



## Public Utilities Commission

| Original CRS<br>Case Number | Version  |
|-----------------------------|----------|
| 04 - 1015 -EL-CRS           | May 2016 |

### RENEWAL APPLICATION FOR RETAIL GENERATION PROVIDERS AND POWER MARKETERS

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 renewed as: (check all that apply)

- ☒ Retail Generation Provider      ☐ Power Broker  
☒ Power Marketer      ☐ Aggregator

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

Legal Name ENGIE Resources LLC  
Address 1990 Post Oak Blvd., Suite 1900, Houston, TX 77056  
PUCO Certificate # and Date Certified 04-118(1) - issued 07/25/2004  
Telephone # (888) 364-4344 Web site address (if any) www.engieresources.com

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

Legal Name ENGIE Resources LLC  
Address 1990 Post Oak Blvd., Suite 1900, Houston, TX 77056  
Telephone # (888) 364-4344 Web site address (if any) www.engieresources.com

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 6/28/18

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2018 JUN 27 PM 3:12  
PUCO

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

**ENGIE Resources LLC**

## ENGIE Resources

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

Name Naveen Rabie

Title Attorney

**Business address** 1990 Post Oak Blvd., Suite 1900, Houston, TX 77056

Telephone # (713) 636-1607

Fax # (713) 636-1601

E-mail address **naveen.rabie@engie.com**

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

Name Naveen Rabie

Title Attorney

**Business address** 1990 Post Oak Blvd., Suite 1900, Houston, TX 77056

Telephone # (713) 636-1607

Fax # (713) 636-1601

E-mail address [naveen.rabie@engie.com](mailto:naveen.rabie@engie.com)

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

**Customer Service address P.O. Box 25237, Lehigh Valley, PA 78002**

**Toll-free Telephone # (888) 232-6206**

Fax # (713) 636-1601

E-mail address [custserv@engie.com](mailto:custserv@engie.com)

**A-8 Applicant's federal employer identification number # 76-0685946**

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

☐ Sole Proprietorship

☐ Partnership

☐ Limited Liability Partnership (LLP)

☒ Limited Liability Company (LLC)

☐ Corporation☐ 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. 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.

**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 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.

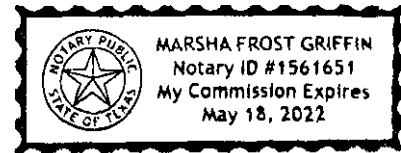
- C-5** **Exhibit C-5 “Forecasted Financial Statements,”** provide two years of forecasted income statements for the applicant’s **ELECTRIC related business activities in the state of Ohio Only**, along with a list of assumptions, and the name, address, email address, and telephone number of the preparer. 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.

## D. TECHNICAL CAPABILITY

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

- D-1** Exhibit D-1 "Operations" provide a written description of the operational nature of the applicant's business. Please include whether the applicant's operations include the generation of power for retail sales, the scheduling of retail power for transmission and delivery, the provision of retail ancillary services as well as other services used to arrange for the purchase and delivery of electricity to retail customers.
- D-2** Exhibit D-2 "Operations Expertise," given the operational nature of the applicant's business, provide evidence of the applicant's experience and technical expertise in performing such operations.
- D-3** Exhibit D-3 "Key Technical Personnel," provide the names, titles, e-mail addresses, telephone numbers, and the background of key personnel involved in the operational aspects of the applicant's business.
- D-4** Exhibit D-4 "FERC Power Marketer License Number," provide a statement disclosing the applicant's FERC Power Marketer License number. (Power Marketers only)

  
\_\_\_\_\_  
Signature of Applicant and Title  
NAVEEN RABIE, ATTORNEY



Sworn and subscribed before me this 25<sup>th</sup> day of June, 2018  
Month Year

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

MARSHA FROST GRIFFIN, Notary Public  
\_\_\_\_\_  
Print Name and Title

My commission expires on 05/18/2022

# **AFFIDAVIT**

State of TEXAS :

HOUSTON ss.  
(Town)

County of HARRIS :

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

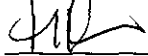
He/She is the ATTORNEY (Office of Affiant) of ENGIE RESOURCES LLC (Name of Applicant);

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 comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
7. 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.
8. 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.
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)

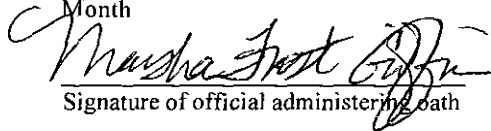
11. The Applicant herein, attests that it will inform the Commission of any material change to the information supplied in the renewal application within 30 days of such material change, including any change in contact person for regulatory purposes or contact person for Staff use in investigating customer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

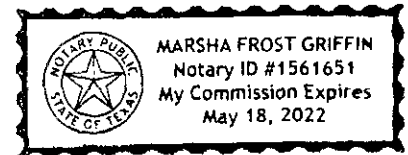


Signature of Affiant & Title  
NAVEEN RABIE, ATTORNEY

Sworn and subscribed before me this 25<sup>th</sup> day of June, 2018  
Month Year

  
Signature of official administering oath

MARSHA FROST GRIFFIN, Notary Public  
Print Name and Title



My commission expires on 05/18/2022



**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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**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.

