PETER B. GRINSTEIN*
MICHAEL A. GALLO
JAY M. SKOLNICK
MARC S. STEIN
JOSEPH C. LUCGI**
TIMOTHY M. REARDON
FRANK J. MATUNE***
KEVIN L. BRADFORD
LANCE A. MORRISON
KATHRYN VADAS
EDWARD SMITH

NADLER NADLER & BURDMAN Co., LPA

ATTORNEYS AND COUNSELORS AT LAW 20 WEST FEDERAL STREET SUITE 600

YOUNGSTOWN, OHIO 44503-1423

TELEPHONE (330) 744-0247 FAX (330) 744-8690 MURRAY A, NADLER
(1899-1986)
MYRON J, NADLER
(1923-2005)
B, RICHARD BURDMAN
(RETIRED)

"ALSO ADMITTED IN WISCONSIN

**ALSO ADMITTED IN FLORIDA

ALSO ADMITTED THE BETTING BETT

April 9, 2010

VIA UPS NEXT DAY AIR

Renee Jenkins
Public Utilities Commission of Ohio
Docketing Division 11th Floor
180 East Broad St.
Columbus, Ohio 43215-3793

RE: Renewal Application of Independent Energy Consultants, Inc. for Certification as a Competitive Retail Aggregator and Power Broker and Motion for Protective Order, Case No. 04-592-EL-AGG

Dear Ms. Jenkins:

Enclosed please find an original and ten (10) copies of the Renewal Application of Independent Energy Consultants, Inc. for Certification as a Competitive Retail Aggregator and Power Broker.

Also included are an original and ten (10) copies of Independent Energy Consultant's Motion for Protective Order regarding Sections C-3 and C-5 of the Application. The information responding to Sections C-3 and C-5 is stamped confidential and is contained in a single sealed envelope also marked confidential.

Please feel free to call me at (330) 744-0247 if you have any questions. Thank you for your assistance.

Very truly yours,

NADLER NADLER & BURDMAN CO., L.P.A.

Kevin L. Bradford

KLB:ss Enclosures

This is to certify that the images appearing are an accurate and complete reproduction of a case file document delivered in the regular course of business.

Technician Date Processed APR 1 2 2010

RENEWAL APPLICATION FOR AGGREGATORS/POWER BROKERS

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit A10 Corporate Structure). All attachments should bear the legal name of the Applicant. Applicants should file completed applications and all related correspondence with the Public Utilities Commission of Ohio, Docketing Division; 180 East Broad Street, Columbus, Ohio 43215-3793.

This PDF form is designed as

RENEWAL INFORMATION A. Applicant's legal name, address, telephone number, PUCO certificate number, and A-1 web site address Legal Name Independent Energy Consultants, Inc. Address 820 Deepwoods Drive Aurora, OH 44202 PUCO Certificate # and Date Certified 04-116(3) May 23, 2008 Telephone # (330) 995-2675 Web site address (if any) www.naturalgas-electric.com A-2 List name, address, telephone number and web site address under which Applicant will do business in Ohio Legal Name Independent Energy Consultants, Inc. Address 820 Deepwoods Drive Aurora, OH 44202 Telephone # (330) 995-2675 Web site address (if any) www.naturalgas-electric.com A-3 List all names under which the applicant does business in North America Independent Energy Consultants, In-A-4 Contact person for regulatory or emergency matters Name Mark Burns Title President Business address 820 Deepwoods Drive Aurora, OH 44202 Telephone # (330) 995-2675 Fax # (216) 274-9176

