

FILE

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Public Utilities Commission

PUCO USE ONLY – Version 1.07		
Date Received	Renewal Certification Number	ORIGINAL AGG Case Number
		13 - 0964 - GA-AGG

RENEWAL CERTIFICATION APPLICATION COMPETITIVE RETAIL NATURAL GAS BROKERS/AGGREGATORS

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 renew its certificate as: (check all that apply)

☐ Retail Natural Gas Aggregator ☒ Retail Natural Gas Broker

A-2 Applicant information:

Legal Name DNE Sales LLC
Address 35 A Smithfield Blvd Suite 221 Plattsburgh, New York, 12901
Telephone No. 1-888-631-7977 Web site Address dneresources.com
Current PUCO Certificate No. 13-0964-GA-AGG Effective Dates 19-05-2014

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

Name DNE Sales LLC
Address 35 A Smithfield Blvd Suite 221 Plattsburgh, New York, 12901
Web site Address dneresources.com Telephone No. 1-888-631-7977

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

DNE Sales DNE Resources
Dominion Newenergy DNEnergy

A-5 Contact person for regulatory or emergency matters:

Name Keith Grover Title Business Development Director
Business Address 398-4000 rue St-Ambroise, Montreal, Quebec, Canada H4C 2C7
Telephone No. 1-888-631-7977 ext.102 Fax No. 514-419-1816 Email Address keith.grover@dneresources.com

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 Ad Date Processed 4/29/15 (CRNGS Broker/Aggregator Renewal) Page 1 of 7

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PUCO

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

Name Keith Grover Title Business Development Director
Business address 398-4000 rue St-Ambroise, Montreal, Quebec, Canada H4C 2C7
Telephone No. 888-631-1977 ext. 102 Fax No. 514-419-1816 Email Address keith.grover@dnresources.com

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

Customer service address 1-888-631-1977/398-4000 rue St-Ambroise, Montreal, Quebec, Canada H4C 2C7
Toll-Free Telephone No. 888-631-1977ext137 Fax No. 514-419-1816 Email Address info@dnresources.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 Roger Raghunath Title Vice President of Sales
Business address 4400 Easton Commons Way Suite 125 Columbus OH 43219
Telephone No. 315-849-6358 Fax No. 514-419-1816 Email Address roger.raghunath@dnsales.com

A-9 Applicant's federal employer identification number 99-0366413

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

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,"** provide the articles of incorporation filed with the state or jurisdiction in which the applicant is incorporated and any amendments thereto, *only if the contents of the originally filed documents changed since the initial application.*
- A-18 Exhibit A-18 "Secretary of State,"** provide evidence that the applicant is still 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 renewed certification (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 for which it is seeking renewed certification since applicant last filed for certification.

- 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 since applicant last filed for certification.

☒ 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 since applicant last filed for certification.

☒ 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.

- 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.

[Handwritten Signature]
Applicant Signature and Title

CEO

Sworn and subscribed before me this

16th

day of

April

Month

2015

Year

[Handwritten Signature]
Signature of official administering oath

Print Name and Title

Me Katarzyna Raszplewicz
NOTAIRES ET CONSEILLERS JURIDIQUES
NOTARIES & ATTORNEYS
186, Sutton Place, suite 1
Beaconsfield (Québec) H9W 5S3
Tél.: (514) 505-3500 Fax: (514) 505-3515

My commission expires on 2018

Exhibit A-14 "Principal Officers, Directors & Partners"

Wayne Burke

President

829 rue Charon. Montreal, QC. Canada H3K 2P7

514-692-8753

Steve Shoiry

CEO

14 Hickory Dollard-Des Ormeaux, QC. Canada H9G 3B7

514-262-9619

Matthew Sherrett

CFO

2352 Mullins ave. apt 400 Montreal, QC. Canada H3K 1P1

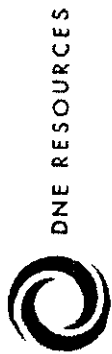
514-993-8537

Jean-Marc Gohier

COO

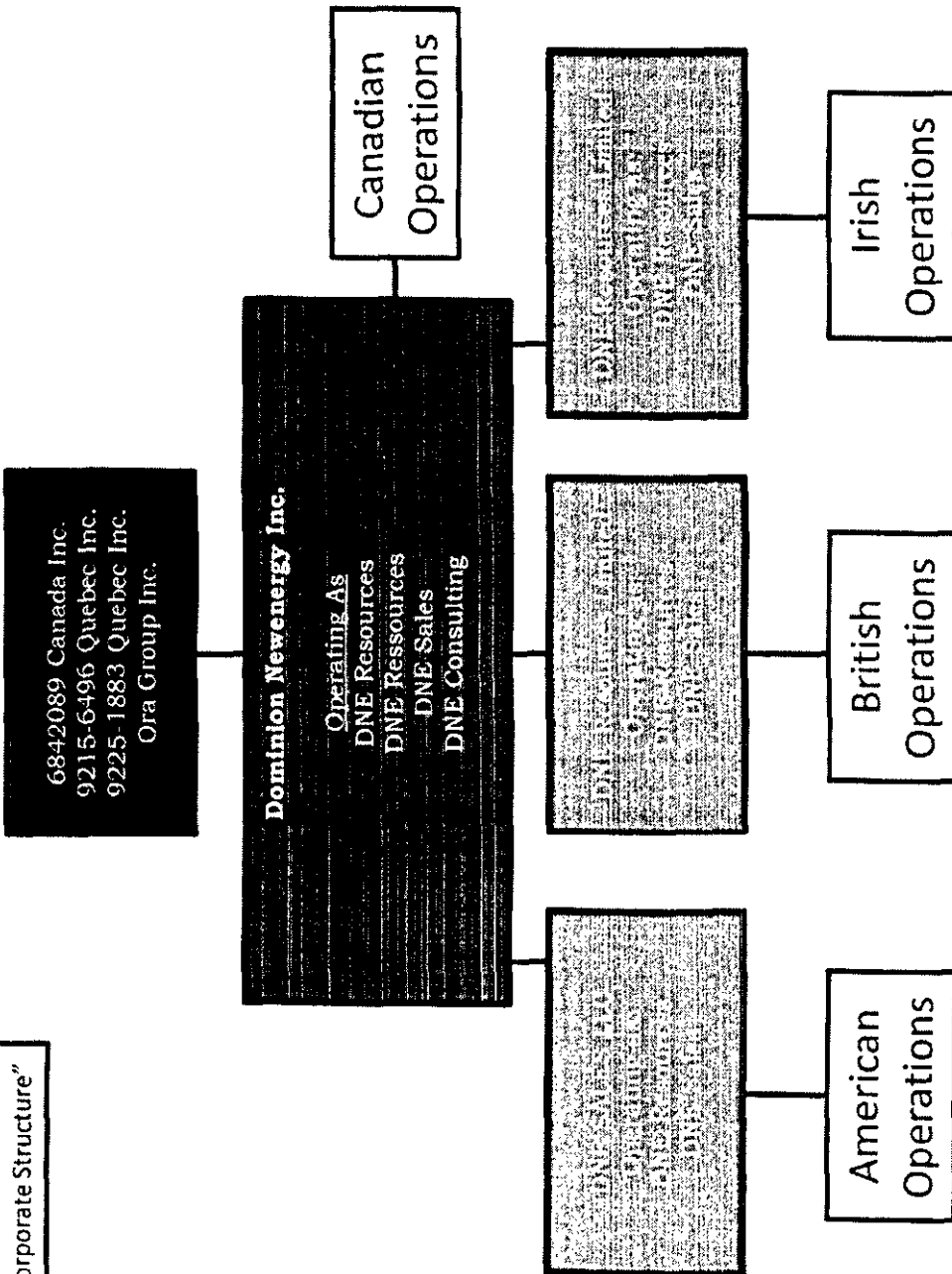
12432 rue Granger Pierrefonds, QC. Canada H8Z 1V5

