Annual Recertification Officer Certification User Guide

December 2025

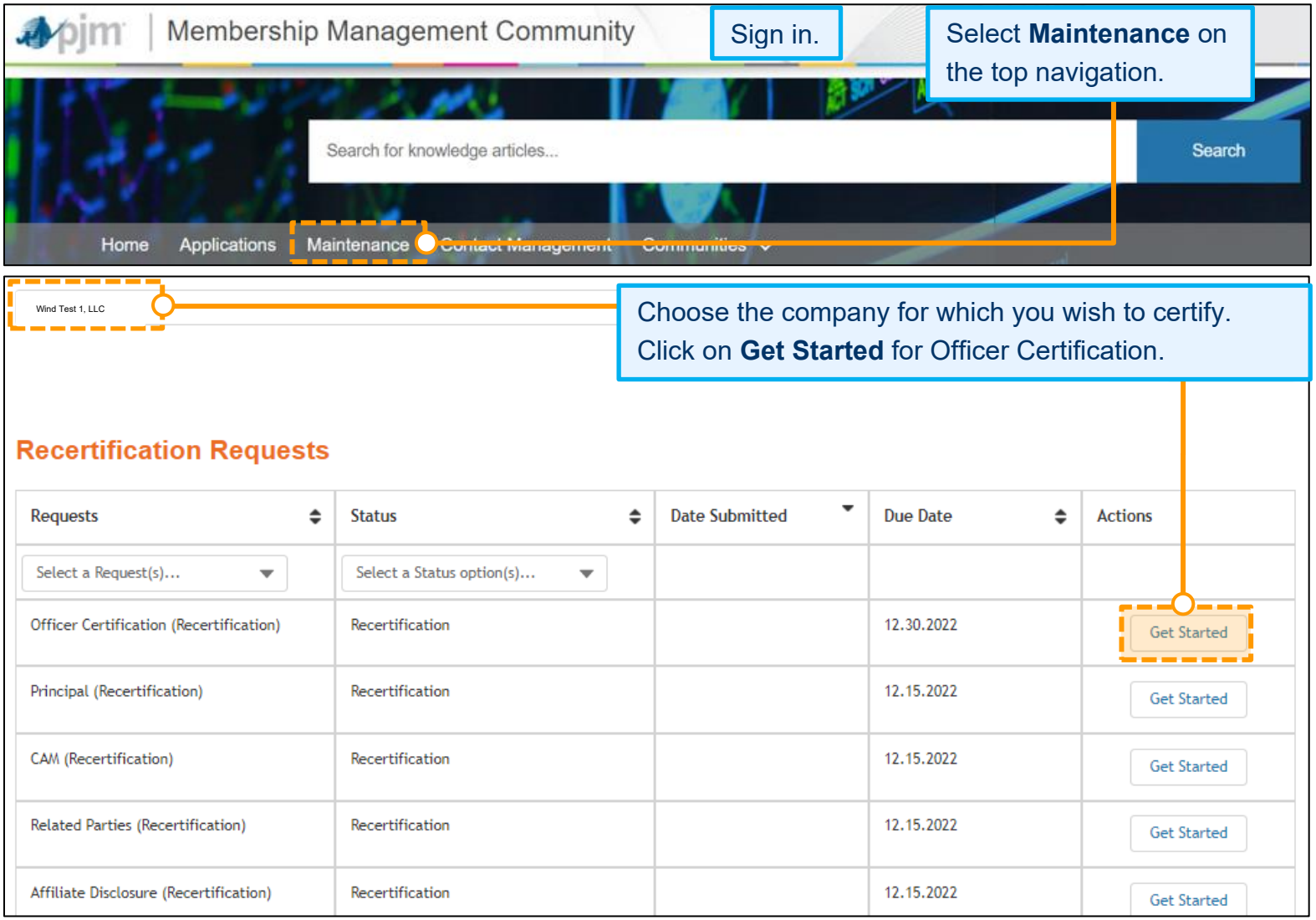
Contents

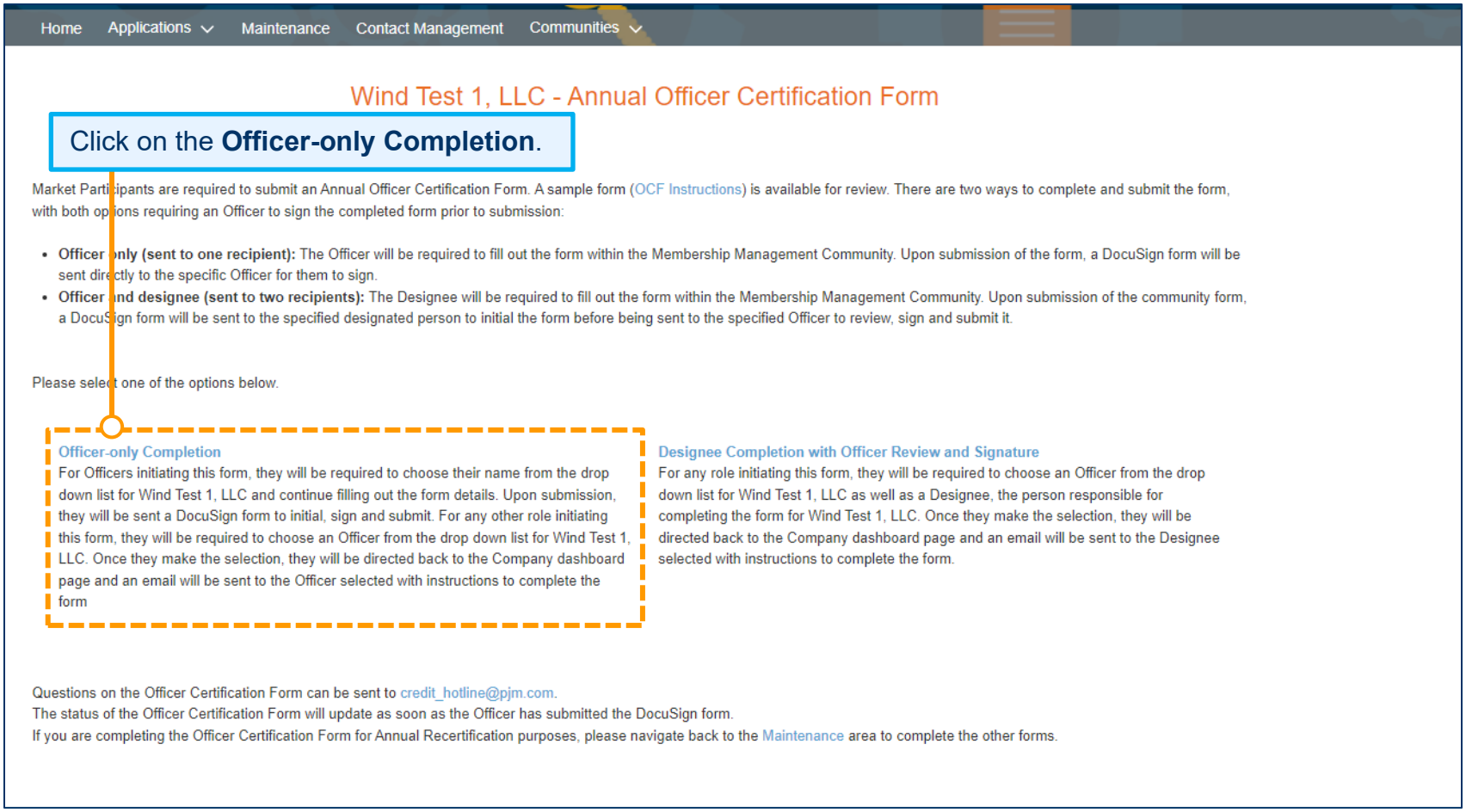
Officers Only – No Risk Policy on File *1*
Officers Only – Risk Policy on File *16*
Designee Completion with Officer Review and Signature – No Risk Policy on File *23*
Designee Completion with Officer Review and Signature – Risk Policy on File *48*

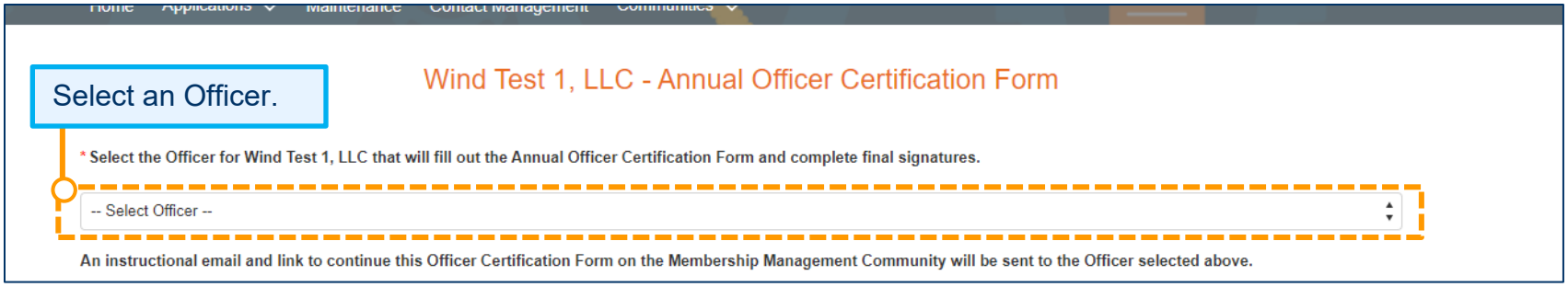
Officers Only – No Risk Policy on File

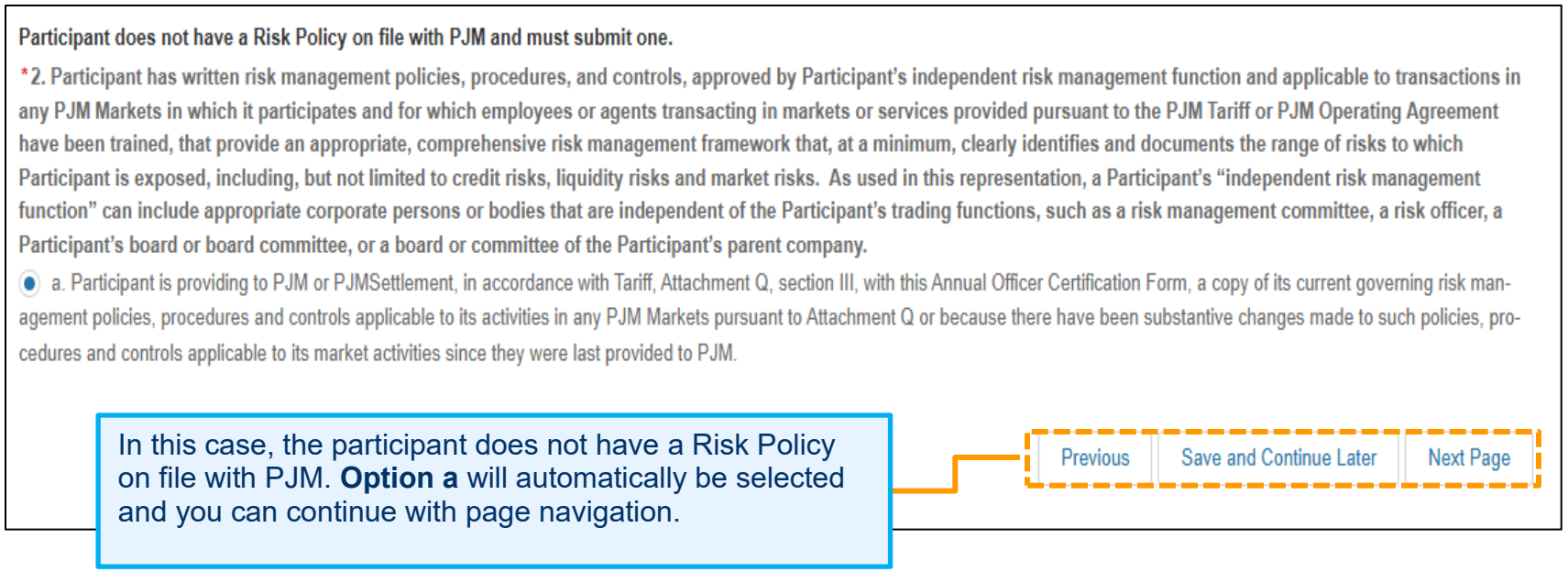
Officers initiating this form will be required to choose their name from the drop-down list and continue filling out the form details. Upon submission, they will be sent a DocuSign form to initial, sign and submit. Any other role initiating this form will be required to choose an Officer from the drop-down list. Once they make the selection, they will be directed back to the Company dashboard page, and an email will be sent to the Officer selected with instructions to complete the form.

Initiate the Officer Certification Form for Your Company (Market Participants Only)

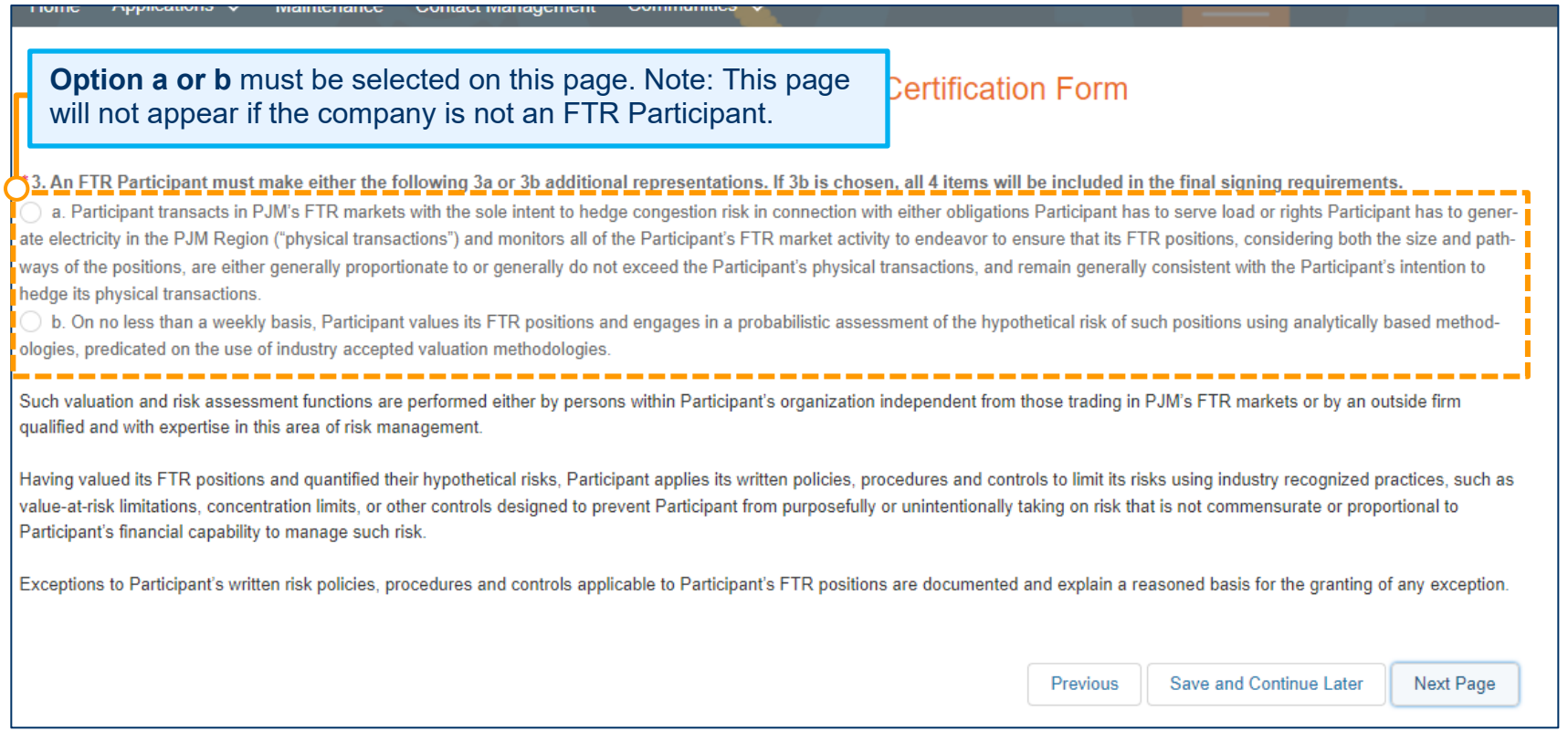


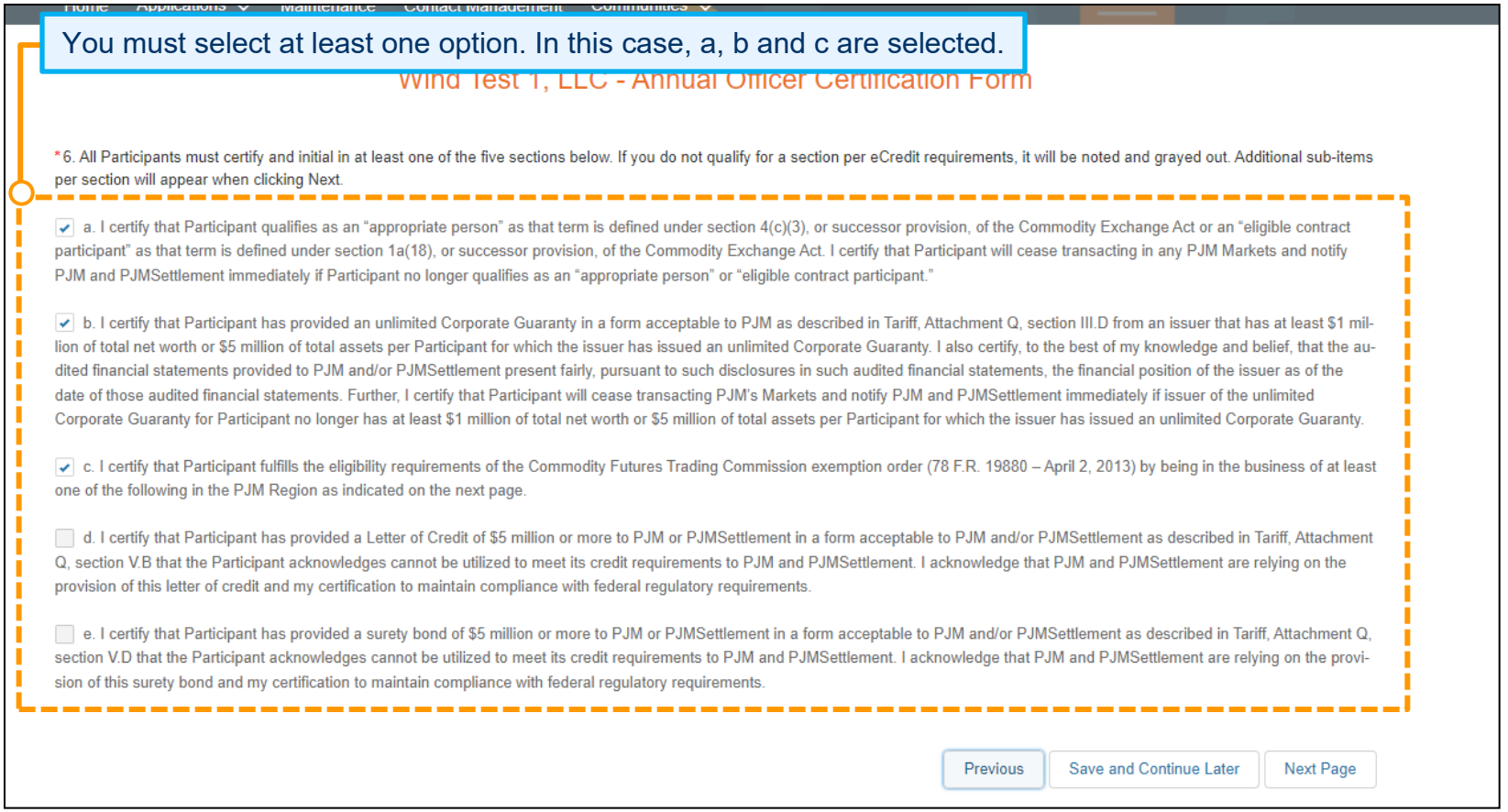

Home
Applications
Maintenance
Contact Management
Communities
Wind Test 1, LLC - Annual Officer Certification Form
Click on the Officer-only Completion.
Market Participants are required to submit an Annual Officer Certification Form. A sample form (OCF Instructions) is available for review. There are two ways to complete and submit the form, with both options requiring an Officer to sign the completed form prior to submission:
Officer only (sent to one recipient): The Officer will be required to fill out the form within the Membership Management Community. Upon submission of the form, a DocuSign form will be sent directly to the specific Officer for them to sign.
Officer and designee (sent to two recipients): The Designee will be required to fill out the form within the Membership Management Community. Upon submission of the community form, a DocuSign form will be sent to the specified designated person to initial the form before being sent to the specified Officer to review, sign and submit it.
Please select one of the options below.
Officer-only Completion
For Officers initiating this form, they will be required to choose their name from the drop down list for Wind Test 1, LLC and continue filling out the form details. Upon submission, they will be sent a DocuSign form to initial, sign and submit. For any other role initiating this form, they will be required to choose an Officer from the drop down list for Wind Test 1, LLC. Once they make the selection, they will be directed back to the Company dashboard page and an email will be sent to the Officer selected with instructions to complete the form
Designee Completion with Officer Review and Signature
For any role initiating this form, they will be required to choose an Officer from the drop down list for Wind Test 1, LLC as well as a Designee, the person responsible for completing the form for Wind Test 1, LLC. Once they make the selection, they will be directed back to the Company dashboard page and an email will be sent to the Designee selected with instructions to complete the form.
Questions on the Officer Certification Form can be sent to credit_hotline@pjm.com.
The status of the Officer Certification Form will update as soon as the Officer has submitted the DocuSign form.
If you are completing the Officer Certification Form for Annual Recertification purposes, please navigate back to the Maintenance area to complete the other forms.

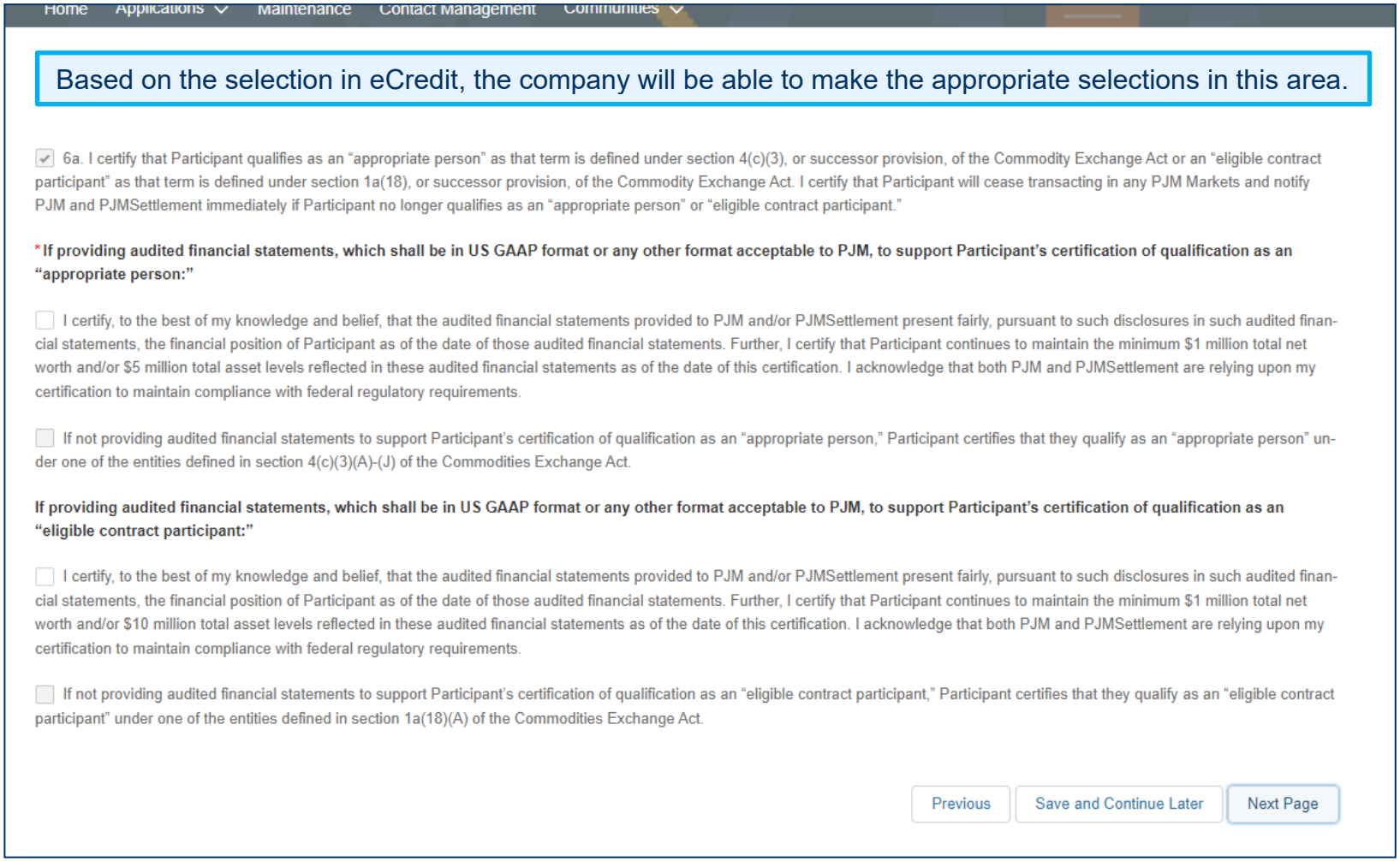


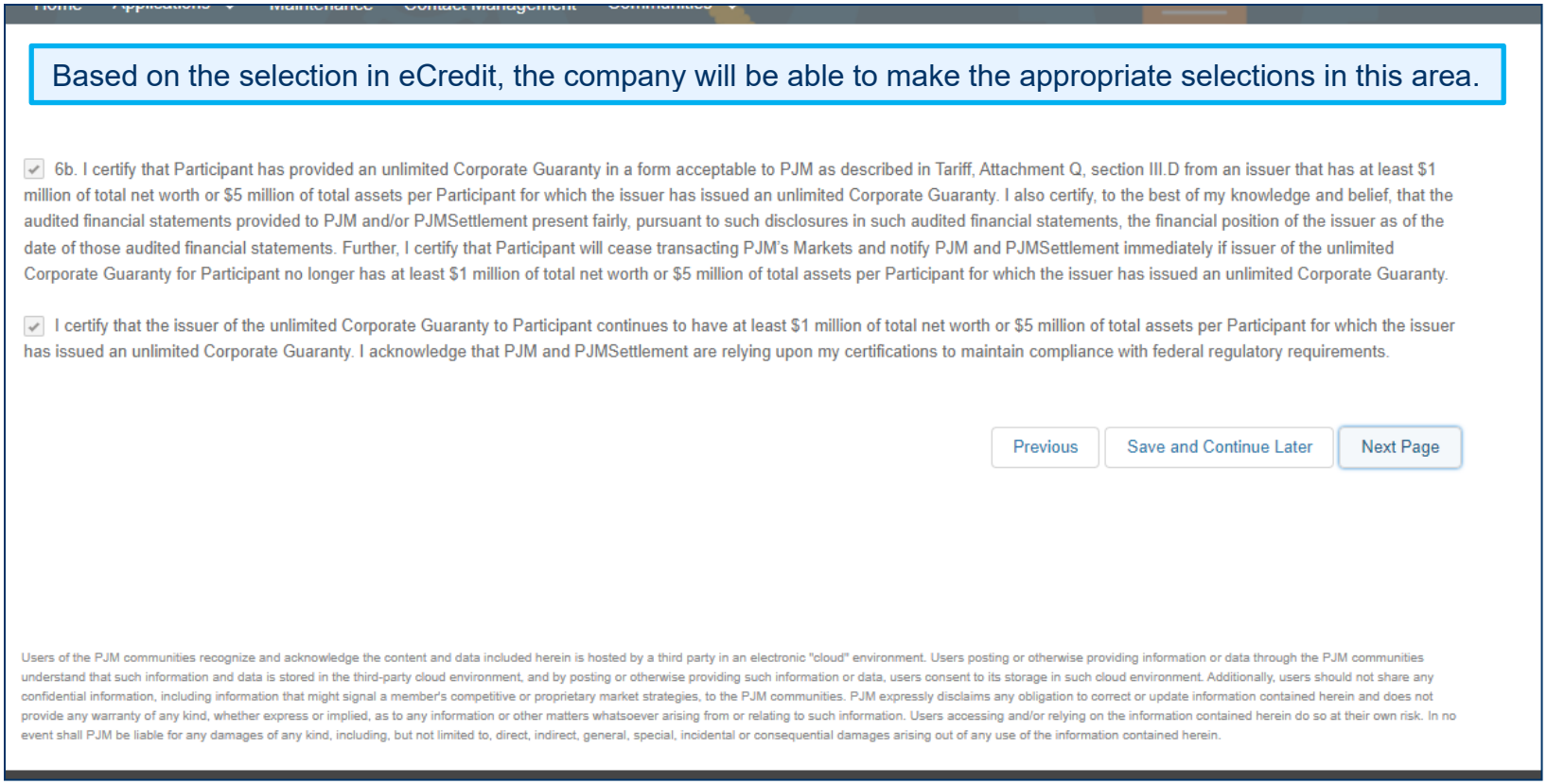


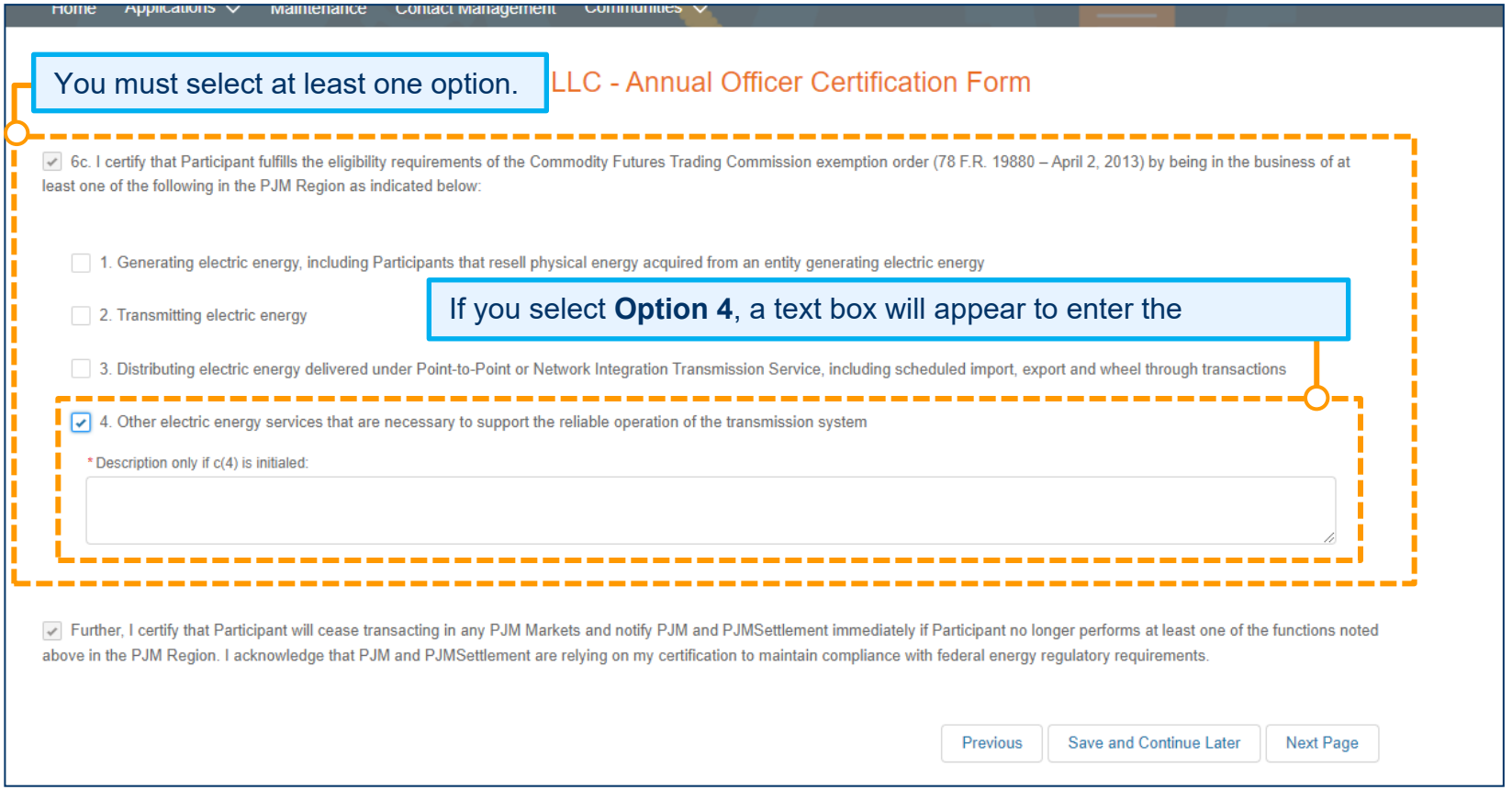
In this case, the participant does not have a Risk Policy on file with PJM. **Option a** will automatically be selected and you can continue with page navigation.

