



The Public Utilities Commission of Ohio

Original AGG Case Number	Version
12. 2346-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 Commercial and Industrial Energy Solutions, LLC
Address 20 Glover Avenue, Norwalk, CT 06851
PUCO Certificate # and Date Certified _____
Telephone # (203) 663-9751 Web site address (if any) www.cienergysolutions.com

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

Legal Name Commercial and Industrial Energy Solutions, LLC
Address 20 Glover Avenue, Norwalk, CT 06851
Telephone # (203) 663-9751 Web site address (if any) www.cienergysolutions.com

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

Commercial & Industrial Energy _____
Solutions, LLC _____

- A-4 Contact person for regulatory or emergency matters

Name Keenia Joseph
Title Director, Regulatory Affairs
Business address 20 Glover Avenue, Norwalk, CT 06851
Telephone # (203) 663-9757 Fax # (203) 663-9762
E-mail address (if any) Kjoseph@napower.com

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

Name Rick Beckwith
Title Director
Business address 20 Glover Avenue, Norwalk, CT 06851
Telephone # (203) 663-9751 Fax # (203) 663-8616
E-mail address (if any) rick@cienergysolutions.com

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

Customer Service address Rick Beckwith, 20 Glover Avenue, Norwalk, CT 06851
Toll-free Telephone # (203) 663-9751 Fax # (203) 663-8616
E-mail address (if any) rick@cienergysolutions.com

A-7 Applicant's federal employer identification number # 272232938

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 checked="" type="checkbox"/> Limited Liability Company (LLC) |
| <input 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. Please see Exhibit A-9

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. Please see Exhibit A-10

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. Please see Exhibit B-1

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. Please see Exhibit B-2

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. **Please see Exhibit B-3**

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.

Please see Exhibit C-1

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. **Please see Exhibit C-2**

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. **Please see Exhibit C-3. CONFIDENTIAL**

- 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.). **Please see Exhibit C-4.**
- 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. **Please see Exhibit C-5.** CONFIDENTIAL
- 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. **Please see Exhibit C-6**
- 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. **Please see Exhibit C-7**
- 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. **Please see Exhibit C-8**
- 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. **Please see Exhibit C-9.**



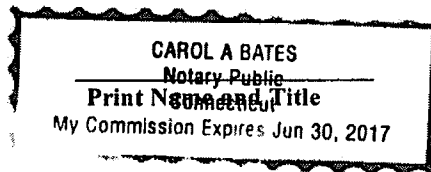
Signature of Applicant & Title

Director

Sworn and subscribed before me this 11th day of September 2014
Month Year



Signature of official administering oath



My commission expires on _____

AFFIDAVIT

State of Conneticut:

Norwalk ss.
(Town)

County of Fairfield:

Rick Beckwith, Affiant, being duly sworn/affirmed according to law, deposes and says that: He is the

Director (Office of Affiant) of Commercial and Industrial Energy Solutions, LLC (Name of Applicant);

That he 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)

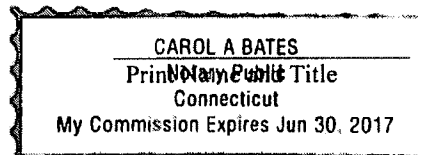
11. The Applicant herein, attests that it will inform the Commission of any material change to the information supplied in the renewal application within 30 days of such material change, including any change in contact person for regulatory purposes or contact person for Staff use in investigating customer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

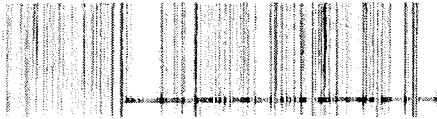

Signature of Affiant & Title
Director

Sworn and subscribed before me this 11th day of September 2014
Month Year


Signature of official administering oath



My commission expires on _____



Commercial and Industrial Energy Solutions, LLC
Certification No. 12-2386-EL-AGG

Exhibit A-9

Principal Officers, Directors & Partners

Carey Turnbull, Founder and Chairman
20 Glover Avenue
Norwalk, CT 06850

Kerry Breitbart, CEO
20 Glover Avenue
Norwalk, CT 06850
T: 203-663-9702

William Kinneary
20 Glover Avenue
Norwalk, CT 06850
T: 203-663-9730

Rick Beckwith, Director
20 Glover Avenue
Norwalk, CT 06850
T: 203-663-9751

Exhibit A-10

Corporate Structure

Please find the applicant's corporate structure as represented by the organizational chart below.

