



## **Renewal Instructions for Electric Aggregator/Power Brokers**

**I. Where to File:** Applications should be sent to: Public Utilities Commission of Ohio, Docketing Division, 180 East Broad Street, Columbus Ohio 43215-3793.

**II. What to File:** Applicant must submit one original notarized application signed by a principal officer and three copies including all exhibits, affidavits, and other attachments. All attachments, affidavits, and exhibits should be clearly identified. For example, Exhibit C-10 should be marked "Exhibit C -10 'Corporate Structure.'" All pages should be numbered and attached in a sequential order.

**VERY IMPORTANT: The renewal application must be docketed in the applicant's original EL-AGG case number.**

**III. Renewal Application Form:** The renewal application is available on the Commission's web site, [www.puco.ohio.gov](http://www.puco.ohio.gov) or directly from the Commission at: Public Utilities Commission of Ohio, Docketing Division, 180 East Broad Street, Columbus Ohio 43215-3793.

**IV. Confidentiality:** An applicant may file financial statements, financial arrangements, and forecasted financial statements under seal. If these exhibits are filed under seal, they will be afforded protective treatment for a period of six years from the date of the certificate for which the information is being provided.

An applicant may file a motion for a protective order for other information not filed under seal per the previous paragraph. If the motion is filed in conformance with rule 4901:1-24-07 of the Administrative Code, it shall be automatically approved on the thirty-first day after the date of filing and the information shall be afforded protective treatment for a period of six years from the date of the certificate for which the information is being provided, unless the commission or an attorney examiner appointed by the commission rules otherwise.

At the expiration of the six-year period provided for in the previous paragraphs, the information will be automatically released into the open record. An applicant wishing to extend a protective order beyond the six-year time period must comply with paragraph (F) of rule 4901-1-24 of the Administrative Code.

**V. Commission Process for Approval:** An application for renewal shall be made on forms approved and supplied by the Commission. The applicant shall complete the appropriate application renewal form in its entirety and supply all required attachments, affidavits, and evidence of capability specified by the form at the time an application is filed. The Commission renewal process begins when the Commission's Docketing Division receives and time/date stamps the application. An incomplete application may be suspended or rejected. An application that has been suspended as incomplete may cause delay in certification.





The Commission may approve, suspend, or deny a renewal application within 30 days. If the Commission does not act within 30 days, the renewal application is deemed automatically approved on the 31<sup>st</sup> day after the official filing date. If the Commission suspends the application, the Commission shall notify the applicant of the reasons for such suspension and may direct the applicant to furnish additional information. The Commission shall act to approve or deny a suspended application within 90 days of the date that the application was suspended. Upon Commission approval, the applicant shall receive notification of approval and a numbered certificate that specifies the service(s) for which the applicant is certified and the dates for which the certificate is valid.

Unless otherwise specified by the Commission, a competitive retail electric service provider's certificate is valid for a period of two years, beginning and ending on the dates specified on the certificate. The applicant may renew its certificate in accordance with Rule 4901:1-24-09 of the Ohio Administrative Code.

CRES (competitive retail electric service) providers shall inform the Commission of any material change to the information supplied in a certification application within thirty days of such material change in accordance with Rule 4901:1-24-10 of the Ohio Administrative Code.

**VI. Questions:** Questions regarding filing procedures should be directed to:

[CRES@puc.state.oh.us](mailto:CRES@puc.state.oh.us)

**VII. Governing Law:** The certification/renewal of competitive retail electric suppliers is governed by Chapter 4901:1-24 of the Ohio Administrative Code, Chapter 4901:1-21 of the Ohio Administrative Code, and Section 4928.08 of the Ohio Revised Code.



## Public Utilities Commission

Original AGG Case Number	Version
13 - 1570-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 EMISSIONS CONSULT

Address 8775 CENTRE PARK DR #771 COLUMBIA MD 21045

PUCO Certificate # and Date Certified 13-1570-EL-AGG and AUGUST 1ST 2013

Telephone # (410) 992-2622 Web site address (if any) www.emissionsconsult.com

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

Legal Name EMISSIONS CONSULT

Address 8775 CENTRE PARK DR #771 COLUMBIA MD 21045

Telephone # (410) 992-2622 Web site address (if any) www.emissionsconsult.com

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

EMISSIONS CONSULT

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

##### A-5 Contact person for regulatory or emergency matters

Name AKUA SAMPSON

Title CEO

Business address 8775 CENTRE PARK DR #771 COLUMBIA MD 21045

Telephone # (202) 440-3598

Fax # (866) 941-7795

E-mail address anyark@emissionsconsult.com



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

Name AKUA SAMPSON

Title CEO

Business address 8775 CENTRE PARK DR #771 COLUMBIA MD 21045

Telephone # (202) 440-3598

Fax # (866) 941-7795

E-mail address anyark@emissionsconsult.com

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

Customer Service address 8775 CENTRE PARK DR #771 COLUMBIA MD 21045

Toll-free Telephone # (855) 497-9494

Fax # (866) 941-7795

E-mail address anyark@emissionsconsult.com

**A-8 Applicant's federal employer identification number # 27-2065822**

**A-9 Applicant's form of ownership (check one)**

☐ Sole Proprietorship

☐ Limited Liability Partnership (LLP)

☒ Corporation

☐ Partnership

☐ Limited Liability Company (LLC)

☐ 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.

**PLEASE SEE EXHIBIT A-10 PRINCIPAL OFFICERS, DIRECTORS & PARTNERS**

**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. **PLEASE SEE EXHIBIT B-1 JURISDICTION OF OPERATION**
- 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.