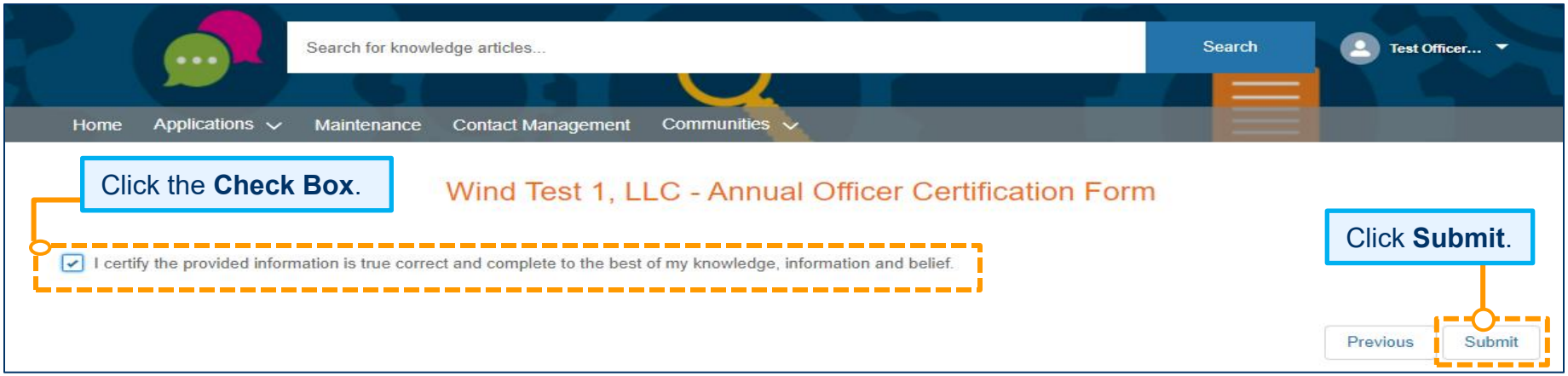

Home
Applications
Maintenance
Contact Management
Communities
Option a or b must be selected on this page. Note: This page will not appear if the company is not an FTR Participant.
Certification Form
3. An FTR Participant must make either the following 3a or 3b additional representations. If 3b is chosen, all 4 items will be included in the final signing requirements.
a. Participant transacts in PJM's FTR markets with the sole intent to hedge congestion risk in connection with either obligations Participant has to serve load or rights Participant has to generate electricity in the PJM Region ("physical transactions") and monitors all of the Participant's FTR market activity to endeavor to ensure that its FTR positions, considering both the size and pathways of the positions, are either generally proportionate to or generally do not exceed the Participant's physical transactions, and remain generally consistent with the Participant's intention to hedge its physical transactions.
b. On no less than a weekly basis, Participant values its FTR positions and engages in a probabilistic assessment of the hypothetical risk of such positions using analytically based methodologies, predicated on the use of industry accepted valuation methodologies.
Such valuation and risk assessment functions are performed either by persons within Participant's organization independent from those trading in PJM's FTR markets or by an outside firm qualified and with expertise in this area of risk management.
Having valued its FTR positions and quantified their hypothetical risks, Participant applies its written policies, procedures and controls to limit its risks using industry recognized practices, such as value-at-risk limitations, concentration limits, or other controls designed to prevent Participant from purposefully or unintentionally taking on risk that is not commensurate or proportional to Participant's financial capability to manage such risk.
Exceptions to Participant's written risk policies, procedures and controls applicable to Participant's FTR positions are documented and explain a reasoned basis for the granting of any exception.
Previous
Save and Continue Later
Next Page


You must select at least one option. In this case, a, b and c are selected.
Wind Test 1, LLC - Annual Officer Certification Form
*6. All Participants must certify and initial in at least one of the five sections below. If you do not qualify for a section per eCredit requirements, it will be noted and grayed out. Additional sub-items per section will appear when clicking Next.
a. I certify that Participant qualifies as an "appropriate person" as that term is defined under section 4(c)(3), or successor provision, of the Commodity Exchange Act or an "eligible contract participant" as that term is defined under section 1a(18), or successor provision, of the Commodity Exchange Act. I certify that Participant will cease transacting in any PJM Markets and notify PJM and PJMSettlement immediately if Participant no longer qualifies as an "appropriate person" or "eligible contract participant."
b. I certify that Participant has provided an unlimited Corporate Guaranty in a form acceptable to PJM as described in Tariff, Attachment Q, section III.D from an issuer that has at least $1 million of total net worth or $5 million of total assets per Participant for which the issuer has issued an unlimited Corporate Guaranty. I also certify, to the best of my knowledge and belief, that the audited financial statements provided to PJM and/or PJMSettlement present fairly, pursuant to such disclosures in such audited financial statements, the financial position of the issuer as of the date of those audited financial statements. Further, I certify that Participant will cease transacting PJM's Markets and notify PJM and PJMSettlement immediately if issuer of the unlimited Corporate Guaranty for Participant no longer has at least $1 million of total net worth or $5 million of total assets per Participant for which the issuer has issued an unlimited Corporate Guaranty.
c. I certify that Participant fulfills the eligibility requirements of the Commodity Futures Trading Commission exemption order (78 F.R. 19880 – April 2, 2013) by being in the business of at least one of the following in the PJM Region as indicated on the next page.
d. I certify that Participant has provided a Letter of Credit of $5 million or more to PJM or PJMSettlement in a form acceptable to PJM and/or PJMSettlement as described in Tariff, Attachment Q, section V.B that the Participant acknowledges cannot be utilized to meet its credit requirements to PJM and PJMSettlement. I acknowledge that PJM and PJMSettlement are relying on the provision of this letter of credit and my certification to maintain compliance with federal regulatory requirements.
e. I certify that Participant has provided a surety bond of $5 million or more to PJM or PJMSettlement in a form acceptable to PJM and/or PJMSettlement as described in Tariff, Attachment Q, section V.D that the Participant acknowledges cannot be utilized to meet its credit requirements to PJM and PJMSettlement. I acknowledge that PJM and PJMSettlement are relying on the provision of this surety bond and my certification to maintain compliance with federal regulatory requirements.
Previous
Save and Continue Later
Next Page


Home
Applications
Maintenance
Contact Management
Communities
Based on the selection in eCredit, the company will be able to make the appropriate selections in this area.
6a. I certify that Participant qualifies as an "appropriate person" as that term is defined under section 4(c)(3), or successor provision, of the Commodity Exchange Act or an "eligible contract participant" as that term is defined under section 1a(18), or successor provision, of the Commodity Exchange Act. I certify that Participant will cease transacting in any PJM Markets and notify PJM and PJMSettlement immediately if Participant no longer qualifies as an "appropriate person" or "eligible contract participant."
* If providing audited financial statements, which shall be in US GAAP format or any other format acceptable to PJM, to support Participant's certification of qualification as an "appropriate person:"
I certify, to the best of my knowledge and belief, that the audited financial statements provided to PJM and/or PJMSettlement present fairly, pursuant to such disclosures in such audited financial statements, the financial position of Participant as of the date of those audited financial statements. Further, I certify that Participant continues to maintain the minimum $1 million total net worth and/or $5 million total asset levels reflected in these audited financial statements as of the date of this certification. I acknowledge that both PJM and PJMSettlement are relying upon my certification to maintain compliance with federal regulatory requirements.
If not providing audited financial statements to support Participant's certification of qualification as an "appropriate person," Participant certifies that they qualify as an "appropriate person" under one of the entities defined in section 4(c)(3)(A)-(J) of the Commodities Exchange Act.
If providing audited financial statements, which shall be in US GAAP format or any other format acceptable to PJM, to support Participant's certification of qualification as an "eligible contract participant:"
I certify, to the best of my knowledge and belief, that the audited financial statements provided to PJM and/or PJMSettlement present fairly, pursuant to such disclosures in such audited financial statements, the financial position of Participant as of the date of those audited financial statements. Further, I certify that Participant continues to maintain the minimum $1 million total net worth and/or $10 million total asset levels reflected in these audited financial statements as of the date of this certification. I acknowledge that both PJM and PJMSettlement are relying upon my certification to maintain compliance with federal regulatory requirements.
If not providing audited financial statements to support Participant's certification of qualification as an "eligible contract participant," Participant certifies that they qualify as an "eligible contract participant" under one of the entities defined in section 1a(18)(A) of the Commodities Exchange Act.
Previous
Save and Continue Later
Next Page


Based on the selection in eCredit, the company will be able to make the appropriate selections in this area.
6b. I certify that Participant has provided an unlimited Corporate Guaranty in a form acceptable to PJM as described in Tariff, Attachment Q, section III.D from an issuer that has at least $1 million of total net worth or $5 million of total assets per Participant for which the issuer has issued an unlimited Corporate Guaranty. I also certify, to the best of my knowledge and belief, that the audited financial statements provided to PJM and/or PJMSettlement present fairly, pursuant to such disclosures in such audited financial statements, the financial position of the issuer as of the date of those audited financial statements. Further, I certify that Participant will cease transacting PJM's Markets and notify PJM and PJMSettlement immediately if issuer of the unlimited Corporate Guaranty for Participant no longer has at least $1 million of total net worth or $5 million of total assets per Participant for which the issuer has issued an unlimited Corporate Guaranty.
I certify that the issuer of the unlimited Corporate Guaranty to Participant continues to have at least $1 million of total net worth or $5 million of total assets per Participant for which the issuer has issued an unlimited Corporate Guaranty. I acknowledge that PJM and PJMSettlement are relying upon my certifications to maintain compliance with federal regulatory requirements.
Previous
Save and Continue Later
Next Page
Users of the PJM communities recognize and acknowledge the content and data included herein is hosted by a third party in an electronic "cloud" environment. Users posting or otherwise providing information or data through the PJM communities understand that such information and data is stored in the third-party cloud environment, and by posting or otherwise providing such information or data, users consent to its storage in such cloud environment. Additionally, users should not share any confidential information, including information that might signal a member's competitive or proprietary market strategies, to the PJM communities. PJM expressly disclaims any obligation to correct or update information contained herein and does not provide any warranty of any kind, whether express or implied, as to any information or other matters whatsoever arising from or relating to such information. Users accessing and/or relying on the information contained herein do so at their own risk. In no event shall PJM be liable for any damages of any kind, including, but not limited to, direct, indirect, general, special, incidental or consequential damages arising out of any use of the information contained herein.


Home
Applications
Maintenance
Contact Management
Communities
You must select at least one option.
LLC - Annual Officer Certification Form
6c. I certify that Participant fulfills the eligibility requirements of the Commodity Futures Trading Commission exemption order (78 F.R. 19880 – April 2, 2013) by being in the business of at least one of the following in the PJM Region as indicated below:
1. Generating electric energy, including Participants that resell physical energy acquired from an entity generating electric energy
2. Transmitting electric energy
If you select Option 4, a text box will appear to enter the
3. Distributing electric energy delivered under Point-to-Point or Network Integration Transmission Service, including scheduled import, export and wheel through transactions
4. Other electric energy services that are necessary to support the reliable operation of the transmission system
* Description only if c(4) is initialed:
Further, I certify that Participant will cease transacting in any PJM Markets and notify PJM and PJMSettlement immediately if Participant no longer performs at least one of the functions noted above in the PJM Region. I acknowledge that PJM and PJMSettlement are relying on my certification to maintain compliance with federal energy regulatory requirements.
Previous
Save and Continue Later
Next Page



Participant does not have a Risk Policy on file with PJM and must submit one.
Participant is providing to PJM or PJMSettlement, in accordance with Tariff, Attachment Q, section III, with this Annual Officer Certification Form, a copy of its current governing risk management policies, procedures and controls applicable to its activities in any PJM Markets pursuant to Attachment Q or because there have been substantive changes made to such policies, procedures and controls applicable to its market activities since they were last provided to PJM.

Risk Policy must include:
PJM Risk Policy KYC Requirements

- Commodity risk management policy for market, credit, liquidity and operational risks
- Anti-Money-Laundering and Know your customer/counterparty processes, risk management policy (AML)
- Anti-Bribery and Corruption risk management policy (ABC)

Please upload a clean copy of your current the Risk Policy.

Please upload a clean copy of your current risk management policy(s), if there has been no changes since the last submission.
Upload Files | Or drop files
Accepted file types: .doc, .docx, .xls, .xlsx, .pdf

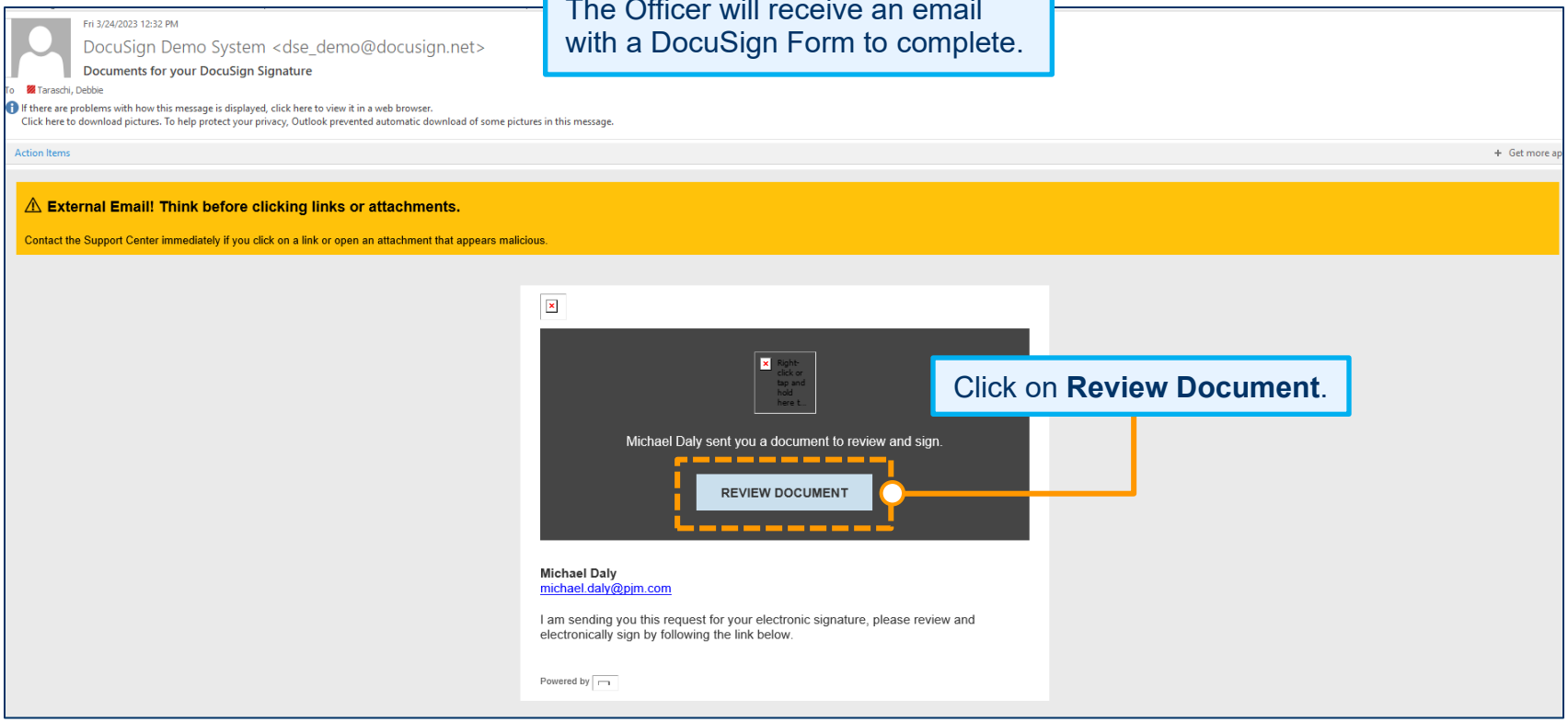
Confirm that all versions of the Risk Policy are included in your uploaded documents

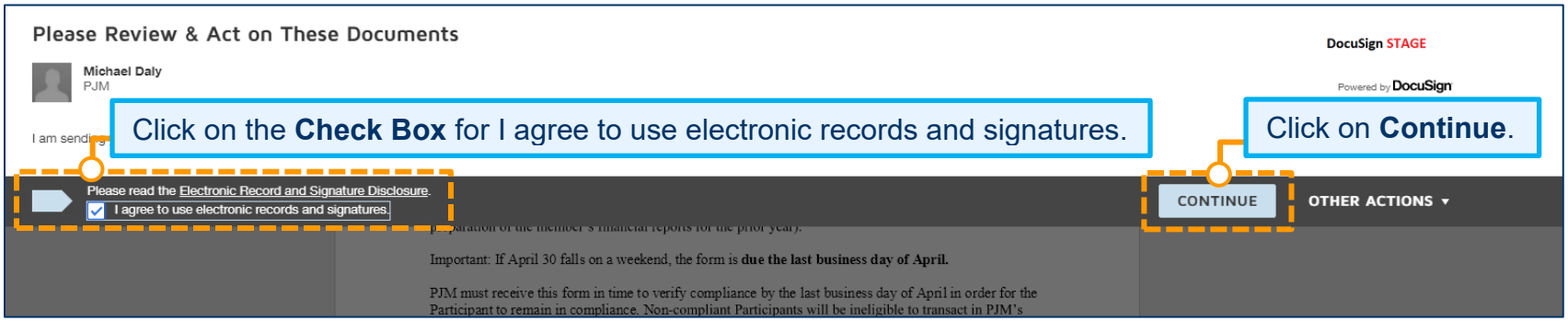
Please confirm that all versions of the Risk Policy are included in your uploaded documents.
* Commodity risk management policy for market, credit, liquidity and operational risks
* Anti-Money-Laundering and Know your customer/counterparty processes, risk management policy (AML)
* Anti-Bribery and Corruption risk management policy (ABC)

Click **Submit**.

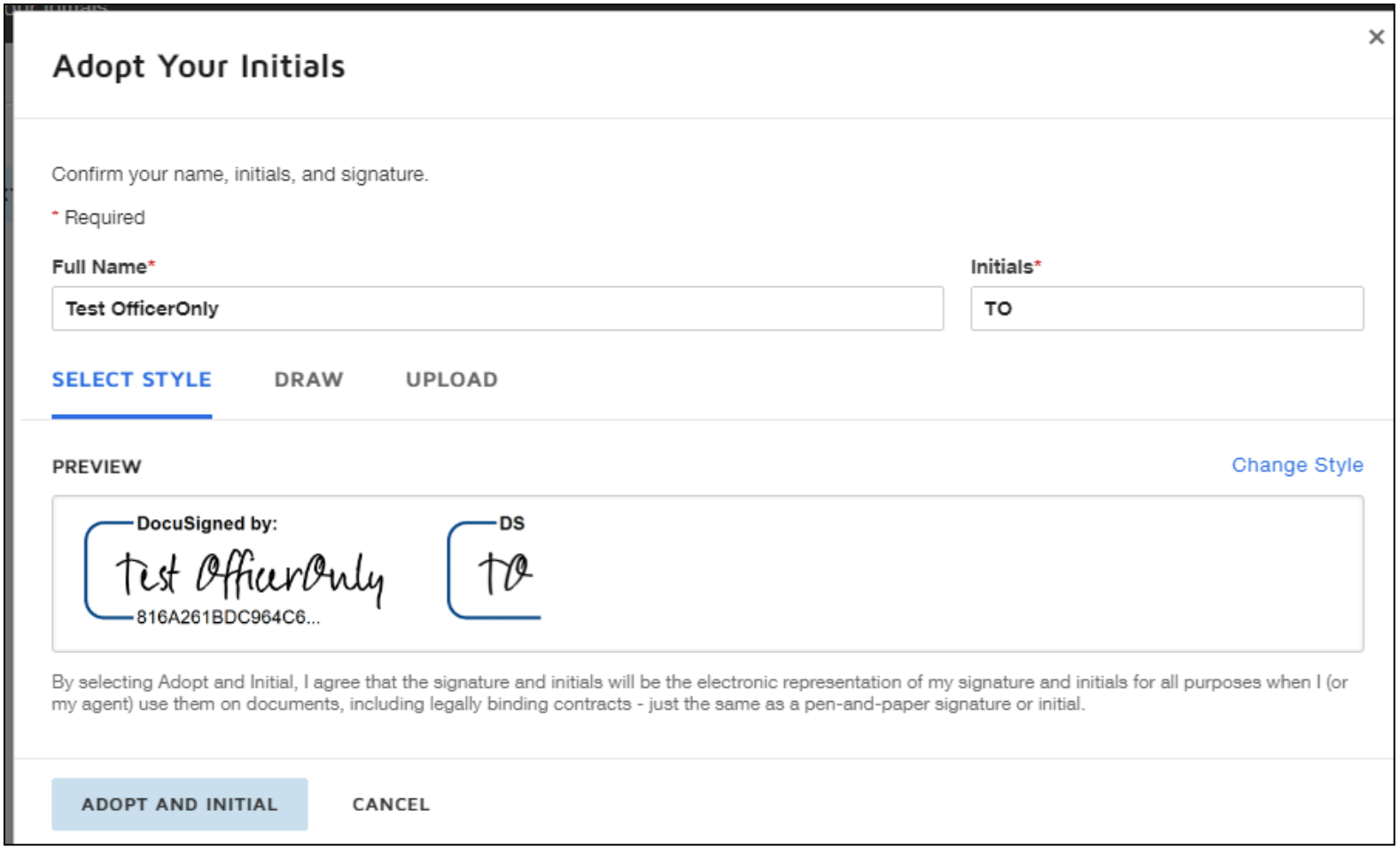
Submit

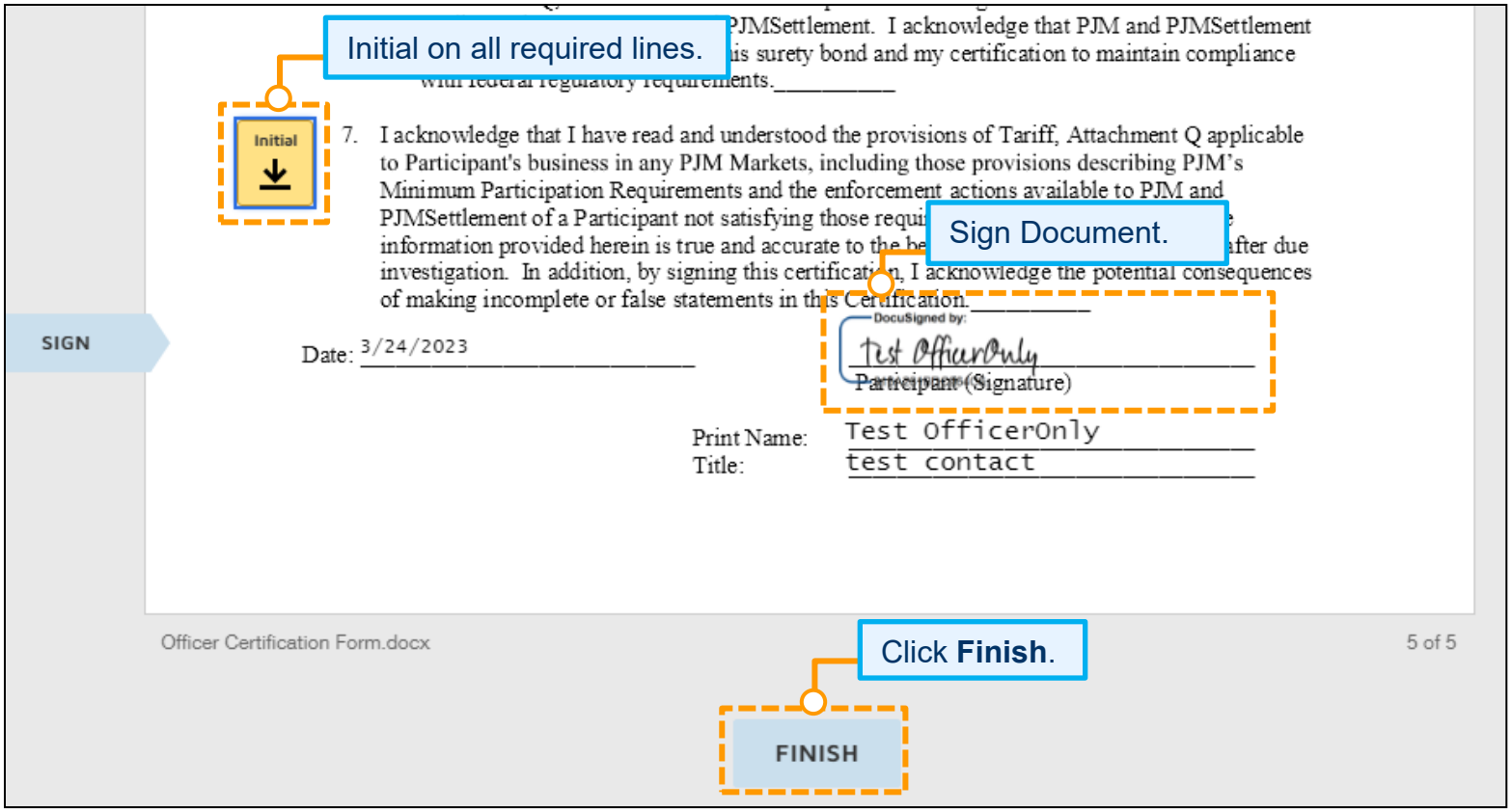
The Officer will receive an email with a DocuSign Form to complete.

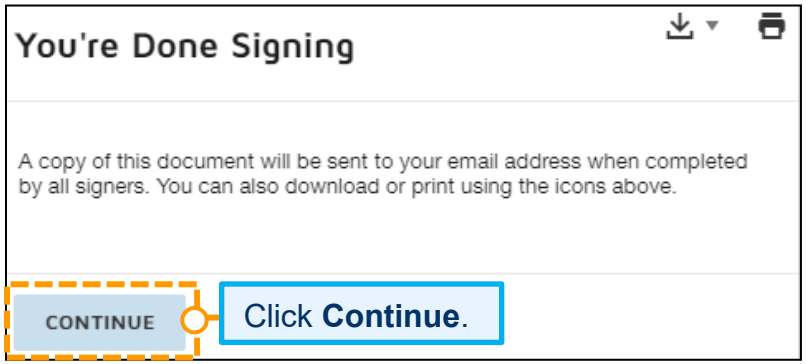


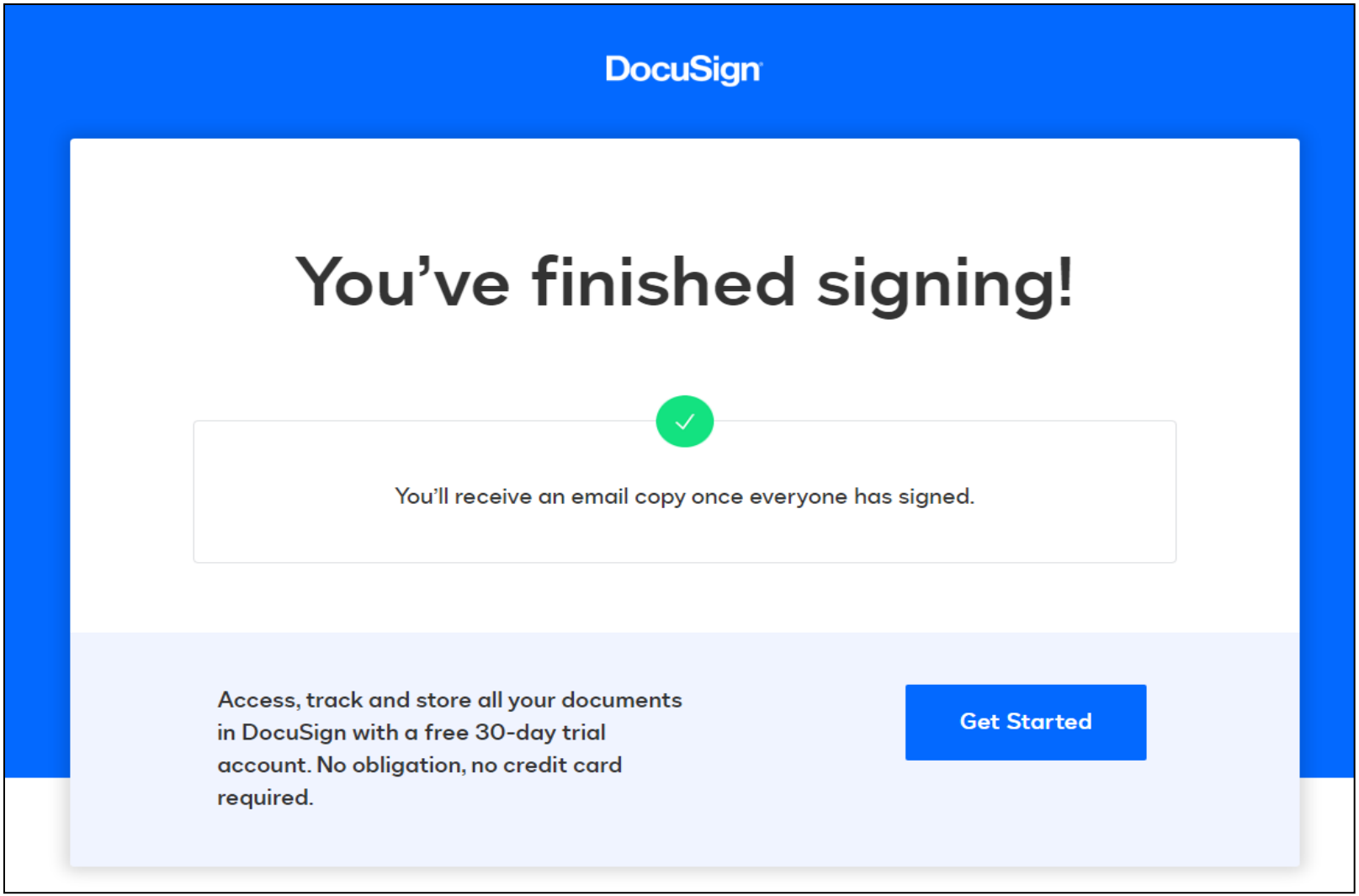


Click on **Start** to begin initialing the document.
START
DocuSign Envelope ID: 5FBD5039-566B-48D0-BF8B-0037AF262046
DEMONSTRATION DOCUMENT ONLY
PROVIDED BY DOCUSIGN ONLINE SIGNING SERVICE
999 3rd Ave, Suite 1700 • Seattle • Washington 98104 • (206) 219-0200
www.docusign.com
OFFICER CERTIFICATION FORM
INSTRUCTIONS
Below is the Officer Certification form (Appendix 1 to Attachment Q of the Tariff) to be used in compliance with PJM's Minimum Participation Requirements. All PJM Market Participants must execute this form and submit it to PJM for receipt between January 1 and April 30 each year (ideally after preparation of the member's financial reports for the prior year).
Important: If April 30 falls on a weekend, the form is **due the last business day of April.**


Adopt Your Initials
Confirm your name, initials, and signature.
* Required
Full Name*
Test OfficerOnly
Initials*
TO
SELECT STYLE
DRAW
UPLOAD
PREVIEW
Change Style
DocuSigned by:
Test OfficerOnly
816A261BDC964C6...
DS
TO
By selecting Adopt and Initial, I agree that the signature and initials will be the electronic representation of my signature and initials for all purposes when I (or my agent) use them on documents, including legally binding contracts - just the same as a pen-and-paper signature or initial.
ADOPT AND INITIAL
CANCEL

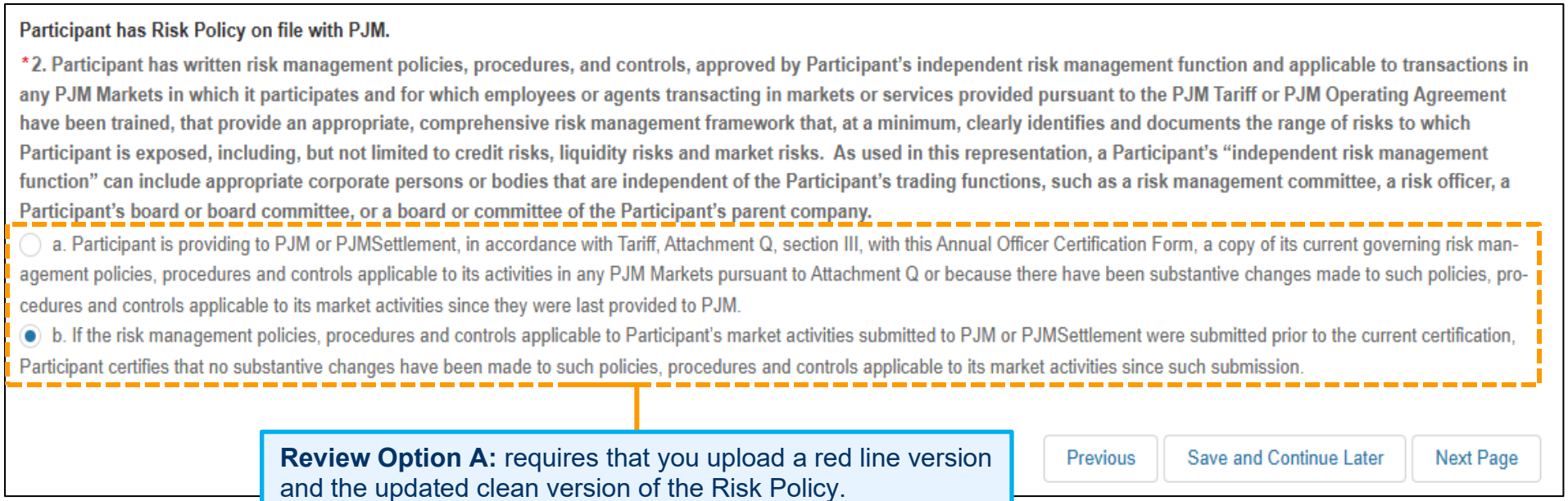

Initial on all required lines.
Initial
PJMSettlement. I acknowledge that PJM and PJMSettlement
is surety bond and my certification to maintain compliance
with federal regulatory requirements._____
7. I acknowledge that I have read and understood the provisions of Tariff, Attachment Q applicable to Participant's business in any PJM Markets, including those provisions describing PJM's Minimum Participation Requirements and the enforcement actions available to PJM and PJMSettlement of a Participant not satisfying those requi
information provided herein is true and accurate to the be
after due investigation. In addition, by signing this certificat
n, I acknowledge the potential consequences of making incomplete or false statements in this Certification._____
Sign Document.
SIGN
Date: 3/24/2023
DocuSigned by:
Test OfficerOnly
Participant (Signature)
Print Name: Test OfficerOnly
Title: test contact
Officer Certification Form.docx
5 of 5
Click Finish.
FINISH


You're Done Signing
A copy of this document will be sent to your email address when completed by all signers. You can also download or print using the icons above.
CONTINUE
Click Continue.


