

FILE

Original

29

Ohio

Public Utilities
Commission

Original AGG Case Number	Version
15-643-EL-AGG	May 2016

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 C-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 intends to be certified as: (check all that apply)**

☒ Power Broker ☐ Aggregator

A-2 Applicant's legal name, address, telephone number, PUCO certificate number, and web site address

Legal Name Triple "S" Energy Management LLC
 Address 2038 Oldtown Valley Road SE, New Philadelphia, Ohio 44663
 PUCO Certificate # and Date Certified 15-973E (1) on May 4, 2015
 Telephone # (330) 339-6001 Web site address (if any) www.triplesenergy.com

A-3 List name, address, telephone number and web site address under which Applicant will do business in Ohio

Legal Name Triple "S" Energy Management LLC
 Address 2038 Oldtown Valley Road SE, New Philadelphia, Ohio 44663
 Telephone # (330) 339-6001 Web site address (if any) www.triplesenergy.com

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

Triple "S" Energy Management LLC

A-5 Contact person for regulatory or emergency matters

Name Sandy Carpenter
 Title Owner/President
 Business address 2038 Oldtown Valley Road SE, New Philadelphia, Ohio 44663
 Telephone # (330) 339-6001 Fax # (330) 576-4141
 E-mail address scarpenter@triplesenergy.com

accurate and complete information in the regular course of business.
 Technician DM Date Processed MAR 21 2017

2017 MAR 20 PM 4:27
 PUCO

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

Name Sandy Carpenter
Title Owner/President
Business address 2038 Oldtown Valley Road, SE, New Philadelphia, Ohio 44663
Telephone # (330) 339-6001 Fax # (330) 576-4141
E-mail address scarpenter@triplesenergy.com

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

Customer Service address 2038 Oldtown Valley Road SE, New Philadelphia, Ohio
Toll-free Telephone # (330) 339-6001 Fax # (330) 576-4141
E-mail address scarpenter@triplesenergy.com

A-8 Applicant's federal employer identification number # 26-4585783

A-9 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-10 Exhibit A-10 "Principal Officers, Directors & Partners" provide the names, titles, addresses and telephone numbers of the applicant's principal officers, directors, partners, or other similar officials.

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. (This is generally only applicable to publicly traded companies who publish annual reports.)

C-2 **Exhibit C-2 "SEC Filings,"** provide the most recent 10-K/8-K Filings with the SEC. If the applicant does not have such filings, it may submit those of its parent company. An applicant may submit a current link to the filings or provide them in paper form. 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. If the applicant does not have a balance sheet, income statement, and cash flow statement, the applicant may provide a copy of its two most recent years of tax returns (with social security numbers and account numbers redacted).

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.).

Renewal applicants can fulfill the requirements of Exhibit C-4 by providing a current statement from an Ohio local distribution utility (LDU) that shows that the applicant meets the LDU’s collateral requirements.

First time applicants or applicants whose certificate has expired as well as renewal applicants can meet the requirement by one of the following methods:

1. The applicant itself stating that it is investment grade rated by Moody’s, Standard & Poor’s or Fitch and provide evidence of rating from the rating agencies.
2. Have a parent company or third party that is investment grade rated by Moody’s, Standard & Poor’s or Fitch guarantee the financial obligations of the applicant to the LDU(s).
3. Have a parent company or third party that is not investment grade rated by Moody’s, Standard & Poor’s or Fitch but has substantial financial wherewithal in the opinion of the Staff reviewer to guarantee the financial obligations of the applicant to the LDU(s). The guarantor company’s financials must be included in the application if the applicant is relying on this option.
4. Posting a Letter of Credit with the LDU(s) as the beneficiary.

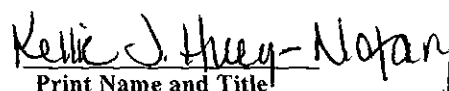
If the applicant is not taking title to the electricity or natural gas, enter "N/A" in Exhibit C-4. An N/A response is only applicable for applicants seeking to be certified as an aggregator or broker.

- C-5 **Exhibit C-5 "Forecasted Financial Statements,"** provide two years of forecasted income statements for the applicant's **ELECTRIC related business activities in the state of Ohio Only**, along with a list of assumptions, and the name, address, email address, and telephone number of the preparer. The forecasts should be in an annualized format for the two years succeeding the Application year.
- 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, Fitch IBCA, Moody's Investors Service, Standard & Poor's, 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 an 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. If an applicant or its parent does not have such a credit rating, enter "N/A" in Exhibit C-6.
- 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. An applicant that provides an investment grade credit rating for Exhibit C-6 may enter "N/A" for Exhibit C-7.
- 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 two most recent years preceding the application.
- C-10 **Exhibit C - 10 "Corporate Structure,"** provide a description of the applicant's corporate structure, not an internal organizational chart, 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 in North America. If the applicant is a stand-alone entity, then no graphical depiction is required and applicant may respond by stating that they are a stand-alone entity with no affiliate or subsidiary companies.


