

# Principals User Guide

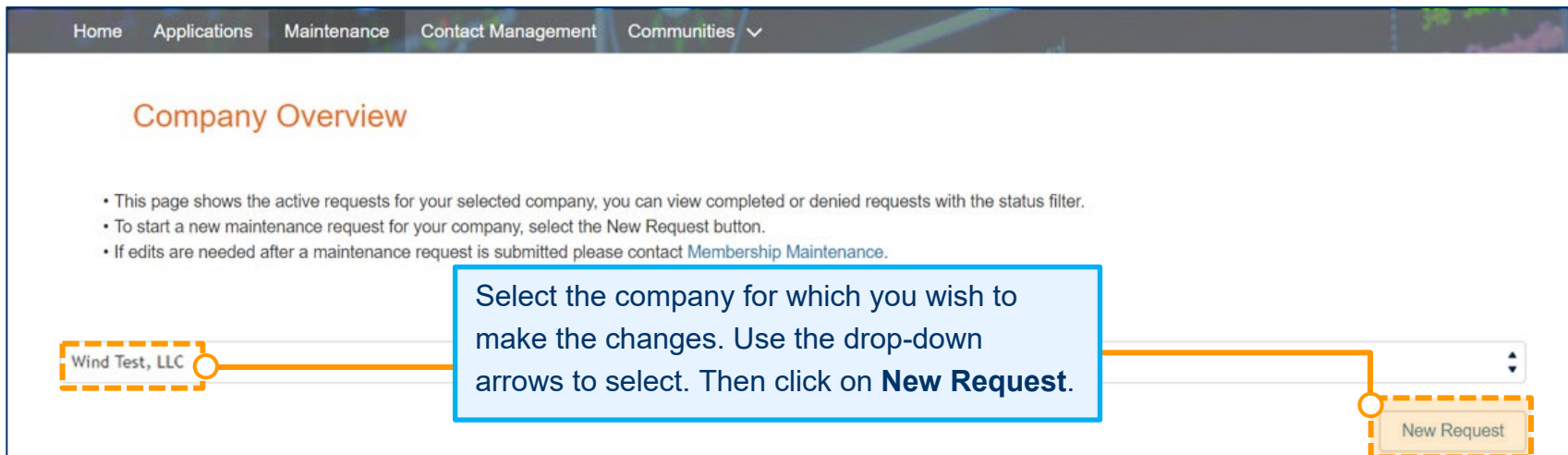
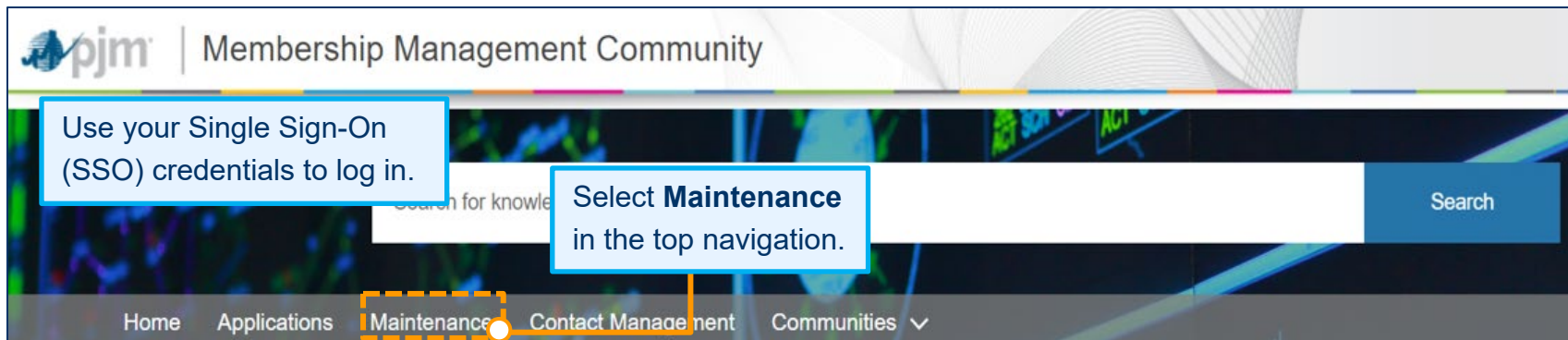


July 2024

## Logging In to the Membership Management Community

Officers, Authorized Representatives, and Maintenance Managers can sign in by navigating to the [Membership Management Community page](#) on PJM.com and clicking Sign In.

