

# CORE TRANSPORT AGENT REGISTRATION APPLICATION FORM

\*\*\*PLEASE PRINT OR TYPE\*\*\*

FOR CPUC USE ONLY
CTA No. _____

1. Exact Legal Name of Registrant:

\_\_\_\_\_

If registrant is conducting business in California under a fictitious business name, list all the names under which the registrant is doing business as (DBA) in California, and the date and county in which the fictitious business name statement was filed (Attach additional page if necessary). For each DBA, provide a copy of the proof of publication of the fictitious business name, or a copy of the certified fictitious business name statement. (See Business & Professions Code Sections 17910, 17917, 17926)

DBA	Date	County
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

2. Current Address:

\_\_\_\_\_ Address

\_\_\_\_\_ City State Zip Code

3. Current Telephone Number: \_\_\_\_\_

4. Type of Ownership:

- Individual   
 Partnership   
 Corporation   
 Limited Liability Company  
 Government Entity   
 Other

Complete and mail this application along with \$100.00 certified check (write 0462-800 on front of check) and complete fingerprint information (see question no. 21) to:

State of California  
Public Utilities Commission  
Energy Division - CTA Registration

505 Van Ness Avenue  
San Francisco, CA 94102-3298

INCOMPLETE  
APPLICATIONS  
CANNOT BE  
PROCESSED

FOR CPUC USE ONLY
Application Processed
By: _____
Date: _____

5. If you are a non-California corporation, limited liability company, or limited partnership, attach a copy of the certificate from the California Secretary of State permitting the entity to transact business in California. (See Corporations Code Section 2105)

6. a. If registrant is a corporation, the state in which the registrant is incorporated and

Date of Incorporation: \_\_\_\_\_ State of Incorporation: \_\_\_\_\_  
(Date) (State)

b. List names and titles of corporate officers. (Attach additional page if necessary)

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7. If a partnership list all general partners. (Attach additional page if necessary)

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8. If a limited liability company list all managers and/or officers and their titles. For the purpose of this document, a manager shall be considered anyone who has charge of a branch establishment, division, or department of the registrant's energy-related operations. (Attach additional page if necessary)

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9. If registrant has listed type of ownership as "government entity" provide a brief description of the government entity, and list the names and titles of the personnel responsible for managing the sale of gas to residential and small commercial customers. (Attach additional page if necessary)

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10. If registrant has listed type of ownership as "other" describe the type of ownership, list the names and titles of all managers or officers, and attach a copy of the document establishing the entity as well and the bylaws or similar governing document of the entity. (Attach additional page if necessary)

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11. If the type of ownership is a corporation, provide a listing of the name and address of all persons or entities that directly or indirectly own, control, or hold the power to vote ten percent or more of the outstanding voting securities of the registrant. In the alternative, attach any report required by the Securities and Exchange Commission which details such an interest.

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12. List all of the names and addresses of all the corporate registrant's affiliates in which the registrant owns, controls or hold five percent or more of the affiliate. If this information is contained in any report required by the Securities and Exchange Commission, that report may be submitted in lieu of the information. See the "NOTICE" section for the definition of an "affiliate."

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13. The street address and telephone number of the registrant's principal place of business, if *DIFFERENT* from current address and telephone number listed in line numbers 2 and 3:

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Street Address

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City	State	Zip Code
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Telephone Number

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14. a. Please provide a brief description of the gas services you plan to offer.

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b. Check the box or boxes which describe what customer classes you plan to serve.

- Residential Customers     Small Commercial Customers  
 Medium to Large Commercial Customers

Industrial Customers

c. Check the box or boxes which best describe the geographic area in which you plan to offer gas services.

Statewide

Northern California Counties

Central California Counties

Southern California Counties

d. Indicate the number of customers you plan to serve. \_\_\_\_\_

e. Indicate the average number of therms you expect to provide per month. \_\_\_\_\_

15. Before you can apply to register as a core transport agent (CTA), you are required to execute a service agreement with each Utility Distribution Company (UDC) in whose service territory you plan to do business. State the name of each UDC for which you have a signed service agreement. Attach to this form an executed copy of each UDC-CTA agreement.

