

FILE

Docketing Division

Additional information in Case no. 15-1398-EL-AGG

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PUCO

SEE ATTACHED EMAIL

ALL CORRECTIONS HAVE BEEN MADE FOR ALLEGIANT ENERGY LLC APPLICATION



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Technician SMT Date Processed AUG 05 2015

**Lisa Dyer**

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**From:** craig.smith@puc.state.oh.us  
**Sent:** Monday, August 3, 2015 2:22 PM  
**To:** lisadyer2015@outlook.com  
**Subject:** OHIO CRES application is incomplete

Ms. Dyer:

Upon an initial review of Sections A and B of your Ohio, there are two incomplete items. Section A-1, "applicant's legal address" is incomplete. Please reprint this page and provide a complete address here. The affidavit is also incomplete. The top portion of the affidavit was not filled out. Please complete this portion of the affidavit. Please submit these two items to our Docketing Division as additional information in Case No. 15-1398-EL-AGG. If you have any questions please call or e-mail me.

Craig Smith  
Public Utilities Commission of Ohio  
Service Monitoring and Enforcement Department  
Utility Specialist  
(614) 644-5480  
[PUCO.ohio.gov](http://PUCO.ohio.gov)





**Public Utilities  
Commission**

PUCO USE ONLY		
Date Received	Case Number	Version
	-EL-AGG	December 2014

## **CERTIFICATION APPLICATION FOR AGGREGATORS/POWER BROKERS**

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit A-5 Experience). 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. APPLICANT INFORMATION**

#### **A-1 Applicant's legal name, address, telephone number and web site address**

Legal Name Allegiant Energy LLC  
Address 1579 Southcross Drive Hebron KY 41048  
Telephone # (513) 646-9721 Web site address (if any) \_\_\_\_\_

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

Legal Name Allegiant Energy LLC  
Address 25 Ireland Avenue Cincinnati OH 45218  
Telephone # (513) 646-9721 Web site address (if any) \_\_\_\_\_

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

Allegiant Energy LLC  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

#### **A-4 Contact person for regulatory or emergency matters**

Name Lisa Dyer  
Title President/Owner

Business address 25 Ireland Ave Cincinnati OH 45218  
Telephone # (513) 646-9721 Fax # (859) 534-5027  
E-mail address lisadyer2015@outlook.com

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

Name Lisa Dyer  
Title President/Owner  
Business address 1579 Southcross Dr. Hebron KY 41048  
Telephone # (513) 646-9721 Fax # (859) 534-5027  
E-mail address lisadyer2015@outlook.com

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

Customer Service address 25 Ireland Ave Cincinnati OH 45218  
Toll-free Telephone # (513) 646-9721 Fax #   
E-mail address lisadyer2015@outlook.com

**A-7 Applicant's federal employer identification number # 471714428**

**A-8 Applicant's form of ownership (check one)**

- |  |   |
|--|---|
| <input type="checkbox"/> Sole Proprietorship                 | <input type="checkbox"/> Partnership                                |
| <input type="checkbox"/> Limited Liability Partnership (LLP) | <input checked="" type="checkbox"/> Limited Liability Company (LLC) |
| <input type="checkbox"/> Corporation                         | <input type="checkbox"/> Other <u></u>                              |

**A-9 (Check all that apply) Identify each electric distribution utility certified territory in which the applicant intends to provide service, including identification of each customer class that the applicant intends to serve, for example, residential, small commercial, mercantile commercial, and industrial. (A mercantile customer, as defined in (A) (19) of Section 4928.01 of the Revised Code, is a commercial customer who consumes more than 700,000 kWh/year or is part of a national account in one or more states).**