***Sayun Sukduang***

***President***

***1990 Post Oak Blvd, Suite 1900***

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***T: 713-636-0000***

***F: 713-636-1601***

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***Graham Leith***

***Senior Vice President, Head of Retail Energy***

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***Email: Graham.leith@engie.com***

***Ray Cunningham***

***Vice President, General Counsel & Secretary***

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***Email: ray.cunningham@engie.com***

***Rachel W. Kilpatrick***

***Vice President & Assistant Secretary***

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***Houston, TX 77056***

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***F: 713-636-1601***

***Email: Rachel.kilpatrick@engie.com***

**Suthiwong Kongsiri**  
**Vice President & Treasurer**  
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**Vikram Kulkarni**  
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**Vice President, Supply**  
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**F: 713-636-1601**  
**Email: [bill.jordan@engie.com](mailto:bill.jordan@engie.com)**

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**Vice President, Business Control**  
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**F: 713-636-1601**  
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**Greg Leflar**  
**Vice President, Operations**  
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**T: 713-636-1006**  
**F: 713-636-1601**  
**Email: [greg.leflar@engie.com](mailto:greg.leflar@engie.com)**

**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

**Exhibit B-1 – “Jurisdictions of Operations”**

Provide a current 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 natural gas service, or retail/wholesale electric services.

**ENGIE Resources – Electric Supplier Licenses**

| STATE OF LICENSE     | LICENSE NO.             | LICENSE ISSUE DATE |
|----------------------|-------------------------|--------------------|
| Connecticut          | Docket #04-06-11        | 09/29/2004         |
| Delaware             | Docket #04-325          | 11/23/2004         |
| District of Columbia | Order # 13472           | 01/05/2005         |
| Illinois             | ICC Cert. No. 17-0163   | 05/03/2017         |
| Maine                | Docket #2003-120        | 03/14/2003         |
| Maryland             | License #IR-605         | 03/21/2004         |
| Massachusetts        | License # CS-037        | 05/15/2002         |
| New Hampshire        | Docket #DM 15-468       | 12/11/2015         |
| New Jersey           | License # ESL-0061      | 08/06/2003         |
| New York             | ESCO Code: SUEZ         | 09/13/2004         |
| Ohio                 | Certificate #04-118E(1) | 08/10/2004         |
| Pennsylvania         | License No. A-110156    | 07/18/2002         |
| Rhode Island         | Docket #D-96-6(P2)      | 10/25/2004         |
| Texas                | License # 10053         | 08/05/2003         |

**ENGIE Resources – Natural Gas Supplier Licenses**

| STATE OF LICENSE | LICENSE NO.                | LICENSE ISSUE DATE |
|------------------|----------------------------|--------------------|
| Illinois         | Certificate No. 18-0365-EL | 03/21/2018         |
| New York         | ESCO Code: SUEZ            | 03/19/2018         |
| Ohio             | Certificate No. 18-650G(1) | 03/29/2018         |

**ENGIE Retail, LLC d/b/a Think Energy – Electric Supplier Licenses**

| STATE OF LICENSE     | LICENSE NO.           | LICENSE ISSUE DATE |
|----------------------|-----------------------|--------------------|
| Connecticut          | Docket #11-10-14      | 02/09/2012         |
| Delaware             | Docket #11-482        | 04/17/2012         |
| District of Columbia | Order # 16630         | 12/02/2011         |
| Illinois             | ICC Cert. No. 11-0531 | 09/21/2011         |
| Maine                | Docket #2011-425      | 11/22/2011         |
| Maryland             | License #IR-2404      | 08/17/2011         |
| Massachusetts        | License # CS-087      | 08/10/2011         |



| STATE OF LICENSE     | LICENSE NO.                       | LICENSE ISSUE DATE |
|----------------------|-----------------------------------|--------------------|
| <i>New Hampshire</i> | <i>Docket #DM 15-490</i>          | <i>12/28/2015</i>  |
| <i>New Jersey</i>    | <i>License # ESL-0120</i>         | <i>03/12/2012</i>  |
| <i>New York</i>      | <i>ESCO Code: THNK</i>            | <i>09/16/2011</i>  |
| <i>Ohio</i>          | <i>Certificate #11-407E(1)</i>    | <i>11/17/2011</i>  |
| <i>Pennsylvania</i>  | <i>License No. A-2011-2268361</i> | <i>12/16/2011</i>  |
| <i>Rhode Island</i>  | <i>Docket #D-96-6(R7)</i>         | <i>09/11/2015</i>  |
| <i>Texas</i>         | <i>License #10204</i>             | <i>08/26/2011</i>  |

**ENGIE Retail, LLC d/b/a Think Energy – Natural Gas Supplier Licenses**

| STATE OF LICENSE    | LICENSE NO.                       | LICENSE ISSUE DATE |
|---------------------|-----------------------------------|--------------------|
| <i>Illinois</i>     | <i>Certificate No. 16-0391</i>    | <i>09/22/2016</i>  |
| <i>Maryland</i>     | <i>License #IR-3794</i>           | <i>02/08/2017</i>  |
| <i>New Jersey</i>   | <i>License #GSL-0169</i>          | <i>03/24/2017</i>  |
| <i>New York</i>     | <i>ESCO Code: THNK</i>            | <i>02/01/2017</i>  |
| <i>Ohio</i>         | <i>Certificate #15-479G(1)</i>    | <i>11/22/2015</i>  |
| <i>Pennsylvania</i> | <i>License No. A-2016-2534026</i> | <i>04/18/2016</i>  |



**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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**Exhibit B-2 – “Experience & Plans”**

Provide a current 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 4929.22 of the Revised Code and contained in Chapter 4901:1-29 of the Ohio Administrative Code.

