

Annual Recertification Officer Certification User Guide



August 2023

Contents

Officers Only..... 1

Initiate the Officer Certification Form for Your Company (Market Participants Only).....2

Designee Completion With Officer Review and Signature 19

Officers Only

Officers initiating this form 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. Any other role initiating this form 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.

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, 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

The screenshot shows a web application interface for the 'Wind Test 1, 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 1, LLC - Annual Officer Certification Form'. A blue callout box with a white background and a blue border contains the text 'Click on the Officer-only Completion.' with a blue arrow pointing to the 'Officer-only Completion' option in the selection list below. The page content includes a paragraph about market participants, a bulleted list of two completion options, and two detailed sections: 'Officer-only Completion' and 'Designee Completion with Officer Review and Signature'. A dashed orange box highlights the 'Officer-only Completion' section. At the bottom, there is a contact email and a note about the form's status.

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	Designee Completion with Officer Review and Signature
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.	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

Home Applications Maintenance Contact Management Communities

Wind Test 1, LLC - Annual Officer Certification Form

Select an Officer.

* Select the Officer for Wind Test 1, LLC that will fill out the Annual Officer Certification Form and complete final signatures.

-- Select Officer --

An instructional email and link to continue this Officer Certification Form on the Membership Management Community will be sent to the Officer selected above.

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 committee of the Participant.

a. Participant is providing to PJM or PJMSettlements its current governing risk management policies, procedures and controls applicable to its market activities or PJMSettlements current governing risk management policies, procedures and controls applicable to its market activities.

In this case, the participant does not have a Risk Policy on file with PJM. You can opt to upload a Risk Policy or click **Next Page** if not uploading a Risk Policy at this time.

Previous Save and Continue Later Next Page

Or you can opt to 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

Officer 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

Home Applications Maintenance Contact Management Communities

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

ertification Form

3. An FTR Participant must make either the following 3a or 3b additional representations. If 3b is chosen, all 4 items will be included in the final signing requirements.

- a. Participant transacts in PJM's FTR markets with the sole intent to hedge congestion risk in connection with either obligations Participant has to serve load or rights Participant has to generate electricity in the PJM Region ("physical transactions") and monitors all of the Participant's FTR market activity to endeavor to ensure that its FTR positions, considering both the size and pathways of the positions, are either generally proportionate to or generally do not exceed the Participant's physical transactions, and remain generally consistent with the Participant's intention to hedge its physical transactions.
- b. On no less than a weekly basis, Participant values its FTR positions and engages in a probabilistic assessment of the hypothetical risk of such positions using analytically based methodologies, predicated on the use of industry accepted valuation methodologies.

Such valuation and risk assessment functions are performed either by persons within Participant's organization independent from those trading in PJM's FTR markets or by an outside firm qualified and with expertise in this area of risk management.

Having valued its FTR positions and quantified their hypothetical risks, Participant applies its written policies, procedures and controls to limit its risks using industry recognized practices, such as value-at-risk limitations, concentration limits, or other controls designed to prevent Participant from purposefully or unintentionally taking on risk that is not commensurate or proportional to Participant's financial capability to manage such risk.

Exceptions to Participant's written risk policies, procedures and controls applicable to Participant's FTR positions are documented and explain a reasoned basis for the granting of any exception.

Previous Save and Continue Later Next Page

Home Applications Maintenance Contact Management Communities

You must select at least one option. In this case, a, b and c are selected.

C - 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.

Wind Test 1, LLC - Annual Officer Certification Form

6a. I certify that Participant qualifies as an "appropriate person" as that term is defined under section 4(c)(3), or successor provision, of the Commodity Exchange Act or an "eligible contract participant" as that term is defined under section 1a(18), or successor provision, of the Commodity Exchange Act. I certify that Participant will cease transacting in any PJM Markets and notify PJM and PJMSettlement immediately if Participant no longer qualifies as an "appropriate person" or "eligible contract participant."