DocuSign
You've finished signing!
You'll receive an email copy once everyone has signed.
Access, track and store all your documents in DocuSign with a free 30-day trial account. No obligation, no credit card required.
Get Started

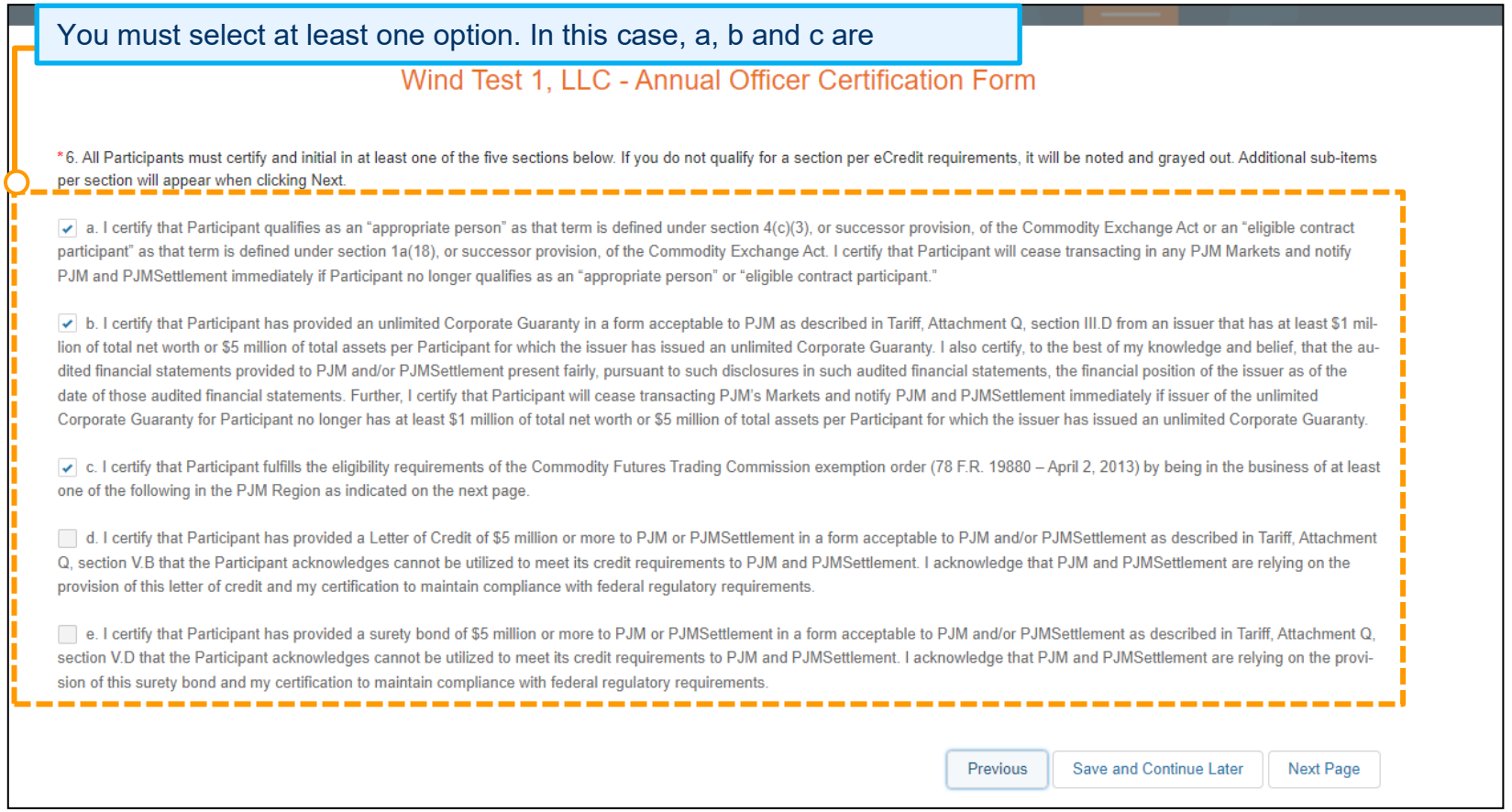
Officers Only – Risk Policy on File

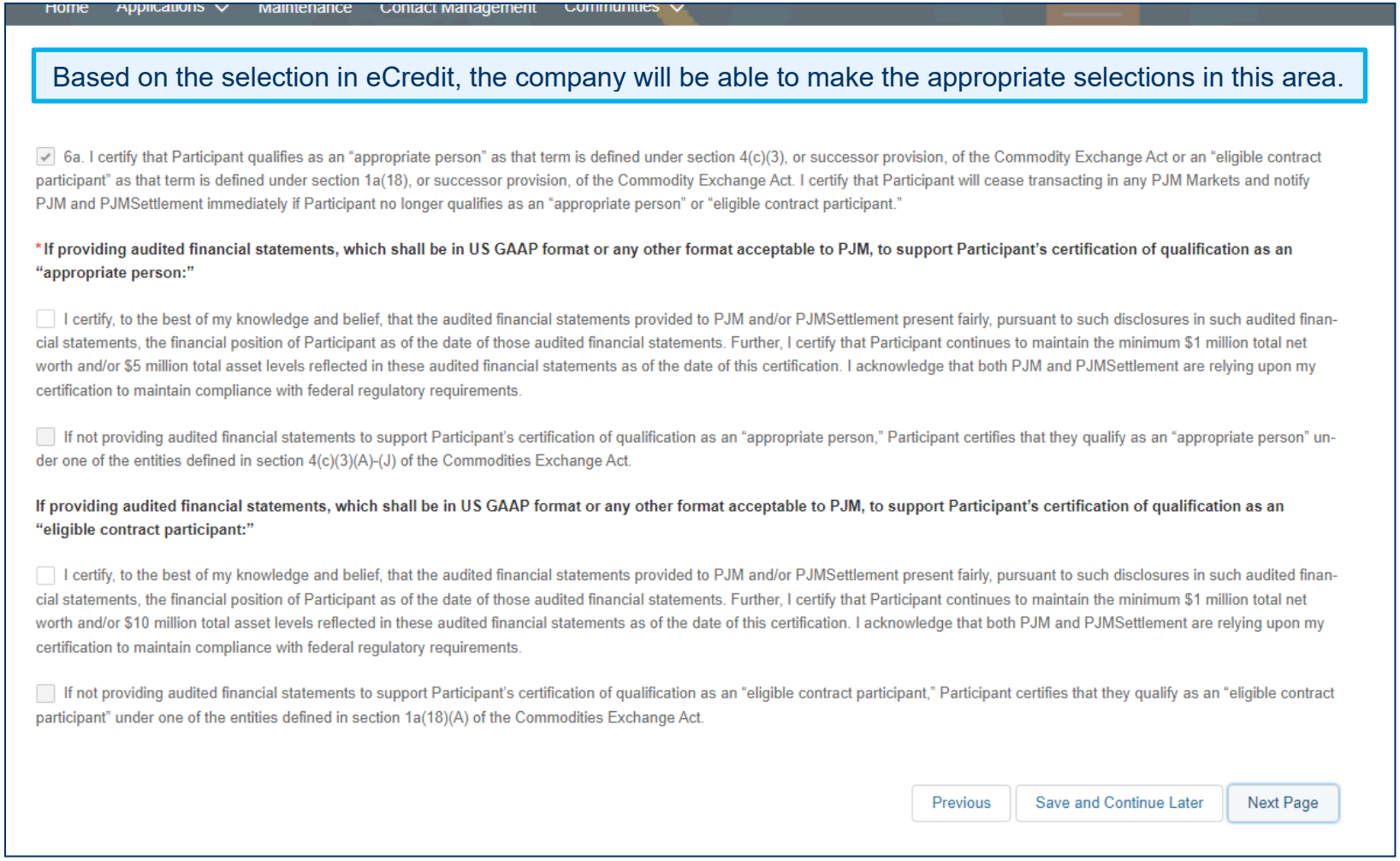
Officers initiating this form will be required to choose their name from the drop-down list and continue filling out the form details. Upon submission, they will be sent a DocuSign form to initial, sign, and submit. Any other role initiating this form will be required to choose an Officer from the drop-down list. Once they make the selection, they will be directed back to the Company dashboard page, and an email will be sent to the Officer selected with instructions to complete the form.

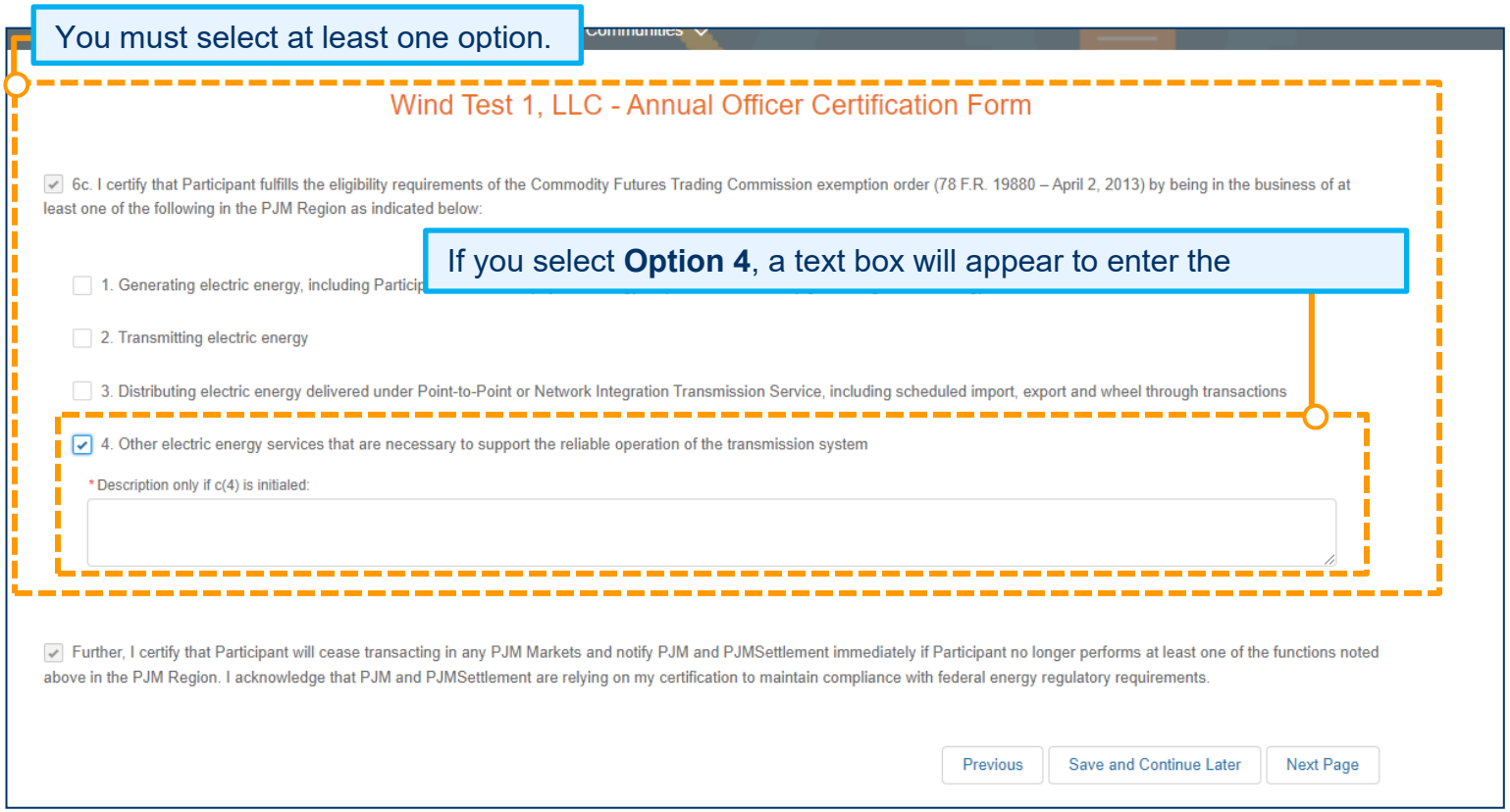


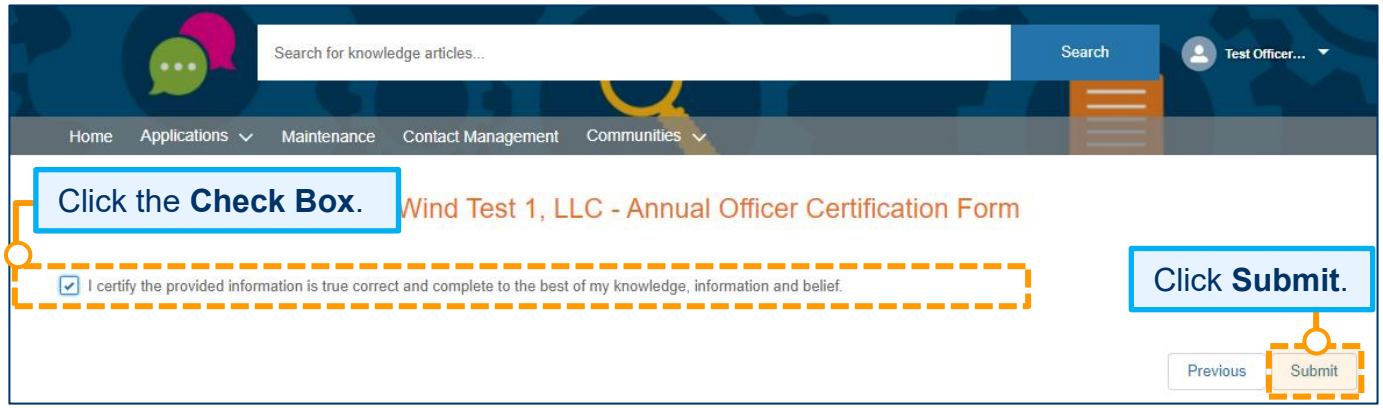
Review Option A: requires that you upload a red line version and the updated clean version of the Risk Policy.

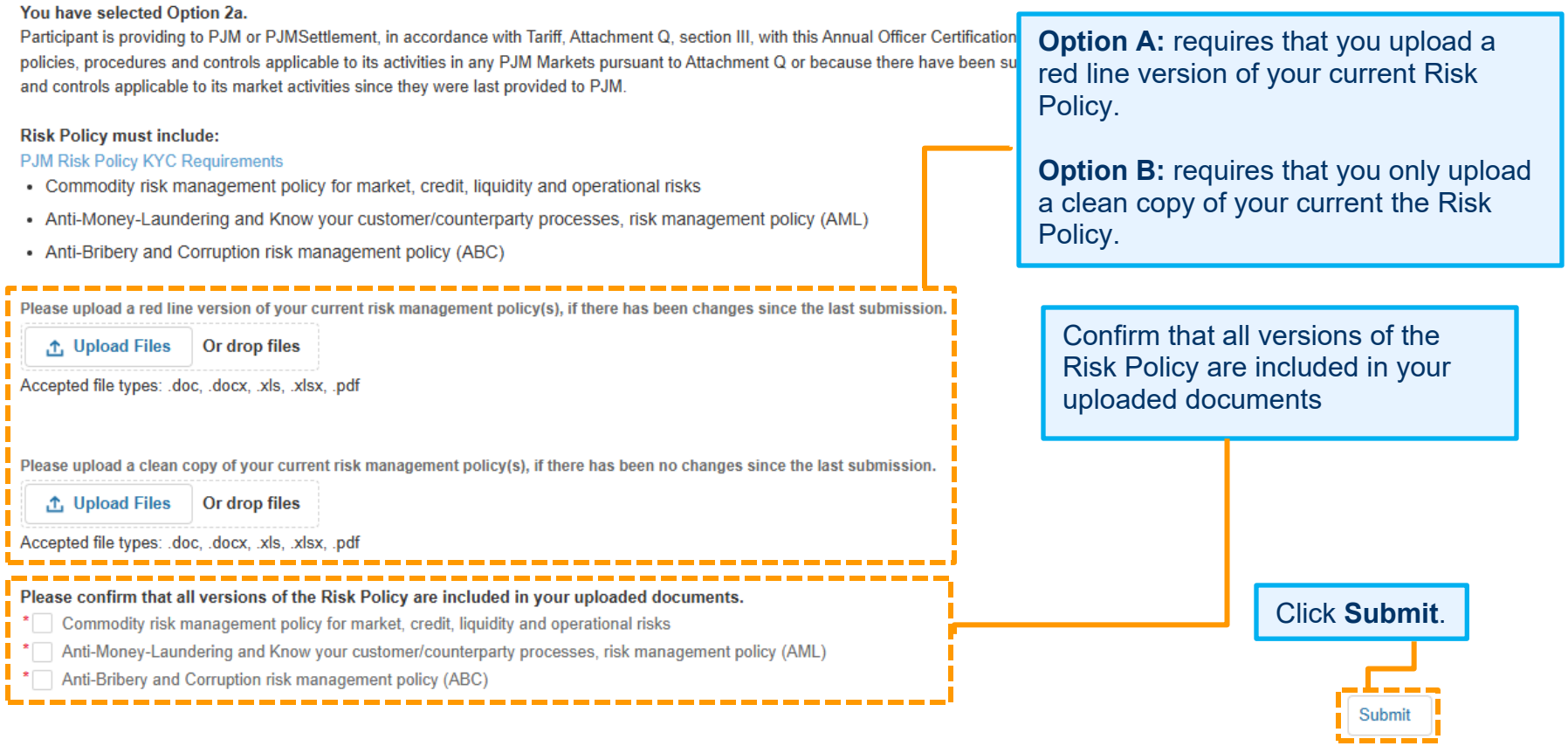
Option B: requires that you only upload a clean version of the Risk Policy.


You must select at least one option. In this case, a, b and c are
Wind Test 1, LLC - Annual Officer Certification Form
*6. All Participants must certify and initial in at least one of the five sections below. If you do not qualify for a section per eCredit requirements, it will be noted and grayed out. Additional sub-items per section will appear when clicking Next.
a. I certify that Participant qualifies as an "appropriate person" as that term is defined under section 4(c)(3), or successor provision, of the Commodity Exchange Act or an "eligible contract participant" as that term is defined under section 1a(18), or successor provision, of the Commodity Exchange Act. I certify that Participant will cease transacting in any PJM Markets and notify PJM and PJMSettlement immediately if Participant no longer qualifies as an "appropriate person" or "eligible contract participant."
b. I certify that Participant has provided an unlimited Corporate Guaranty in a form acceptable to PJM as described in Tariff, Attachment Q, section III.D from an issuer that has at least $1 million of total net worth or $5 million of total assets per Participant for which the issuer has issued an unlimited Corporate Guaranty. I also certify, to the best of my knowledge and belief, that the audited financial statements provided to PJM and/or PJMSettlement present fairly, pursuant to such disclosures in such audited financial statements, the financial position of the issuer as of the date of those audited financial statements. Further, I certify that Participant will cease transacting PJM's Markets and notify PJM and PJMSettlement immediately if issuer of the unlimited Corporate Guaranty for Participant no longer has at least $1 million of total net worth or $5 million of total assets per Participant for which the issuer has issued an unlimited Corporate Guaranty.
c. I certify that Participant fulfills the eligibility requirements of the Commodity Futures Trading Commission exemption order (78 F.R. 19880 – April 2, 2013) by being in the business of at least one of the following in the PJM Region as indicated on the next page.
d. I certify that Participant has provided a Letter of Credit of $5 million or more to PJM or PJMSettlement in a form acceptable to PJM and/or PJMSettlement as described in Tariff, Attachment Q, section V.B that the Participant acknowledges cannot be utilized to meet its credit requirements to PJM and PJMSettlement. I acknowledge that PJM and PJMSettlement are relying on the provision of this letter of credit and my certification to maintain compliance with federal regulatory requirements.
e. I certify that Participant has provided a surety bond of $5 million or more to PJM or PJMSettlement in a form acceptable to PJM and/or PJMSettlement as described in Tariff, Attachment Q, section V.D that the Participant acknowledges cannot be utilized to meet its credit requirements to PJM and PJMSettlement. I acknowledge that PJM and PJMSettlement are relying on the provision of this surety bond and my certification to maintain compliance with federal regulatory requirements.
Previous
Save and Continue Later
Next Page


Home
Applications
Maintenance
Contact Management
Communities
Based on the selection in eCredit, the company will be able to make the appropriate selections in this area.
6a. I certify that Participant qualifies as an "appropriate person" as that term is defined under section 4(c)(3), or successor provision, of the Commodity Exchange Act or an "eligible contract participant" as that term is defined under section 1a(18), or successor provision, of the Commodity Exchange Act. I certify that Participant will cease transacting in any PJM Markets and notify PJM and PJMSettlement immediately if Participant no longer qualifies as an "appropriate person" or "eligible contract participant."
*If providing audited financial statements, which shall be in US GAAP format or any other format acceptable to PJM, to support Participant's certification of qualification as an "appropriate person:"
I certify, to the best of my knowledge and belief, that the audited financial statements provided to PJM and/or PJMSettlement present fairly, pursuant to such disclosures in such audited financial statements, the financial position of Participant as of the date of those audited financial statements. Further, I certify that Participant continues to maintain the minimum $1 million total net worth and/or $5 million total asset levels reflected in these audited financial statements as of the date of this certification. I acknowledge that both PJM and PJMSettlement are relying upon my certification to maintain compliance with federal regulatory requirements.
If not providing audited financial statements to support Participant's certification of qualification as an "appropriate person," Participant certifies that they qualify as an "appropriate person" under one of the entities defined in section 4(c)(3)(A)-(J) of the Commodities Exchange Act.
If providing audited financial statements, which shall be in US GAAP format or any other format acceptable to PJM, to support Participant's certification of qualification as an "eligible contract participant:"
I certify, to the best of my knowledge and belief, that the audited financial statements provided to PJM and/or PJMSettlement present fairly, pursuant to such disclosures in such audited financial statements, the financial position of Participant as of the date of those audited financial statements. Further, I certify that Participant continues to maintain the minimum $1 million total net worth and/or $10 million total asset levels reflected in these audited financial statements as of the date of this certification. I acknowledge that both PJM and PJMSettlement are relying upon my certification to maintain compliance with federal regulatory requirements.
If not providing audited financial statements to support Participant's certification of qualification as an "eligible contract participant," Participant certifies that they qualify as an "eligible contract participant" under one of the entities defined in section 1a(18)(A) of the Commodities Exchange Act.
Previous
Save and Continue Later
Next Page


You must select at least one option.
Wind Test 1, LLC - Annual Officer Certification Form
6c. I certify that Participant fulfills the eligibility requirements of the Commodity Futures Trading Commission exemption order (78 F.R. 19880 – April 2, 2013) by being in the business of at least one of the following in the PJM Region as indicated below:
If you select Option 4, a text box will appear to enter the
1. Generating electric energy, including Particip
2. Transmitting electric energy
3. Distributing electric energy delivered under Point-to-Point or Network Integration Transmission Service, including scheduled import, export and wheel through transactions
4. Other electric energy services that are necessary to support the reliable operation of the transmission system
* Description only if c(4) is initialed:
Further, I certify that Participant will cease transacting in any PJM Markets and notify PJM and PJMSettlement immediately if Participant no longer performs at least one of the functions noted above in the PJM Region. I acknowledge that PJM and PJMSettlement are relying on my certification to maintain compliance with federal energy regulatory requirements.
Previous
Save and Continue Later
Next Page

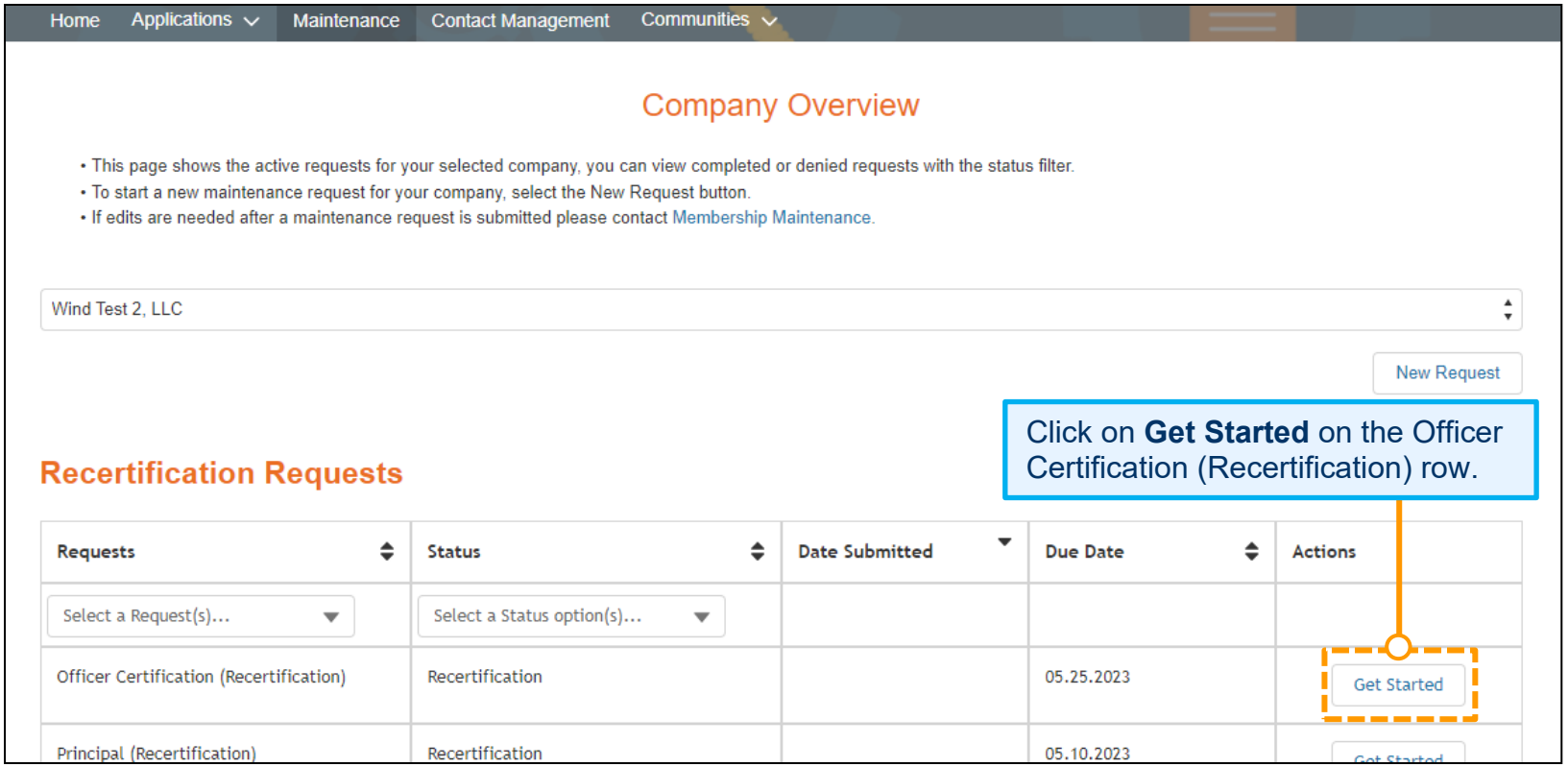

Search for knowledge articles...
Search
Test Officer...
Home
Applications
Maintenance
Contact Management
Communities
Click the Check Box.
Wind Test 1, LLC - Annual Officer Certification Form
I certify the provided information is true correct and complete to the best of my knowledge, information and belief.
Click Submit.
Previous
Submit

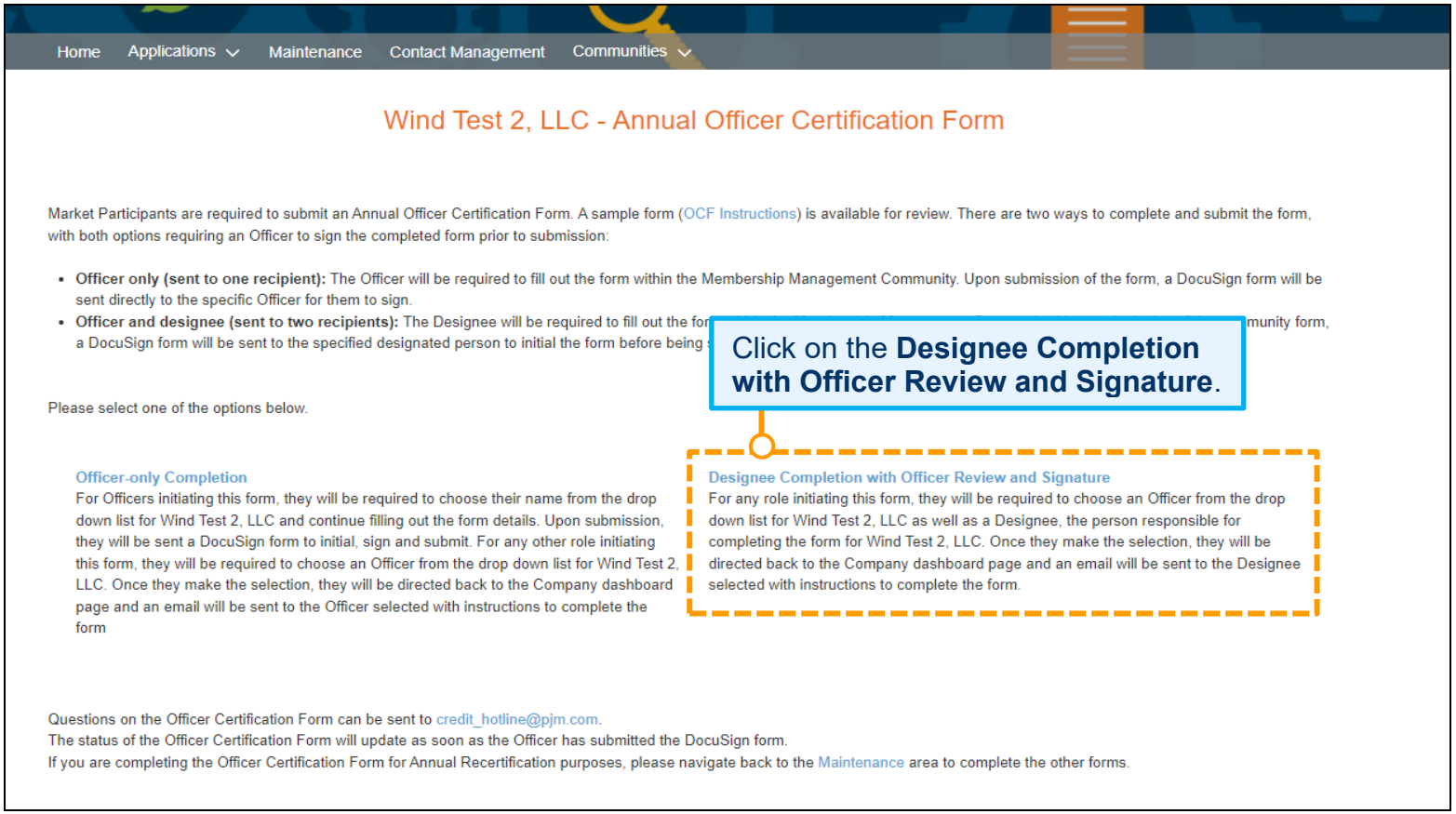

You have selected Option 2a.
Participant is providing to PJM or PJMSettlement, in accordance with Tariff, Attachment Q, section III, with this Annual Officer Certification
policies, procedures and controls applicable to its activities in any PJM Markets pursuant to Attachment Q or because there have been su
and controls applicable to its market activities since they were last provided to PJM.
Risk Policy must include:
PJM Risk Policy KYC Requirements
Commodity risk management policy for market, credit, liquidity and operational risks
Anti-Money-Laundering and Know your customer/counterparty processes, risk management policy (AML)
Anti-Bribery and Corruption risk management policy (ABC)
Please upload a red line version of your current risk management policy(s), if there has been changes since the last submission.
Upload Files
Or drop files
Accepted file types: .doc, .docx, .xls, .xlsx, .pdf
Please upload a clean copy of your current risk management policy(s), if there has been no changes since the last submission.
Upload Files
Or drop files
Accepted file types: .doc, .docx, .xls, .xlsx, .pdf
Please confirm that all versions of the Risk Policy are included in your uploaded documents.
Commodity risk management policy for market, credit, liquidity and operational risks
Anti-Money-Laundering and Know your customer/counterparty processes, risk management policy (AML)
Anti-Bribery and Corruption risk management policy (ABC)
Option A: requires that you upload a red line version of your current Risk Policy.
Option B: requires that you only upload a clean copy of your current the Risk Policy.
Confirm that all versions of the Risk Policy are included in your uploaded documents
Click Submit.
Submit

Please refer to the instructions on pages 12 to 16 for next steps.

