



Public Utilities Commission

| Original AGG Case Number | Version |
|-----------------------------|-------------|
| 13-342-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 Assured NL Insurance Services, Inc.
Address 4000 Smith Road Suite 400, Cincinnati, OH 45209
PUCO Certificate # and Date Certified 13-642E 3/3/2013
Telephone # (513) 333-0700 Web site address (if any) www.neacelukens.com

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

Legal Name Assured NL Insurance Services, Inc.
Address 4000 Smith Road Suite 400, Cincinnati, OH 45209
Telephone # (513) 333-0700 Web site address (if any) www.neacelukens.com

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

CORE Solutions Property Services

A-4 Contact person for regulatory or emergency matters

Name Jeffrey L Liebert
Title Director of Property Services
Business address 4000 Smith Road Suite 400, Cincinnati, OH 45209
Telephone # (513) 333-0700 Fax # (513) 333-0071
E-mail address (if any) jeff.liebert@neacelukens.com

PUCO

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Technician And Date Processed 2/13/15

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

Name Jeffrey L Liebert
Title Director of Property Services
Business address 4000 Smith Road Suite 400, Cincinnati, OH 45209
Telephone # (513) 333-0700 Fax # (513) 333-0071
E-mail address (if any) jeff.liebert@neacelukens.com

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

Customer Service address 4000 Smith Road Suite 400, Cincinnati, OH 45209
Toll-free Telephone # (888) 499-8092 Fax # (513) 333-0071
E-mail address (if any) jeff.liebert@neacelukens.com

A-7 Applicant's federal employer identification number # 45-2712519

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.

Paul B. Budde, CFO
Signature of Applicant & Title

Sworn and subscribed before me this 11th day of February, 2015
Month Year

Mary Beth Milling
Signature of official administering oath

MARY BETH MILLING
Print Name and Title

My commission expires on MAY 19, 2018



Mary Beth Milling
Notary Public, State of Ohio
My Commission Expires 05-19-2018

AFFIDAVIT

State of Ohio :

Cincinnati
(Town)

County of Hamilton:

Gerald B. Budder, Affiant, being duly sworn/affirmed according to law, deposes and says that:
He/She is the CFO (Office of Affiant) of Assured NL Insurance Services 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.

Donald B. Budde, CFO

Signature of Affiant & Title

Sworn and subscribed before me this 11th day of February, 2015

Month

Year

Mary Beth Milling
Signature of official administering oath

MARY BETH MILLING
Print Name and Title

My commission expires on MAY 19, 2018



Mary Beth Milling
Notary Public, State of Ohio
My Commission Expires 05-19-2018

Exhibit A-9 -- Principal Officers, Directors and Partners

Assured NL Insurance Services, Inc.

**Jim Henderson – Senior Vice President and Director
200 Colonial Center Pkwy, Suite 150, Lake Mary, FL 32746
407-708-0029**

**Thomas E Riley – Senior Vice President and Director
200 Colonial Center Pkwy, Suite 150, Lake Mary, FL 32746
407-708-0027**

**Paul Vredenburg -- Senior Vice President and Director
97 Quail Run, Glastonbury, CT 06033
502-259-9335**

**Larry P Schaefer – Chief Executive Officer
2305 River Road, Louisville, KY 40206
502-259-9335**

**Timothy J. Devine – Senior Vice President
4000 Smith Road, Suite 400, Cincinnati, OH 45209
513-624-1794**

**Gerald B. Budde – Chief Financial Officer
4000 Smith Road, Suite 400, Cincinnati, OH 45209
513-624-1794**

Exhibit A-10 -- Corporate Structure

Assured NL Insurance Services, Inc.

Assured NL Insurance Services, Inc. (a Delaware corporation) is a subsidiary of AssuredPartners Capital, Inc. (a Delaware corporation), which is a subsidiary of AssuredPartners, Inc. (a Delaware corporation), which is a subsidiary of AssuredPartners, LLC (a Delaware limited liability company). See attached exhibit A-10 for a graphical depiction of the current legal entity structure of AssuredPartners, LLC.

None of the affiliate or subsidiary companies supply retail or wholesale electricity or natural gas to customers and companies that aggregate customers in North America.

