

PUCO USE ONLY - Version 1.07		
Date Received	Case Number	Certification Number
	15-478- GA-AGG	

CERTIFICATION APPLICATION
COMPETITIVE RETAIL NATURAL GAS BROKERS /AGGREGATORS

(3D)

Please type or print all required information. Identify all attachments with an exhibit label and title (*Example: Exhibit A-16 - Company History*). 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 directly input information onto the form. You may also download the form by saving it to your local disk.

SECTION A - APPLICANT INFORMATION AND SERVICES

A-1 Applicant intends to be certified as: (check all that apply)

☒ Retail Natural Gas Aggregator ☒ Retail Natural Gas Broker

A-2 Applicant information:

Legal Name Connixture LLC
Address 301 Minor Ave N #202 Seattle, WA 98109
Telephone No. 2063791710 Web site Address www.connixture.com

A-3 Applicant information under which applicant will do business in Ohio:

Name Connixture Energy
Address 301 Minor Ave N #202 Seattle, WA 98109
Web site Address www.connixture.com Telephone No. 2063791710

A-4 List all names under which the applicant does business in North America:

connixture llc connixture energy

A-5 Contact person for regulatory or emergency matters:

Name Jason Duty Title President, CEO
Business Address 301 Minor Ave N #202 Seattle, WA 98109
Telephone No. 2063791710 Fax No. 5094614041 Email Address jduty@connixture.com

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2015 MAR 10 AM 11:05

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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. Date Processed MAR 10 2015 Technician

A-6 Contact person for Commission Staff use in investigating customer complaints:

Name Jason Duty Title President, CEO
Business address 301 Minor Ave N #202 Seattle, WA 98109
Telephone No. 2063791710 Fax No. 5094614041 Email Address jduty@connexture.com

A-7 Applicant's address and toll-free number for customer service and complaints

Customer service address 301 Minor Ave N #202 Seattle, WA 98109
Toll-Free Telephone No. Fax No. 5094614041 Email Address jduty@connexture.com

A-8 Provide "Proof of an Ohio Office and Employee," in accordance with Section 4929.22 of the Ohio Revised Code, by listing name, Ohio office address, telephone number, and Web site address of the designated Ohio Employee

Name JOHN CORRENTI Title REGIONAL SALES MANAGER
Business address PO Box 42336 Cleveland, OH 44130
Telephone No. (440) 832-1834 Fax No. 5094614041 Email Address JCorrenti@connexture.com

A-9 Applicant's federal employer identification number 472373754

A-10 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 |

A-11 (Check all that apply) Identify each natural gas company service area in which the applicant is currently providing service or intends to provide service, including identification of each customer class that the applicant is currently serving or intends to serve, for example: residential, small commercial, and/or large commercial/industrial (mercantile) customers. (A mercantile customer, as defined in Section 4929.01(L)(1) of the Ohio Revised Code, means a customer that consumes, other than for residential use, more than 500,000 cubic feet of natural gas per year at a single location within the state or consumes natural gas, other than for residential use, as part of an undertaking having more than three locations within or outside of this state. In accordance with Section 4929.01(L)(2) of the Ohio Revised Code, "Mercantile customer" excludes a not-for-profit customer that consumes, other than for residential use, more than 500,000 cubic feet of natural gas per year at a single location within this state or consumes natural gas, other than for residential use, as part of an undertaking having more than three locations within or outside this state that has filed the necessary declaration with the Public Utilities Commission.)

<input checked="" type="checkbox"/>	Columbia Gas of Ohio	<input type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/>	Dominion East Ohio	<input type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/>	Duke Energy Ohio	<input type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/>	Vectren Energy Delivery of Ohio	<input type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial

A-12 If applicant or an affiliated interest previously participated in any of Ohio's Natural Gas Choice Programs, for each service area and customer class, provide approximate start date(s) and/or end date(s) that the applicant began delivering and/or ended services.

☐ Columbia Gas of Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

☐ Dominion East Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

☐ Duke Energy Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

☐ Vectren Energy Delivery of Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

A-13 If not currently participating in any of Ohio's four Natural Gas Choice Programs, provide the approximate start date that the applicant proposes to begin delivering services:

<input checked="" type="checkbox"/>	Columbia Gas of Ohio	Intended Start Date	3/28/2015
<input checked="" type="checkbox"/>	Dominion East Ohio	Intended Start Date	3/28/2015
<input checked="" type="checkbox"/>	Duke Energy Ohio	Intended Start Date	3/28/2015
<input checked="" type="checkbox"/>	Vectren Energy Delivery of Ohio	Intended Start Date	3/28/2015

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

- A-14 Exhibit A-14 "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-15 Exhibit A-15 "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 natural gas or electricity to customers in North America.
- A-16 Exhibit A-16 "Company History,"** provide a concise description of the applicant's company history and principal business interests.
- A-17 Exhibit A-17 "Articles of Incorporation and Bylaws,"** if applicable, provide the articles of incorporation filed with the state or jurisdiction in which the applicant is incorporated and any amendments thereto.
- A-18 Exhibit A-18 "Secretary of State,"** provide evidence that the applicant is currently registered with the Ohio Secretary of the State.

