



# Public Utilities Commission

PUCO USE ONLY – Version 1.08		
Date Received	Renewal Certification Number	ORIGINAL AGG Case Number
		16-1200- GA-AGG

FILE

## RENEWAL CERTIFICATION APPLICATION COMPETITIVE RETAIL NATURAL GAS BROKERS/AGGREGATORS

Please **type or print** all required information. Identify all attachments with an exhibit label and title (*Example: Exhibit A-15 - Company History*). 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 directly input information onto the form. You may also download the form saving it to your local disk.

### SECTION A - APPLICANT INFORMATION AND SERVICES

#### A-1 Applicant intends to renew its certificate as: (check all that apply)

☐ Retail Natural Gas Aggregator ☒ Retail Natural Gas Broker

#### A-2 Applicant information:

Legal Name Ecom-Energy of California, Inc.  
Address 5322 Vista Montana Yorba Linda, CA 92886  
Telephone No. (714) 485-4122 Web site Address www.ecom-energy.com  
Current PUCO Certificate No. 16-528G Effective Dates 6/26/2016 - 6/26/2018

#### A-3 Applicant information under which applicant will do business in Ohio:

Name Ecom-Energy of California, Inc.  
Address 5322 Vista Montana Yorba Linda, CA 92886  
Web site Address www.ecom-energy.com Telephone No. (714) 485-4122

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

Ecom-Energy of California, Inc.  
Ecom-Energy, Inc.

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

Name Carlos Lopez Title Associate Principal  
Business Address 5322 Vista Montana Yorba Linda, CA 92886  
Telephone No. (714) 485-4122 Fax No. Email Address clopez2@ecom-energy.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 Ann Date Processed 8/17/18

PUCO

2018 AUG 17 AM 11:39

RECEIVED-DOCKETING DIV

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

Name Carlos Lopez

Title Associate Principal

Business address 5322 Vista Montana Yorba Linda, CA 92886

Telephone No. (714) 485-4122

Fax No.

Email Address clopez2@ecom-energy.com

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

Customer service address 5322 Vista Montana Yorba Linda, CA 92886

Toll-Free Telephone No.

Fax No.

Email Address clopez2@ecom-energy.com

**A-8 Provide "Proof of an Ohio Office and Employee," in accordance with Section 4929.22 of the Ohio Revised Code, by listing name, Ohio office address, telephone number, and Web site address of the designated Ohio Employee**

Name Corporate Creations Network, Inc.

Title

Business address 119 E. Court Street Cincinnati, OH 45202

Telephone No. (513) 268-0326

Fax No.

Email Address

**A-9 Applicant's federal employer identification number 26-0440062**

**A-10 Applicant's form of ownership: (Check one)**

☐ Sole Proprietorship

☐ Partnership

☐ Limited Liability Partnership (LLP)

☐ Limited Liability Company (LLC)

☒ Corporation

☐ Other

**A-11 (Check all that apply) Identify each natural gas company service area in which the applicant is currently providing service or intends to provide service, including identification of each customer class that the applicant is currently serving or intends to serve, for example: *residential, small commercial, and/or large commercial/industrial (mercantile) customers*. (A mercantile customer, as defined in Section 4929.01(L)(1) of the Ohio Revised Code, means a customer that consumes, other than for residential use, more than 500,000 cubic feet of natural gas per year at a single location within the state or consumes natural gas, other than for residential use, as part of an undertaking having more than three locations within or outside of this state. In accordance with Section 4929.01(L)(2) of the Ohio Revised Code, "Mercantile customer" excludes a not-for-profit customer that consumes, other than for residential use, more than 500,000 cubic feet of natural gas per year at a single location within this state or consumes natural gas, other than for residential use, as part of an undertaking having more than three locations within or outside this state that has filed the necessary declaration with the Public Utilities Commission.)**

<input checked="" type="checkbox"/> Columbia Gas of Ohio	<input type="checkbox"/> Residential	<input type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/> Dominion East Ohio	<input type="checkbox"/> Residential	<input type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/> Duke Energy Ohio	<input type="checkbox"/> Residential	<input type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/> Vectren Energy Delivery of Ohio	<input type="checkbox"/> Residential	<input type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial

**A-12 If applicant or an affiliated interest previously participated in any of Ohio's Natural Gas Choice Programs, for each service area and customer class, provide approximate start date(s) and/or end date(s) that the applicant began delivering and/or ended services.**

☒ Columbia Gas of Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input checked="" type="checkbox"/> Large Commercial	Beginning Date of Service March 2017	End Date Ongoing
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

☐ Dominion East Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

☐ Duke Energy Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

☐ Vectren Energy Delivery of Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

**A-13 If not currently participating in any of Ohio's four Natural Gas Choice Programs, provide the approximate start date that the applicant proposes to begin delivering services:**

<input type="checkbox"/>	Columbia Gas of Ohio	Intended Start Date	
<input checked="" type="checkbox"/>	Dominion East Ohio	Intended Start Date	2019
<input checked="" type="checkbox"/>	Duke Energy Ohio	Intended Start Date	2019
<input checked="" type="checkbox"/>	Vectren Energy Delivery of Ohio	Intended Start Date	2019

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

- A-14 Exhibit A-14 "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-15 Exhibit A-15 "Company History,"** provide a concise description of the applicant's company history and principal business interests.
- A-16 Exhibit A-16 "Articles of Incorporation and Bylaws,"** provide the articles of incorporation filed with the state or jurisdiction in which the applicant is incorporated and any amendments thereto, *only if the contents of the originally filed documents changed since the initial application.*
- A-17 Exhibit A-17 "Secretary of State,"** provide evidence that the applicant is still currently registered with the Ohio Secretary of the State.

## **SECTION 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 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.
- B-2 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.
- B-3 Exhibit B-3 "Summary of Experience,"** provide a concise and current summary of the applicant's experience in providing the service(s) for which it is seeking renewed certification (e.g., number and types of customers served, utility service areas, volume of gas supplied, etc.).
- B-4 Exhibit B-4 "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 for which it is seeking renewed certification since applicant last filed for certification.

- B-5 Exhibit B-5 "Disclosure of Consumer Protection Violations,"** disclose whether the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant has been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws since applicant last filed for certification.

☒ No ☐ Yes

If Yes, provide a separate attachment labeled as Exhibit B-5 "Disclosure of Consumer Protection Violations," detailing such violation(s) and providing all relevant documents.