E-mail address (if any) mburns@naturalgas-electric.com

A-5 Contact person for Commission Staff use in investigating customer complaints Name Regina Burns Title Operations Manager Business address 820 Deepwoods Drive Aurora, OH 44202 Fax # (216) 274-9176 Telephone # (330) 995-2675 E-mail address (if any) rburns@naturalgas-electric.com **A-6** Applicant's address and toll-free number for customer service and complaints Customer Service address 820 Deepwoods Drive Aurora, OH 44202 Toll-free Telephone # (888) 862-6060 Fax # (216) 274-9176 E-mail address (if any) info@naturalgas-electric.com A-7 Applicant's federal employer identification number # 200989144 A-8 Applicant's form of ownership (check one) ☐ Sole Proprietorship ☐ Partnership ☐ Limited Liability Partnership (LLP) ☐ Limited Liability Company (LLC) □ Corporation
 □ ☐ Other PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED: A-9 Exhibit A-9 "Principal Officers, Directors & Partners" provide the names, titles, addresses and telephone numbers of the applicant's principal officers, directors, partners, or other similar officials. Exhibit A-10 "Corporate Structure," provide a description of the applicant's corporate structure, including a graphical depiction of such structure, and a list of all affiliate and subsidiary companies that supply retail or wholesale electricity or natural gas to customers and companies that aggregate customers in North America. В. <u>APPLICANT MANAGERIAL CAPABILITY AND EXPERIENCE</u> PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED: Exhibit B-1 "Jurisdictions of Operation," provide a 1st of all jurisdictions in which **B-1** the applicant or any affiliated interest of the applicant is, at the date of filing the application, certified, licensed, registered, or otherwise authorized to provide retail or wholesale electric services including aggregation services. B-2 Exhibit B-2 "Experience & Plans," provide a description of the applicant's experience and plan for contracting with customers, providing contracted services, providing billing statements, and responding to customer inquiries and complaints in accordance with

Commission rules adopted pursuant to Section 4928.10 of the Revised Code.

- B-3 Exhibit B-3 "Disclosure of Liabilities and Investigations," provide a description of all existing, pending or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or any other matter that could adversely impact the applicant's financial or operational status or ability to provide the services it is seeking to be certified to provide.
- B-4 Disclose whether the applicant, a predecessor of the applicant, or any principal officer of the applicant have ever been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years.

 No System 1985

If yes, provide a separate attachment labeled as **Exhibit B-4 "Disclosure of Consumer Protection Violations"** detailing such violation(s) and providing all relevant documents.

B-5 Disclose whether the applicant or a predecessor of the applicant has had any certification, license, or application to provide retail or wholesale electric service including aggregation service denied, curtailed, suspended, revoked, or cancelled within the past two years.

☑No ☐Yes

If yes, provide a separate attachment labeled as **Exhibit B-5 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation"** detailing such action(s) and providing all relevant documents.

C. FINANCIAL CAPABILITY AND EXPERIENCE

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

- C-1 <u>Exhibit C-1 "Annual Reports,"</u> provide the two most recent Annual Reports to Shareholders. If applicant does not have annual reports, the applicant should provide similar information in Exhibit C-1 or indicate that Exhibit C-1 is not applicable and why.
- C-2 <u>Exhibit C-2 "SEC Filings,"</u> provide the most recent 10-K/8-K Filings with the SEC. If applicant does not have such filings, it may submit those of its parent company. If the applicant does not have such filings, then the applicant may indicate in Exhibit C-2 that the applicant is not required to file with the SEC and why.
- C-3 <u>Exhibit C-3 "Financial Statements,"</u> provide copies of the applicant's two most recent years of audited financial statements (balance sheet, income statement, and cash flow statement). If audited financial statements are not available, provide officer certified financial statements. If the applicant has not been in business long enough to satisfy this requirement, it shall file audited or officer certified financial statements covering the life of the business.

- C-4 <u>Exhibit C-4 "Financial Arrangements,"</u> provide copies of the applicant's financial arrangements to conduct CRES as a business activity (e.g., guarantees, bank commitments, contractual arrangements, credit agreements, etc.).
- C-5 <u>Exhibit C-5 "Forecasted Financial Statements,"</u> provide two years of forecasted financial statements (balance sheet, income statement, and cash flow statement) for the applicant's CRES operation, along with a list of assumptions, and the name, address, email address, and telephone number of the preparer.
- C-6 Exhibit C-6 "Credit Rating," provide a statement disclosing the applicant's credit rating as reported by two of the following organizations: Duff & Phelps, Dun and Bradstreet Information Services, Fitch IBCA, Moody's Investors Service, Standard & Poors, or a similar organization. In instances where an applicant does not have its own credit ratings, it may substitute the credit ratings of a parent or affiliate organization, provided the applicant submits a statement signed by a principal officer of the applicant's parent or affiliate organization that guarantees the obligations of the applicant.
- C-7 <u>Exhibit C-7 "Credit Report,"</u> provide a copy of the applicant's credit report from Experion, Dun and Bradstreet or a similar organization.
- C-8 Exhibit C-8 "Bankruptcy Information," provide a list and description of any reorganizations, protection from creditors or any other form of bankruptcy filings made by the applicant, a parent or affiliate organization that guarantees the obligations of the applicant or any officer of the applicant in the current year or within the two most recent years preceding the application.
- C-9 <u>Exhibit C-9 "Merger Information,"</u> provide a statement describing any dissolution or merger or acquisition of the applicant within the five most recent years preceding the application.

