

Annual Recertification Officer Certification User Guide



October 2024

Contents

<i>Officers Only – No Risk Policy on File</i>	<i>1</i>
<i>Officers Only – Risk Policy on File</i>	<i>18</i>
<i>Designee Completion with Officer Review and Signature – No Risk Policy on File.....</i>	<i>27</i>
<i>Designee Completion with Officer Review and Signature – Risk Policy on File</i>	<i>52</i>

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)

Sign in.

Select **Maintenance** on the top navigation.

Search for knowledge articles... Search

Home Applications **Maintenance** Contact Management Communities

Wind Test 1, LLC

Choose the company for which you wish to certify. Click on **Get Started** for Officer Certification.

Recertification Requests

Requests	Status	Date Submitted	Due Date	Actions
Select a Request(s)...	Select a Status option(s)...			
Officer Certification (Recertification)	Recertification		12.30.2022	Get Started
Principal (Recertification)	Recertification		12.15.2022	Get Started
CAM (Recertification)	Recertification		12.15.2022	Get Started
Related Parties (Recertification)	Recertification		12.15.2022	Get Started
Affiliate Disclosure (Recertification)	Recertification		12.15.2022	Get Started

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.

Annual Recertification Officer Certification User Guide

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:

- 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 version of the Risk Policy

 Upload Files

Or drop files

Upload your Risk Policy here.

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)

Confirm that your Policy has all of the requirements and then click **Submit**. After submitting your Risk Policy, navigate to your previous tab.

Submit

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.

Navigate to the [Risk Policy Upload](#) page to upload your updated Risk Policy document(s).

Risk Policy must include:

- 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 **Next Page** to continue the Officer Certification Form.

Previous

Save and Continue Later

Next Page

Home Applications Maintenance Contact Management Communities

Participant Certification Form

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

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

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

LLC - Annual Officer Certification Form

You must select at least one option.

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

If you select Option 4, a text box will appear to enter the

*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](#)

Annual Recertification Officer Certification User Guide

Search for knowledge articles... Search Test Officer...

Home Applications Maintenance Contact Management Communities

Wind Test 1, LLC - Annual Officer Certification Form

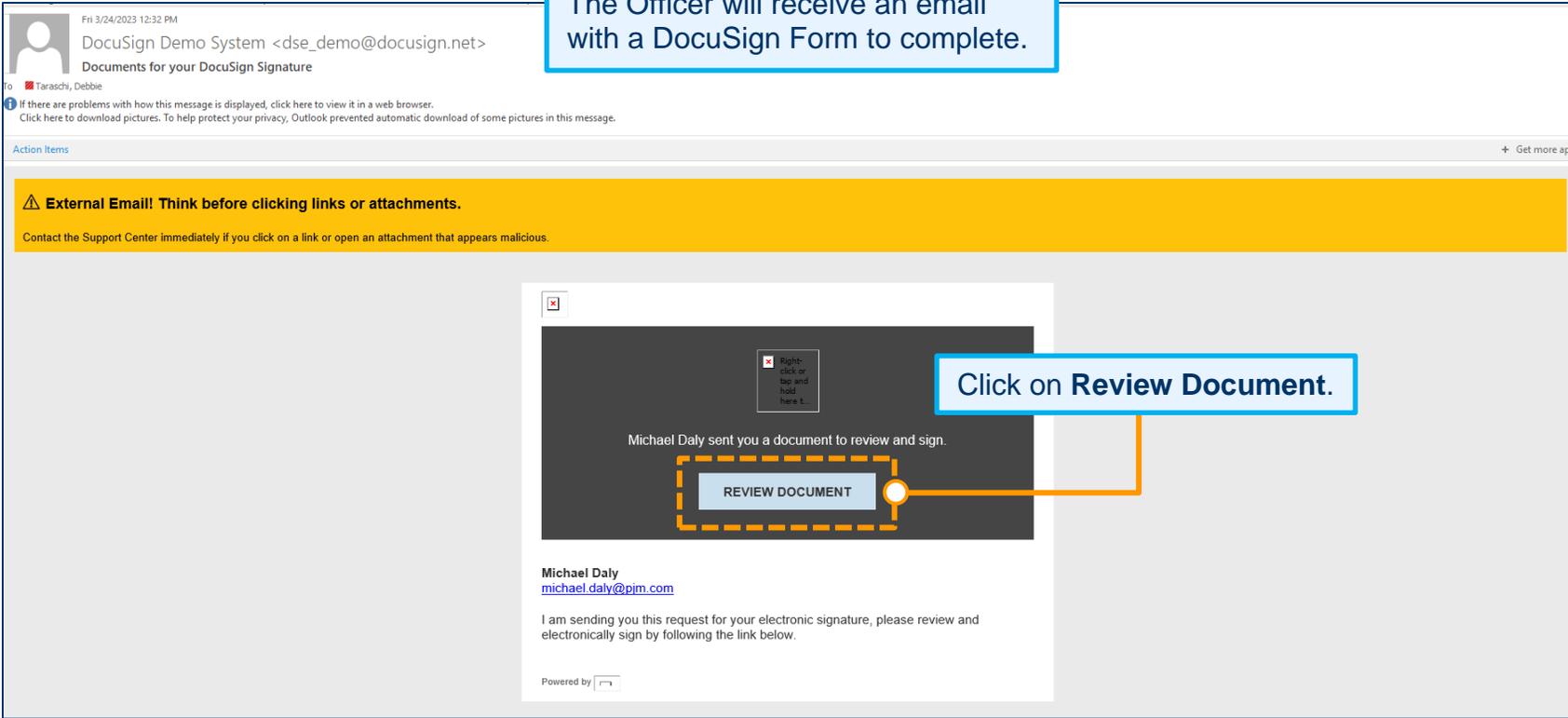
I certify the provided information is true correct and complete to the best of my knowledge, information and belief.