PJM.com homepage > Markets & Operations > PJM Tools > [Membership Management Community](#)



## Member Maintenance Dashboard

The Member Maintenance dashboard allows Officers, Authorized Representatives and Maintenance Managers to manage information for the companies they represent. This screen is the starting point for all change requests when you are logged in and have selected the company for which you would like to make changes.

The screenshot displays a grid of 12 action cards, each with a title, a brief description, and a 'Get Started' button. The cards are arranged in a 4x3 grid, with the last cell in the bottom row containing a 'Back' button. A callout box with a blue border and white background points to the 'Get Started' button of the 'Principal' card, containing the text: 'Click on **Get Started** to make changes for your company's Principals.' The 'Get Started' button in the 'Principal' card is highlighted with a dashed orange border.

<b>Company Account Manager</b> Designate or remove an individual from the role of CAM. <a href="#">Get Started</a>	<b>Affiliate Disclosure</b> Request updates to Member and non-member affiliates. <a href="#">Get Started</a>	<b>Company Name Change</b> Request a corporate name change. <a href="#">Get Started</a>
<b>Company Withdraw</b> Initiate the request to withdraw from PJM membership. <a href="#">Get Started</a>	<b>Change Voting Member</b> Request a change to your Voting Member. <a href="#">Get Started</a>	<b>Principal</b> Request to add or remove a Principal(s). <a href="#">Get Started</a>
<b>Contact Management</b> Request to add or remove a Contact Manager(s). <a href="#">Get Started</a>	<b>Market Participant</b> Initiate a Market Participant Application if changing participation in the PJM Markets. <a href="#">Get Started</a>	<b>Full Responsibility DOA</b> Request to create Full Responsibility Declaration of Authority. <a href="#">Get Started</a>
<b>Principal Agent DOA</b> Request to create Declaration of Authority. <a href="#">Get Started</a>	<b>Officer Certification Form</b> Submit a new Officer Certification Form. <a href="#">Get Started</a>	<a href="#">Back</a>
<b>Company Corporate Inform...</b> Request to update company corporate information (address, stock information, etc.) <a href="#">Get Started</a>		

## Adding, Editing or Removing Principals (MARKET PARTICIPANTS ONLY)

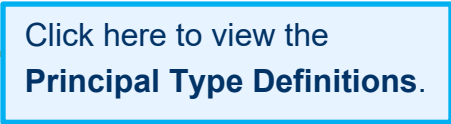
### ADDING A PRINCIPAL


**Principals**

Please enter information for **all Principals** for your company per PJM Tariff, Attachment Q, sections II.A.7 and II.E.7.

Have the information below available when adding Principals:

- Date of Birth ⓘ
- Government Issued ID ⓘ

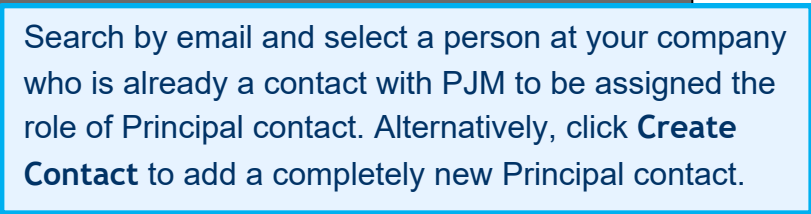
[Principal Type Definitions](#) 

[Add New...](#) 

First Name	Last Name	Date of Birth	Principal Type	Employer (if different than Member)	Actions
No records to display.					


Have the information below available when adding Principals:

### Create & Assign Principal




Search for an existing contact. If that contact does not exist then create new.

Search by email...

 Don Duba

## Create & Assign Principal

Search for an existing contact. If that contact does not exist then create new.

 Don Duba

Cancel

View Contact

In this case, an existing contact has been selected. Click on **View Contact**.

\* First name

Don

\* Title

Mr

\* Email

\* Is this principal located in the USA or Canada?

Yes

No

\* Last

Dub

\* Date of Birth

Jun 13, 1939

Employer (if different than Member)

Other

\* Employer Name

Complete required fields of pop-up form. If you do not have all of the required information, click **Back** to return to the previous screen or **Cancel** to exit out of the form.

If the Employer for the Principal is a different company than the Member Company, search the list for other existing Member Companies or select **Other**. If Other is selected, enter the Employer Name in the additional box.