514-714-7466



Corporate
Structure and
Affiliate Chart

Exhibit A-15 "Corporate Structure"





DNE RESOURCES

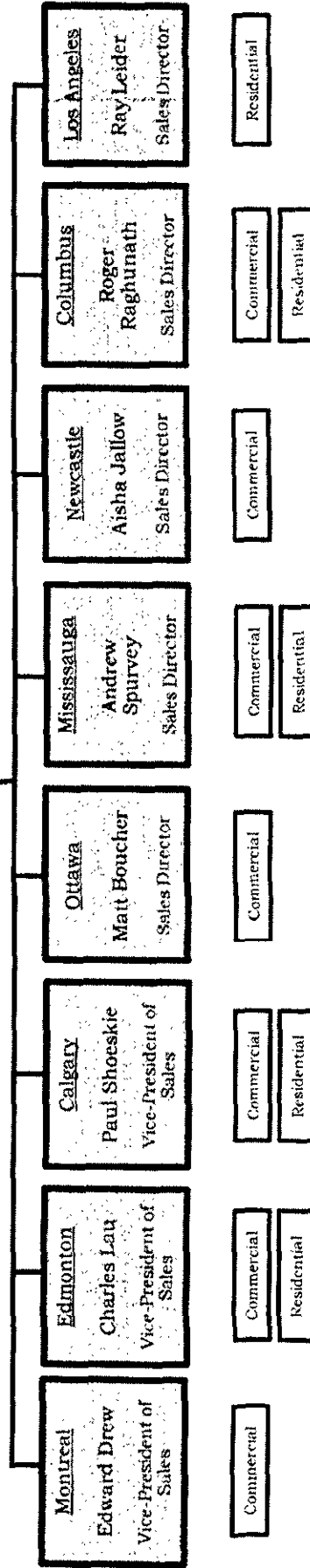
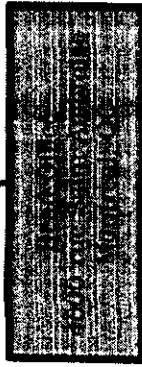
Organization Chart DNE Offices

Exhibit A-15 "Corporate Structure"

Executive Committee
Wayne Burke
Matt Sherrett
Steve Shoiry
Jean-Marc Gohier
Keith Grover
Montano Cabezas

Board of Directors
Wayne Burke
Matt Sherrett
Steve Shoiry
Jean-Marc Gohier

President / CEO
Wayne Burke / Steve Shoiry





DNE RESOURCES

Organization Chart Administration

Executive Committee
Wayne Burke
Matt Sherrett
Steve Shoiry
Jean-Marc Gohier
Keith Grover
Montano Cabezas

President / CEO
Wayne Burke / Steve Shoiry

Chief Operations Officer
Jean-Marc Gohier

Operations Manager
Crystal Sherrett

Operations Admin
Jocelyne Coffin
Shannon Sherrett

Chief Financial Officer
Matt Sherrett

Finance Manager
Dalila Djilali

Finance Admin
Matt Cyan

Business Development Director
Keith Grover

Channel Partners Director
Enab Idriss

Corporate Secretary
Montano Cabezas

Corporate Support Managers
Human Resources - Lisa Kikuchi
Marketing Manager - Mick Kopis
Logistics Manager - Emily Caria
Training Platform - Kelly Leider

Chief Administrative Officer
Christine Grosy (COO/NA South)
Ksenia Soldatova (COO/NA North)
Jennifer Burke (COO/NA East)

Sales Admin Assistant
Christine Grosy
Ksenia Soldatova



Board of Directors

Board of Directors

President / CEO
Wayne Burke / Steve Shoiry

Retentions
Manager
Jesse Dufour

Executive Committee
Wayne Burke
Matt Sherrett
Steve Shoivy
Jean-Marc Gohier
Keith Grover
Montano Cabezas