SECTION 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 current 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 natural gas service, or retail/wholesale electric services.
- B-2 Exhibit B-2 "Experience & Plans,"** provide a current 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 4929.22 of the Revised Code and contained in Chapter 4901:1-29 of the Ohio Administrative Code.
- B-3 Exhibit B-3 "Summary of Experience,"** provide a concise and current summary of the applicant's experience in providing the service(s) for which it is seeking to be certified to provide (e.g., number and types of customers served, utility service areas, volume of gas supplied, etc.).
- B-4 Exhibit B-4 "Disclosure of Liabilities and Investigations,"** provide a description of all existing, pending or past rulings, judgments, contingent liabilities, revocations 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-5 Exhibit B-5 "Disclosure of Consumer Protection Violations,"** disclose whether the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant has 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-5 "Disclosure of Consumer Protection Violations," detailing such violation(s) and providing all relevant documents.

- B-6 Exhibit B-6 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation,"** disclose whether the applicant or a predecessor of the applicant has had any certification, license, or application to provide retail natural gas or retail/wholesale electric service denied, curtailed, suspended, or revoked, or whether the applicant or predecessor has been terminated from any of Ohio's Natural Gas Choice programs, or been in default for failure to deliver natural gas.

☒ No ☐ Yes

If Yes, provide a separate attachment, labeled as Exhibit B-6 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation," detailing such action(s) and providing all relevant documents.

SECTION C - APPLICANT 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, labeled as 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 whether 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 current financial arrangements to conduct competitive retail natural gas service (CRNGS) 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 CRNGS operation, along with a list of assumptions, and the name, address, email address, and telephone number of the preparer.

A-14 "Principal Officers, Directors & Partners

Jason W Duty

President & CEO

301 Minor Ave N #202 Seattle, WA 98109

206.379.1710 – Direct

- No other principal officers, directors, partners, etc. at this time.

A-15 "Corporate Structure"

We are simply an LLC. We have no other affiliates, and are not using a holding company with other LLC's.

A-16 "Company History"

Connexure LLC (also dba as Connexure Energy) was founded by our current President & CEO Jason Duty in 2013. The company in 2013 was not operable, as Jason just wanted to hold the name from being used by other entities in his home state of WA. After reading about energy deregulation in several states & reflecting back on his experience with financial & insurance brokerage services, decided this was a great fit for his skill set and background. From here we looked at the requirements needed to get started in the state of OH to serve business owners.

Connexure LLC's business interests reside solely at this time in brokering electricity and natural gas for businesses. We do not intend to serve the residential market at this time. Ohio is our first state in which we intend to be licensed. We are not taking title, only brokering/aggregating electricity & natural gas. We are looking to serve all utilities in the state, not just certain counties/specific utilities. The types of businesses that we intend to be our core customers include small, medium & large commercial and industrial companies.

A17 – “Articles of Incorporation & Bylaws”

Connexure LLC does not have articles of incorporation, now bylaws. This is not applicable to our company (LLC).



DATE	DOCUMENT ID	DESCRIPTION	FILING	EXPED	PENALTY	CERT	COPY
11/12/2014	201430400567	REG. OF FOR. PROFIT LIM. LIAB. CO. (LFP)	125.00	0.00	0.00	0.00	0.00

Receipt

This is not a bill. Please do not remit payment.

CONNEXTURE LLC
JASON DUTY
301 MINOR AVE N #202
SEATTLE, OH 98109

**STATE OF OHIO
CERTIFICATE**

Ohio Secretary of State, Jon Husted
2342020

It is hereby certified that the Secretary of State of Ohio has custody of the business records for

CONNEXTURE LLC

and, that said business records show the filing and recording of:

Document(s)

REG. OF FOR. PROFIT LIM. LIAB. CO.

Effective Date: 11/12/2014

Document No(s):

201430400567



United States of America
State of Ohio
Office of the Secretary of State

Witness my hand and the seal of the
Secretary of State at Columbus, Ohio this
12th day of November, A.D. 2014.

Jon Husted

Ohio Secretary of State

B-1 "Jurisdictions of Operation"

Connixture LLC is not currently authorized in any way yet to provide aggregation/brokerage services because this Power Brokers application hasn't been submitted & approved yet. We intend on becoming licensed and authorized to provide these services in the state of OH. Per A-15, we are licensed and authorized as a foreign LLC in the state of OH, however all other business activities are on hold until our Power Brokers application is approved.