Signature of Applicant & Title

Sworn and subscribed before me this 16 day of MARCH, 2017
Month Year


Signature of official administering oath


Print Name and Title

My commission expires on 6-29-21

AFFIDAVIT

State of Ohio :

New Phila ss.
(Town)

County of Tuscarawas:

Sandy Carpenter, Affiant, being duly sworn/affirmed according to law, deposes and says that:

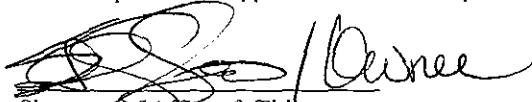
He/She is the Owner (Office of Affiant) of Teple "S" Energy, Inc. (Name of Applicant);

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

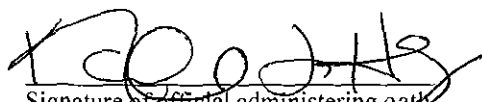
1. The Applicant herein, attests under penalty of false statement that all statements made in the application for certification renewal are true and complete and that it will amend its application while the application is pending if any substantial changes occur regarding the information provided in 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 of Affiant & Title

Sworn and subscribed before me this 16 day of MARCH, 2017
Month Year


Signature of official administering oath

Kellie J. Huey - Notary
Print Name and Title

My commission expires on 6-29-21

Exhibit A-10 "Principal Officers, Directors & Partners"

Company: Triple "S" Energy Management LLC

**Principal Officer:
Sandy Carpenter**

**Title:
Owner/President**

**Address:
2038 Oldtown Valley Road SE
New Philadelphia, Ohio 44663**

**Telephone Number:
330-339-6001**

Exhibit B-1 "Jurisdictions of Operation"

Company: Triple "S" Energy Management LLC

Ohio

Exhibit B-2 “Experience & Plans

Company: Triple “S” Energy Management LLC

Triple “S” Energy was started by Sandy Carpenter with 33 years of natural gas experience and 6 years of electric procurement which includes consulting energy services to small, medium and large commercial and industrial customers.

My plans for contracting with customers is to offer an all in price for electricity use through Suppliers. As a Broker, Suppliers of these commodities would be willing to contract with Triple “S” Energy as a Broker. Supplier will pay Triple “S” Energy a Broker fee for bringing the customer to that particular supplier. Compensation will be based on mils per each Kwh used. Compensation will be paid to Triple “S” Energy by the Supplier on a monthly basis based on the customers actual usage.

Triple “S” Energy takes an individualized personal approach with its clients and provides a monthly savings report identifying the savings incurred within each month. Any inquiries or problems are addressed immediately with professionalism, knowledge and expertise to solve such inquiry.

Exhibit B-3 “Disclosure of Liabilities and Investigations”

Company: Triple “S” Energy Management LLC

None

Exhibit B-4 “Disclosure of Consumer Protection Violations”

Company: Triple “S” Energy Management LLC

None

**Exhibit B-5 “Disclosure of Certification Denial, Curtailment,
Suspension or Revocation”**

Company: Triple “S” Energy Management LLC

None

Exhibit C-1 "Annual Report"

Company: Triple "S" Energy Management LLC

Triple "S" Energy is a small entity with no employees and one owner strong and growing. I do not have Annual Reports nor do I have Shareholders

Exhibit C-2 “SEC Filings”

Company: Triple “S” Energy Management LLC

**Triple “S” Energy is not required to submit SEC filings
because Triple “S” Energy is not a public traded company**

Exhibit C-3 "Financial Statements"

**Financial Statements prepared by Sandy Carpenter, Owner of
Triple "S" Energy Management LLC
Unaudited**

Year 2015

Year 2016

Attached as part of Exhibit C-3

Exhibit C-3
"Financial Statements"

Triple "S" Energy Management LLC
Profit & Loss

January through December 2015

Triple "S" Energy Management LLC

	<u>Jan - Dec 15</u>
Ordinary Income/Expense	
Income	
Consulting Income	151,764.30
Sales Income	0.00
Total Income	<u>151,764.30</u>
Gross Profit	151,764.30
Expense	
Advertising and Promotion	2,467.61
Bank Service Charges	18.15
Charitable Contributions	1,633.98
Computer and Internet Expen...	1,029.80
Continuing Education	400.00
Dues and Subscriptions	4,438.70
Federal Taxes	35,338.00
Insurance Expense	
General Liability Insurance	269.00
Worker's Compensation	140.00
Insurance Expense - Other	<u>1,305.40</u>
Total Insurance Expense	1,714.40
Meals and Entertainment	983.68
Miscellaneous Expense	4,579.84
Office Supplies	5,201.82
Payroll Expenses	12,472.55
Pop Money Payroll Fee	18.50
Postage and Delivery	331.40
Professional Fees	11,019.00
Promotional Expense	2,815.42
REFERRAL	350.00
State Taxes	1,675.00
Telephone Expense	3,662.46
Travel Expense	<u>241.69</u>
Total Expense	<u>90,392.00</u>
Net Ordinary Income	<u>61,372.30</u>
Net Income	<u><u>61,372.30</u></u>

