

DM 19-188



Sunwave USA Holdings Inc.  
100 Cambridge St. 14<sup>th</sup> Floor  
Boston Mass. 02114  
Phone: 617-420-4175  
Fax: 1-888-977-2605  
www.gosunwave.com

NHPUC 26NOV'19AM11:46

Executive Director

New Hampshire Public Utilities Commission

21 South Fruit Street, Suite 10

Concord, NH 03301

*Via FedEx and Electronic Delivery*

November 25, 2019

RE: Initial CEPS Application of Sunwave USA Holdings Inc.

Dear Executive Director,

Please find enclosed the initial CEPS application package for Sunwave USA Holdings Inc. The letter of credit has already been sent in.

Thank you,

A handwritten signature in black ink, appearing to read "Steve C. Laker".

Steve Laker, CEO

LINKED



### Competitive Electric Power Supplier Application Form

This form may be used to: (1) apply for initial registration as a competitive electric power supplier (CEPS) in New Hampshire, (2) apply for renewal of registration as a CEPS in New Hampshire, and (3) notify the Commission of any changes to information in a previously filed CEPS application. *This form is provided as a convenience for filing only; you are required to provide all information specified under Puc 2006.01 when applying for initial or renewal registration as a CEPS, but you are not required to use this form when doing so.*

Indicate whether this application is for an initial registration or for a renewal. Initial <input checked="" type="checkbox"/> Renewal <input type="checkbox"/>		
Applicant's General Information		
Puc 2006.01(a)	Legal Name	Sunwave USA Holdings Inc.
	Trade Name (d/b/a) (if applicable)	
Puc 2006.01(b)	Business Mailing Address	100 Cambridge St., 14 <sup>th</sup> Floor Boston, MA 02114
	Telephone Number	617-420-4175
	E-Mail Address	regulatory@gosunwave.com
	Website Address	www.gosunwave.com
Puc 2006.01(c)	Provide the state or jurisdiction of organization, if anything other than an individual.	DE
Puc 2006.01(d)	Provide the name(s), title(s), business address(es), telephone number(s), and e-mail address(es) of the applicant if an individual, or of the applicant's principal(s) <sup>1</sup> if it is anything other than an individual. Use additional sheets as needed.	
	Name	Steve Laker
	Title	CEO / Sole Director
	Business Mailing Address	100 Cambridge St. 14 <sup>th</sup> Floor, Boston MA 02114
	Telephone Number	617-420-4181
	E-Mail Address	slaker@gosunwave.com
	Name	Michael Olowin
	Title	CFO
	Business Mailing Address	100 Cambridge St. 14 <sup>th</sup> Floor, Boston MA 02114
	Telephone Number	617-420-4184
	Email Address	molowin@gosunwave.com
	Name	
	Title	
	Business Mailing Address	
	Telephone Number	- -
	E-Mail Address	

<sup>1</sup> "Principals" means, for a corporation, any of its officers, directors, or controlling shareholders, for a limited liability company, any of its managers or controlling members, for a partnership, any of its general partners, and for any other business entity, any of its personnel exercising executive functions and any of its controlling equity owners.



Affiliates and Subsidiaries		
Puc 2006.01(e)	Provide the following information regarding any affiliates <sup>2</sup> and subsidiaries of the applicant that are conducting business in New Hampshire. Use additional sheets as needed.	
	Name of Entity	N/A
	Business Address	
	Telephone Number	- -
	Provide a description of the business purpose of the entity.	
	Provide a description of any agreements with any affiliated New Hampshire utility, and the docket number relative to the filing of any such agreements with the Commission.	
	Name of Entity	
	Business Address	
Telephone Number	- -	
Provide a description of the business purpose of the entity.		
Provide a description of any agreements with any affiliated New Hampshire utility, and the docket number relative to the filing of any such agreements with the Commission.		

2 "Affiliate" means any of the following:

- (a) Any person or entity that directly or indirectly owns, controls, or holds with power to vote a majority of the outstanding voting securities or such minority thereof as to give such person substantial control of another person or entity;
- (b) Any person or entity that is directly or indirectly owned, controlled, or held by any person or entity described in (a) above through either power to vote a majority of the outstanding voting securities or such a minority so as to maintain substantial control of such person or entity;
- (c) Any person or entity with which another person or entity has a management or service contract or arrangement that provides such person or entity with effective control over the management, supervision, or operation of the other person or entity; or
- (d) Any person or entity who or which actually exercises effective control over the management, supervision, or operation of another person or entity.