B-2 "Experience & Plans"

We are a new startup brokerage, so our experience isn't there just yet...we are just getting started. There is no experience to date because we are still going through all necessary licensing requirements with the state of OH, with this application being the final authorization we need to open our doors and give us experience of serving customers.

In regards to responding to customer complaints & inquiries & questions, our President & CEO (Jason Duty) will handle all requests, complaints and questions directly. Jason Duty is responsible for dealing with these situations as they arise. This will change as the company grows, in which case Connexure LLC will most certainly update this information and provide to the PUC of OH.

B-3 "Summary of Experience"

There is no experience with thus far, because again our full licensing requirements are still being finalized.

B-4 "Disclosure of Liabilities and Investigations"

Neither Connexure LLC nor its President & CEO Jason Duty has existing nor previously had rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations or any other matters negatively impacting (or impacted) our financial or operational status/ability to provide services we are seeking licensing for.

There is nothing in the past, nor currently negatively or adversely affecting our company nor its sole employee at this time.

C-1 "Annual reports"

*** Not applicable because we are an LLC & do not have shareholders and are not a publicly traded company. We are simply a new company/startup and operate as a legal LLC.

C-2 "SEC Filings"

We are not publicly traded, and do not have shareholders. This is not applicable to Connixture LLC.

C-3 "Financial Statements"

We are new and not been in business yet. We simply do not have audited financial statements yet, because we aren't fully licensed to transact business at this time...this process is still under way.

C-4 "Financial Arrangements"

Connexcture LLC does not have any financial obligations nor arrangements. Startup costs & expenses are minimal to this point, and solely funded by Jason Duty's personal savings.

C-5 "Forecasted Financial Statements"

--- See Attached ---

C-5 "Forecasted Financial Statements"

REVENUE:

4/15 - \$1000

5/15 - \$1000

6/15 - \$1000

7/15 - \$1000

8/15 - \$1000

9/15 - \$1000

10/15 - \$3000

11/15 - \$3000

12/15 - \$3000

1/16 - \$7000

2/16 - \$9000

3/16 - \$9000

4/16 - \$10000

YEAR ONE TOTAL FORECASTED REVENUE: \$50000

YEAR ONE EXPENSES TOTAL FORECASTED: \$1800 / MONTH AVERAGE (**\$21,600.00**
TOTAL FOR THE YEAR)

REVENUE: YEAR TWO

5/16 - \$10000

6/16 - \$10000

7/16 - \$10000
8/16 - \$10000
9/16 - \$11000
10/16 - \$11000
11/16 - \$13000
12/16 - \$13000
1/17 - \$15000
2/17 - \$17000
3/17 - \$19000
4/17 - \$19000
5/17 - \$20000

TOTAL YEAR TWO REVENUE: \$176,000

AVRG OF \$2650/MNTH EXPENSES, IS A YEAR 2 TOTAL EXPENSE OF: **\$31,800.00**

Preparer Info: Jason Duty, President, CEO / 206.379.1710 /
jduty@connexture.com, 301 Minor Ave N #202 Seattle, WA 98109

C-6 "Credit Rating"

We don't have any loans, haven't taken on any debt, and don't have any investors, so we do not currently have credit ratings for our company.

C-7 "Credit Report"

Connixture LLC. does not have a credit report yet as we do not currently have any customers, nor debt of any kind.

C-8 "Bankruptcy Information"

Connixture LLC (nor its President, CEO) have ever filed for Bankruptcy at any time, ever.

C-9 "Merger Information"

Connexure LLC has never dissolved , merged nor acquired/been acquired, ever.

D-1 "Operations"

Our operations of business functions include a Regional Sales Manager in John Correnti who is overseeing our sales operations regarding new customers and working with suppliers for pricing info and details.

Each week, John and I have a conference call to review the results of his team (consisting of 3 Consultants at the time being), and areas of improvement as well as what is going well.

We also have a Talent Acquisition and HR Director (Tami Rearwin) handling our hiring and new consultant paperwork to be sure we are in compliance and organized.

D-2 "operations Expertise"

I (Owner and President of Connixture LLC) have a proven track record in sales and sales management as well as leadership development, and hiring/recruiting. This experience came from years of operating the same business model with my previous employers in the field of Mortgage Brokering and Insurance. Combined between these 2 referenced brokerage industries, I have more than 9yrs experience in operating in this capacity.

As well, since being certified as a Retail Electric Provider just in Dec 30th, 2014...Connixture Energy now has established Regional Sales Manager, a HR Director and 2 additional newly hired Consultants, both located in Ohio. In roughly 60 days, I have grown my organization to 5 people, including myself. We are currently working with customers for their electric supply needs, and receiving requests for nat gas, which is why we are applying for this certification earlier than expected. This all lends credibility to my expertise and experience in this operational capacity as detailed in section D-1 previously.