*** If providing audited financial statements, which shall be in US GAAP format or any other format acceptable to PJM, to support Participant's certification of qualification as an "appropriate person:"**

I certify, to the best of my knowledge and belief, that the audited financial statements provided to PJM and/or PJMSettlement present fairly, pursuant to such disclosures in such audited financial statements, the financial position of Participant as of the date of those audited financial statements. Further, I certify that Participant continues to maintain the minimum \$1 million total net worth and/or \$5 million total asset levels reflected in these audited financial statements as of the date of this certification. I acknowledge that both PJM and PJMSettlement are relying upon my certification to maintain compliance with federal regulatory requirements.

If not providing audited financial statements to support Participant's certification of qualification as an "appropriate person," Participant certifies that they qualify as an "appropriate person" under one of the entities defined in section 4(c)(3)(A)-(J) of the Commodities Exchange Act.

If providing audited financial statements, which shall be in US GAAP format or any other format acceptable to PJM, to support Participant's certification of qualification as an "eligible contract participant:"

I certify, to the best of my knowledge and belief, that the audited financial statements provided to PJM and/or PJMSettlement present fairly, pursuant to such disclosures in such audited financial statements, the financial position of Participant as of the date of those audited financial statements. Further, I certify that Participant continues to maintain the minimum \$1 million total net worth and/or \$10 million total asset levels reflected in these audited financial statements as of the date of this certification. I acknowledge that both PJM and PJMSettlement are relying upon my certification to maintain compliance with federal regulatory requirements.

If not providing audited financial statements to support Participant's certification of qualification as an "eligible contract participant," Participant certifies that they qualify as an "eligible contract participant" under one of the entities defined in section 1a(18)(A) of the Commodities Exchange Act.

Previous

Save and Continue Later

Next Page

Home Applications Maintenance Contact Management Communities

Wind Test 1, LLC - Annual Officer Certification Form

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.