Mal R Burn, PRESIDENT Signature of Applicant & Title

Sworn and subscribed before me this 8th day of April , 2010
Month Year

Signature of official administering oath Print Nan

My commission expires on

KEVIN LEE BRADFORD

Netery Public / State of Ohio

Ny Commission has no expiration data

Sec. 147.63R.C.

Kevin L. Bradford

<u>AFFIDAVIT</u>

State of OHIO:	AURORA	SS.
County of PORTAGE :	(Town)	

MARK BURNS, Affiant, being duly sworn/affirmed according to law, deposes and says that:

INDEPENDENT ENERGY

He She is the PRESIDENT (Office of Affiant) of CONSULTANTS (Name of Applicant);

That he/she is authorized to and does make this affidavit for said Applicant,

- 1. The Applicant herein, attests under penalty of false statement that all statements made in the application for certification renewal are true and complete and that it will amend its application while the application is pending if any substantial changes occur regarding the information provided in the application.
- 2. The Applicant herein, attests it will timely file an annual report with the Public Utilities Commission of Ohio of its intrastate gross receipts, gross earnings, and sales of kilowatt-hours of electricity pursuant to Division (A) of Section 4905.10, Division (A) of Section 4911.18, and Division (F) of Section 4928.06 of the Revised Code.
- 3. The Applicant herein, attests that it will timely pay any assessments made pursuant to Sections 4905.10, 4911.18, or Division F of Section 4928.06 of the Revised Code.
- 4. The Applicant herein, attests that it will comply with all Public Utilities Commission of Ohio rules or orders as adopted pursuant to Chapter 4928 of the Revised Code.
- The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, and its Staff on any utility matter including the investigation of any consumer complaint regarding any service offered or provided by the Applicant.
- 6. The Applicant herein, attests that it will fully comply with Section 4928.09 of the Revised Code regarding consent to the jurisdiction of Ohio Courts and the service of process.
- 7. The Applicant herein, attests that it will use its best efforts to verify that any entity with whom it has a contractual relationship to purchase power is in compliance with all applicable licensing requirements of the Federal Energy Regulatory Commission and the Public Utilities Commission of Ohio.
- 8. The Applicant herein, attests that it will comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
- 9. The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, the electric distribution companies, the regional transmission entities, and other electric suppliers in the event of an emergency condition that may jeopardize the safety and reliability of the electric service in accordance with the emergency plans and other procedures as may be determined appropriate by the Commission.
- 10. If applicable to the service(s) the Applicant will provide, the Applicant herein, attests that it will adhere to the reliability standards of (1) the North American Electric Reliability Council (NERC), (2) the appropriate regional reliability council(s), and (3) the Public Utilities Commission of Ohio. (Only applicable if pertains to the services the Applicant is offering)

11. The Applicant herein, attests that it will inform the Commission of any material change to the information supplied in the renewal application within 30 days of such material change, including any change in contact person for regulatory purposes or contact person for Staff use in investigating customer complaints.

That the facts above set forth are true and correct to the best of his/her knowledge, information, and belief and that he/she expects said Applicant to be able to prove the same at any hearing hereof.

