



## NEW JERSEY BOARD OF PUBLIC UTILITIES

### ELECTRIC POWER and/or NATURAL GAS SUPPLIER INITIAL APPLICATION INSTRUCTIONS

- Sections of the form designated as “**Internal Use Only**” will not be publicly posted on the Board’s website via the Public Document Search tool but may be released through an Open Public Records Act request. If a licensee considers any information provided in the “Internal Use” sections to be confidential, a request for confidential treatment must be made in accordance with N.J.A.C. 14:1-12.
- All applications submitted to the New Jersey Board of Public Utilities must be completed and include all fees, documents, schedules and attachments. One original and two copies must be submitted.
- Return completed application to:  
**New Jersey Board of Public Utilities**  
**Attn: Licensing and Registration Unit**  
**Division of Audits**  
**44 South Clinton Avenue**  
**9<sup>th</sup> Floor, P.O. Box 350**  
**Trenton, NJ 08625-0350**
- Type or print all answers. Do not leave any questions unanswered. If a question is not applicable or the answer is none, please type or print “N/A” only when instructed.
- Any question which is answered “yes” requires a detailed explanation. Attach a separate schedule providing details. Failure to provide adequate information will cause a delay in processing the application.
- Insert on line 1 complete name of the corporation, or limited liability company (LLC) exactly as it appears on the Certificate of Incorporation or Formation papers filed with the New Jersey Secretary of State. If a sole Proprietor or Partnership, insert the person’s name or the name of the partnership.
- No special consideration can be given to applicants who may have payroll, leases or other obligations to satisfy while the application is being processed. Therefore, all applications should be submitted well in advance of any date the applicant intends to commence business.
- Application must be properly sworn to, signed and dated by:
  - Authorized corporate officer if a corporation;
  - Member of the partnership and a witness if a partnership; or
  - The sole proprietor and a witness if a sole proprietorship, in the spaces provided for attestation.
- **Signatures must be witnessed by a notary or attorney.**

- Provide original perfected surety bond in the minimum amount of \$250,000. If applying for both gas and electric licenses, provide two perfected surety bonds, each in the amount of \$250,000.
- Applicant may be required to complete a criminal history request form for all key operating personnel, officers, directors, partners or owners. The Board will notify applicants when such a form is required.
- Certified or cashier's checks must be submitted for the application fee and each type (electric/and/or natural gas) license fee(s). Enclose certified checks or money orders made payable to Treasurer, State of New Jersey, c/o the New Jersey Board of Public Utilities, in the amount of:
  - Electric License Fees (Returnable if application is rejected) \$1,000
  - Gas License Fees (Returnable if application is rejected) \$ 800
  - Application Fee (Non-refundable) \$ 250
- Pursuant to N.J.A.C. 14:4-7.4(d), the State of New Jersey requires that "[t]he TPS shall comply with all FTC [Federal Trade Commission] telemarketing rules." The attached Do Not Call Certification under Oath must be completed and returned along with the application. This certification applies ONLY to those entities that will be telemarketing to residential customers in the State of New Jersey.
- For questions, please contact the Division of Audits at 609-913-6258.

### **ADDITIONAL APPLICATION INFORMATION AND TEMPLATE DOCUMENTS**

*The following information is provided to answer common inquiries which the agency has received from prospective applicants.*

**Certification under Oath** - Pursuant to N.J.A.C. 14:4-5.3(b)14 the certification under oath shall be signed by a corporate officer, partner, sole proprietor, or other authorized legal representative of the applicant.

**Customer Assistance Information** - Pursuant to N.J.A.C. 14:4-5.2(c), the applicant shall document that it will make itself available to customers and regulators by maintaining the following:

1. An internet website and e-mail address,
2. A **customer service representative**, who is available by toll-free telephone number during normal New Jersey business hours to respond to customer inquiries or complaints,
3. A **regulatory affairs representative**, who is available during normal New Jersey business hours, to
  - (i) Assist Board Staff in pursuing investigations on behalf of the Board and/or the New Jersey Division of Consumer Affairs.
  - (ii) Facilitate the resolution of billing complaints and other problems.