Exhibit C-3
"Financial Statements"

Triple "S" Energy Management LLC
Summary Balance Sheet
As of December 31, 2015

Triple "S" Energy Management LLC

	<u>Dec 31, 15</u>
ASSETS	
Current Assets	
Checking/Savings	21,682.07
Accounts Receivable	-1,540.00
Other Current Assets	1,080.00
Total Current Assets	<u>21,222.07</u>
TOTAL ASSETS	<u>21,222.07</u>
LIABILITIES & EQUITY	
Liabilities	
Current Liabilities	
Accounts Payable	-200.00
Total Current Liabilities	<u>-200.00</u>
Total Liabilities	-200.00
Equity	21,422.07
TOTAL LIABILITIES & EQU...	<u>21,222.07</u>

Exhibit C-3
"Financial Statements"

Triple "S" Energy Management LLC
Profit & Loss

January through December 2016

Triple "S" Energy Management LLC

	<u>Jan - Dec 16</u>
Ordinary Income/Expense	
Income	
Consulting Income	153,967.65
Total Income	<u>153,967.65</u>
Gross Profit	153,967.65
Expense	
Advertising and Promotion	1,594.79
Assessments	473.76
Bank Service Charges	15.30
Charitable Contributions	4,850.73
Computer and Internet Expen...	1,470.42
Continuing Education	95.00
Contractor - Angela Howard	598.60
Contractor - Jenna Kirkwood	15,543.75
Contractor - Laura Sherman	496.76
Contractor Bank Fee	17.00
Dues and Subscriptions	5,901.38
Federal Taxes	24,500.00
Insurance Expense	
General Liability Insurance	1,553.40
Worker's Compensation	120.00
Total Insurance Expense	<u>1,673.40</u>
Interest Expense	947.92
Meals and Entertainment	2,083.98
Miscellaneous Expense	50.50
Office Supplies	3,772.62
Postage and Delivery	491.95
Professional Fees	3,189.50
Promotional Expense	1,363.05
Sponsorship	800.00
State Taxes	475.00
Telephone Expense	3,658.49
Total Expense	<u>74,063.90</u>
Net Ordinary Income	<u>79,903.75</u>
Net Income	<u><u>79,903.75</u></u>

Exhibit C-3
"Financial Statements"

Triple "S" Energy Management LLC

Triple "S" Energy Management LLC
Summary Balance Sheet
As of December 31, 2016

	<u>Dec 31, 16</u>
ASSETS	
Current Assets	
Checking/Savings	48,385.82
Accounts Receivable	-1,540.00
Other Current Assets	1,080.00
Total Current Assets	<u>47,925.82</u>
TOTAL ASSETS	<u>47,925.82</u>
LIABILITIES & EQUITY	
Liabilities	
Current Liabilities	
Accounts Payable	-200.00
Total Current Liabilities	<u>-200.00</u>
Total Liabilities	-200.00
Equity	48,125.82
TOTAL LIABILITIES & EQU...	<u>47,925.82</u>

Exhibit C-4 "Financial Arrangement"

Company: Triple "S" Energy Management LLC

**Triple "S" Energy does not take title to the electric and does
not require Collateral or Financial Arrangements**

N/A

Exhibit C-6 “Credit Rating”

Company: Triple “S” Energy Management LLC

N/A

Exhibit C-7 "Credit Report"

Company: Triple "S" Energy Management LLC

Attached as Exhibit C-7 "Credit Report"

Exhibit C-7
"Credit Report"



Triple "S" Energy Management LLC

SmartBusinessReports.com®

Welcome Sandy ?
[Logout](#)

[Home](#) | [My companies](#) | [My account](#) | [Products and pricing](#) | [Help](#) | [Business services](#)

For help reading this report, please review our [sample report](#).