Click **Submit.**

Previous Submit

Annual Recertification Officer Certification User Guide

The Officer 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.

Click on **Start** to begin initialing the document.

DocuSign Envelope ID: 5FBD5039-566B-48D0-BF8B-0037AF262046

DEMONSTRATION DOCUMENT ONLY
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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* **Initials***

[SELECT STYLE](#) [DRAW](#) [UPLOAD](#)

PREVIEW [Change Style](#)

DocuSigned by:

Test OfficerOnly DS
816A261BDC964C6... *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](#)

Annual Recertification Officer Certification User Guide

Initial on all required lines.

Initial

Sign Document.

Click Finish.

FINISH

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 requirements. I acknowledge that the
information provided herein is true and accurate to the best of my knowledge and belief after due
investigation. In addition, by signing this certification, I acknowledge the potential consequences
of making incomplete or false statements in this Certification.

Date: 3/24/2023

DocuSigned by:
Test OfficerOnly
Participant (Signature)

Print Name: Test OfficerOnly
Title: test contact

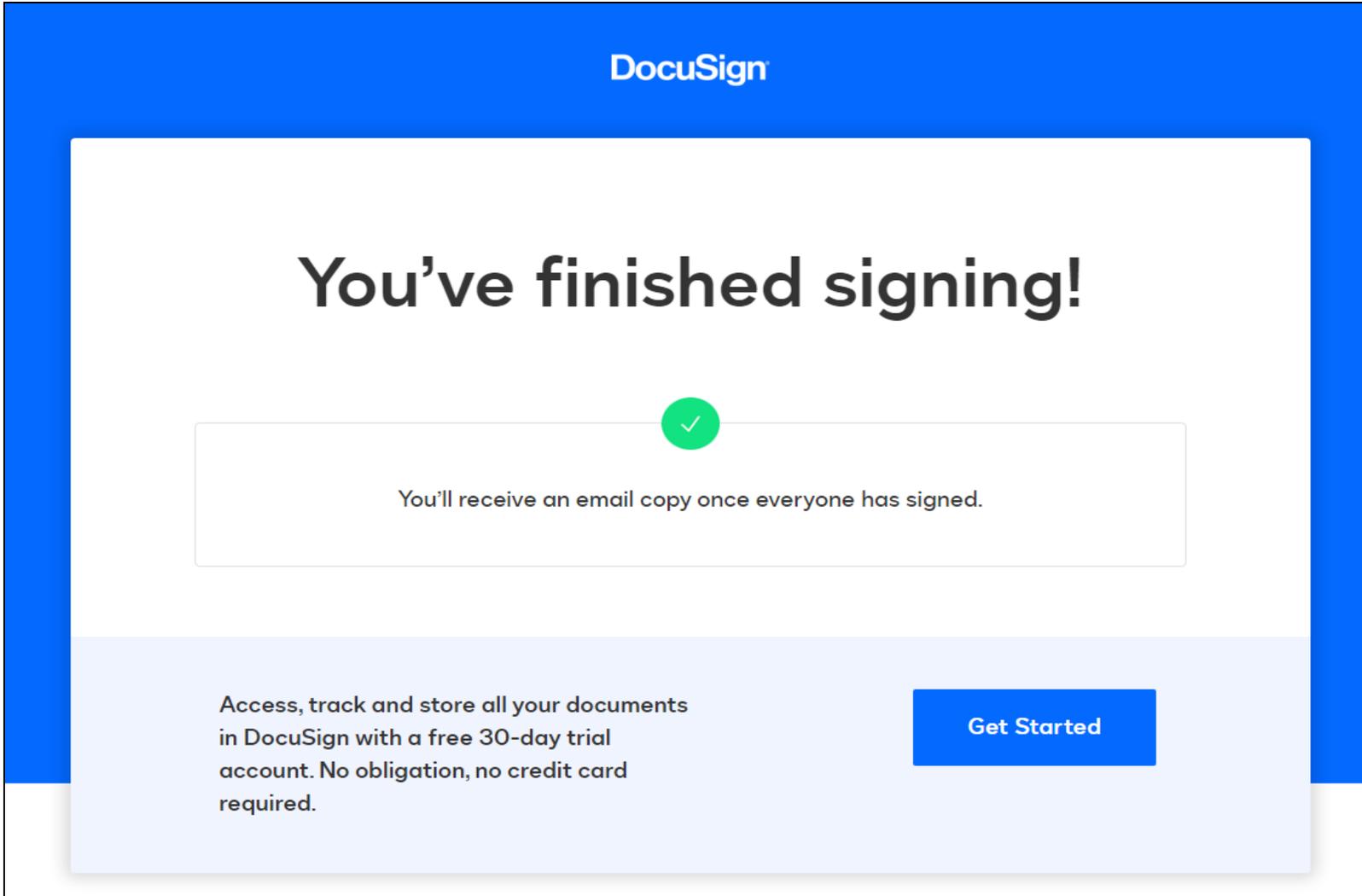
Officer Certification Form.docx 5 of 5

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.



The image shows a confirmation screen from DocuSign. At the top, the DocuSign logo is centered in white on a blue background. Below the logo, the text "You've finished signing!" is displayed in a large, bold, black font. Underneath this text is a green circle with a white checkmark. Below the checkmark, a white box with a thin border contains the text "You'll receive an email copy once everyone has signed." At the bottom of the screen, there is a light blue section. On the left side of this section, the text reads: "Access, track and store all your documents in DocuSign with a free 30-day trial account. No obligation, no credit card required." On the right side of this section, there is a blue button with the text "Get Started" in white.

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.

Participant has Risk Policy on file with PJM.

* 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 O, 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 procedures and controls applicable to its market activities since they were last provided to PJM.
- b. If the risk management policies, procedures and controls applicable to Participant's Participant certifies that no substantive changes have been made to such policies, proced

Navigate to the [Risk Policy Upload](#) page to upload your updated Risk Policy document(s).

Risk Policy must include:

