

SCHEDULE 5

Regulations 3(5) and 4(5)

Form of Application for a SEM Operator Licence

1. Full name of the applicant.

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2. Address of the applicant(s) or, in the case of a body corporate, the registered or principal office.

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3. Where the applicant is a company, the full names of the current Directors and the company's registered number.

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4. Where a holding of 20 per cent, or more of the shares (see Note) of an applicant is held by a body corporate or partnership or an incorporated association carrying on a trade or business with or without a view to profit, the name(s) and address(es) of the holder(s) of such shares shall be provided.

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5. Details of any licences held, applied for or being applied for by the applicant in respect of the generation, participation in transmission or supply of electricity.

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Note

References to shares—

- (a) in relation to an applicant with a share capital are to allotted shares.
- (b) in relation to an applicant with capital but no share capital, are to rights to share in the capital of the applicant:
- (c) in relation to an applicant without capital, are to interests—
 - (i) conferring any right to share in the profits or liability to contribute to the losses of the applicant or;
 - (ii) giving rise to an obligation to contribute to the debts or expenses of the applicant in the event of a winding up.

PART II

Documents and Particulars to Accompany an application for a SEM Operator Licence

1. Current statements of the accounts kept by the applicant in respect of any undertaking carried on by him, showing the financial state of affairs of that undertaking and its profit or loss, and the

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statement for the most recent period, together with copies of the latest audited annual accounts where such have been prepared.

2. An outline statement of the business proposals, for that business of the applicant to which the application relates, for the next five years, which includes:

- (a) particulars of the person or persons the applicant intends to oversee within the SEM in Northern Ireland
- (b) the total estimated number of participants to be administered
- (c) annual forecasts of costs and revenues and project financing stating the assumptions underlying the figures provided.

3. Details of any expected subsequent capital outflows.

4. Estimates of net annual cash flows for subsequent periods sufficient to demonstrate the financial security and feasibility of the project(s) to which the application relates.

5. Application fee £500.

6. A copy of the application to be published in the Belfast Gazette and in a newspaper or newspapers circulating in Northern Ireland. A copy of the Belfast Gazette and of each newspaper in which the application is published shall be delivered to or sent by prepaid post to the Northern Ireland Authority for Utility Regulation, Queens House, 14 Queen Street, BELFAST BT1 6ER.

7. Name(s) of person or persons to contact regarding information contained in or accompanying this application.