- B-6 Exhibit B-6 "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 natural gas or retail/wholesale electric service denied, curtailed, suspended, or revoked, or whether the applicant or predecessor has been terminated from any of Ohio's Natural Gas Choice programs, or been in default for failure to deliver natural gas since applicant last filed for certification.

☒ No ☐ Yes

If Yes, provide a separate attachment, labeled as Exhibit B-6 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation," detailing such action(s) and providing all relevant documents.

## **SECTION C - APPLICANT 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, 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.)
- 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 whether 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 satisfy collateral requirements to conduct retail electric/gas business activity (e.g., parental or third party guarantees, 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 **NATURAL GAS 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 current 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 current 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.

#### **SECTION D – APPLICANT TECHNICAL CAPABILITY**

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

- D-1 Exhibit D-1 "Operations,"** provide a current written description of the operational nature of the applicant's business functions.
- D-2 Exhibit D-2 "Operations Expertise,"** given the operational nature of the applicant's business, provide evidence of the applicant's current experience and technical expertise in performing such operations.
- D-3 Exhibit D-3 "Key Technical Personnel,"** provide the names, titles, email addresses, telephone numbers, and background of key personnel involved in the operational aspects of the applicant's current business.

Applicant Signature and Title



Associate Principal

Sworn and subscribed before me this

day of

Month

Year

Signature of official administering oath

Print Name and Title

My commission expires on

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of California

County of Orange

Subscribed and sworn to (or affirmed) before me on this 13<sup>th</sup>  
day of August, 2018, by Carlos Lopez

proved to me on the basis of satisfactory evidence to be the  
person(s) who appeared before me.



(Seal)

Signature

A handwritten signature in black ink, appearing to read "Carlos Lopez", written over a horizontal line.





# The Public Utilities Commission of Ohio

Competitive Retail Natural Gas Service  
Affidavit Form  
(Version 1.07)

In the Matter of the Application of )

Ecom-Energy, Inc. )  
for a Certificate or Renewal Certificate to Provide )  
Competitive Retail Natural Gas Service in Ohio. )

Case No. 16 - 1200 -GA-AGG

County of orange  
State of CA

Carlos Lopez

[Affiant], being duly sworn/affirmed, hereby states that:

- (1) The information provided within the certification or certification renewal application and supporting information is complete, true, and accurate to the best knowledge of affiant.
- (2) The applicant will timely file an annual report of its intrastate gross receipts and sales of hundred cubic feet of natural gas pursuant to Sections 4905.10(A), 4911.18(A), and 4929.23(B), Ohio Revised Code.
- (3) The applicant will timely pay any assessment made pursuant to Section 4905.10 or Section 4911.18(A), Ohio Revised Code.
- (4) Applicant will comply with all applicable rules and orders adopted by the Public Utilities Commission of Ohio pursuant to Title 49, Ohio Revised Code.
- (5) Applicant will cooperate with the Public Utilities Commission of Ohio and its staff in the investigation of any consumer complaint regarding any service offered or provided by the applicant.
- (6) Applicant will comply with Section 4929.21, Ohio Revised Code, regarding consent to the jurisdiction of the Ohio courts and the service of process.
- (7) Applicant will inform the Public Utilities Commission of Ohio of any material change to the information supplied in the certification or certification renewal application within 30 days of such material change, including any change in contact person for regulatory or emergency purposes or contact person for Staff use in investigating customer complaints.
- (8) Affiant further sayeth naught.

Affiant Signature & Title

Carlos Lopez Associate Principal

Sworn and subscribed before me this    day of    Month    Year

See attached

Signature of Official Administering Oath

Print Name and Title

My commission expires on

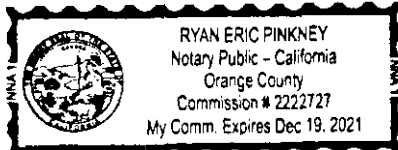
A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of California

County of Orange

Subscribed and sworn to (or affirmed) before me on this 13<sup>th</sup>  
day of August, 2018, by Carlos Lopez

proved to me on the basis of satisfactory evidence to be the  
person(s) who appeared before me.



(Seal)

Signature

A handwritten signature in black ink, appearing to read "Carlos Lopez", written over a horizontal line.

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **A. Applicant Information and Services**

#### **Exhibit A-14 "Principal Officers, Directors, & Partners"**

**Name:** Carlos Lopez, Sr.

**Title:** Principal

**Address:** 5322 Vista Montana Yorba Linda, CA 92886

**Telephone Number:** (714) 485-4117

**Name:** Carlos Lopez, II

**Title:** Associate Principal

**Address:** 20746 Juniper Avenue Yorba Linda, CA 92886

**Telephone Number:** (714) 485-4122

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **A. Applicant Information and Services**

#### **Exhibit A-15 “Company History”**

Ecom-Energy was founded in 1999 by internationally-recognized energy experts to provide an unbiased, independent resource for energy management solutions in the healthcare industry. Our solutions provide a range of services to help customers minimize future energy costs, manage energy budget risks, save time through access to independent, high-quality information, and plan more effectively for the future. Our innovative resource is a comprehensive collection of information from different sources, updated constantly and synthesized from a healthcare-specific perspective. Customers benefit by getting high-quality information unblemished by a hidden agenda.

Founded by the ECRI Institute, Ecom-Energy of California, Inc.’s team of experts provide unbiased advice on energy procurement, consumption, supply, and planning – so our customers can make wiser, more cost-effective energy decisions. Unlike traditional energy consultants, Ecom-Energy of California, Inc. is not affiliated with an energy supplier or marketer and does not sell equipment of any kind. The nature of its advice is truly unbiased, and its perspective is entirely independent.

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **A. Applicant Information and Services**

#### **Exhibit A-16 “Articles of Incorporation and Bylaws”**

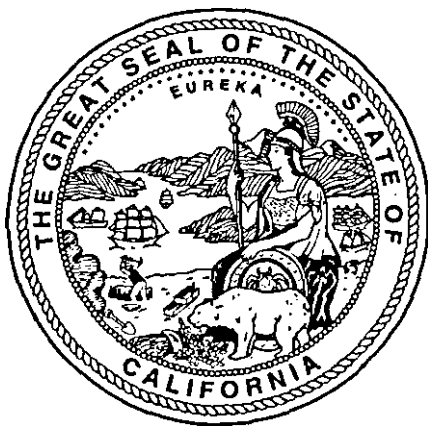
See enclosed for Ecom-Energy of California, Inc.’s Articles of Incorporation.

**State of California**  
Secretary of State



I, DEBRA BOWEN, Secretary of State of the State of California, hereby certify:

That the attached transcript of 1 page(s) has been compared with the record on file in this office, of which it purports to be a copy, and that it is full, true and correct.