*ENGIE Resources markets to and sells electric energy supply in the competitive retail market to large industrial and commercial customers in the State of Ohio, in the following utility territories: Cleveland Electric Illuminating Company, Duke Energy Ohio, Dayton Power & Light Co., Ohio Edison Company, The Toledo Edison Company and Ohio Power Company.*

*ENGIE Resources is a licensed competitive retail electric supplier that is currently serving over approximately 22,000 customers and 100,000 accounts in Connecticut, Delaware, District of Columbia, Illinois, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island and Texas for customers having a peak demand ranging from 50kW to more than 200MW. ENGIE Resources has also currently been granted licenses as a natural gas supplier in Illinois, New York and Ohio.*

*ENGIE Resources offers a variety of products to customers including fixed-price products and index-based products.*

*ENGIE Resources utilizes Hansen Solutions Inc. (“Hansen”) as its outsourced billing, call center, and customer care group to provide customized billing services such as statement generation, and mailing and payment processing; customer care services including call center, inbound and outbound call management, call center consulting, error handling and resolutions, online customer service, contract management, customer enrollments, accounts services and customer management. ENGIE Resources also maintains an internal staff as follows: (i) operations and customer care staff to manage the day-to-day management of the Houston account (outsourced billing and customer care provider) and direct contact, as needed, with customers for customer care and billing matters; (ii) supply group to manage pricing analytics and portfolio management; (iii) a marketing team to manage all marketing functions, including strategic pricing, market planning, go-to-market strategies, new customer acquisition, and campaign management and analysis; (iv) an IT (information technology) team to manage the internal systems, databases, technical support, customer-facing applications, back-office applications, and system integration; and (v) a business control team to manage all financial control matters including, billing, revenue, accounting, and settlements. ENGIE Resources also offers e-services and after-hour services for 24/7 availability to customers.*

*ENGIE Resources also utilizes Energy Services Group (“ESG”) for support of EDI, XML and other data translation, transmission, auditing, archiving, business rule validation, exception identification and resolution, transaction management services, market portal, and data exchange.*

***Contracting:*** In accordance with Section 4929.22 of the Ohio Revised Code, ENGIE Resources provides consumers with adequate, accurate, and understandable pricing and terms and conditions of service, including any switching fees, and with a document containing the terms and conditions of pricing and service before the consumer enters into the contract for service; and disclose the conditions under which a customer may rescind a contract without penalty.

***Billing:*** ENGIE Resources' customer bills, at a minimum, include (1) price disclosure and disclosures of total billing units for the billing period and historical annual usage; (2) to the maximum extent practicable, separate listing of each service component to enable a customer to re-calculate its bill for accuracy; (3) identification of the supplier of each service; (4) statement of where and how payment may be made and provision of a toll-free or local customer assistance and complaint number for the electric utility, electric services company, electric cooperative, or governmental aggregator, as well as a consumer assistance telephone number or numbers for state agencies, such as the Commission, the Office of the Consumer's Counsel, the Attorney General's office, with the available hours noted; and (5) other than for the first billing after the starting date of competitive retail electric service, highlighting and clear explanation of each customer bill, for two (2) consecutive billing periods, of any changes in the rates, terms and conditions of service.

**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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**Exhibit B-3 – “Disclosure of Liabilities and Investigations”**

Provide a description of all existing, pending or past rulings, judgments, contingent liabilities, revocations 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.

*ENGIE Resources does not currently have any liabilities or investigations to disclose which could adversely impact its financial or operational ability to serve as a natural gas supplier in the State of Ohio.*





**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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

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

*In late 2017, ENGIE Resources’ affiliate, ENGIE Retail, LLC d/b/a Think Energy, was required by the Public Utility Commission of Ohio (PUCO) to cease door-to-door marketing in OH as a result of a regulation misinterpretation. Think Energy mistakenly understood that the PUCO rules specifically addressing door-to-door sales completely covered all consent requirements. Think Energy did not interpret the regulations to include the general rules for mailing, facsimiles and direct enrollments to be in addition to the door-to-door rules. Due to this misunderstanding, Think Energy believed that its obtaining third party verifications for all door-to-door sales was sufficient. Think Energy acknowledged its good faith mistake and corrected the mistake to be in compliance with the regulation, and the matters that were raised by staff were fully addressed to the satisfaction of PUCO.*

**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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**Exhibit C-1 – “Annual Reports”**

Provide the two (2) most recent Annual Reports to Shareholders. If applicant does not have annual reports, the applicant should provide similar information, labeled as 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.)

***Not Applicable. ENGIE Resources does not have shareholder Annual Reports. ENGIE Resources is a wholly-owned subsidiary of ENGIE Holdings Inc., who is a wholly-owned subsidiary of ENGIE S.A. The two most recent Annual Reports to shareholders can be found at <https://www.engie.com/wp-content/uploads/2017/03/fy-2016-management-report-and-annual-consolidated-financial-statements.pdf> and <http://www.engie.com/en/group/publications/>.***

**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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**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. 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.

***Neither ENGIE Resources nor its parent company, ENGIE Holdings Inc., are required to file reports with the SEC because ENGIE Holdings Inc. is a privately-held corporation.***

**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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**Exhibit C-3 – “Financial Statements”**

Provide copies of the applicant’s two (2) 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.

***THIS EXHIBIT CONTAINS CONFIDENTIAL AND PROPRIETARY INFORMATION AND IS BEING SUBMITTED UNDER SEAL.***

***ENGIE Resources is a wholly-owned subsidiary of ENGIE Holdings Inc., which is a wholly-owned subsidiary of ENGIE S.A. (“ESA”). ESA’s two (2) most recent years of consolidated financial statements are attached hereto as Attachments 1 and 2.***

**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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**Exhibit C-3 – “Financial Statements”**

**ATTACHMENT 1**

**ENGIE GROUP 2016 ANNUAL CONSOLIDATED FINANCIALS**

***THIS EXHIBIT CONTAINS CONFIDENTIAL AND PROPRIETARY INFORMATION AND  
IS BEING SUBMITTED UNDER SEAL.***



**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)  
Renewal Application for Retail Generation Providers & Power Marketers**

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**Exhibit C-3 – “Financial Statements”**

## **ATTACHMENT 2**

### **ENGIE GROUP 2017 ANNUAL CONSOLIDATED FINANCIALS**

***THIS EXHIBIT CONTAINS CONFIDENTIAL AND PROPRIETARY INFORMATION AND  
IS BEING SUBMITTED UNDER SEAL.***



**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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**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.).