# Member Maintenance User Guide

**\*Select Principal Type(s)**

- All natural persons who Control Corporate Level Strategy for the Participant, which shall include a chief executive officer, managing member (or equivalent positions regardless of title) and members of a board of directors or board of managers.
- The chief legal officer or general counsel (or equivalent position regardless of title).
- The natural person who Controls the financial affairs and investments of the Participant, which shall include a chief financial officer (or equivalent position regardless of title).
- The natural person who Controls the Participant's management of commodity and derivatives market risks, which shall include a chief risk officer (or equivalent position regardless of title).
- The natural person who Controls the Participant's transactions in the applicable PJM Markets (regardless of title).
- All Beneficial Owners.

**\*Please confirm the role for the first Principal Type.**

- Board of Directors Only
- Chief Executive or Managing Member Only
- Chief Executive or Managing Member and Board of Director

**\* Please provide a list of all previous companies for which this person has held the role of principal during the last five years.**

- Uploads
- Write-in

When selecting the first Principal Type, more options are displayed to confirm the role of the Principal.

**Note:** You can select one or more Principal Types as applicable for the contact.

**\*Select Principal Type(s)**

- All natural persons who Control Corporate Level Strategy for the Participant, which shall include a chief executive officer, managing member (or equivalent positions regardless of title) and members of a board of directors or board of managers.
- The chief legal officer or general counsel (or equivalent position regardless of title).
- The natural person who Controls the financial affairs and investments of the Participant, which shall include a chief financial officer (or equivalent position regardless of title).
- The natural person who Controls the Participant's management of commodity and derivatives market risks, which shall include a chief risk officer (or equivalent position regardless of title).
- The natural person who Controls the Participant's transactions in the applicable PJM Markets (regardless of title).
- All Beneficial Owners.

**\*Please confirm the role for the first Principal Type.**

- Board of Directors Only
- Chief Executive or Managing Member Only
- Chief Executive or Managing Member and Board of Director

**\* Please upload Government issued IDs.**

Or drop files

Accepted file types: png,gif,jpeg,pdf. Max No. of files to be uploaded is 10

For **Chief Executive or Managing Member Only** and **Chief Executive or Managing Member and Board of Directors**, please upload Government Issued IDs.

**Note:** Uploading Government Issued IDs will be required for **ALL** Principals except those who are **only** on the Board of Directors.

**\*Select Principal Type(s)**

- All natural persons who Control Corporate Level Strategy for the Participant, which shall include a chief executive officer, managing member (or equivalent positions regardless of title) and members of a board of directors or board of managers.
- The chief legal officer or general counsel (or equivalent position regardless of title).
- The natural person who Controls the financial affairs and investments of the Participant, which shall include a chief financial officer (or equivalent position regardless of title).
- The natural person who Controls the Participant's management of commodity and derivatives market risks, w... (or equivalent position regardless of title).
- The natural person who Controls the Participant's transactions in the applicable PJM Markets (regardless of title).
- All Beneficial Owners.

**\*% of ownership**

3.00%

**Disclose further information regarding the Beneficial Owner.**

**\* Please upload Government issued IDs.**

Or drop files

Accepted file types: png,gif,jpeg,pdf. Max No. of files to be uploaded is 10

**\* Please provide a list of all previous companies for which this person has held the role of principal during the last five years.**

Uploads

Write-in

Testing123.

**Click Add when all fields are complete.**

Pending New/Update Requests

First Name	Last Name	Date of Birth			
Don	Duba	06.13.1939	<ul style="list-style-type: none"> <li>All natural persons who Control Corporate Level Strategy for the Participant, which shall include a chief executive officer, managing member (or equivalent positions regardless of title) and members of a board of directors or board of managers.</li> </ul>		

After clicking **Add**, you will be directed to the **Pending New/Update Requests** page. New Principal assignments will appear in this section until the form is certified and submitted (see below).

Principal Type Status

If a Principal has been provided for the required role, a **✓** will display. Otherwise, a **✗** will display.

✓	All natural persons who Control Corporate Level Strategy for the Participant, which shall include a chief executive officer, managing member (or equivalent positions regardless of title) and members of a board of directors or board of managers.
✗	The chief legal officer or general counsel (or equivalent position regardless of title).
✗	The natural person who Controls the financial affairs and investments of the Participant, which shall include a chief financial officer (or equivalent position regardless of title).

The **Principal Type Status** shows the Principal Types that have been provided or are pending.



### Principal Type Status

If a Principal has been provided for the required role, a ✓ will display. Otherwise, a ✗ will display.