IN WITNESS WHEREOF, I execute this certificate and affix the Great Seal of the State of California this day of

JUL 06 2007

A handwritten signature in cursive script that reads "Debra Bowen".

DEBRA BOWEN  
Secretary of State

3018071

**ENDORSED - FILED**  
In the office of the Secretary of State  
of the State of California

.1111 06 2007

## ARTICLES OF INCORPORATION

OF

### ECOM-ENERGY of California, Inc.

FIRST. The name of the corporation is ECOM-ENERGY of California, Inc.

SECOND. The purpose of the corporation is to engage in any lawful act or activity for which a corporation may be organized under the General Corporation Law of California other than the banking business, the trust company business or the practice of a profession permitted to be incorporated by the California Corporations Code.

THIRD. The name of the corporation's initial agent for service of process in the State of California is Carlos E. Lopez, 5322 Vista Montana, Yorba Linda, California 92886.

FOURTH. The corporation is authorized to issue one class of shares, designated as "Common Stock", and the total number of shares of Common Stock authorized to be issued is 1,000.

The personal liability of the directors of the corporation for monetary damages for breach of fiduciary duty shall be eliminated to the fullest extent permissible under California law. The corporation is authorized to indemnify its directors and officers to the fullest extent permissible under California law.

**IN WITNESS WHEREOF**, the undersigned incorporator has executed these Articles of Incorporation on the date below.

Date: July 3, 2007

**LegalZoom.com, Inc., Incorporator**

By: \_\_\_\_\_

Tamar Baloshian, Assistant Secretary

**ACTION BY WRITTEN CONSENT  
OF THE INCORPORATOR  
OF  
ECOM-ENERGY of California, Inc.,  
a California Corporation,  
As of July 11, 2007**

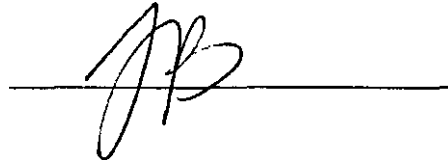
The undersigned incorporator of ECOM-ENERGY of California, Inc., a California corporation, took the following actions on the above date, pursuant to the California Business Corporation Act:

Until otherwise determined by the Board, the number of members comprising the Board of Directors shall be two (2). Each person named below has been elected by me as a director of said corporation to hold office until the first annual meeting of stockholders or until his or her successor is elected and qualified:

Carlos E. Lopez  
Olivia Lopez

Signed as of the above date.

LegalZoom.com, Inc., Incorporator





**UNANIMOUS WRITTEN CONSENT IN  
LIEU OF FIRST MEETING OF THE BOARD OF DIRECTORS  
OF  
ECOM-ENERGY of California, Inc.**

The directors of ECOM-ENERGY of California, Inc., a California corporation (the "Corporation"), hereby adopt the following resolutions by written consent and direct that this consent be filed with the minutes of the proceedings of the Board of Directors:

Adoption of Bylaws.

RESOLVED, that the bylaws presented to the Directors and attached hereto are adopted as the bylaws of the Corporation.

Stock Issuance.

RESOLVED, that the Corporation hereby accepts the contribution of all of the assets and business of, and hereby assumes all of the liability of ECOM-ENERGY of California, a sole proprietorship, and that the fair market value of such business is \$150,000.00.

RESOLVED, that the Corporation is hereby authorized to issue shares of Common Stock of the Corporation to the persons named below, the current owners of ECOM-ENERGY of California, in exchange for the contribution of all of its business.

<u>Name of Stockholder</u>	<u>Number of Shares</u>
Carlos E. Lopez	800
Olivia Lopez	200

FURTHER RESOLVED, that the consideration to be received for the above-mentioned shares is adequate and approved, and the President and Secretary of the Corporation are hereby authorized to execute and deliver to each person named above a certificate representing the shares of fully paid and non-assessable Common Stock of the Corporation as set forth above upon receipt of payment therefore.

Election of Officers.

RESOLVED, that the following persons be, and they hereby are, elected to hold the offices of the Corporation set forth opposite their respective names until their respective successors are elected and qualified or until their earlier resignation or removal:

President: Carlos E. Lopez

Treasurer: Carlos E. Lopez

Secretary: Olivia Lopez

Corporate Documents and Proceedings.

RESOLVED, that the officers of the Corporation be, and they hereby are, authorized, empowered and directed to procure all corporate books, books of account and stock books which may be required by the laws of California or of any state in which the Corporation may do business or which may be necessary or appropriate in connection with the business of the Corporation.

FURTHER RESOLVED, that the Corporation shall maintain a minute book containing the minutes of any and all meetings of and actions of the Board of Directors, Board committees and of the shareholders, together with such documents and papers, including this Written Consent, as the Corporation, its Board of Directors or its shareholders shall from time to time direct.

FURTHER RESOLVED, that the Secretary of the Corporation be, and the Secretary hereby is, authorized and instructed to insert in the minute book of the Corporation a copy of the Articles of incorporation as filed in the office of the California Secretary of State and certified by said Secretary of State.

FURTHER RESOLVED, that a corporate seal is adopted as the seal of this Corporation in the form of two concentric circles, with the name of the Corporation between the two circles and the year of incorporation and California within the inner circle.

FURTHER RESOLVED, that the form of stock certificate is approved and adopted as the Stock Certificate of this Corporation. The Secretary is instructed to insert a specimen copy of the stock certificate in the Minute Book immediately following this consent.

FURTHER RESOLVED, that the Secretary of the Corporation be, and the Secretary hereby is, authorized, empowered and directed to insert a copy of the bylaws in the minute book of the Corporation and to see that a copy of said bylaws is kept at the principal executive office for the transaction of business of the Corporation.

FURTHER RESOLVED, that all actions taken by LegalZoom.com, Inc. and its agents in connection with the formation of the Corporation are hereby approved, ratified and adopted.

Annual Accounting Period.

RESOLVED, that until otherwise determined by the Board of Directors the fiscal year of the Corporation shall end on December 31.

Principal Executive Office.

RESOLVED, that the principal executive office of the Corporation shall be located at 5322 Vista Montana, Yorba Linda, California 92886.

Bank Account.

RESOLVED, that the Corporation establish in its name an account with any federally insured depository institution and that the officers of the Corporation be, and they hereby are, authorized, empowered and directed to establish such an account.

Qualification to do Business.