Exhibit A-10

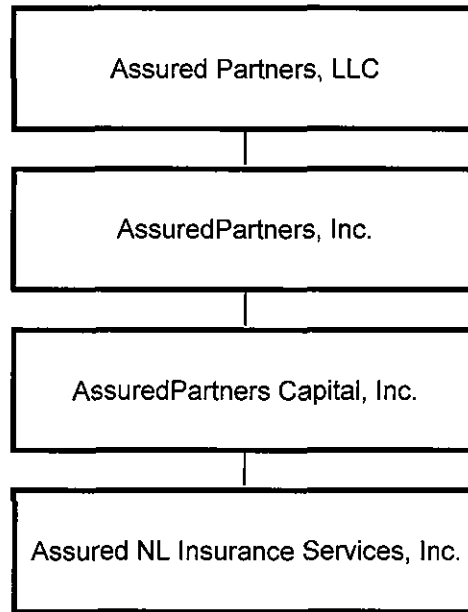


Exhibit B-1 -- Jurisdiction of Operation

Assured NL Insurance Services, Inc.

Assured NL is currently licensed, certified, registered or otherwise authorized to provide retail or wholesale electric services in Ohio.

Exhibit B-2 -- Experience & Plans

Assured NL Insurance Services, Inc.

Assured NL is applying for recertification as a Government Aggregator/Power Broker. Assured NL Insurance Services, Inc. assumes no contractual or legal responsibility for the sale or arrangement for the supply of retail electric generation service to retail customers and Applicant will never take title to any power. Assured NL Insurance Services, Inc. is a marketing representative that looks to connect its existing customer base with licensed sellers of retail electric power in the State of Ohio. Assured NL Services, Inc. will be acting as a broker for these transactions, but not squarely within the definition of Power Broker under the Ohio Administrative Code. In addition, subsequent to Assured NL Insurance Services, Inc. making the introduction of a potential customer to the actual supplier of retail power and assisting in establishing a contractual relationship directly between such retail power supplier and the customer, Assured NL Insurance Services, Inc. has no involvement in customer service, billing, the contract or the provision of power.

Exhibit B-3 -- Disclosure of Liabilities and Investigations

Assured NL Insurance Services, Inc.

None

Exhibit B-4 -- Disclosure of Consumer Protection Violations

Assured NL Insurance Services, Inc.

Not applicable

Exhibit B-5 -- Disclosure of Certification, Denial, Curtailment, Suspension or Revocation

Assured NL Insurance Services, Inc.

Not applicable

Exhibit C-1 -- Annual Reports

Assured NL Insurance Services, Inc.

Not applicable – the ultimate parent company of Assured NL Insurance Services, Inc., AssuredPartners, LLC was founded in 2011 and has not issued an Annual Report to Members. Per the enclosed Exhibit A-10, Corporate Structure, Assured NL Insurance Services, Inc. is not a significant business unit.

Exhibit C-2 -- SEC Filings

Assured NL Insurance Services, Inc.

The ultimate parent company of Assured NL Insurance Services, Inc., AssuredPartners, LLC was founded in 2011 and is primarily owned by a private equity investment firm and is not required to file Form 10-K or Form 8-K with the SEC.

EXHIBIT C-3

HAS BEEN FILED UNDER SEAL

Exhibit C-4 -- Financial Arrangements

Assured NL Insurance Services, Inc.

As discussed previously in this application, Assured NL Insurance Services, Inc. will not be conducting the transitional aspects of a CRES. As a result, no financial or other arrangements are required to be put in place. Assured NL Insurance Services, Inc. will simply market the services of other licensed CRES providers to potential customers, assist in getting a formal contractual relationship established as required by the customer and earn a fee from the CRES for facilitating such arrangement.

EXHIBIT C-5

HAS BEEN FILED UNDER SEAL

Exhibit C-6 -- Credit Rating

Assured NL Insurance Services, Inc.

Assured NL Insurance Services, Inc. does not have a credit rating. As discussed above, Assured NL Services, Inc. will not be taking on any contractual or other legal obligation with respect to any retail power customer. Assured NL Insurance Services, Inc. is just a marketing company and all contractual obligations with any retail power customer will be with another licensed CRES.

Exhibit C-7 -- Credit Report
Assured NL Insurance Services, Inc.

Not applicable

Exhibit C-8 -- Bankruptcy Information

Assured NL Insurance Services, Inc.

Not applicable – company founded in 2011

Exhibit C-9 -- Merger Information

Assured NL Insurance Services, Inc.

Not applicable – company founded in 2011