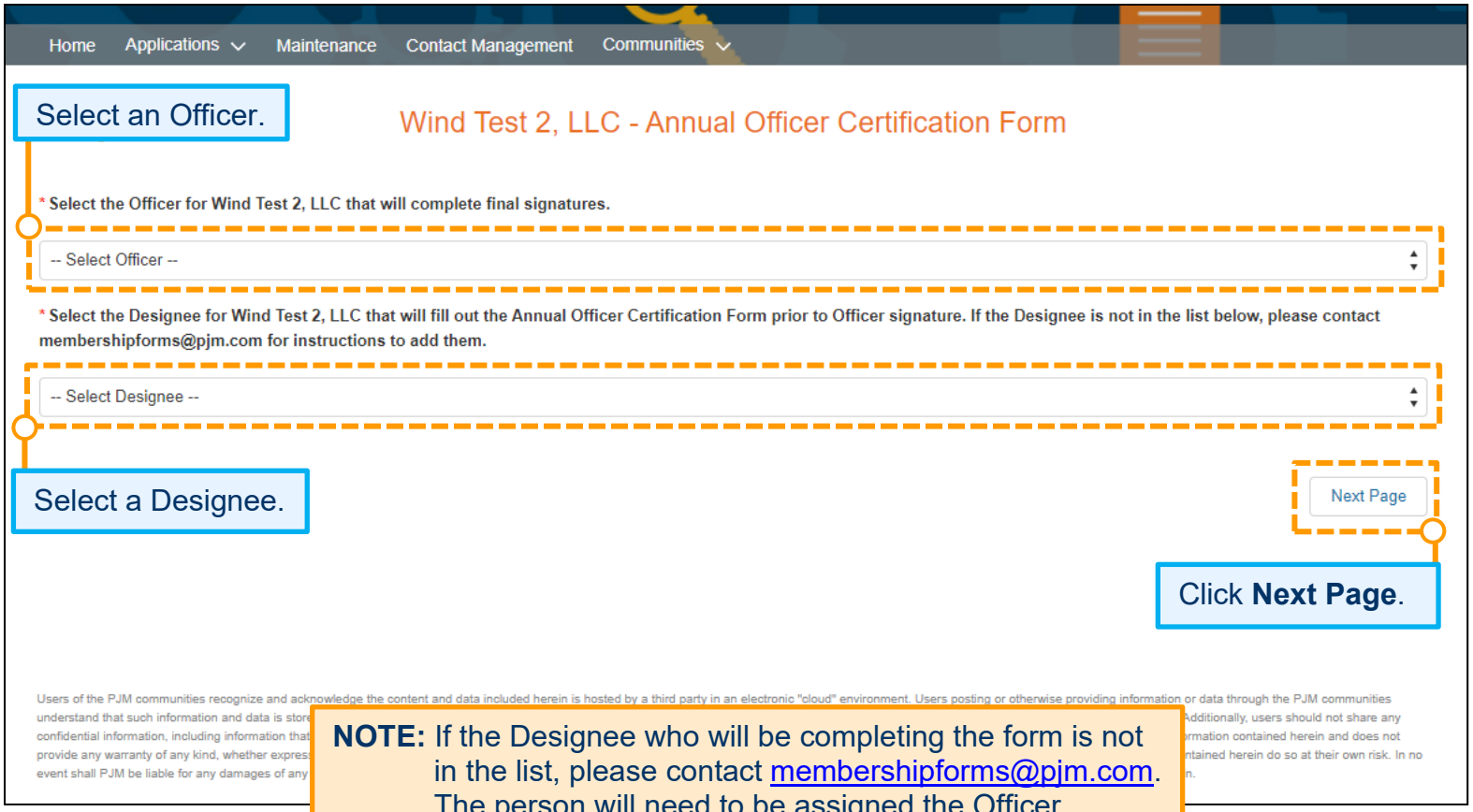
Designee Completion with Officer Review and Signature – No Risk Policy on File

Any role initiating this form will be required to choose an Officer from the drop-down list, as well as a Designee, the person responsible for completing the form. Once they make the selection, they will be directed back to the Company dashboard page, and an email will be sent to the Designee selected with instructions to complete the form.

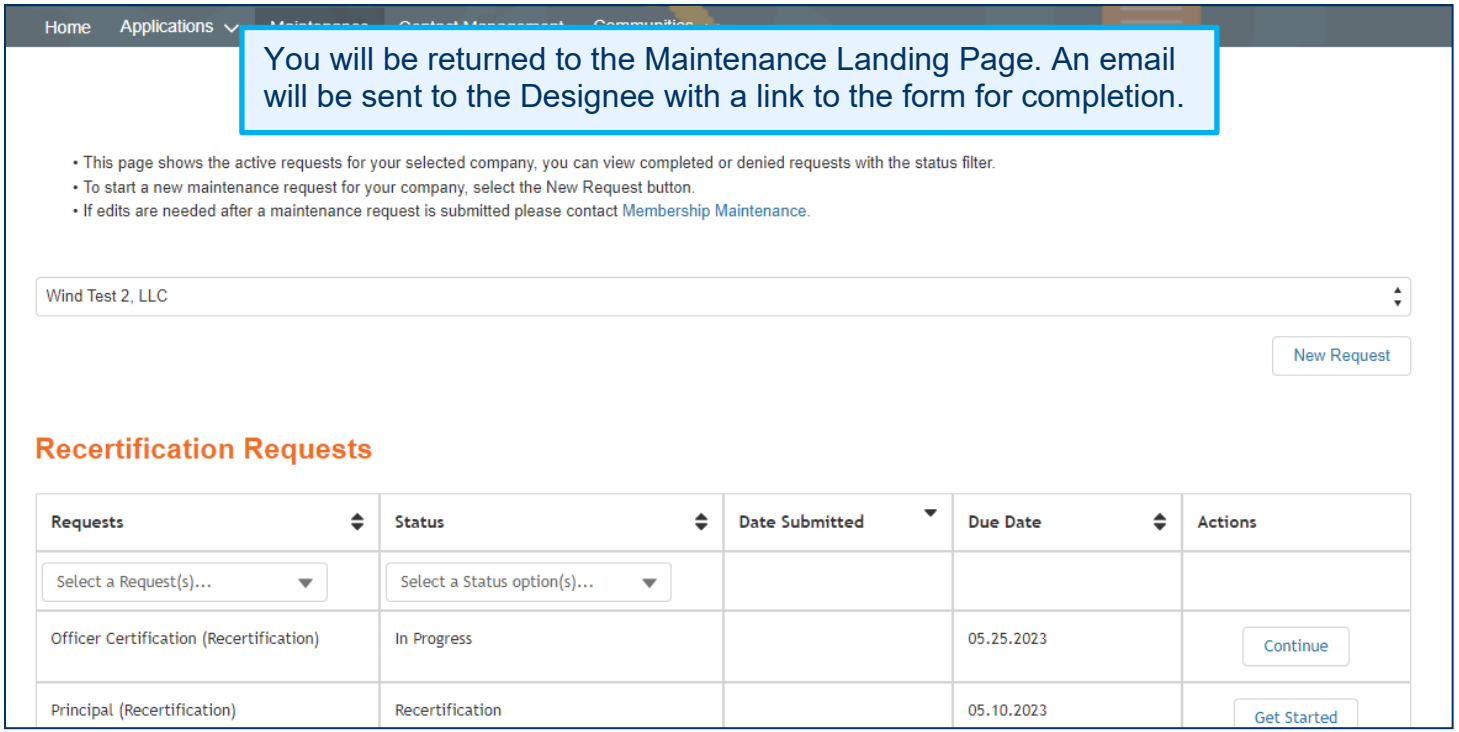

Home
Applications
Maintenance
Contact Management
Communities
Company Overview
• This page shows the active requests for your selected company, you can view completed or denied requests with the status filter.
• To start a new maintenance request for your company, select the New Request button.
• If edits are needed after a maintenance request is submitted please contact Membership Maintenance.
Wind Test 2, LLC
New Request
Click on Get Started on the Officer Certification (Recertification) row.
Recertification Requests
Requests
Status
Date Submitted
Due Date
Actions
Select a Request(s)...
Select a Status option(s)...
Officer Certification (Recertification)
Recertification
05.25.2023
Get Started
Principal (Recertification)
Recertification
05.10.2023

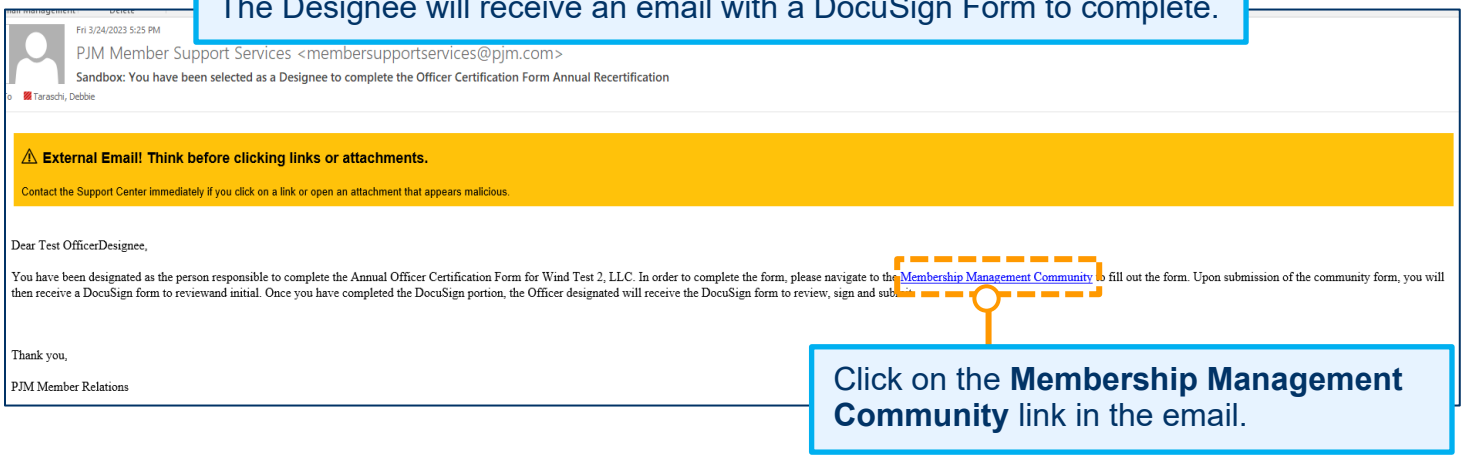


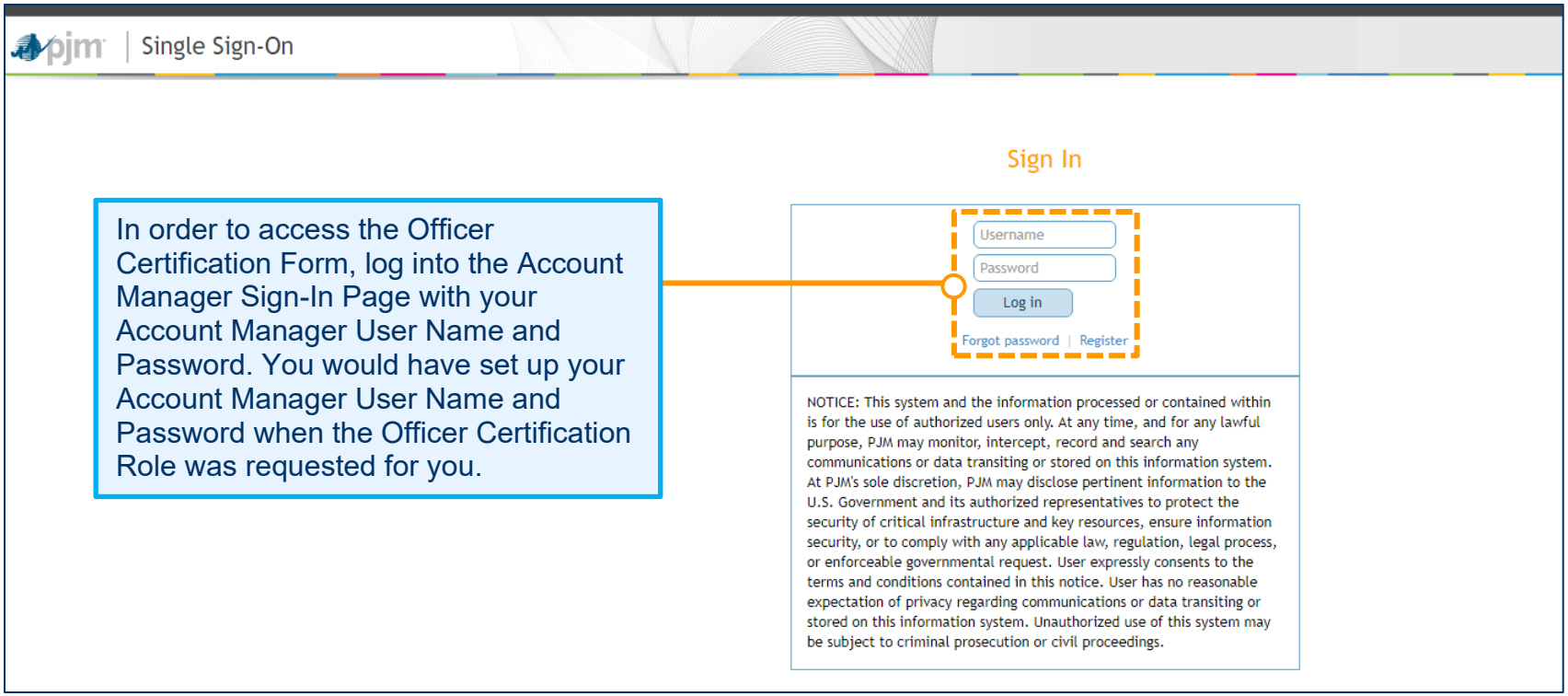
Click on the **Designee Completion with Officer Review and Signature**.



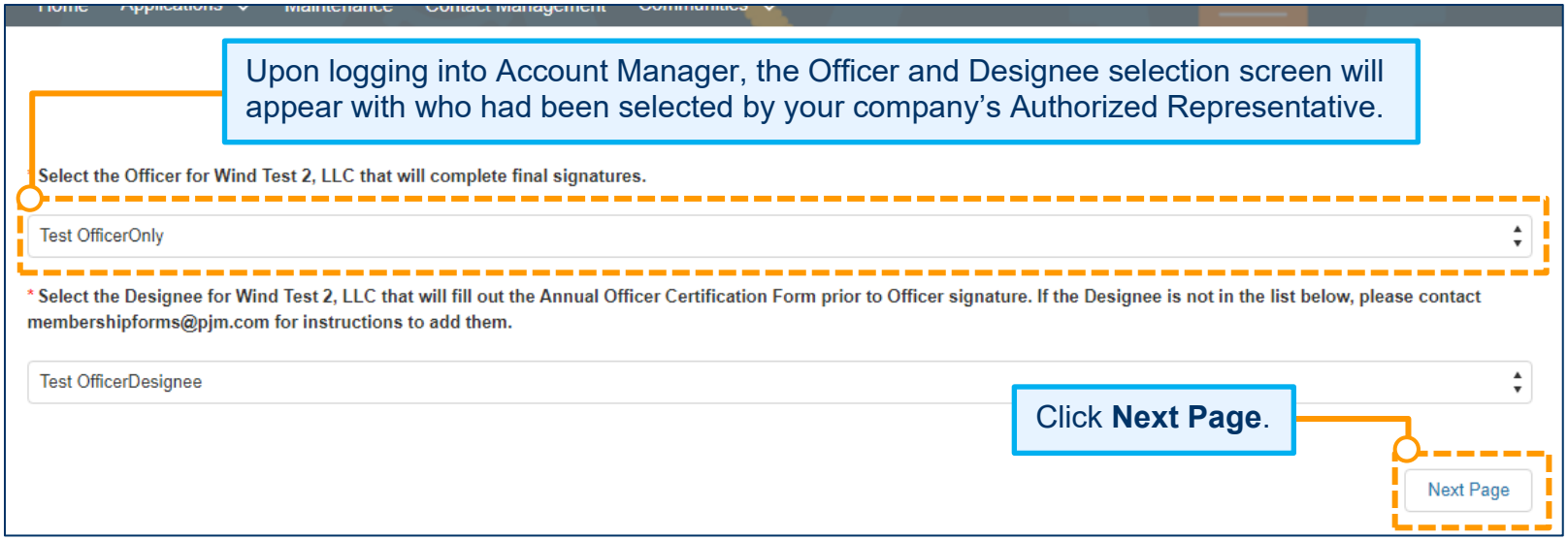
NOTE: If the Designee who will be completing the form is not in the list, please contact membershipforms@pjm.com. The person will need to be assigned the Officer Certification Form Role and set up a user in Account Manager in order to access the form for completion.

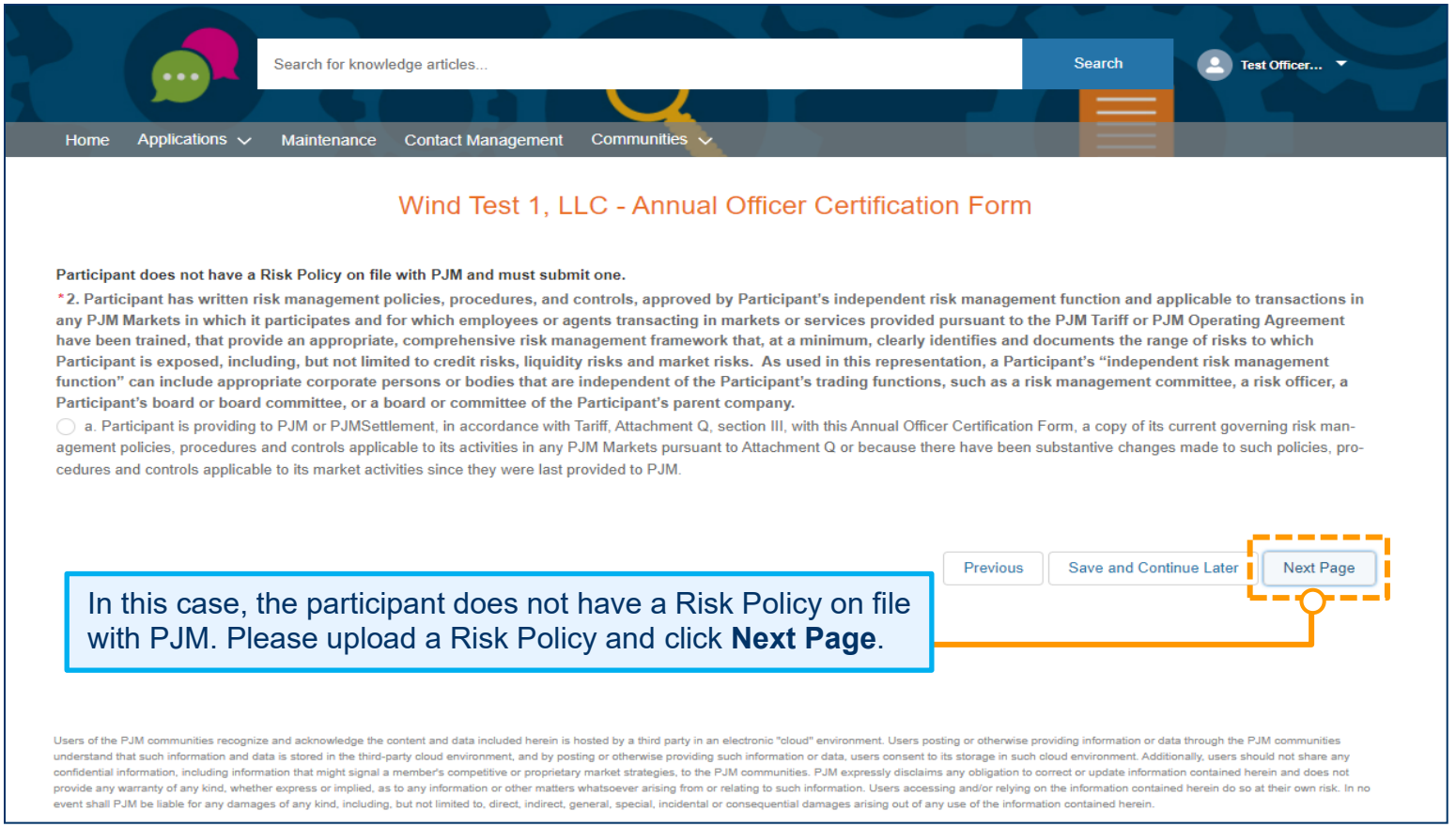

Home
Applications
You will be returned to the Maintenance Landing Page. An email will be sent to the Designee with a link to the form for completion.
• This page shows the active requests for your selected company, you can view completed or denied requests with the status filter.
• To start a new maintenance request for your company, select the New Request button.
• If edits are needed after a maintenance request is submitted please contact Membership Maintenance.
Wind Test 2, LLC
New Request
Recertification Requests
Requests
Status
Date Submitted
Due Date
Actions
Select a Request(s)...
Select a Status option(s)...
Officer Certification (Recertification)
In Progress
05.25.2023
Continue
Principal (Recertification)
Recertification
05.10.2023
Get Started

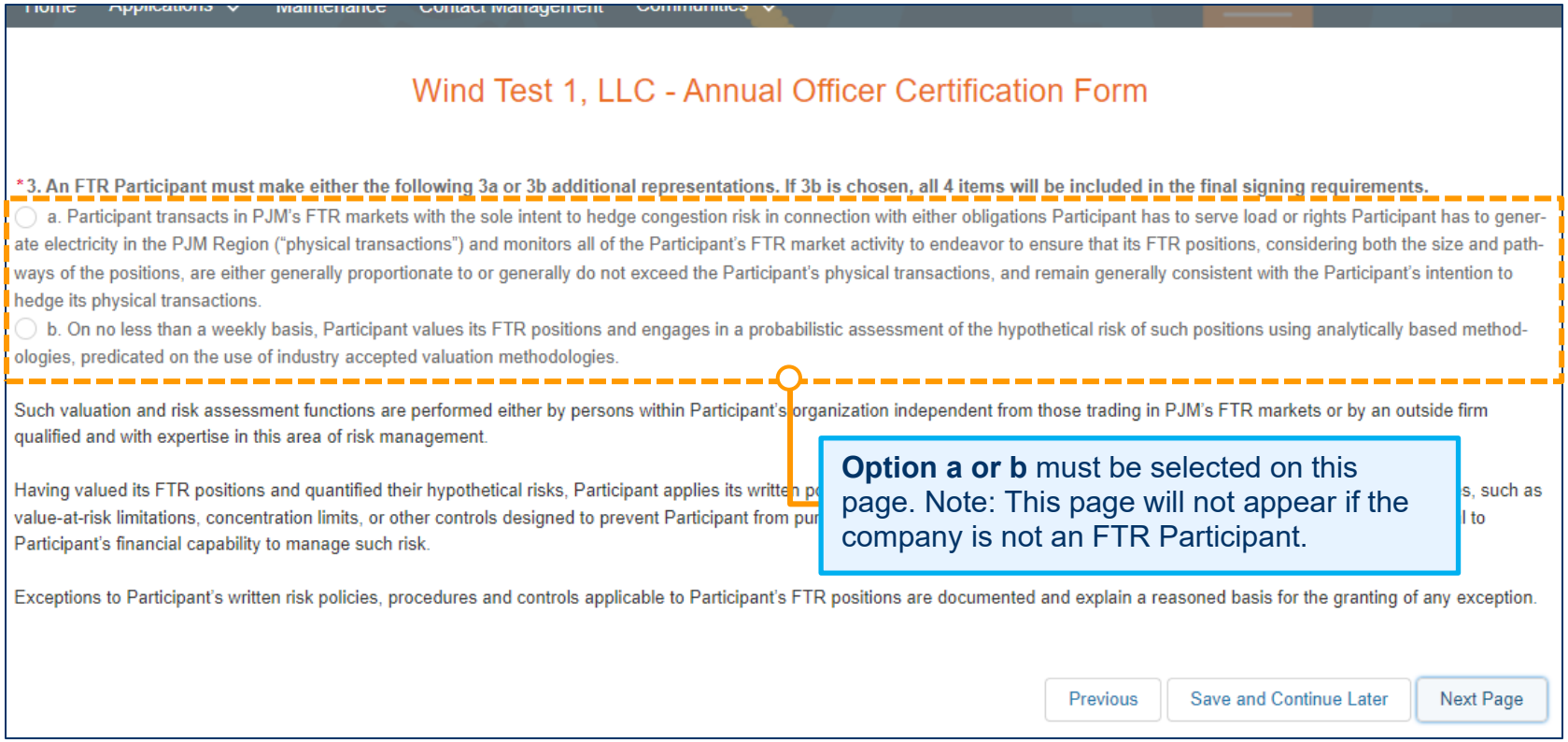

The Designee will receive an email with a DocuSign Form to complete.
Fri 3/24/2023 5:25 PM
PJM Member Support Services <membersupportservices@pjm.com>
Sandbox: You have been selected as a Designee to complete the Officer Certification Form Annual Recertification
Taraschi, Debbie
External Email! Think before clicking links or attachments.
Contact the Support Center immediately if you click on a link or open an attachment that appears malicious.
Dear Test OfficerDesignee,
You have been designated as the person responsible to complete the Annual Officer Certification Form for Wind Test 2, LLC. In order to complete the form, please navigate to the Membership Management Community to fill out the form. Upon submission of the community form, you will then receive a DocuSign form to reviewand initial. Once you have completed the DocuSign portion, the Officer designated will receive the DocuSign form to review, sign and submit.
Thank you,
PJM Member Relations
Click on the Membership Management Community link in the email.



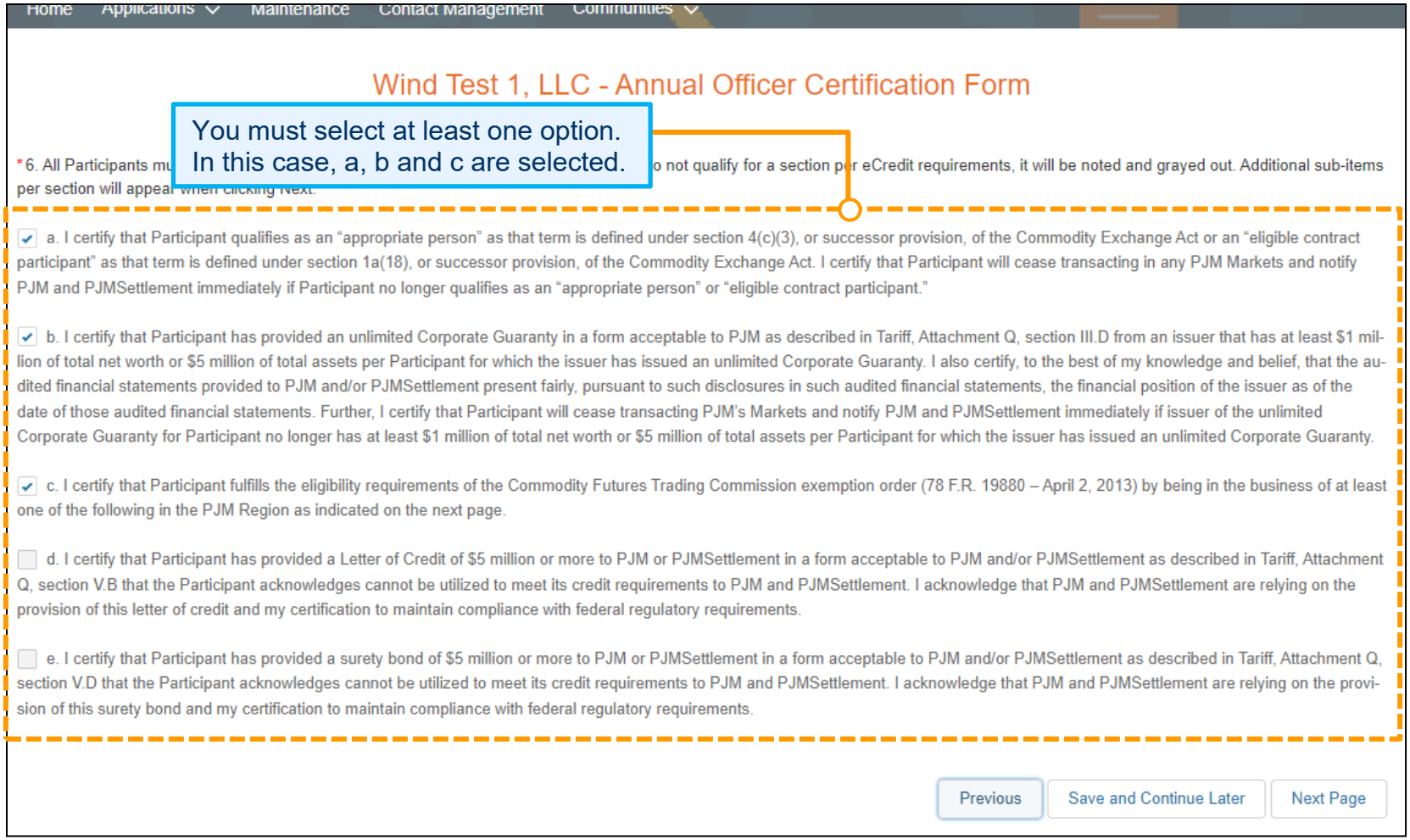
In order to access the Officer Certification Form, log into the Account Manager Sign-In Page with your Account Manager User Name and Password. You would have set up your Account Manager User Name and Password when the Officer Certification Role was requested for you.

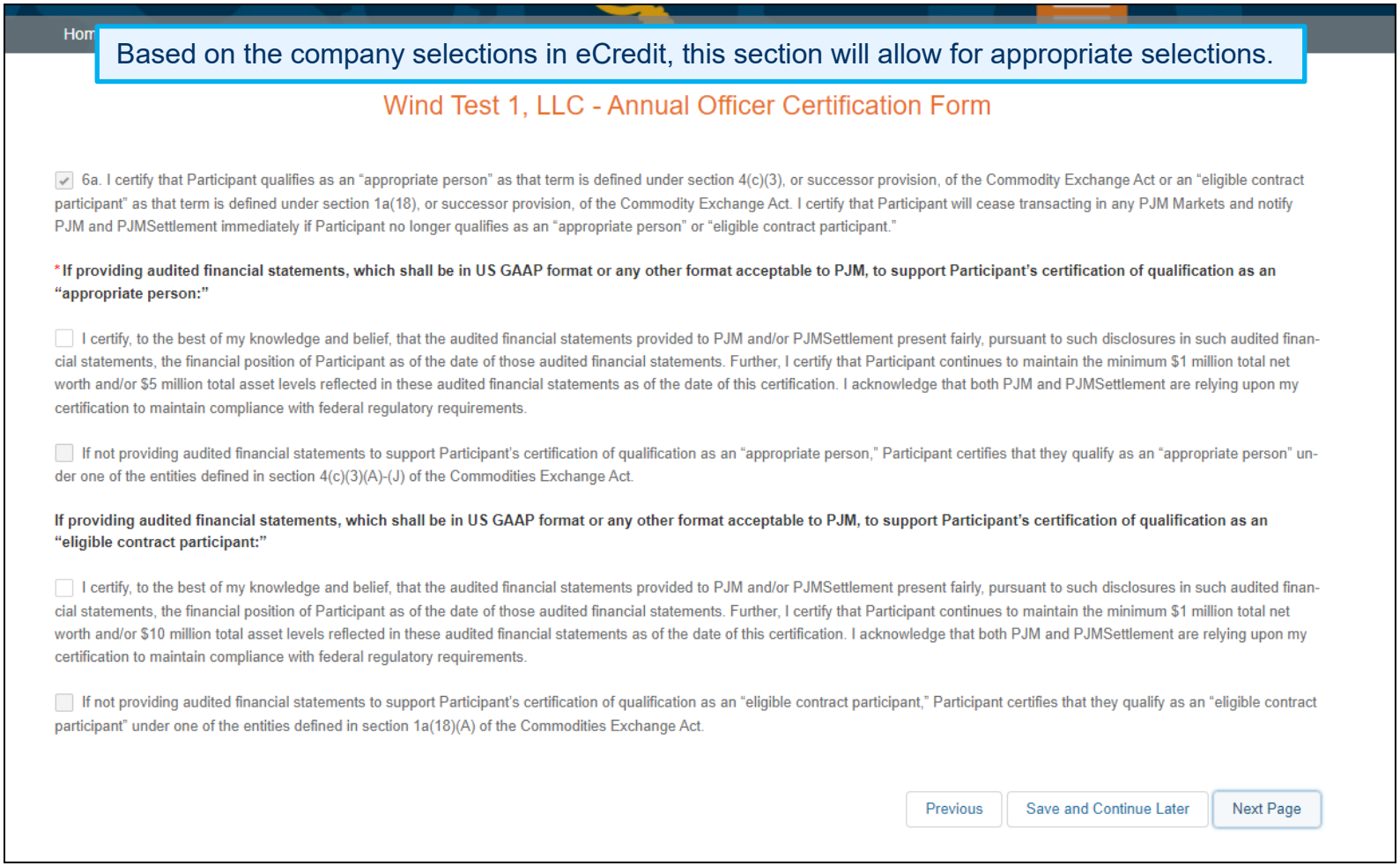

Upon logging into Account Manager, the Officer and Designee selection screen will appear with who had been selected by your company's Authorized Representative.
* Select the Officer for Wind Test 2, LLC that will complete final signatures.
Test OfficerOnly
* Select the Designee for Wind Test 2, LLC that will fill out the Annual Officer Certification Form prior to Officer signature. If the Designee is not in the list below, please contact membershipforms@pjm.com for instructions to add them.
Test OfficerDesignee
Click **Next Page**.
Next Page

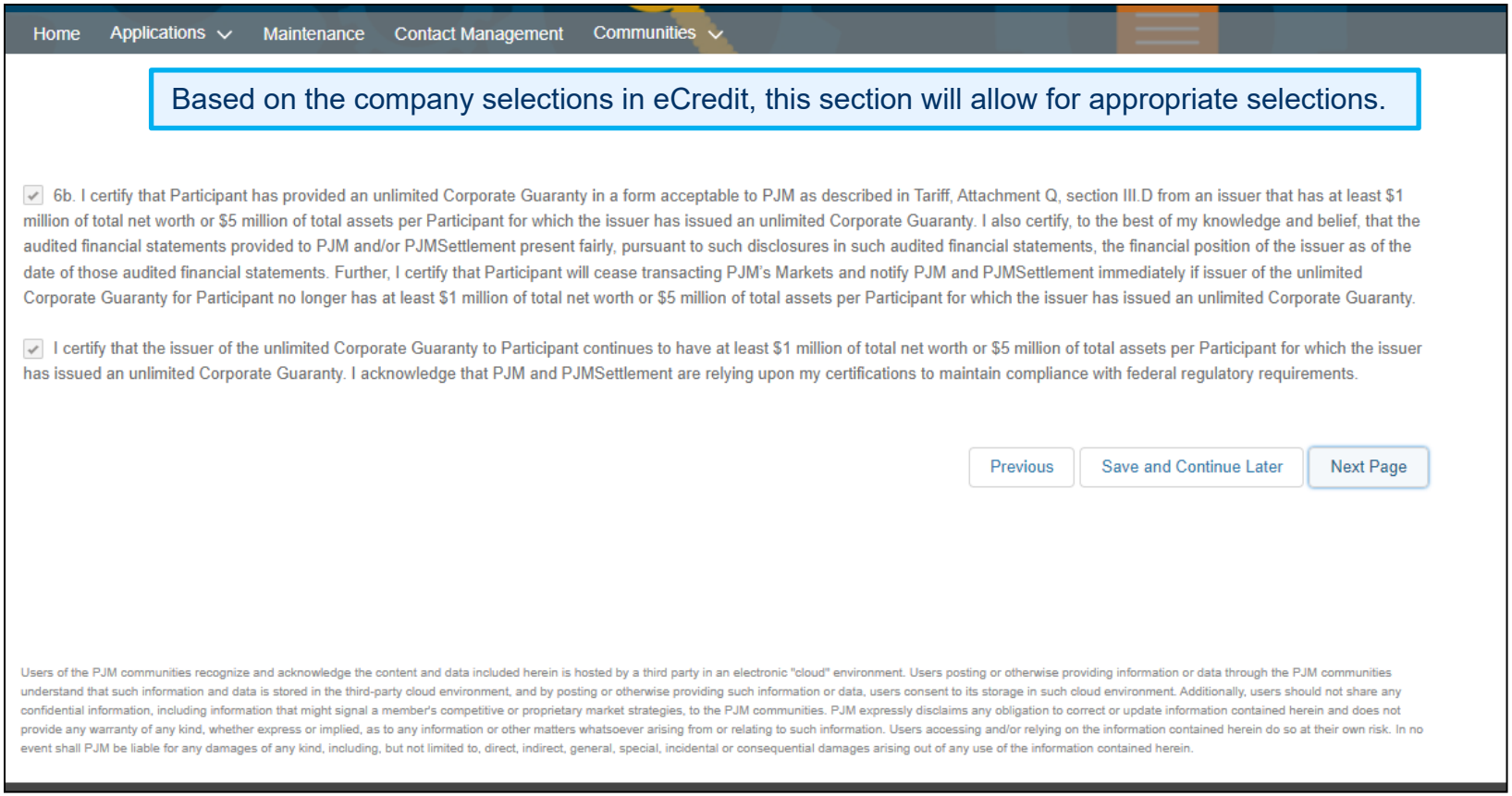

Search for knowledge articles...
Search
Test Officer...
Home
Applications
Maintenance
Contact Management
Communities
Wind Test 1, LLC - Annual Officer Certification Form
Participant does not have a Risk Policy on file with PJM and must submit one.
*2. Participant has written risk management policies, procedures, and controls, approved by Participant's independent risk management function and applicable to transactions in any PJM Markets in which it participates and for which employees or agents transacting in markets or services provided pursuant to the PJM Tariff or PJM Operating Agreement have been trained, that provide an appropriate, comprehensive risk management framework that, at a minimum, clearly identifies and documents the range of risks to which Participant is exposed, including, but not limited to credit risks, liquidity risks and market risks. As used in this representation, a Participant's "independent risk management function" can include appropriate corporate persons or bodies that are independent of the Participant's trading functions, such as a risk management committee, a risk officer, a Participant's board or board committee, or a board or committee of the Participant's parent company.
a. Participant is providing to PJM or PJMSettlement, in accordance with Tariff, Attachment Q, section III, with this Annual Officer Certification Form, a copy of its current governing risk management policies, procedures and controls applicable to its activities in any PJM Markets pursuant to Attachment Q or because there have been substantive changes made to such policies, procedures and controls applicable to its market activities since they were last provided to PJM.
Previous
Save and Continue Later
Next Page
In this case, the participant does not have a Risk Policy on file with PJM. Please upload a Risk Policy and click Next Page.
Users of the PJM communities recognize and acknowledge the content and data included herein is hosted by a third party in an electronic "cloud" environment. Users posting or otherwise providing information or data through the PJM communities understand that such information and data is stored in the third-party cloud environment, and by posting or otherwise providing such information or data, users consent to its storage in such cloud environment. Additionally, users should not share any confidential information, including information that might signal a member's competitive or proprietary market strategies, to the PJM communities. PJM expressly disclaims any obligation to correct or update information contained herein and does not provide any warranty of any kind, whether express or implied, as to any information or other matters whatsoever arising from or relating to such information. Users accessing and/or relying on the information contained herein do so at their own risk. In no event shall PJM be liable for any damages of any kind, including, but not limited to, direct, indirect, general, special, incidental or consequential damages arising out of any use of the information contained herein.

