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October 10, 2018

Public Utilities Commission of Ohio
Docketing Division
180 East Broad Street
Columbus, OH 43215-3793

Telephone: (614) 466-3016

**RE: I. C. Thomasson Associates' Renewal Certification License Application for
Aggregators/Power Brokers
Certificate Number 14-896E(1)
Case Number 14-1826-EL-AGG**

To Whom it May Concern:

Enclosed are one original and three copies of I. C. Thomasson Associates' (ICT) Renewal Certification License Application for Aggregators/Power Brokers and related attachments.

Please give me a call if you have any questions.

Sincerely,

I. C. Thomasson Associates, Inc.

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

Samuel E Bratton, P.E., CxA, LEED AP, EMP
Director – Energy Services Division

PUCO

2018 OCT 18 AM 11:53

RECEIVED-DOCKETING DIV

Enclosures: One (1) original application with attachments
Three (3) copies of the original application with attachments

This is to certify that the images appearing are an
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Technician DMW Date Processed 10/18/18



Public Utilities Commission

Original AGG Case Number	Version
14 - 1826 -EL-AGG	May 2016

RENEWAL APPLICATION FOR ELECTRIC AGGREGATORS/POWER BROKERS

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit C-10 Corporate Structure). All attachments should bear the legal name of the Applicant. Applicants should file completed applications and all related correspondence with the Public Utilities Commission of Ohio, Docketing Division; 180 East Broad Street, Columbus, Ohio 43215-3793.

This PDF form is designed so that you may input information directly onto the form. You may also download the form, by saving it to your local disk, for later use.

A. RENEWAL INFORMATION

A-1 Applicant intends to be certified as: (check all that apply)



Power Broker



Aggregator

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

Legal Name I. C. Thomasson Associates, Inc.

Address 2950 Kraft Drive, Suite 500, Nashville, TN 37204

PUCO Certificate # and Date Certified 14-896E(1) November 16, 2014

Telephone # (615) 346-3400 Web site address (if any) www.icthomasson.com

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

Legal Name I. C. Thomasson Associates, Inc.

Address 2950 Kraft Drive, Suite 500, Nashville, TN 37204

Telephone # (615) 346-3400 Web site address (if any) www.icthomasson.com

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

I. C. Thomasson Associates, Inc.

A-5 Contact person for regulatory or emergency matters

Name Samuel E. Bratton, P.E., CxA, LEED, AP

Title Director - Energy Services Division

Business address 2950 Kraft Drive, Suite 500, Nashville, TN 37204

Telephone # (615) 346-3400

Fax # (615) 346-3550

E-mail address ebratton@icthomasson.com

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

Name Samuel E. Bratton, P.E., CxA, LEED, AP
Title Director - Energy Services Division
Business address 2950 Kraft Drive, Suite 500, Nashville, TN 37204
Telephone # (615) 346-3400 Fax # (615) 346-3550
E-mail address ebratton@icthomasson.com

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

Customer Service address 2950 Kraft Drive, Suite 500, Nashville, TN 37204
Toll-free Telephone # (800) 467-6821 Fax # (615) 346-3550
E-mail address tbartlett@icthomasson.com

A-8 Applicant's federal employer identification number # 62-0721262

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

- | | |
|--|--|
| <input type="checkbox"/> Sole Proprietorship | <input type="checkbox"/> Partnership |
| <input type="checkbox"/> Limited Liability Partnership (LLP) | <input type="checkbox"/> Limited Liability Company (LLC) |
| <input checked="" type="checkbox"/> Corporation | <input type="checkbox"/> Other _____ |

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

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

B. APPLICANT MANAGERIAL CAPABILITY AND EXPERIENCE

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

B-1 Exhibit B-1 "Jurisdictions of Operation," provide a list of all jurisdictions in which the applicant or any affiliated interest of the applicant is, at the date of filing the application, certified, licensed, registered, or otherwise authorized to provide retail or wholesale electric services including aggregation services.