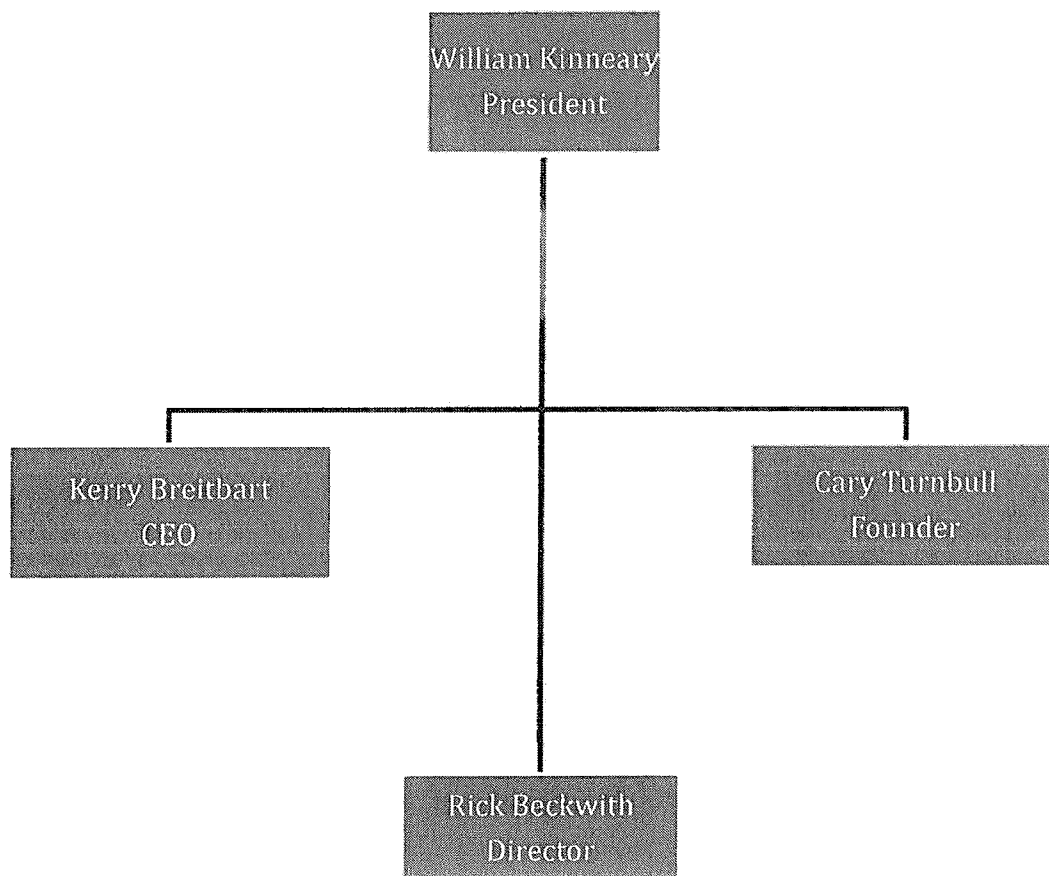


Exhibit B-1

Jurisdictions of Operations

Commercial and Industrial Energy Solutions, LLC is currently licensed as a broker/marketer serving the Energy Supplier Markets in Connecticut, Illinois, Maryland, New Jersey, New York, and Texas.

Exhibit B-2

Experience and Plans

Commercial and Industrial Energy Solutions LLC ("C&I") has a proven track record in the electric and natural gas industry as broker/marketer licensed in and serving the Energy Supplier Markets in Connecticut, Illinois, Maryland, New Jersey, New York, Pennsylvania and Texas.

C&I will at no time be taking title to electric energy, nor will it be contracting directly with Retail Customers in Ohio. C&I will serve only in the capacity of a Power Broker and will not be providing any billing statements to customers nor will it be accepting prepayments or deposits. Customer inquiries and/or complaints can be handled directly by C&I as outlined below or through the customers Local Delivery Company.

C&I follows certain protocols and sets company policy to both monitor and control the quality of its outreach and to fulfill its duty as a Power Broker. First, any and all employees who will have contact with the public are trained in the Energy Industry basics and then are trained specific to each program it offers to the consumer within each specific program guideline. Company disciplinary procedures and implementation of those procedures are also keyed to the industry and designed from the view of complete professionalism on the part of every company employee.

C&I will, at all times, handle customer inquiries and complaints in accordance with any and all applicable Commission rules, regulations and orders pursuant to Section 4928.10 or the Ohio Revised Code.

Exhibit B-3

Disclosure of Liabilities and Investigations

Applicant has never had any investigations, pending or past rulings or judgments, liabilities or any other matter that could adversely impact its financial or operational status or ability to provide Power Broker services.

Exhibit C-1

Annual Reports

Commercial and Industrial Energy Solutions, is a limited liability company, it does not have shareholders and does not issue annual reports.

Exhibit C-2

SEC Filings

As a privately held company, C&I is not required to file with the Securities and Exchange Commission.

Exhibit C-3

Financial Statements

Please see attached Financial Statements.

Exhibit C-4

Financial Arrangements

Applicant does not have any financial arrangements mentioned in Exhibit C-4.

Exhibit C-5

Forecasted Financial Statements

Please see attached the Forecasted Financial Statements.

Exhibit C-6

Credit Rating

Applicant is a privately held Limited Liability brokering entity which is not rated by the specified organizations.

Exhibit C-7

Credit Report

Applicant is a privately held Limited Liability brokering entity which is not rated by the specified organizations.

Exhibit 8

Bankruptcy Information

Applicant has not had any bankruptcy filings or reorganizations within the most recent two preceding years.

Exhibit C-9

Merger Information

Applicant does not have any dissolution or merger or acquisition within the five most recent years preceding the renewal of this application.

This foregoing document was electronically filed with the Public Utilities

Commission of Ohio Docketing Information System on

9/12/2014 4:09:58 PM

in

Case No(s). 12-2386-EL-AGG

Summary: Application for Renewal Certification as a Competitive Retail Electric Aggregator/
Power Broker electronically filed by Ms. Margeaux Kimbrough on behalf of Commercial and
Industrial Energy Solutions, LLC