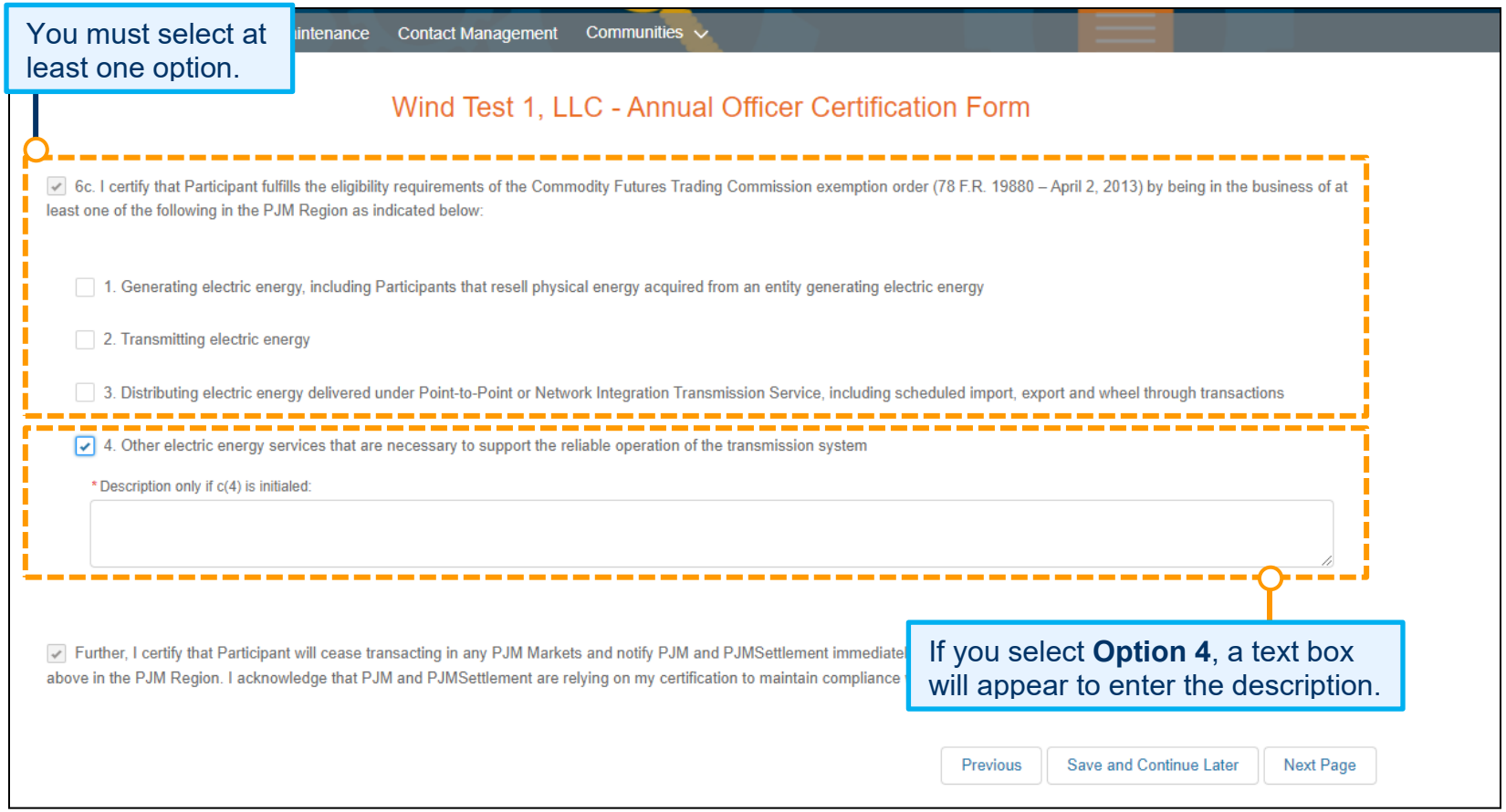


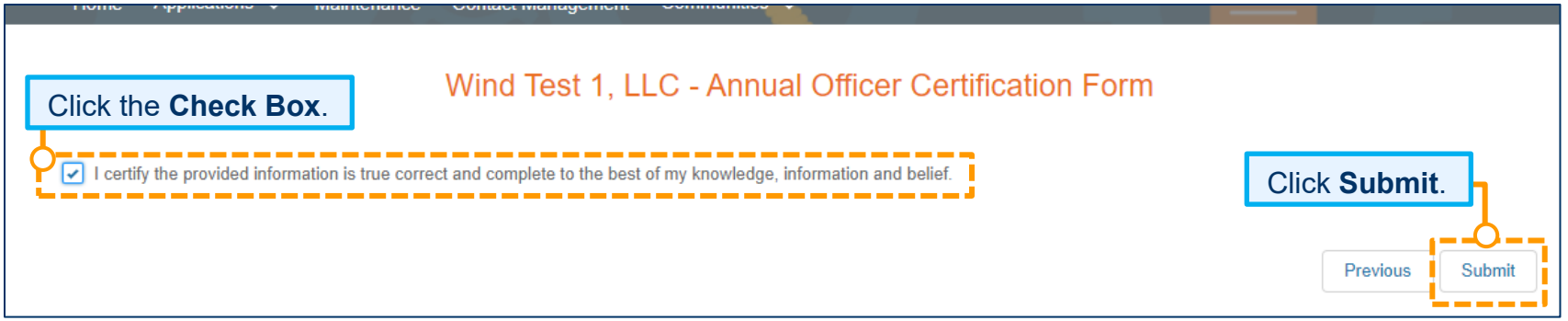
Option a or b must be selected on this page. Note: This page will not appear if the company is not an FTR Participant.


Home
Applications
Maintenance
Contact Management
Communities
Wind Test 1, LLC - Annual Officer Certification Form
You must select at least one option.
In this case, a, b and c are selected.
*6. All Participants mu
o not qualify for a section per eCredit requirements, it will be noted and grayed out. Additional sub-items per section will appear when clicking Next.
a. I certify that Participant qualifies as an "appropriate person" as that term is defined under section 4(c)(3), or successor provision, of the Commodity Exchange Act or an "eligible contract participant" as that term is defined under section 1a(18), or successor provision, of the Commodity Exchange Act. I certify that Participant will cease transacting in any PJM Markets and notify PJM and PJMSettlement immediately if Participant no longer qualifies as an "appropriate person" or "eligible contract participant."
b. I certify that Participant has provided an unlimited Corporate Guaranty in a form acceptable to PJM as described in Tariff, Attachment Q, section III.D from an issuer that has at least $1 million of total net worth or $5 million of total assets per Participant for which the issuer has issued an unlimited Corporate Guaranty. I also certify, to the best of my knowledge and belief, that the audited financial statements provided to PJM and/or PJMSettlement present fairly, pursuant to such disclosures in such audited financial statements, the financial position of the issuer as of the date of those audited financial statements. Further, I certify that Participant will cease transacting PJM's Markets and notify PJM and PJMSettlement immediately if issuer of the unlimited Corporate Guaranty for Participant no longer has at least $1 million of total net worth or $5 million of total assets per Participant for which the issuer has issued an unlimited Corporate Guaranty.
c. I certify that Participant fulfills the eligibility requirements of the Commodity Futures Trading Commission exemption order (78 F.R. 19880 – April 2, 2013) by being in the business of at least one of the following in the PJM Region as indicated on the next page.
d. I certify that Participant has provided a Letter of Credit of $5 million or more to PJM or PJMSettlement in a form acceptable to PJM and/or PJMSettlement as described in Tariff, Attachment Q, section V.B that the Participant acknowledges cannot be utilized to meet its credit requirements to PJM and PJMSettlement. I acknowledge that PJM and PJMSettlement are relying on the provision of this letter of credit and my certification to maintain compliance with federal regulatory requirements.
e. I certify that Participant has provided a surety bond of $5 million or more to PJM or PJMSettlement in a form acceptable to PJM and/or PJMSettlement as described in Tariff, Attachment Q, section V.D that the Participant acknowledges cannot be utilized to meet its credit requirements to PJM and PJMSettlement. I acknowledge that PJM and PJMSettlement are relying on the provision of this surety bond and my certification to maintain compliance with federal regulatory requirements.
Previous
Save and Continue Later
Next Page


Hom
Based on the company selections in eCredit, this section will allow for appropriate selections.
Wind Test 1, LLC - Annual Officer Certification Form
6a. I certify that Participant qualifies as an "appropriate person" as that term is defined under section 4(c)(3), or successor provision, of the Commodity Exchange Act or an "eligible contract participant" as that term is defined under section 1a(18), or successor provision, of the Commodity Exchange Act. I certify that Participant will cease transacting in any PJM Markets and notify PJM and PJMSettlement immediately if Participant no longer qualifies as an "appropriate person" or "eligible contract participant."
*If providing audited financial statements, which shall be in US GAAP format or any other format acceptable to PJM, to support Participant's certification of qualification as an "appropriate person:"
I certify, to the best of my knowledge and belief, that the audited financial statements provided to PJM and/or PJMSettlement present fairly, pursuant to such disclosures in such audited financial statements, the financial position of Participant as of the date of those audited financial statements. Further, I certify that Participant continues to maintain the minimum $1 million total net worth and/or $5 million total asset levels reflected in these audited financial statements as of the date of this certification. I acknowledge that both PJM and PJMSettlement are relying upon my certification to maintain compliance with federal regulatory requirements.
If not providing audited financial statements to support Participant's certification of qualification as an "appropriate person," Participant certifies that they qualify as an "appropriate person" under one of the entities defined in section 4(c)(3)(A)-(J) of the Commodities Exchange Act.
If providing audited financial statements, which shall be in US GAAP format or any other format acceptable to PJM, to support Participant's certification of qualification as an "eligible contract participant:"
I certify, to the best of my knowledge and belief, that the audited financial statements provided to PJM and/or PJMSettlement present fairly, pursuant to such disclosures in such audited financial statements, the financial position of Participant as of the date of those audited financial statements. Further, I certify that Participant continues to maintain the minimum $1 million total net worth and/or $10 million total asset levels reflected in these audited financial statements as of the date of this certification. I acknowledge that both PJM and PJMSettlement are relying upon my certification to maintain compliance with federal regulatory requirements.
If not providing audited financial statements to support Participant's certification of qualification as an "eligible contract participant," Participant certifies that they qualify as an "eligible contract participant" under one of the entities defined in section 1a(18)(A) of the Commodities Exchange Act.
Previous
Save and Continue Later
Next Page


Home
Applications
Maintenance
Contact Management
Communities
Based on the company selections in eCredit, this section will allow for appropriate selections.
6b. I certify that Participant has provided an unlimited Corporate Guaranty in a form acceptable to PJM as described in Tariff, Attachment Q, section III.D from an issuer that has at least $1 million of total net worth or $5 million of total assets per Participant for which the issuer has issued an unlimited Corporate Guaranty. I also certify, to the best of my knowledge and belief, that the audited financial statements provided to PJM and/or PJMSettlement present fairly, pursuant to such disclosures in such audited financial statements, the financial position of the issuer as of the date of those audited financial statements. Further, I certify that Participant will cease transacting PJM's Markets and notify PJM and PJMSettlement immediately if issuer of the unlimited Corporate Guaranty for Participant no longer has at least $1 million of total net worth or $5 million of total assets per Participant for which the issuer has issued an unlimited Corporate Guaranty.
I certify that the issuer of the unlimited Corporate Guaranty to Participant continues to have at least $1 million of total net worth or $5 million of total assets per Participant for which the issuer has issued an unlimited Corporate Guaranty. I acknowledge that PJM and PJMSettlement are relying upon my certifications to maintain compliance with federal regulatory requirements.
Previous
Save and Continue Later
Next Page
Users of the PJM communities recognize and acknowledge the content and data included herein is hosted by a third party in an electronic "cloud" environment. Users posting or otherwise providing information or data through the PJM communities understand that such information and data is stored in the third-party cloud environment, and by posting or otherwise providing such information or data, users consent to its storage in such cloud environment. Additionally, users should not share any confidential information, including information that might signal a member's competitive or proprietary market strategies, to the PJM communities. PJM expressly disclaims any obligation to correct or update information contained herein and does not provide any warranty of any kind, whether express or implied, as to any information or other matters whatsoever arising from or relating to such information. Users accessing and/or relying on the information contained herein do so at their own risk. In no event shall PJM be liable for any damages of any kind, including, but not limited to, direct, indirect, general, special, incidental or consequential damages arising out of any use of the information contained herein.


You must select at least one option.
intenance
Contact Management
Communities
Wind Test 1, LLC - Annual Officer Certification Form
6c. I certify that Participant fulfills the eligibility requirements of the Commodity Futures Trading Commission exemption order (78 F.R. 19880 – April 2, 2013) by being in the business of at least one of the following in the PJM Region as indicated below:
1. Generating electric energy, including Participants that resell physical energy acquired from an entity generating electric energy
2. Transmitting electric energy
3. Distributing electric energy delivered under Point-to-Point or Network Integration Transmission Service, including scheduled import, export and wheel through transactions
4. Other electric energy services that are necessary to support the reliable operation of the transmission system
* Description only if c(4) is initialed:
Further, I certify that Participant will cease transacting in any PJM Markets and notify PJM and PJMSettlement immediate
above in the PJM Region. I acknowledge that PJM and PJMSettlement are relying on my certification to maintain compliance
If you select **Option 4**, a text box will appear to enter the description.
Previous
Save and Continue Later
Next Page



Participant does not have a Risk Policy on file with PJM and must submit one.
Participant is providing to PJM or PJMSettlement, in accordance with Tariff, Attachment Q, section III, with this Annual Officer Certification Form, a copy of its current governing risk management policies, procedures and controls applicable to its activities in any PJM Markets pursuant to Attachment Q or because there have been substantive changes made to such policies, procedures and controls applicable to its market activities since they were last provided to PJM.

Risk Policy must include:
PJM Risk Policy KYC Requirements

- Commodity risk management policy for market, credit, liquidity and operational risks
- Anti-Money-Laundering and Know your customer/counterparty processes, risk management policy (AML)
- Anti-Bribery and Corruption risk management policy (ABC)

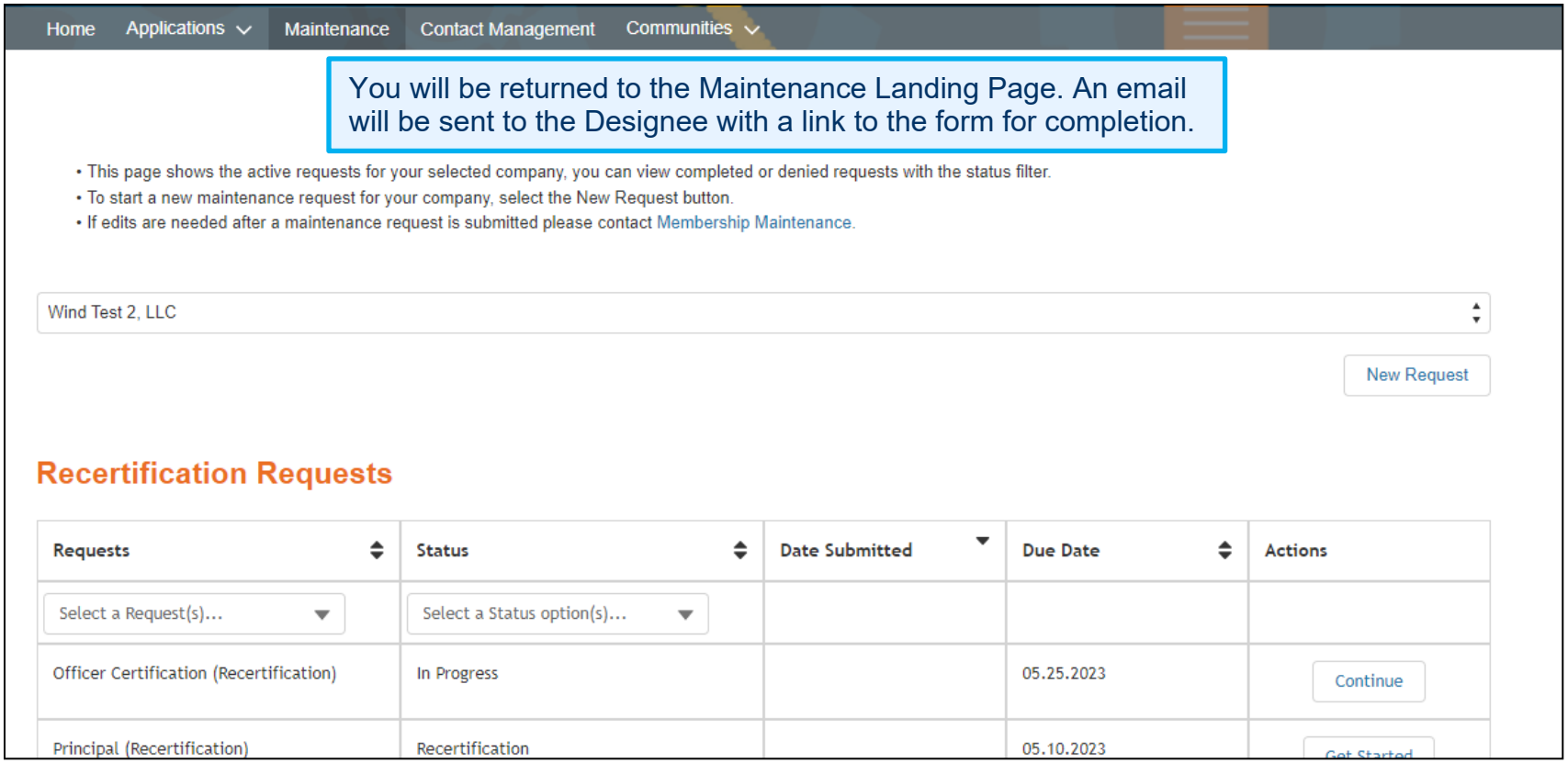
Please upload a clean copy of your current the Risk Policy.

Please upload a clean copy of your current risk management policy(s), if there has been no changes since the last submission.
Upload Files Or drop files
Accepted file types: .doc, .docx, .xls, .xlsx, .pdf

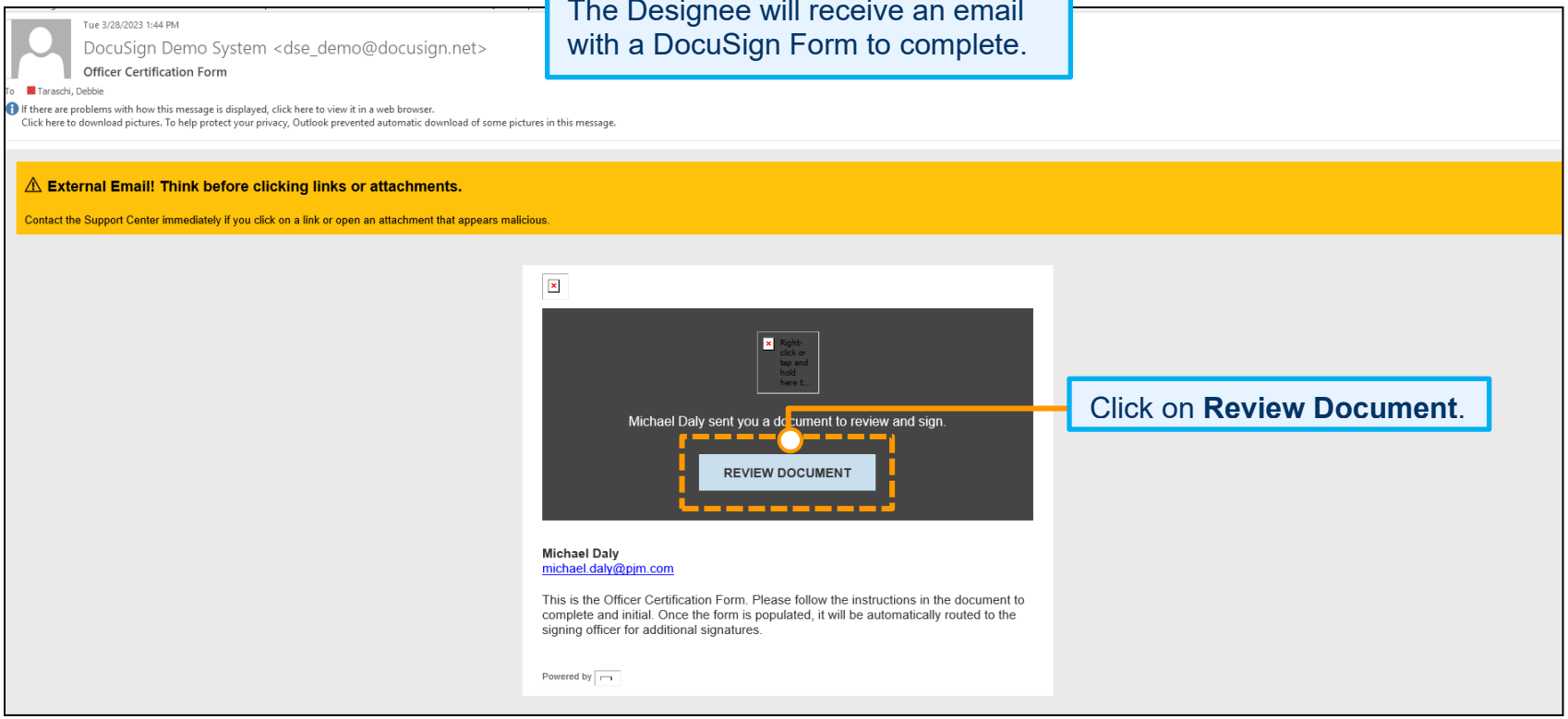
Please confirm that all versions of the Risk Policy are included in your uploaded documents.
* Commodity risk management policy for market, credit, liquidity and operational risks
* Anti-Money-Laundering and Know your customer/counterparty processes, risk management policy (AML)
* Anti-Bribery and Corruption risk management policy (ABC)

Click **Submit**.
Submit

Confirm that all versions of the Risk Policy are included in your uploaded documents


Home
Applications
Maintenance
Contact Management
Communities
You will be returned to the Maintenance Landing Page. An email will be sent to the Designee with a link to the form for completion.
• This page shows the active requests for your selected company, you can view completed or denied requests with the status filter.
• To start a new maintenance request for your company, select the New Request button.
• If edits are needed after a maintenance request is submitted please contact Membership Maintenance.
Wind Test 2, LLC
New Request
Recertification Requests
Requests
Status
Date Submitted
Due Date
Actions
Select a Request(s)...
Select a Status option(s)...
Officer Certification (Recertification)
In Progress
05.25.2023
Continue
Principal (Recertification)
Recertification
05.10.2023

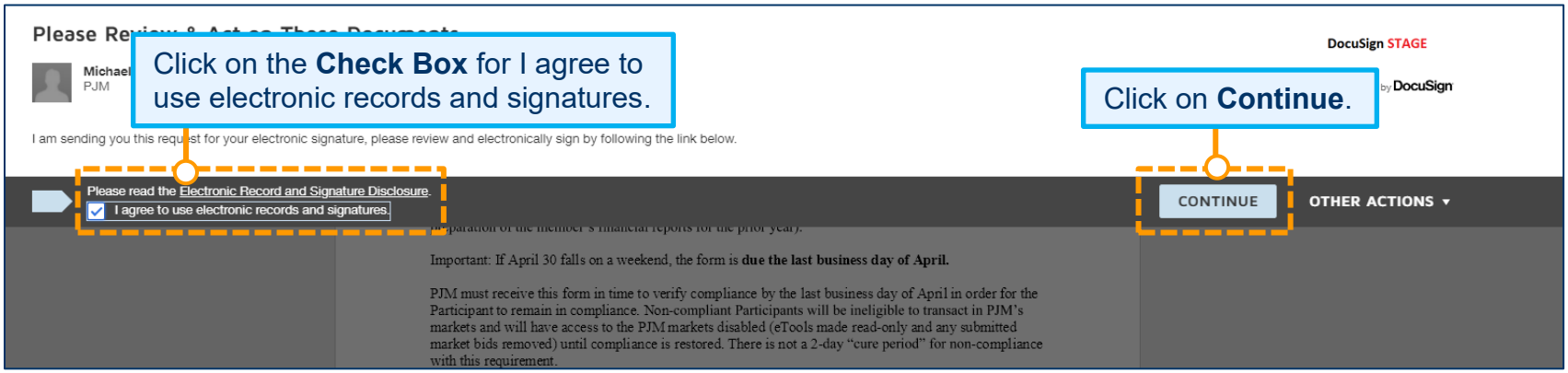
The Designee will receive an email with a DocuSign Form to complete.

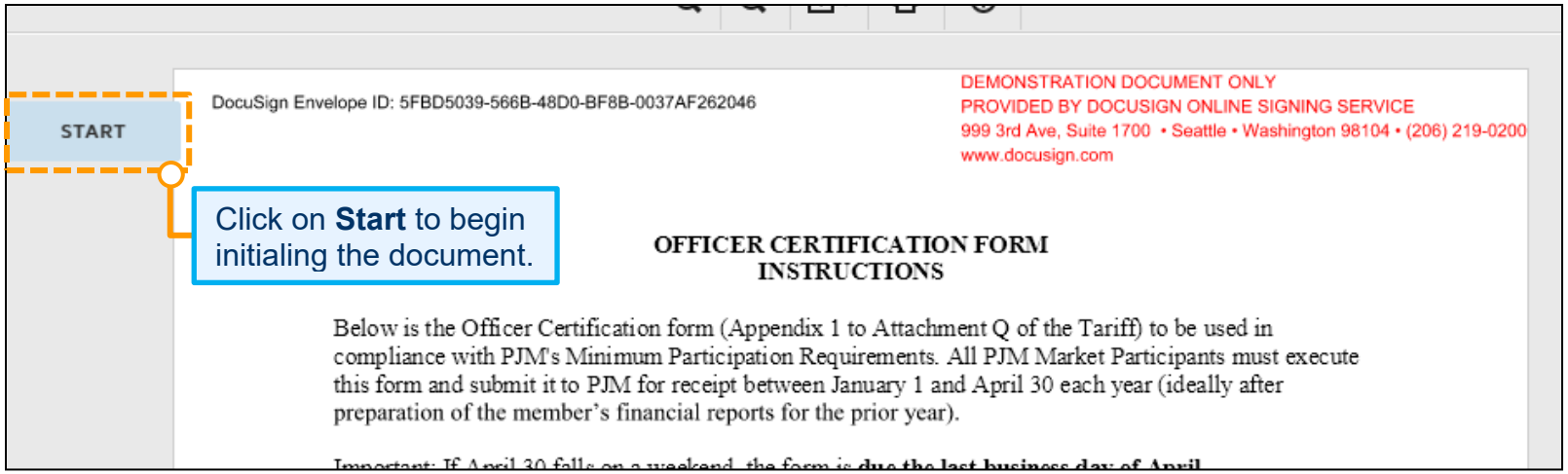


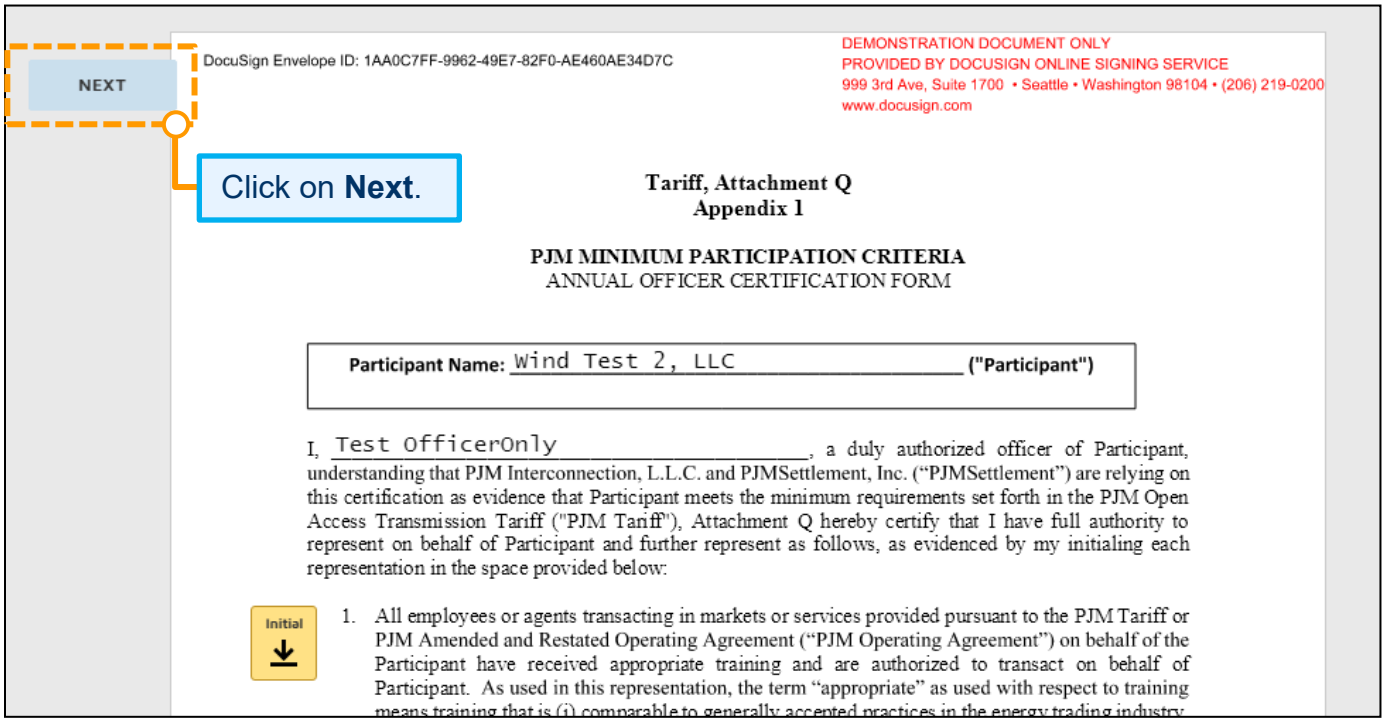
Click on **Review Document**.