B-2 Exhibit B-2 "Experience & Plans," provide a description of the applicant's experience and plan for contracting with customers, providing contracted services, providing billing statements, and responding to customer inquiries and complaints in accordance with Commission rules adopted pursuant to Section 4928.10 of the Revised Code.

B-3 **Exhibit B-3 "Disclosure of Liabilities and Investigations,"** provide a description of all existing, pending or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or any other matter that could adversely impact the applicant's financial or operational status or ability to provide the services it is seeking to be certified to provide.

B-4 Disclose whether the applicant, a predecessor of the applicant, or any principal officer of the applicant have ever been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years.

☒ No ☐ Yes

If yes, provide a separate attachment labeled as **Exhibit B-4 "Disclosure of Consumer Protection Violations"** detailing such violation(s) and providing all relevant documents.

B-5 Disclose whether the applicant or a predecessor of the applicant has had any certification, license, or application to provide retail or wholesale electric service including aggregation service denied, curtailed, suspended, revoked, or cancelled within the past two years.

☒ No ☐ Yes

If yes, provide a separate attachment labeled as **Exhibit B-5 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation"** detailing such action(s) and providing all relevant documents.

C. FINANCIAL CAPABILITY AND EXPERIENCE

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

C-1 **Exhibit C-1 "Annual Reports,"** provide the two most recent Annual Reports to Shareholders. If applicant does not have annual reports, the applicant should provide similar information in Exhibit C-1 or indicate that Exhibit C-1 is not applicable and why. (This is generally only applicable to publicly traded companies who publish annual reports.)

C-2 **Exhibit C-2 "SEC Filings,"** provide the most recent 10-K/8-K Filings with the SEC. If the applicant does not have such filings, it may submit those of its parent company. An applicant may submit a current link to the filings or provide them in paper form. If the applicant does not have such filings, then the applicant may indicate in Exhibit C-2 that the applicant is not required to file with the SEC and why.

C-3 Exhibit C-3 “Financial Statements,” provide copies of the applicant’s two most recent years of audited financial statements (balance sheet, income statement, and cash flow statement). If audited financial statements are not available, provide officer certified financial statements. If the applicant has not been in business long enough to satisfy this requirement, it shall file audited or officer certified financial statements covering the life of the business. If the applicant does not have a balance sheet, income statement, and cash flow statement, the applicant may provide a copy of its two most recent years of tax returns (with social security numbers and account numbers redacted).

C-4 Exhibit C-4 “Financial Arrangements,” provide copies of the applicant's financial arrangements to conduct CRES as a business activity (e.g., guarantees, bank commitments, contractual arrangements, credit agreements, etc.).

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

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

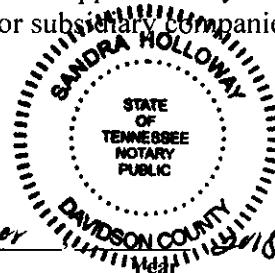
1. The applicant itself stating that it is investment grade rated by Moody’s, Standard & Poor’s or Fitch and provide evidence of rating from the rating agencies.
2. Have a parent company or third party that is investment grade rated by Moody’s, Standard & Poor’s or Fitch guarantee the financial obligations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


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

- C-5 **Exhibit C-5 "Forecasted Financial Statements,"** provide two years of forecasted income statements for the applicant's **ELECTRIC related business activities in the state of Ohio Only**, along with a list of assumptions, and the name, address, email address, and telephone number of the preparer. The forecasts should be in an annualized format for the two years succeeding the Application year.
- C-6 **Exhibit C-6 "Credit Rating,"** provide a statement disclosing the applicant's credit rating as reported by two of the following organizations: Duff & Phelps, Fitch IBCA, Moody's Investors Service, Standard & Poor's, or a similar organization. In instances where an applicant does not have its own credit ratings, it may substitute the credit ratings of a parent or an affiliate organization, provided the applicant submits a statement signed by a principal officer of the applicant's parent or affiliate organization that guarantees the obligations of the applicant. If an applicant or its parent does not have such a credit rating, enter "N/A" in Exhibit C-6.
- C-7 **Exhibit C-7 "Credit Report,"** provide a copy of the applicant's credit report from Experion, 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.