Signature of Affiant & Title

Sworn and subscribed before me this 8th day of April , 2010

Kein L. Br. Sh. J. Print Name and Title

My commission expires on

KEVIN LEE BRADFORD Notary Public / State of Ohio My Commission has no expiration date

Exhibit A-9 "Principal Officers, Directors & Partners"

Officers

Mark R. Burns, President 820 Deepwoods Dr. Aurora, Ohio 44202 (330) 995-2675

Regina M. Burns, Vice President 820 Deepwoods Dr. Aurora, Ohio 44202 (330) 995-2675

Regina M. Burns, Treasurer 820 Deepwoods Dr. Aurora, Ohio 44202 (330) 995-2675

Regina M. Burns, Secretary 820 Deepwoods Dr. Aurora, Ohio 44202 (330) 995-2675

Directors

Mark R. Burns 820 Deepwoods Dr. Aurora, Ohio 44202 (330) 995-2675

Regina M. Burns 820 Deepwoods Dr. Aurora, Ohio 44202 (330) 995-2675

Exhibit A-10 "Corporate Structure"

Independent Energy Consultants, Inc. has two full-time employees, four part-time employees and two contractors who provide administrative and information technology support. The office address is 820 Deepwoods Dr. Aurora, OH 44202. The corporation does not have any affiliates and subsidiary companies that supply retail or wholesale electricity or natural gas to customers in North America. The corporation seeks to outsource key functions where possible. It has and will hire additional contractors/employees for special projects or when the need arises.

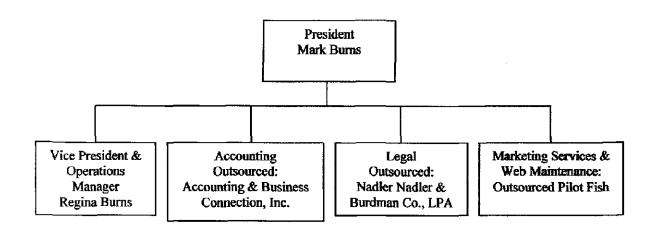


Exhibit B-1 "Jurisdictions of Operation"

Independent Energy Consultants, Inc. is certified by the Public Utilities Commission of Ohio to provide brokerage and aggregation services of natural gas and electricity throughout all deregulated areas of Ohio. They are similarly licensed in Virginia by the Virginia State Corporation Commission to provide brokerage and aggregation services of natural gas and electricity. Independent Energy Consultants, Inc. is also registered by the Public Utilities Commission of Texas as an Aggregator of Electric.

Exhibit B-2 "Experience & Plans"

Contract Services: With the aid of its legal counsel, Independent Energy Consultants, Inc. has developed a standard professional services agreement that it will use with its clients. It will also use the respective commodity suppliers' "Independent Agent Agreements" when brokering deals between suppliers and commercial and industrial customers.

Billing Statements: Independent Energy Consultants, Inc. brokers energy contracts for Commercial and Industrial customers and designs and implements Governmental Aggregation programs. In the process it never takes title to electricity, so there is no billing for the commodity. Independent Energy Consultants does provide invoices to its clients for consulting services rendered using a commercially available accounting system.

Customer Service Experience: Independent Energy Consultants, Inc. is currently administering Electric and/or Natural Gas Governmental Aggregation programs that impact a combination of over 100 Ohio communities. Independent Energy Consultants also provides brokerage service to many commercial and industrial customers outside of aggregation programs. Most questions and calls were answered immediately, and all were responded to within 24 hours of receipt. Customer service often came in the form of assisting residents who had contacted their local government and/or Choice supplier and who still had questions or disputes.

Frequent communication with and detailed quarterly reports to governmental aggregators was used as a customer service technique to head off problems before they arose. This involved training of municipal personnel and preparation of material such as Frequently Asked Questions (FAQs), press releases and conducting informational town hall meetings.

Customer Complaints and Inquiries: Independent Energy Consultants, Inc. has helped facilitate the resolution of numerous customer complaints. Virtually all of the questions and complaints, however, concerned matters involving the local utility and/or the supplier of choice.

Inquiries directed to Independent Energy Consultants, Inc. usually pertain to the customers seeking advice on the aggregation process, deciding whether or not to accept an offer, help understanding utility bills, etc.

