

## **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 A-10 should be marked "Exhibit A -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

<b>Original AGG Case Number</b>	<b>Version</b>
- <b>-EL-AGG</b>	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 Retail Energy Partners LLC  
 Address 171 Franklin Street, Dublin, OH 43017  
 PUCO Certificate # and Date Certified 14-830E and 06/30/2014  
 Telephone # (614) 441-9096 Web site address (if any) www.retailenergypartners.com

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

Legal Name Retail Energy Partners LLC  
 Address 171 Franklin Street, Dublin, OH 43017  
 Telephone # (614) 441-9096 Web site address (if any) www.retailenergypartners.com

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

Retail Energy Partners LLC \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

#### A-4 Contact person for regulatory or emergency matters

Name Christian V. Bailey  
 Title Owner  
 Business address 171 Franklin Street, Dublin, OH 43017  
 Telephone # (614) 441-9096 Fax # \_\_\_\_\_  
 E-mail address chris@retailenergypartners.com

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

Name Christian V. Bailey  
Title Owner  
Business address 171 Franklin Street, Dublin, OH 43017  
Telephone # (614) 441-9096 Fax # \_\_\_\_\_  
E-mail address chris@retailenergypartners.com

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

Customer Service address 171 Franklin Street, Dublin, OH 43017  
Toll-free Telephone # (888) 298-9856 Fax # \_\_\_\_\_  
E-mail address chris@retailenergypartners.com

**A-7 Applicant's federal employer identification number # 46-5691513**

**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 \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_  
 Month Year

\_\_\_\_\_  
**Signature of official administering oath**

\_\_\_\_\_  
**Print Name and Title**

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

# **AFFIDAVIT**

State of \_\_\_\_\_ :

\_\_\_\_\_ ss.  
(Town)

County of \_\_\_\_\_ :

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

He/She is the \_\_\_\_\_ (Office of Affiant) of \_\_\_\_\_ (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 \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_  
Month Year

\_\_\_\_\_  
Signature of official administering oath

\_\_\_\_\_  
Print Name and Title

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



**Exhibit A-9: Principal Officers, Directors & Partners**

**Principal's officers, directors, partners or other similar officials: Christian Bailey**

**Title: Owner**

**Address: 171 Franklin Street, Dublin, OH 43017**

**Telephone number: 614-441-9096**

**Exhibit A-10: Corporate Structure**

**Corporate Structure Description:** Retail Energy Partners LLC, an Ohio Limited Liability Company, with principal place of business at 171 Franklin Street, Dublin OH 43017

**Corporate Structure Graphical Depiction:**

Retail Energy Partners LLC

***\*\*\*No other affiliates, subsidiary companies available\*\*\****

**Exhibit B-1: Jurisdictions of Operation**

Retail Energy Partners LLC does not have any previous authorizations to provide retail or wholesale electric services including aggregation services.

## **Exhibit B-2: Experience & Plans**

Retail Energy Partners LLC is owned by Christian Bailey. Mr. Bailey has worked for several retail providers over the past twenty years, including DTE Energy Supply, AEP Energy, Accent Energy (Now IGS Energy) and Enron Energy Services. As part of his responsibilities with overseeing broker relationships over the years, Mr. Bailey has developed a deep understanding of the specific rules governing competitive retail energy supply in the state of Ohio. Retail Energy Partners LLC plans on working with registered CRES companies in a broker relationship and will adhere to all codes of conduct and all other rules and regulations overseeing competitive retail supply in the state of Ohio.

**Exhibit B-3: Disclosure of Liabilities and Investigations**

There have not been any judgments against Retail Energy Partners LLC in the past or that are currently pending.

**Exhibit C-1: Annual Reports**

Retail Energy Partners LLC does not have Annual Reports because it is a new company with one shareholder/owner.

**Exhibit C-2: SEC Filings**

Retail Energy Partners LLC does not have SEC Filings because it is a new- company with one shareholder/owner.

**Exhibit C-3: Financial Statements**

(Please reference following pages for Financial Statements)

**RETAIL ENERGY PARTNERS LLC**  
**PROFIT & LOSS STATEMENT**

	<u>1/1/14 - 12/31/14</u>	<u>1/1/15 - 12/31/15</u>	<u>1/1/16 - 12/31/16</u>
Gross Revenue	1,550	39,123	9,032
Advertising	0	2,878	0
Commissions & Fees	0	0	2,250
Office Expenses	4,098	190	766
Meals & Entertainment	0	20	0
Phone Service	780	984	984
Internet Service	540	549	549
Dues & Subscriptions	300	0	0
Registrations	0	50	0
Postage & Shipping	0	32	20
VOIP	0	729	0
Web Hosting	0	202	335
Web Subscriptions	0	124	0
Website Development	0	5,000	4,990
Bank Fees	0	0	50
Depreciation Expense	2,500	0	0
Amortization Expense	0	1,452	1,870
<b>Total Expenses</b>	<b>8,218</b>	<b>12,210</b>	<b>11,814</b>
<b>Net Income</b>	<b>(6,668)</b>	<b>26,913</b>	<b>(2,782)</b>

**RETAIL ENERGY PARTNERS LLC  
BALANCE SHEET**

	<u>12/31/14</u>	<u>12/31/15</u>	<u>12/31/16</u>
Bank Account			
Accounts Receivable			
Office Equipment	2,500	2,500	2,500
Accumulated Depreciation	(2,500)	(2,500)	(2,500)
Intangible Assets	0	21,773	21,773
Accumulated Amortization	0	(1,452)	(3,322)
<b>Total Assets</b>	<b>0</b>	<b>20,321</b>	<b>18,451</b>
Credit Card Payable			
Member Equity			
Partner Capital			
Partner Distributions			
Retained Earnings		(6,668)	20,245
Net Income	(6,668)	26,913	(2,782)
<b>Total Liabilities &amp; Equity</b>	<b>(6,668)</b>	<b>20,245</b>	<b>17,463</b>

**Exhibit C-4: Financial Arrangements**

N/A

**Exhibit C-6: Credit Rating**

Retail Energy Partners LLC does not have a Credit Rating because it is a new company.

Exhibit C-7: Credit Report

N/A

**Exhibit C-8: Bankruptcy Information**

Retail Energy Partners LLC does not have Bankruptcy Filings because it is a new company with one shareholder/owner.

**Exhibit C-9: Merger Information**

Retail Energy Partners LLC has not had any or does not plan to have any dissolutions, mergers or acquisitions.

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

**Commission of Ohio Docketing Information System on**

**5/21/2018 9:20:43 AM**

**in**

**Case No(s). 14-0963-EL-AGG**

Summary: Application Notarized forms were submitted earlier. electronically filed by Mr. Christian V Bailey on behalf of Retail Energy Partners LLC and Mr. Christian Von Bailey