*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

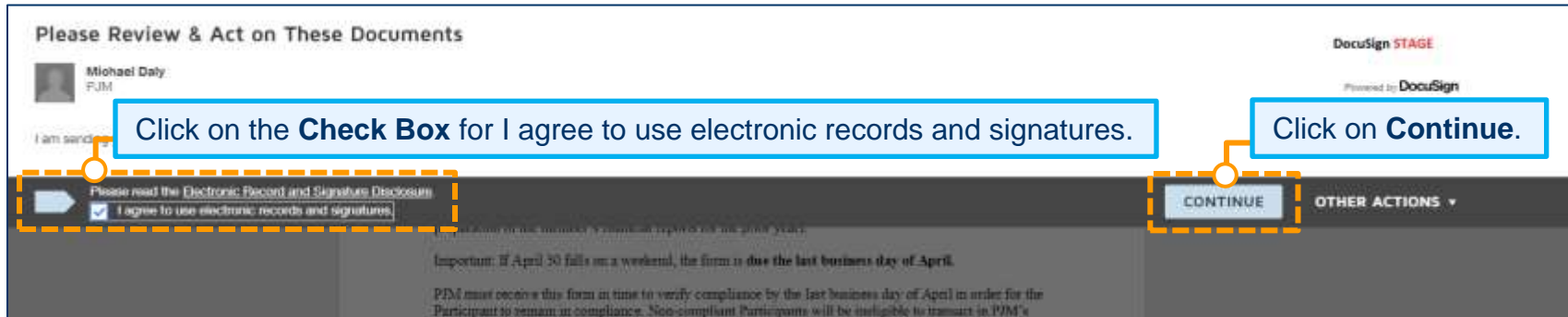
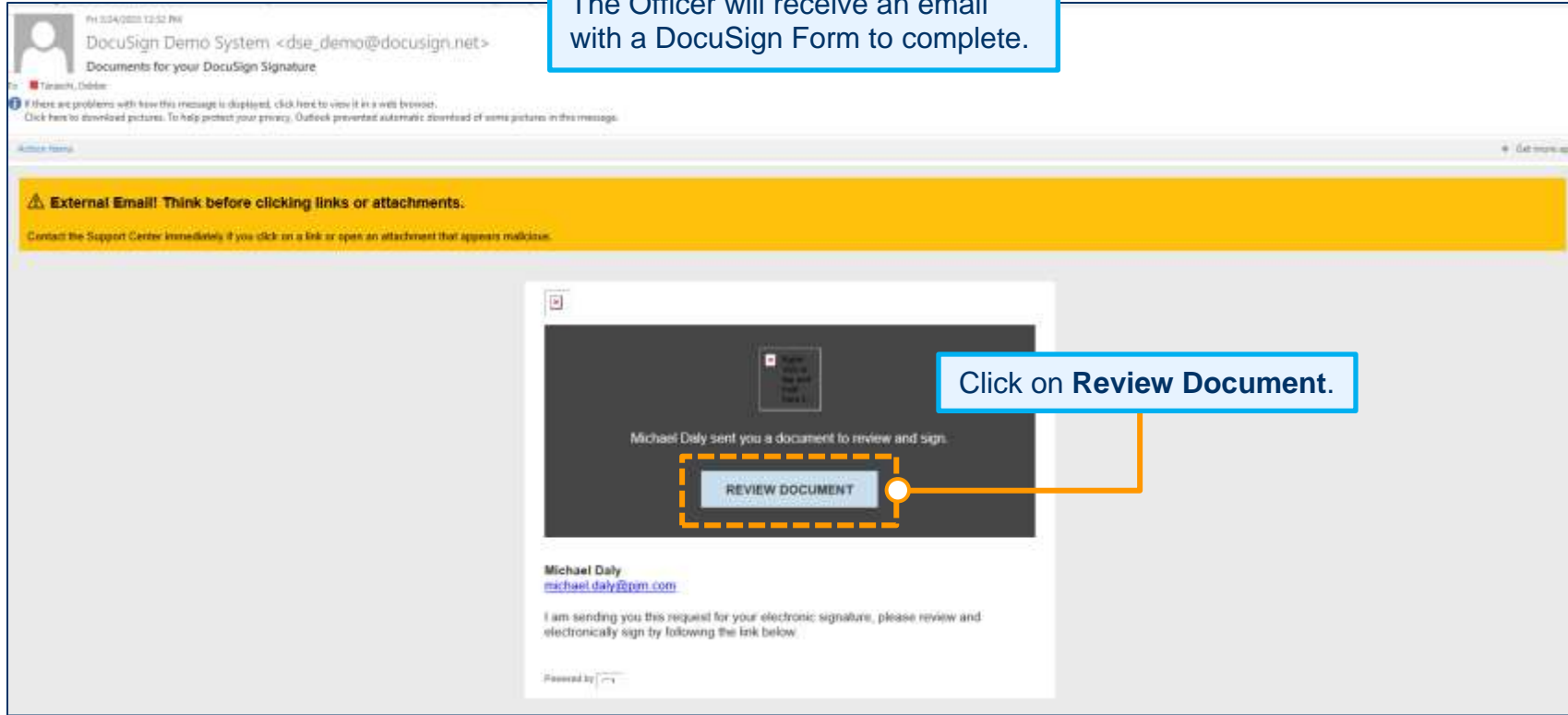
Wind Test 1, LLC - Annual Officer Certification Form

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



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

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

DEMONSTRATION DOCUMENT ONLY
PROVIDED BY DOCUSIGN ONLINE SIGNING SERVICE
999 3rd Ave, Suite 1700 • Seattle • Washington 98104 • (206) 219-0200
www.docusign.com

OFFICER CERTIFICATION FORM INSTRUCTIONS

Below is the Officer Certification form (Appendix 1 to Attachment Q of the Tariff) to be used in compliance with PJM's Minimum Participation Requirements. All PJM Market Participants must execute this form and submit it to PJM for receipt between January 1 and April 30 each year (ideally after preparation of the member's financial reports for the prior year).

