



Public Utilities Commission

Original AGG Case Number	Version
13 - 1958 -EL-AGG	December 2014

RENEWAL APPLICATION FOR ELECTRIC AGGREGATORS/POWER BROKERS

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit A-10 Corporate Structure). All attachments should bear the legal name of the Applicant. Applicants should file completed applications and all related correspondence with the Public Utilities Commission of Ohio, Docketing Division; 180 East Broad Street, Columbus, Ohio 43215-3793.

**This PDF form is designed so that you may input information directly onto the form.
You may also download the form, by saving it to your local disk, for later use.**

A. RENEWAL INFORMATION

A-1 Applicant's legal name, address, telephone number, PUCO certificate number, and web site address

Legal Name Community Energy Advisors, LLC
 Address 689 W. Liberty St., Ste. 5, Medina, OH 44256
 PUCO Certificate # and Date Certified 13-745E; 10/22/13
 Telephone # (330) 721-8000 Web site address (if any) www.ceateam.com

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

Legal Name Community Energy Advisors, LLC
 Address 689 W. Liberty St., Medina, OH 44256
 Telephone # (330) 721-8000 Web site address (if any) www.ceateam.com

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

Community Energy Advisors

A-4 Contact person for regulatory or emergency matters

Name Kevin S. Lauterjung
 Title Principal
 Business address 689 W. Liberty St., Ste. 5, Medina, OH 44256
 Telephone # (330) 721-8000 Fax # (330) 721-8111
 E-mail address klauterjung@ceateam.com

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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.
 Technician Ad Date Processed 9/17/15

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

Name Kevin S. Lauterjung
Title Principal
Business address 689 W. Liberty St., Ste. 5, Medina, OH 44256
Telephone # (330) 721-8000 Fax # (330) 721-8111
E-mail address klauterjung@ceateam.com

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

Customer Service address 689 W. Liberty St., Ste. 5, Medina, OH 44256
Toll-free Telephone # (855) 923-2832 Fax # (330) 721-8111
E-mail address info@ceateam.com

A-7 Applicant's federal employer identification number # 32-0418035

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

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

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

A-9 Exhibit A-9 "Principal Officers, Directors & Partners" provide the names, titles, addresses and telephone numbers of the applicant's principal officers, directors, partners, or other similar officials.

A-10 Exhibit A-10 "Corporate Structure," provide a description of the applicant's corporate structure, including a graphical depiction of such structure, and a list of all affiliate and subsidiary companies that supply retail or wholesale electricity or natural gas to customers and companies that aggregate customers in North America.

B. APPLICANT MANAGERIAL CAPABILITY AND EXPERIENCE

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

B-1 Exhibit B-1 "Jurisdictions of Operation," provide a list of all jurisdictions in which the applicant or any affiliated interest of the applicant is, at the date of filing the application, certified, licensed, registered, or otherwise authorized to provide retail or wholesale electric services including aggregation services.

B-2 Exhibit B-2 "Experience & Plans," provide a description of the applicant's experience and plan for contracting with customers, providing contracted services, providing billing statements, and responding to customer inquiries and complaints in accordance with Commission rules adopted pursuant to Section 4928.10 of the Revised Code.

B-3 **Exhibit B-3 "Disclosure of Liabilities and Investigations,"** provide a description of all existing, pending or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or any other matter that could adversely impact the applicant's financial or operational status or ability to provide the services it is seeking to be certified to provide.

B-4 Disclose whether the applicant, a predecessor of the applicant, or any principal officer of the applicant have ever been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years.

☒ No ☐ Yes

If yes, provide a separate attachment labeled as **Exhibit B-4 "Disclosure of Consumer Protection Violations"** detailing such violation(s) and providing all relevant documents.

B-5 Disclose whether the applicant or a predecessor of the applicant has had any certification, license, or application to provide retail or wholesale electric service including aggregation service denied, curtailed, suspended, revoked, or cancelled within the past two years.