 - PRES.
Signature of Applicant & Title

Sworn and subscribed before me this 10th day of October 2018
Month




Signature of official administering oath

Sandra Holloway Accounting Assistant
Print Name and Title

My commission expires on July 8, 2019

AFFIDAVIT

State of Tennessee :

Nashville ss.
(Town)

County of Davidson :

Joseph J. Wimberly, IV, Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/She is the President (Office of Affiant) of I. C. Thomasson Associates, Inc. (Name of Applicant);

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

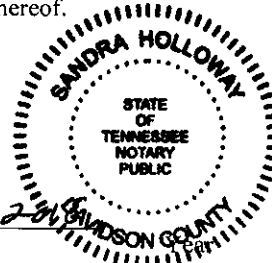
1. The Applicant herein, attests under penalty of false statement that all statements made in the application for certification renewal are true and complete and that it will amend its application while the application is pending if any substantial changes occur regarding the information provided in the application.
2. The Applicant herein, attests it will timely file an annual report with the Public Utilities Commission of Ohio of its intrastate gross receipts, gross earnings, and sales of kilowatt-hours of electricity pursuant to Division (A) of Section 4905.10, Division (A) of Section 4911.18, and Division (F) of Section 4928.06 of the Revised Code.
3. The Applicant herein, attests that it will timely pay any assessments made pursuant to Sections 4905.10, 4911.18, or Division F of Section 4928.06 of the Revised Code.
4. The Applicant herein, attests that it will comply with all Public Utilities Commission of Ohio rules or orders as adopted pursuant to Chapter 4928 of the Revised Code.
5. The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, and its Staff on any utility matter including the investigation of any consumer complaint regarding any service offered or provided by the Applicant.
6. The Applicant herein, attests that it will fully comply with Section 4928.09 of the Revised Code regarding consent to the jurisdiction of Ohio Courts and the service of process.
7. The Applicant herein, attests that it will use its best efforts to verify that any entity with whom it has a contractual relationship to purchase power is in compliance with all applicable licensing requirements of the Federal Energy Regulatory Commission and the Public Utilities Commission of Ohio.
8. The Applicant herein, attests that it will comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
9. The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, the electric distribution companies, the regional transmission entities, and other electric suppliers in the event of an emergency condition that may jeopardize the safety and reliability of the electric service in accordance with the emergency plans and other procedures as may be determined appropriate by the Commission.
10. If applicable to the service(s) the Applicant will provide, the Applicant herein, attests that it will adhere to the reliability standards of (1) the North American Electric Reliability Council (NERC), (2) the appropriate regional reliability council(s), and (3) the Public Utilities Commission of Ohio. (Only applicable if pertains to the services the Applicant is offering)

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

That the facts above set forth are true and correct to the best of his/her knowledge, information, and belief and that he/she expects said Applicant to be able to prove the same at any hearing hereof.

[Signature] PRES
Signature of Affiant & Title

Sworn and subscribed before me this 10th day of October, 2018
Month



Sandra Holloway
Signature of official administering oath

Sandra Holloway
Accounting Assistant
Print Name and Title

My commission expires on July 5, 2019

Section A
“Applicant Information and Services”

Exhibit A-10
**“Principal Officers, Directors &
Partners”**

PUBLIC UTILITIES COMMISSION OF OHIO

Renewal Certification License Application for Aggregators/Power
Brokers

I. C. Thomasson Associates ("ICT")

OFFICERS AND BOARD OF DIRECTORS

Individuals that directly own ten percent (10%) or more of the ownership interests
in ICT

1. Name: Joseph J. Wimberly IV
 Title: President / CEO, Board of Directors (since 1996)
 Address: 2950 Kraft Drive, Suite 500
 Nashville, TN 37204
 (615) 346-3400