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

In this case, the participant does have a Risk Policy on file with PJM. Select **Option a.** and click *Risk Policy Upload*.

Note: This will open a new tab on your web browser.

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

Option a. requires that you upload a red line version and the updated clean version of the Risk Policy. The next page below details option 2a.

Previous

Save and Continue Later

Next Page

Annual Recertification Officer Certification User Guide

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:

- 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 the Risk Policy

Or drop files

Accepted file types: .doc, .docx, .xls, .xlsx, .pdf

Upload your red line Risk Policy here.

Please upload a clean version of the Risk Policy

Or drop files

Accepted file types: .doc, .docx, .xls, .xlsx, .pdf

Upload your clean Risk Policy here.

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)

Confirm that your Policy has all of the requirements and then click **Submit**. After submitting your Risk Policy, navigate to your previous tab.

Note: The next page of this document details option 2b.

Annual Recertification Officer Certification User Guide

You have selected Option 2b.

If the risk management policies, procedures and controls applicable to Participant's market activities submitted to PJM or PJMSettlement were submitted prior to the current certification, Participant certifies that no substantive changes have been made to such policies, procedures and controls applicable to its market activities since such submission.

Risk Policy must include:

- 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 version of the Risk Policy

 Upload Files

Or drop files

Upload your Risk Policy here.

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)

Confirm that your Policy has all of the requirements and then click **Submit**. After submitting your Risk Policy, navigate to your previous tab.

Submit

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 for

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

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](#)

Annual Recertification Officer Certification User Guide

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:

- 1. Generating electric energy, including Participating in PJM Energy Markets
- 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](#)

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.

Annual Recertification Officer Certification User Guide

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

Recertification Requests

Click on **Get Started** on the Officer Certification (Recertification) row.

