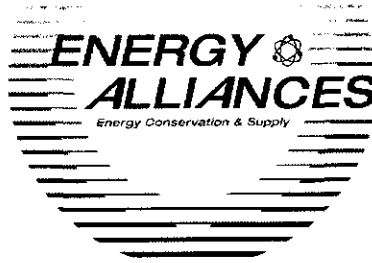


09-1048-EL-AGG²¹

FILE



Chuck Stockhausen
PUBLIC UTILITIES COMMISSION OF OHIO
DOCKETING DIVISION
180 East Broad Street
Columbus, OH 43215-3793

Re: 09-1048-EL-AGG

November 8, 2011

Chuck,

Enclosed are the following:

Motion for Extension of Time and Request for Expedited Ruling

Motion for Protective Order

3 complete copies of the Electric renewal package including the documents under seal of protective order.

7 copies of the Electric renewal package excluding the documents under seal of protective order.

Thank you very much for your assistance. If you need to contact me, please call 513-794-5555.

Sincerely,

Mark Bishop
Secretary

Cc: SF, BG

PUCO

2011 NOV -9 AM 11:45

RECEIVED-DOCKETING DIV

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The Public Utilities Commission of Ohio

Original AGG Case Number	Version
09-1048-EL-AGG	Amended 2009

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 Energy Alliances, Inc.
Address 8469 Blue Ash Road, Cincinnati, OH 45236
PUCO Certificate # and Date Certified 09-1048-EL-AGG October 29, 2009
Telephone # (513) 794-5555 Web site address (if any) www.energyalliances.com

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

Legal Name Energy Alliances, Inc.
Address 8469 Blue Ash Road, Cincinnati, OH 45236
Telephone # (513) 794-5555 Web site address (if any) www.energyalliances.com

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

Energy Alliances, Inc.

A-4 Contact person for regulatory or emergency matters

Name Charles Spence Faxon
Title President
Business address 8469 Blue Ash Road, Cincinnati, OH 45236
Telephone # (513) 794-5555 Fax # (513) 794-7777
E-mail address (if any) sfaxon@energyalliances.com

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

Name Charles Spence Faxon
Title President
Business address 8469 Blue Ash Road, Cincinnati, OH 45236
Telephone # (513) 794-5555 Fax # (513) 794-7777
E-mail address (if any) sfaxon@energyalliances.com

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

Customer Service address 8469 Blue Ash Road, Cincinnati, OH 45236
Toll-free Telephone # (800) 735-0359 Fax # (888) 735-0359
E-mail address (if any) sfaxon@energyalliances.com

A-7 Applicant's federal employer identification number # 31-1159005

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.

Charles Spence *James Pres*
Signature of Applicant & Title

Sworn and subscribed before me this 8th day of Nov., 2011
Month Year

Donna Rohdenburg Farrell **DONNA ROHDENBURG FARRELL**
Signature of official administering oath Print Name and Title
Notary Public, State of Ohio
Commission Expires 9-6-15



My commission expires on Sept. 6, 2015

AFFIDAVIT

State of Ohio :

Cincinnati ss.
(Town)

County of Hamilton

Charles Spruce Jaxon, Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/She is the President (Office of Affiant) of Energy Alliance 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.

Charles Spencer Ferson Pres
Signature of Affiant & Title

Sworn and subscribed before me this 8th day of NOV., 2011
Month Year

Donna Rohdenburg Farrell
Signature of official administering oath

DONNA ROHDENBURG FARRELL
Notary Public, State of Ohio
My Commission Expires 9.6.15



My commission expires on Sept. 6, 2015

Exhibit A-9
Principal Officers

Energy Alliances, Inc.
<http://www.energyalliances.com>

8469 Blue Ash Road
Cincinnati, OH 45236-1992
800-735-0359 Phone Toll Free
888-735-0359 Fax Toll Free
513-794-5555 Phone Local
513-794-7777 Fax Local

Charles Spence Faxon, President
sfaxon@energyalliances.com

William Grafe, Vice President
bgrafe@energyalliances.com

John D. Faxon, Treasurer
jfaxon@energyalliances.com

Mark A. Bishop, Secretary
mbishop@energyalliances.com

Exhibit A-10
Corporate Structure

Corporation, 100% owned by Charles Spence Faxon. Will participate in all deregulated markets geographically. Energy Alliances, Inc. nor Charles Spence Faxon has any affiliate subsidiary companies that supply retail or wholesale natural gas or electricity to customers in North America.

Energy Alliances, Inc. is independent.

Charles Spence Faxon, President

William Grafe
Vice President

John D. Faxon
Treasurer

Mark A. Bishop
Secretary

Exhibit B-1
Jurisdiction of Operations

Authorized to provide electric service in:

OH

KY

Exhibit B-2
Experience & Plans

Energy Alliances, Inc. provides services to residential (through aggregation), commercial, mercantile and industrial customers. We establish a working relationship with the client, review the client's utility history and provide the client options as well as a suggested strategy for lowering its energy costs while managing its exposure to risk. The managing partners of Energy Alliances, Inc. answer customer inquiries personally. The company is staffed by the original founding members. We have a highly experienced Data Department Manager who has been with the company for over 19 years.

Energy Alliances, Inc. is a broker not a supplier. Energy Alliances, Inc. will not be billing customers but customer service is available through established channels with the supplier as well as our company to ensure the customer's understanding and facilitate complaint resolution in accordance with Commission rules adopted pursuant to Section 4929.22 of the Revised Code and contained in Chapter 4909:1-29 of the Ohio Administrative Code.

Exhibit B-3
Disclosure of Liabilities and Investigations

None

Exhibit C-1
Annual Report

Energy Alliances, Inc. is not required to produce an annual report.

Exhibit C-2
SEC Filings

Energy Alliances, Inc. is a broker/sales agent only and does not take title to the natural gas or electric, is not a public entity. Energy Alliances, inc. is an Ohio Corporation, 100% of its stock is owned by Charles Spence Faxon, so no SEC filing is required.

Exhibit C-3
Financial Statements

Energy Alliances, Inc. is a privately held corporation and these documents are "CONFIDENTIAL" and are being filed separately under seal along with the appropriate "Motion for Protective Order"

Exhibit C-4
Financial Arrangements

Energy Alliances, Inc. is a broker/sales agent only and does not take title to the natural gas or electric, is not a public entity. EAI does not require any loans to operate.

Exhibit C-5
Forecasted Financial Statements

Energy Alliances, Inc. is a privately held corporation and these documents are "CONFIDENTIAL" and are being filed separately under seal along with the appropriate "Motion for Protective Order"

Exhibit C-6
Credit Rating

Energy Alliances, Inc. is a privately held corporation and these documents are "CONFIDENTIAL" and are being filed separately under seal along with the appropriate "Motion for Protective Order"

Exhibit C-7
Credit Report

Energy Alliances, Inc. is a privately held corporation and these documents are "CONFIDENTIAL" and are being filed separately under seal along with the appropriate "Motion for Protective Order"

Exhibit C-8
Bankruptcy Information

Energy Alliances, Inc. has not had 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 since applicant last filed for certification.

Exhibit C-9
Merger Information

Energy Alliances, Inc. has had no dissolution or mergers or acquisition of the applicant since the applicant last filed for certification.