☒ No ☐ Yes

If yes, provide a separate attachment labeled as **Exhibit B-5 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation"** detailing such action(s) and providing all relevant documents.

C. FINANCIAL CAPABILITY AND EXPERIENCE

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

C-1 **Exhibit C-1 "Annual Reports,"** provide the two most recent Annual Reports to Shareholders. If applicant does not have annual reports, the applicant should provide similar information in Exhibit C-1 or indicate that Exhibit C-1 is not applicable and why.

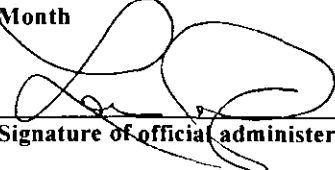
C-2 **Exhibit C-2 "SEC Filings,"** provide the most recent 10-K/8-K Filings with the SEC. If applicant does not have such filings, it may submit those of its parent company. If the applicant does not have such filings, then the applicant may indicate in Exhibit C-2 that the applicant is not required to file with the SEC and why.

C-3 **Exhibit C-3 "Financial Statements,"** provide copies of the applicant's two most recent years of audited financial statements (balance sheet, income statement, and cash flow statement). If audited financial statements are not available, provide officer certified financial statements. If the applicant has not been in business long enough to satisfy this requirement, it shall file audited or officer certified financial statements covering the life of the business.

- C-4 **Exhibit C-4 "Financial Arrangements,"** provide copies of the applicant's financial arrangements to conduct CRES as a business activity (e.g., guarantees, bank commitments, contractual arrangements, credit agreements, etc.).
- C-5 **Exhibit C-5 "Forecasted Financial Statements,"** provide two years of forecasted financial statements (balance sheet, income statement, and cash flow statement) for the applicant's CRES operation, along with a list of assumptions, and the name, address, e-mail address, and telephone number of the preparer.
- C-6 **Exhibit C-6 "Credit Rating,"** provide a statement disclosing the applicant's credit rating as reported by two of the following organizations: Duff & Phelps, Dun and Bradstreet Information Services, Fitch IBCA, Moody's Investors Service, Standard & Poors, or a similar organization. In instances where an applicant does not have its own credit ratings, it may substitute the credit ratings of a parent or affiliate organization, provided the applicant submits a statement signed by a principal officer of the applicant's parent or affiliate organization that guarantees the obligations of the applicant.
- C-7 **Exhibit C-7 "Credit Report,"** provide a copy of the applicant's credit report from Experian, Dun and Bradstreet or a similar organization.
- C-8 **Exhibit C-8 "Bankruptcy Information,"** provide a list and description of any reorganizations, protection from creditors or any other form of bankruptcy filings made by the applicant, a parent or affiliate organization that guarantees the obligations of the applicant or any officer of the applicant in the current year or within the two most recent years preceding the application.
- C-9 **Exhibit C-9 "Merger Information,"** provide a statement describing any dissolution or merger or acquisition of the applicant within the five most recent years preceding the application.

Ken Montezuma, Principal
Signature of Applicant & Title

Sworn and subscribed before me this 16th day of Sept., 2015
Month Year


Signature of official administering oath

Loe Dyck
Print Name and Title

My commission expires on Apr. 27, 2019

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

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

Kern H. Hanting, Principal
Signature of Affiant & Title

Sworn and subscribed before me this 16th day of Sept. 2015
Month Year

[Signature]
Signature of official administering oath

Lois Dyer
Print Name and Title

My commission expires on Apr. 27, 2019

AFFIDAVIT

State of Ohio :

Medina ss.
(Town)

County of Medina :

Kevin S. Lauterjung, Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/She is the Authorized Member (Office of Affiant) of Community Energy (Name of Applicant);
Advisors, LLC

That he/she is authorized to and does make this affidavit for said Applicant.