2. Name: William T. Tinnell
 Title: COO / Treasurer, Board of Directors (since 1996)
 Address: 2950 Kraft Drive, Suite 500
 Nashville, TN 37204
 (615) 346-3400

3. Name: J. Cliff Harville
 Title: Senior Vice President, Board of Directors (since 1996)
 Address: 2950 Kraft Drive, Suite 500
 Nashville, TN 37204
 (615) 346-3400

4. Name: Barry N. Beck
 Title: Vice President / Secretary, Board of Directors (since 2014)
 Address: 2950 Kraft Drive, Suite 500
 Nashville, TN 37204
 (615) 346-3400

Section B
**“Applicant Managerial Capability
and Experience”**

Exhibit B-1
“Jurisdictions of Operation”

PUBLIC UTILITIES COMMISSION OF OHIO**Renewal Certification License Application for Aggregators/Power Brokers****I. C. Thomasson Associates ("ICT")**

ICT is licensed and has provided or is actively providing natural gas aggregator, broker and/or consulting services in the following States:

- | | |
|---|---|
| 1. District of Columbia
(License No. GA-2014-17-5) | 5. New Jersey
(Energy Agent No. EA-0419)
(Private Aggregator No. PA-0194) |
| 2. Maine
(Docket No. 99-334) | 6. Ohio
(License # 14-397G(1)) |
| 3. Maryland
(License No. IR-1446) | 7. Pennsylvania
(Docket No. A-2009-2126847) |
| 4. Massachusetts
(License No. RA-031) | 8. Virginia
(License No. G-28)
(Aggregator No. A-31) |

ICT is licensed and has provided or is actively providing electricity aggregator, broker and/or consulting services in the following States:

- | | |
|--|---|
| 1. Connecticut
(Docket # 10-07-01) | 7. Massachusetts
(License No. EB-156) |
| 2. District of Columbia
(License No. EA-2014-29-5) | 8. New Jersey
(Energy Agent No. EA-0419)
(Private Aggregator No. PA-0194) |
| 3. Delaware
(Order No. 7675)
(Docket No. 09-419) | 9. Ohio
(License # 14-896E(1)) |
| 4. Illinois
(Order No. 10-0268) | 10. Pennsylvania
(Docket No. A-2009-2130214) |
| 5. Maine
(Docket No. 2008-126) | 11. Texas
(Registration # 80354) |
| 6. Maryland
(License No. IR-1445) | 12. Virginia
(License No. E-24)
(Aggregator No. A-31) |

In addition to the licenses stated, ICT retains Professional Engineering licenses in 50 states, the District of Columbia, and 2 Canadian Provinces.

Exhibit B-2
“Experience & Plans”

PUBLIC UTILITIES COMMISSION OF OHIO

Renewal Certification License Application for Aggregators/Power Brokers

I. C. Thomasson Associates ("ICT")

ICT has provided energy and engineering consulting services for over 75 years. ICT Energy Program, Marketing Methods, Contracting Methods, and manner of addressing inquiries and complaints are described below.

A. Program Description

ICT utilize a methodical Request-for-Proposal ("RFP") process, conducted in a collaborative manner with our customers, to obtain competitive bids from licensed energy suppliers. The process is conducted in two phases:

- Phase 1 – Assess the current energy supply contract obligations, future energy supply requirements, and current market opportunities
- Phase 2 – Competitively source future energy supply requirements

On Bid Day, ICT prepares and provides our customer with a Bid Evaluation Report ("BER") listing all bids as received from energy suppliers. ICT then reviews the BER with our customer and the customer selects the preferred supplier and bid. Following the customer's decision, ICT manages the execution of the energy supply contract between the client and the supplier.

B. Marketing Methods

ICT markets our services at educational seminars and trade association meetings. ICT also secures business as a sub-consultant through engineering consulting firms and management consulting firms.