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.

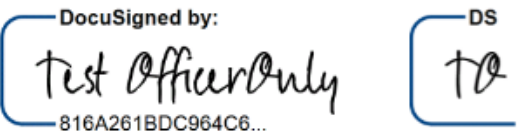
* Required

Full Name* **Initials***

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

PREVIEW [Change Style](#)

DocuSigned by:



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.

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

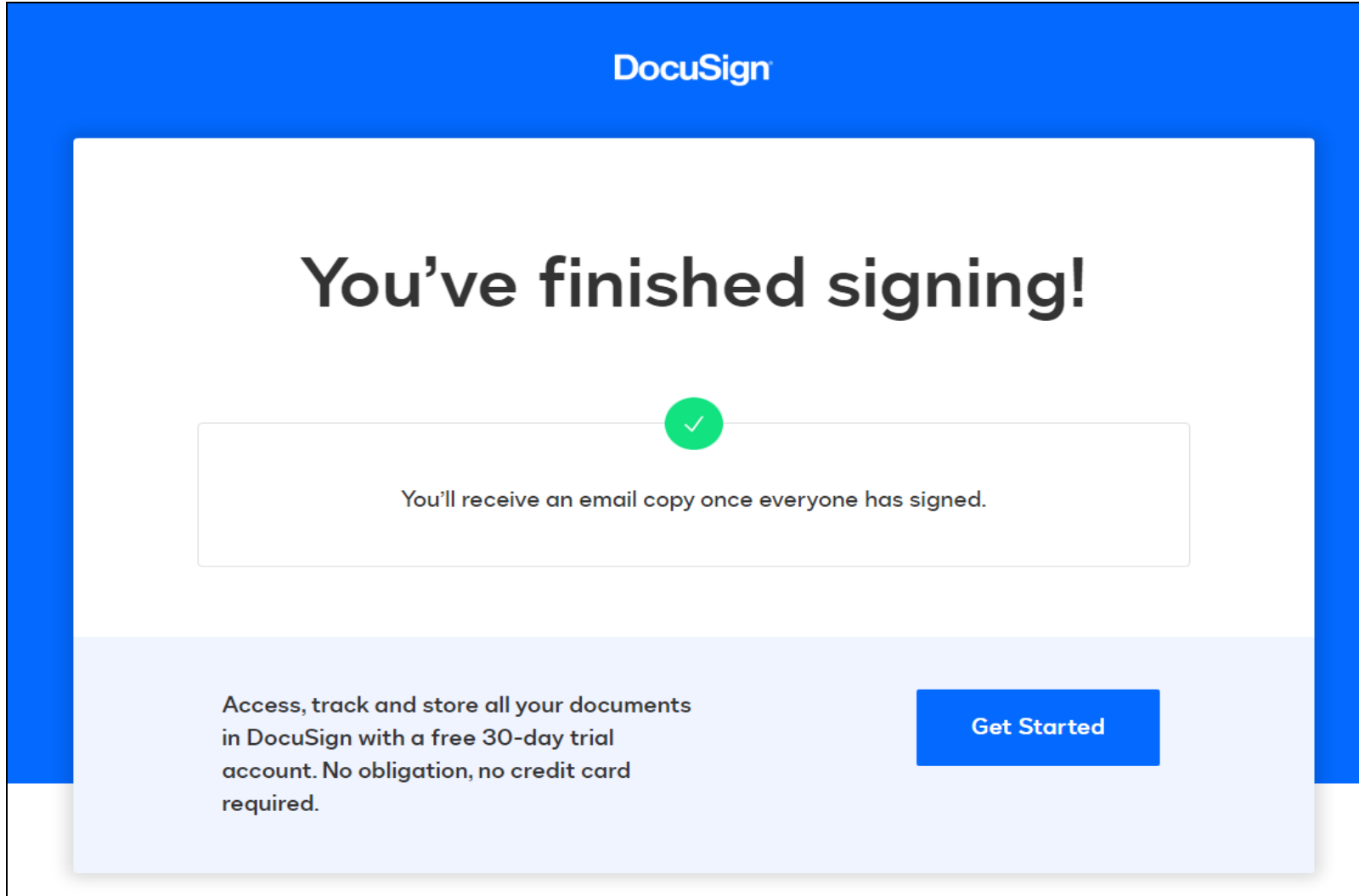
Officer Certification Form.docx 5 of 5

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 banner. On the left side of this banner, 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 the banner, there is a blue button with the text "Get Started" in white.

Designee Completion With Officer Review and Signature

Any role initiating this form 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.

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

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 blue box around it. Below it is a text box with the instruction: "* Select the Officer for Wind Test 2, LLC that will complete final signatures." The dropdown menu shows "-- Select Officer --". The second dropdown is labeled "Select a Designee." and has a blue box around it. Below it is a text box with the instruction: "* 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." The dropdown menu shows "-- Select Designee --". To the right of the second dropdown is a "Next Page" button. Below the "Next Page" button is a blue box with the text "Click Next Page." At the bottom of the page, there is a disclaimer and a note. The note is highlighted with an orange box and contains the text: "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 cloud 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 Request Management Community

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.

PM 10:40:02 5/23 PM
PJM Member Support Services <membersupportservices@pjm.com>
Sandbox: You have been selected as a Designee to complete the Officer Certification Form Annual Recertification

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 Officer/Designee,

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](#) link in the email. Upon submission of the community form, you will then receive a DocuSign form to review and sign.

Thank you,
PJM Member Relations

Click on the **Membership Management Community** link in the email.

The screenshot shows the PJM Single Sign-On interface. At the top left is the PJM logo and the text "Single Sign-On". The main heading is "Sign In". Below this is a form with three input fields: "Username", "Password", and a "Log In" button. Below the button are links for "Forgot password" and "Register". A blue callout box on the left contains the following text: "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." An orange line connects the callout box to the "Log In" button in the form. Below the form is a "NOTICE" section with the following text: "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