Customer Service Department Contact		
Puc 2006.01(f)	Name	Laura Jurasek
	Title	Regulatory Compliance
	Toll-Free Telephone Number (if available)	855-478-6928
	Telephone Number	416-992-0700
	E-Mail Address	customercare@gosunwave.com

Customer Complaints Contact		
Puc 2006.01(g)(1)	Name	Laura Jurasek
	Title	Regulatory Compliance
	Business Mailing Address	100 Cambridge St. 14 <sup>th</sup> Floor, Boston MA 02114
	Telephone Number	416-992-0700
	E-Mail Address	ljurasek@gosunwave.com

Regulatory Compliance Matters Contact		
Puc 2006.01(g)(2)	Name	Laura Jurasek
	Title	Regulatory Compliance
	Business Mailing Address	100 Cambridge St. 14 <sup>th</sup> Floor, Boston MA 02114
	Telephone Number	416-992-0700
	E-Mail Address	Regulatory@gosunwave.com

Commission Assessment Payments Contact		
Puc 2006.01(g)(3)	Name	Michael Olowin
	Title	CFO
	Business Mailing Address	100 Cambridge St. 14 <sup>th</sup> Floor Boston MA 02114
	Telephone Number	617-420-4184
	E-Mail Address	molowin@gosunwave.com



Separate Attachments: Business Authority, Trade Name, ISO-NE Market Participation, and EDI Certification	
Puc 2006.01(h)	<p>Provide, as a separate attachment, evidence of the applicant's authorization to do business in New Hampshire from the New Hampshire secretary of state by submitting, with this application form, either of the following:</p> <p>(1) a recent printout of the applicant's listing on the N.H. Secretary of State website with the status "In Good Standing" or words of similar import; or</p> <p>(2) a copy of a certificate from the N.H. Secretary of State's office stating that the applicant is authorized to do business in New Hampshire.</p>
Puc 2006.01(i)	<p>Provide, as a separate attachment, evidence of the applicant's registration of the trade name, if any, to be used by the applicant in New Hampshire from the New Hampshire secretary of state by submitting, with this application form, either of the following:</p> <p>(1) A recent printout of the applicant's trade name on the N.H. Secretary of State website with the status "Active" and indicating that the trade name is owned by the applicant; or</p> <p>(2) A copy of a certificate from the N.H. Secretary of State's office indicating that the applicant has registered as doing business under the trade name.</p>
Puc 2006.01(j)	<p>Provide, as a separate attachment, evidence of the applicant's ISO New England market participant membership.</p>
Puc 2006.01(k)	<p>Provide, as a separate attachment, electronic data interchange (EDI) certification from each electric distribution utility in whose franchise area the applicant intends to operate.</p>

Franchise Areas, Customer Types to be Served, and Other States	
Puc 2006.01(l)	<p>List the utility franchise areas in which the applicant intends to operate and, to the extent the applicant does not intend to provide service in the entire franchise area of a utility, a delineation of the cities and towns where the applicant intends to provide service within each utility franchise area.</p> <p>LIBERTY, PSNH</p>
Puc 2006.01(m)	<p>Provide a statement whether or not the applicant intends to serve the following types of customers: residential, small commercial, large commercial, and industrial.</p> <p>APPLICANT INTENDS TO SERVE LARGE COMMERCIAL AND INDUSTRIAL CUSTOMERS.</p>
Puc 2006.01(n)	<p>List the other states or jurisdictions in which the applicant currently conducts business relating to the sale of electricity.</p> <p>OHIO</p>



Customer Complaints	
Puc 2006.01(o)	<p>Use either the table below or a separate attachment to provide a list disclosing the number and type of customer complaints concerning the applicant or its principals and affiliates filed with or by any commission or regulatory agency, attorney general's office, or other governmental consumer protection regulatory authority, for the most recent 2 calendar years in every state or other jurisdiction in which the applicant has conducted business relating to the sale of electricity.</p> <p>In the table below, enter abbreviations of applicable states or the jurisdiction across the top row, complaint types in the left column, and, for each cell in the table, the number of complaints for each type within the applicable state or jurisdiction.</p>

(enter applicable states/jurisdictions in row just below)											
CT	OHIO	PA									
Complaint Type											Total
ENROL ISSUES	3		1								1
CANCELLATION ISSUES	1										1
CONTRACT EXPIRY ISSUES	1	1									2
CUSTOMER CARE ISSUES	1										1
ENERGY ASSISTANCE ISSUES	1										1
ICAP ISSUES	12										12
INFORMATION REQUEST	1										1
RATE ISSUES	5	1									6
ROLL OVER ISSUE	1										1
UTILITY REJECTION OF ENROLMENT	1										0
											0
Total	26	1	1	0	0	0	0	0	0	0	28