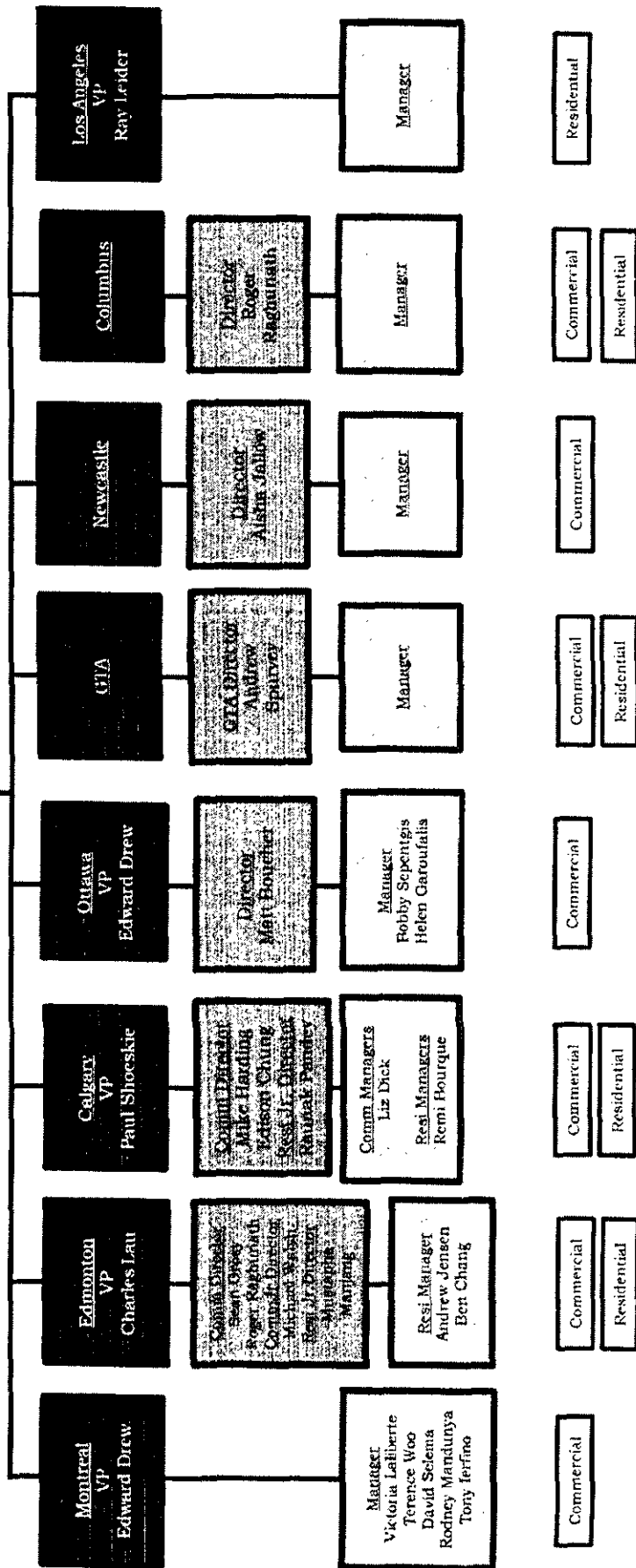


Exhibit A-16 "Company History"

Steve Shoiry started Dominion Newenergy in 2009 and Wayne Burke joined as President in 2010. The focus at the outset was outsourced sales, specializing in energy products. DNE launched in Quebec, but added Alberta for its second year. DNE added its US operations, DNE SALES LLC, in mid-2010. DNE SALES LLC launched in New York state offering residential and commercial electricity and natural gas products. It has grown to offer residential products in various markets Syracuse, Albany, Paramus, and Pittsburgh. DNE SALES currently offers commercial products in the Albany area and has desires to add Ohio and another north eastern state early in 2013. DNE started a call center for rural territory sales in 2012 which led to growth. DNE works with multiple suppliers to offer a broker service to customers, offering multiple products to suit each customer's needs. DNE was awarded Entrepreneur of the Year award in October 2014 from Ernst and Young. In April 2015 DNE was recognized by Great Place to Work as the 2015 2nd Best Workplaces in Canada.

Company Worldwide Sales

NEW Electricity & GAS Sales						
	2010	2011	2012	2013	2014	2015 (EST)
Residential Sites Sold	5,104	33,942	34,941	21,988	50,409	118,861
Commercial ELEC RCE's Sold	250	1,303	9,633	16,663	27,992	30,139
Commercial GAS RCE's Sold	1,048	4,493	10,501	12,045	22,829	28,139
Total Annual RCE's Sold	6,402	39,738	55,075	50,696	101,230	177,139
Cumulative Annual RCE's Sold	6,402	46,140	101,215	152,111	253,341	430,480

Delaware

PAGE 1

The First State

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF FORMATION OF "DNE SALES, LLC", FILED IN THIS OFFICE ON THE TWENTY-SEVENTH DAY OF MAY, A.D. 2011, AT 3 O'CLOCK P.M.

4989203 8100

110647435

You may verify this certificate online
at corp.delaware.gov/authver.shtml




Jeffrey W. Bullock, Secretary of State
AUTHENTICATION: 8796324

DATE: 05-31-11

State of Delaware
Secretary of State
Division of Corporations
Delivered 03:12 PM 05/27/2011
FILED 03:00 PM 05/27/2011
SRV 110647435 - 4989203 FILE

CERTIFICATE OF FORMATION


OF

DNE Sales, LLC

The undersigned, an authorized natural person, for the purpose of forming a limited liability company, under the provisions and subject to the requirements of the State of Delaware (particularly Chapter 18, Title 6 of the Delaware Code and the acts amendatory thereof and supplemental thereto, and known, identified, and referred to as the "Delaware Limited Liability Company Act"), hereby certifies that:

- FIRST:** The name of the limited liability company (hereinafter called the "limited liability company") is: DNE Sales, LLC
- SECOND:** The address of the registered office of the limited liability company in the State of Delaware is located at: 108 West 13th Street, Wilmington, Delaware 19801. Located in the County of New Castle. The name of the registered agent at that address is Business Filings Incorporated
- THIRD:** The duration of the limited liability company shall be perpetual.
- FOURTH:** The name and address of the member is:
- 7818947 Canada Inc, 1500 14th St SW Ste 210, Calgary, Alberta T3C 1C9 Canada

Executed on May 27, 2011



Business Filings Incorporated,
Authorized Person
Mark Williams, A.V.P.



DATE	DOCUMENT ID	DESCRIPTION	FILING	EXPED	PENALTY	CERT	COPY
02/06/2013	201303700569	REGISTRATION OF FOREIGN FOR PROFIT LLC (LFP)	125.00	.00	.00	.00	.00

Receipt

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

Exhibit A-18 "Secretary of State"

BUSINESS FILINGS INCORPORATED
ATTN: JODY SMIEJA
8040 EXCELSIOR DR. STE 200
MADISON, WI 53717

**STATE OF OHIO
CERTIFICATE**

Ohio Secretary of State, Jon Husted

2171589

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

DNE SALES, LLC

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

Document(s):
REGISTRATION OF FOREIGN FOR PROFIT LLC

Document No(s):
201303700569



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 5th day of February, A.D. 2013.

Jon Husted

Ohio Secretary of State

Exhibit B-1 'Jurisdictions of Operation'

DNE offers Residential service in Alberta Canada for Direct Energy. DNE offers brokerage services for commercial entities in Ohio, New York, Massachusetts, Texas and Connecticut on behalf of Hudson Energy, Direct Energy, and Integrys. In Alberta with Just Energy, Link Energy, Superior Energy and Direct Energy and in Quebec with Superior Energy, and Hudson Energy.