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

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 selection screen shows who was chosen by the company's Authorized Representative. The main content area has two dropdown menus. The first is for selecting an officer, with the text "Select the Officer for Wind Test 2, LLC that will complete final signatures." and the selected value "Test OfficerOnly". The second is for selecting a designee, with the text "* 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." and the selected value "Test OfficerDesignee". A blue callout box points to a "Next Page" button, with the text "Click Next Page." next to it.

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. You can opt to upload a Risk Policy or click **Next Page** if not uploading a Risk Policy at this time.

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', 'Maintenance', 'Contact Management', and 'Communities'. The main content area has a title 'Wind Test 1, LLC - Annual Officer Certification Form'. Below the title, there is a paragraph of text: 'Participant does not have a Risk Policy on file with PJM and must submit one.' followed by a numbered list item: '*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.' Below this text is a radio button option '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 a plus icon and the text 'Or drop files'. Below the 'Upload Files' button is the text 'Accepted file types: pdf, doc, docx, xls, xlsx.' At the bottom right of the form are three buttons: 'Previous', 'Save and Continue Later', and 'Next Page'. Annotations include a dashed orange box around the radio button and its text, a solid blue box around the 'Upload Files' button and its text, and a dashed orange box around the 'Next Page' button. Lines connect these boxes to a central text 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.

Or you can opt to 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

Home Applications Maintenance Contact Management Communities

Wind Test 1, LLC - Annual Officer Certification Form

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**.

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.

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.

Michael Daly sent you a document to review and sign.

REVIEW DOCUMENT

Michael Daly
michael.daly@pjm.com

This is the Officer Certification Form. Please follow the instructions in the document to complete and initial. Once the form is populated, it will be automatically routed to the signing officer for additional signatures.

