

**Qualification Application**

**Version 3.3**

Issued by the following states:

Connecticut, Delaware, Maine, Maryland, Massachusetts,

New Hampshire, New York, Rhode Island, and Vermont

**Issued on April 09, 2019**

**Administered by RGGI, Inc.**

**90 Church Street, 4th Floor, New York, New York 10007**



**The Regional Greenhouse Gas Initiative (RGGI) is a cooperative effort by participating states to reduce emissions of carbon dioxide (CO2), a greenhouse gas that causes global warming.**

**RGGI, Inc. is a non-profit corporation created to provide technical and administrative services to the CO2 Budget Trading Programs of Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New York, Rhode Island, and Vermont**.

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I. Overview

An applicant must be qualified to participate in a CO2 Allowance Auction. All new applicants and previously qualified applicants with a material change to the information previously submitted in its qualification application must complete and submit *Qualification Application – Version 3.3*(“*Qualification Application*”). For these applicants, a fully completed *Qualification Application*, consisting of the coversheet plus forms 1 through 8, must be received by the RGGI CO2 Budget Trading Programs Auction Manager (“Auction Manager”) on or before the date and time deadline specified in the most recent auction notice in order to participate in the auction(s) covered by that auction notice, and any subsequent CO2 Allowance Auction(s). Once qualified, each applicant remains qualified unless there has been a material change[[1]](#footnote-1) to information contained in the submitted *Qualification Application*.

The most current auction noticeprovides information about eligibility, auction format and procedures, and participation requirements. All auction documents are available at <https://www.rggi.org/auctions/auction-materials> (“Auction Website”).

II. Submission Instructions

The *Qualification Application* has been created as a Microsoft Word document with editable fields. Information must be entered directly into the fields provided.

The *Qualification Application* (coversheet plus forms 1 through 8) must be signed by the Primary Authorized Auction Representative (“PAAR”) and must be received by the Auction Manager on or before the date and time deadline specified in the most recent auction notice in order to participate in the auction(s) covered by that auction notice, and any subsequent CO2 Allowance Auction(s).

Facsimiles will not be accepted under any circumstances.

An applicant has two options for submitting the *Qualification Application:*

1) Hard Copy: An applicant can submit a paper *Qualification Application* to the Auction Manager at:

RGGI CO2 Budget Trading Programs Auction Manager

c/o Enel X North America, Inc.

One Marina Park Drive, Suite 400

Boston, MA 02210

Or

2) Electronic via Email: An applicant can submit a *Qualification Application* by email to the Auction Manager at:

auctionmanager.enelxnorthamerica@enel.com

The *Qualification Application* must be in portable document format (“PDF”) only and the email message must have the subject line “Auction Qualification Documents”.

The *Qualification Application* review and remediation process as presented in the *Auction Notice* is identical for all applicants, regardless of the chosen submission option.

It is highly recommended that all applicants save an electronic copy of the *Qualification Application*. Saving an electronic copy will facilitate future updates and serve as a reference for any necessary remediation requirements.

III. Confidentiality

An applicant may assert that it considers information submitted in the *Qualification Application* to be confidential by checking the box at the bottom of each form. Information contained in the *Qualification Application* will be held confidential by the states issuing the *Qualification Application* to the extent permitted by applicable state laws.

IV. Forms

The *Qualification Application* consists of a coversheet and the following forms:

* Coversheet/Checklist
* Form 1 – General Information
* Form 2 – Authorized Auction Representative
* Form 3 – Evidence of a RGGI CO2 Allowance Tracking System Account
* Form 4 – Corporate Associations
* Form 5 – Not applicable for 2019
* Form 6 – Bidding Associations
* Form 7 – Not applicable for 2019
* Form 8 – Attestations

Coversheet and Checklist

***Date***

|  |
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|  |

***Name of Applicant (organization name if an entity, first and last names if an individual person)***

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The following are enclosed, all of which are required.

Coversheet and Checklist

Form 1 – General Information

Form 2 – Authorized Auction Representative

Form 3 – Evidence of a RGGI CO2 Allowance Tracking System Account

Form 4 – Corporate Associations

Form 5 – Not applicable for 2019

Form 6 – Bidding Associations

Form 7 – Not applicable for 2019

Form 8 – Attestations

Form 1 – General Information

***Name of Applicant***

|  |
| --- |
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***Street Address***

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***City State/Province Postal Code Country***

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***Select the Appropriate Applicant Category (only one)***

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| --- |
| Owner of an Electric Generation Source(s)[[2]](#footnote-2) |
| Broker |
| Environmental Group |
| Financial or Investment Institution |
| Energy Marketing/Trading Firm |
| Individual Person |
| Other Market Participant (if selected, please provide a brief description in the box immediately below) |

If the Applicant did not check “Individual Person,” describe the nature of the Applicant’s core business or organization. Additionally, describe the structure of the Applicant’s organization, including whether the entity is a sole proprietorship, partnership, limited partnership, limited liability company (LLC), limited liability partnership (LLP), corporation (for-profit), nonprofit corporation (not-for-profit), or cooperative. If a field below is not applicable or unanswerable, please respond with “n/a.”