RESOLVED, that for the purpose of authorizing the Corporation to do business under the laws of any state, territory or possession of the United States or of any foreign country in which it is necessary or convenient for the Corporation to transact business, the proper officers of the Corporation are hereby authorized in the name and on behalf of the Corporation to take such action as may be necessary or advisable to effect the qualification of the Corporation to do business as a foreign corporation in any of such states, territories, possessions or foreign countries and in connection therewith to appoint and substitute all necessary agents or attorneys for service of process, to designate or change the location of all necessary statutory offices, and to execute, acknowledge, verify, deliver, file or cause to be published any necessary applications, papers, certificates, reports, consents to service of process, powers of attorney and other instruments as may be required by any of such laws, and, whenever it is expedient for the Corporation to cease doing business and withdraw from any such state, territory, possession or foreign country, to revoke any appointment of agent or attorney for service of process and to file such applications, papers, certificates, reports, revocation of appointment or surrender of authority as may be necessary to terminate the authority of the Corporation to do business in any such state, territory, possession or foreign country.

Payment of Expenses.

RESOLVED, that the officers of the Corporation be, and they hereby are, authorized, empowered and directed to pay all charges and expenses incident to or arising out of the organization of the Corporation and to reimburse any person who has made any disbursement therefore.

Agent for Service of Process.

RESOLVED, that Carlos E. Lopez, 5322 Vista Montana, Yorba Linda, California 92886 shall be appointed the Corporation's agent for service of process.

Subchapter S Election.

RESOLVED, that the Corporation shall elect to be taxed as an S Corporation, and the officers of the Corporation are authorized and directed to file all proper and necessary forms with the Internal Revenue Service and to obtain the consent of each stockholder to be taxed as a S corporation.

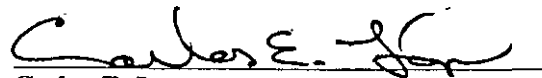
General Authorization.


RESOLVED, that the officers of the Corporation are, and each of them hereby is, authorized, empowered and directed, in the name of and on behalf of the Corporation, to make all other arrangements and to take all further action, including the payment of expenditures and the preparation of officer's certificates or any other documents, as the officer deems necessary or appropriate in order to fully effectuate the purposes of the foregoing resolutions.

RESOLVED, that any and all actions taken by any officer of the Corporation in connection with the matters contemplated by the foregoing resolutions are hereby approved, ratified and confirmed in all respects as fully as if such actions had been presented to the Board of Directors for its approval prior to such actions being taken.

**IN WITNESS WHEREOF**, this consent has been executed as of the date below.

Date: July 17, 2007

  
Carlos E. Lopez

  
Olivia Lopez

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **A. Applicant Information and Services**

#### **Exhibit A-17 "Secretary of State"**

See enclosed for evidence of registration with the Ohio Secretary of State.

UNITED STATES OF AMERICA  
STATE OF OHIO  
OFFICE OF THE SECRETARY OF STATE

*I, Jon Husted, do hereby certify that I am the duly elected, qualified and present acting Secretary of State for the State of Ohio, and as such have custody of the records of Ohio and Foreign business entities; that said records show ECOM-ENERGY OF CALIFORNIA, INC., a California corporation, having qualified to do business within the State of Ohio on March 15, 2016 under License No. 3879921 is currently in GOOD STANDING upon the records of this office.*



*Witness my hand and the seal of the  
Secretary of State at Columbus, Ohio  
this 15th day of August, A.D. 2018.*

*Jon Husted*

Ohio Secretary of State

Validation Number: 201822702582

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **B. Applicant Managerial Capability and Experience**

#### **Exhibit B-1 "Jurisdictions of Operation"**

Ecom-Energy of California, Inc. is certified, licensed, registered, or otherwise authorized to provide retail or wholesale electric services including aggregation services, in the following jurisdictions:

California, Nevada, Texas, Kansas, Missouri, Indiana, Ohio, Michigan, Pennsylvania, Rhode Island, New Jersey, Alabama, Georgia, and Florida.



## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **B. Applicant Managerial Capability and Experience**

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

Ecom-Energy of California, Inc. contracts with customers using a commission-based, per unit fee; flat rate, annual fixed fee; or annual membership that may be appropriate given the scope of services. Fees are transparently presented in an “open book” format that allows customers to choose their preferred fee structure.

Ecom-Energy of California, Inc. ensures that the contracted scope of services is mutually agreed upon with customers. A dedicated project manager oversees customer projects to ensure that services are rendered effectively and in a timely manner.

Billing statements are provided annually with accompanying invoices. Customers that prefer commission-based, per unit fees receive bills directly from the supplier.

Complaints and inquiries are handled at the executive level and are addressed immediately via an open line of communication. Customers are given direct access to suppliers to address any supply-specific complaints or inquiries.

In its history, no customer has ever filed a complaint with Ecom-Energy of California, Inc.

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **B. Applicant Managerial Capability and Experience**

#### **Exhibit B-3 "Summary of Experience"**

Founded by the ECRI Institute, Ecom-Energy of California, Inc.'s senior management average over 30 years of experience in the energy industry, with substantial healthcare, manufacturing, and industrial involvement. This experience allows Ecom-Energy of California, Inc. to assist more than 50 facilities nationwide in addressing industry-specific energy challenges. Its independent stance ensures that customers receive the best contract terms available in the market. As one of the first key players during the deregulation of California's electricity market, Ecom-Energy of California, Inc. has helped innumerable customers navigate and understand their utility bills. Near the turn of the century, Ecom-Energy of California, Inc. played a pivotal role in helping many large, national customers escape unfavorable Enron contracts, aggregate their loads, and procure natural gas - something the firm continues to do to this day. For example, in December 2015 Ecom-Energy of California, Inc. aggregated the load of 12 Prime Healthcare hospitals throughout California. Natural gas usage totaled 288,332 Dth. This load was spread across a 75% fixed, 25% float product based on an assessment of Prime Healthcare's risk tolerance.

Today, Ecom-Energy of California, Inc. serves as a subject matter expert for PricewaterhouseCoopers and continues to work with industry leaders in thousands of utility service areas across the United States.

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **B. Applicant Managerial Capability and Experience**

#### **Exhibit B-4 "Disclosure of Liabilities and Investigations"**

Not applicable.

Ecom-Energy of California, Inc. does not have any existing, pending or past rulings, judgments, contingent liabilities, revocations of authority, regulatory investigations, or any other matters that could adversely impact Ecom-Energy of California, Inc.'s financial or operational status or ability to provide the services it is seeking to be certified to provide.