Powered by DocuSign

Please Review & Agree to These Documents

DocuSign STAGE

DocuSign

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

I am sending you this request for your electronic signature, please review and electronically sign by following the link below.

Please read the Electronic Record and Signature Disclosure.

I agree to use electronic records and signatures.

CONTINUE OTHER ACTIONS ▾

Important: If April 30 falls on a weekend, the form is due the last business day of April.

PJM must receive this form in time to verify compliance by the last business day of April in order for the 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

DEMONSTRATION DOCUMENT ONLY
PROVIDED BY DOCUSIGN ONLINE SIGNING SERVICE
999 3rd Ave, Suite 1700 • Seattle • Washington 98104 • (206) 219-0200
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

DEMONSTRATION DOCUMENT ONLY
PROVIDED BY DOCUSIGN ONLINE SIGNING SERVICE
999 3rd Ave, Suite 1700 • Seattle • Washington 98104 • (206) 219-0200
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**
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**

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 obligations. I acknowledge that PJM and PJMSettlement may investigate and my certification to maintain compliance with federal regulatory requirements.

Initials Applied

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.

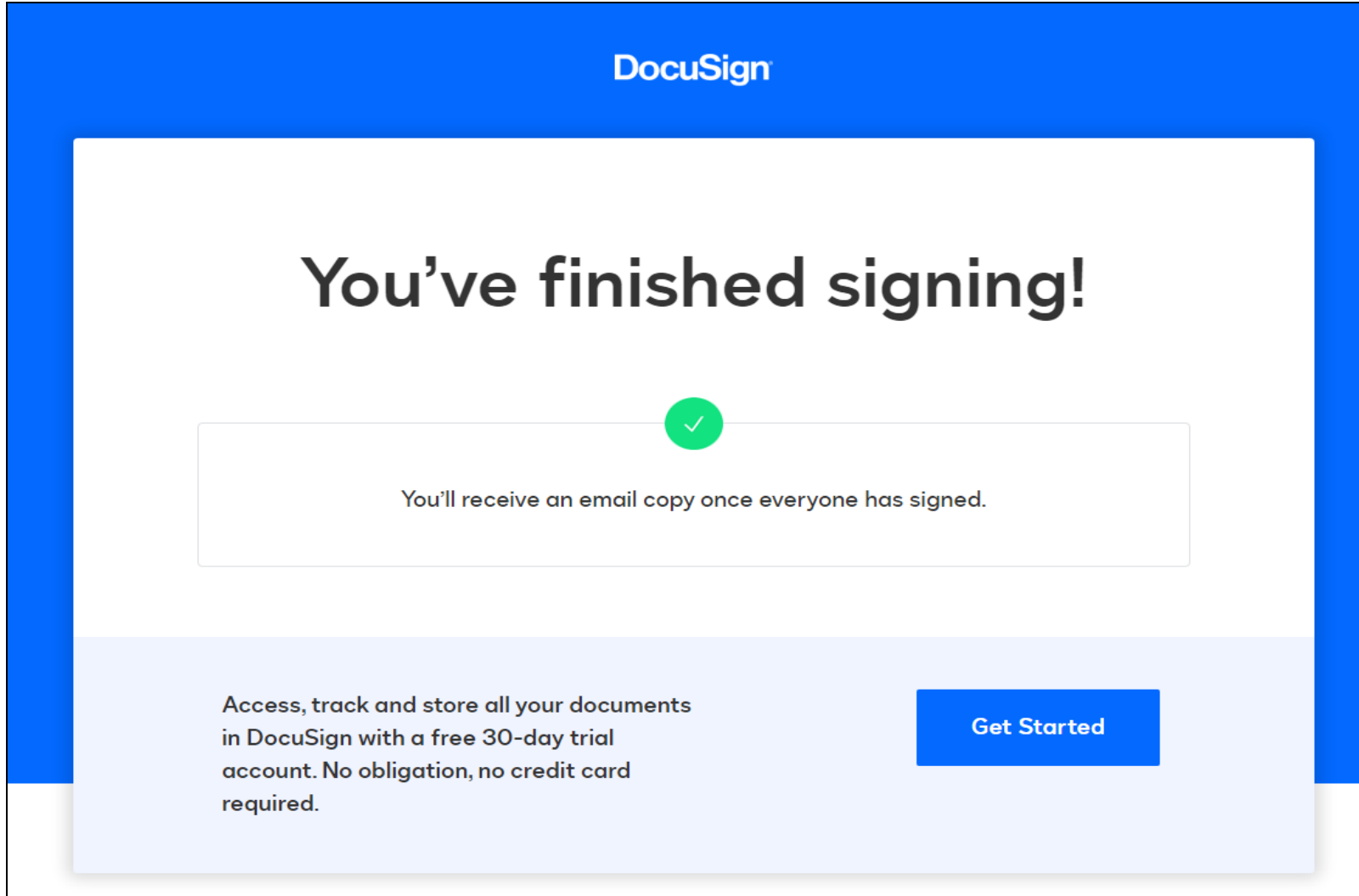
Click Finish.

