



Public Utilities Commission

Original AGG Case Number	Version
14-077-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 Worthington Energy Consultants, LLC
 Address 445 Hutchinson Avenue, STE 840 Columbus, OH 43235
 PUCO Certificate # and Date Certified 2048387 September 15, 2011
 Telephone # (614) 989-3030 Web site address (if any) www.worthingtonenergyconsultants.com

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

Legal Name Worthington Energy Consultants, LLC
 Address 445 Hutchinson Avenue, STE 840 Columbus, OH 43235
 Telephone # (614) 989-3030 Web site address (if any) www.worthingtonenergyconsultants.com

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

Worthington Energy Consultants, LLC

A-4 Contact person for regulatory or emergency matters

Name Fred J. Graft
 Title President
 Business address 445 Hutchinson Avenue, STE 840 Columbus, OH 43235
 Telephone # (614) 989-3030 Fax # (614) 802-2901
 E-mail address fgraft@worthingtonenergyconsultants.com

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 PUCO

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 [Signature] Date Processed DEC 17 2015

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

Name Fred J. Graft
Title President
Business address 445 hutchinson Avenue, STE 840 Columbus, OH 43235
Telephone # (614) 989-3030 Fax # (614) 802-2901
E-mail address fgraft@worthingtonenergyconsult

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

Customer Service address 445 hutchinson Avenue, STE 840 Columbus, OH 43235
Toll-free Telephone # _____ Fax # (614) 802-2901
E-mail address fgraft@worthingtonenergyconsult

A-7 Applicant's federal employer identification number # 453170914

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.

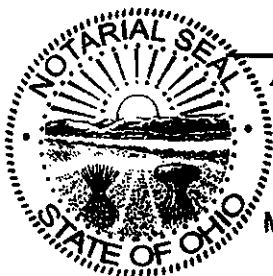

 Signature of Applicant & Title

Sworn and subscribed before me this 15 day of December, 2015
 Month Year


 Signature of official administering oath

Amber Richardson-Paralegal
 Print Name and Title

My commission expires on 11/18/19



AMBER RICHARDSON
 NOTARY PUBLIC
 STATE OF OHIO
 Recorded in
 Franklin County
 My Comm. Exp. 11/18/19

AFFIDAVIT

State of OHIO :

COLUMBUS ss.
(Town)

County of FRANKLIN :

FRED GRAFT, Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/She is the PRESIDENT (Office of Affiant) of NORTHINGTON ENERGY CONSULTANTS, 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 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.

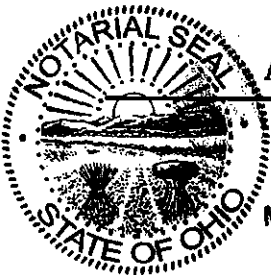
[Signature]
Signature of Affiant & Title

Sworn and subscribed before me this 15 day of December, 2015
Month Year

[Signature]
Signature of official administering oath

Amber Richardson - Paralegal
Print Name and Title

My commission expires on 11/18/19



AMBER RICHARDSON
NOTARY PUBLIC
STATE OF OHIO
Recorded in
Franklin County
My Comm. Exp. 11/18/19

Attachment
Exhibits A, B & C

EXHIBIT A-9 “Principal Officers, Directors & Partners”

Fred J. Graft
President
445 Hutchinson Avenue
Suite 800
Columbus, Ohio 43235
614-989-3030

EXHIBIT A-10 “Corporate Structure”

Ownership is:

100% Fred J. Graft

There are no affiliates or subsidiary companies.

Exhibit B-1 “Jurisdiction of Operation”

Not applicable.

Exhibit B-2 “Experience & Plans”

Worthington Energy Consultants, LLC will work with energy users and energy providers to assure that the customer receives the most appropriate pricing for the needed services.

WEC will provide guidance regarding energy procurement, refunds and rebates offered by governments and utilities for energy savings initiatives, utility cost recovery and related services.

WEC will typically utilize the contracts provided by third party vendors for services it does not provide.

In most instances, WEC will be compensated by the energy provider and not the customer. As a result, billing will be conducted by the third party provider.

Exhibit B-3 “Disclosure of Liabilities and Investigations”

Not applicable.

Exhibit C-1 “Annual Reports”

Worthington Energy Consultants, LLC has not issued any annual reports.

Exhibit C-2 “SEC Filings”

Worthington Energy Consultants, LLC has not made any filings with the SEC.

Exhibit C-3 “Financial Statements”

Worthington Energy Consultants, LLC does not have two years of audited financial statements. No officer certified financial statements have been issued to date.

Exhibit C-4 “Financial Arrangements”

Worthington Energy Consultants has not entered into any guarantees, bank commitments, contractual arrangements, credit agreements, etc. and has not had a need for such financial arrangements to execute our business plan.

Exhibit C-5 “Forecasted Financial Statements”

Worthington Energy Consultants, LLC has not prepared two years of forecasted financial statements.

As a consultant, WEC’s revenues will be derived as a percentage of the services provided by others and is difficult to estimate.

Exhibit C-6 “Credit Rating”

Worthington Energy Consultants, LLC has not been issued a credit rating.

Exhibit C-7 “Credit Report”

Worthington Energy Consultants, LLC does not have a credit report from Experion, dun and Bradstreet or a similar orgniazation.

Exhibit C-8 “Bankruptcy Information”

Not applicable.

Exhibit C-9 “Merger Information”

Not applicable.