***THIS EXHIBIT CONTAINS CONFIDENTIAL AND PROPRIETARY INFORMATION AND IS BEING SUBMITTED UNDER SEAL.***

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.

***ENGIE Resources is a wholly-owned subsidiary of ENGIE Holdings Inc. (“EHI”), who is a wholly-owned subsidiary of ENGIE S.A. (“ESA”). Attached hereto as Attachment C-4 is ESA’s Standard & Poor’s Ratings Services report.***



**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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**Exhibit C-5 – “Forecasted Financial Statements”**

Provide two (2) 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.

***THIS EXHIBIT CONTAINS CONFIDENTIAL AND PROPRIETARY INFORMATION AND IS BEING SUBMITTED UNDER SEAL.***

***SEE ATTACHED.***

**PREPARER:**

**Name:** *Amber Gabbert*  
**Title:** *Performance Control Advisor*  
**Address:** *1990 Post Oak Blvd., Suite 1900, Houston, TX 77056*  
**Telephone:** *(713) 636-1111*  
**E-mail:** *[amber.gabbert@engie.com](mailto:amber.gabbert@engie.com)*





**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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**Exhibit C-6 – “Credit Rating”**

Provide a statement disclosing the applicant’s credit rating as reported by two (2) of the following organizations: Duff & Phelps, Dun & Bradstreet Information Services, 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 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.

***THIS EXHIBIT CONTAINS CONFIDENTIAL AND PROPRIETARY INFORMATION AND IS BEING SUBMITTED UNDER SEAL.***

*ENGIE Resources is not rated. Its parent company is ENGIE Holdings Inc. (“EHI”) which is a wholly-owned subsidiary of ENGIE S.A. (“ESA”) which is rated A-/A2 senior unsecured by Standard & Poor’s. ESA’s Standard & Poor’s Ratings Services report is attached hereto under Exhibit C-4.*

**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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**Exhibit C-7 – “Credit Report”**

Provide a copy of the applicant’s credit report from Experian, Dun & 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.

*See ENGIE Resources’ Experian report attached hereto as Exhibit C-7.*

Subcode: 515201

Transaction Number: C107719870

Search Inquiry: 416093373

Model Description: Intelliscore Plus V2

Ordered: 02/09/2018 16:32:47 CST



Business Name

**ENGIE RESOURCES LLC**

Business Identification Number

**416093373**

**Primary Address:** 1675 S STATE ST STE B  
DOVER, DE 19901-5140

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**Risk Dashboard**

| Risk Score and Credit Limit Recommendation |                          | Days Beyond Terms | Derogatory Legal | Fraud Alerts     |
|--|--------------------------|-------------------|------------------|------------------|
| Intelliscore Plus                          | Financial Stability Risk | Company DBT       | Original Filings | High Risk Alerts |
| <b>28</b> MEDIUM RISK                      | MEDIUM TO HIGH RISK      | DBT Unavailable   |                  |                  |
| Score range: 1 - 100 percentile            |                          |                   |                  |                  |
| Credit Limit Recommendation: \$1,000       |                          |                   |                  |                  |

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**Business Facts**

**Years on File:** 2 (FILE ESTABLISHED 08/2016)

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**Commercial Fraud Shield**

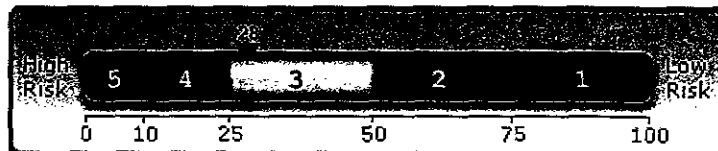
Evaluation for: **ENGIE RESOURCES LLC, 1675 S STATE ST STE B, DOVER, DE19901-5140**

| Business Alerts                   |  | Verification Triggers   |
|-----------------------------------|--|---|
| <b>Active Business Indicator:</b> | Experian shows this business as active | The primary Business Name, Address, and Phone Number on Experian File were reviewed for High Risk indicators, no High Risk indicators were found. |
| <b>Possible OFAC Match:</b>       | No OFAC match found                    |   |
| <b>Business Victim Statement:</b> | No victim statement on file            |   |

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**Credit Risk Score and Credit Limit Recommendation**

Credit Risk Score: Intelliscore Plus

**Current Intelliscore Plus Score: 28**

This score predicts the likelihood of serious credit delinquencies for this business within the next 12 months. Payment history and public record along with other variables are used to predict future risk. Higher scores indicate lower risk.

**Factors lowering the score**

➤ RISK ASSOCIATED WITH THE COMPANY'S INDUSTRY

➤

**Risk Class: 3**

The risk class groups scores by risk into ranges of similar performance. Range 5 is the highest risk, range 1 is the lowest risk.

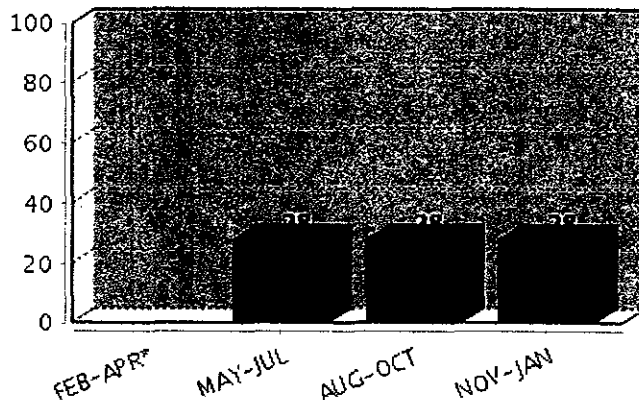
**Industry Risk Comparison**

27% of businesses indicate a higher likelihood of severe delinquency.