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **C. Applicant Financial Capability and Experience**

#### **Exhibit C-1 "Annual Reports"**

Not applicable.

Ecom-Energy of California, Inc. is a privately held corporation that is not required to publish annual reports for shareholders.

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **C. Applicant Financial Capability and Experience**

#### **Exhibit C-2 “SEC Filings”**

Not applicable.

Ecom-Energy of California, Inc. is not required to file with the SEC as it is a privately held corporation that is not required to file 10-K/8-K filings with the SEC.

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **C. Applicant Financial Capability and Experience**

#### **Exhibit C-3 "Financial Statements"**

See enclosed for Ecom-Energy of California Inc.'s financial statements.

# ECOM-ENERGY, Inc.

## BALANCE SHEET

As of December 31, 2016

	TOTAL
<b>ASSETS</b>	
Current Assets	
Bank Accounts	
1000 ECOM Corporate Checking	-3,132.62
1005 BofA CD 2017	10,000.00
1006 B of A CD (Exp Apr. 2017)	10,000.00
<b>Total Bank Accounts</b>	<b>\$16,867.38</b>
Other Current Assets	
1499 Undeposited Funds	0.00
<b>Total Other Current Assets</b>	<b>\$0.00</b>
<b>Total Current Assets</b>	<b>\$16,867.38</b>
Fixed Assets	
1500 Office Equipment & Furniture	20,973.11
1510 Vehicles	188,080.42
1525 Accumulated Depreciation	-136,674.67
<b>Total Fixed Assets</b>	<b>\$72,378.86</b>
Other Assets	
1530 Organizational Costs	2,302.00
1540 Accumulated Amortization	-2,302.00
<b>Total Other Assets</b>	<b>\$0.00</b>
<b>TOTAL ASSETS</b>	<b>\$89,246.24</b>
<b>LIABILITIES AND EQUITY</b>	
Liabilities	
Current Liabilities	
Credit Cards	
2105 Citi VISA	15,242.91
2135 American Express	0.00
<b>Total Credit Cards</b>	<b>\$15,242.91</b>
Other Current Liabilities	
2100 Payroll Liabilities	-425.26
2110 Direct Deposit Liabilities	0.00
2120 SEP IRA Contribution Payable	16,642.55
2125 Bank Of America Line of Credit	0.00
2128 Financial Partners Credit Union	0.00
2200 Customer Deposits/Retainers	0.00
2236 Wachovia Loan for Infiniti	0.00
2260 Loan on 2010 Lexus RX	0.00
2265 Lexus Loan on Bus LOC	0.00
2400 Loan from Shareholder	0.00
2450 loan from US bank for BMW	0.00
2455 N/P Ally Bank-Denali	0.00
2500 Pension Plan Payable	0.00

	TOTAL
<b>Total Other Current Liabilities</b>	<b>\$16,217.29</b>
<b>Total Current Liabilities</b>	<b>\$31,460.20</b>
<b>Total Liabilities</b>	<b>\$31,460.20</b>
Equity	
3000 Opening Bal Equity	0.00
3200 Member Distributions	-71,235.77
3900 Retained Earnings	-37,391.43
Net Income	166,413.24
<b>Total Equity</b>	<b>\$57,786.04</b>
<b>TOTAL LIABILITIES AND EQUITY</b>	<b>\$89,246.24</b>



# ECOM-ENERGY, Inc.

## BALANCE SHEET

As of December 31, 2017

	TOTAL
<b>ASSETS</b>	
Current Assets	
Bank Accounts	
1000 ECOM Corporate Checking	21,960.71
1005 BofA CD 2017	10,000.00
1006 B of A CD (Exp Apr. 2017)	-11.06
<b>Total Bank Accounts</b>	<b>\$31,949.65</b>
Other Current Assets	
1300 Uncategorized Asset	0.00
1499 Undeposited Funds	0.00
<b>Total Other Current Assets</b>	<b>\$0.00</b>
<b>Total Current Assets</b>	<b>\$31,949.65</b>
Fixed Assets	
1500 Office Equipment & Furniture	21,296.86
1510 Vehicles	188,080.42
1520 Computer Equipment	4,405.52
1525 Accumulated Depreciation	-136,674.67
<b>Total Fixed Assets</b>	<b>\$77,108.13</b>
Other Assets	
1275 Suspense	-179.67
1530 Organizational Costs	2,302.00
1540 Accumulated Amortization	-2,302.00
<b>Total Other Assets</b>	<b>\$ -179.67</b>
<b>TOTAL ASSETS</b>	<b>\$108,878.11</b>
<b>LIABILITIES AND EQUITY</b>	
Liabilities	
Current Liabilities	
Credit Cards	
2105 Citi VISA	12,434.80
2135 American Express	0.00
<b>Total Credit Cards</b>	<b>\$12,434.80</b>
Other Current Liabilities	
2100 Payroll Liabilities	0.00
2112 CA SUI / ETT	16.25
2114 Federal Unemployment (940)	393.65
2116 Federal Taxes (941/944)	-3,794.92
2118 CA PIT / SDI	0.00
S-Corp Health Insurance	40,359.96
<b>Total 2100 Payroll Liabilities</b>	<b>36,974.94</b>
2110 Direct Deposit Liabilities	0.00
2120 SEP IRA Contribution Payable	0.01
2125 Bank Of America Line of Credit	-180.74

	TOTAL
2128 Financial Partners Credit Union	0.00
2200 Customer Deposits/Retainers	0.00
2235 Direct Deposit Payable	0.00
2236 Wachovia Loan for Infiniti	0.00
2260 Loan on 2010 Lexus RX	0.00
2265 Lexus Loan on Bus LOC	0.00
2400 Loan from Shareholder	0.00
2450 loan from US bank for BMW	0.00
2455 N/P Ally Bank-Denali	0.00
2500 Pension Plan Payable	0.00
<b>Total Other Current Liabilities</b>	<b>\$36,794.21</b>
<b>Total Current Liabilities</b>	<b>\$49,229.01</b>
<b>Total Liabilities</b>	<b>\$49,229.01</b>
Equity	
3000 Opening Bal Equity	0.00
3200 Member Distributions	-3,080.43
3125 Carlos Sr.	-48,830.42
3150 Carlos II	-5,764.98
<b>Total 3200 Member Distributions</b>	<b>-57,675.83</b>
3900 Retained Earnings	57,786.04
Net Income	59,538.89
<b>Total Equity</b>	<b>\$59,649.10</b>
<b>TOTAL LIABILITIES AND EQUITY</b>	<b>\$108,878.11</b>