Exhibit B-2 'Experience & Plans'

DNE would like to have a broker's license to offer services from multiple suppliers in Ohio. DNE has a history of successful door to door and telesales operations. Our role as a broker is to find new customers for our supplier partners. After the initial agreement we conduct a third party terms verification call, TPV. The relationship then becomes between the supplier and the customer and DNE is not involved in billing or account inquiries of any kind. DNE does have a history of recording excellent customer service reviews with all of our supplier partners. We wish to proceed with a commercial telemarketing sales approach. Should any concern arise we investigate the concerns immediately and address them quickly. We previously were reviewed for misconduct by some of our agents in Ohio and the findings of our investigation resulted in summary dismissal of all offending parties. We take regulatory affairs seriously.

Exhibit B-3 "Summary of Experience"

To understand our experience I will highlight the working history of our principles:

Wayne Burke is a nine year energy industry veteran – Energy Sales (2004-2007) Just Energy, Regional Director of Sales (2007-2008) Summit Energy, National Sales Director (2008-2010) Superior Energy, President (2010-) Dominion Newenergy Inc and DNE Sales.

Steve Shoiry is a three year energy industry veteran – Energy Sales (2008) Superior, Mortgage Broker (2008) Multipret, CEO (2009) Dominion Newenergy Inc and DNE Sales.

Matt Sherrett six year energy industry veteran – Energy Sales (2004) Just Energy, Energy Sales (2007) Superior Energy, CFO (2009) Dominion Newenergy Inc and DNE Sales.

We have a framework in place that builds our hierarchy organically based on a merit system. We train in house all of our sales agents, both residential and commercial. We promote internally those whom we deem worthy of greater responsibility. In our five years of operations we have utilized hundreds of independent contractors and trained them for door to door sales. We currently have working relationships with over one hundred independent contractors whom we have trained to offer products from our suppliers.

We currently operate two offices in Alberta, Edmonton and Calgary, offices in Plattsburgh NY and Columbus OH, Los Angeles CA, Toronto Ontario, as well as our head office and telesales group in Montreal Quebec. We have made deals representing over 253,000 RCEs to date, over tens of thousands of agreements. This proven track record highlights our ability to deliver precisely what is needed by our supplier partners and their customers.

Exhibit B-4 "Disclosure of Liabilities and Investigations"

DNE SALES LLC has been a respondent to complaints with the New York State Division of Human Rights. A complaint (Case No. 10149652 in Albany New York) was lodged by Richie F. Levine in August 2011 with respect to our "unlawful discriminatory practice relating to employment because of conviction record", as our door to door permits can require a criminal background check in some of the communities in which we operate, thus our hiring practices reflected this necessity. The court ruled that there is "No probable cause to believe the respondent has engaged in... unlawful discriminatory practice" The case was dismissed.

Additionally DNE Sales LLC had been party to some PUCO complaints regarding door to door residential canvassing on behalf of DP&L Energy with regards to misrepresentation of the terms of the contract and signing unauthorized parties. When we were presented with these claims we thoroughly investigated them and dismissed the parties involved in the complaints for failure to comply with regulations and our training. I have attached the findings of our investigation which were shared with DP&L Energy the recipient of the complaint to present to the board.

We have not encountered any revocation of licences, revocations of authority, regulatory investigations, or any other investigations that would pose a liability for our operations in Ohio.



DNE SALES

Public Utilities Commission of Ohio
180 East Broad Street
Columbus, Ohio 43215

May 7, 2014

Response to PUCO complaints:

DNE is committed to delivering quality sales for our supplier partners. We want to maintain the highest quality of service and representation and have developed methods to ensure this as much as possible in each business unit. For inside sales we regularly review calls and mandatory Third Party-Verification of contracts independent of any supplier Third Party Verification. For outside sales we conduct retraining and shadowing of sales agents regularly. Despite our best efforts and intent any agent determined to undermine our commitment to Trust, Respect and the constant pursuit of Excellence may achieve their ends. Should we become aware of such violations we will terminate the agent in question immediately.

This is the first allegation against us with PUCO and we take it very seriously and want to resolve any concerns immediately. With regards to your specific inquiries we have undertaken a review of sales practices with the personnel of the office in question and have determined the following items from our investigation.

We previously had an agent working with us, Nicholas Jacob, whom had a fractious relationship with his manager. His short tenure with us ended acrimoniously and he had signaled his intent to make allegations against us with the PUCO to spite his former manager. Their relationship was so tense that Nicholas failed to retrieve his final paycheck; despite multiple efforts from our operations he is unreachable and unresponsive to attempts to calm his concerns. It is possible that he is the source of some of the false allegation against us.

With regards to the allegations presented we conclude the following:

- We deny and deplore outright that we train and coached our agents to mislead clients about any aspect of the contracts that they are signing with DPLER. We are committed to clear and transparent dealings with both our supplier partners and their clients. We strive to achieve the best in quality of any sales agency. We are saddened to have had these allegations lodged against us and we will undertake immediate retraining and frank discourse with all agents about the severity of the allegations presented to PUCO.
- "Agents of DP&L Energy, employed by outsourced company DNE Sales, evidently tried to modify a contract after the fact." – On several occasions we failed to mark ETFs or terms. DPLER made us aware of these omissions. Our representative at DPLER, Lauren Masquelier, asked us to mark the correct items and resubmit.
- "The sales representative uses a pre-recorded Spanish language message to convince non-English-speaking customers to hold the phone & say "yes" in English to all of the questions asked them despite the customer having no understanding of what's actually going on." – A select few of our team used either their knowledge of the Spanish language to explain terms or a tool (phone app) to translate English into Spanish. They felt they were simply translating between languages

931 363 1914

4030 rue Saint-Ambroise, Suite 200
Montreal, Quebec
H4T 2C7 Canada

www.dnesales.com

EDMONTON

CALGARY

MISSISSAUGA

OTTAWA

MONTREAL

COLUMBUS

LOS ANGELES

NEW YORK



DNE SALES

so did not believe they were committing any wrong. Agents have always been aware that explaining each detail is vital to securing a contract; they felt that providing explanation in English and Spanish were necessary would result in the greatest clarification of the terms to the customer.

