



~~09 - 824 - EL-AGG~~

13-2343-EL-AGG

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.

### A. RENEWAL INFORMATION

- Legal Name **Aspen Energy Corporation**  
Address **9550 Dublin Rd Suite C Powell OH 43065**  
PUCO Certificate # and Date Certified **14-767E (1) 1/14/2014**  
Telephone # **(614) 884-5300** Web site address (if any) **www.aspenenergy.com**

- Legal Name Aspen Energy Corporation  
Address 9550 Dublin Rd Suite C Powell OH 43065  
Telephone # (614) 884-5300 Web site address (if any) www.aspenenergy.com

- |                     |                                 |
|---------------------|---------------------------------|
| <u>Aspen Energy</u> | <u>Aspen Energy Corporation</u> |
| _____               | _____                           |

- Name Jason Heinmiller  
Title Operations Manager  
Business address 9550 Dublin Rd Suite C Powell OH 43065  
Telephone # (614) 884-5300 Fax # (614) 336-8362  
E-mail address jheinmiller@aspenenergy.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 Am Date Processed 11/28/15

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

Name Jason Heinmiller  
Title Operations Manager  
Business address 9550 Dublin Rd Suite C Powell OH 43065  
Telephone # (614) 884-5300 Fax # (614) 336-8362  
E-mail address www.aspenenergy.com

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

Customer Service address 9550 Dulbin Rd Suite C Powell OH 43065  
Toll-free Telephone # (800) 926-0046 Fax # (614) 336-8362  
E-mail address information@aspenenergy.com

**A-7 Applicant's federal employer identification number # 31-1718170**

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

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

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

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

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

**B. APPLICANT MANAGERIAL CAPABILITY AND EXPERIENCE**

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

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

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

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

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

☒ No ☐ Yes

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

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

☒ No ☐ Yes

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

## **C. FINANCIAL CAPABILITY AND EXPERIENCE**

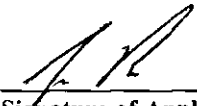
**PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:**

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

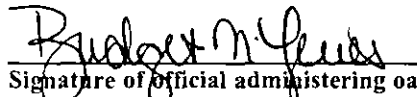
**C-2** **Exhibit C-2 "SEC Filings,"** provide the most recent 10-K/8-K Filings with the SEC. If applicant does not have such filings, it may submit those of its parent company. If the applicant does not have such filings, then the applicant may indicate in Exhibit C-2 that the applicant is not required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

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

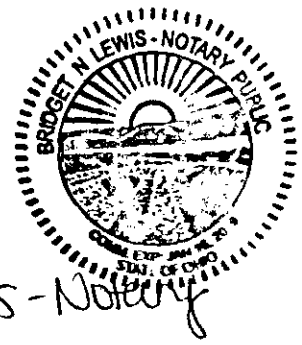
- C-4 Exhibit C-4 "Financial Arrangements," provide copies of the applicant's financial arrangements to conduct CRES as a business activity (e.g., guarantees, bank commitments, contractual arrangements, credit agreements, etc.).
- C-5 Exhibit C-5 "Forecasted Financial Statements," provide two years of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

 President  
Signature of Applicant & Title

Sworn and subscribed before me this 19<sup>th</sup> day of November 2015  
Month Year

  
Signature of official administering oath

Bridget N. Lewis - Notary  
Print Name and Title



My commission expires on Jan. 16, 2015

# **AFFIDAVIT**

State of Ohio :

Powell ss.  
(Town)

County of Delaware :

Jonathan Peele, Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/She is the President (Office of Affiant) of Aspen Energy Corp. (Name of Applicant);

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

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

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

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

*[Signature]*  
Signature of Affiant & Title

Sworn and subscribed before me this 19<sup>th</sup> day of November, 2015  
Month Year