***Describe the Nature of the Applicant’s Core Business or Organization***

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| --- |
|  |

***Dun & Bradstreet or***

***Place of Incorporation Federal Tax ID DUNS Number***

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***Year Founded URL for Applicant’s Web Site***

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If the Applicant checked “Owner of an Electric Generation Source(s),” provide the name of the electric generation source and the Energy Information Administration (“EIA”) plant code, as well as the street address of the source.

***EIA Postal***

***EIA Generation Source Name Plant Code Source Street Address City State Code***

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Include additional pages if necessary.

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| ***Yes*** |  |
|  | Do you assert that the submitted information on “Form 1 – General Information” is confidential? |

Form 2 – Authorized Auction Representative

See the most recent auction notice’s section titled “Authorized Auction Representative” for more information.

*Primary Authorized Auction Representative*

***First Name Last Name Title***

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***Office Phone Mobile Phone Fax Company***

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***Email Address***

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***Street Address***

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***City State/Province Postal Code Country***

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*Secondary Authorized Auction Representative (optional)*

***First Name Last Name Title***

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***Office Phone Mobile Phone Fax Company***

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***Email Address***

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***Street Address***

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***City State/Province Postal Code Country***

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| ***Yes*** |  |
|  | Do you assert that the submitted information on “Form 2 – Authorized Auction Representative” is confidential? |

Form 3 – Evidence of a RGGI CO2 Allowance Tracking System Account

Information regarding the applicant’s RGGI CO2 Allowance Tracking System (RGGI COATS) account must be provided. This is the account into which all awarded CO2 allowances will be deposited.

***RGGI COATS Account Number***

|  |
| --- |
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***RGGI COATS Authorized Account Representative***

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| ***Yes*** |  |
|  | Do you assert that the submitted information on “Form 3 – Evidence of a RGGI CO2 Allowance Tracking System Account” is confidential? |

Form 4 – Corporate Associations

See the most recent auction notice’s sections titled “Identifying Direct and Indirect Corporate Associations” and “Use of Direct and Indirect Corporate Associations” for more information.

|  |  |  |
| --- | --- | --- |
| ***Yes*** | ***No*** |  |
|  |  | The Applicant has a direct or indirect corporate association with another applicant. |

An affirmative answer to this statement requires disclosure of the direct or indirect corporate association(s) in the space provided below. If additional information is required to explain the relationship(s), it can be provided in the space at the bottom of the page.

***Bid***

***Name of Applicant Limitation (%)***

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***Bid The Type of Association (i.e., Direct or Indirect)***

***Name of Associated Applicant Limitation (%) and a Brief Description of the Association***

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***Additional Information***

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Include additional pages if necessary.

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| ***Yes*** |  |
|  | Do you assert that the submitted information on “Form 4 – Corporate Associations” is confidential? |

Form 5 –

[Intentionally left blank]

Form 6 – Bidding Associations

The information in each Applicant’s *Qualification Application* will be used to limit the quantity of CO2 allowances bid by each party in the Bidding Association. See the most recent auction notice’s sections titled “Identifying Bidding Associations” and “Use of Bidding Associations” for more information and examples.

|  |  |  |
| --- | --- | --- |
| ***Yes*** | ***No*** |  |
|  |  | The Applicant has or expects to have a Bidding Association with another party. |

An affirmative answer to this statement requires disclosure of the bidding association(s).

|  |  |  |
| --- | --- | --- |
| ***Yes*** | ***No*** |  |
|  |  | Does the bidding association involve bidding on a specific quantity of CO2 allowances? If yes, fill out Table 1. If no, fill out Table 2 |

*Table 1 – Bidding Associations Involving a Specific Quantity of CO2 Allowances*

***Position of***

***Other Party Description of the Type***

***(Purchaser, of Bidding Association***

***Recipient, or (Reference Notice Section***

***N/A, If N/A selected 7.2.3.3 a-d, or other. If other***

***Is the please provide selected please provide***

***Other Party additional additional information Quantity or % of***

***Name of Other Party an Applicant? information below) below) CO2 Allowances***

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***Additional Information***

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Include additional pages if necessary.