✓	All natural persons who Control Corporate Level Strategy for the Participant, which shall include a chief executive officer, managing member (or equivalent positions regardless of title) and members of a board of directors or board of managers.
✓	The chief legal officer or general counsel (or equivalent position regardless of title).
✓	The natural person who Controls the financial affairs and investments of the Participant, which shall include a chief financial officer (or equivalent position regardless of title).
✓	The natural person who Controls the Participant's management of commodity and derivatives (or equivalent position regardless of title).
✓	The natural person who Controls the Participant's transactions in the applicable PJM Markets (or equivalent position regardless of title).
✓	All Beneficial Owners.

\*The total percent ownership for beneficial owners is less than 100%

Test environment.

**Certify**

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

Once individuals for all Principal Types have been provided, check the box next to the certification statement and click **Submit**.

You will not be able to submit the form until all Principal Types are provided. You can exit out of the form to continue updating information at a later time. All information will remain in the **Pending New/Update Requests** status until you certify



## REMOVING A PRINCIPAL

1. Sign in and select **Maintenance** ([see page 1 for details](#)).
2. Select the company for which you wish to submit the request. Use the drop-down arrows to select. Then click **New Request**.
3. Click **Get Started** in the Principal section of the dashboard to make changes.

### Principals





Please enter information for **all Principals** for your company per PJM Tariff, Attachment Q, sections II.A.7 and II.E.7.

Have the information below available when adding Principals:

- Date of Birth 
- Government Issued ID 

[Principal Type Definitions](#)

[Add New...](#)

First Name	Last Name	Date of Birth	Principal Type	Employer (if different than Member)	Actions
Finola	Shay	03.01.1979	<ul style="list-style-type: none"> <li>• The natural person who Controls the financial affairs and investments of the Participant, which shall include a chief financial officer (or equivalent position regardless of title).</li> <li>• The natural person who Controls the Participant's management of commodity and derivatives market risks, which shall include a chief risk officer (or equivalent position regardless of title).</li> <li>• The natural person who Controls the Participant's transactions in the applicable PJM Markets (regardless of title).</li> <li>• All Beneficial Owners.</li> <li>• The chief legal officer or general counsel (or equivalent position regardless of title).</li> </ul>		 
Don	Duba	06.13.1939	<ul style="list-style-type: none"> <li>• All natural persons who Control Corporate Level Strategy for the Participant, which shall include a chief executive officer, managing member (or equivalent positions regardless of title) and members of a board of directors or board of managers.</li> </ul>		 

Click on the **trash can icon**.

**Remove**

Are you sure you want to remove this Contact as Principal?

Cancel Remove

Confirm you want to remove the contact as a Principal, then click **Remove** to continue or **Cancel** to cancel the request.

Pending Remove Requests

Don Duba has been removed as a principal. ⊘

**Requests to remove Principals will appear in the Pending Remove Requests section until the form is certified and submitted (see below).**

Principal Type Status

If a Principal has been provided for the required role, a ✓ will display. Otherwise, a ✗ will display.

✗	All natural persons who Control Corporate Level Strategy for the Participant, which shall include a chief executive officer, managing member (or equivalent positions regardless of title) and members of a board of directors or board of managers.
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Principal Type Status

If a Principal has been provided for the required role, a ✓ will display. Otherwise, a ✗ will display.

✓	All natural persons who Control Corporate Level Strategy for the Participant, which shall include a chief executive officer, managing member (or equivalent positions regardless of title) and members of a board of directors or board of managers.
✓	The chief legal officer or general counsel (or equivalent position regardless of title).
✓	The natural person who Controls the financial affairs and investments of the Participant, which shall include a chief financial officer (or equivalent position regardless of title).
✓	The natural person who Controls the Participant's management of commodity and derivatives market risks, which shall include a chief risk officer (or equivalent position regardless of title).
✓	The natural person who Controls the Participant's transactions in the applicable PJM Markets (regardless of title).
✓	All Beneficial Owners.

The Principal Type Status shows whether a type has been provided or is pending. Follow the [Adding a Principal](#) instructions to provide Principals for all types.

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

Submit

Once individuals for all Principal Types have been provided, check the box next to the certification statement and click **Submit**.

You will not be able to submit the form until all Principal Types are provided. You can exit out of the form to continue at a later time. All information will remain in the **Pending New/Update Requests** or **Pending Remove Requests** status.



## EDITING A PRINCIPAL

1. Sign in and select **Maintenance** ([see page 1 for details](#)).
2. Select the company for which you wish to submit the request. Use the drop-down arrows to select. Then click **New Request**.
3. Click **Get Started** in the Principal section of the dashboard to make changes.