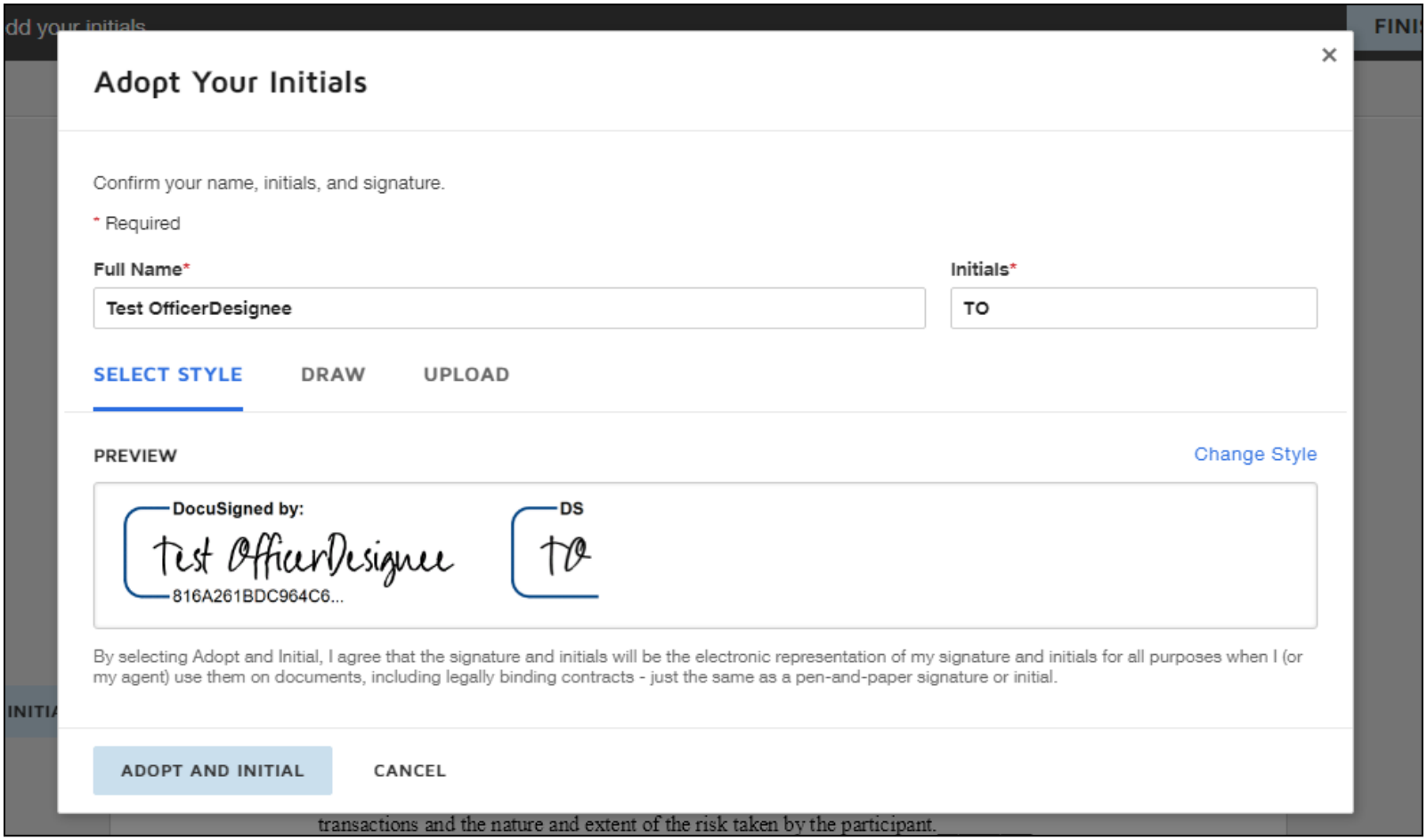
Click on the **Check Box** for I agree to use electronic records and signatures.

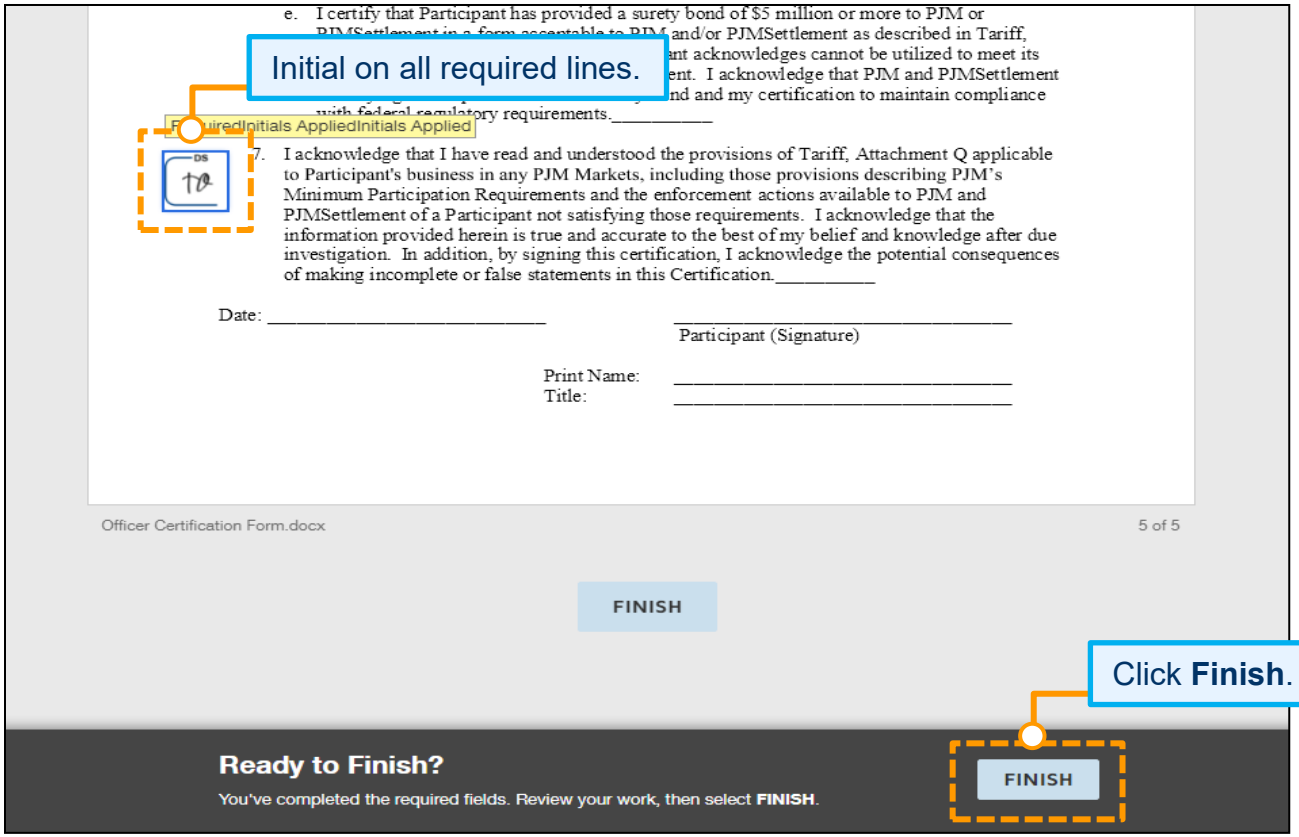
Click on **Continue**.



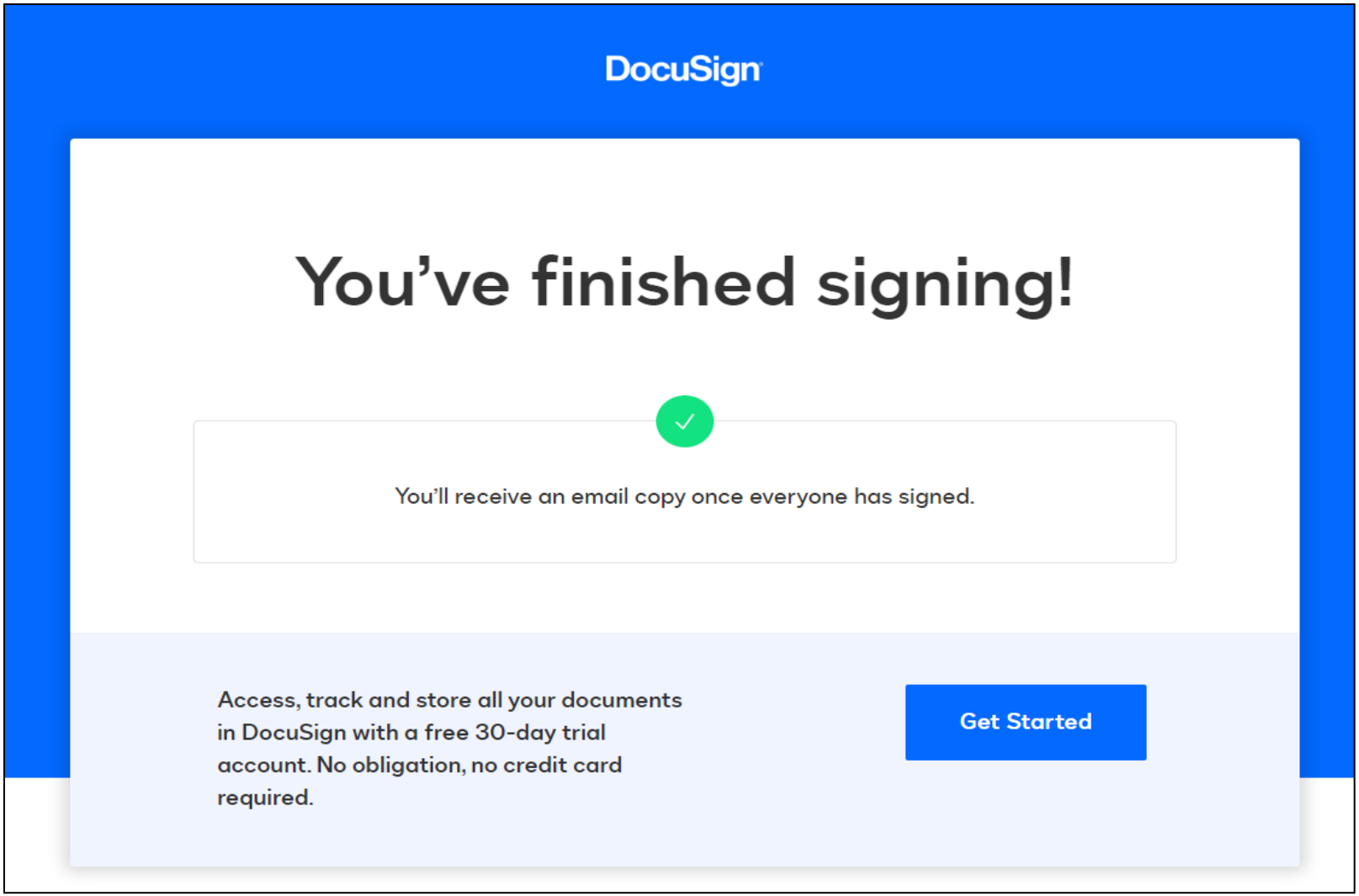

START
Click on **Start** to begin initialing the document.
DocuSign Envelope ID: 5FBD5039-566B-48D0-BF8B-0037AF262046
DEMONSTRATION DOCUMENT ONLY
PROVIDED BY DOCUSIGN ONLINE SIGNING SERVICE
999 3rd Ave, Suite 1700 • Seattle • Washington 98104 • (206) 219-0200
www.docusign.com
OFFICER CERTIFICATION FORM
INSTRUCTIONS
Below is the Officer Certification form (Appendix 1 to Attachment Q of the Tariff) to be used in compliance with PJM's Minimum Participation Requirements. All PJM Market Participants must execute this form and submit it to PJM for receipt between January 1 and April 30 each year (ideally after preparation of the member's financial reports for the prior year).

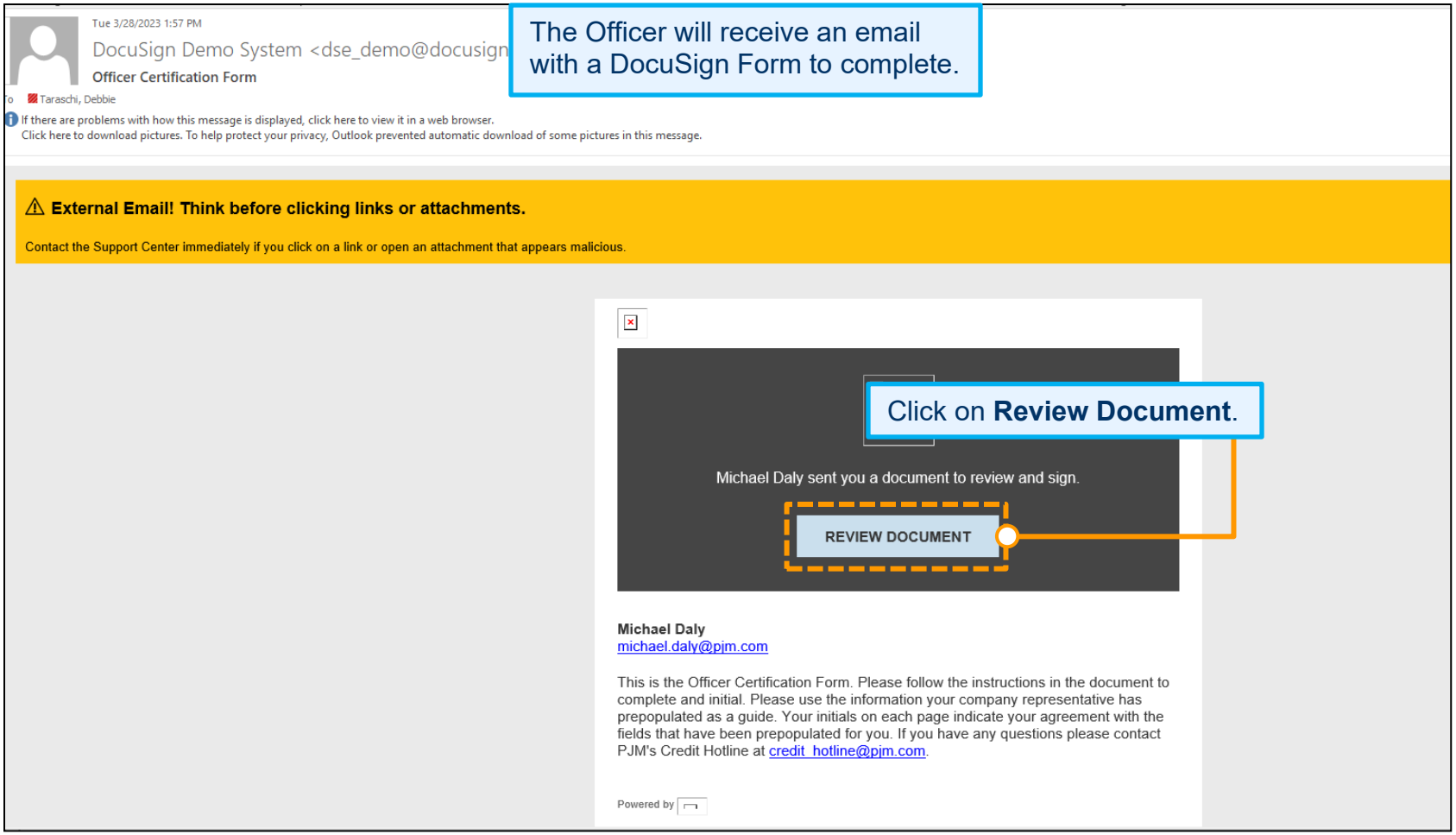

NEXT
Click on **Next**.
DocuSign Envelope ID: 1AA0C7FF-9962-49E7-82F0-AE460AE34D7C
DEMONSTRATION DOCUMENT ONLY
PROVIDED BY DOCUSIGN ONLINE SIGNING SERVICE
999 3rd Ave, Suite 1700 • Seattle • Washington 98104 • (206) 219-0200
www.docusign.com
Tariff, Attachment Q
Appendix 1
PJM MINIMUM PARTICIPATION CRITERIA
ANNUAL OFFICER CERTIFICATION FORM
Participant Name: Wind Test 2, LLC ("Participant")
I, Test OfficerOnly, a duly authorized officer of Participant, understanding that PJM Interconnection, L.L.C. and PJMSettlement, Inc. ("PJMSettlement") are relying on this certification as evidence that Participant meets the minimum requirements set forth in the PJM Open Access Transmission Tariff ("PJM Tariff"), Attachment Q hereby certify that I have full authority to represent on behalf of Participant and further represent as follows, as evidenced by my initialing each representation in the space provided below:
Initial
1. All employees or agents transacting in markets or services provided pursuant to the PJM Tariff or PJM Amended and Restated Operating Agreement ("PJM Operating Agreement") on behalf of the Participant have received appropriate training and are authorized to transact on behalf of Participant. As used in this representation, the term "appropriate" as used with respect to training

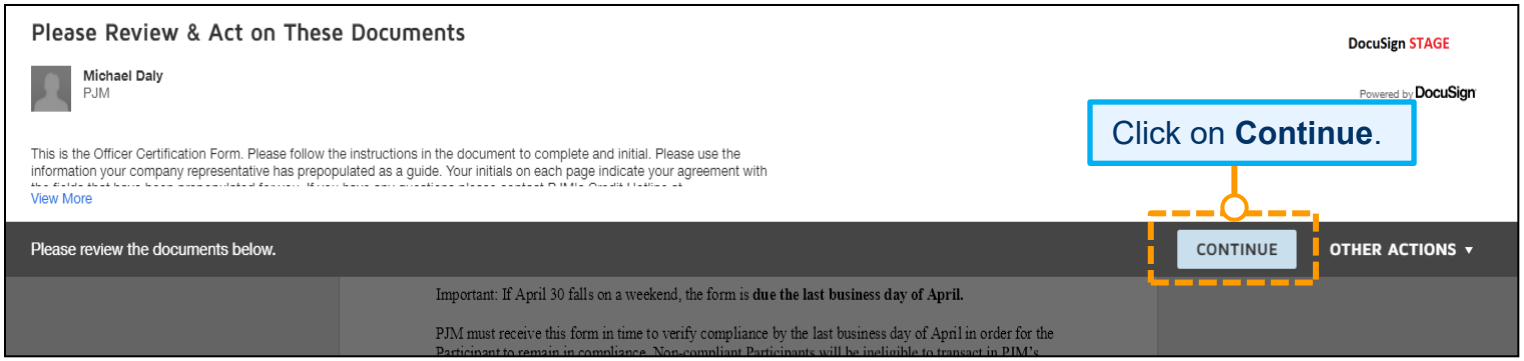

Adopt Your Initials
Confirm your name, initials, and signature.
* Required
Full Name*
Test OfficerDesignee
Initials*
TO
SELECT STYLE
DRAW
UPLOAD
PREVIEW
Change Style
DocuSigned by:
Test OfficerDesignee
816A261BDC964C6...
DS
TO
By selecting Adopt and Initial, I agree that the signature and initials will be the electronic representation of my signature and initials for all purposes when I (or my agent) use them on documents, including legally binding contracts - just the same as a pen-and-paper signature or initial.
ADOPT AND INITIAL
CANCEL
transactions and the nature and extent of the risk taken by the participant.

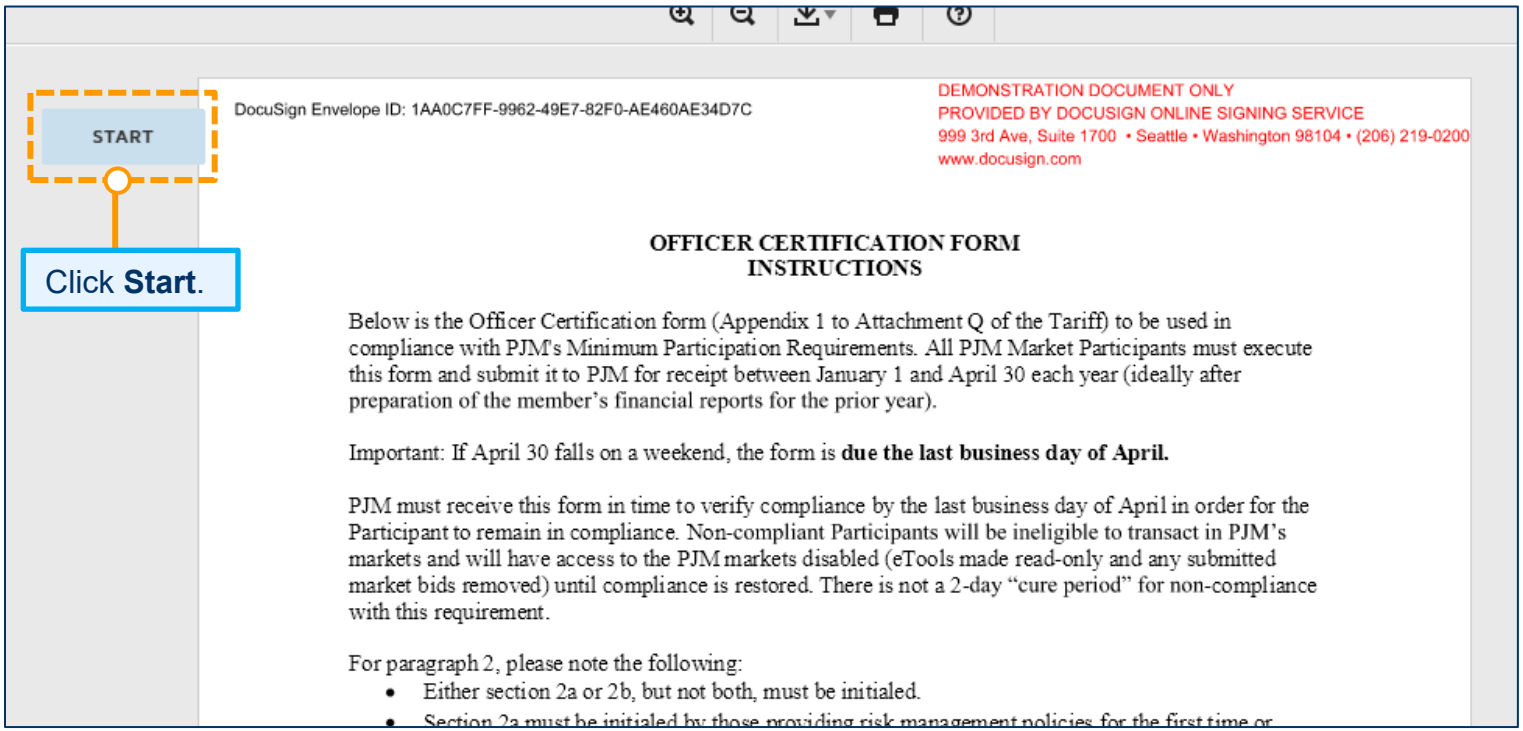

Initial on all required lines.
RequiredInitials AppliedInitials Applied
DS
TD
e. I certify that Participant has provided a surety bond of $5 million or more to PJM or
and/or PJMSettlement as described in Tariff,
ant acknowledges cannot be utilized to meet its
ent. I acknowledge that PJM and PJMSettlement
nd and my certification to maintain compliance
with federal regulatory requirements._____
7. I acknowledge that I have read and understood the provisions of Tariff, Attachment Q applicable to Participant's business in any PJM Markets, including those provisions describing PJM's Minimum Participation Requirements and the enforcement actions available to PJM and PJMSettlement of a Participant not satisfying those requirements. I acknowledge that the information provided herein is true and accurate to the best of my belief and knowledge after due investigation. In addition, by signing this certification, I acknowledge the potential consequences of making incomplete or false statements in this Certification._____
Date: _____
_____
Participant (Signature)
Print Name: _____
Title: _____
Officer Certification Form.docx
5 of 5
FINISH
Click Finish.
Ready to Finish?
You've completed the required fields. Review your work, then select FINISH.
FINISH

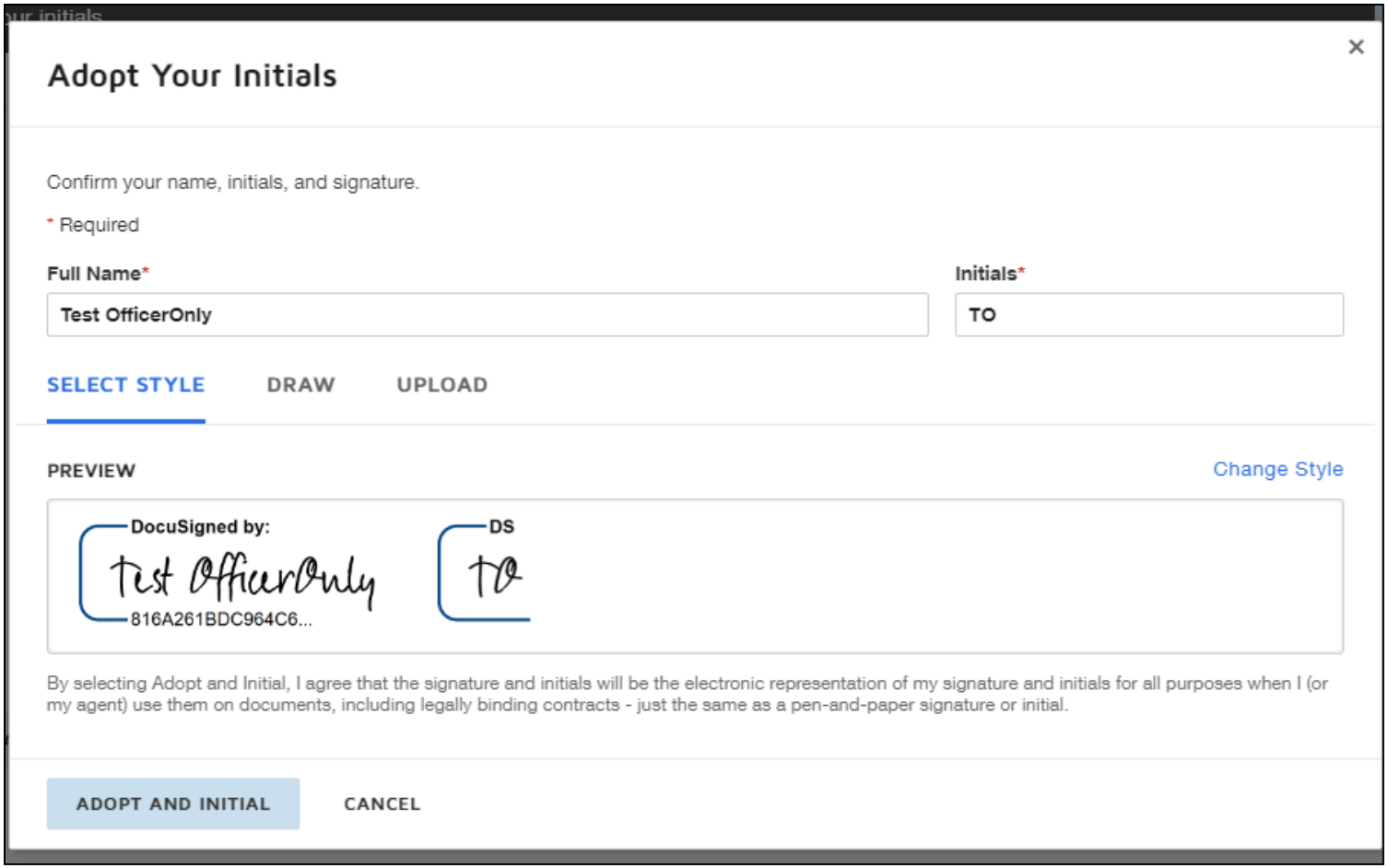
You're Done Signing
A copy of this document will be sent to your email address when completed by all signers. You can also download or print using the icons above.
CONTINUE
Click Continue.

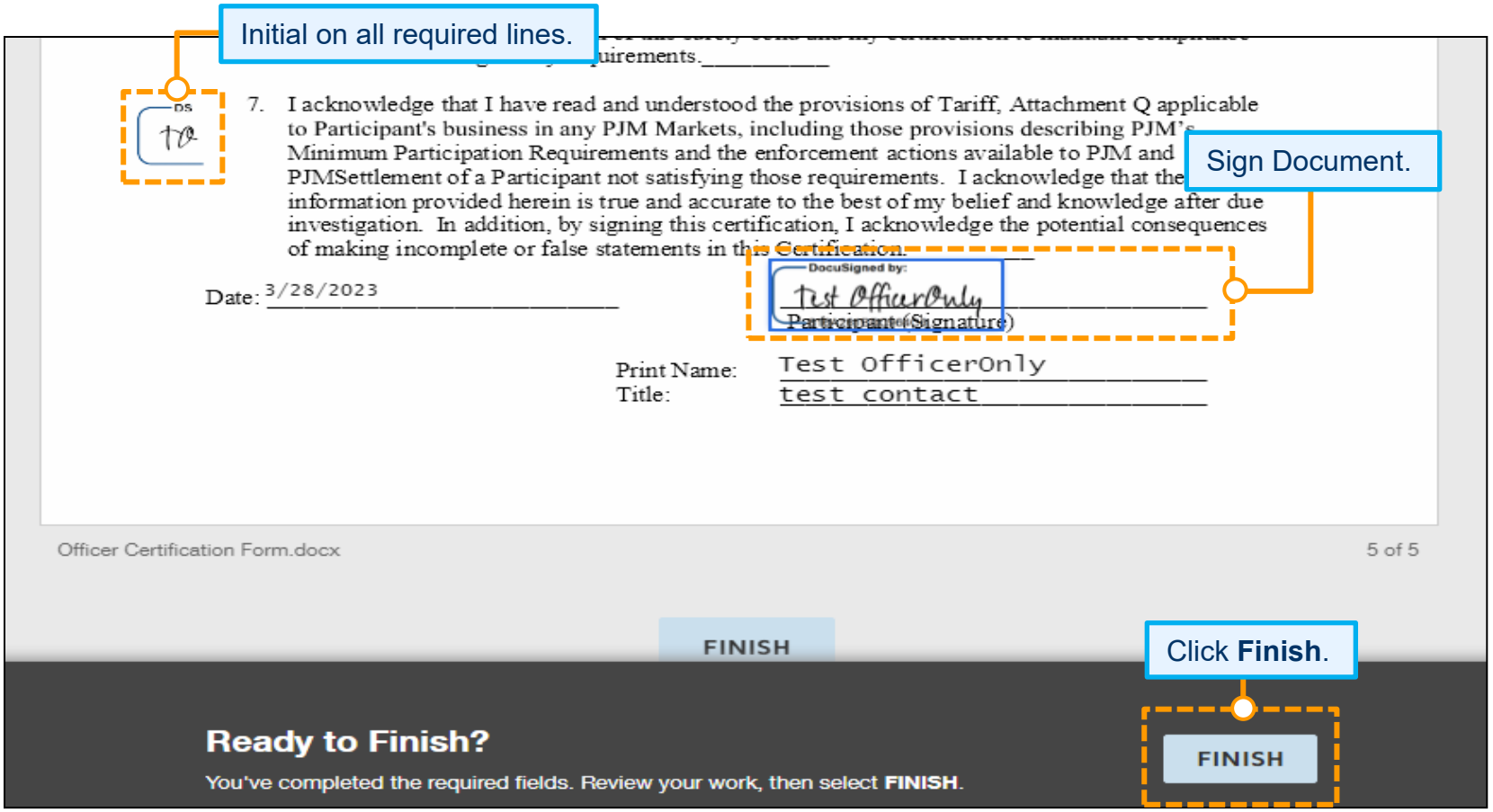

DocuSign
You've finished signing!
You'll receive an email copy once everyone has signed.
Access, track and store all your documents in DocuSign with a free 30-day trial account. No obligation, no credit card required.
Get Started

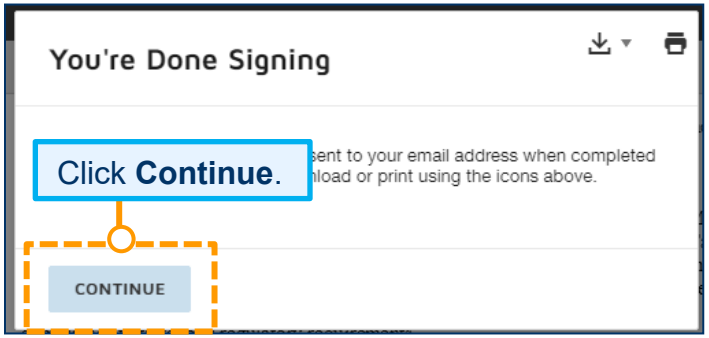

The Officer will receive an email with a DocuSign Form to complete.
Tue 3/28/2023 1:57 PM
DocuSign Demo System <dse_demo@docusign
Officer Certification Form
To Taraschi, Debbie
If there are problems with how this message is displayed, click here to view it in a web browser.
Click here to download pictures. To help protect your privacy, Outlook prevented automatic download of some pictures in this message.
External Email! Think before clicking links or attachments.
Contact the Support Center immediately if you click on a link or open an attachment that appears malicious.
Click on Review Document.
Michael Daly sent you a document to review and sign.
REVIEW DOCUMENT
Michael Daly
michael.daly@pjm.com
This is the Officer Certification Form. Please follow the instructions in the document to complete and initial. Please use the information your company representative has prepopulated as a guide. Your initials on each page indicate your agreement with the fields that have been prepopulated for you. If you have any questions please contact PJM's Credit Hotline at credit_hotline@pjm.com.
Powered by

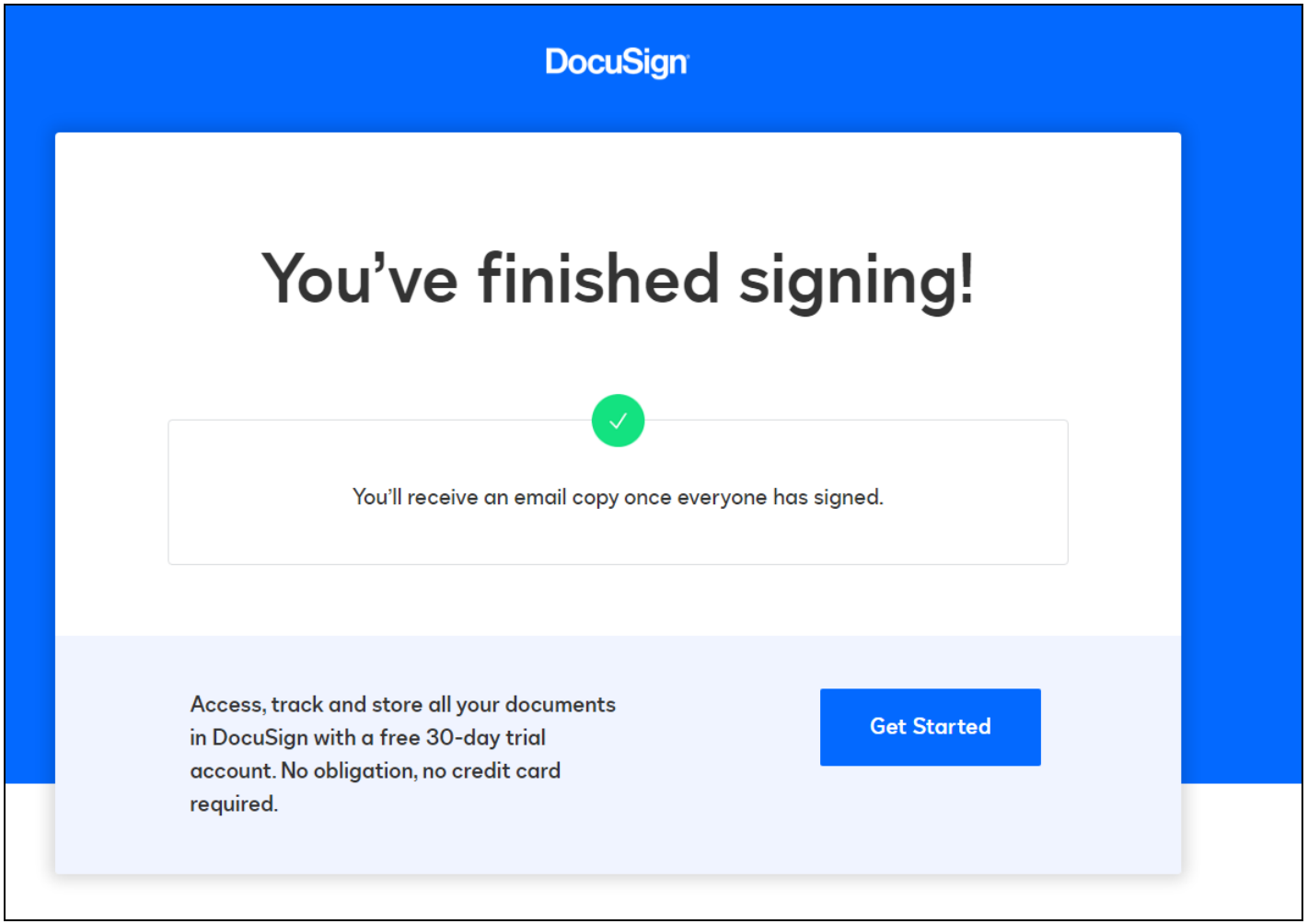

Please Review & Act on These Documents
DocuSign STAGE
Powered by DocuSign
Michael Daly
PJM
This is the Officer Certification Form. Please follow the instructions in the document to complete and initial. Please use the information your company representative has prepopulated as a guide. Your initials on each page indicate your agreement with
View More
Click on Continue.
Please review the documents below.
CONTINUE
OTHER ACTIONS
Important: If April 30 falls on a weekend, the form is due the last business day of April.
PJM must receive this form in time to verify compliance by the last business day of April in order for the


START
Click Start.
DocuSign Envelope ID: 1AA0C7FF-9962-49E7-82F0-AE460AE34D7C
DEMONSTRATION DOCUMENT ONLY
PROVIDED BY DOCUSIGN ONLINE SIGNING SERVICE
999 3rd Ave, Suite 1700 • Seattle • Washington 98104 • (206) 219-0200
www.docusign.com
OFFICER CERTIFICATION FORM
INSTRUCTIONS
Below is the Officer Certification form (Appendix 1 to Attachment Q of the Tariff) to be used in compliance with PJM's Minimum Participation Requirements. All PJM Market Participants must execute this form and submit it to PJM for receipt between January 1 and April 30 each year (ideally after preparation of the member's financial reports for the prior year).
Important: If April 30 falls on a weekend, the form is due the last business day of April.
PJM must receive this form in time to verify compliance by the last business day of April in order for the Participant to remain in compliance. Non-compliant Participants will be ineligible to transact in PJM's markets and will have access to the PJM markets disabled (eTools made read-only and any submitted market bids removed) until compliance is restored. There is not a 2-day "cure period" for non-compliance with this requirement.
For paragraph 2, please note the following:
Either section 2a or 2b, but not both, must be initialed.


