



**Patriot Energy Group**

**Patriot Energy Group**  
1 Rounder Way  
Suite 200  
Burlington, MA 01803  
781 376-1888  
781 376-0519 (Fax)

[www.patriotenergygroup.com](http://www.patriotenergygroup.com)

**ORIGINAL**

**VIA EXPRESS MAIL**

August 24, 2011

Public Utilities Commission of Ohio  
Docketing Division  
180 East Broad Street  
Columbus, Ohio 43215-3793

**RE: Case No. 09-741-EL-AGG -- Renewal Application of Patriot Energy Group, Inc. as an Aggregator/Power Broker**

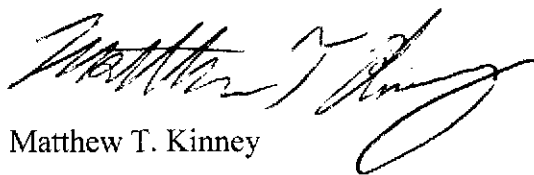
To whom it may concern:

Please find enclosed with this letter an original and ten (10) copies of Patriot Energy Group, Inc.'s ("PEG") Renewal Application of Patriot Energy Group, Inc. as an Aggregator/Power Broker, and associated exhibits.

Also, please take note that pursuant to Rule 4901-1-24(D), Louis A. Frate, as CEO on behalf of PEG, is respectfully moving that Exhibit C-3 (historical financial statements), Exhibit C-5 (forecasted financial statements), and Exhibit C-7 (credit report) be kept confidential. Enclosed are an original and twelve (12) copies of the motion and memorandum in support of the motion for confidentiality. According to the Commission's rules, the aforementioned exhibits (an original and three copies) are being filed **under seal** in a sealed envelope accompanying this letter, the motion, and the memorandum.

If there are any questions regarding this filing, do not hesitate to contact the undersigned at (781) 376-1888, ext 202, or by email at [mkinney@patriotenergygroup.com](mailto:mkinney@patriotenergygroup.com).

Sincerely,



Matthew T. Kinney

RECEIVED-DOCKETING DIV  
2011 AUG 25 PM 12:48  
PUCO

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 MI Date Processed AUG 25 2011



*The Public Utilities Commission of Ohio*

Original AGG Case Number	Version
09-741-EL-AGG	August 2004

## RENEWAL APPLICATION FOR AGGREGATORS/POWER BROKERS

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit A-10 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 so that you may input information directly onto the form.  
You may also download the form, by saving it to your local disk, for later use.**

### **A. RENEWAL INFORMATION**

#### **A-1 Applicant's legal name, address, telephone number, PUCO certificate number, and web site address**

Legal Name Patriot Energy Group, Inc.  
Address 1 Rounder Way, Suite 200, Burlington, MA 01803  
PUCO Certificate # and Date Certified 09-165E(1), September 24, 2009  
Telephone # (781) 376-1888 Web site address (if any) www.patriotenergygroup.com

#### **A-2 List name, address, telephone number and web site address under which Applicant will do business in Ohio**

Legal Name Patriot Energy Group, Inc.  
Address 1 Rounder Way, Suite 200, Burlington, MA 01803  
Telephone # (800) 343-4410 Web site address (if any) www.patriotenergygroup.com

#### **A-3 List all names under which the applicant does business in North America**

Patriot Energy Group, Inc.  
Mass. Patriot Energy Corp.

#### **A-4 Contact person for regulatory or emergency matters**

Name Matthew Kinney  
Title Counsel  
Business address 1 Rounder Way, Suite 200, Burlington, MA 01803  
Telephone # (781) 376-1888 Fax # (781) 376-0519  
E-mail address (if any) mkkinney@patriotenergygroup.com

**A-5 Contact person for Commission Staff use in investigating customer complaints**

Name Kristine Dolan  
Title Manager of Client Relations  
Business address 1 Rounder Way, Suite 200, Burlington, MA 01803  
Telephone # (800) 343-4410 Fax # (781) 376-0519  
E-mail address (if any) kdolan@patriotenergygroup.com

**A-6 Applicant's address and toll-free number for customer service and complaints**

Customer Service address 1 Rounder Way, Suite 200, Burlington, MA 01803  
Toll-free Telephone # (800) 343-4410 Fax # (781) 376-0519  
E-mail address (if any) issues@patriotenergygroup.com

**A-7 Applicant's federal employer identification number # 27-0021286**

**A-8 Applicant's form of ownership (check one)**

- |  |  |
|--|--|
| <input type="checkbox"/> Sole Proprietorship                 | <input type="checkbox"/> Partnership                     |
| <input type="checkbox"/> Limited Liability Partnership (LLP) | <input type="checkbox"/> Limited Liability Company (LLC) |
| <input checked="" type="checkbox"/> Corporation              | <input type="checkbox"/> 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.**

**A-10 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.**

**B. APPLICANT MANAGERIAL CAPABILITY AND EXPERIENCE**

**PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:**

**B-1 Exhibit B-1 "Jurisdictions of Operation," provide a list of all jurisdictions in which 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 ☐ Yes

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** **Exhibit C-1 "Annual Reports,"** 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** **Exhibit C-2 "SEC Filings,"** 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** **Exhibit C-3 "Financial Statements,"** 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 **Exhibit C-4 "Financial Arrangements,"** 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 **Exhibit C-5 "Forecasted Financial Statements,"** 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, e-mail 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 **Exhibit C-7 "Credit Report,"** provide a copy of the applicant's credit report from Experian, 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 **Exhibit C-9 "Merger Information,"** provide a statement describing any dissolution or merger or acquisition of the applicant within the five most recent years preceding the application.