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	Get Started

Annual Recertification Officer Certification User Guide

The screenshot shows a web page with a navigation bar at the top containing 'Home', 'Applications', 'Maintenance', 'Contact Management', and 'Communities'. The main heading is 'Wind Test 2, LLC - Annual Officer Certification Form'. Below the heading, there is a paragraph explaining that market participants must submit an Annual Officer Certification Form, with a link to 'OCF Instructions'. A bulleted list describes two completion options: 'Officer only' and 'Officer and designee'. A callout box with a blue border and white background points to the 'Officer and designee' option, containing the text 'Click on the Designee Completion with Officer Review and Signature.' Below the callout, there are two sections: 'Officer-only Completion' and 'Designee Completion with Officer Review and Signature', each with a detailed description of the process. At the bottom, there is contact information for questions and a note about form status updates.

Home Applications Maintenance Contact Management Communities

Wind Test 2, LLC - Annual Officer Certification Form

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 form, a DocuSign form will be sent to the specified designated person to initial the form before being submitted.

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 2, 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 2, 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 2, LLC as well as a Designee, the person responsible for completing the form for Wind Test 2, 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.

Click on the Designee Completion with Officer Review and Signature.

Annual Recertification Officer Certification User Guide

The screenshot shows a web application interface for the "Wind Test 2, LLC - Annual Officer Certification Form". At the top, there is a navigation bar with links for Home, Applications, Maintenance, Contact Management, and Communities. The main heading is "Wind Test 2, LLC - Annual Officer Certification Form". Below the heading, there are two dropdown menus. The first dropdown is labeled "Select an Officer." and has a note: "* Select the Officer for Wind Test 2, LLC that will complete final signatures." The second dropdown is labeled "Select a Designee." and has a note: "* 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." To the right of the second dropdown is a "Next Page" button. A blue box with the text "Click Next Page." points to this button. At the bottom of the page, there is a disclaimer and a note: "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 Maintenance Contact Management Communities

Select an Officer.

Wind Test 2, LLC - Annual Officer Certification Form

* Select the Officer for Wind Test 2, LLC that will complete final signatures.

-- Select Officer --

* 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.

-- Select Designee --

Select a Designee.

Next Page

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 a secure environment and may be subject to disclosure. Additionally, users should not share any confidential information, including information that is otherwise confidential, and does not provide any warranty of any kind, whether expressed or implied. In no event shall PJM be liable for any damages of any kind, including but not limited to, direct, indirect, special, incidental, or consequential damages, arising out of or in connection with the use of the PJM communities.

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.

Annual Recertification Officer Certification User Guide

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	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 review and 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.

The screenshot shows the 'Single Sign-On' page for PJM. At the top left is the PJM logo and the text 'Single Sign-On'. The main heading is 'Sign In'. Below this is a sign-in form with two input fields: 'Username' and 'Password', a 'Log in' button, and links for 'Forgot password' and 'Register'. A blue box on the left contains instructions on how to log in. A dashed orange box highlights the sign-in form, with a line connecting it to the instructions. Below the form is a 'NOTICE' section with legal disclaimer text.

Single Sign-On

Sign In

Username
Password
Log in
[Forgot password](#) | [Register](#)

NOTICE: This system and the information processed or contained within is for the use of authorized users only. At any time, and for any lawful purpose, PJM may monitor, intercept, record and search any communications or data transiting or stored on this information system. At PJM's sole discretion, PJM may disclose pertinent information to the U.S. Government and its authorized representatives to protect the security of critical infrastructure and key resources, ensure information security, or to comply with any applicable law, regulation, legal process, or enforceable governmental request. User expressly consents to the terms and conditions contained in this notice. User has no reasonable expectation of privacy regarding communications or data transiting or stored on this information system. Unauthorized use of this system may be subject to criminal prosecution or civil proceedings.

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.

Annual Recertification Officer Certification User Guide

Home Applications Maintenance Contact Management Communities

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

Annual Recertification Officer Certification User Guide

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.

The screenshot shows a web application interface for the 'Wind Test 1, LLC - Annual Officer Certification Form'. At the top, there is a search bar with the placeholder text 'Search for knowledge articles...' and a 'Search' button. To the right of the search bar is a user profile icon labeled 'Test Officer...'. Below the search bar is a navigation menu with items: Home, Applications (with a dropdown arrow), Maintenance, Contact Management, and Communities (with a dropdown arrow). The main content area has a title 'Wind Test 1, LLC - Annual Officer Certification Form' in orange. Below the title, there is a bolded instruction: 'Participant does not have a Risk Policy on file with PJM and must submit one.' This is followed by a paragraph of text starting with '*2. Participant has written risk management policies, procedures, and controls, approved by Participant's independent risk management function...'. A dashed orange box highlights a portion of this text: 'Participant's board or board committee, or a board or committee of the Participant's parent company.' Below this text is a radio button labeled '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.' Below the radio button is an 'Upload Files' button with an upload icon and the text 'Or drop files'. Below the upload button, it says 'Accepted file types: pdf, doc, docx, xls, xlsx.' A blue callout box with a white background and a blue border contains the text: 'Upload a Risk Policy by selecting the radio button for **Option a**. An Upload Files option will appear. After uploading the file, click **Next Page**.' At the bottom right of the form, there are three buttons: 'Previous', 'Save and Continue Later', and 'Next Page'. The 'Next Page' button is highlighted with a dashed orange box and a line connecting it to the callout box.

