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COMMERCE COMMISSION

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Docket No. 09-0414

The Royal Bank of Scotland plc :
:
Application for Certificate of :
Service Authority under Section :
16-115 of the Public Utilities Act. :

APPLICATION

The Royal Bank of Scotland plc ("Applicant"), hereby requests that the Illinois Commerce Commission ("Commission") grant it a certificate of service authority pursuant to Section 16-115 of the Public Utilities Act ("Act"). In support of its application, Applicant states as follows:

General [451.20 and 451.30]

1. Applicant's name and street address: [451.20(e)(1)]

The Royal Bank of Scotland plc
36 St Andrew Square
Edinburgh, Scotland EH2 2YB

2. Related Information

Type of business entity: [corporation, LLP, LLC, etc.]

Public Limited Company ("plc")

Jurisdiction in which and under whose laws business entity was created:

Incorporated in Scotland, Great Britain

Other names under which Applicant does business (D/B/A):

Applicant will not be using a fictitious name.

Federal Employer Identification Number: [451.20(e)(2)]

13-1898944

Registered Agent in Illinois:
Illinois CSC
801 Adlai Stevenson Drive
Springfield, IL 62703
Telephone: (217) 522-1010
Fax: (217) 492-2727

3. Contact Persons for the following:
 - a) issues related to processing this application
Greg Bass, Director, Retail Commodity Delivery
401 West A Street, Suite 500
San Diego, CA 92101
(619) 684-8199
(619) 684-8355 (fax)
Email: gbass@semprasolutions.com
 - b) issues related to retail customers, including complaint resolution
Drake Welch, Vice President Customer Care
401 West A Street, Suite 500
San Diego, CA 92101
(619) 684-8039
(619) 684-8360 (fax)
dwelch@semprasolutions.com
 - c) technical issues, including scheduling of generation, transmission, and distribution, and issues arising from relationships with other providers of electric services.
Bill Goddard, Vice President Commodity Supply & Operations
401 West A Street, Suite 500
San Diego, CA 92101
(619) 684-8174
(619) 684-8355 (fax)
bgoddard @semprasolutions.com

Identification of each contact person's name, title, mailing address, telephone number, facsimile number, and e-mail address.

4. Applicant is licensed to do business in the State of Illinois, as demonstrated in
See Attachment A. [451.20(f)(1)]
5. Applicant's employees that will be installing, operating, and maintaining generation, transmission, or distribution facilities within the State of Illinois, and any entity with which the Applicant has contracted to perform those functions have the requisite knowledge, skills, and competence to perform those functions in a safe and responsible manner in order to provide safe and reliable service in

accordance with the criteria stated in Section 16-128(a) of the Act [220 ILCS 5/16-128(a)], as demonstrated in Attachment __. [451.20(f)(2)] [If applicable]

Not Applicable

6. Description of Applicant's business. [451.30(c)(1)]

See Attachment B.

7. Geographic area in which Applicant seeks to be authorized to offer service (if less than entire State, provide detailed description) and the types of services it intends to offer. [451.30(c)]

The Royal Bank of Scotland plc ("RBS") intends to offer competitively priced retail electricity to commercial and industrial customers. An integrated suite of energy risk management products and services will be offered.

RBS intends to tailor a unique and comprehensive solution to each customer's need by offering a broad set of services: energy procurement and delivery; energy-portfolio management; pricing and risk management services; and integrated energy and information services.

8. Description of the characteristics of customer group(s) Applicant proposes to serve. [451.30(c)(2)]

The Royal Bank of Scotland plc intends to provide energy services to non-residential retail commercial and industrial customers with an annual consumption of 150,000 kWh or more.

9. Proof of notification to each utility of Applicant's intent to serve in the utility's service area is provided in

See Attachment C. [451.30(c)(3)]

10. Applicant certifies that it:

- a) will comply with all applicable Federal, State, regional and industry rules, practices, policies, procedures and tariffs for the use, operation, maintenance, safety, integrity, and reliability of the interconnected electric transmission system including the Open Access Same-time Information System (OASIS) mandated by 18 CFR 37 and the rules and operating guidelines and procedures of the regional or national electric reliability council(s) or organization(s) and their successors for any portion of the state in which the applicant is certified to provide retail electric service); [451.20(a)]

- b) will provide service only to retail customers that are eligible to take delivery services; [451.20(b)]
 - c) will comply with informational and reporting requirements that the Commission may by rule establish; [451.20(c)]
 - d) will comply with informational and reporting requirements that the Commission may establish regarding the provision of information required by Section 16-112 of the Act; [451.20(d)]
 - e) complies with all other applicable laws and regulations and Commission rules and orders; [451.20(g)] and
 - f) complies with all terms and conditions required by Sections 115A(a), (b), and (f), 16-119, 16-123, 16-125(b) and (c), 16-127, and 16-128(a) of the Act, to the extent those Sections have application to the services being offered by the alternative retail electric supplier. [451.30(d)(2)]
11. Applicant agrees to submit good faith schedules of transmission and energy in accordance with applicable tariffs. [451.20(a)]
12. Applicant agrees to adopt and follow rules and procedures ensuring that authorizations received from customers, customer billing records, and requests for delivery service transmitted to utilities are retained for a period of not less than two calendar years after the calendar year in which they were created. [451.40(a)]
13. Applicant agrees to adopt and follow rules and procedures to preserve the confidentiality of its customer's data. [451.40(b)]
14. Whether Applicant currently has authority from the Commission to be an ARES, and if so, the Docket Number under which such authority was granted.