## COMPANY'S BUSINESS TYPE

### Intelliscore Plus Quarterly Score Trends

#### Quarterly Score Trends

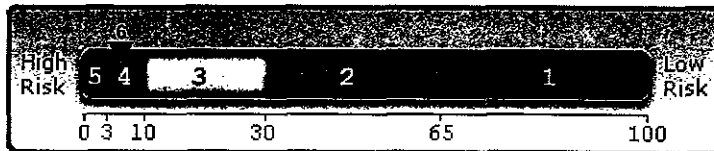


The Intelliscore Plus Quarterly Score Trends provide a view of the likelihood of delinquency over the past 12 months for this business. The trends will indicate if the score improved, remained stable, fluctuated or declined over the last 12 months.

\* No score average available for this quarter

### Credit Risk Score: Financial Stability Risk

#### Current Financial Stability Risk Score: 6



#### Risk Class: 4

**MEDIUM - HIGH RISK**

The risk class groups scores by risk into ranges of similar performance. Range 5 is the highest risk, range 1 is the lowest risk.

This score predicts the likelihood of financial stability risk within the next 12 months. The score uses tradeline and collections information, public filings as well as other variables to predict future risk. Higher scores indicate lower risk.

#### Factors lowering the score

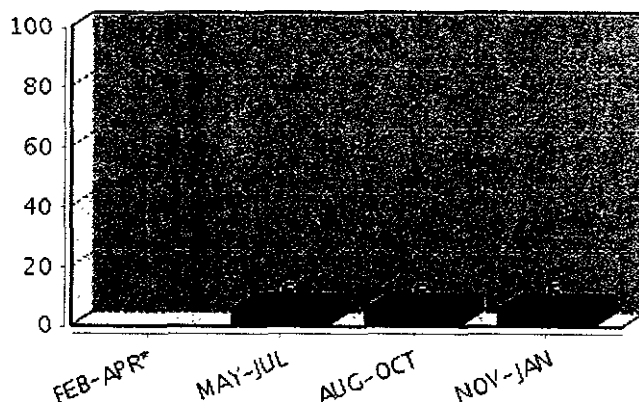
- LACK OF ACTIVE TRADES
- RISK ASSOCIATED WITH THE BUSINESS TYPE
- EMPLOYEE SIZE OF BUSINESS
- RISK ASSOCIATED WITH THE COMPANY'S INDUSTRY SECTOR

#### Industry Risk Comparison

5% of businesses indicate a higher likelihood of financial stability risk.

### Financial Stability Risk Quarterly Score Trends

#### Quarterly Score Trends



The Financial Stability Risk Quarterly Score Trends provide a view of the likelihood of financial stability risk over the past 12 months for this business. The trends will indicate if the score improved, remained stable, fluctuated or declined over the last 12 months.

\* No score average available for this quarter

## Credit Limit Recommendation

### Credit Limit Recommendation

\$1,000

This recommendation compares this business against similar businesses in the Experian business credit database. It is based on trade information, industry, age of business and the Intelliscore Plus. The recommendation is a guide. The final decision must be made based on your company's business policies.

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## Payment and Legal Filings Summary

| Payment Performance                   |               | Trade and Collection Balance             |     | Legal Filings           |     |
|---------------------------------------|---------------|--|-----|-------------------------|-----|
| Current DBT:                          | Not Available | Total trade and collection (0):          | \$0 | Bankruptcy:             | No  |
| Predicted DBT :                       | N/A           | All trades (0):                          | \$0 | Tax Lien filings:       | 0   |
| Monthly Average DBT:                  | 0             | All collections (0):                     | \$0 | Judgment filings:       | 0   |
| Highest DBT Previous 6 Months:        | 0             | Continuous trade (0):                    | \$0 | Sum of legal filings:   | \$0 |
| Highest DBT Previous 5 Quarters:      | 0             | 6 month average:                         | N/A | UCC filings:            | 0   |
| Payment Trend Indication:             |               | Highest credit amount extended:          | N/A | Cautionary UCC filings: | No  |
| Payment trend indicator not available |               | Most frequent industry purchasing terms: |     |                         |     |
|                                       |               | Industry purchasing terms not available  |     |                         |     |

## Industry Comparison

### Industry DBT Range Comparison

The current DBT of this business is Not Available.

DBT for this business: Not Available



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## Inquiries

### Summary of Inquiries

| Business Category | FEB18 | JAN18 | DEC17 | NOV17 | OCT17 | SEP17 | AUG17 | JUL17 | JUN17 |
|-------------------|-------|-------|-------|-------|-------|-------|-------|-------|-------|
| BANK              |       |       |       |       |       |       |       |       | 1     |
| UTILITY           |       |       |       | 1     |       |       |       |       |       |
| Totals            |       |       |       | 1     |       |       |       |       | 1     |

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*Experian prides itself on the depth and accuracy of the data maintained on our databases. Reporting your customer's payment behavior to Experian will further strengthen and enhance the power of the information available for making sound credit decisions. Give credit where credit is due. Call 1-800-520-1221, option #4 for more information.*

End of report

1 of 1 report

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**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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**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.