**NOTE:** Automated telephone service shall not, by itself, satisfy these requirements. The applicant shall make it possible for customers, Board Staff, and/or the New Jersey Division of Consumer Affairs, to speak with an authorized individual within 24 hours, if necessary, to

resolve a problem. These individuals need not be located in New Jersey, however, the New Jersey resident agent must be located in-state.

In accordance with N.J.A.C. 14:4-7.9(c), a TPS shall maintain a record of complaints received related to their New Jersey operations, how complaints were resolved, as well as those still pending, for review by the Board Staff. Complaint information shall be made available to Board Staff, upon request, within three days' notice.

**New Jersey Principal Business Office Requirement** - N.J.S.A. 48:3-78 c (3) and /or N.J.S.A. 48:3-79 c (3); N.J.A.C. 14: 4-5.2(b)

Pursuant to the Electric Discount and Energy Competition Act and the licensing standards adopted by the Board, third party suppliers (electric and/or natural gas) must maintain an office within New Jersey. The licensee must acquire and maintain office space through ownership by the licensee, or through a lease, in its name. The purpose of this office is for accepting service of process, maintaining the summary records related to energy contracts or transactions entered into with New Jersey customers or services provided by the supplier to New Jersey customers and ensuring the licensee's accessibility to State agencies, consumers and electric and gas public utilities. The records related hereto may be kept in electronic form; including electronic access for records maintained out of state. **A post office box or rented mail-receiving space shall not constitute a New Jersey office.**

**Surety Bonds** - N.J.S.A. 48:3-78 c(4) and/or N.J.S.A. 48:3-79 c(4); N.J.A.C. 14:4-5.4(f) 1

A Surety bond, in the name of the licensee, is the **only acceptable form** of financial guaranty accepted (required form of bond provided on the following page).

- Bond(s) must be submitted with application.
- A separate bond is required for electric license applications and gas license applications.
- Bond must clearly state whether it is to provide "generation services" or "gas supply services," not both.
- Bonds must be posted for a term that will extend for at least as long as the license remains in effect, including any time during which the license term is extended under N.J.A.C 14:4-5.6(a).
- Oblige is "Treasurer, State of New Jersey"

**SURETY BOND – REQUIRED LANGUAGE**

Bond No. \_\_\_\_\_

STATE OF \_\_\_\_\_  
COUNTY OF: \_\_\_\_\_

Bond required by N.J.S.A. 48:3-78 c (4) and/or N.J.S.A. 48:3-79 c (4)

KNOW ALL PEOPLE BY THIS DOCUMENT, that  
we \_\_\_\_\_

\_\_\_\_\_, hereinafter  
referred as to as the Principal, with principal offices and place of business located at  
\_\_\_\_\_ and \_\_\_\_\_

\_\_\_\_\_ a  
corporation organized and existing under the laws of the State of \_\_\_\_\_, and  
authorized to do business in the State of New Jersey, hereinafter referred to as Surety,  
are held and firmly bound unto TREASURER, STATE OF NEW JERSEY, hereinafter  
referred to as Obligee, for the use and benefit of all persons establishing legal rights  
hereinunder, in the sum of TWO HUNDRED FIFTY THOUSAND AND NO/100 (\$250,000)  
lawful money of the United States of America, to the payments of which sum, well and  
truly to be made, we bind ourselves, our executors, administrators, successors, and  
assigns, firmly by this document.

WHEREAS, the Principal has made application to the New Jersey Board of Public Utilities  
for a license to provide electric generation service and/or gas supply service to retail  
customers in the State of New Jersey, and

WHEREAS, pursuant to the Electric Discount and Energy Competition Act of 1999,  
N.J.S.A. 48:3-49 et seq., the Principal is required to maintain a bond to ensure against  
certain failures.

NOW, THEREFORE, if the Principal shall faithfully pay taxes and assessments and shall  
faithfully and truly fulfill all of its service or product contracts and other contractual  
commitments to deliver \_\_\_\_\_

("electric generation services" or "gas supply services"), and not file for bankruptcy or for  
similar protection under law, then this obligation shall be void, otherwise to remain in full  
force and effect as security for the use of the State of New Jersey and/or the Board of  
Public Utilities for failure to pay taxes or assessments and/or of any person or entity, who  
after entering into a service or product contract or third party supplier agreement for  
service in the State of New Jersey with the above named principal is damaged or suffers  
any loss by reason of failure to pay taxes or assessments or by breach of contract or  
bankruptcy by this principal.