Adopt Your Initials
Confirm your name, initials, and signature.
* Required
Full Name*
Test OfficerOnly
Initials*
TO
SELECT STYLE
DRAW
UPLOAD
PREVIEW
Change Style
DocuSigned by:
Test OfficerOnly
816A261BDC964C6...
DS
TO
By selecting Adopt and Initial, I agree that the signature and initials will be the electronic representation of my signature and initials for all purposes when I (or my agent) use them on documents, including legally binding contracts - just the same as a pen-and-paper signature or initial.
ADOPT AND INITIAL
CANCEL

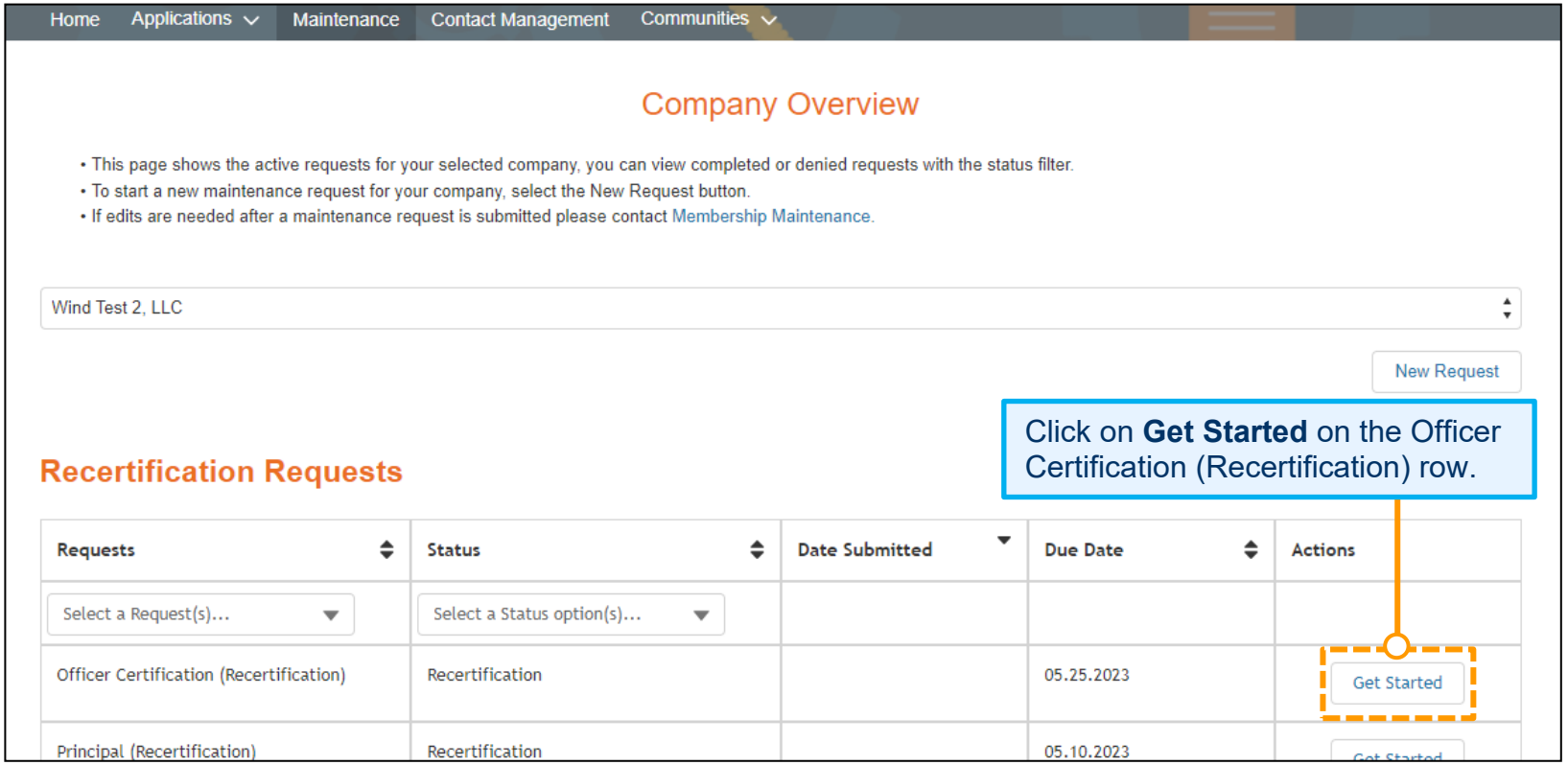

Initial on all required lines.
DS
TO
7. I acknowledge that I have read and understood the provisions of Tariff, Attachment Q applicable to Participant's business in any PJM Markets, including those provisions describing PJM's Minimum Participation Requirements and the enforcement actions available to PJM and PJMSettlement of a Participant not satisfying those requirements. I acknowledge that the information provided herein is true and accurate to the best of my belief and knowledge after due investigation. In addition, by signing this certification, I acknowledge the potential consequences of making incomplete or false statements in this Certification.
Sign Document.
DocuSigned by:
Test OfficerOnly
Participant Signature
Date: 3/28/2023
Print Name: Test OfficerOnly
Title: test contact
Officer Certification Form.docx
5 of 5
FINISH
Click Finish.
Ready to Finish?
You've completed the required fields. Review your work, then select FINISH.
FINISH

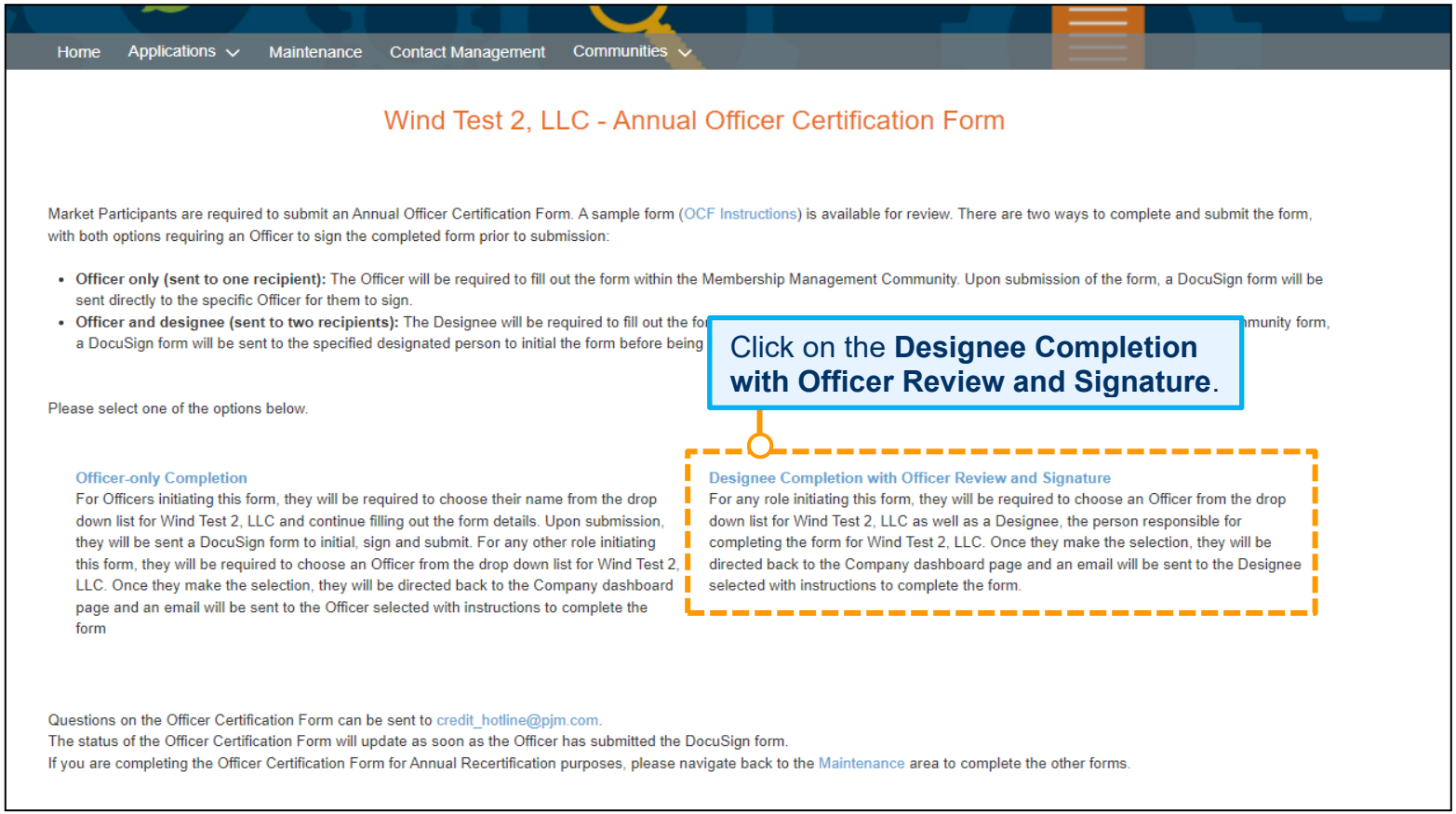

You're Done Signing
Click Continue.
sent to your email address when completed
nload or print using the icons above.
CONTINUE


DocuSign
You've finished signing!
You'll receive an email copy once everyone has signed.
Access, track and store all your documents in DocuSign with a free 30-day trial account. No obligation, no credit card required.
Get Started

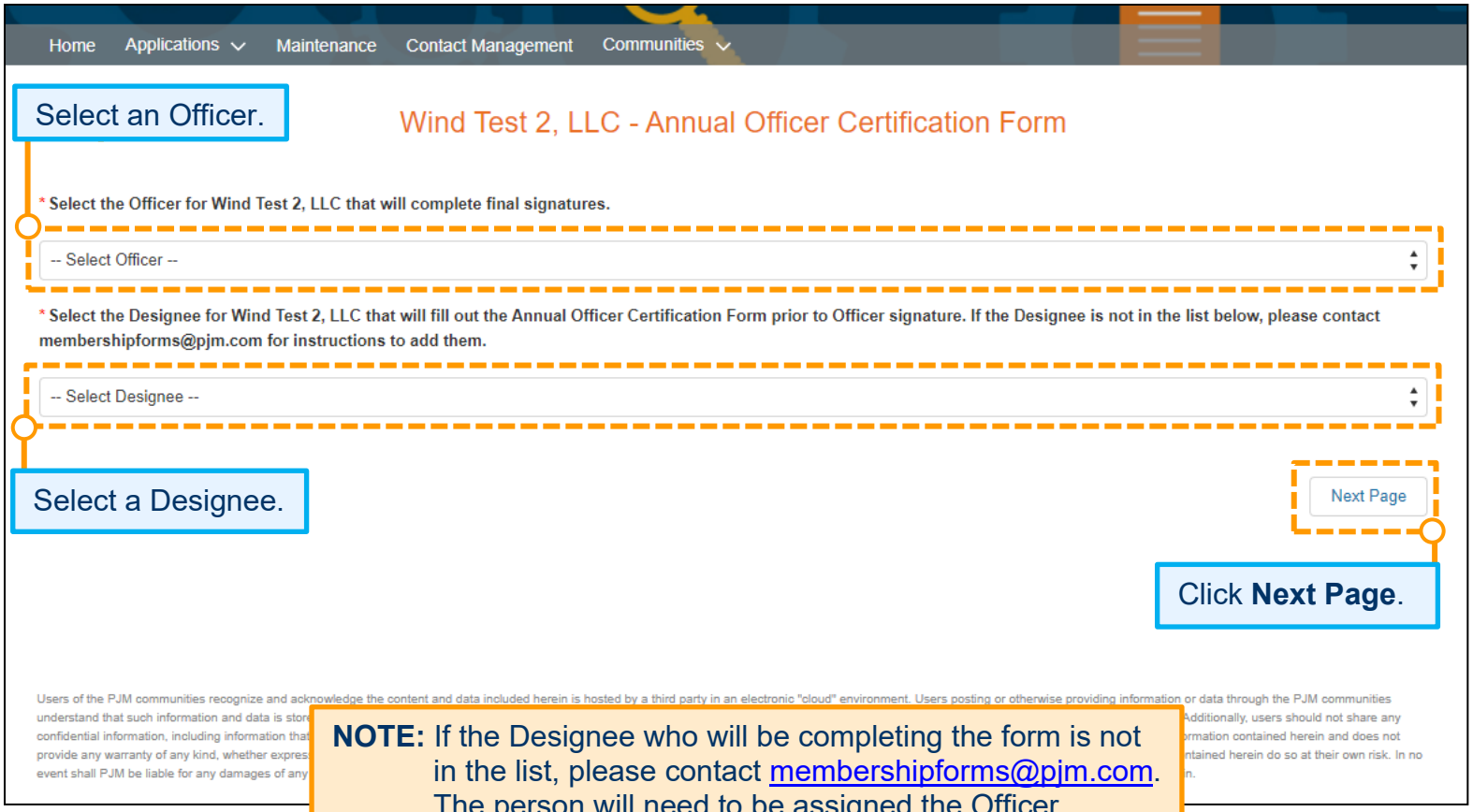
Designee Completion with Officer Review and Signature – Risk Policy on File

Any role initiating this form will be required to choose an Officer from the drop-down list, as well as a Designee, the person responsible for completing the form. Once they make the selection, they will be directed back to the Company dashboard page, and an email will be sent to the Designee selected with instructions to complete the form.

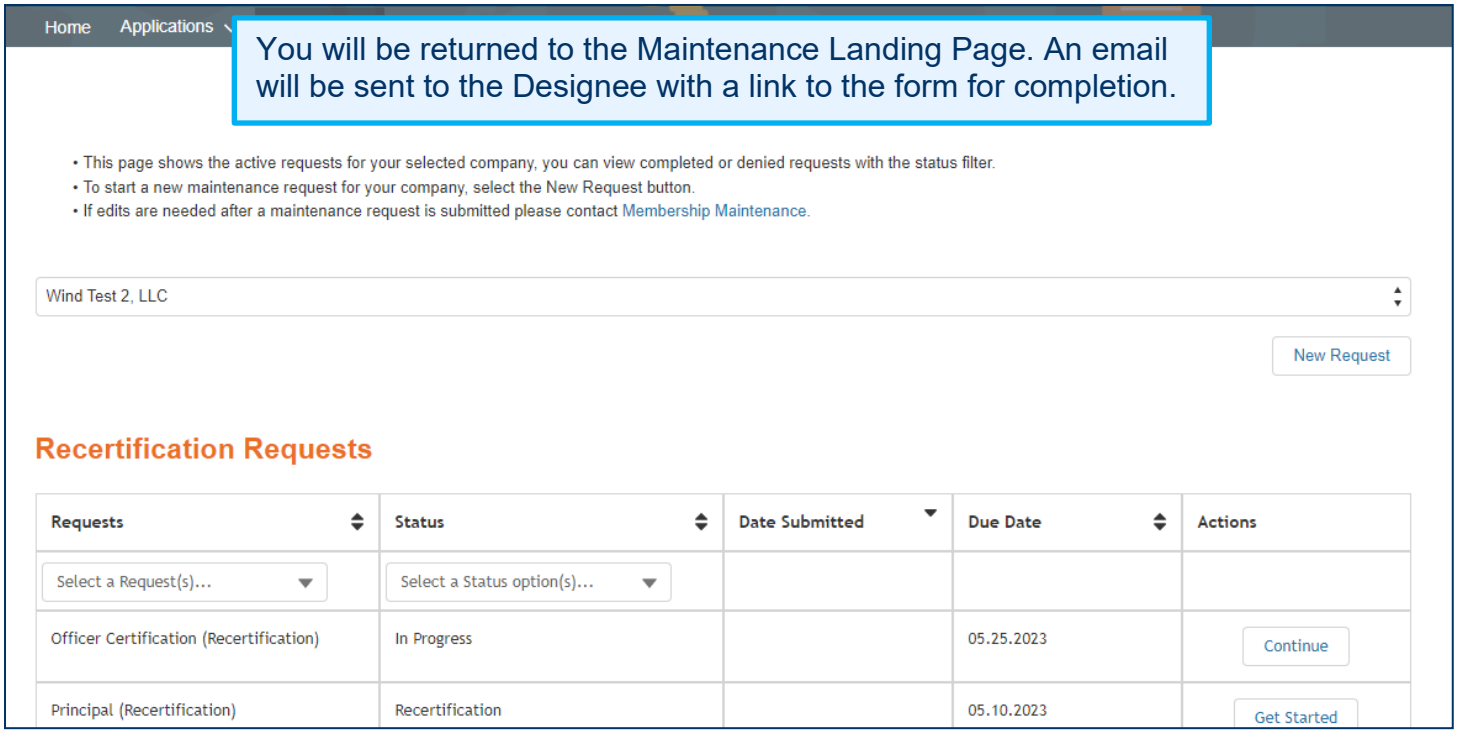

Home
Applications
Maintenance
Contact Management
Communities
Company Overview
• This page shows the active requests for your selected company, you can view completed or denied requests with the status filter.
• To start a new maintenance request for your company, select the New Request button.
• If edits are needed after a maintenance request is submitted please contact Membership Maintenance.
Wind Test 2, LLC
New Request
Click on Get Started on the Officer Certification (Recertification) row.
Recertification Requests
Requests
Status
Date Submitted
Due Date
Actions
Select a Request(s)...
Select a Status option(s)...
Officer Certification (Recertification)
Recertification
05.25.2023
Get Started
Principal (Recertification)
Recertification
05.10.2023

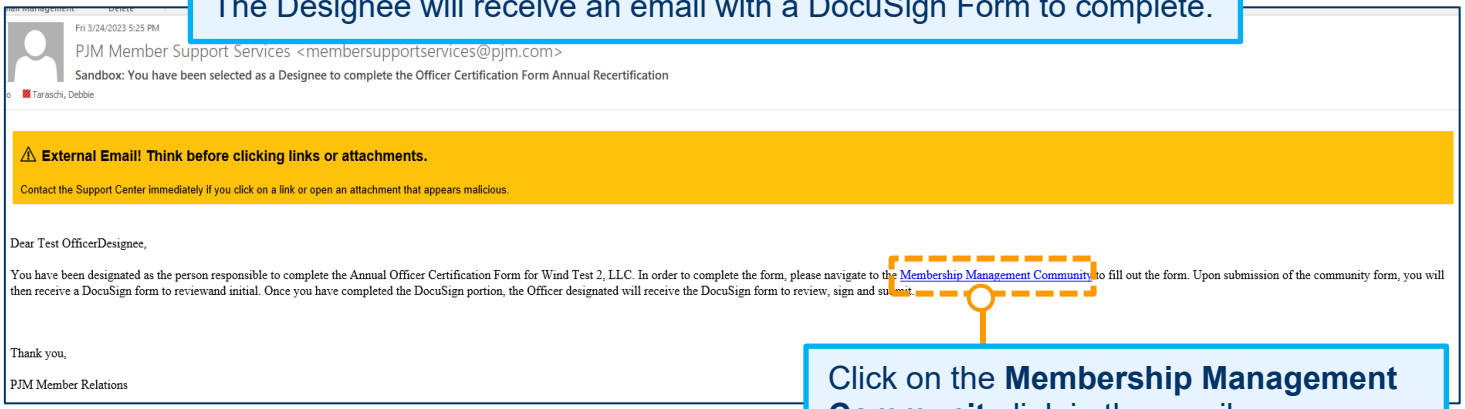


Click on the **Designee Completion with Officer Review and Signature**.

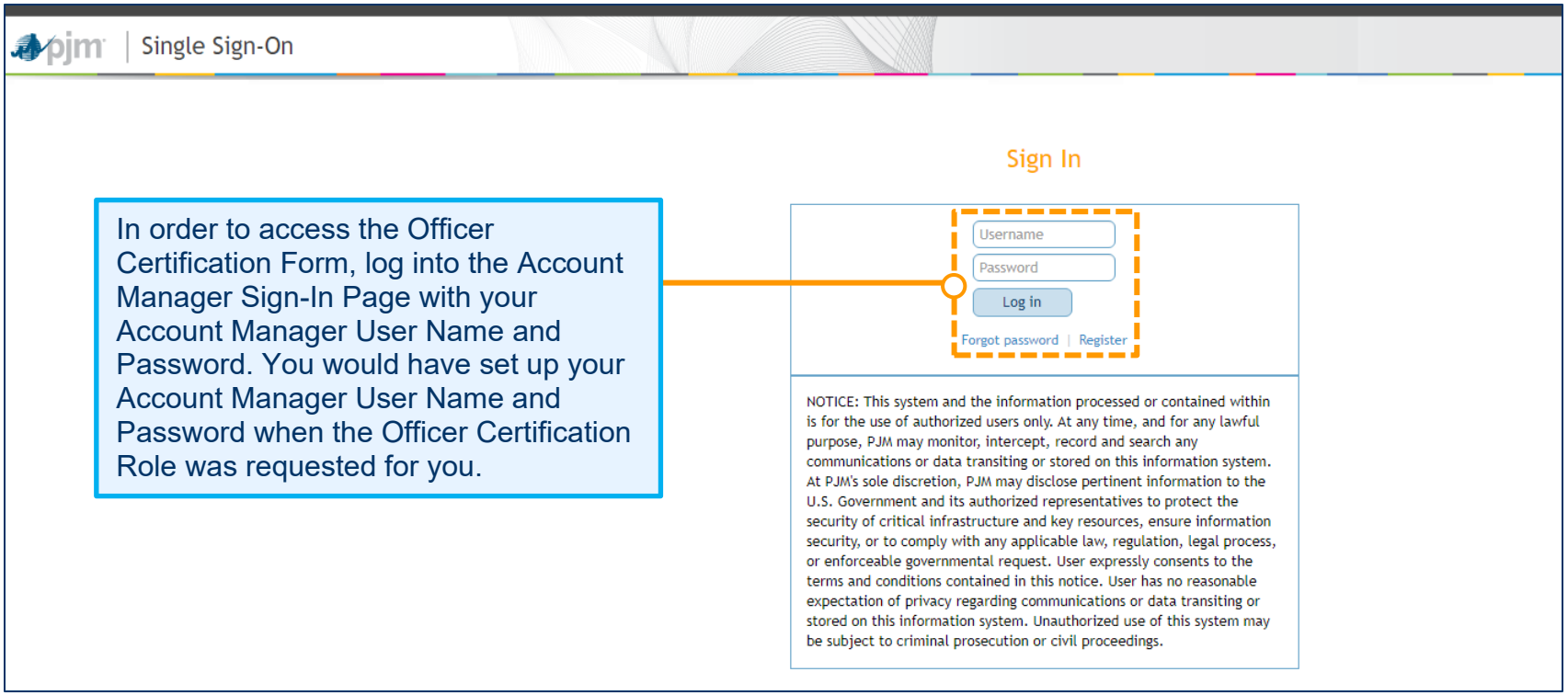


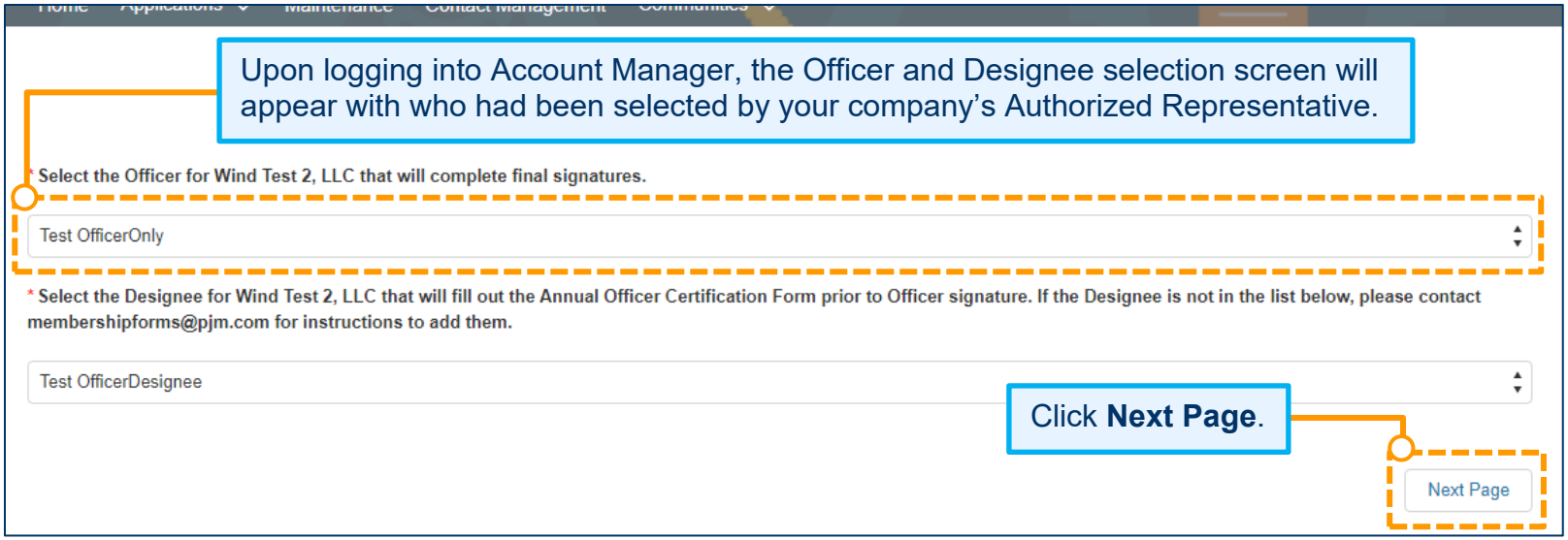
NOTE: If the Designee who will be completing the form is not in the list, please contact membershipforms@pjm.com. The person will need to be assigned the Officer Certification Form Role and set up a user in Account Manager in order to access the form for completion.

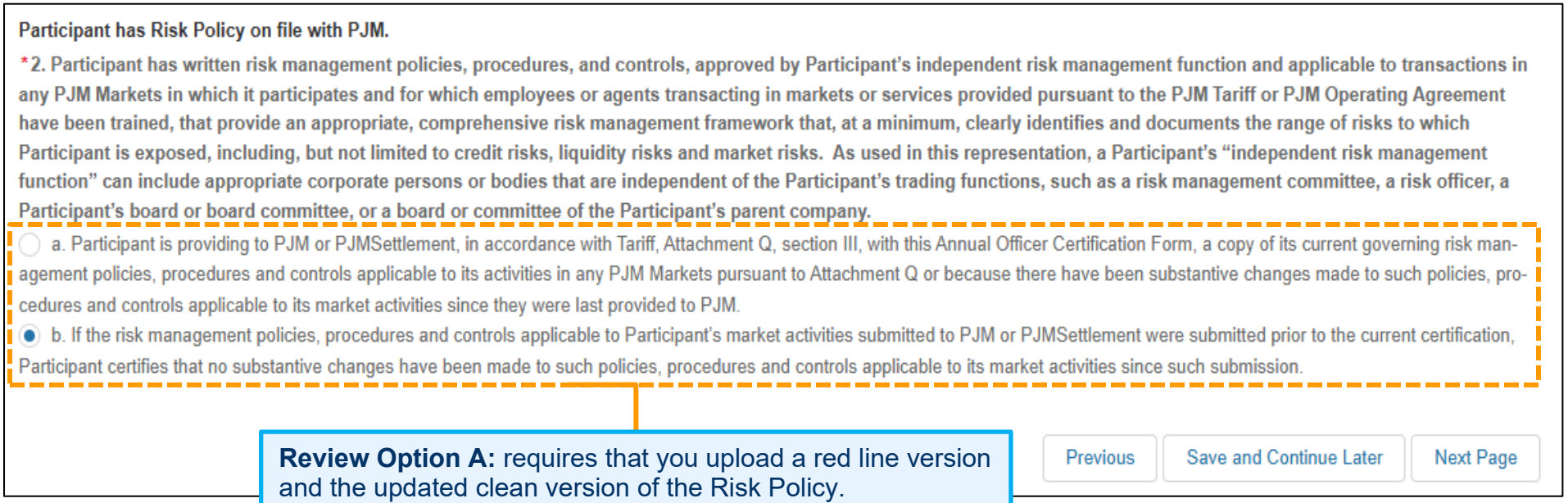

Home
Applications
You will be returned to the Maintenance Landing Page. An email will be sent to the Designee with a link to the form for completion.
• This page shows the active requests for your selected company, you can view completed or denied requests with the status filter.
• To start a new maintenance request for your company, select the New Request button.
• If edits are needed after a maintenance request is submitted please contact Membership Maintenance.
Wind Test 2, LLC
New Request
Recertification Requests
Requests
Status
Date Submitted
Due Date
Actions
Select a Request(s)...
Select a Status option(s)...
Officer Certification (Recertification)
In Progress
05.25.2023
Continue
Principal (Recertification)
Recertification
05.10.2023
Get Started


The Designee will receive an email with a DocuSign Form to complete.
Fri 3/24/2023 5:25 PM
PJM Member Support Services <membersupportservices@pjm.com>
Sandbox: You have been selected as a Designee to complete the Officer Certification Form Annual Recertification
Taraschi, Debbie
⚠ External Email! Think before clicking links or attachments.
Contact the Support Center immediately if you click on a link or open an attachment that appears malicious.
Dear Test OfficerDesignee,
You have been designated as the person responsible to complete the Annual Officer Certification Form for Wind Test 2, LLC. In order to complete the form, please navigate to the Membership Management Community to fill out the form. Upon submission of the community form, you will then receive a DocuSign form to reviewand initial. Once you have completed the DocuSign portion, the Officer designated will receive the DocuSign form to review, sign and submit.
Thank you,
PJM Member Relations
Click on the Membership Management Community link in the email.