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. 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 banner. On the left side of this banner, 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 the banner, there is a blue button with the text "Get Started" in white.

Annual Recertification Officer Certification User Guide

Tue 3/25/2023 1:57 PM
DocuSign Demo System <dse_demo@docusign.com>
Officer Certification Form

Terachi, Debbie

If there are problems with how this message is displayed, click here to view it in a web browser.
Click here to download pictures. To help protect your privacy, Outlook prevented automatic download of some pictures in this message.

External Email! Think before clicking links or attachments.
Contact the Support Center immediately if you click on a link or open an attachment that appears malicious.

Michael Daly sent you a document to review and sign.

REVIEW DOCUMENT

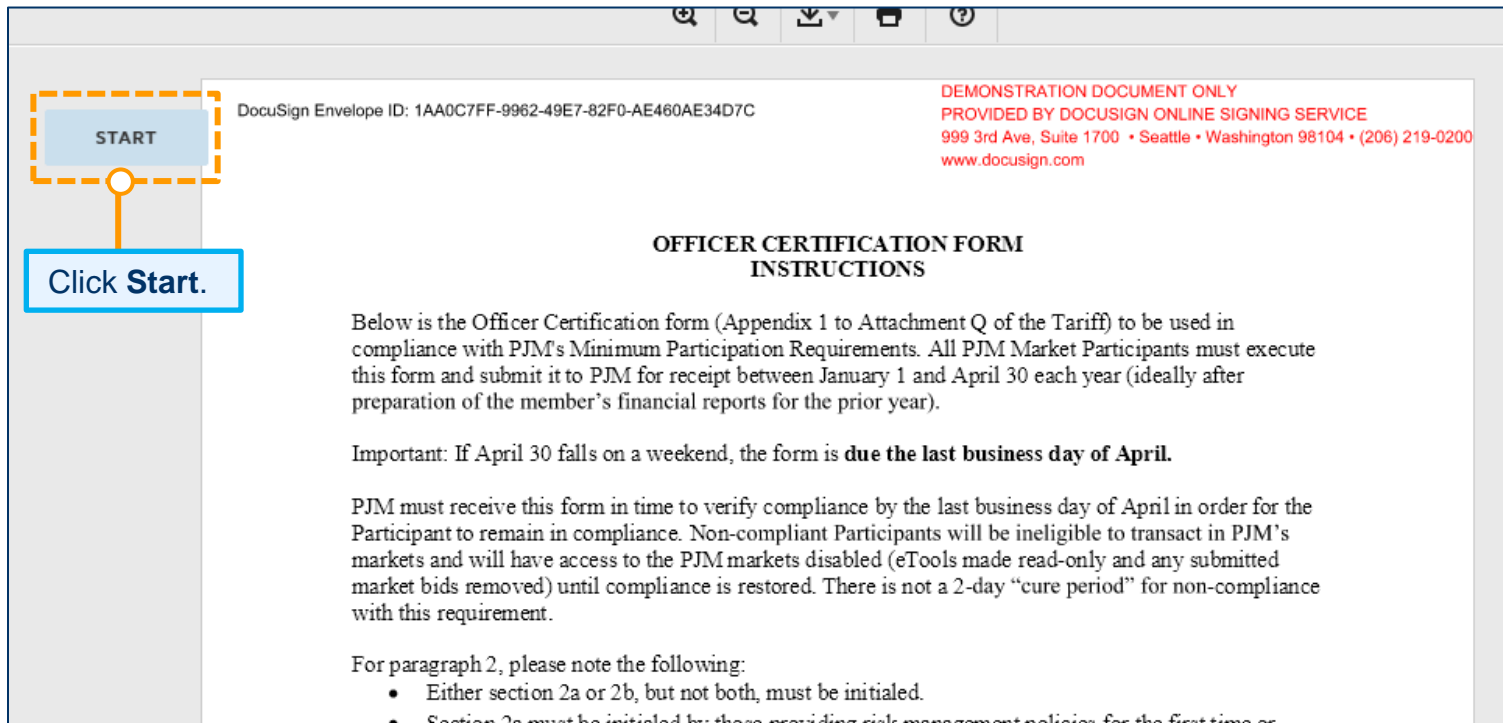
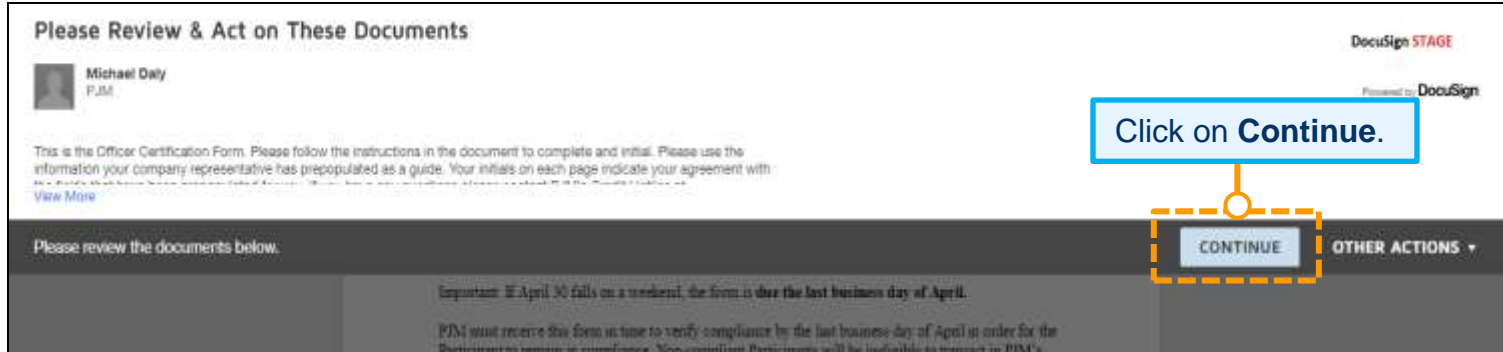
Click on Review Document.

Michael Daly
michael.daly@pjm.com

This is the Officer Certification Form. Please follow the instructions in the document to complete and initial. Please use the information your company representative has prepopulated as a guide. Your initials on each page indicate your agreement with the fields that have been prepopulated for you. If you have any questions please contact PJM's Credit Hotline at credit_hotline@pjm.com

Powered by

Annual Recertification Officer Certification User Guide



your initials

Adopt Your Initials ✕



Confirm your name, initials, and signature.

* Required

Full Name* **Initials***

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

PREVIEW [Change Style](#)

DocuSigned by:  
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