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.

Or drop files

Accepted file types: pdf, doc, docx, xls, xlsx.

Upload a Risk Policy by selecting the radio button for **Option a**. An Upload Files option will appear. After uploading the file, click **Next Page**.

Home Applications Maintenance Contact Management Communities

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, such as value-at-risk limitations, concentration limits, or other controls designed to prevent Participant from purporting to exceed its 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](#)

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 must select at least one option. If a Participant does 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

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

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.

aintenance 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 immediately above in the PJM Region. I acknowledge that PJM and PJMSettlement are relying on my certification to maintain compliance

Previous Save and Continue Later Next Page

You must select at least one option.

If you select **Option 4**, a text box will appear to enter the description.

Annual Recertification Officer Certification User Guide

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

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

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

Annual Recertification Officer Certification User Guide

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

This screenshot shows an email from 'DocuSign Demo System <dse_demo@docusign.net>' with the subject 'Officer Certification Form'. A yellow warning banner at the top reads 'External Email! Think before clicking links or attachments.' Below this, a document preview is shown with a 'REVIEW DOCUMENT' button highlighted by a dashed orange box. A callout box points to this button with the text 'Click on Review Document.' Below the preview, the sender is identified as Michael Daly (michael.daly@pjm.com) and the message states: 'This is the Officer Certification Form. Please follow the instructions in the document to complete and initial. Once the form is populated, it will be automatically routed to the signing officer for additional signatures.'

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

Click on **Continue**.

This screenshot shows the DocuSign STAGE interface. At the top, it says 'Please Review & Act on These Documents'. A callout box points to a checked checkbox with the text 'Click on the Check Box for I agree to use electronic records and signatures.' The checkbox is labeled 'I agree to use electronic records and signatures'. To the right, a 'CONTINUE' button is highlighted with a dashed orange box and a callout box that says 'Click on Continue.' Below the form, there is a section titled 'Important: If April 30 falls on a weekend, the form is due the last business day of April.' followed by a paragraph of text: '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.'

DocuSign Envelope ID: 5FBD5039-566B-48D0-BF8B-0037AF262046

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www.docusign.com

START

Click on **Start** to begin initialing the document.

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.

DocuSign Envelope ID: 1AA0C7FF-9962-49E7-82F0-AE460AE34D7C

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www.docusign.com

NEXT

Click on **Next**.

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 means training that is (i) comparable to generally accepted practices in the energy trading industry.

Annual Recertification Officer Certification User Guide

dd your initials

FINI

Adopt Your Initials

Confirm your name, initials, and signature.

* Required

Full Name* **Initials***

SELECT STYLE DRAW UPLOAD

PREVIEW [Change Style](#)

DocuSigned by:

Test OfficerDesignee **DS**
816A261BDC964C6... *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.

Annual Recertification Officer Certification User Guide

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, Participant acknowledges cannot be utilized to meet its intent. I acknowledge that PJM and PJMSettlement 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

Ready to Finish?
You've completed the required fields. Review your work, then select **FINISH**.

FINISH

Initial on all required lines.

