

Appendix "A"

Credit Application Form

Credit Customer Identification

1.1 Name of the Company as identified in its certificate of formation / incorporation

1.2 Date of formation / incorporation of the Company

1.3 Registration / file number with the applicable Secretary of State's Office

1.4 Please indicate all unique Company identifiers.

Company Ticker Symbol	
Market Cap	
Federal Tax ID Number	
NERC Acronym	
SIC Code	
DUNS Number	

1.5 Address of the registered office of the Company

Country	
Address	
Post Code	
City	
Phone	
Website	

1.6 Address of the trading office(s) of the Company

Country	
Address	
Post Code	
City	
Phone	
Website	

1.7 Please list any affiliated companies, including subsidiary companies of which your Company owns greater than 10%, that participate in SPP's markets or any other Independent System Operator or Regional Transmission Operator (ISO/RTO) markets.

Subsidiaries and Affiliates	ISO / RTO

1.8 What is the main business of your Company (as stated in the Company's certificate of incorporation, limited liability company agreement, partnership agreement or other applicable corporate governing documents)?

1.9 Please include a copy of your Company's Articles of Incorporation, Articles of Organization or similar documents.

Board, Shareholder, and Management Information

2.1 Please list board members (if applicable).

Full Name	Business Mailing Address

2.2 Please list any legal representatives (executive officers such as CEO, CFO, CRO, etc.) authorized to sign an agreement with SPP on behalf of the Company.

Full name	Authorized to sign?	Business Mailing Address	Tenure with Company
	<input type="checkbox"/> alone <input type="checkbox"/> jointly		
	<input type="checkbox"/> alone <input type="checkbox"/> jointly		
	<input type="checkbox"/> alone <input type="checkbox"/> jointly		

2.3 Please state your Company’s shareholders/owners and indicate their respective share or ownership percentage (>10%).

Full name	Percentage	Business Mailing Address

2.4 Please provide the following information for each individual, if any, who, directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, owns 25% or more of the equity interests of the Company.

Full name	Business Mailing Address

2.5 Please list the persons responsible, respectively, for payment of invoices, compliance, credit, trading activity and questions about this form.

Full name	Business Mailing Address	Contact details (business e-mail address and business phone number)
Payments:		
Compliance:		
Credit:		
Trading:		
Questions about this form:		

SPP Market Participation

- 3.1 Please indicate which of SPP’s products your Company transacts or intends to transact and include an estimate of the annual volumes by product (in MWh).

Real-Time Energy	
Day-Ahead Energy	
Virtual Energy	
Transmission Congestion Rights	
Transmission Service	

- 3.2 Please list forms of credit your Company intends to utilize to support trading exposure.

Cash (See Section 7.1.2 and Appendix B)	
Irrevocable Letter of Credit (See Section 7.1.3 and Appendices B and C)	List Bank Counterparty
Corporate Guarantee (See Section 3.1.3, Article Six, and Appendix D)	List Potential Guarantor
Surety Bond (See Section 7.1.5 and Appendices B and F)	List Issuing Surety

- 3.3 List your Company’s financial auditors and their addresses.

- 3.4 Please provide audited financial statements for the Company for the last three years, including any current third-party credit ratings.

- 3.5 List all amounts held for collateral with any ISO/RTO as recorded in total assets of your Company’s latest audited financial statements.

Loss Contingencies and Judgments

4.1 Has your Company (or an Affiliate), in the last five years: a) consented to the appointment of, or was taken in possession by, a receiver, trustee, custodian or liquidator of a substantial part of its assets, b) filed a bankruptcy petition in any bankruptcy court proceeding, c) answered, consented, or sought relief under any bankruptcy or similar law or failed to obtain a dismissal of an involuntary petition, d) admitted in writing its inability to pay its debts when due, e) made a general assignment for the benefit of creditors, f) been the subject of an involuntary proceeding seeking to adjudicate the Company (or affiliate) bankrupt or insolvent, g) sought reorganization, arrangement, adjustment, or composition of it or its debt under any law relating to bankruptcy, insolvency, or reorganization or relief of debtors?

4.2 If yes to any question in 4.1, please provide a description of proceedings including applicable docket or case numbers.

4.3 Has your Company (or one or more of its affiliates), in the last five years, been found in violation of SEC, OCC, FERC, or CFTC requirements or any other federal or state regulation or law regarding energy commodities? Additionally, if not found in violation of such regulations and/or laws, has your Company (or its affiliates) settled allegations of violation with the applicable regulatory authority and/or paid fines related to activity in energy commodities?
If yes to any question in 4.3, please provide a description of proceedings including applicable docket or case numbers.

4.4 Has your Company ever failed to cure an unpaid invoice from any RTO/ISO in the last 5 years, or been found to be in default by an RTO/ISO, or been either suspended or expelled (i.e., had its participation revoked) from an ISO/RTO?
If yes to any question in 4.4, please provide an explanation of the situation, its outcome, and all other relevant factors associated with the event (including applicable docket or case numbers).

Signatures

The undersigned is duly authorized to declare and does hereby declare in good faith that all information, answers and documents provided with this Questionnaire are true, correct and authentic and that no relevant information is omitted.

Place	Date	Print Name: Title:
Signature		

Subscribed and sworn before me _____, a notary public of the State of _____, in and for the County of _____, this ___ day of _____, 20_____.

(Notary Public Signature)

My commission expires: ___ / ___ / ___

Additional Not-For-Profit Questions

Additional sheets may be added to fully answer the following questions.

- 1. Does your company have the ability to set its own rates? If yes, please attach any documentation that will show that ability.**

- 2. What are the terms and expiration dates of your company's wholesale power contracts?**

- 3. How many customers do you serve directly? When considering your five largest customers that you directly serve, what percentage of your load do they represent?**

- 4. Please describe your power supply portfolio and how it is used to meet your load. What percent of your load is secured by asset ownership or purchase power contracts? Are these assets or contracts long-term in nature? What are the expiration dates of your contracts? What is the fuel mix of your power supply portfolio? Do you engage in risk management activities? If so, please provide a brief summary of such activities.**

- 5. How long has the present management team been in place? Please discuss their experience with the present firm and any previous experience.**

- 6. Discuss your ability to access lines of credit from financial institutions.**

- 7. Please discuss any other factors you want to have considered by SPP when assessing creditworthiness. If there are items concerning your financials that need explanation, please provide the explanation here. If your company receives capital credits, please provide the associated cash portion of such capital credits, as well as the information needed to compute such an amount from your most recent audited financials.**