Statements Regarding Applicant and its Principals		
Respond to each of the following questions with either "Yes" or "No."		
Puc 2006.01(p)(1)	Has applicant or any of its principals ever been convicted of any felony that has not been annulled by a court?	No
Puc 2006.01(p)(2)	Has applicant or any of its principals, within the 10 years immediately prior to application, had any civil, criminal, or regulatory sanctions or penalties imposed against it, him, or her pursuant to any state or federal consumer protection law or regulation?	No
Puc 2006.01(p)(3)	Has applicant or any of its principals, within the 10 years immediately prior to application, settled any civil, criminal, or regulatory investigation or complaint involving any state or federal consumer protection law or regulation?	No
Puc 2006.01(p)(4)	Is applicant or any of its principals currently the subject of any pending civil, criminal, or regulatory investigation or complaint involving any state or federal consumer protection law or regulation?	No
Puc 2006.01(p)(5)	Has applicant or any of its principals been denied authorization to provide competitive electricity supply service or electric aggregation service in any other state or jurisdiction?	No
Puc 2006.01(q)	If an affirmative answer is provided to any item above, then provide a detailed explanation of the occurrence and the related circumstances. Use additional sheets as needed.	

Telemarketing		
Puc 2006.01(s)	Does the applicant intend to telemarket? Respond with either "Yes" or "No."	No
If the response to the question above is "Yes," then respond to the following three questions:		
Puc 2006.01(r)(1)	Will the applicant maintain a list of customers who request being placed on the applicant's do-no-call list for the purposes of telemarketing?	
Puc 2006.01(r)(2)	Will the applicant obtain monthly updated do-no-call lists from the National Do Not Call Registry?	
Puc 2006.01(r)(3)	Will the applicant NOT initiate calls to New Hampshire customers who have either requested being placed on the applicant's do-not-call list(s) or who are listed on the National Do Not Call Registry?	

In-Person Solicitation of Residential Customers		
Puc 2006.01(u)	Does the applicant intend to enroll residential customers through in-person solicitation at the customer's residence? Respond with either "Yes" or "No."	No
If the response to the question above is "Yes," then provide the following items as separate attachments:		
Puc 2006.01(t)(1)	A plan for in-person solicitation of residential customers at their residences, including provisions to ensure legal and regulatory compliance and quality assurance.	
Puc 2006.01(t)(2)	A description of the applicant's training program for employees or representatives who will conduct in-person solicitation of residential customers at their residences.	
Puc 2006.01(t)(3)	An identification of any third party vendor or vendors the applicant intends to use to conduct in-person solicitation of residential customers at their residences.	
Puc 2006.01(t)(4)	A copy of the applicant's performance standards and code of conduct for any employees, representatives, or vendors who or which will conduct in-person solicitation of residential customers at their residences.	
Puc 2006.01(t)(5)	A copy of field audit standards used to evaluate the performance of employees, representatives, or vendors who or which will conduct in-person solicitation of residential customers at their residences.	



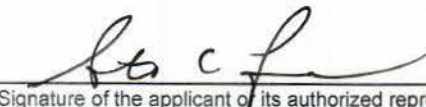
Sample Bill Form		
Puc 2006.01(v)	Does the applicant intend to use only the utility's billing service? Respond with either "Yes" or "No."	YES
Puc 2006.01(v)	If the response to the question above is "No," then provide a sample of the bill form(s) the applicant intends to use as a separate attachment.	

Residential and Small Commercial Customer Contracts		
Puc 2006.01(w)	Does the applicant intend to serve residential and small commercial customers? Respond with either "Yes" or "No."	No
If the response to the question above is "Yes," then provide the following item as a separate attachment:		
Puc 2006.01(w)	A copy of each contract to be used for residential customers and for small commercial customers, including any schedules or other documentation attached to, incorporated into, or referenced in such contract.	

File Financial Security Instrument		
Refer to Puc 2003.03 for the financial security requirements.		
Puc 2003.01(b)(2)	Provide an original executed financial security instrument that meets the requirements of Puc 2003.03.	
	File the original, executed financial security instrument with the Executive Director. The financial security instrument can be filed separately from the application form, by U.S. mail, overnight express, or hand delivery.	

