
|------------------|--------------|-------------------|------------------------|--------------------------|
| See Attachment 1 | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

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) |
|------------------------|--|
| Aaron MacQueen | Compliance Officer, Head of Enel X Legal |
| Andrew Thomas | Head of Customer Insights BD, Customer Insights Business Development |
| Tucker Davis | Director, Energy Advisory |
| | |

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.

Energy advisory and consulting services. Supply side procurement and risk management consulting.

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.

Enel X will work directly with clients in a consulting role in their selection of retail supply services.

(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.

Enel X will work directly with clients in a consulting role in their selection of retail supply services.