Search inquiry: Triple S Energy Management Llc / New Philadelphia / OH / (My company)

CreditScoreSM Report

as of: 03/15/17 15:52 ET

Triple S Energy Management

Address: 2038 Oldtown Valley Rd SE
 New Phila, OH 44663-7833
 United States

Phone: 330-339-6001

Website: www.triplesenergy.com

Experian BIN: 907942602

Also is (or has been) operating as:

Triple S Energy Management LLC

Key Personnel:

SIC Code:

Owner: Sandra K Carpenter
 8748-Business Consulting
 Services, Nec
 1711-Plumbing, Heating & A/C
 Contractors
 8741-Management Services

NAICS Code:

541618-Other Management
 Consulting Services
 238220-Plumbing, Heating,
 And Air-Conditioning
 Contractors
 236110-Residential Building
 Construction

Experian File Established: April 2009

Experian Years on File: 8 Years

Years in Business: 8 Years

Total Employees: 1

Sales: \$103,000

Payment Tradelines (see [charts](#)): 2

UCC Filings: 0

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.

Lowest 6 Month Balance: \$66

Highest 6 Month Balance: \$1,118

**Current Total Account
 Balance:** \$0

Businesses Scoring Worse: **68%**

✓ **Bankruptcies:** 0

✓ **Liens:** 0

✓ **Judgments Filed:** 0

✓ **Collections:** 0

25

**Highest Credit Amount
Extended:** \$0

**Exhibit C-7
"Credit Report"**

Triple "S" Energy Management LLC

Credit Summary

[Back to top](#)

Credit Ranking Score: 69

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:

- Low number of recently reported commercial accounts.
- High maximum commercial account bal in the last 12 mos.
- Length of time on experian's file.
- Ratio of total bal to total high bal across all comm accts.

Recommended Action: Low To Medium Risk

26

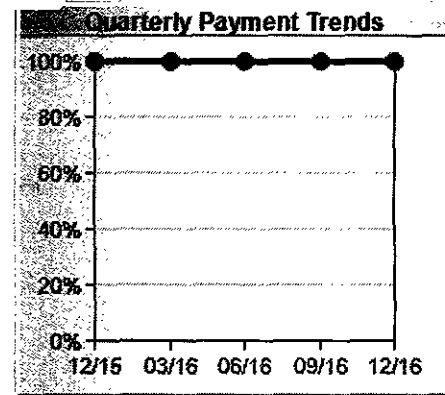
Exhibit C-7 "Credit Report"

Payment Summary

Triple "S" Energy Management LLC

[Back to top](#)

Insufficient information to produce
Monthly Payment Trends
chart.

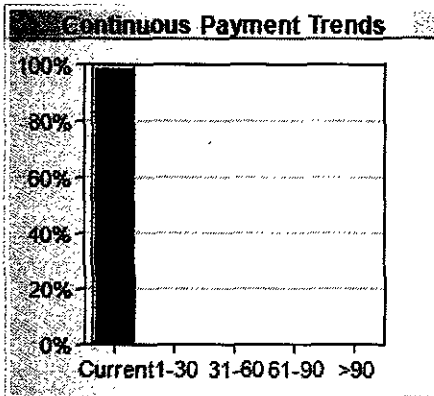


*Percentage of on-time payments by quarter.

Insufficient information to produce
Monthly Payment Trends
table.

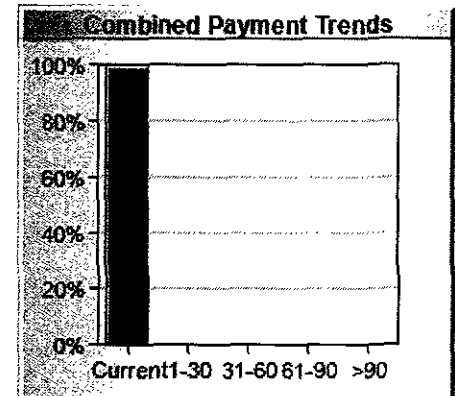
Quarterly Payment Trends - Recent Activity

Date	Current	Up to 30 DBT	31-60 DBT	61-90 DBT	>90 DBT
12/15	0%	0%	0%	0%	0%
03/16	0%	0%	0%	0%	0%
06/16	100%	0%	0%	0%	0%
09/16	100%	0%	0%	0%	0%
12/16	0%	0%	0%	0%	0%



*Continuous distribution with DBT.

Insufficient information to produce
Newly Reported Payment Trends
chart.



*Combined distribution with DBT.

*** The information herein is furnished in confidence for your exclusive use for legitimate business purposes and shall not be reproduced. Neither Experian nor its sources or distributors warrant such information nor shall they be liable for your use or reliance upon it.**

© 2017 Experian Information Solutions Inc.

[Back to top](#)

27

Exhibit C-8 "Bankruptcy Information"

Company: Triple "S" Energy Management LLC

N/A

Exhibit C-9 “Merger Information”

Company: Triple “S” Energy Management LLC

N/A

Exhibit C-10 “Corporate Structure”

Company: Triple “S” Energy Management LLC

**Triple “S” Energy Management LLC is a stand-alone entity
with no affiliate or subsidiary companies**