- |   |   |  |  |  |
|---|---|--|--|--|
| <input type="checkbox"/> <b>First Energy</b>                      |   |  |  |  |
| <input type="checkbox"/> Ohio Edison                              | <input type="checkbox"/> Residential            | <input checked="" type="checkbox"/> Commercial | <input checked="" type="checkbox"/> Mercantile | <input checked="" type="checkbox"/> Industrial |
| <input type="checkbox"/> Toledo Edison                            | <input type="checkbox"/> Residential            | <input checked="" type="checkbox"/> Commercial | <input checked="" type="checkbox"/> Mercantile | <input checked="" type="checkbox"/> Industrial |
| <input type="checkbox"/> Cleveland Electric Illuminating          | <input type="checkbox"/> Residential            | <input checked="" type="checkbox"/> Commercial | <input checked="" type="checkbox"/> Mercantile | <input checked="" type="checkbox"/> Industrial |
| <input checked="" type="checkbox"/> <b>Duke Energy</b>            | <input checked="" type="checkbox"/> Residential | <input checked="" type="checkbox"/> Commercial | <input checked="" type="checkbox"/> Mercantile | <input checked="" type="checkbox"/> Industrial |
| <input type="checkbox"/> <b>Monongahela Power</b>                 | <input type="checkbox"/> Residential            | <input checked="" type="checkbox"/> Commercial | <input checked="" type="checkbox"/> Mercantile | <input checked="" type="checkbox"/> Industrial |
| <input type="checkbox"/> <b>American Electric Power</b>           |   |  |  |  |
| <input type="checkbox"/> Ohio Power                               | <input type="checkbox"/> Residential            | <input checked="" type="checkbox"/> Commercial | <input checked="" type="checkbox"/> Mercantile | <input checked="" type="checkbox"/> Industrial |
| <input type="checkbox"/> Columbus Southern Power                  | <input type="checkbox"/> Residential            | <input type="checkbox"/> Commercial            | <input type="checkbox"/> Mercantile            | <input type="checkbox"/> Industrial            |
| <input checked="" type="checkbox"/> <b>Dayton Power and Light</b> | <input type="checkbox"/> Residential            | <input checked="" type="checkbox"/> Commercial | <input checked="" type="checkbox"/> Mercantile | <input checked="" type="checkbox"/> Industrial |

- A-10** Provide the approximate start date that the applicant proposes to begin delivering services

JAN 1 2016

**PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:**

- A-11** **Exhibit A-11 "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-12** **Exhibit A-12 "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.
- A-13** **Exhibit A-13 "Company History,"** provide a concise description of the applicant's company history and principal business interests.
- A-14** **Exhibit A-14 "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-15** **Exhibit A-15 "Secretary of State,"** provide evidence that the applicant has registered with the Ohio Secretary of the State.

**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 "Summary of Experience,"** provide a concise summary of the applicant's experience in providing aggregation service(s) including contracting with customers to combine electric load and representing customers in the purchase of retail electric services. (e.g. number and types of customers served, utility service areas, amount of load, etc.).

**B-4** **Exhibit B-4 "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-5** 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-5 "Disclosure of Consumer Protection Violations"** detailing such violation(s) and providing all relevant documents.

**B-6** 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-6 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation"** detailing such action(s) and providing all relevant documents.

## **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 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 Experion, 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.

Q. Dr. Present  
Signature of Applicant & Title

Sworn and subscribed before me this 1<sup>st</sup> day of August, 2015  
Month Year

Dawn Burger  
Signature of official administering oath

Dawn Burger Notary  
Print Name and Title

My commission expires on January 16, 2021

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# **AFFIDAVIT**

State of OHio :

Green Hills ss.  
(Town)

County of Ham. Hw.

Lisa Dya, Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/She is the President (Office of Affiant) of Allegiant Energy LLC (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 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 comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
8. 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.
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 it 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 application within 30 days of such material change, including any change in contact person for regulatory purposes or contact person for Staff use in investigating customer complaints.

That the facts above set forth are true and correct to the best of his/her knowledge, information, and belief and that he/she expects said Applicant to be able to prove the same at any hearing hereof.