- "The sales representative claims there will be no Generation Charge at all & no Transmission Charge at all with DP&L Energy." – All agents understand that DPLER's service only accounts for the supply portion of electricity on the bill. Agents feel that any allegations of misrepresentation of Generation and Transmission may be the result of something 'lost in translation' when it was described that 'DPLER would take over the energy bill'. Our agent's claim that they never intentionally mislead with respect to these issues and know that generation and transmission charges are a standard component of every bill.
- "The sales representative claims there will be an additional 25% discount awarded if the customer enrolls when there is no actual discount." – The agents refute claims that they promised a promotion for an additional 25% reduction from the rate offered on the contract. Lauren Masquellier had instructed agents during their initial training sessions that DPLER's prices were 25% lower than the default utility at the time. Some agents have admitted to incorporating a statement akin to "signing with DPLER will offer an immediate reduction in your energy rate by approximately 25% depending on the utilities rate and the DPLER rate at the time".
- "During the 'third party verification' phone call the script includes a statement about their potentially being a fee at the time of termination (ETF), but before the call the sales representative coaches the customer by claiming that a fee would only apply if enrolling for gas service & that the customer will never pay a fee because only electric is being enrolled." – Agents refute having misled clients based on false info about ETFs only applying to gas contracts. All agents have coached customers to respond only 'yes' or 'no' to questions during TPV as any response not in an affirmative or negative would immediately halt the recording. They maintain that they explained all the aspects of the contract in person and represented these terms and conditions accurately. The new upcoming regulatory requirement was discussed at length with our contact at DPL, Larry Soles, and we have agreed to get a best practice installed prior to regulatory requirements mandating such procedures. Agents will no longer be present for TPVs.

DNE is committed to honesty and integrity in all of our operations. We are saddened to have had this complaint lodged against us. We will, however, take it as an opportunity to improve our practices to ensure that our agents clearly explain all the details of a contract to a customer and that we have an ongoing close oversight of our outside sales operations.

We are committed to correcting any mal-practices, terminating any offenders and selling in a manner that is not simply by the book, but clear and honest with the client at every opportunity. We strive to deliver the best services and cannot accept any agent who intentionally misled clients. We accept all instructions for improvement from PUCO and DPL and will correct any wrong practice utilized by our agents. Should we be provided with information of egregious and deliberate abuse of our trust or deceptive practices we will terminate the offending party immediately.

Should you desire any more information about DNE Sales or would like to discuss anything that arose in your investigations we make ourselves available to you at any time. We can be reached

1-800-563-4714

4900 rue Saint-Amable, Suite 346
Montreal, Quebec
H4C 2E7 Canada

www.dnesales.ca

EDMONTON | CALGARY | MISSISSAUGA | OTTAWA | MONTREAL | TORONTO | LOS ANGELES | NEW YORK



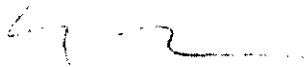
DNE SALES

1-888-631-7977 or via email at steve.shoiry@dnestales.com and wayne.burke@dnestales.com

Sincerely,



Steve Shoiry – CEO of DNE Sales LLC.



Wayne Burke – President of DNE Sales LLC.

1-800-363-4914

4000 rue Saint-Amable, Suite 398
Montreal, Quebec
H4C 3C7, Canada

www.DNEsales.com

EDMONTON • CALGARY • MISSISSAUGA • OTTAWA • MONTREAL • COLUMBUS • LOS ANGELES • NEW YORK



ANDREW M. CUOMO
GOVERNOR

NEW YORK STATE
DIVISION OF HUMAN RIGHTS

NEW YORK STATE DIVISION OF
HUMAN RIGHTS on the Complaint of

RICHIE F. LEVINE,

Complainant,

v.

DNE SALES, LLC,

Respondent.

DETERMINATION AND
ORDER AFTER
INVESTIGATION

Case No.
10149652

On 7/5/2011, Richie F. Levine filed a verified complaint with the New York State Division of Human Rights ("Division") charging the above-named respondent with an unlawful discriminatory practice relating to employment because of conviction record in violation of N.Y. Exec. Law, art. 15 (Human Rights Law).

After investigation, and following opportunity for review of related information and evidence by the named parties, the Division has determined that there is NO PROBABLE CAUSE to believe that the respondent has engaged in or is engaging in the unlawful discriminatory practice complained of. This determination is based on the following:

The complainant has a conviction record for Attempted Dissemination of Indecent Material to a Minor, Misapplication of Property, Issuing a Bad Check, and Falsifying Business Records. The complainant alleges that the respondent placed an advertisement seeking applicants with no criminal record for sales positions in June 2010, that this limitation discouraged him from applying for employment with them, and that respondent is trying to bar anyone with a conviction record from employment with them. The investigation revealed insufficient evidence to believe that the New York State Human Rights law is being violated.

The respondent hires itinerant sales people to sell products for their clients. In some of the communities the respondent operates in these salespeople are required to get a permit to operate by the local municipality, part of that process involves a criminal background check.

The investigation revealed that in June 2010 the respondent placed an advertisement looking for salespeople in the Syracuse NY area, and that this advertisement listed the requirement that

applicants have no criminal record. The investigation revealed that in light of his conviction history the complainant did not submit an application as he felt to do so would be futile.

The investigation revealed that, notwithstanding the language contained in the advertisement, the respondent does hire people with conviction histories and in the recent past has hired salespeople with conviction histories in the Syracuse, NY area. Therefore there is insufficient evidence to believe that the respondent is denying employment to those with conviction histories in violation of the New York State Human Rights law.

The complaint is therefore ordered dismissed and the file is closed.

PLEASE TAKE NOTICE that any party to this proceeding may appeal this Determination to the New York State Supreme Court in the County wherein the alleged unlawful discriminatory practice took place by filing directly with such court a Notice of Petition and Petition within sixty (60) days after service of this Determination. A copy of this Notice and Petition must also be served on all parties including General Counsel, State Division of Human Rights, One Fordham Plaza, 4th Floor, Bronx, New York 10458. DO NOT FILE THE ORIGINAL NOTICE AND PETITION WITH THE STATE DIVISION OF HUMAN RIGHTS.

Dated:

Albany, New York

STATE DIVISION OF HUMAN RIGHTS

By:

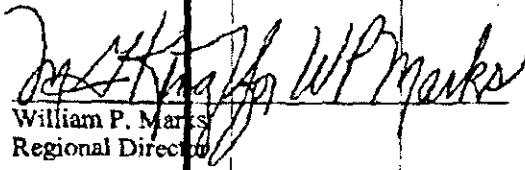

William P. Marks
Regional Director

Exhibit C-1 "Annual Reports"

DNE SALES LLC does not produce or distribute Annual Reports as it is not a public company and therefore is not required to do so by law.

