

# Membership Recertification

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Membership Process & Services

PJM Interconnection, LLC

# Annual Recertification in the Membership Management Community opens January 6, 2025

Only for PJM Voting and Affiliate Members

## Due April 15

- |  |   |
|--|---|
| <ul style="list-style-type: none"><li>• Sector selection</li><li>• Affiliate disclosure</li><li>• Principals<br/><i>(only market participants)</i></li></ul> | <ul style="list-style-type: none"><li>• Company information</li><li>• Contact managers</li><li>• CAMs</li><li>• Related parties</li></ul> |
|--|---|

**Must be completed by:**

- Authorized rep.
- Maintenance manager
- Officer

## Due April 30

### Required Tasks

*Market participants only*

- **Officer Certification Form**  
Initiate and complete in Membership Management Community by Officer, Authorized Representative, or Maintenance Manager, or complete by Officer Certification role; review and sign in DocuSign by Officer.
- **2024 Audited Financials**  
submit to [credit\\_hotline@pjm.com](mailto:credit_hotline@pjm.com)

For more information, contact us at [membershipforms@pjm.com](mailto:membershipforms@pjm.com)

## Company Information Module

- Public traded or not
- Stock symbol

## Affiliate Disclosure

- Requirement of Org Chart if not previously submitted via Community

## Principals

- Definition updates
- Beneficial Ownership details such as percentages
- Requirement of Government Issued IDs for non-publicly traded

## Officer Certification

- Requirement of latest Risk Policy including redline version

- To update company name, navigate to the company name change on the main Maintenance Landing Page.
- Update corporate company address.
- Update Member Stock Symbol(s) and associated Stock Exchange Information.
- Update NAICS.
- Update Number of Employees.

## Corporate Address

Corporate Address	Actions
123 Electric Ave. Audubon, PA, 19403 US	<a href="#">Update</a>

\* Is your company publicly traded?

- Yes  
 No

\*Member Stock Symbols and Stock Exchange Information

[Add New...](#)

Stock Symbol/Ticker Symbol	Stock Exchange	Actions
TESTAM3	Other - TEST	 

## Corporate Structure Organizational Chart

Uploaded files such as Corporate Structure Organizational Chart **(including percentages of ownership)** are acceptable for this section.

If applicable, review previously uploaded files. Select the trash can icon to delete files that are no longer applicable.

No Files are linked please upload file(s).

### \*Edit Corporate Structure Organizational Chart

Please upload a Corporate Structure Organizational Chart **(including percentages of ownership)**. Corporate Structure ORG chart should be inclusive of ALL affiliated entities (PJM Member or non-member entities).



 [Upload Files](#) Or drop files

Accepted file types: .XLS, .DOC, .DOCX, .PDF

## 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

\* Do you have any beneficial owners per the term defined above?

- Yes  
 No

#### \* 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.

\* % of ownership

\* 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.

 Upload Files Or drop files

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



**Participant has Risk Policy on file with PJM.**

\*2. Participant has written risk management policies, procedures, and controls, approved by Participant's independent risk management function and applicable to transactions in any PJM Markets in which it participates and for which employees or agents transacting in markets or services provided pursuant to the PJM Tariff or PJM Operating Agreement have been trained, that provide an appropriate, comprehensive risk management framework that, at a minimum, clearly identifies and documents the range of risks to which Participant is exposed, including, but not limited to credit risks, liquidity risks and market risks. As used in this representation, a Participant's "independent risk management function" can include appropriate corporate persons or bodies that are independent of the Participant's trading functions, such as a risk management committee, a risk officer, a Participant's board or board committee, or a board or committee of the Participant's parent company.

- a. Participant is providing to PJM or PJMSettlement, in accordance with Tariff, Attachment Q, section III, with this Annual Officer Certification Form, a copy of its current governing risk management policies, procedures and controls applicable to its activities in any PJM Markets pursuant to Attachment Q or because there have been substantive changes made to such policies, procedures and controls applicable to its market activities since they were last provided to PJM.
- b. If the risk management policies, procedures and controls applicable to Participant's market activities submitted to PJM or PJMSettlement were submitted prior to the current certification, Participant certifies that no substantive changes have been made to such policies, procedures and controls applicable to its market activities since such submission.

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

[Upload Files](#) Or drop files

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

**Option a** requires that you upload both a redlined version and the updated clean version of the Risk Policy.

\* Please upload a clean version of the Risk Policy.

[Upload Files](#) Or drop files

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

## Participant has Risk Policy on file with PJM.

\* 2. Participant has written risk management policies, procedures, and controls, approved by Participant's independent risk management function and applicable to transactions in any PJM Markets in which it participates and for which employees or agents transacting in markets or services provided pursuant to the PJM Tariff or PJM Operating Agreement have been trained, that provide an appropriate, comprehensive risk management framework that, at a minimum, clearly identifies and documents the range of risks to which Participant is exposed, including, but not limited to credit risks, liquidity risks and market risks. As used in this representation, a Participant's "independent risk management function" can include appropriate corporate persons or bodies that are independent of the Participant's trading functions, such as a risk management committee, a risk officer, a Participant's board or board committee, or a board or committee of the Participant's parent company.

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

\* Please upload a clean version of the Risk Policy.

Or drop files

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

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

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## Wind Test 1, LLC - Annual Officer Certification Form

Participant does not have a Risk Policy on file with PJM and must submit one.

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Or drop files

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

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

Facilitator:

Thomas Zadlo, [Thomas.Zadlo@pjm.com](mailto:Thomas.Zadlo@pjm.com)

Secretary:

Julia Spatafore,  
[Julia.Spatafore@pjm.com](mailto:Julia.Spatafore@pjm.com)

Presenter:

Megan McLaverty

[Megan.McLaverty@pjm.com](mailto:Megan.McLaverty@pjm.com)

**Membership Recertification**



**Member Hotline**

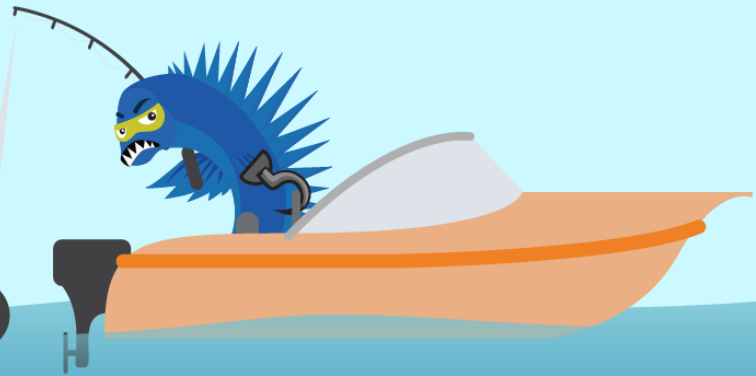
(610) 666-8980

(866) 400-8980

[custsvc@pjm.com](mailto:custsvc@pjm.com)

**PROTECT THE  
POWER GRID**

**THINK BEFORE  
YOU CLICK!**



**BE ALERT TO  
MALICIOUS PHISHING  
EMAILS**



**Report suspicious email activity to PJM.  
Call (610) 666-2244 or email [it\\_ops\\_ctr\\_shift@pjm.com](mailto:it_ops_ctr_shift@pjm.com)**