C. Contracting Methods

Customers compensate ICT for our services through a Fixed Fee, usually paid on a progressive billing basis, or through an Administration Fee, which is paid by the supplier over the term of the contract. ICT Administration Fee will be transparent to the Customer.

All energy supply contracts will be directly between the customer and supplier. Therefore, the supplier's monthly invoices will be sent directly to the customer and the customer will pay the supplier directly. ICT will never be a "middleman" between the two parties and, as a result, ICT will never take title to the energy.

D. Customer Inquiries and Complaints

ICT's Account Manager's and Corporate office phone numbers and email addresses are provided to all customers. Customers can communicate inquiries or complaints through their Account Manager and/or directly with the ICT Corporate office. Inquiries or complaints may be communicated by phone, letter, or email. An ICT Associate will acknowledge receipt of an inquiry or complaint within 48 hours. The length of time required to fully address any inquiry or complaint will be dependent on the complexity of the inquiry or complaint. However, the desired completion timeline will be discussed and approved by the Customer early in the process.

Exhibit B-3

**“Disclosure of Liabilities and
Investigations”**

PUBLIC UTILITIES COMMISSION OF OHIO

**Renewal Certification License Application for Aggregators/Power
Brokers**

I. C. Thomasson Associates ("ICT")

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

Section C
**“Applicant Financial Capability
and Experience”**

Exhibit C-1
“Annual Reports”

PUBLIC UTILITIES COMMISSION OF OHIO

Renewal Certification License Application for Aggregators/Power
Brokers

I. C. Thomasson Associates ("ICT")

Exhibit C-1 is not applicable to ICT, since we do not prepare annual reports for Shareholders.

Exhibit C-2
“SEC Filings”

PUBLIC UTILITIES COMMISSION OF OHIO

Renewal Certification License Application for Aggregators/Power Brokers

I. C. Thomasson Associates ("ICT")

ICT is a private, employee-owned consulting firm and, therefore, is not required to provide a 10-K/8-K report with the SEC. Thus, Exhibit C-2 is not applicable to ICT.

Exhibit C-4
“Financial Arrangements”

PUBLIC UTILITIES COMMISSION OF OHIO

Renewal Certification License Application for Aggregators/Power Brokers

I. C. Thomasson Associates ("ICT")

Exhibit C-4 is not applicable to ICT. ICT provides energy supply consulting services to clients but never takes title to or receives payment directly from customers for energy consumed. Therefore, ICT is not required to develop financial arrangements to conduct competitive retail electric services as a business activity.

Exhibit C-6
“Credit Rating”

PUBLIC UTILITIES COMMISSION OF OHIO

Renewal Certification License Application for Aggregators/Power Brokers

I. C. Thomasson Associates ("ICT")

ICT credit rating from Dun & Bradstreet is a 3A2, included in Exhibit C-7 in the Dun & Bradstreet Credibility Corp report, page 8. ICT only has one credit rating.

Exhibit C-8
“Bankruptcy Information”

PUBLIC UTILITIES COMMISSION OF OHIO

Renewal Certification License Application for Aggregators/Power
Brokers

I. C. Thomasson Associates ("ICT")

ICT has not had and there are no expectations to have any reorganizations, protection for creditors, or any other form of bankruptcy filings.

Exhibit C-9
“Merger Information”

PUBLIC UTILITIES COMMISSION OF OHIO

Renewal Certification License Application for Aggregators/Power
Brokers

I. C. Thomasson Associates ("ICT")

ICT has not had any dissolution, merger, or acquisition within the two most recent years preceding this application. In addition, ICT does not plan to have any dissolution, merger, or acquisition in the near future.

Exhibit C-10
“Corporate Structure”

PUBLIC UTILITIES COMMISSION OF OHIO

**Renewal Certification License Application for Aggregators/Power
Brokers**

I. C. Thomasson Associates ("ICT")

Exhibit C-10 is not applicable to ICT, since ICT is a stand-alone entity with no affiliate or subsidiary companies.