Customer complaints or inquiries can be made in a number a ways. Customers may contact Independent Energy Consultants, Inc. by:

- Calling the direct number: (330) 995-2675
- Calling the toll free number: (888) 862-6060
- Sending a fax: (216) 274-9176
- Sending an e-mail: mburns@naturalgas-electric.com; <a href="mburns@natural
- Contact via the Independent Energy Consultants website: info@naturalgas-electric.com

Exhibit B-2 "Experience & Plans"

Part	ial List of Active Go	vernmental Aggregation Clients		
Community	Commodity	Community	Commodity	
Aurora	Electric	Massillon	Natural Gas	
Aurora	Natural Gas	Massillon	Electric	
Austintown Twp	Electric	Milton Twp ²	Electric	
Austintown Twp	Natural Gas	Mogadore	Natural Gas	
Barberton	Natural Gas	Munroe Fails	Natural Gas	
Beaver Twp ²	Electric	Munroe Falls	Electric	
Berlin Twp ²	Electric	Nimishillen Twp	Natural Gas	
Bethlehem Twp1	Natural Gas	North Canton	Natural Gas	
Boardman Twp	Electric	Norton	Natural Gas	
Boardman Twp	Natural Gas	Norton	Electric	
Canfield Twp	Natural Gas	Osnaburg Twp ¹	Natural Gas	
Canfield Twp	Electric	Paris Twp ¹	Natural Gas	
Canton	Natural Gas	Perry Twp ¹	Natural Gas	
Canton Twp ¹	Natural Gas	Perry Twp	Electric	
Coitsville Twp ²	Electric	Pike Twp ¹	Natural Gas	
Colerain Twp	Natural Gas	Plain Twp ¹	Natural Gas	
Colerain Twp	Electric	Poland Twp	Natural Gas	
Ellsworth Twp ²	Electric	Poland Twp	Electric	
Euclid	Natural Gas	Poland Village	Natural Gas	
Euclid	Electric	Poland Village	Electric	
Goshen Twp ²	Electric	Silver Lake	Natural Gas	
Green	Natural Gas	Silver Lake	Electric	
Green Twp ²	Electric	Springfield Twp	Natural Gas	
Hamilton Twp	Natural Gas	Springfield Twp	Electric	
Hartville	Electric	Springfield Twp ²	Electric	
Jackson Twp ¹	Natural Gas	Stark Council of Governments - 17 Communities	Natural Gas Public Owned Accounts	
Jackson Twp ²	Electric	Stow	Natural Gas	
Lake Twp ¹	Natural Gas	Stow	Electric	
Lawrence Twp ¹	Natural Gas	West Chester Twp	Electric	
Lexington Twp ¹	Natural Gas	West Chester Twp	Natural Gas	
Marlboro Twp ¹	Natural Gas	Youngstown	Natural Gas	

Member Stark County Governmental Aggregation Program
 Member Mahoning County Governmental Aggregation Program

Exhibit B-3 "Disclosure of Liabilities and Investigations"

Neither Independent Energy Consultants, Inc. nor any of its employees have ever had a judgment, investigation, or ruling against it. There are no circumstances that would financially or operationally impact its ability to perform the brokerage and aggregation service for which it seeks certification.

Exhibit C-1 "Annual Reports"

Independent Energy Consultants, Inc. is a privately held corporation, and as such, does not produce Annual Reports.

Exhibit C-2 "SEC Filings"

Independent Energy Consultants, Inc. is a privately held corporation, and as such, does not produce or file 10-K/8-K, 10-Q, etc., Reports with the Securities Exchange Commission.

Exhibit C-3 "Financial Statements"

Independent Energy Consultants, Inc. has filed this information Under Seal.

Exhibit C-4 "Financial Arrangements"

Independent Energy Consultants, Inc. does not need to rely on outside financial arrangements to conduct its business as a Power Broker/Aggregator. Independent Energy Consultants, Inc. is an energy-management consulting firm and does not take title to or trade energy, nor is it a capital intensive business.

Independent Energy Consultants, Inc. maintains a business checking account with Chase Bank in Aurora, Ohio.

Independent Energy Consultants, Inc. has business debit and credit cards with Chase Bank, and a Staples Office Supply credit card.

Exhibit C-5 "Forecasted Financial Statements"

Independent Energy Consultants, Inc. has filed this information Under Seal.