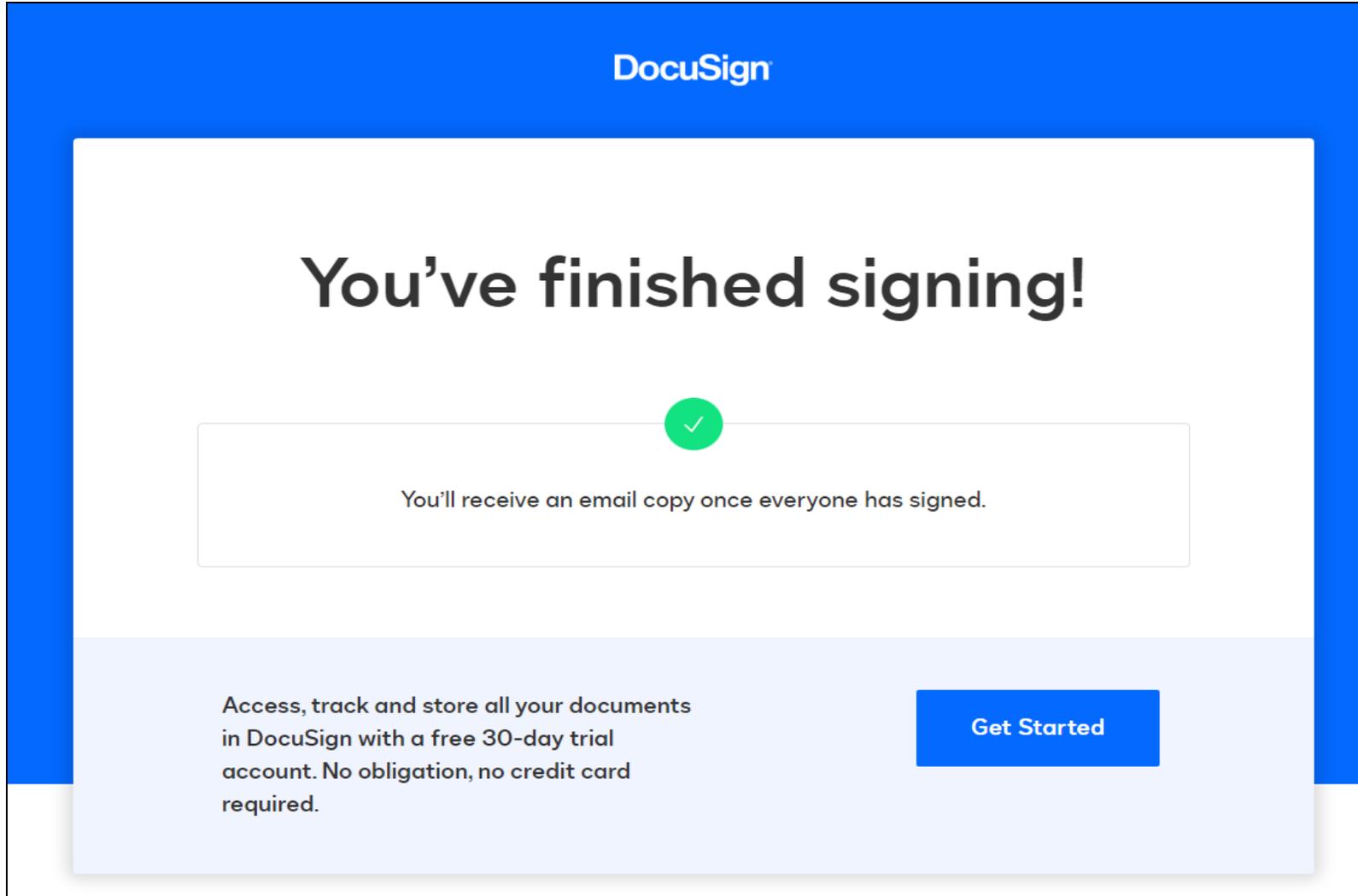
Click Finish.

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.



The image shows a confirmation screen from DocuSign. At the top, the DocuSign logo is centered in white on a blue background. Below the logo, the text "You've finished signing!" is displayed in a large, bold, black font. Underneath this text is a green circle with a white checkmark. A white rectangular box with a thin border contains the text "You'll receive an email copy once everyone has signed." At the bottom of the screen, there is a light blue section. On the left side of this section, the text reads: "Access, track and store all your documents in DocuSign with a free 30-day trial account. No obligation, no credit card required." On the right side of this section, there is a blue button with the text "Get Started" in white.

Annual Recertification Officer Certification User Guide

The screenshot shows an email interface. At the top left, there is a profile icon, the date and time 'Tue 3/28/2023 1:57 PM', and the sender information 'DocuSign Demo System <dse_demo@docusign.com>' and 'Officer Certification Form'. A blue callout box with a white border points to the sender information, containing the text 'The Officer will receive an email with a DocuSign Form to complete.' Below the sender information, there is a small icon of a person and the name 'Taraschi, Debbie'. A blue information icon is followed by the text: '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.' A yellow banner with a warning icon and the text 'External Email! Think before clicking links or attachments.' is present. Below the banner, there is a contact instruction: 'Contact the Support Center immediately if you click on a link or open an attachment that appears malicious.' The main content of the email is a document preview. It features a dark grey background with the text 'Michael Daly sent you a document to review and sign.' Below this text is a button labeled 'REVIEW DOCUMENT' which is highlighted with a dashed orange border. A blue callout box with a white border points to the button, containing the text 'Click on Review Document.' Below the document preview, the sender's name 'Michael Daly' and email address 'michael.daly@pjm.com' are listed. A paragraph of text follows: '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.' At the bottom left of the email content, it says 'Powered by' followed by a small logo.