# ECOM-ENERGY, Inc.

## PROFIT AND LOSS

January - December 2016

	TOTAL
Income	
4105 Service Income	764,173.96
4325 Unapplied Cash Payment Income	0.00
4990 Vendor Refunds	700.00
<b>Total Income</b>	<b>\$764,873.96</b>
Cost of Goods Sold	
5000 Cost of Goods Sold	
5100 Outside Consultants/ Owner's Rep	33,687.63
5200 Reimbursable Expenses	794.43
<b>Total 5000 Cost of Goods Sold</b>	<b>34,482.06</b>
<b>Total Cost of Goods Sold</b>	<b>\$34,482.06</b>
<b>GROSS PROFIT</b>	<b>\$730,391.90</b>
Expenses	
6100 Advertising Expense	2,164.31
6102 Marketing	27,769.97
6115 Bank Service Charges	849.69
6120 Business License & Fees	4,850.00
6130 Car/Truck Expense	2,446.37
6132 Gas	3,730.35
6134 Auto Repairs & Maintenance	895.60
6136 Registration & License	1,005.32
6139 Tolls & Parking	788.94
<b>Total 6130 Car/Truck Expense</b>	<b>8,866.58</b>
6145 Contributions	11,588.00
6150 Depreciation Expense	67,140.00
6155 Dues and Subscriptions	6,354.75
6180 Insurance	44.00
6182 Life Insurance	952.16
6184 Auto Insurance	315.00
6188 General Liability Insurance	1,720.00
6192 Medical Insurance	4,995.92
<b>Total 6180 Insurance</b>	<b>8,027.08</b>
6238 Marketing - Meals	7,599.21
6250 Office Equipment	8,492.25
6255 Postage and Delivery	247.35
6270 Professional Development	3,500.98
6275 Professional Fees	274.60
6277 Accounting Fees	3,955.00
6278 Payroll Service Fees	14.85
<b>Total 6275 Professional Fees</b>	<b>4,244.45</b>
6279 Software Fees	20,960.00
6305 Web Hosting/Internet fees	1,788.26
6310 Office Supplies	3,817.36

	TOTAL
6320 Telephone and Fax	4,943.02
6325 Cellular Phone	3,891.08
<b>Total 6320 Telephone and Fax</b>	<b>8,834.10</b>
6330 Travel & Entertainment	10,411.49
6332 Entertainment	52.88
6334 Meals	96.84
6336 Travel	5,306.18
<b>Total 6330 Travel &amp; Entertainment</b>	<b>15,867.39</b>
6337 Mileage Reimbursement	260.82
6339 Staff Meals - 100%	2,908.32
6354 Taxes	800.00
6353 Taxes - Prior Year P/R	2,362.72
<b>Total 6354 Taxes</b>	<b>3,162.72</b>
6550 Medical Expenses	323.45
6560 Payroll Expenses	122,075.11
6520 Payroll Taxes	22,370.07
6525 Officer Wages	179,804.24
<b>Total 6560 Payroll Expenses</b>	<b>324,249.42</b>
6690 Reconciliation Discrepancies	70.08
6800 Retirement Plan Expenses	16,642.55
6820 Uncategorized Expense	2,242.83
<b>Total Expenses</b>	<b>\$562,821.92</b>
NET OPERATING INCOME	<b>\$167,569.98</b>
Other Income	
7300 Other Income	0.05
<b>Total Other Income</b>	<b>\$0.05</b>
Other Expenses	
8100 Interest Expense	1,156.79
<b>Total Other Expenses</b>	<b>\$1,156.79</b>
NET OTHER INCOME	<b>\$ -1,156.74</b>
NET INCOME	<b>\$166,413.24</b>

# ECOM-ENERGY, Inc.

## PROFIT AND LOSS

January - December 2017

	TOTAL
Income	
4105 Service Income	657,324.46
4325 Unapplied Cash Payment Income	0.00
<b>Total Income</b>	<b>\$657,324.46</b>
Cost of Goods Sold	
5000 Cost of Goods Sold	6,849.68
5100 Outside Consultants/ Owner's Rep	6,028.13
5200 Reimbursable Expenses	1,038.32
<b>Total 5000 Cost of Goods Sold</b>	<b>13,916.13</b>
5005 Project Related Costs	36.93
<b>Total Cost of Goods Sold</b>	<b>\$13,953.06</b>
<b>GROSS PROFIT</b>	<b>\$643,371.40</b>
Expenses	
6100 Advertising Expense	1,951.77
6102 Marketing	21,358.83
6120 Business License & Fees	4,659.56
6130 Car/Truck Expense	2,665.09
6132 Gas	5,206.57
6134 Auto Repairs & Maintenance	950.47
6136 Registration & License	2,005.00
6139 Tolls & Parking	1,956.16
<b>Total 6130 Car/Truck Expense</b>	<b>12,783.29</b>
6140 Cleaning/Janitorial	250.50
6145 Contributions	1,606.40
6155 Dues and Subscriptions	7,465.58
6180 Insurance	
6182 Life Insurance	1,031.56
6184 Auto Insurance	12,305.98
6188 General Liability Insurance	4,099.25
6192 Medical Insurance	48,973.98
<b>Total 6180 Insurance</b>	<b>66,410.77</b>
6238 Marketing - Meals	7,193.40
6250 Office Equipment	3,214.11
6255 Postage and Delivery	76.75
6270 Professional Development	1,845.00
6275 Professional Fees	170.00
6277 Accounting Fees	7,434.00
6278 Payroll Service Fees	548.00
<b>Total 6275 Professional Fees</b>	<b>8,152.00</b>
6279 Software Fees	206.40
6280 Uniforms	623.33
6300 Repairs	50.00
6305 Web Hosting/Internet fees	616.90

	TOTAL
6310 Office Supplies	3,449.50
6320 Telephone and Fax	5,055.17
6325 Cellular Phone	5,119.35
<b>Total 6320 Telephone and Fax</b>	<b>10,174.52</b>
6330 Travel & Entertainment	6,955.03
6332 Entertainment	983.60
6334 Meals	50.00
6336 Travel	3,925.87
<b>Total 6330 Travel &amp; Entertainment</b>	<b>11,914.50</b>
6339 Staff Meals - 100%	6,020.08
6352 Penalties	259.83
6354 Taxes	609.47
6356 State Taxes	6,771.31
<b>Total 6354 Taxes</b>	<b>7,380.78</b>
6550 Medical Expenses	359.00
6560 Payroll Expenses	
6510 Wages	369,105.38
6520 Payroll Taxes	27,898.79
6525 Officer Wages	5,182.86
6530 Auto Allowance	400.00
6535 Taxes	2,044.62
<b>Total 6560 Payroll Expenses</b>	<b>404,631.65</b>
<b>Total Expenses</b>	<b>\$582,654.45</b>
<b>NET OPERATING INCOME</b>	<b>\$60,716.95</b>
Other Expenses	
8100 Interest Expense	1,178.06
<b>Total Other Expenses</b>	<b>\$1,178.06</b>
<b>NET OTHER INCOME</b>	<b>\$ -1,178.06</b>
<b>NET INCOME</b>	<b>\$59,538.89</b>