The Royal Bank of Scotland plc has not been previously granted authority by the Commission to be an ARES.

Reciprocity [451.20(e)]

15. The names and addresses of all of Applicant's affiliated companies involved in electric retail sales or purchases in the North American continent are as follows: [451.20(e)(3)]

**Sempra Energy Trading LLC
600 Washington Blvd.
Stamford, CT 06901**

**Sempra Energy Solutions LLC
401 West A Street, Suite 500**

San Diego, CA 92101

16. Applicant certifies that it complies with Section 16-115(d)(5) of the Act [220 ILCS 5/16-115(d)(5)], that it will remain in compliance with such requirements, and that it will annually certify such compliance to the Commission during January of each year after its certification. A demonstration that Applicant is in compliance with Section 16-115(d)(5) of the Act is set forth in Attachment __. [451.20(e), 451.710(a), and 451.730]

Applicant believes that the reciprocity requirements provided in the cited rules are no longer applicable since the body of Illinois law supporting these rules has been repealed pursuant to Public Act 95-0130, which became effective January 1, 2008.

License or Permit Bond Requirements [451.50(a)]

17. The applicant shall execute and maintain a license or permit bond issued by a qualifying surety or insurance company authorized to transact business in the State of Illinois in favor of the People of the State of Illinois.

See Attachment G.

Financial Qualifications [451.220 (a)]

18. Applicant meets the financial qualifications set forth in 83 Ill. Adm. Code 451.220 (a), as demonstrated in

See Attachment D.

Technical Qualifications [451.230]

18. Applicant **will not** use electric generation, transmission or distribution facilities that it owns, controls or operates in serving customers. Applicant meets the requirements of Section 451.230 [(a)][(b)], as demonstrated in **Attachment E.**

Managerial Qualifications[451.240 and 451.250]

19. Applicant meets the managerial qualifications set forth in 83 Ill. Adm. Code 451.240, as demonstrated in **Attachment E. Attachment F** includes biographies of key operating personnel indicating the positions of the persons or agents who are being used to meet the requirements of 83 Ill. Adm. Code 451.230 (a) (b).
20. Applicant **is** relying on one or more agents or contractors to meet the requirements of 83 Ill. Adm. Code 451.230 and 451.240. [(If Applicant is relying

on such agents or contractors) Each agent and contractor on whom the Applicant relies to meet these requirements is disclosed on **Attachment E**. [451.250(a)]. Applicant certifies that each such agent or contractor will comply with all the sections of Part 451 that are applicable to the functions to be performed by the respective agent or contractor. [451.250(b)]

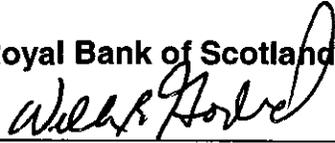
Financial Qualifications for Single Billing Service [451.510]

21. Applicant **intends** to provide single billing services. A demonstration of creditworthiness as required in 83 Ill. Adm. Code 451.510 is set forth in **Attachment D**.

WHEREFORE, Applicant requests that the Commission grant its application for service authority to serve nonresidential retail customers with annual electrical consumption greater than 15,000 kWh.

Respectfully submitted,

The Royal Bank of Scotland plc

By: 

Name: William B. Goddard

Title: Vice Pres., Comm. Supply & Ops.

VERIFICATION

STATE OF California)) SS:
COUNTY OF San Diego)

William B. Goddard, being first duly sworn, deposes and says that he is Vice President, Commodity Supply & Operations, Sempra Energy Solutions LLC as agent for The Royal Bank of Scotland plc; that he has read the foregoing Application of The Royal Bank of Scotland plc, and all of the attachments accompanying and referred to within the Application; and that the statements contained in the Application and the attachments are true, correct and complete to the best of his knowledge, information and belief.

William B. Goddard
William B. Goddard

State of California
County of San Diego

Subscribe and Sworn to (or affirmed) before me on this
9th day of September, 2009, by
Date Month Year

William B. Goddard
Name of Signer

Proved to me on the basis of satisfactory evidence to be the person who appeared before me.



Signature *Patrice M. Moreno*
Signature of Notary Public

Place Notary Seal Above