*[Signature]*  
Signature of official administering oath

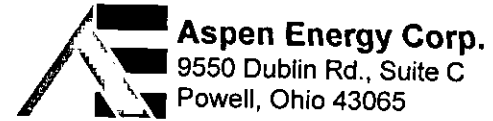


Bridget N. Lewis - Notary  
Print Name and Title

My commission expires on Jan. 16, 2019

Exhibit A-9

Principal Officers, Directors and Partners

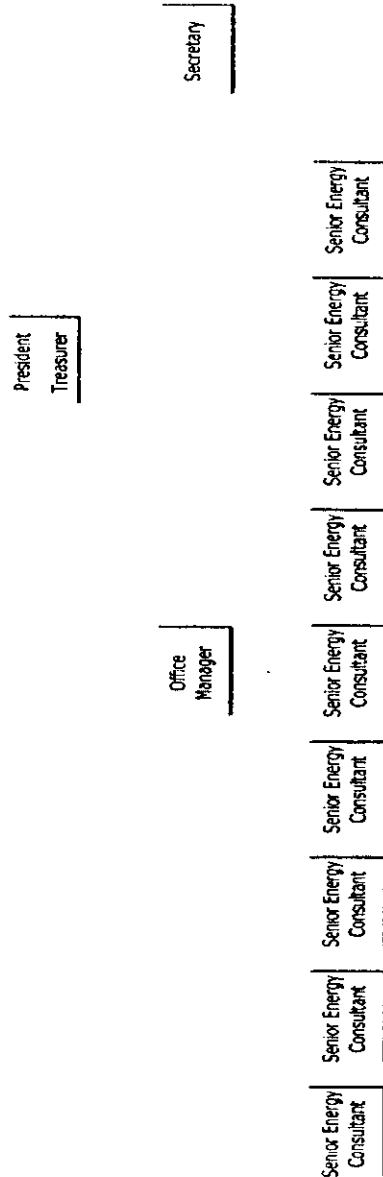


President: Jonathan Peele  
9550 Dublin Rd Suite C  
Powell OH 43065  
614-884-5300

Exhibit A-10 Corporate Structure



**Aspen Energy Corp.**  
9550 Dublin Rd., Suite C  
Powell, Ohio 43065







Aspen Energy is providing retail electric services in Ohio.

Exhibit B-2 Experience & Plans

Aspen Energy will be calling on Ohio customers to sell electricity on behalf of certified suppliers.

We will be selling over the phone and face to face appointments. We will be utilizing our staff of Senior Energy Consultants to obtain business. We do not provide any billing statements. All customer inquiries and complaints will be immediately rectified by Jonathan Peele.



**Aspen Energy Corp.**  
9550 Dublin Rd., Suite C  
Powell, Ohio 43065

### Exhibit B-3 Disclosure of Liabilities and Investigations

Aspen Energy has no existing, pending, or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or matters that could adversely impact our financial or operational status or ability to provide the service it is seeking to be certified to provide.



**Aspen Energy Corp.**  
9550 Dublin Rd., Suite C  
Powell, Ohio 43065

## Exhibit C-1 Annual Reports

Aspen Energy does not have an annual report. This is not a publically traded company.



**Aspen Energy Corp.**  
9550 Dublin Rd., Suite C  
Powell, Ohio 43065

Exhibit C-2 SEC Filing

Aspen Energy does not have 10-K/8-K filings with the SEC. This is not a publically traded company.

Exhibit C-4 Financial Arrangements

N/A – Aspen Energy does not take title to power.

Exhibit C-5 Forecasted Financial Statements

All forecasted financial statements prepared by Jonathan Peele, President of Aspen Energy Corp.

Signed

  
Jonathan Peele, President

**CONFIDENTIAL**

Aspen Energy Corp  
9550 Dublin Rd Suite C  
Powell OH 43065



**Aspen Energy Corp.**  
9550 Dublin Rd., Suite C  
Powell, Ohio 43065

Exhibit C-6 Credit Rating

N/A – Aspen Energy does not subscribe to large credit rating agencies.





**Aspen Energy Corp.**  
9550 Dublin Rd., Suite C  
Powell, Ohio 43065

## Experian Business Credit

### ProfilePlus<sup>SM</sup> Report

as of: 07/06/15 16:26 ET

#### Aspen Energy Corp

**Address:** 9550 Dublin Rd Ste C  
Powell, OH 43065-7436  
United States  
**Phone:** 614-884-5300  
**Website:** aspenenergy.com  
**Experian B/N:** 865314216

**Key Personnel:** Jonathan D Peele  
**SIC Code:** 1711-Plumbing, Heating & A/C  
Contractors  
7389-Business Services, Nec  
**NAICS Code:** 238220-Plumbing, Heating, And Air-  
Conditioning Contractors  
541990-All Other Professional,  
Scientific, And Technical  
Services  
425120-Wholesale Trade Agents And  
Brokers

#### Family Linkage:

**Ultimate Parent** Aspen Energy Corp  
9550 Dublin Rd Ste C  
Powell, OH  
**Branches / Alternative Locations** Aspen Energy Corp  
3055 N High St  
Columbus, OH United States

**Business Type:** Corporation  
**Experian File Established:** June 2002  
**Experian Years on File:** 13 Years  
**Years in Business:** 57 Years  
**Total Employees:** 5  
**Sales:** \$873,000

This location does not yet have an estimated Days Beyond Terms (DBT), or a Payment Trend Indicator. This is often the result of too few Payment Tradelines.