# ECOM-ENERGY, Inc.

## STATEMENT OF CASH FLOWS

January - December 2016

	TOTAL
<b>OPERATING ACTIVITIES</b>	
Net Income	223,775.74
Adjustments to reconcile Net Income to Net Cash provided by operations:	
1200 Accounts Receivable	-57,362.50
2105 Citi VISA	15,242.91
2135 American Express	-7,044.12
2100 Payroll Liabilities	-1,013.26
2110 Direct Deposit Liabilities	0.00
2120 SEP IRA Contribution Payable	-8,357.45
2455 N/P Ally Bank-Denali	-41,483.81
<b>Total Adjustments to reconcile Net Income to Net Cash provided by operations:</b>	<b>-100,018.23</b>
<b>Net cash provided by operating activities</b>	<b>\$123,757.51</b>
<b>INVESTING ACTIVITIES</b>	
1500 Office Equipment & Furniture	0.00
1510 Vehicles	-139,520.55
1525 Accumulated Depreciation	67,140.00
<b>Net cash provided by investing activities</b>	<b>\$ -72,380.55</b>
<b>FINANCING ACTIVITIES</b>	
3000 Opening Bal Equity	0.00
3200 Member Distributions	-19,228.58
3900 Retained Earnings	-52,007.19
<b>Net cash provided by financing activities</b>	<b>\$ -71,235.77</b>
<b>NET CASH INCREASE FOR PERIOD</b>	<b>\$ -19,858.81</b>
Cash at beginning of period	36,726.19
<b>CASH AT END OF PERIOD</b>	<b>\$16,867.38</b>

# ECOM-ENERGY, Inc.

## STATEMENT OF CASH FLOWS

January - December 2017

	TOTAL
<b>OPERATING ACTIVITIES</b>	
Net Income	24,750.00
Adjustments to reconcile Net Income to Net Cash provided by operations:	
1200 Accounts Receivable	34,788.89
1300 Uncategorized Asset	0.00
1275 Suspense	179.67
2105 Citi VISA	-2,808.11
2100 Payroll Liabilities	425.26
2112 Payroll Liabilities:CA SUI / ETT	16.25
2114 Payroll Liabilities:Federal Unemployment (940)	393.65
2116 Payroll Liabilities:Federal Taxes (941/944)	-3,794.92
2118 Payroll Liabilities:CA PIT / SDI	0.00
2120 SEP IRA Contribution Payable	-16,642.54
2125 Bank Of America Line of Credit	-180.74
2235 Direct Deposit Payable	0.00
Payroll Liabilities:S-Corp Health Insurance	40,359.96
<b>Total Adjustments to reconcile Net Income to Net Cash provided by operations:</b>	<b>52,737.37</b>
<b>Net cash provided by operating activities</b>	<b>\$77,487.37</b>
<b>INVESTING ACTIVITIES</b>	
1500 Office Equipment & Furniture	-323.75
1520 Computer Equipment	-4,405.52
<b>Net cash provided by investing activities</b>	<b>\$ -4,729.27</b>
<b>FINANCING ACTIVITIES</b>	
3125 Member Distributions:Carlos Sr.	-48,830.42
3150 Member Distributions:Carlos II	-5,764.98
3200 Member Distributions	68,155.34
3900 Retained Earnings	-71,235.77
<b>Net cash provided by financing activities</b>	<b>\$ -57,675.83</b>
<b>NET CASH INCREASE FOR PERIOD</b>	<b>\$15,082.27</b>
Cash at beginning of period	16,867.38
<b>CASH AT END OF PERIOD</b>	<b>\$31,949.65</b>



## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **C. Applicant Financial Capability and Experience**

#### **Exhibit C-4 "Financial Arrangements"**

Not applicable.

Ecom-Energy of California, Inc. is not relying on any financial arrangements to conduct competitive retail natural gas service as a business activity in Ohio.

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **C. Applicant Financial Capability and Experience**

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

See enclosed for Ecom-Energy of California Inc.’s forecasted financial statements.

**Exhibit C-5 - Forecasted Financial Statements - Gas**

2018				
Revenues				
Q1	Q2	Q3	Q4	Total
\$949	\$949	\$949	\$949	\$3,796

Total Expenses
\$185

2019				
Revenues				
Q1	Q2	Q3	Q4	Total
\$949	\$949	\$949	\$835	\$3,682

Total Expenses
\$185

**Preparer Information**

Name: Carlos Lopez  
Address: 20746 Juniper Avenue Yorba Linda, CA 92886  
Email Address: [clopez2@ecom-energy.com](mailto:clopez2@ecom-energy.com)  
Telephone Number: (714) 485-4122

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **C. Applicant Financial Capability and Experience**

#### **Exhibit C-6 "Credit Rating"**

Not applicable.

Ecom-Energy of California, Inc. does not have a credit rating, nor does it have any parent or affiliate organizations that have a credit rating.

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **C. Applicant Financial Capability and Experience**

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

Not applicable.

Ecom-Energy of California, Inc. does not have a credit rating and therefore is unable to provide a credit report.

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **C. Applicant Financial Capability and Experience**

#### **Exhibit C-8 "Bankruptcy Information"**

Not applicable.

Ecom-Energy of California, Inc. has not issued bankruptcy filings of any kind.

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **C. Applicant Financial Capability and Experience**

#### **Exhibit C-9 "Merger Information"**

Not applicable.

Ecom-Energy of California, Inc. has not been involved in any dissolutions, mergers, or acquisitions within the five most recent years preceding this application.

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **C. Applicant Financial Capability and Experience**

#### **Exhibit C-10 "Corporate Structure"**

Ecom-Energy is a stand-alone entity with no affiliate or subsidiary companies.



## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **D. Applicant Technical Capability**

#### **Exhibit D-1 “Operations”**

Ecom-Energy of California, Inc.’s senior management average over 30 years of experience in the energy industry, with substantial healthcare, manufacturing, and industrial involvement. This experience results in highly effective operations that include the contracting of natural gas purchases for retail sales, the nomination and scheduling of retail natural gas for delivery, and the provision of retail ancillary services.

Ecom-Energy of California, Inc.’s key technical personnel bring CEP (Certified Energy Procurement Professional), REP (Renewable Energy Professional), and BEP (Business Energy Professional) designations that add operational expertise to its value proposition. These full-time professionals focus on specific business objectives that help meet operational goals. Challenging business targets are achieved in a productive office environment and flat organizational structure. Operations are streamlined via an open line of communication that includes ongoing meetings, conference calls, and in-house market updates. A transparent fee structure further improves efficiency by eliminating the red tape and customer mistrust found in comparable enterprises. Longstanding relationships with industry leaders allow Ecom-Energy of California, Inc. to operate at levels on par with much larger firms

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **D. Applicant Technical Capability**

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

Ecom-Energy of California, Inc. is certified, licensed, registered, or otherwise authorized to provide retail natural gas service or retail/wholesale electric services in the following jurisdictions:

California  
Texas  
Michigan  
Rhode Island  
Indiana  
Nevada  
Alabama  
Florida  
New Jersey  
Kansas  
Missouri  
Georgia

Additionally, Ecom-Energy of California, Inc.’s senior management average over 30 years of experience in the energy industry, with substantial healthcare, manufacturing, and industrial involvement. This experience allows Ecom-Energy of California, Inc. to assist more than 50 facilities nationwide in addressing industry-specific energy challenges. Its independent stance ensures that customers receive the best contract terms available in the market.

Furthermore, Ecom-Energy of California, Inc. is a strategic member of AEE (Association of Energy Engineers) and CSHE (California Society of Healthcare Engineers). Its key technical personnel bring CEP (Certified Energy Procurement Professional), REP (Renewable Energy Professional), and BEP (Business Energy Professional) designations that ensure operational and technical expertise.

## **Competitive Retail Natural Gas Brokers/Aggregators Renewal**

### **D. Applicant Technical Capability**

#### **Exhibit D-3 "Key Technical Personnel"**

**Name:** Carlos Lopez

**Title:** Principal

**Email Address:** clopez@ecom-energy.com

**Telephone:** 714-485-4117

**Background:** Mr. Lopez is Ecom-Energy of California, Inc.'s Principal. In this capacity, he is responsible for the development of the company's products and services, and for developing and implementing long-term strategic energy plans - including energy advisory, procurement, and management - as well as developing client relationships with national healthcare providers.

Prior to joining the Ecom-Energy of California, Inc. team, Mr. Lopez was responsible for developing and implementing integrated energy solutions for commercial, institutional, and industrial clients at NORESCO, an Equitable Resources Company. His responsibilities included orchestrating energy efficiency programs, including demand-side management, performance contracting, information services, and financial options.

Previously, Mr. Lopez was Manager, San Diego Region for AES New Energy. In this position, Mr. Lopez was responsible for working with clients to develop and implement energy initiatives associated with the deregulation of the electricity marketplace - including competitive direct access, distributed generation, and information technology.

Mr. Lopez has worked extensively with healthcare providers and is a member of the California Society of Healthcare Engineering (CSHE), where he has given numerous presentations and seminars on the deregulation of the electricity market in California.

**Name:** Carlos Lopez II

**Title:** Associate Principal

**Email Address:** clopez2@ecom-energy.com

**Telephone:** 714-485-4122

**Background:** Mr. Lopez II is Ecom-Energy of California, Inc.'s Associate Principal. In this role Mr. Lopez II is responsible for strategic development, oversight, and execution of Ecom-Energy of California, Inc.'s expansive products and services. Likewise, he maintains clientele relations with regular and comprehensive analyses of market trends and opportunities while aiding in the company's energy management strategies.

Carlos is a strategic member of CSHE (California Society of Healthcare Engineers) and AEE (Association of Energy Engineers), where he earned his CEP (Certified Energy Procurement Professional), REP (Renewable Energy Professional), and BEP (Business Energy Professional) designations.

Mr. Lopez II joins Ecom-Energy of California, Inc. after completing a Bachelor's in Business Administration and a Minor in Biblical Studies from Barclay College in Kansas. Prior to finishing his education, Carlos II was a Case Administrator at Judicate West, one of the leading

## Alternative Dispute Resolution firms in California.

**Name:** Ryan De La Cruz

**Title:** Director of Business Development

**Email Address:** rdelacruz@ecom-energy.com

**Telephone:** 714-882-5087

**Background:** Mr. De La Cruz is Ecom-Energy of California, Inc.'s Director of Business Development. In this position, Mr. De La Cruz is responsible for the expansion of Ecom-Energy of California, Inc.'s products and services. Similarly, he focuses on driving market and industry insight by utilizing Ecom-Energy of California, Inc.'s technical expertise in market trends, forecasts, and analyses. Lastly, Mr. De La Cruz manages clientele relations while offering the full suite of Ecom-Energy of California, Inc.'s offerings.

Mr. De La Cruz joins Ecom-Energy of California, Inc. after graduating cum laude with a Bachelor of Arts in Business Administration, Management from California State University, Fullerton. While obtaining his degree, Mr. De La Cruz earned membership to Beta Gamma Sigma and the Golden Key International Honor Society.

Prior to joining Ecom-Energy of California, Inc., Mr. De La Cruz was Principal of Omega Media - a marketing firm specializing in web design and development.

**Name:** Wesley Haugen

**Title:** Senior Project Manager

**Email Address:** whaugen@ecom-energy.com

**Telephone:** 714-485-4174

**Background:** Mr. Haugen is Ecom-Energy of California, Inc.'s Senior Project Manager. In this position, Mr. Haugen is responsible for overseeing the development and implementation of renewable energy projects. Specializing in finance and management, Mr. Haugen manages projects from detailed feasibility studies to complete interconnection and completion, with emphasis on development, economics, design, permitting, scheduling, and full installation. Mr. Haugen also provides client management and development support.

Mr. Haugen comes to Ecom-Energy of California, Inc. with over 15 years of experience in finance and commercial real estate. During his tenure, Mr. Haugen held assorted positions responsible for asset management protection, appraisal management, financial market review, policy creation, credit worthiness assistance, and was a California State Licensed Real Estate Agent, Real Estate Appraiser, and member of the Appraisal Institute.

Mr. Haugen attended California State University, Fullerton, earning a Bachelor of Arts in Business Administration with an emphasis on Finance.