In order to access the Officer Certification Form, log into the Account Manager Sign-In Page with your Account Manager User Name and Password. You would have set up your Account Manager User Name and Password when the Officer Certification Role was requested for you.

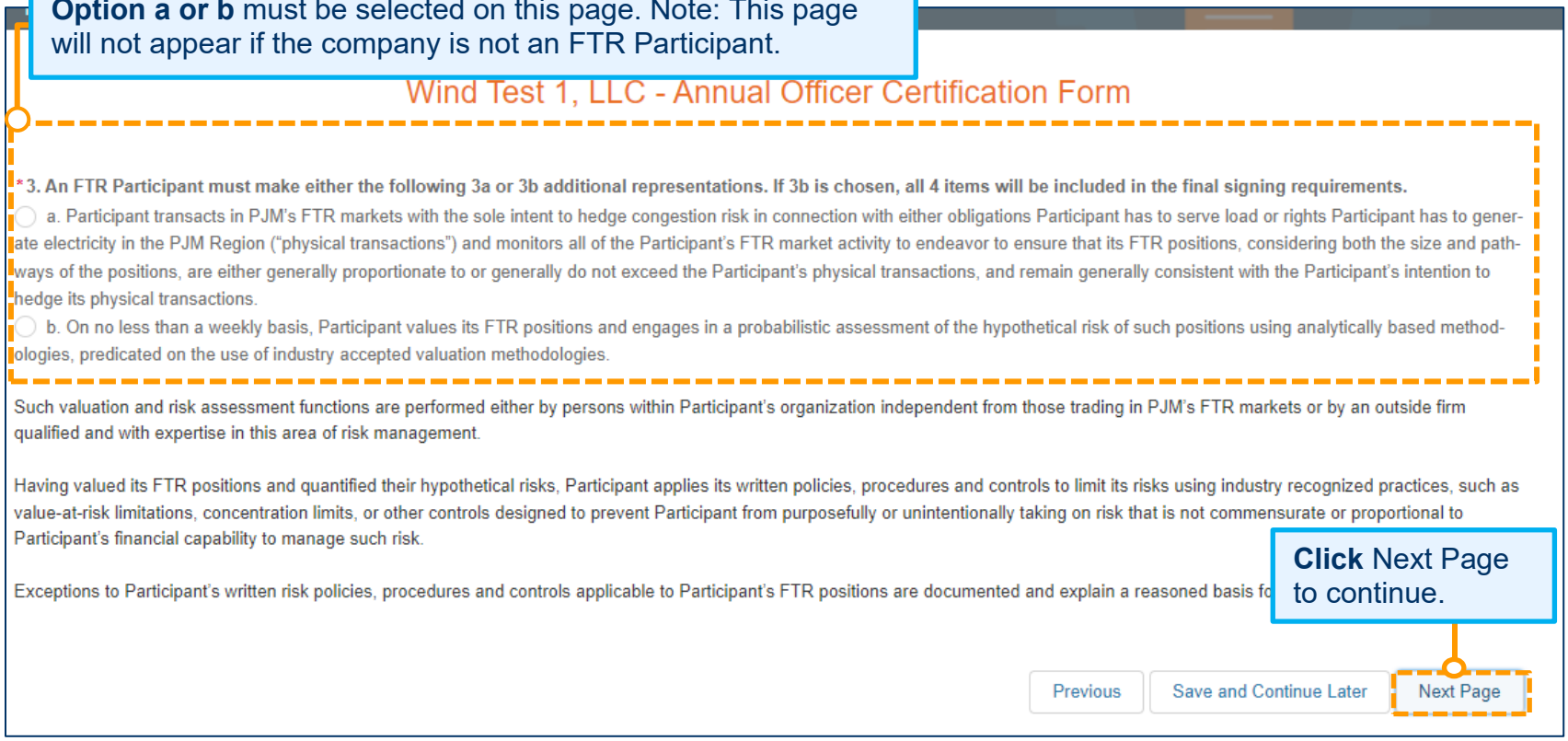


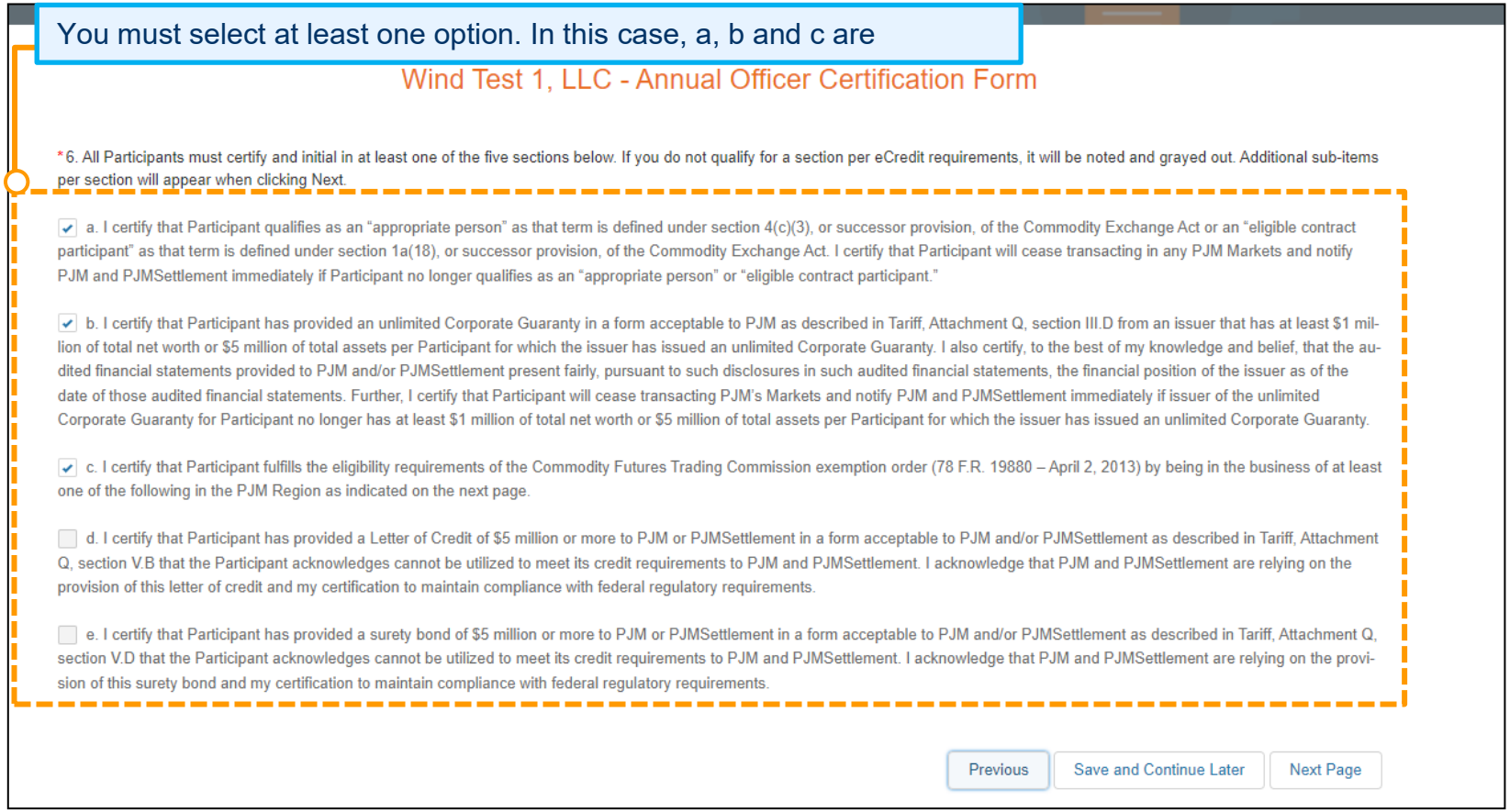

Upon logging into Account Manager, the Officer and Designee selection screen will appear with who had been selected by your company's Authorized Representative.
* Select the Officer for Wind Test 2, LLC that will complete final signatures.
Test OfficerOnly
* Select the Designee for Wind Test 2, LLC that will fill out the Annual Officer Certification Form prior to Officer signature. If the Designee is not in the list below, please contact membershipforms@pjm.com for instructions to add them.
Test OfficerDesignee
Click Next Page.
Next Page

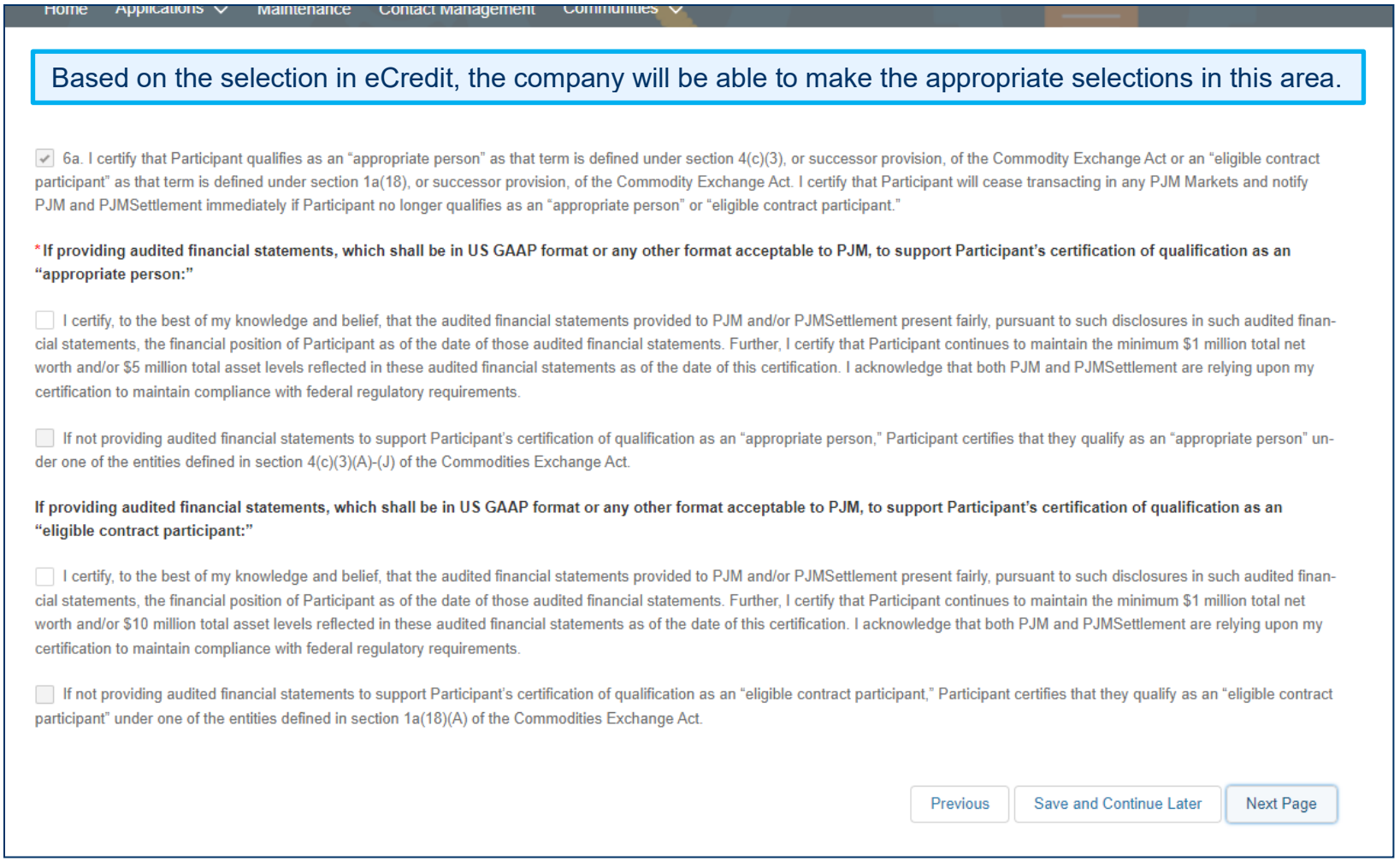


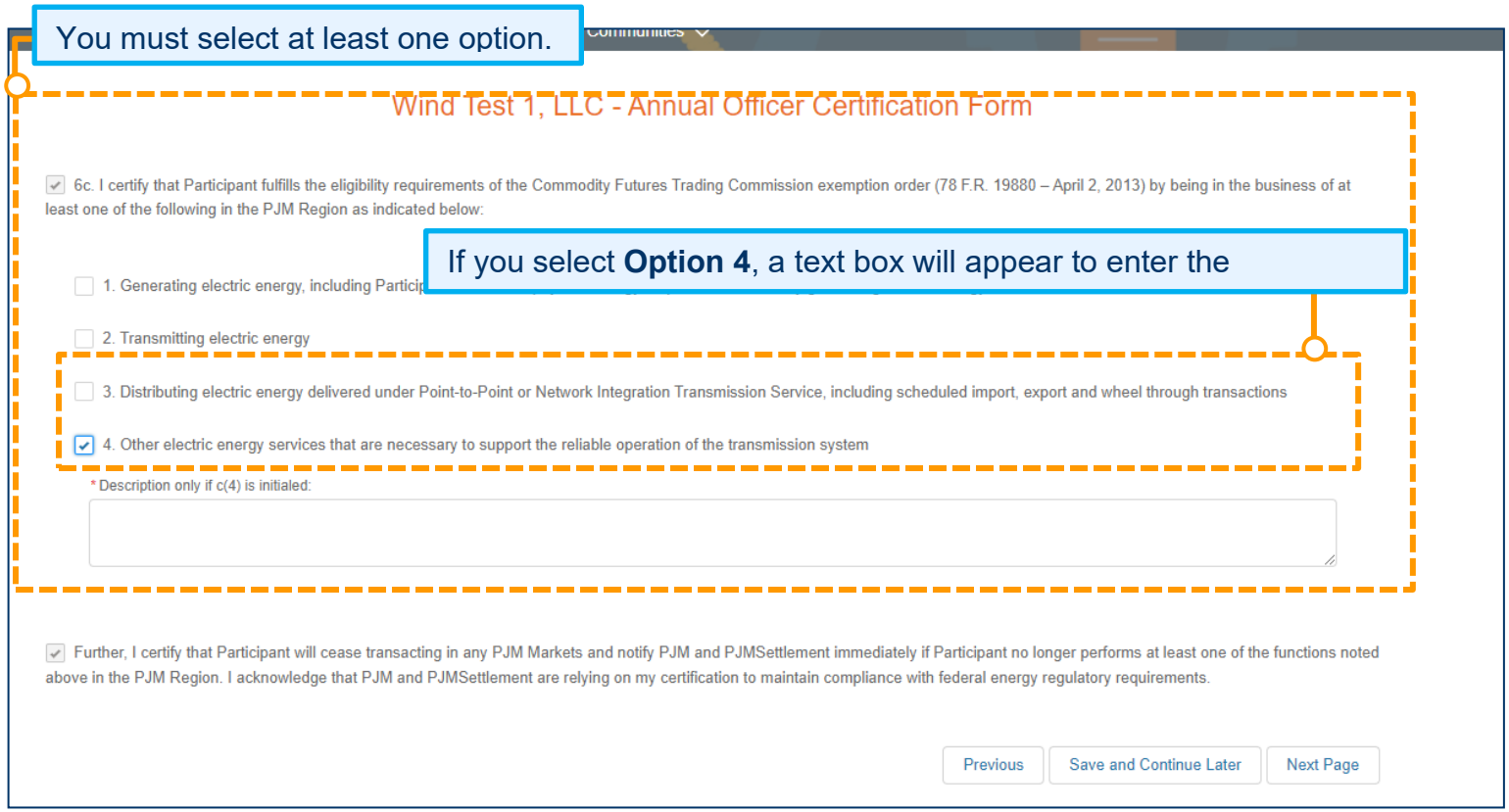
Review Option A: requires that you upload a red line version and the updated clean version of the Risk Policy.

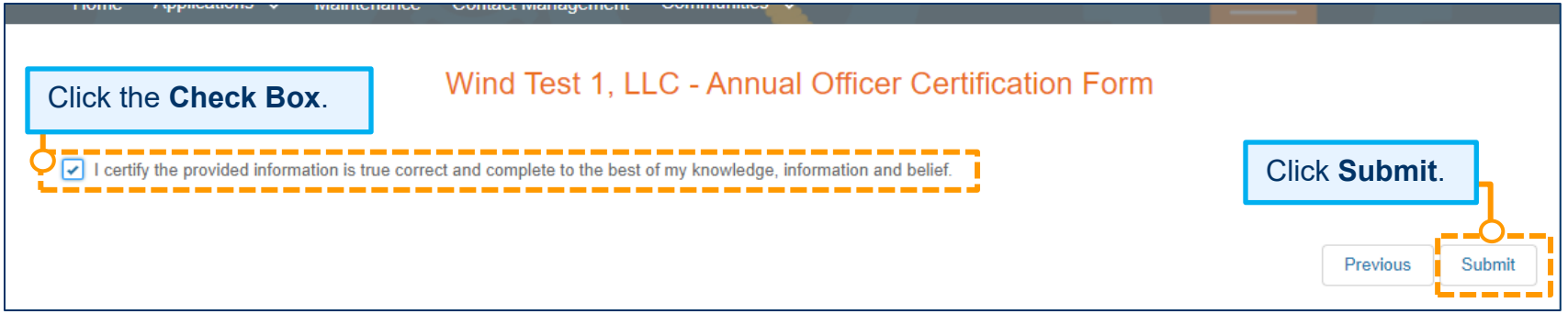
Option B: requires that you only upload a clean version of the Risk Policy.

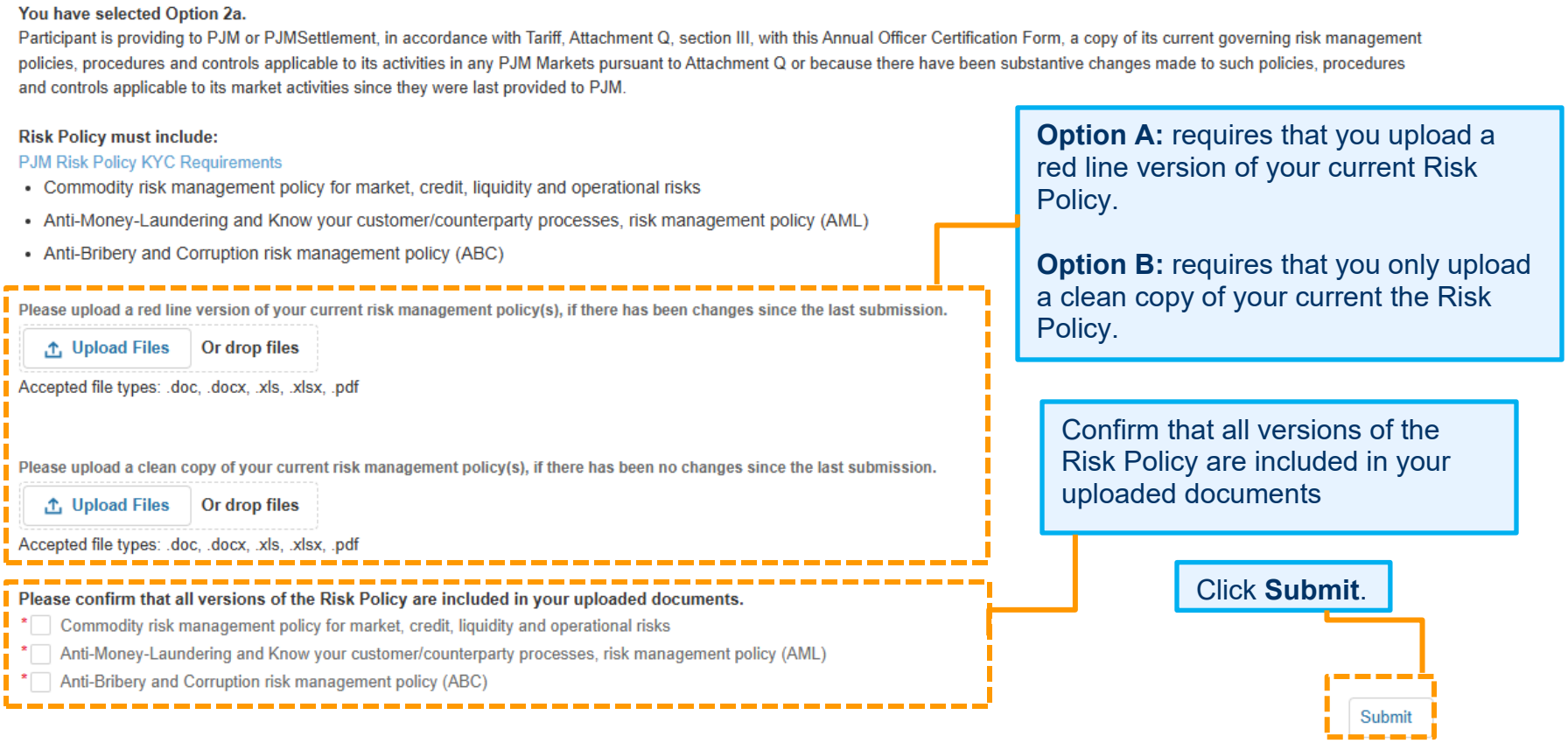

Option a or b must be selected on this page. Note: This page will not appear if the company is not an FTR Participant.
Wind Test 1, LLC - Annual Officer Certification Form
*3. An FTR Participant must make either the following 3a or 3b additional representations. If 3b is chosen, all 4 items will be included in the final signing requirements.
a. Participant transacts in PJM's FTR markets with the sole intent to hedge congestion risk in connection with either obligations Participant has to serve load or rights Participant has to generate electricity in the PJM Region ("physical transactions") and monitors all of the Participant's FTR market activity to endeavor to ensure that its FTR positions, considering both the size and pathways of the positions, are either generally proportionate to or generally do not exceed the Participant's physical transactions, and remain generally consistent with the Participant's intention to hedge its physical transactions.
b. On no less than a weekly basis, Participant values its FTR positions and engages in a probabilistic assessment of the hypothetical risk of such positions using analytically based methodologies, predicated on the use of industry accepted valuation methodologies.
Such valuation and risk assessment functions are performed either by persons within Participant's organization independent from those trading in PJM's FTR markets or by an outside firm qualified and with expertise in this area of risk management.
Having valued its FTR positions and quantified their hypothetical risks, Participant applies its written policies, procedures and controls to limit its risks using industry recognized practices, such as value-at-risk limitations, concentration limits, or other controls designed to prevent Participant from purposefully or unintentionally taking on risk that is not commensurate or proportional to Participant's financial capability to manage such risk.
Exceptions to Participant's written risk policies, procedures and controls applicable to Participant's FTR positions are documented and explain a reasoned basis fo
Click Next Page to continue.
Previous
Save and Continue Later
Next Page


You must select at least one option. In this case, a, b and c are
Wind Test 1, LLC - Annual Officer Certification Form
*6. All Participants must certify and initial in at least one of the five sections below. If you do not qualify for a section per eCredit requirements, it will be noted and grayed out. Additional sub-items per section will appear when clicking Next.
a. I certify that Participant qualifies as an "appropriate person" as that term is defined under section 4(c)(3), or successor provision, of the Commodity Exchange Act or an "eligible contract participant" as that term is defined under section 1a(18), or successor provision, of the Commodity Exchange Act. I certify that Participant will cease transacting in any PJM Markets and notify PJM and PJMSettlement immediately if Participant no longer qualifies as an "appropriate person" or "eligible contract participant."
b. I certify that Participant has provided an unlimited Corporate Guaranty in a form acceptable to PJM as described in Tariff, Attachment Q, section III.D from an issuer that has at least $1 million of total net worth or $5 million of total assets per Participant for which the issuer has issued an unlimited Corporate Guaranty. I also certify, to the best of my knowledge and belief, that the audited financial statements provided to PJM and/or PJMSettlement present fairly, pursuant to such disclosures in such audited financial statements, the financial position of the issuer as of the date of those audited financial statements. Further, I certify that Participant will cease transacting PJM's Markets and notify PJM and PJMSettlement immediately if issuer of the unlimited Corporate Guaranty for Participant no longer has at least $1 million of total net worth or $5 million of total assets per Participant for which the issuer has issued an unlimited Corporate Guaranty.
c. I certify that Participant fulfills the eligibility requirements of the Commodity Futures Trading Commission exemption order (78 F.R. 19880 – April 2, 2013) by being in the business of at least one of the following in the PJM Region as indicated on the next page.
d. I certify that Participant has provided a Letter of Credit of $5 million or more to PJM or PJMSettlement in a form acceptable to PJM and/or PJMSettlement as described in Tariff, Attachment Q, section V.B that the Participant acknowledges cannot be utilized to meet its credit requirements to PJM and PJMSettlement. I acknowledge that PJM and PJMSettlement are relying on the provision of this letter of credit and my certification to maintain compliance with federal regulatory requirements.
e. I certify that Participant has provided a surety bond of $5 million or more to PJM or PJMSettlement in a form acceptable to PJM and/or PJMSettlement as described in Tariff, Attachment Q, section V.D that the Participant acknowledges cannot be utilized to meet its credit requirements to PJM and PJMSettlement. I acknowledge that PJM and PJMSettlement are relying on the provision of this surety bond and my certification to maintain compliance with federal regulatory requirements.
Previous
Save and Continue Later
Next Page

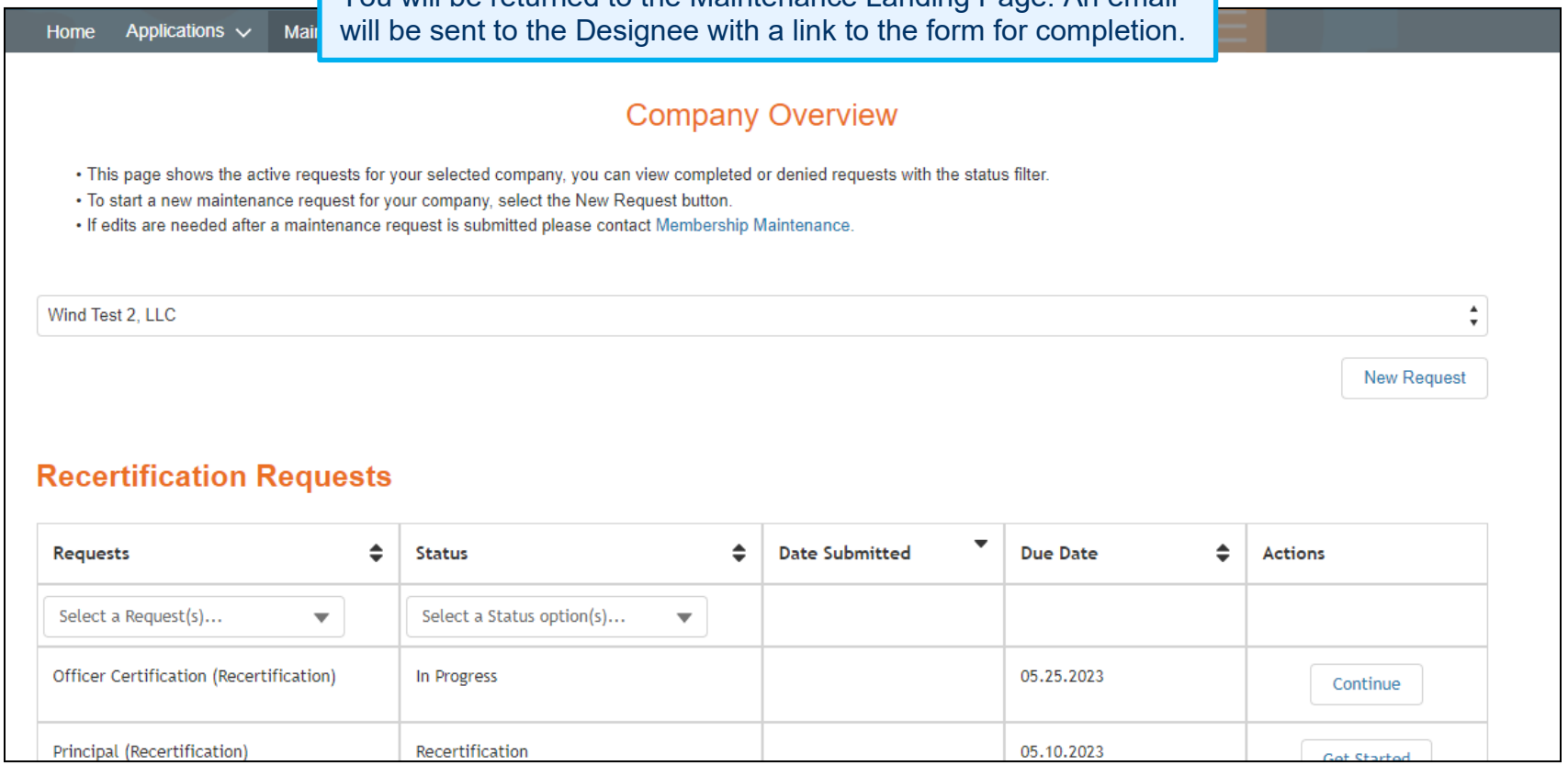

Home
Applications
Maintenance
Contact Management
Communities
Based on the selection in eCredit, the company will be able to make the appropriate selections in this area.
6a. I certify that Participant qualifies as an "appropriate person" as that term is defined under section 4(c)(3), or successor provision, of the Commodity Exchange Act or an "eligible contract participant" as that term is defined under section 1a(18), or successor provision, of the Commodity Exchange Act. I certify that Participant will cease transacting in any PJM Markets and notify PJM and PJMSettlement immediately if Participant no longer qualifies as an "appropriate person" or "eligible contract participant."
*If providing audited financial statements, which shall be in US GAAP format or any other format acceptable to PJM, to support Participant's certification of qualification as an "appropriate person:"
I certify, to the best of my knowledge and belief, that the audited financial statements provided to PJM and/or PJMSettlement present fairly, pursuant to such disclosures in such audited financial statements, the financial position of Participant as of the date of those audited financial statements. Further, I certify that Participant continues to maintain the minimum $1 million total net worth and/or $5 million total asset levels reflected in these audited financial statements as of the date of this certification. I acknowledge that both PJM and PJMSettlement are relying upon my certification to maintain compliance with federal regulatory requirements.
If not providing audited financial statements to support Participant's certification of qualification as an "appropriate person," Participant certifies that they qualify as an "appropriate person" under one of the entities defined in section 4(c)(3)(A)-(J) of the Commodities Exchange Act.
If providing audited financial statements, which shall be in US GAAP format or any other format acceptable to PJM, to support Participant's certification of qualification as an "eligible contract participant:"
I certify, to the best of my knowledge and belief, that the audited financial statements provided to PJM and/or PJMSettlement present fairly, pursuant to such disclosures in such audited financial statements, the financial position of Participant as of the date of those audited financial statements. Further, I certify that Participant continues to maintain the minimum $1 million total net worth and/or $10 million total asset levels reflected in these audited financial statements as of the date of this certification. I acknowledge that both PJM and PJMSettlement are relying upon my certification to maintain compliance with federal regulatory requirements.
If not providing audited financial statements to support Participant's certification of qualification as an "eligible contract participant," Participant certifies that they qualify as an "eligible contract participant" under one of the entities defined in section 1a(18)(A) of the Commodities Exchange Act.
Previous
Save and Continue Later
Next Page


You must select at least one option.
Wind Test 1, LLC - Annual Officer Certification Form
6c. I certify that Participant fulfills the eligibility requirements of the Commodity Futures Trading Commission exemption order (78 F.R. 19880 – April 2, 2013) by being in the business of at least one of the following in the PJM Region as indicated below:
If you select Option 4, a text box will appear to enter the
1. Generating electric energy, including Partici
2. Transmitting electric energy
3. Distributing electric energy delivered under Point-to-Point or Network Integration Transmission Service, including scheduled import, export and wheel through transactions
4. Other electric energy services that are necessary to support the reliable operation of the transmission system
* Description only if c(4) is initialed:
Further, I certify that Participant will cease transacting in any PJM Markets and notify PJM and PJMSettlement immediately if Participant no longer performs at least one of the functions noted above in the PJM Region. I acknowledge that PJM and PJMSettlement are relying on my certification to maintain compliance with federal energy regulatory requirements.
Previous
Save and Continue Later
Next Page


Click the **Check Box**.
Wind Test 1, LLC - Annual Officer Certification Form
I certify the provided information is true correct and complete to the best of my knowledge, information and belief.
Click **Submit**.
Previous
Submit


You have selected Option 2a.
Participant is providing to PJM or PJMSettlement, in accordance with Tariff, Attachment Q, section III, with this Annual Officer Certification Form, a copy of its current governing risk management policies, procedures and controls applicable to its activities in any PJM Markets pursuant to Attachment Q or because there have been substantive changes made to such policies, procedures and controls applicable to its market activities since they were last provided to PJM.
Risk Policy must include:
PJM Risk Policy KYC Requirements
• Commodity risk management policy for market, credit, liquidity and operational risks
• Anti-Money-Laundering and Know your customer/counterparty processes, risk management policy (AML)
• Anti-Bribery and Corruption risk management policy (ABC)
Option A: requires that you upload a red line version of your current Risk Policy.
Option B: requires that you only upload a clean copy of your current the Risk Policy.
Please upload a red line version of your current risk management policy(s), if there has been changes since the last submission.
Upload Files
Or drop files
Accepted file types: .doc, .docx, .xls, .xlsx, .pdf
Please upload a clean copy of your current risk management policy(s), if there has been no changes since the last submission.
Upload Files
Or drop files
Accepted file types: .doc, .docx, .xls, .xlsx, .pdf
Confirm that all versions of the Risk Policy are included in your uploaded documents
Please confirm that all versions of the Risk Policy are included in your uploaded documents.
* Commodity risk management policy for market, credit, liquidity and operational risks
* Anti-Money-Laundering and Know your customer/counterparty processes, risk management policy (AML)
* Anti-Bribery and Corruption risk management policy (ABC)
Click **Submit**.
Submit

You will be returned to the Maintenance Landing Page. An email will be sent to the Designee with a link to the form for completion.



Please refer to the instructions on pages 39 to 48 for next steps.