Name of UDCs: \_\_\_\_\_

16. a. Provide the names and titles of the key personnel that are involved in the technical and operational aspects of the business.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

b. On a separate attachment, describe each key person's experience in the sale, procurement, metering, and billing of natural gas or similar products, including the time period of such experience. CTAs may submit resumes of the key technical and operational personnel if the resume includes the requested information.

c. If your company is not providing billing services, provide the names of the companies who will provide that service on your behalf, and provide a description of their experience in those areas.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

17. The name, title, address, e-mail and telephone number of the person to whom correspondence or communication regarding customer complaints or inquiries are to be addressed. This person must have the ability to receive complaint cases through the CPUC Consumer Affairs Branch electronic complaint database.

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 Address
 

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City

State

Zip Code

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 Telephone Number

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 FAX Number  
(If available)

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 E-Mail Address  
(If available)

**18. Name and Address of Agent for Service of Process:  
(Must Be Located In California) (See Corporations Code Sections 1505, 15800)**

Name: \_\_\_\_\_

Street Address: \_\_\_\_\_

City and State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

**19. Disclosures**

a. Has the registrant, or any of the general partners, or corporate officers or directors, or limited liability company members, managers, and officers, ever been convicted of any felony?

No     Yes    If yes, please explain on additional page.

b. Within the last ten years, have any of these persons had any civil, criminal, or regulatory sanctions imposed against them pursuant to any state or federal consumer protection law or regulation?

No     Yes    If yes, please explain on additional page.

**20. Provide a full set of fingerprints of: (1) if a sole proprietorship, the registrant; (2) if a partnership, all general partners; (3) if a corporation, all corporate officers; and (4) if a limited liability company, all of the members, managers and officers. If your company does not offer gas service to residential or small commercial customers, this fingerprinting requirement may be limited to a designated corporate officer(s) approved by the Energy Division. The fingerprints shall be performed by a law enforcement agency, or other person which is qualified to provide fingerprint services. The CTA registrant shall also provide the name and address of the entity or person which provided the fingerprint services, and the date on which the service was provided.**

### **ADDITIONAL REQUIREMENTS AND NOTICE**

Each CTA registered with the California Public Utilities Commission (CPUC) should be familiar with all the laws and decisions pertaining to the offering of gas services to customers in California. This "Additional Requirements and Notice" mentions some of the provisions that the CTA must abide by.

To be issued a CTA Registration number, you are required to provide the CPUC with a cash (cashier's check) security deposit in the initial minimum amount of \$25,000 or post a financial guarantee bond in favor of the CPUC in that amount. This deposit must be received by the CPUC before your CTA registration will be considered complete. The deposit or financial guarantee bond shall be delivered to the Energy Division address listed on the first page of this form. In the alternative, the CTA may elect to open a customer trust account in a format approved by the CPUC's General Counsel. Pending such an approval, the CTA must post the cash deposit or the financial guarantee bond.

In accordance with the security deposit schedule adopted in Decision 17-\_\_\_-\_\_\_, as the number of customers increases for the CTA, bringing the CTA to the next customer threshold level, the CTA

shall with R. 14-03-002, COM/DAR/triggering event increase the financial resource amount to the applicable amount.

In accordance with Public Utilities Code §§ 984.5(a) and 986(b) and D.17-\_\_-\_\_, each CTA registering with the CPUC shall provide at the time it registers, a copy of the written notice of the terms and conditions of its standard service plan. The latest version of the written notice shall be provided to the Director of the Energy Division on a semi-annual basis as required by D.17-\_\_-\_\_.

Prior to signing up and initiating service on behalf of any residential or small commercial customer, all registered CTAs serving such customers are required to provide the potential customer with a written notice which describes the price, terms, and conditions of service. The notice shall include all of the elements required by Public Utilities Code § 986, and the requirements set forth in the R. 14-03-002.