***None.***

**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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**Exhibit C-9 – “Merger Information”**

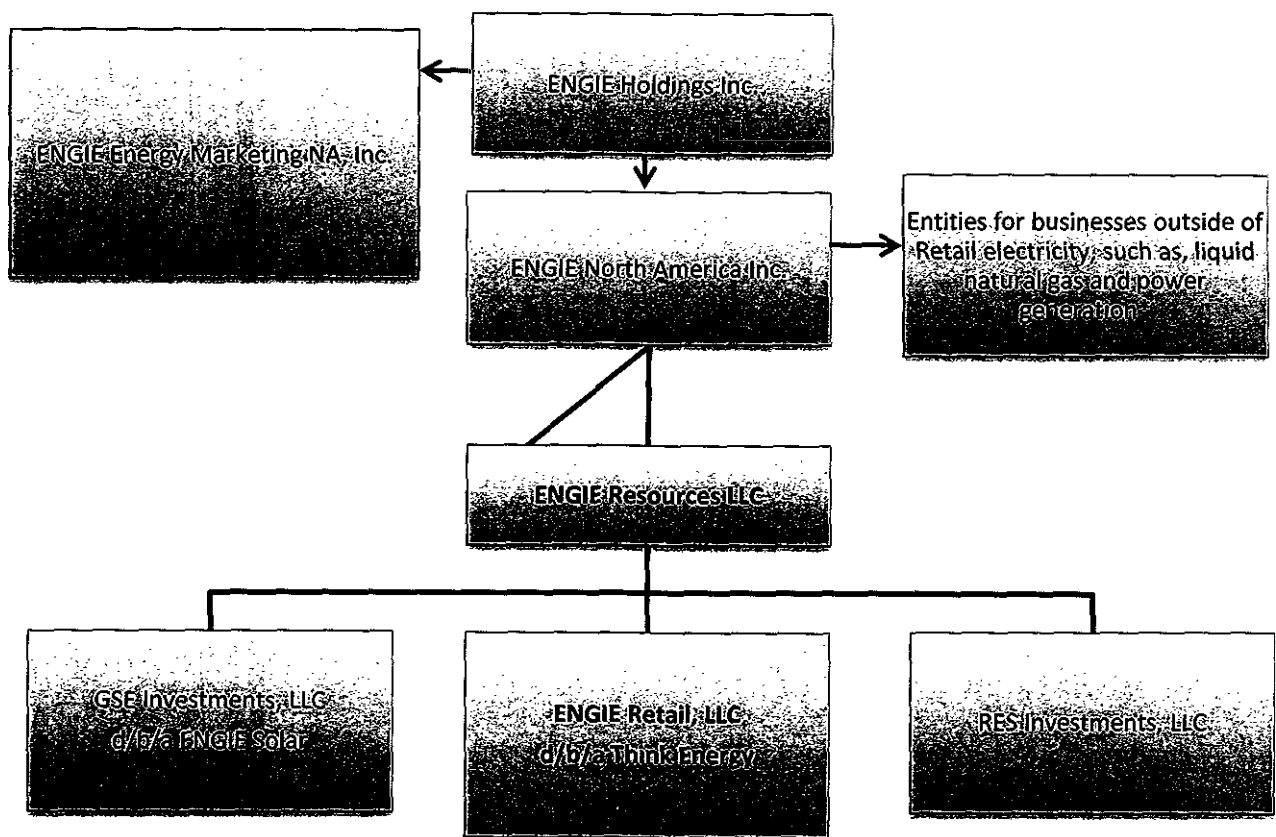
Provide a statement describing any dissolution or merger or acquisition of the applicant within the two (2) most recent years preceding the application.

***None.***

### ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1) Renewal Application for Retail Generation Providers & Power Marketers

#### 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.



\*This represents our general North America structure. Only ENGIE Resources LLC and ENGIE Retail, LLC d/b/a Think Energy are retail electricity suppliers.

ENGIE Resources LLC  
ENGIE Retail, LLC d/b/a Think Energy  
ENGIE Energy Marketing NA, Inc.

Supplies Commercial & Industrial Retail Electricity  
Supplies Residential & Small Commercial Retail Electricity & Natural Gas  
Supplies Wholesale Electricity





**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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**Exhibit D-1 – “Operations”**

Provide a current written description of the operational nature of the applicant’s business. Please include whether the applicant’s operations include the generation of power for retail sales, the scheduling of retail power for transmission and delivery, the provision of retail ancillary services as well as other services used to arrange for the purchase and delivery of electricity to retail customers.

**AND**

**Exhibit D-2 – “Operations Expertise”**

Given the operational nature of the applicant’s business, provide evidence of the applicant’s experience and technical expertise in performing such operations.

***ENGIE Resources’ operations include the retail power supply and other retail ancillary services used to arrange for the purchase and delivery of retail electricity to retail commercial and industrial customers and small retail customers. ENGIE Resources does not generate power and does not own any generation facilities.***

***ENGIE Resources is a licensed, active electric supplier in the retail marketplace in Connecticut, Delaware, District of Columbia, Illinois, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, and Texas, and serves over approximately 22,000 customers and 100,000 accounts. ENGIE Resources has access to shared services, support and oversight for day-to-day technical, managerial and operational activities, including risk management; legal counsel services, contract administration services; accounting and finance services; general management services; transaction related services, power supply procurement and portfolio management services; hedging of load requirements and supply resources; logistics management and coordination activities; compliance with ISO and state regulatory directives; wholesale counterparty credit administration; and the maintenance of all systems necessary to coordinate with the ISO and/or local utility.***

***ENGIE Resources has a contractual relationship with its affiliate, ENGIE Energy Marketing NA, Inc. (“EEMNA”), an active participant in the wholesale market, to meet all of ENGIE Resources’ wholesale supply, scheduling and settlement needs pursuant to a Master Supply Agreement (“MSA”) between ENGIE Resources and EEMNA. In accordance with the MSA, ENGIE Resources is provided the following support services by its affiliate: all activities with the ISP regarding ENGIE Resources’ provision of energy, capacity, ancillary services, scheduling and procurement of transmission service, congestion management and all other required products and services necessary to serve ENGIE Resources’ load; bidding, sale, scheduling, dispatch, and delivery of energy, capacity and ancillary services necessary to serve ENGIE Resources’ load; and assuring compliance with tariff obligations and reliability obligations, load scheduling; transmission services; and capacity and ancillary supply services.***