[Signature] President  
Signature of Affiant & Title

Sworn and subscribed before me this 1<sup>st</sup> day of August, 2015  
Month Year

[Signature]  
Signature of official administering oath

Dawn Burger Notary  
Print Name and Title

My commission expires on January 16, 2021

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## **Exhibit A-11 Principal Officers, Directors and Partners**

### **President/Owner**

Lisa Dyer      1579 Southcross Drive Hebron Ky 41048      513-646-9721  
[lisadyer2015@outlook.com](mailto:lisadyer2015@outlook.com)

### **Member**

Jim Wilson      25 Ireland Ave Cincinnati OH 45218      513-675-3300  
[Jw4444@hotmail.com](mailto:Jw4444@hotmail.com)

## **Exhibit A-12 Corporate Structure**

Allegiant Energy, Owner Lisa Dyer

Natural Gas Consulting/Brokering

Electricity Consulting/Brokering

No affiliates supplying natural gas or electricity

## **Exhibit A-13 Company History**

Allegiant Energy was originated August 21, 2014. Allegiant Energy started as being fully operated July 1, 2015. The company's business interest is providing brokering services for commercial, industrial, and residential customers in Ohio. This company will work with customers and suppliers. The company is actively working with commercial and industrial customers now.

## **Exhibit A-14 Articles of Incorporation and Bylaws**

None

## **Exhibit A-15 Secretary of State – Attached copy of registration with Secretary of the State**

Section B

**Exhibit B-1 Jurisdictions of Operation**

None

**Exhibit B-2 Experience and Plans**

The applicant has been in the energy industry since 1986. First with Duke Energy for 11 years, ProLiance Energy, 1 year, EnergyUSA, 10 years, BP Canada, 1 year, Compass Energy, 5 years, Integrys Energy and lastly Constellation Energy. During those years the company owner has worked with regulatory and compliance, gas supply, gas nominations, pipeline nominations, billing, gas scheduling, electricity brokering (Compass Energy) marketing, gas sales executive, electricity sales executive, and energy efficiencies. I have served accounts such as P&G, City of Cincinnati, University of Cincinnati, School consortiums, industrial, and commercial customers.

**Exhibit B-3 Summary of Experience**

Currently serving 10 customers in a consulting capacity. My anticipated customer service goal is 20 industrial customers, 50 commercial, and 30 residential. Allegiant Energy is not going to be a supplier. Only a broker.

**Exhibit B-4 Disclosure of Liabilities and Investigations**

No pending rulings or judgments.

**Exhibit B-5 Disclosure of Consumer Protection Violations**

NONE

**Exhibit B-6 Disclosure of Certification Denial, Curtailment, Suspension, Revocation**

NONE

Section C

**Exhibit C-1 Annual Report**

NONE – Company just in operation

**Exhibit C-2 SEC filings**

NONE, NOT REQUIRED TO FILE WITH SEC , No Parent Company, this is a small brokering company, no paid employees and not a publicly traded company

**Exhibit C-3 Financial Statements**

Attached bank statement attached

**Exhibit C-4 Financial Arrangements**

Not supplying gas. Only consulting services paid by the customer

**Exhibit C-5 Forecasted Financial Statements**

Attached

**Exhibit C-6 Credit Rating**

No credit rating

**Exhibit c-7 Credit Report**

Allegiant Energy has no credit report as it has just started become a fully operational company

**Exhibit C-8 Bankruptcy Information**

Never filed bankruptcy

**Exhibit C-9 Merger Information**

No merger information

## **Section D – Applicant Technical Capability**

### **Exhibit D-1 Operations**

This business will operate via telephone, fax, electronic email, customer face to face meetings. All operations will be done via computer or face to face. Reports will be provided to customers along with all services related to natural gas and electricity brokering.

### **Exhibit D-2 Operations Expertise**

The owner has worked in this industry for over 29 years. Due to the constant volatility with natural gas suppliers, the owner has left the industry and their former employer Constellation to provided brokering services directly to customers. My extensive knowledge in this industry will allow me to help customers make better energy buying decisions, review invoices, monitor markets, and reporting tools. I have worked in almost every facet of the industry except Trading and Risk. That will not apply in my business. I have a Bachelor's Degree in Business Management.

### **Exhibit D-3 Key Technical Personnel**

Lisa Dyer      President/Owner   lisadyer2015@outlook.com 513-646-9721

Bachelor's Degree in Business Management

29 years energy industry experience

11 years' experience Duke Energy, Cincinnati OH

Electric consulting while working with Compass Energy

5 years' experience customer service, scheduling, and nominations

1 year experience in pipeline scheduling

2 years marketing experience and 1 year energy efficiency

15 years in natural gas sales

3 years in electricity sales