Public Utilities Code § 987 prohibits all CTAs from soliciting those residential and small commercial consumers whose names appear on the Do Not Call list that is maintained pursuant to that code section.

In order to change the gas provider of a residential or small commercial customer, all CTAs must follow the verification procedures set forth in the rules provided by the UDC in whose territory they are conducting business.

Each registered CTA serving residential or small commercial customers is required to submit annual filings containing information regarding its standard service plans. This information is to be submitted in the standard format adopted by the CPUC. (Public Utilities Code § 984.5)

In addition to the \$100 registration fee, you are required to pay the annual fee required by Public Utilities Code § 984 (b). This fee is assessed on each registered CTA on July 1st of each year.

For the purposes of this form, the following definition of an “affiliate” applies:

“Affiliate” means any legal entity in which five percent or more of the outstanding shares are owned, controlled, or held with power to vote, directly or indirectly either by the CTA or any of its subsidiaries; or by the CTA’s controlling entity or any of its subsidiaries; or by any company in which the CTA, its controlling entity, or any of the CTA’s affiliates, exert substantial control over the operation of the company or indirectly have substantial financial interests in the company which is exercised through means other than ownership. For purpose of this definition, “substantial control” include, but is not limited to, the possession, directly or indirectly and whether acting alone or in conjunction with others, of the authority to direct or cause the direction of the management or policies of the company. A direct or indirect voting interest of five percent or more by the CTA in an entity’s company creates a rebuttable presumption of control.

Any material change in the information required by this form shall be provided to the CPUC within 60 days, except for any change in the CTA’s telephone number or address, which shall be reported within five days of such a change. (Public Utilities Code § 982 (d).)

In addition, any CTA attempting to register with the Commission must attach to this form a statement stating the following:

“Neither the applicant, any of its affiliates, officers, directors, partners, agents, or owners (directly or indirectly) with more than 10 percent interest in the applicant, or anyone acting in a management capacity for applicant has: (A) held one of those positions with a company that filed for bankruptcy in the last ten years, (B) been personally found liable, or held one of those positions with a company that has been found liable, for fraud, dishonesty, failure to disclose, or misrepresentations to consumers or others, (C) been convicted of a felony, (D) been (to his or her knowledge) the subject of a criminal referral by a judge or public agency, (E) had a license of operating authority denied,

14-03-001-CDM/CAR/12  
suspended, or (E) been found to be involved in any jurisdiction, (F) personally entered into a settlement, or held one of those positions with a company that has entered into settlement, of criminal or civil claims involving violations of Chapter 4 (commencing with Section 17000) of Part 2 of, or Part 3 (commencing with Section 17500) of Division 7 of, the Business and Professions Code or of any other statute, regulation, or decisional law relating to fraud, dishonesty, failure to disclosure, or misrepresentations to consumers or others, (G) been found to have violated any statute, law, or rule pertaining to public utilities or other regulated industries, or (H) entered into any settlements or agreements, made any voluntary payments, or agreed to any other type of monetary forfeitures in resolution of any action by any regulatory body, agency, or attorney general.”

The above statement must be signed by an officer of the registrant. The registrant may include an Attachment to its statement providing additional information relevant to the Commission’s consideration for any individuals for whom the statement cannot be verified.

Submit the original signed form together with all required documents, and three additional copies.

### DECLARATION

If this registration form is verified outside of California, the verification must be made by an affidavit sworn or affirmed before a notary public.)

I, (print name and title) \_\_\_\_\_ hereby certify that I am empowered to act on behalf of \_\_\_\_\_ (registrant’s name) and to make this application on its behalf. I declare under the penalty of perjury under the laws of the State of California that I have read the above notice, that the above statements and information submitted in connection with this application are true and correct, and that any documents furnished in connection with this application are true and correct copies.

Dated this \_\_\_\_\_, at \_\_\_\_\_  
(date) (place of execution)

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

(End of Appendix A)