***ENGIE Resources has decades of experience in the energy industry. ENGIE Resources believes that its continued proven record of compliant performance substantially demonstrates that ENGIE Resources maintains the managerial resources and abilities to match the services it provides to its customers, and that ENGIE Resources continues to have the ability and commitment to comply with all CRES standards and procedures, and the rules and regulations of ISP, the local utilities, and the Ohio Revised Code.***

***ENGIE Resources has contracted with Hansen Solutions, Inc. ("Hansen") as its outsourced billing, call center, and customer care group to provide customized billing services such as statement generation and mailing and payment processing; customer care services including call center, inbound and outbound call management, call center consulting, error handling and resolutions, online customer service, contract management, customer enrollments, accounts services, and customer management. ENGIE Resources continues to maintain an internal staff as follows: (i) operations and customer care staff to manage the day-to-day management of the Houston account (outsourced billing and customer care provider) and direct contact, as needed, with customers for customer care and billing matters; (ii) supply group to manage pricing analytics and portfolio management; (iii) a marketing team to manage all marketing functions including strategic pricing, market planning, go-to-market strategies, new customer acquisition, and campaign management and analysis; (iv) an IT (information technology) team to manage the internal systems, databases, technical support, customer-facing applicants, back-office applicants, and system integration; (v) a business control team to manage all financial control matters including, billing, revenue, accounting, and settlements; and (vi) an exclusive sales channel to manage all direct and indirect sales channels and third-party relationships. ENGIE Resources continues to offer e-services and after-hour services for 24/7 availability to customers. ENGIE Resources has also contracted with Energy Services Group ("ESG") for support of EDI, XML and other data translation, transmission, auditing, archiving, business rule validation, exception identification and resolution, transaction management services, market portal, and data exchange.***



**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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**Exhibit D-3 – “Key Technical Personnel”**

Provide the names, titles, e-mail addresses, telephone numbers and the background of key personnel involved in the operational aspects of the applicant’s current business.

**SAYUN SUKDUANG - President**  
**1990 Post Oak Blvd, Suite 1900**  
**Houston, TX 77056**  
**T: 713-636-0000**  
**F: 713-636-1601**  
**Email: sayun.sukduang@engie.com**

*Sayun Sukduang is the President of ENGIE Resources LLC (“ENGIE”), one of the nation’s leading energy providers serving residential, commercial and industrial customers and a subsidiary of ENGIE North America, Inc. (“ENA”), active in the development, acquisition, and operation of electricity and cogeneration facilities, the marketing and sales of products and services, and the import and distribution of natural gas and LNG. Mr. Sukduang joined ENA in 2000 and has held executive level positions in Mergers and Acquisitions, Energy Infrastructure Development, Commodity Trading, Operations and Engineering. Mr. Sukduang has 20 years of experience in the energy industry and currently serves as a board member of C2C Power, one of Canada’s largest renewable energy companies, and TagSur Pipelines, a mid-stream pipeline company in Mexico. Mr. Sukduang holds a bachelor of science in Mechanical Engineering and a Masters of Business Administration.*

**GRAHAM LEITH – Senior Vice President, Head of Retail Energy**  
**1990 Post Oak Blvd, Suite 1900**  
**Houston, TX 77056**  
**T: 713-636-1707**  
**F: 713-636-1601**  
**Email: Graham.leith@engie.com**

*Mr. Leith joined ENGIE in May 2014 as Vice President, Sales. He has over 20 years of experience in the energy industry, with 16 years in retail energy in the areas of Sales, Marketing, Risk Management and Operations. Most recently, he held the positions of Chief Risk Officer and Vice President & General Manager, Commercial Energy Sales, at AEP Energy. Prior to AEP, Graham held senior positions with Direct Energy & British Gas (Centrica plc), Ontario Power Generation Inc., and Photowatt Solar, in Canada and the United Kingdom. Mr. Leith has also held various energy marketing and sales roles with PremStar Energy Inc., TransCanada Pipelines, Ltd., and Air Solutions, Inc., in Ontario, Canada. Mr. Leith holds a Master of Business Administration from the Schulich School of Business at York University in Toronto, Ontario, Canada and a Bachelor of Business Administration from Wilfrid Laurier University in Waterloo, Ontario, Canada.*

**RAY CUNNINGHAM - Vice President, Assistant General Counsel & Secretary**

**1990 Post Oak Blvd, Suite 1900**

**Houston, TX 77056**

**T: 713-636-1980**

**F: 713-636-1601**

**Email: [ray.cunningham@engie.com](mailto:ray.cunningham@engie.com)**

**Mr. Cunningham joined ENGIE in October 2012 as its Vice President & Assistant General Counsel where he is responsible for government affairs, regulatory compliance, corporate transactions, litigation, risk management, and all legal matters impacting the retail business. Mr. Cunningham has over 25 years of experience in the energy industry and was most recently Vice President & Assistant General Counsel of the wholesale gas and power business unit of ENA. Mr. Cunningham is a graduate of Texas Tech University and South Texas College of Law.**