The aggregate liability of the Surety is limited to the foregoing sum which sum shall be  
reduced by any payment made in good faith hereunder.

The term of this bond is for the period beginning (\_\_\_\_\_) and  
terminating (\_\_\_\_\_), and may be continued for an annual period by

a Continuation Certificate signed by the Principal and Surety, a copy of which must be served by registered mail upon the Secretary of the Board of Public Utilities.

In order to draw funds on this Bond, the Secretary of the New Jersey Board of Public Utilities shall present the following document to the Surety:

Affidavit sworn to and signed by the Secretary of the New Jersey Board of Public Utilities, stating that at its public agenda meeting of \_\_\_\_\_(date), the Board of Public Utilities determined that \_\_\_\_\_(principal) has not satisfactorily performed its obligations to a person or entity, who has been damaged or suffered a loss by means of failure to pay taxes or assessments, as required by law, or by reason of breach of contract or violation of N.J.S.A. 48:3-49 et seq. and/or regulations, rules or standards promulgated pursuant thereto.

SIGNED, SEALED AND DATED this \_\_\_\_\_ day of \_\_\_\_\_

\_\_\_\_\_  
(Principal)

\_\_\_\_\_  
By:

\_\_\_\_\_  
(Surety)

\_\_\_\_\_  
(Address of Surety)

\_\_\_\_\_  
By:

**NOTARIZATION:**

\_\_\_\_\_

**DO NOT CALL CERTIFICATION UNDER OATH**

*Must be completed and signed by a corporate officer, partner, sole proprietor, or other authorized legal representative of the Third Party Supplier.*

1. I \_\_\_\_\_, hereby certify that I am the \_\_\_\_\_ of \_\_\_\_\_, a Third Party Supplier licensed by the New Jersey Board of Public Utilities (hereinafter the "Company").
  
2. I hereby certify that I am aware that the Company must comply with all the standards, rules and regulations applicable to its license and must meet all reliability standards in accordance with N.J.S.A. 48:3-49 et seq. or as may be established by any applicable regulatory authority.
  
3. I hereby certify that as such, the Company must comply with N.J.A.C. 14:4-7.4, which provides, among other things, that all Third Party Suppliers must comply with the FTC Telemarketing Sales Rule at 16 C.F.R. § 310.4 (b) (1).
  
4. I hereby certify that the Company is aware of the requirements provided under 16 C.F.R. § 310.4 including, but not limited to, the restrictions on contacting persons on the "do-not-call" registry.
  
5. I hereby certify that the Company is in complete compliance with the regulations provided under 16 C.F.R. § 310.4.
  
6. I hereby certify that the Company ensures complete compliance with 16 C.F.R. § 310.4 through the following affirmative actions taken on behalf of the Company:

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(Attach additional pages if necessary)

7. I hereby certify that the Company       DOES      DOES NOT (check one that applies) employ and/or utilize agents, telemarketers, brokers and/or other third parties for marketing purposes.
  
8. I hereby certify that if the Company employs and/or utilizes agents, telemarketers, brokers and/or other third parties for marketing purposes, a complete and accurate list of the names, addresses, e-mails and phone numbers of any and all contact personnel of all such entities is attached hereto and made a part hereof.

9. I hereby certify that if employing and/or utilizing agents, telemarketers, brokers and/or other third parties for marketing purposes, the Company ensures that such entities are in compliance with 16 C.F.R. § 310.4 via the following affirmative actions taken on behalf of the Third Party Supplier:

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(Attach additional pages if necessary)

I hereby certify that the foregoing statements made by me are true. I am aware that if any of the above statements are willfully false, I am subject to punishment.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_ at \_\_\_\_\_.  
(month) (year) (location)

Signature: \_\_\_\_\_

**NOTARIZATION:**

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