Exhibit C-2 "SEC Filings"

DNE SALES LLC does not produce or submit and 10'K or 8'K Filings with the SEC as it is not a public company and therefore is not required to do so by law.

Exhibit C-3 "Financial Statements"

DNE SALES LLC has attached the two most recent versions of the Financial Statements that it has, for years 2013 and 2012. We have not yet received our completed Financial Statements for 2014 from our preparer.

Exhibit C-3 "Financial Statements"

DNE SALES, LLC

**Accountants' Compilation Report
Financial Statements**

December 31, 2013 and 2012

DNE Sales, LLC

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FINANCIAL STATEMENTS	
	<u>Exhibits</u>
Balance Sheets	A 2
Statements of Operations	B 3

Patrick K. Russell, CPA
Lucy W. Carroll, CPA
Holly A. Morron, CPA
James L. Holmes, CPA

AF&R

Abbott, Frenyea & Russell, CPAs, PC
Certified Public Accountants

Theodore E. Doherty, CPA
Robert J. Frenyea, CPA (Retired)
Richard L. Coffey, CPA (1927-2004)
James C. Abbott, CPA (1955-2012)

RT ACCOUNTANTS' COMPILATION REPORT

To the Members
7818947 Canada Inc
DBA DNE Sales, LLC
Kirkland, QC

We have compiled the accompanying balance sheets of DNE Sales, LLC (a single member LLC) as of December 31, 2013 and 2012, and the related statements of operations for the years then ended. We have not audited or reviewed the accompanying financial statements and, accordingly, do not express an opinion or provide any assurance about whether the financial statements are in accordance with accounting principles generally accepted in the United States of America.

Management is responsible for the preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America and for designing, implementing, and maintaining internal control relevant to the preparation and fair presentation of the financial statements.

Our responsibility is to conduct the compilations in accordance with Statements on Standards for Accounting and Review Services issued by the American Institute of Certified Public Accountants. The objective of a compilation is to assist management in presenting financial information in the form of financial statements without undertaking to obtain or provide any assurance that there are no material modifications that should be made to the financial statements.

Management has elected to omit substantially all of the disclosures required by accounting principles generally accepted in the United States of America. If the cash flow disclosures and the statements of cash flows were included in the financial statements, they might influence the user's conclusion about the Company's financial position, results of operations, and cash flows. Accordingly, the financial statements are not designed for those who are not informed about such matters.

Abbott,
Frenyea & Russell,
CPAs

Abbott, Frenyea & Russell,
CPAs, PC

September 16, 2014

-1-

Exhibit A

DNE SALES, LLC

Balance Sheets

December 31, 2013 and 2012

<u>Assets</u>	<u>2013</u>	<u>2012</u>
Current assets:		
Cash	\$ 17,485	44,863
Property, plant, and equipment		
Computer hardware	1,150	1,150
Office furniture and equipment	1,075	1,075
Vehicles	8,100	6,000
	<u>10,325</u>	<u>8,225</u>
Less accumulated depreciation	6,431	5,407
Property, plant, and equipment, net	<u>3,894</u>	<u>2,818</u>
	<u>\$ 21,379</u>	<u>47,681</u>
<u>Liabilities and Owner's Capital</u>		
Current liabilities:		
Accounts payable	\$ 5,237	-
Payroll liabilities	6,888	-
State tax payable	800	315
Loans from owners	<u>78,339</u>	<u>50,106</u>
Total current liabilities	<u>91,264</u>	<u>50,421</u>
Owner's Capital:		
Retained deficit	<u>(69,885)</u>	<u>(2,740)</u>
	<u>\$ 21,379</u>	<u>47,681</u>

See accompanying accountants' compilation report

Exhibit B

DNE SALES, LLC

Statements of Operations

For the Years Ended December 31, 2013 and 2012

	2013	2012
Sales	\$ 248,956	349,066
Cost of sales:		
Commissions	161,192	265,700
Permits	375	3,262
Total cost of sales	161,567	268,962
Gross Profit	87,389	80,104
General and administrative expenses:		
Salaries and wages	73,077	-
Payroll taxes	7,781	-
Accounting and legal	16,922	5,719
Advertising and promotion	1,402	8,449
Business fees and licenses	1,727	1,996
Currency exchange	4,207	761
Depreciation	1,024	4,964
General administrative expenses	957	-
Immigration expense	-	2,050
Insurance	4,334	3,540
Interest and bank charges	852	4,300
Miscellaneous expense	20	-
Motor vehicle expenses	2,491	1,785
Office supplies	1,471	3,679
Payroll service fees	705	-
Postage	300	-
Rent	21,131	41,323
Travel and entertainment	14,486	1,888
Utilities	847	1,040
	153,734	81,494
Loss before provision for income taxes	(66,345)	(1,390)
Provision for income taxes:		
State income tax	800	315
Net loss	(67,145)	(1,705)
Owner's capital, beginning of year	(2,740)	(1,035)
Owner's capital, end of year	\$ (69,885)	(2,740)

See accompanying accountants' compilation report

Exhibit C-4 "Financial Arrangements"

DNE SALES LLC does not have any financial arrangements, be it guarantees, bank commitments, or contractual or credit arrangements. We are not entering as an aggregator and thus as a broker we do not need and loan guarantees or bonds for our operations.

Exhibit C-5 "Forecasted Financial Statements"

DNE SALES LLC.**Profit & Loss**

January 2015 - December 2016

	<i>Forecast</i> Forecast 2015	<i>Forecast</i> Forecast 2016
Income		
6600 Residential Sales Revenue	300,000.00	600,000.00
6620 Commercial Sales Revenue	600,000.00	960,000.00
6650 Interest Revenue	0.00	0.00
Total Income	\$900,000.00	\$1,560,000.00
Gross Profit	\$900,000.00	\$1,560,000.00
Expenses		
7004 Contractor Fees	708,000.00	1,204,800.00
7005 Direct Sales Costs	5,000.00	8,000.00
7010 Advertising	10,000.00	15,000.00
7012 Bank Charges	5,000.00	8,000.00
7016 Consulting	0.00	0.00
7018 Dues & Subscriptions	3,000.00	5,000.00
7020 Foreign Exchange	0.00	0.00
7024 Interest Expense	0.00	0.00
7025 Insurance Expense	7,000.00	7,500.00
7026 Legal & Professional Fees	10,000.00	15,000.00
7028 Meals and Entertainment	2,500.00	6,000.00
7030 Motor Vehicle Expenses	2,500.00	4,000.00
7032 Office Expenses	5,000.00	5,000.00
7046 Rent or Lease	45,000.00	60,000.00
7056 Supplies	2,000.00	5,000.00
7060 Telecom	2,000.00	3,000.00
7062 Travel & Entertainment	6,000.00	8,000.00
7065 Computer Hosting Services	0.00	0.00
7066 Hotel Expense	1,500.00	3,000.00
7068 Utilities	2,000.00	3,000.00
7100 Income Tax	13,000.00	26,790.00
Total Expenses	\$829,500.00	\$1,387,090.00
Net Operating Income	\$70,500.00	\$172,910.00
Net Income	\$70,500.00	\$172,910.00