Annual Recertification Officer Certification User Guide

Please Review & Act on These Documents

DocuSign STAGE

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 the terms and conditions of the document. [View More](#)

Please review the documents below.

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

Click on **Continue**.

CONTINUE OTHER ACTIONS ▾

DocuSign Envelope ID: 1AA0C7FF-9962-49E7-82F0-AE460AE34D7C

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www.docusign.com

START

Click **Start**.

**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.
- Section 2a must be initialed by those providing risk management policies for the first time or

ur initials

Adopt Your Initials ✕

Confirm your name, initials, and signature.

* Required

Full Name* **Initials***

[SELECT STYLE](#) [DRAW](#) [UPLOAD](#)

PREVIEW [Change Style](#)

DocuSigned by:

Test OfficerOnly DS
TO

816A261BDC964C6...

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](#)

Annual Recertification Officer Certification User Guide

Initial on all required lines.

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 PJM Settlement 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: 3/28/2023

DocuSigned by:
Test Officer Only
Participant (Signature)

Print Name: Test Officer Only
Title: test contact

Sign Document.

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**.

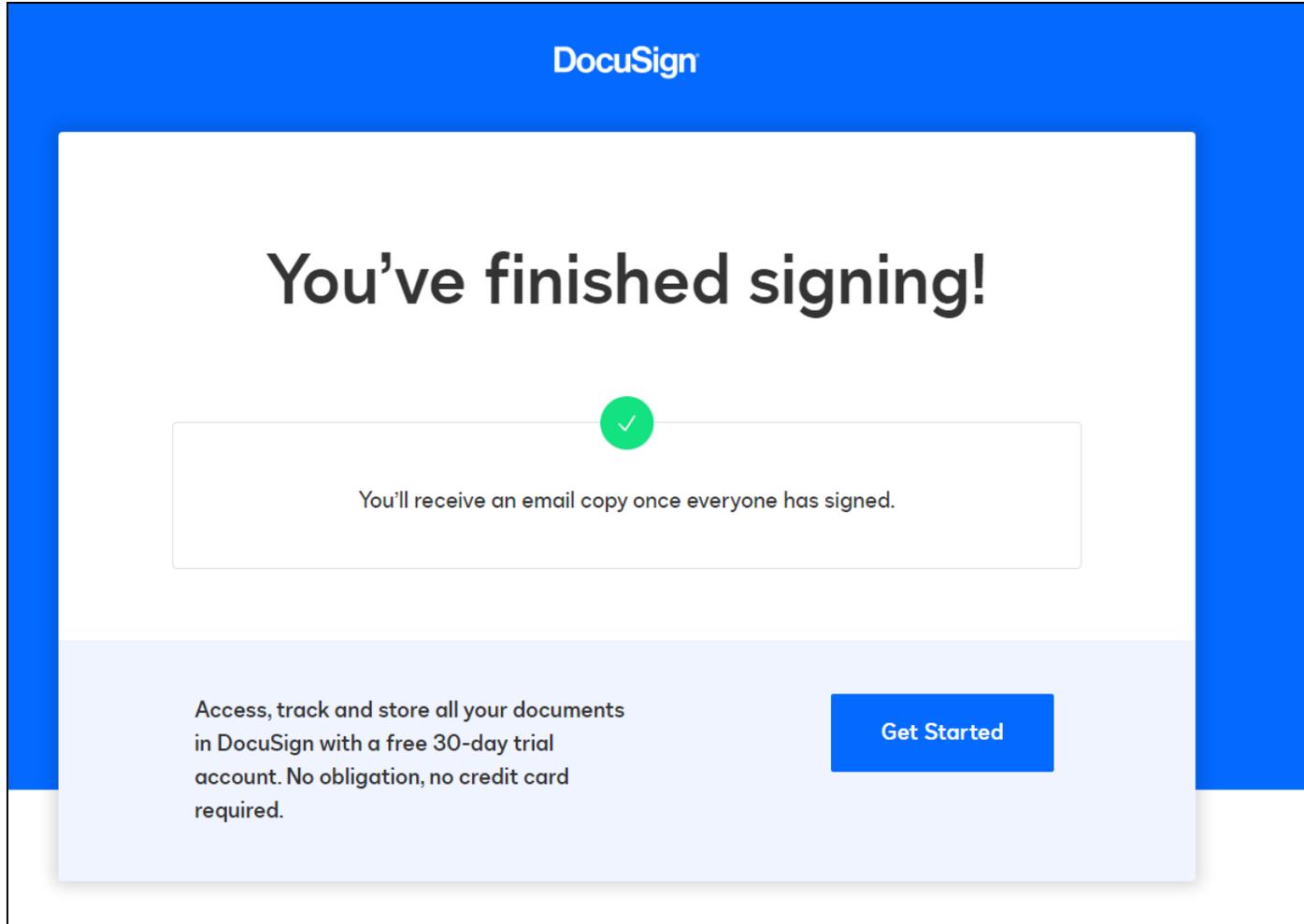
FINISH

You're Done Signing

Click **Continue**.

sent to your email address when completed
load or print using the icons above.