1. The Applicant herein, attests under penalty of false statement that all statements made in the application for certification renewal are true and complete and that it will amend its application while the application is pending if any substantial changes occur regarding the information provided in the application.
2. The Applicant herein, attests it will timely file an annual report with the Public Utilities Commission of Ohio of its intrastate gross receipts, gross earnings, and sales of kilowatt-hours of electricity pursuant to Division (A) of Section 4905.10, Division (A) of Section 4911.18, and Division (F) of Section 4928.06 of the Revised Code.
3. The Applicant herein, attests that it will timely pay any assessments made pursuant to Sections 4905.10, 4911.18, or Division F of Section 4928.06 of the Revised Code.
4. The Applicant herein, attests that it will comply with all Public Utilities Commission of Ohio rules or orders as adopted pursuant to Chapter 4928 of the Revised Code.
5. The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, and its Staff on any utility matter including the investigation of any consumer complaint regarding any service offered or provided by the Applicant.
6. The Applicant herein, attests that it will fully comply with Section 4928.09 of the Revised Code regarding consent to the jurisdiction of Ohio Courts and the service of process.
7. The Applicant herein, attests that it will use its best efforts to verify that any entity with whom it has a contractual relationship to purchase power is in compliance with all applicable licensing requirements of the Federal Energy Regulatory Commission and the Public Utilities Commission of Ohio.
8. The Applicant herein, attests that it will comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
9. The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, the electric distribution companies, the regional transmission entities, and other electric suppliers in the event of an emergency condition that may jeopardize the safety and reliability of the electric service in accordance with the emergency plans and other procedures as may be determined appropriate by the Commission.
10. If applicable to the service(s) the Applicant will provide, the Applicant herein, attests that it will adhere to the reliability standards of (1) the North American Electric Reliability Council (NERC), (2) the appropriate regional reliability council(s), and (3) the Public Utilities Commission of Ohio. (Only applicable if pertains to the services the Applicant is offering)

Exhibit A-9 "Principal Officers, Directors & Partners"

Richard W. Davidson
Principal / Member
689 W. Liberty St., Ste. 5
Medina, OH 44256
O: (330) 721-8000, ext. 1
F: (330) 721- 8111
Email: RDavidson@ceateam.com

Joseph M. LaGuardia
Principal / Member
689 W. Liberty St., Ste. 5
Medina, OH 44256
O: (330) 721-8000, ext. 2
F: (330) 721- 8111
Email: JLaGuardia@ceateam.com

Kevin S. Lauterjung
Principal / Member
689 W. Liberty St., Ste. 5
Medina, OH 44256
O: (330) 721-8000, ext. 3
F: (330) 721- 8111
Email: KLauterjung@ceateam.com

Exhibit A-10 "Corporate Structure,"

Community Energy Advisors, LLC is an Ohio limited liability company with 3 members, as identified in Exhibit A-9. There are no affiliate or subsidiary companies.

Exhibit B-1 “Jurisdictions of Operation,”

Our primary market is Ohio. Our clients are all based in Ohio. Some of our clients have operations in other states and provide services for these operations. These other states are Illinois, Pennsylvania and Michigan.

Exhibit B-2 "Experience & Plans,"

Community Energy Advisors has been serving commercial, industrial and government aggregation customers since October of 2013. In addition, our team brings several years of relevant utility and retail energy experience. Richard Davidson, principal and co-founder, has 19-years natural gas and electricity experience on both the supplier and competitive retail side. Dustin Fowkes, Account Manager, brought five years of utility experience, where he focused primarily on regulatory and tariff analysis and filings, and now has seven years total industry experience.

We are paid by our clients through several CRES providers with whom we have a broker / agent agreement. We are also paid directly by our clients for consulting and advisory professional services related to energy management, supply procurement, and demand related activities. An accounting firm invoices our clients on our behalf.

We serve as a liaison for our clients to CRES providers and utilities, and assist our clients where needed to connect with the appropriate customer service unit for their questions or concerns.

Exhibit B-3 "Disclosure of Liabilities and Investigations,"

There are no past, current or pending rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations or any other matter that could adversely impact our financial or operational status or ability to provide the services within this certification, to the best of our knowledge.