DNE SALES LLC.
Balance Sheet
As of January 28 2015

	<i>Forecast</i> 2015	<i>Forecast</i> 2016
ASSETS		
Current Assets		
Bank Accounts		
1010 Checking USA	65,007.10	237,917.10
Total Bank Accounts	<u>\$65,007.10</u>	<u>\$237,917.10</u>
Accounts Receivable		
1100 Accounts Receivable	0.00	0.00
Total Accounts Receivable	<u>\$0.00</u>	<u>\$0.00</u>
Other current assets		
1205 Office Furniture & Equipment	1,074.81	1,074.81
1215 Vehicle	0.00	0.00
1225 Computer Hardware	2,250.00	2,850.00
Total Other current assets	<u>\$3,324.81</u>	<u>\$3,924.81</u>
Total Current Assets	<u>\$68,331.91</u>	<u>\$241,841.91</u>
TOTAL ASSETS	<u>\$68,331.91</u>	<u>\$241,841.91</u>
LIABILITIES AND EQUITY		
Liabilities		
Current Liabilities		
Accounts Payable		
3000 Accounts Payable	0.00	0.00
Total Accounts Payable	<u>\$0.00</u>	<u>\$0.00</u>
Other Current Liabilities		
3410 Loan Payable	0.00	0.00
3430 Income Tax Payable	0.00	0.00
Total Other Current Liabilities	<u>\$0.00</u>	<u>\$0.00</u>
Total Current Liabilities	<u>\$0.00</u>	<u>\$0.00</u>
Long-Term Liabilities		
4100 Loans from Parent Company	\$0.00	\$0.00
Total Long-Term Liabilities	<u>\$0.00</u>	<u>\$0.00</u>
Total Liabilities	<u>\$0.00</u>	<u>\$0.00</u>
Equity		
5000 Common Stock	100.00	100.00
5200 Retained Earnings	431.91	70,931.91
Net Income	70,500.00	172,910.00
Total Equity	<u>\$71,031.91</u>	<u>\$243,941.91</u>
TOTAL LIABILITIES AND EQUITY	<u>\$71,031.91</u>	<u>\$243,941.91</u>

DNE SALES LLC.
Statement of Cash Flows

As of January 28 2015

	<i>Forecast</i> Forecast 2015	<i>Forecast</i> Forecast 2016
OPERATING ACTIVITIES		
Net Income	70,500.00	172,910.00
Adjustments to Net Income		
Accounts Receivable	0.00	0.00
Employee Loans	0.00	0.00
Accounts Payable	0.00	0.00
Net Cash from Operating Activities	<u>\$70,500.00</u>	<u>\$172,910.00</u>
INVESTING ACTIVITIES		
Motor Vehicles	0.00	0.00
Pre-paid Insurance	0.00	0.00
Net Cash from Investing Activities	<u>\$0.00</u>	<u>\$0.00</u>
FINANCING ACTIVITIES		
Bank Loan	0.00	0.00
Note Payable	0.00	0.00
Loans Parent Company	-65,000.00	-40,000.00
Opening Bal Equity	100.00	100.00
Owner's Equity : Owner's Draw	0.00	0.00
Retained Earnings	431.91	70,931.91
Net Cash from Financing Activities	<u>-\$64,468.09</u>	<u>\$31,031.91</u>
Net Cash increase for the year	<u>\$6,031.91</u>	<u>\$31,031.91</u>
Cash at the beginning of the year	<u>\$43,184.50</u>	<u>\$132,995.73</u>
Cash at the end of the year	<u>\$49,216.41</u>	<u>\$133,095.73</u>

Exhibit C-6 "Credit Rating"

DNE SALES LLC cannot be found in either Dun and Broadstreet Moody's or Standard and Poors because it is a small entity that is privately held. We have no leveraged assets and accounts owing on our American businesses. At this time we do not have any items to disclose for this Exhibit.

Exhibit C-7 "Credit Report"

DNE SALES LLC cannot be found in either Dun and Broadstreet or Experian's databases. We are a new company with little credit as we are as services based business entity that is privately held. We have no leveraged assets and accounts owing on our American businesses. At this time we present two credit reports, i) DNE Sales LLC in a now defunct Pittsburgh location. We were in this market for less than 6 months and as such did not build a credit report with any institutions. ii) a Hoover's (A D&B company) report for DNE Resources the Canadian parent company.

4/16/2015


DNBI

DNE Sales LLC

Printed By: Matt Sherrett
Date Printed: April 16, 2015**& DNBI Risk Management****Exhibit C-7 "Credit Report"****Live Report : DNE SALES LLC**

D-U-N-S® Number: 07-864-9231

Endorsement/Billing Reference: matt.sherrett@dn-sales.com

D&B Address**Address** 239 Fourth Ave, Ste
1615
Pittsburgh, PA, US -
15222**Phone** 201 940-7208**Fax****Location Type** Single Location
Web**Endorsement :** matt.sherrett@dn-sales.com**Company Summary****Currency:** Shown in USD unless otherwise indicated **Score Bar****PAYDEX®****Commercial Credit Score
Percentile****Unavailable****42**Moderate Risk of severe payment
delinquency**Financial Stress Score National
Percentile****14**Moderate to High Risk of severe
financial stress.**D&B Viability Rating****6****6****G**[View More Details](#)**Bankruptcy Found****No****D&B Rating****ERN**

Employee information Not Available

Detailed Trade Risk Insight™**D&B Viability Rating**No Detailed Trade Data is available for this D-U-N-S®
Number**6** **Viability Score : 6****6** **Portfolio Comparison : 6****G** **Data Depth Indicator : G****Company Profile : X**

Financial Data	Trade Payments	Company Size	Years In Business
Not Available	Not Available	Small	Young

4/16/2015

DNBi

Year Started	2012
Employees	UNDETERMINED
SIC	9999
Line of business	Nonclassified establishment
NAICS	999990
History Status	INCOMPLETE

FirstRain Company News

This Company is not currently tracked for Company News

Powered by FirstRain


Public Filings

The following data includes both open and closed filings found in D&B's database on this company.