Submit Application Fee (For Initial Applications Only)		
Puc 2003.01(b)(3)	For an application for initial registration, submit payment of the application fee in the amount of \$250.00 to the Executive Director by U.S. mail, overnight express, or hand delivery. Make check payable to: New Hampshire Public Utilities Commission.	
Note that there is no fee for a renewal application.		

Expected Marketing Start Date		
Puc 2006.01(x)	Provide the date upon which the applicant expects to commence marketing its services to customers in New Hampshire.	UPON APPROVAL Date _____

Attestation and Signature		
Puc 2006.01(y) and (z)	<p>BY SIGNING BELOW, THE APPLICANT REPRESENTATIVE CERTIFIES THAT IT HAS THE AUTHORITY TO FILE THE APPLICATION ON BEHALF OF THE CEPS AND ATTESTS THAT THE CONTENTS OF THE APPLICATION ARE TRUTHFUL, ACCURATE, AND COMPLETE.</p> <p> Signature of the applicant or its authorized representative</p> <p>Name: STEVE LAKER</p> <p>Title: CEO</p>	<p>11/25/2019 Date _____</p>

Filing Instructions		
<p>1) Mail an original and two paper copies of this form and all separate attachments to: Executive Director, NHPUC, 21 South Fruit St., Suite 10, Concord, NH 03301</p> <p>2) E-mail a PDF of this form and all separate attachments to: <a href="mailto:Executive.Director@puc.nh.gov">Executive.Director@puc.nh.gov</a></p>		



## Search Business Names

[← Back to Home \(/online/BusinessInquire\)](#)

## Search Result

Business Name	Business ID	Homestate Name	Previous Name	Business Type	Principal Office Address	Registered Agent Name	Status
SUNWAVE USA HOLDINGS INC. (/online/BusinessInquire/BusinessInformation? businessID=656281)	826254	SUNWAVE USA HOLDINGS INC.		Foreign Profit Corporation	100 Cambridge Street, 14th Floor, Boston, MA, 02114, USA	CORPORATION SERVICE COMPANY	Good Standing

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 NH Department of State, 107 North Main St. Room 204, Concord, NH 03301 -- [Contact Us \(/online/Home/ContactUS\)](#)

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# Sunwave USA Holdings Inc. [124090]

This version of Sunwave USA Holdings Inc. [124090] is effective beginning 08/23/2018

## General

**Long Name**

Sunwave USA Holdings Inc. [124090]

**System Name**

Sunwave USA Holdings Inc.

**Status**

Active

**Mentor**

Latka, Heather M

**Short Name****NERC Tag Desk****Alias****Certificate Suffix****Settleable**

Yes

**FTR Settleable**

No

**Subaccount Reporting**

No



## Governance

**Customer Type**

Participant

**Customer Class**

Market Participant

**Sector Type**

Supplier

**Voting Share Flag**

Yes

**Single Participant Rep****Control Area**

New England Power Pool

## External Identifiers

**Primary DUNS**

079181193

**Salesforce ID**

0016A00000ZMWBuQAP

**MPSA Number**

567

**EQR Contract Number**

C15036

## Distribution Company

## Distribution Company Flag

No

## Demand Resource

## Demand Designated Entity Flag

N

## LRP MR Flag

No

## Subclassification

Subclassification	Date Effective ↓	Date Expires	Action
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No items found.

## Tariff Billing ID

Billing ID Number ↓	Billing ID Name	Billing ID Type	Date Effective	Date Expires	Action
079181193	Sunwave USA Holdings, Inc.	Marketer	12/20/2013		

## Trading Info



Exchange Name ↓	Symbol	Date Effective	Date Expires	Comments	Action
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No items found.

Company: Sunwave USA Holdings Inc. [124090]



**Liberty Utilities<sup>SM</sup>**

## **COMPLETION OF EDI TESTING**

This is to certify that on September 24th, 2019

**Sunwave USA Holdings Inc.,**

completed all of the requirements of New Hampshire  
Code of Administrative Rules, Section PUC 2003.01(d).

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Deborah M. Gilbertson, Manager of Retail Choice  
Liberty Utilities (Granite State Electric) Corp.  
15 Buttrick Rd, Londonderry NH 03053



**Public Service Company of New Hampshire  
(d/b/a) Eversource Energy**

**Certificate of Completion**

*is hereby granted to:*

**Sunwave USA Holdings Inc.**

*to certify that they have completed to satisfaction*

**NH EDI Connectivity and Certification Testing**

*Granted: 11/06/19*

*Aaron Downing*

Aaron Downing  
Eversource Supplier Services