D-3 "Key Technical Personnel"

- **John Correnti** – *Regional Sales Manager*, jcorrenti@connexture.com / 440.832.1830 (ph)

Background is in financial securities and sales. John is responsible for personal production, as well as providing sales training and leadership to our consultants in the field within the OH territory. This includes weekly meetings, ride-along's, working with suppliers to effective price and structure contracts on behalf of customers, and prospect for new business as well as monitor all sales activity within the OH Territory.

- **Tami Rearwin** – *HR Director & Talent Acquisition Manager*, hr@connexture.com / 408.489.4615 (ph) – Background is in retail banking at Wells Fargo for 9+ years, where she has ran and entirely oversaw several different branches and ran entire internal operations for the entire branch. Tami is responsible for placing hiring ads on job boards, emailing qualified applicants and doing pre-screening 1st interview calls. She also handles the processing of new-hire paperwork and checks their info for errors or missed fields as to not have any incomplete Consultant paperwork. She also provides company updates and announcements via or company Intranet as to keep our entire team in the know with any and all relevant information.

- C-6 Exhibit C-6 "Credit Rating,"** provide a statement disclosing the applicant's current 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 current 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 since applicant last filed for certification.
- C-9 Exhibit C-9 "Merger Information,"** provide a statement describing any dissolution or merger or acquisition of the applicant since applicant last filed for certification.

SECTION D – APPLICANT TECHNICAL CAPABILITY

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

- D-1 Exhibit D-1 "Operations,"** provide a current written description of the operational nature of the applicant's business functions.
- D-2 Exhibit D-2 "Operations Expertise,"** given the operational nature of the applicant's business, provide evidence of the applicant's current experience and technical expertise in performing such operations.
- D-3 Exhibit D-3 "Key Technical Personnel,"** provide the names, titles, email addresses, telephone numbers, and background of key personnel involved in the operational aspects of the applicant's current business.

Applicant Signature and Title

[Handwritten Signature]
PRESIDENT, CEO

Sworn and subscribed before me this

day of

30th

Month

March

Year

2015

Signature of official administering oath

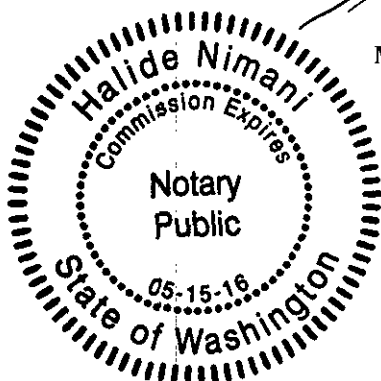
[Handwritten Signature]

Print Name and Title

HALIDE NIMANI
Public Notary

My commission expires on

05/15/2016





The Public Utilities Commission of Ohio

Competitive Retail Natural Gas Service
Affidavit Form
(Version 1.07)

In the Matter of the Application of)

for a Certificate or Renewal Certificate to Provide)
Competitive Retail Natural Gas Service in Ohio.)

Case No. - -GA-AGG

County of
State of

[Affiant], being duly sworn/affirmed, hereby states that:

- (1) The information provided within the certification or certification renewal application and supporting information is complete, true, and accurate to the best knowledge of affiant.
- (2) The applicant will timely file an annual report of its intrastate gross receipts and sales of hundred cubic feet of natural gas pursuant to Sections 4905.10(A), 4911.18(A), and 4929.23(B), Ohio Revised Code.
- (3) The applicant will timely pay any assessment made pursuant to Section 4905.10 or Section 4911.18(A), Ohio Revised Code.
- (4) Applicant will comply with all applicable rules and orders adopted by the Public Utilities Commission of Ohio pursuant to Title 49, Ohio Revised Code.
- (5) Applicant will cooperate with the Public Utilities Commission of Ohio and its staff in the investigation of any consumer complaint regarding any service offered or provided by the applicant.
- (6) Applicant will comply with Section 4929.21, Ohio Revised Code, regarding consent to the jurisdiction of the Ohio courts and the service of process.
- (7) Applicant will inform the Public Utilities Commission of Ohio of any material change to the information supplied in the certification or certification renewal application within 30 days of such material change, including any change in contact person for regulatory or emergency purposes or contact person for Staff use in investigating customer complaints.
- (8) Affiant further sayeth naught.

Affiant Signature & Title

Sworn and subscribed before me this

day of

Month

Year

Signature of Official Administering Oath

Print Name and Title

My commission expires on

(CRNGS Broker/Aggregator -Version 1.07) Page 7 of 7