### Principals





Please enter information for **all Principals** for your company per PJM Tariff, Attachment Q, sections II.A.7 and II.E.7.

Have the information below available when adding Principals:

- Date of Birth 
- Government Issued ID 

[Principal Type Definitions](#)

[Add New...](#)

First Name	Last Name	Date of Birth	Principal Type	Employer (if different than Member)	Actions
Finola	Shay	03.01.1979	<ul style="list-style-type: none"> <li>• The natural person who Controls the financial affairs and investments of the Participant, which shall include a chief financial officer (or equivalent position regardless of title).</li> <li>• The natural person who Controls the Participant's management of commodity and derivatives market risks, which shall include a chief risk officer (or equivalent position regardless of title).</li> <li>• The natural person who Controls the Participant's transactions in the applicable PJM Markets (regardless of title).</li> <li>• All Beneficial Owners.</li> <li>• The chief legal officer or general counsel (or equivalent position regardless of title).</li> </ul>		 
Don	Duba	06.13.1939	<ul style="list-style-type: none"> <li>• All natural persons who Control Corporate Level Strategy for the Participant, which shall include a chief executive officer, managing member (or equivalent positions regardless of title) and members of a board of directors or board of managers.</li> </ul>		 

Click on the **pencil** icon.

### Principal Contact Update

\* Required

* First name Don	* Last name Dubu
* Title Mr	* Date of Birth Jun 13, 1939
* Email john.guber@pjm.com	Employer (if different than Member) -- Select a Company --

\* Is this principal located in the USA or Canada?  
 Yes  
 No

If the Employer for the Principal is a different company than the Member Company, search the list for other existing Member Companies or select **Other**. If Other is selected, enter the Employer Name in the additional box.

You can select one or more Principal Types as applicable for the contact.

\* Select Principal Type(s)

- All natural persons who Control Corporate Level Strategy for the Participant, which shall include a chief executive officer, managing member (or equivalent positions regardless of title) and members of a board of directors or board of managers.
- The chief legal officer or general counsel (or equivalent position regardless of title).
- The natural person who Controls the financial affairs and investments of the Participant, which shall include a chief financial officer (or equivalent position regardless of title).
- The natural person who Controls the Participant's management of commodity and derivatives market risks, which shall include a chief risk officer (or equivalent position regardless of title).
- The natural person who Controls the Participant's transactions in the applicable PJM Markets (regardless of title).
- All Beneficial Owners.

\* Please confirm the role for the first Principal Type.

- Board of Directors Only
- Chief Executive or Managing Member Only
- Chief Executive or Managing Member and Board of Director

\* Please provide a list of all previous companies for which this person has held the role of principal during the last five years.

- Uploads
- Write-in

Cancel Save

Make note of the additional required selections for the various types noted on pages 5 and 6.

# Member Maintenance User Guide

Pending New/Update Requests			
First Name	Last Name	Date of Birth	Principal Type
Don	Duba	06.13.1939	<ul style="list-style-type: none"><li>All natural persons who Control Corporate Level Strategy for the Participant, which shall include a chief executive officer, managing member (or equivalent positions regardless of title) and members of a board of directors or board of managers.</li></ul>

After clicking **Save**, updates will appear in the **Pending New/Update Requests** section until the form is certified and submitted (see on next page).

You will not be able to submit the form until all Principal Types are provided. You can exit out of the form to continue at a later time. All information will remain in the Pending New/Update Requests or Pending Remove Requests status.

### Principal Type Status

If a Principal has been provided for the required role, a ✓ will display. Otherwise, a ✗ will display.

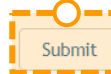
✓	All natural persons who Control Corporate Level Strategy for the Participant, which shall include a chief executive officer, managing member (or equivalent positions regardless of title) and members of a board of directors or board of managers.
✓	The chief legal officer or general counsel (or equivalent position regardless of title).
✓	The natural person who Controls the financial affairs and investments of the Participant, which shall include a chief financial officer (or equivalent position regardless of title).
✓	The natural person who Controls the Participant's management of commodity and derivatives market risks, which shall include a chief risk officer (or equivalent position regardless of title).
✓	The natural person who Controls the Participant's transactions in the applicable PJM Markets (regardless of title).
✓	All Beneficial Owners.

\*The total percent ownership for beneficial owners is less than 100%. Clarify why the percent ownership is less than 100%.

Testing environment.

**Certify**

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



Once individuals for all Principal Types have been provided, check the box next to the certification statement and click **Submit**.