*Table 2 – Bidding Associations Not Involving a Specific Quantity of CO2 Allowances*

***Bid***

***Name of Applicant Limitation (%)***

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***The Type of Bidding Association and a Brief***

***Description of the Association (Reference Notice Bid Section 7.2.3.3 a-d or other. If other, please provide***

***Name of Other Party Limitation (%) additional information below)***

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***Additional Information***

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Include additional pages if necessary.

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| ***Yes*** |  |
|  | Do you assert that the submitted information on “Form 6 –Bidding Associations” is confidential? |

Form 7 –

[Intentionally left blank]

Form 8 – Attestations

The following attestations must be made.

The Applicant must answer yes or no for attestations 1-5. If the Applicant answers affirmatively to any of attestations 1-5, an explanation must be provided. An affirmative answer to any of these attestations does not automatically disqualify the Applicant. The explanation provided will be used to inform the decision regarding the applicant’s qualification status. Include additional pages if necessary.

1. Has the Applicant, or any of its corporate officers, directors, principals, members (if the applicant is a LLC or LLP), or partners been indicted for a felony, in any federal or state jurisdiction, within the five (5) years up to and including the date of this *Qualification Application?*

***Yes No If Yes, Provide an Explanation***

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1. Has the Applicant or any of its corporate officers, directors, principals, members (if the applicant is a LLC or LLP), or partners of the applicant been convictedof a felony, within thefive (5) years preceding the date ofthis *Qualification Application*?

***Yes No If Yes, Provide an Explanation***

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1. Has the Applicant been subject to any civil penalties, judgments, sanctions, or consent decrees arising out of the violation of any law, rule, regulation, or ordinance in connection with any commodity market[[3]](#footnote-3) or exchange, or by the Securities and Exchange Commission or Commodity Futures Trading Commission?

***Yes No If Yes, Provide an Explanation***

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1. Has the Applicant had any permit or authority to do business in any jurisdiction revoked or suspended?

***Yes No If Yes, Provide an Explanation***

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1. Has the Applicant been found to be non-responsible with regard to any federal, state or local procurement, barred from public bidding or sanctioned for unauthorized disclosure of confidential information?

***Yes No If Yes, Provide an Explanation***

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1. All the information provided in this *Qualification Application* is accurate, true, and not misleading.
2. The Primary Authorized Auction Representative designated on Form 2 is authorized to represent the Applicant in all matters regarding CO2 Allowance Auctions.
3. The Secondary Authorized Auction Representative designated on Form 2 is authorized to (1) submit bids on behalf of the Applicant in any CO2 Allowance Auction; (2) submit an *Intent to Bid* on behalf of the Applicant for any CO2 Allowance Auction; and (3) act on behalf of the Applicant in the remediation of the *Qualification Application* and/or any *Intent to Bid*.
4. The Applicant will be responsible for all confidential information regarding the CO2 Allowance Auctions and will not publicly release confidential information, to the extent permitted by applicable state law.
5. The Applicant, individually or in combination with any applicant with which the Applicant has a corporate or bidding association, will not seek to bid in aggregate more than 25% of the CO2 allowances offered for sale in any single auction.
6. The Applicant, if not a compliance entity required by the laws or rules of one of the RGGI participating states to hold CO2 allowances equal to emissions, hereby attests and agrees that with respect to the applicant's purchase, sale, holding or transfer of any CO2 allowance, the Applicant shall be subject to the personal jurisdiction and venue of courts of any of the RGGI participating states for adjudication of claims relating to fraudulent, misleading, manipulative, collusive or noncompetitive behavior arising out of such purchase, sale, holding, or transfer.

Any fraudulent, misleading, manipulative, collusive or noncompetitive behavior in a RGGI CO2 Allowance Auction or in the CO2 allowance market may be investigated and prosecuted in accordance with any and all applicable regulations and laws.

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***Signature of Primary Authorized Auction Representative Date***

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***Name in Print***

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|  |

***Title***

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| ***Yes*** |  |
|  | Do you assert that the submitted information on “Form 8 – Attestations” is confidential? |

1. A material change is a change to any application information that is of decisional or informational significance. More information is provided in the auction materials for the particular auction. [↑](#footnote-ref-1)
2. For purposes of the *Qualification Application*, any unit that serves an electricity generator with a nameplate capacity equal to or greater than 25 MWe is considered a generation unit, and any facility that includes one or more generation units is considered a generation source. [↑](#footnote-ref-2)
3. Commodities include air emissions allowances, permits, Renewable Energy Credits, or other market instruments. [↑](#footnote-ref-3)