



Control Number: 49711



Item Number: 6

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OPEN MEETING COVER SHEET

REVISED BROKER REGISTRATION FORM

MEETING DATE: May 14, 2020

DATE DELIVERED: May 7, 2020

AGENDA ITEM NO.: 16

CAPTION: P49711 – *Development of Broker
Registration Form*

DESCRIPTION: Revised Broker Registration Form for
Approval

Distribution List:
Commissioners' Offices (6)
Central Records (Open Meeting Notebook)
Robles, Rachelle (5)
Journeay, Stephen
Agenda
Burch, Chris
Zerwas, Rebecca
Benter, Tammy (3)
[ALJ or Attorney Assigned]

Public Utility Commission of Texas

Memorandum

TO: Chairman DeAnn T. Walker
Commissioner Arthur C. D'Andrea
Commissioner Shelly Botkin

FROM: James Kelsaw, Sr Utility Analyst
Customer Protection Division

DATE: May 7, 2020

RE: May 14, 2020 Open Meeting, Docket No. 49711 – Item 16

On January 16, 2020 the Commission approved the use of the revised broker registration form on an interim basis. At the May 1, 2020 Open Meeting, the Commission adopted new rule 16 TAC §25.112 in Project 49794, relating to broker registration.

Staff requests the Commission to approve the attached revised broker registration form to replace the interim form. The revised form is consistent with the registration requirements of 16 TAC §25.112(c).

Questions concerning this form may be directed to James Kelsaw at 512-936-7338 or Cliff Crouch at 512-936-7296.



Public Utility Commission of Texas Application for Electricity Broker Registration

General Information

Individual employees and agents of broker firms and persons acting only as agents of retail electric providers are not required to register as brokers.

Under Public Utility Regulatory Act (PURA) Section 39.3555, any person that provides brokerage services for compensation or other consideration must register as a broker with the Public Utility Commission of Texas (Commission). "Brokerage services" means providing advice or procurement services to, or acting on behalf of, a retail electric customer regarding the selection of a retail electric provider, or a product or service offered by a retail electric provider. Brokers do not sell or take title to electric energy.

Registered brokers must comply with customer protection provisions, disclosure requirements, and marketing guidelines established by the Commission. An administrative penalty may be assessed for failure to comply with PURA or Commission rules.

Registration Form

Answer all of the questions on the registration form completely, providing all relevant information. If substantive changes occur while the application is pending, promptly notify the Commission by filing seven copies (six copies and one original) of the registration form showing the changes with the Commission's Filing Clerk under the control number assigned to the application.

Affidavit

The owner, partner, or officer of the registrant must swear to and affirm that the registrant is authorized to do business in Texas under all applicable laws and is in good standing with the Texas Secretary of State; that all statements made in the application are true, correct, and complete; that any material changes in the information will be provided in a timely manner; and that the registrant understands and will comply with all applicable laws and rules.

Filing Instructions

Submit **seven copies (an original and six copies)** of the completed registration form and signed and notarized Affidavit to:

Central Records Filing Clerk
Public Utility Commission of Texas
1701 N. Congress Avenue
P.O. Box 13326
Austin, Texas 78711-3326
Telephone: (512) 936-7180



ELECTRICITY BROKER REGISTRATION FORM

PROJECT NO. 49779

1. Check the most appropriate box to describe this submission:

- ☐ This is a new broker registration
- ☐ This supplies information for a pending broker registration
- ☐ This amends an existing, completed broker registration

Provide an explanation of the amendment:

2. Authorized Representative or Attorney to contact about this application:

Name _____ Title _____

Business Mailing Address _____

City _____ State _____ Zip _____

Telephone Number _____

Email Address _____

3. Registering Entity: List the registering entity's legal business name, mailing address, telephone number, and email address.

Business Name _____

Mailing address _____

City _____ State _____ Zip _____

Telephone Number _____

Email Address _____

4. Business structure. Select the form of business being registered.

- ☐ Sole proprietor ☐ Corporation ☐ Partnership
☐ Limited Liability Company (LLC) ☐ Limited Partnership

5. Other Names. List any trade, commercial, and doing-business-as (d/b/a) names, other than the legal name listed in #3 above, under which the registering entity intends to operate. Any name in which a corporation intends to operate must be registered with the Texas Secretary of State.

1 st _____	2 nd _____
3 rd _____	4 th _____

6. Customer Service Contact. List the telephone number, business mailing address, and email address of the customer service department. If the registering entity does not have a dedicated customer service department, then provide the name, title, business mailing address, email address, and telephone number of the customer service contact person.

Name _____	Title _____
Business mailing address _____	
City _____	State _____ Zip _____
Telephone Number _____	
Email Address _____	

7. Commission contact person. List the name, business mailing address, telephone number, and email address for a person who Commission Staff may contact.

Name _____	Title _____
Business mailing address _____	
City _____	State _____ Zip _____
Telephone Number _____	
Email Address _____	

AFFIDAVIT

My name is _____. I am the owner, partner, or an officer (Circle One) of the Applicant.

I swear or affirm that I have personal knowledge of the facts stated in the attached registration, that I am competent to testify to them, and that I have the authority to submit this application form on behalf of the registering entity. I further swear or affirm that the applicant is authorized to do business in Texas under all applicable laws and is in good standing with the Texas Secretary of State; that all statements made in the application are true, correct and complete; and that any material changes in such information will be provided to the Public Utility Commission of Texas in a timely manner. I swear or affirm that the applicant understands and will comply with all requirements of the applicable law and rules, including customer protection provisions, disclosure requirements, and marketing guidelines for retail electric service.

Signature of Registering Entity's Owner, Partner, or Officer

Printed Name

Name of Registering Entity

Sworn and subscribed before me this _____ day of _____, _____.
Month Year

Notary Public in and For the State of _____
My commission expires on _____