CONTINUE

A screenshot of a DocuSign confirmation page. The page has a blue header with the DocuSign logo. The main content area is white and features the text "You've finished signing!" in a large, bold font. Below this text is a green circle with a white checkmark. Underneath the checkmark is a white box with a thin border containing the text "You'll receive an email copy once everyone has signed." At the bottom of the page, there is a light blue banner with text on the left and a blue "Get Started" button on the right.

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.

Annual Recertification Officer Certification User Guide

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

Recertification Requests

Click on **Get Started** on the Officer Certification (Recertification) row.

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	Get Started

Home Applications Maintenance Contact Management Communities

Wind Test 2, LLC - Annual Officer Certification Form

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 form, a DocuSign form will be sent to the specified designated person to initial the form before being submitted.

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 2, 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 2, 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 2, LLC as well as a Designee, the person responsible for completing the form for Wind Test 2, 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.

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

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.

Annual Recertification Officer Certification User Guide

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.

membersupportservices@pjm.com
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 review and 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.

Annual Recertification Officer Certification User Guide

The screenshot shows a web page titled "Single Sign-On" with the PJM logo. The main heading is "Sign In". Below the heading is a sign-in form with fields for "Username" and "Password", a "Log in" button, and links for "Forgot password" and "Register". A blue callout box on the left contains instructions on how to access the Officer Certification Form. A blue line connects the callout box to the sign-in form. Below the form is a "NOTICE" section with a disclaimer.

Single Sign-On

Sign In

Username
Password
Log in
[Forgot password](#) | [Register](#)

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.

NOTICE: This system and the information processed or contained within is for the use of authorized users only. At any time, and for any lawful purpose, PJM may monitor, intercept, record and search any communications or data transiting or stored on this information system. At PJM's sole discretion, PJM may disclose pertinent information to the U.S. Government and its authorized representatives to protect the security of critical infrastructure and key resources, ensure information security, or to comply with any applicable law, regulation, legal process, or enforceable governmental request. User expressly consents to the terms and conditions contained in this notice. User has no reasonable expectation of privacy regarding communications or data transiting or stored on this information system. Unauthorized use of this system may be subject to criminal prosecution or civil proceedings.

Annual Recertification Officer Certification User Guide

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

The screenshot shows a web interface for selecting an officer and designee. At the top, there is a navigation bar with links for Home, Applications, Maintenance, Contact Management, and Communities. Below this, a blue callout box explains that the user will see pre-selected individuals. The main form area contains two dropdown menus. The first is for selecting an officer, with 'Test OfficerOnly' selected. The second is for selecting a designee, with 'Test OfficerDesignee' selected. A blue callout box points to a 'Next Page' button, which is also highlighted with a dashed orange border. A blue callout box with the text 'Click Next Page.' points to the 'Next Page' button.

Annual Recertification Officer Certification User Guide

Participant has Risk Policy on file with PJM.

*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.

Select Option a or b.

- 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.
- b. If the risk management policies, procedures and controls applicable to Participant's market activities submitted to PJM or PJMSettlement were submitted prior to the current certification, Participant certifies that no substantive changes have been made to such policies, procedures and controls applicable to its market activities since such submission.

* Please upload a red line version of the Risk Policy.

Or drop files

Accepted file types: pdf, doc, docx, xls, xlsx.

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

* Please upload a clean version of the Risk Policy.

Or drop files

Accepted file types: pdf, doc, docx, xls, xlsx.

Participant has Risk Policy on file with PJM.

*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.
- b. If the risk management policies, procedures and controls applicable to Participant's market activities submitted to PJM or PJMSettlement were submitted prior to the current certification, Participant certifies that no substantive changes have been made to such policies, procedures and controls applicable to its market activities since such submission.

* Please upload a clean version of the Risk Policy.

Or drop files

Accepted file types: pdf, doc, docx, xls, xlsx.

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

Click Next Page to continue.

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 for

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 VB 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.

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:

- 1. Generating electric energy, including Participating in PJM Markets
- 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](#)

If you select **Option 4**, a text box will appear to enter the

Annual Recertification Officer Certification User Guide

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

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

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

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