**PLEASE SEE EXHIBIT B-2 EXPERIENCE & PLANS**



- 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. **PLEASE SEE EXHIBIT B-3 DISCLOSURE OF LIABILITIES AND INVESTIGATIONS**

- 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.)

**EXHIBIT C-1 IS NOT APPLICABLE BECAUSE EMISSIONS CONSULT IS A SMALL BUSINESS**

- 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.

**EMISSIONS CONSULT ISN'T REQUIRED TO FILE "SEC" BECAUSE IT'S A PRIVATELY HELD COMPANY.**



**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). **SEE EXHIBIT C-3 FINANCIAL STATEMENTS**

**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. **N/A. EMISSIONS CONSULT IS A SMALL BUSINESS**



- 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.

**PLEASE SEE EXHIBIT C-5 FORECASTED FINANCIAL STATEMENTS**

- 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.

**EMISSIONS CONSULT ISN'T RATED BY AGENCIES LISTED 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.

**PLEASE SEE EXHIBIT C-7 CREDIT REPORT**

- 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. **N/A. THERE HAVEN'T BEEN ANY BANKRUPTCY FILING OR REORGANIZATION BY EMISSIONS CONSULT**

- 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. **N/A**

- 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.

**EMISSIONS CONSULT IS A STAND-ALONE ENTITY WITH NO AFFILIATE OR SUBSIDIARY COMPANIES**

 CEO  
Signature of Applicant & Title

Sworn and subscribed before me this 22 day of July, 2017  
Month Year

  
Signature of official administering oath

Ryan Malenab, Notary  
Print Name and Title

RYAN MALENAB  
NOTARY PUBLIC STATE OF MARYLAND  
My Commission Expires June 2, 2020

My commission expires on \_\_\_\_\_





# **AFFIDAVIT**

State of Maryland :

CLARKSVILLE ss.  
(Town)

County of Howard :

Akua Sampson

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

He/She is the CEO (Office of Affiant) of EMISSIONS CONSULT (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)

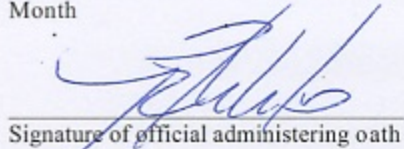


11. The Applicant herein, attests that it will inform the Commission of any material change to the information supplied in the renewal application within 30 days of such material change, including any change in contact person for regulatory purposes or contact person for Staff use in investigating customer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

 CEO  
Signature of Affiant & Title

Sworn and subscribed before me this 22 day of July, 2017 Year  
Month

  
Signature of official administering oath

Ryan Malenab, Notary  
Print Name and Title

My commission expires on \_\_\_\_\_

RYAN MALENAB  
NOTARY PUBLIC STATE OF MARYLAND  
My Commission Expires June 2, 2020





## **REFERENCE CASE# 13-1570-EL-AGG**

### **EXHIBIT B-1 “ JURISDICTIONS OF OPERATIONS”**

Emissions consult is also currently licensed in Maryland, District of Columbia, Pennsylvania and Illinois.



REFERENCE CASE #13-1570-EL-AGG

**EXHIBIT B3- DISCLOSURES OF LIABILITIES AND INVESTIGATIONS**

There are no existing, pending or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations or any other matters that could adversely impact Emissions consult's financial or operational status or ability to provide Electric Broker services we are seeking to be certified to provide.



## EXHIBIT A-10 PRINCIPAL OFFICERS , DIRECTORS & PARTNERS REFERENCE CASE #13-1570-EL-AGG

Principal Officers, Directors & Partners: Provide names, titles and contact information.

- Name :Ms. Akua Sampson
  - Title :President/CEO
  - Email Address : anyark@emissionsconsult.com
  - Phone Number : 202-440-3598
- 
- Name :Mr. Kwaku Boampong
  - Title :Director of Engineering
  - Email Address : kboamjr@emissionsconsult.com
  - Phone Number : 410-992-2622
- 
- Name :Ms. Naana Boampong
  - Title :Director of Compliance /Consulting Partner
  - Email Address : Legal@emissionsconsult.com
  - Phone Number : 443-610-3488

**REFERENCE CASE 13-1570-EL-AGG**  
**EXHIBIT B-2 EXPERIENCE & PLAN**

- The Staff at Emissions Consult have received relevant training in energy procurement through programs provided by the Association of Energy Engineers. Some of the training received include Buying Power in Competitive Retail Markets , Certified Energy Managers Training , Certified Carbon Reduction Managers Training
- At Emissions Consult, customer satisfaction is our ultimate goal. We train our staff on dealing with customer complaints. In addition, our staff have years of experience working as customer service representatives in other fields and have developed advanced skills in responding to customer inquiries and customer complaints. In addition, we train our staff on how to deal with customer issues as well.
- Emissions Consult, already works as energy consultants providing energy auditing, and other energy efficiency services to clients. With an energy brokerage license, we aim to offer our services to provide energy brokerage services to customers in Ohio.



**This foregoing document was electronically filed with the Public Utilities**

**Commission of Ohio Docketing Information System on**

**7/24/2017 1:49:51 PM**

**in**

**Case No(s). 13-1570-EL-AGG**

Summary: Application RENEWAL FOR ELECTRIC AGGREGATOR/POWER BROKERS  
electronically filed by Ms. akua Sampson on behalf of EMISSIONS CONSULT