

Annual Member Recertification Q&A

Version: December 3, 2021

Q1 Where do I view the individuals that are currently designated as Officers, Authorized Representatives, Maintenance Managers, and Principals?

A1 Individuals currently designated in these roles can be viewed in the Contact Management section of the Membership Management Community. In addition, Principals can be viewed in the Maintenance section of the Membership Management Community.

Q2 How do I change individuals currently designated as Officers, Authorized Representatives, or Maintenance Managers?

A2 To add individuals as an Officer, Authorized Representative, or Maintenance Manager, please submit the [Form of Secretary Certificate](#) and the [Officer, Authorized Representative, and Maintenance Manager Designation Form](#). The Form of Secretary Certificate must be notarized and signed by the appropriate individual on page 3. A [Form of Secretary Certificate FAQ](#) is available for reference.

To remove individuals previously designated as an Officer, Authorized Representative, or Maintenance Manager, please submit the [Officer, Authorized Representative, and Maintenance Manager Designation Form](#) with the revoke action selected.

Q3 How do I change individuals currently designated as Principals?

A3 Officers, Authorized Representatives, and Maintenance Managers have the ability to update Principals in the Maintenance section of the Membership Management Community. Full Members that are Market Participants are also required to review and certify Principals during the annual recertification process.

Q4 What is the difference between a Principal and Officer?

A4 PJM Tariff, Attachment Q requires that all Market Participants provide the names and contact information for its five most senior Principals to conduct our required Know Your Customer (KYC) procedures per the PJM Tariff. As such, Principal is a defined term in the Tariff and can be found in the [Principal FAQ document](#). Individuals currently designated in these roles can be viewed in the Contact Management and Maintenance sections of the Membership Management Community.

An Officer of the Member is a duly elected or appointed Officer of Member holding the office or offices set forth on the Form of Secretary's Certificate, and is authorized, in the name and on behalf of Member, to bind the Member, pursuant to the Amended and Restated Operating Agreement of PJM Interconnection, L.L.C., PJM Open Access Transmission Tariff, and as applicable the Reliability Assurance Agreement Among Load Serving Entities in the PJM Region. The Officer(s) are required to provide information to PJM Interconnection, L.L.C. as necessary, or as requested, including providing, executing and delivering instruments, agreements and documents to PJM.

An Officer designated on the Form of Secretary Certificate can be given access to the Membership Management Community to maintain Member information including the Annual Recertification items. Authorized Representatives and Maintenance Managers designated on the Form of Secretary Certificate are also given access to the Membership Management Community to maintain Member information including the Annual Recertification items. Additional information can be found in [Manual 33](#).

An individual can be designated as both an Officer and Principal.

Q5 Where do I complete the annual recertification and how do I login?

A5 Individuals with access to the Membership Management Community can navigate to the [Membership Management Community tools page](#) and click on the Sign In link.

Q6 The annual recertification information has not changed for my company. Do I still need to complete the recertification?

A6 Yes. The current information will be displayed for all items with the exception of the Annual Officer Certification Form. You will need to select the certification checkbox for each member recertification item to certify that the information is correct. Members that fail to complete the annual Member recertification requirements may be considered in non-monetary breach of the PJM Operating Agreement per [Manual 33, Section 3.1.11.1](#).

The Annual Officer Certification Form is required to be completed and submitted each year for all active Market Participants. Market Participants that fail to provide its annual certification by April 30 will not be able to transact in any PJM Markets and PJM will disable the Market Participant's access to any PJM Markets until PJM receives the certification. This year the form is due April 29th since April 30th falls on a Saturday.

Q7 How do I print my Affiliate Disclosure information?

A7 Users can print submitted Affiliate Disclosure recertification requests from the company overview page of the Maintenance feature. Select the view button for the applicable Affiliate Disclosure request to print the information.

Once the submitted request has been approved, users can navigate to the Affiliate Disclosure request section and print the current information. Select New Request, Affiliate Disclosure, then Get Started. Click on the Print View option on the Affiliate Disclosure page. Please note that any updated Affiliate Disclosure information will not display in this section until requested recertification changes are reviewed and approved by PJM.

Q8 How do I get a copy or print the completed Annual Officer Certification Form?

A8 Individuals that complete the Annual Officer Certification Form in DocuSign will be given an option to print, or download a copy of the Annual Officer Certification Form. See the [Annual Member Recertification user guide](#) for additional instructions.

Q9 Can I get a copy of previous years' Annual Officer Certification Form?

A9 Previous years' Officer Certification Forms can be viewed and downloaded in the [eCredit tool](#).

Q10 What if I have questions when filling out the Annual Officer Certification Form?

A10 Document instructions begin on the first page of the form. You can also email the Credit team with questions at credit_hotline@pjm.com.

Q11 Do I need to submit my risk policies?

A11 Submission of the risk policy is only required if you have not previously provided your risk policy, or if there have been changes of substance since the last risk policy submission. Please send a scan of the risk policy to credit_hotline@pjm.com.

Q12 How do I submit my financials?

A12 You can send a pdf of your financials to credit_hotline@pjm.com.

Reference materials including user guides can be found on the [Membership Management Community](#) tools page on pjm.com. Additional questions can be sent to membershipforms@pjm.com.