**J.D. BURROWS - Vice President, Marketing**

**1990 Post Oak Blvd, Suite 1900**

**Houston, TX 77056**

**T: 713-636-1390**

**F: 713-636-1601**

**Email: [jd.burrows@engie.com](mailto:jd.burrows@engie.com)**

**Mr. Burrows rejoined ENGIE in April 2013 as its Vice President of Marketing where he is responsible for lead generation, brand positioning, market analytics and pricing strategies. Prior to rejoining ENGIE, Mr. Burrows worked as the Vice President of Origination & Procurement for the wholesale gas and power business unit of ENA where he was responsible for wholesale origination of structured energy products; mid-marketing of energy, capacity, RECs; and procurement of natural gas, fuel oil, coal, transportation and rail capacity; and prior to that he was the Vice President of Strategy & Marketing for ENA. Before joining ENGIE, Mr. Burrows held positions with Enron in structuring and risk management, and with Dynegy in Northeast market development. He started his career in energy with the Public Utility Commission of Texas, where he served as a witness and staff expert on rate design and fuel factors. Mr. Burrows earned a Bachelor of Science in economics from the University of Texas and a Master of Science in economics from Texas A&M University.**

**VIKRAM KULKARNI – Vice President, Solar**

**1990 Post Oak Blvd, Suite 1900**

**Houston, TX 77056**

**T: 713-636-1272**

**F: 713-636-1601**

**Email: [vikram.kulkarni@engie.com](mailto:vikram.kulkarni@engie.com)**

**Mr. Kulkarni joined ENGIE in June 2003 and is responsible for pricing, and portfolio risk management. Mr. Kulkarni has more than 12 years of experience in the retail energy space within operations, structuring and risk management functions. He was previously with TXU Energy and an associate with Enron Energy Services. Mr. Kulkarni holds a Bachelor of Science degree in Economics from the University of Wisconsin – Madison, and a Master of Science degree in Finance from Boston College.**

**WILLIAM ("BILL") JORDAN – Vice President, Supply**

**1990 Post Oak Blvd, Suite 1900**

**Houston, TX 77056**

**T: 713-636-1622**

**F: 713-636-1601**

**Email: [bill.jordan@engie.com](mailto:bill.jordan@engie.com)**

**Mr. Jordan joined ENGIE in March 2015 and is responsible for pricing, and portfolio risk management. He has over 20 years of experience and brings a broad background in energy marketing, portfolio management, wholesale generation and retail operations, valuation, risk management, and structuring to the role. He joined ENA in 2004 and has held roles in retail operations and wholesale marketing. Prior to ENGIE, he was Director, ERCOT Portfolio Management and responsible for all commercial operations of the ERCOT generation portfolio including budget year term hedging, and day-ahead and real-time optimization. During his career, he held various retail commodity structuring and risk management roles with Centrica, Reliant Resources, Enron, Duke, and Central & Southwest, including developing hedging strategies for retail load obligations and risk management of supply positions. He holds an electric engineering degree from Louisiana Tech.**

**DOUGLAS STEIN – Vice President & Controller, Business Control**

**1990 Post Oak Blvd, Suite 1900**

**Houston, TX 77056**

**T: 713-636-1025**

**F: 713-636-1601**

**Email: [douglas.stein@engie.com](mailto:douglas.stein@engie.com)**

**Mr. Stein is responsible for the financial functions, including accounting, performance reporting, planning, settlements and credit. In addition, he heads up the customer billing and account management functions. Prior to ENGIE, Mr. Stein was a Director for the generation group of ENA. Mr. Stein began his career working with PricewaterhouseCoopers. He is a certified public accountant and holds a Bachelor in Business Administration and Masters in Accounting from Trinity University.**

**GREG LEFLAR – Vice President, Operations**

**1990 Post Oak Blvd, Suite 1900**

**Houston, TX 77056**

**T: 713-636-1006**

**F: 713-636-1601**

**Email: [greg.leflar@engie.com](mailto:greg.leflar@engie.com)**

**Mr. Leflar joined ENGIE July 2017 as the Vice President of Operations. Mr. Leflar is responsible for sales support, transaction management, contract validation, process and systems management, and information technology. Mr. Leflar has over 18 years of experience working with companies in a variety of industries to bring about transformative change in the areas of organization effectiveness, culture, and the adoption of emerging technology. Prior to joining ENGIE, Mr. Leflar served as an officer of Pariveda Solutions responsible for the firm's largest clients in the retail electric energy industry and served in a leadership role over operations in the consulting firm with responsibility over business planning, financial performance, and marketing activities. As a management consultant, Mr.**

*Leflar partnered with executives to devise strategies around business agility, organizational structure, and team culture. At Continental Airlines, Mr. Leflar led the adoption of mobile devices in the aircraft maintenance organization and the digitization of many of their processes and procedures. In his lengthy career as an IT consultant, Mr. Leflar worked with companies in upstream oil and gas, midstream, and healthcare industries to envision and implement leading-edge technology solutions. Mr. Leflar is a subject matter expert in agile methods, cloud computing, advanced analytics, mobility, and enterprise architecture. Mr. Leflar has published papers and spoken at conferences on the API economy, enterprise cloud adoption, and the integration of big data and machine learning into business operations. Mr. Leflar is a graduate of Baylor University.*

**ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)**  
**Renewal Application for Retail Generation Providers & Power Marketers**

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**Exhibit D-4 – “FERC Power Marketer License Number”**

*Provide a statement disclosing the applicant’s FERC Power Marketer License number. (Power Marketers only).*

***ENGIE Resources, formerly known as GDF SUEZ Energy Resources NA, Inc. was granted market-based rate authority by the Federal Energy Regulatory Commission (“FERC”) in Docket No. ER16-583-001. ENGIE Resources has an effective market-based rate tariff on file with FERC in Docket No. ER16-1708-000. ENGIE Resources filed a Notice of Succession notifying the FERC of its name change to ENGIE Resources LLC in Docket No. ER16-2271-000. FERC accepted notice of succession and revised market-based rate tariff effective September 21, 2016 in Docket No. ER16-2271-000.***