Exhibit C-6 "Credit Rating"

As a privately held S Corporation, Independent Energy Consultants, Inc. does not possess a published credit rating.

Exhibit C-7 "Credit Report"

The credit report for Independent Energy Consultants, Inc. as provided by Experian is provided on the following three pages.

Independent Energy Consultants, Inc. possesses a low-risk credit ranking score of 91 and an excellent on time payment record.

The company owners also have an unblemished personal credit history.

Independent Energy Consultants Exhibit C-7 "Credit Report"





CreditScoreSM Report

as of: 04/02/10 12:37 ET

Independent Energy Consultants

Address:

820 Deep Woods Dr

Aurora, OH 44202-9763

United States

Phone:

330-995-2670

Experian

750177526

Agent:

BIN:

Corporation Service Company

Agent

11 S 12TH ST

Address:

Richmond, VA

This location does not yet have an estimated Days Beyond Terms (DBT), or a Payment Trend Indicator. This is often the result of too few Payment Tradelines.

Key Personnel:

President: Mark Burns

SIC Code/Description:

8742 -

Business Type:

Incorporated

Experian File Established:

April 2004

Experian Years on File:

Years in Business:

6 Years

6 Years

Total Employees:

3

Sales:

\$500,000 - \$999,999

Filing Data Provided by: Virginia **Date of Incorporation:**

05/14/2004

Payment Tradelines (see charts):

2

UCC Filings:

0

✓ Businesses Scoring Worse:

✓ Bankruptcies:

0

91%

√ Liens:

Ū

✓ Judaments Filed:

0

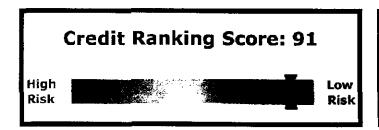
✓ Collections:

0

Independent Energy Consultants Exhibit C-7 "Credit Report"

Credit Summary

Back to top



The objective of the Credit Ranking Score is to predict payment behavior. High Risk means that there is a significant probability of delinquent payment. Low Risk means that there is a good probability of on-time payment.

Key Score Factors:

- Length of time on experian's commercial information file.
- Number of commercial accounts paying same as industry norm.

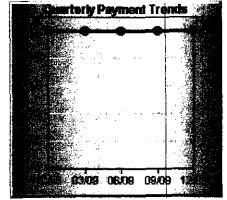
Recommended Action: Low Risk

Independent Energy Consultants Exhibit C-7 "Credit Report"

Payment Summary

Back to top

Insufficient information to produce Monthly Payment Trends chart.



*Percentage of on-time payments by quarter.

Insufficient information to produce

Monthly Payment Trends

table.

Qua	-	raym		Kecei	nt Act	IVICY
Date		nceCu		31-60	61-9	0 >90

Date B	alance(Current	Up to	31-60	61-90	>90
			30	DBT	DBT	DBT
]			DBT			
12/08	\$100	100%	0%	0%	0%	0%
03/09	\$100	100%	0%	0%	0%	0%
06/09	\$0	0%	0%	0%	0%	0%
09/09	\$0	0%	0%	0%	0%	0%
12/09	\$0	0%	0%	0%	0%	0%

Insufficient information to produce Continuous Payment Trends chart.

Insufficient information to produce Newly Reported Payment Trends chart.

Insufficient information to produce Combined Payment Trends chart.

Number of Accounts: 1 Present Balance: \$0 Highest Balance: \$400 Number of Accounts: 0 Present Balance: \$0 Highest Balance: \$0 Number of Accounts: 1 Present Balance: \$0 Highest Balance: \$400

© 2010 Experian Information Solutions Inc.

Back to top

^{*} The information herein is furnished in confidence for your exclusive use for legitimate business purposes and shall not be reproduced. Neither Experian nor its sources or distributors warrant such information nor shall they be liable for your use or reliance upon it.

Exhibit C-8 "Bankruptcy Information"

Independent Energy Consultants, Inc. has never filed for reorganization or bankruptcy protection.

Exhibit C-9 "Merger Information"

Independent Energy Consultants, Inc. became an Ohio corporation on April 8, 2004. Neither it nor its principals have ever been involved in a corporate dissolution, merger or acquisition.