**Payment Tradelines (see charts, detail):** 2  
**Business Inquiries (see summary):** 1  
**UCC Filings:** 0

✓ **Businesses Scoring Worse:** 90%  
✓ **Bankruptcies:** 0  
✓ **Liens:** 0  
✓ **Judgments Filed:** 0  
✓ **Collections:** 0

#### Credit Summary

**Credit Ranking Score: 91**

High  
Risk



Low  
Risk

The objective of the Credit Ranking Score is to predict payment behavior. High Risk means that there is a significant probability of delinquent payment. Low Risk means that there is a good probability of on-time payment.

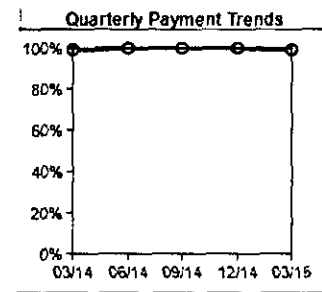
#### Key Score Factors:

- Number of recently active commercial accounts.
- Ratio of total bal to total high bal across all comm accts.
- Length of time on experian's file.

**Recommended Action:** Low Risk

# Payment Summary

Insufficient information to produce  
Monthly Payment Trends  
chart.

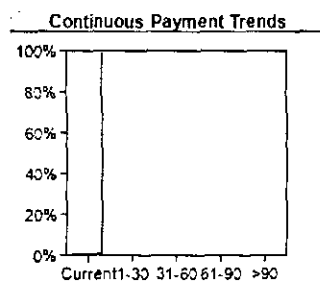


\*Percentage of on-time payments by quarter.

Insufficient information to produce  
Monthly Payment Trends  
table.

## Quarterly Payment Trends - Recent Activity

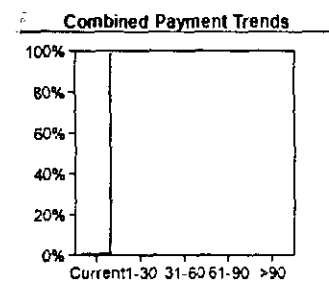
Date	Balance	Current	Up to 30 DBT	31-60 DBT	61-90 DBT	>90 DBT
03/14	\$3,200	99%	1%	0%	0%	0%
06/14	\$800	100%	0%	0%	0%	0%
09/14	\$3,000	100%	0%	0%	0%	0%
12/14	\$4,500	100%	0%	0%	0%	0%
03/15	\$4,100	99%	1%	0%	0%	0%



\*Continuous distribution with DBT.

Number of Accounts: 1  
Present Balance: \$7,900  
Highest Balance: \$12,100

Insufficient information to produce  
Newly Reported Payment Trends  
chart.



\*Combined distribution with DBT.

Number of Accounts: 1  
Present Balance: \$7,900  
Highest Balance: \$12,100

## Trade Payment Information

### Trade Payment Experiences

Supplier Category	Reported Date	Activity Date	Payment Terms	Recent High Credit	Balance	Current	Up to 30 DBT	31-60 DBT	61-90 DBT	>90 DBT	Comments
Warehouse	06/15	06/15	Credit	\$12,100	\$7,900	100%					

### Additional Payment Experiences

Supplier Category	Reported Date	Activity Date	Payment Terms	Recent High Credit	Balance	Current	Up to 30 DBT	31-60 DBT	61-90 DBT	>90 DBT	Comments
Cred Card	06/15	05/15	Revolve	\$27,700	\$6,000	100%					

## Inquiries

### Summary of Inquiries

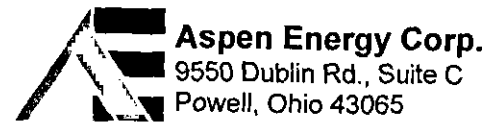
Supplier Category	07/15	06/15	05/15	04/15	03/15	02/15	01/15	12/14	11/14
Bank	0	0	0	0	0	1	0	0	0
Totals	0	0	0	0	0	1	0	0	0

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**Aspen Energy Corp.**  
9550 Dublin Rd., Suite C  
Powell, Ohio 43065

Exhibit C-8 Bankruptcy Information

Aspen Energy has no reorganizations, protection from creditors or any other form of bankruptcy filings.

Exhibits page 35

Exhibit C-9 Merger Information

None