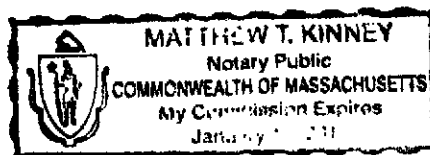
  
Signature of Applicant & Title

Sworn and subscribed before me this 23<sup>RD</sup> day of AUGUST, 2011  
Month Year

  
Signature of official administering oath

MATTHEW T. KINNEY, NOTARY PUBLIC  
Print Name and Title

My commission expires on 1/12/2018



# **AFFIDAVIT**

State of MASSACHUSETTS

Braintree ss.  
(Town)

County of MIDDLESEX

LOUIS A. FRATE, Affiant, being duly sworn/affirmed according to law, deposes and says that:

☒ He/She is the CEO (Office of Affiant) of PATROL ENERGY GROUP, INC. (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.
5. 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.

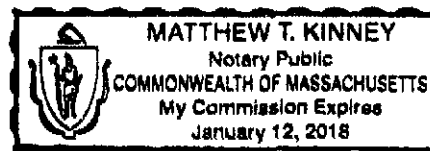
*[Signature]*, CEO  
Signature of Affiant & Title

Sworn and subscribed before me this 23<sup>RD</sup> day of AUGUST, 2011  
Month Year

*[Signature]*  
Signature of official administering oath

MATTHEW T. KINNEY, Notary Public  
Print Name and Title

My commission expires on 1/12/2018



**Exhibit A-9 “Principal Officers, Directors & Partners”**

Patriot Energy Group, Inc. has the following corporate officers and directors:

Louis A. Frate, President/CEO, Director

David Reinfeld, COO/Vice-President/Secretary/Treasurer, Director



**Exhibit A-10 “Corporate Structure”**

Patriot Energy Group, Inc. is a privately-held corporation and has no corporate parents or subsidiaries.

However, Mint Energy, LLC shares common ownership with Patriot Energy Group, Inc. Mint Energy, LLC is licensed to provide retail electric supply services in Maine, Massachusetts, Connecticut, Pennsylvania, and Rhode Island.

**Exhibit B-1 "Jurisdictions of Operations"**

Patriot Energy Group, Inc.

Connecticut, Electric Aggregator, Docket No. 06-12-35  
Delaware, Electric Broker, Docket No. 11-40  
Illinois, Electric Broker, ICC Case No. 10-0665  
Maine, Electric Broker, Docket No. 2007-515  
Maine, Registered Retail Gas Supplier  
Maryland, Licensed Broker, License Reference No. IR-2187  
Massachusetts, Electric Supplier, License No. CS-048  
Massachusetts, Electric Broker, License No. EB-031  
Massachusetts, Gas Broker, License No. RA-027  
New Jersey, Energy Agent, License Nos. EA-0078  
New Jersey, Private Aggregator, License Nos. PA-0072  
New Hampshire, Electric Broker, Docket No. DM-09-047  
New Hampshire, Gas Broker, Docket No. DM-09-145  
Ohio, Electric Broker, Case No. 09-0741-EL-AGG  
Ohio, Gas Broker, Case No. 10-2840-GA-AGG  
Pennsylvania, Electric Broker, Docket No. A-2009-2128946  
Pennsylvania, Gas Broker, Docket No. A-2009-2130754  
Rhode Island, Non-Regulated Power Producer, Docket No. D-96-6 (K4)  
Texas, Electric Aggregator, Registration No. 80265

Mint Energy, LLC (separate entity under common ownership with Patriot Energy Group, Inc.)

Connecticut, Electric Supplier, Docket No. 10-08-10  
Maine, Electric Supplier, Docket 2010-288  
Massachusetts, Electric Supplier, License No. CS-077  
Pennsylvania, Electric Supplier, Docket No. A-2010-2199478  
Rhode Island, Non-Regulated Power Producer, Docket No. D-96-6 (J4)

**Exhibit B-2 “Experience and Plans”**

Patriot Energy has provided retail electric and natural gas brokerage services to commercial and industrial customers since 2002. The company has placed over 10,000 accounts onto competitive energy supply agreements in over a dozen markets.

Pursuant to Section 4928.10 Patriot Energy Group, Inc. will continue to broker transactions between end users and licensed suppliers, and will not actually supply any commodity or provide billing statements.

Patriot Energy will continue to offer a variety of strategies including fixed and floating rates. Patriot Energy will continue to fully comply with all appropriate service requirements as outlined in Section 4928.10 of the Revised Code.

**Exhibit B-3 “Disclosure of Liabilities and Investigations”**

NONE

**Exhibit C-1 “Annual Reports”**

As a privately-held owner-managed corporation, Patriot Energy Group, Inc. does not issue annual reports to shareholders. For financial information, see Exhibit C-3.

**Exhibit C-2 “SEC Filings”**

Because Patriot Energy Group, Inc. is a privately-held corporation, it is not required to make—nor does it make—any filing with the SEC.

**Exhibit C-4 “Financial Arrangements”**

Patriot Energy Group, Inc. is renewing its license as an aggregator/broker and, as such, does not take title to any electricity. Therefore, this exhibit is not applicable.

**Exhibit C-6 “Credit Rating”**

For Patriot Energy Group Inc.’s credit rating, please see its credit report, attached as Exhibit C-7.



**Exhibit C-8 "Bankruptcy Information"**

NONE

**Exhibit C-9 "Merger Information"**

In January 2009, Patriot Energy Group, Inc. and Patriot Energy Management, Inc. merged. Patriot Energy Group, Inc. is the name of the surviving entity.