Record Type	Number of Records	Most Recent Filing Date
Bankruptcies	0	-
Judgments	0	-
Liens	0	-
Suits	0	-

The public record items contained herein may have been paid, terminated, vacated or released prior to today's date.

Predictive Scores

Currency: Shown in USD unless otherwise indicated 

D&B Viability Rating Summary

The D&B Viability Rating uses D&B's proprietary analytics to compare the most predictive business risk indicators and deliver a highly reliable assessment of the probability that a company will go out of business, become dormant/inactive, or file for bankruptcy/insolvency within the next 12 months. The D&B Viability Rating is made up of 4 components:

6

Viability Score

Lowest Risk:1

Highest Risk:9

Compared to All US Businesses within the D&B Database:

- Level of Risk: **Moderate Risk**
- Businesses ranked 6 have a probability of becoming no longer viable: **13 %**
- Percentage of businesses ranked 6: **30 %**
- Across all US businesses, the average probability of becoming no longer viable: **14 %**

Portfolio Comparison

Lowest Risk:1

Highest Risk:9

6

Compared to All US Businesses within the same MODEL SEGMENT:

- Model Segment : **Firmographics and Business Activity**
- Level of Risk: **Moderate Risk**
- Businesses ranked 6 within this model segment have a probability of becoming no longer viable: **18 %**
- Percentage of businesses ranked 6 with this model segment: **12 %**
- Within this model segment, the average probability of becoming no longer viable: **16 %**

G

Data Depth Indicator

Predictive Data:A

Descriptive Data:G

Data Depth Indicator:

- ✓ Basic Firmographics
- ✗ No Financial Attributes

Greater data depth can increase the precision of the D&B Viability Rating assessment.



Company Profile

Financial
DataTrade
PaymentsCompany
SizeYears in
BusinessNot
AvailableNot
Available

Small

Young

Company Profile Details:

- Financial Data: **Not Available**
- Trade Payments: **Not Available**
- Company Size: **Small** (Employees: <10 and Sales: <\$10K or Missing)
- Years in Business: **Young** (<5)

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Exhibit E-7 - "Credit Report"



DNE SALES LLC

DNE Resources

Montreal, QC Canada

Also trades as:

Company Description

4030 Saint-Ambroise St Suite 398
H4C 2C7 Montreal H4C 2C7 QC
Canada

Phone: +1-514-692-8753

Line of Business

Natural gas distribution

[Download This Company](#)

Key Information

D-U-N-S Number	203254917
Location Type	Single Location
Subsidiary Status	No
Employees (All Sites)	10
Employees (This Site)	10
1-Year Employee Growth	0.0%
Year of Founding	2012
Primary Industry	Natural Gas Distribution & Marketing
Primary SIC Code	49240000: Natural gas distribution
Primary NAICS Code	221210: Natural Gas Distribution
Minority Owned/Women Owned	No

Key Financials

Annual Sales (Estimated)	\$2.49M
Prescreen Score	Low Risk

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People

Title	Name	Compensation
President	<u>Wayne Burke</u>	

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Exhibit C-8 "Bankruptcy Information"

DNE SALES LLC has not had any reorganizations that resulted in bankruptcy nor any other form of bankruptcy filings, by DNE SALES LLC or any of its parent or affiliate organizations.

Exhibit C-9 "Merger Information"

DNE SALES LLC has not had any dissolution or merger or acquisition that altered the composition of the organization. As described in Exhibit A-14 one partner was bought out and the shares were acquired by the other owners, no shares were dissolved or diluted.

Exhibit D-1 "Operations"

DNE acts as a broker of energy supplier options. We contact potential clients advising them of their options, giving them a free consultation and analysis of their current energy procurement selection and advises them on whether a different approach is necessary or not. We are entirely independent from our suppliers and act as a consultant offering them the best solutions for their business needs.

We either contact the client via a phone call or in person, while allowing them to walk away at any time as there is no commitment to us. We do not use auto-dialers and abide by the telemarketing regulations in the markets we contact. We continue to evaluate their options should they elect to have us do this for them on an ongoing basis for free. We feel that the approach to represent them at no cost ensures that they will remain confident of our impartiality and fairness. We use a CRM to manage the database of clients and have a thorough Quality Control, but proactive and reactive to ensure that we offer the best service possible to our clients.

Exhibit D-2 "Operational Expertise"

We train our agent in the local regulations with both in class and online courses. We have built a training platform to teach the agents about the products they are selling generally and have in class sessions to ensure they understand the nature of the business and local requirements. We have developed all of our systems inhouse.

We are not hedging or structuring any blocks so we do not require any expertise of a technical nature for our role as a broker.

Exhibit D-3 "Key Technical Personnel"

Our COO manages the majority of our technical requirements, but due to the nature of our role of simply being a broker this is mostly limited to the internal workings of our process management.

Jean-Marc Gohier, COO, jmg@dnhq.com, 1-888-631-7977 ext 128.



The Public Utilities Commission of Ohio

Competitive Retail Natural Gas Service
Affidavit Form
(Version 1.07)

In the Matter of the Application of)

DNE Sales LLC)

for a Certificate or Renewal Certificate to Provide)

Competitive Retail Natural Gas Service in Ohio.)

Case No. 13 - 0964 -GA-AGG

County of
State of

Steve, Shoiry, DNE Sales LLC

[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

CEO

Sworn and subscribed before me this 16

day of April

Month

2015

Year

Signature of Official Administering Oath

Print Name and Title

Me Katarzyna Raszplewicz

NOTAIRES ET CONSEILLERS JURIDIQUES My commission expires on

NOTARIES & ATTORNEYS

186, Sutton Place, suite 1

Beaconsfield (Québec) H9W 5S3

Tél.: (514) 505-3500 Fax: (514) 505-3515

• Columbus, OH 43215-3793 • (614) 466-3016 • www.PUCO.ohio.gov
The Public Utilities Commission of Ohio is an Equal Opportunity Employer and Service Provider

(CRNGS Broker/Aggregator Renewal) Page 7 of 7

RO987