

FILE

18-1613-EL-AGG



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|---------------|-------------|----------|
| Date Received | Case Number | Version |
| | EL-AGG | May 2016 |

INITIAL CERTIFICATION APPLICATION FOR ELECTRIC AGGREGATORS/ POWER BROKERS

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit A-12 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 input information directly onto the form.
You may also download the form, by saving it to your local disk, for later use.

A. APPLICANT 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 and web site address

Legal Name Solarstone Limited
Address 2246 West 5th Street, Cleveland, OH 44113
Telephone # 4405676108 Web site address (if any) _____

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

Legal Name Solarstone Limited
Address 2246 West 5th Street, Cleveland, OH 44113
Telephone # 4405676108 Web site address (if any) _____

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

Solarstone Limited

A-5 Contact person for regulatory or emergency matters

Name Dan Cook
Title CEO

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 MMM Date Processed 10/26/18

2018 OCT 26 PM 3:21

RECEIVED-DOCKETING DIV

PUCO

Business address 2246 West 5th Street, Cleveland, OH 44113
Telephone # 4405676108 Fax # _____
E-mail address dcsend1@gmail.com

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

Name Dan Cook
Title CEO
Business address 2246 West 5th Street, Cleveland, OH 44113
Telephone # 4405676108 Fax # _____
E-mail address dcsend1@gmail.com

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

Customer Service address 2246 West 5th Street, Cleveland, OH 44113
Toll-free Telephone # 4405676108 Fax # _____
E-mail address dcsend1@gmail.com

A-8 Applicant's federal employer identification number # 81-5314360

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 type="checkbox"/> Corporation | <input type="checkbox"/> Other _____ |

A-10 (Check all that apply) Identify each electric distribution utility certified territory in which the applicant intends to provide service, including identification of each customer class that the applicant intends to serve, for example, residential, small commercial, mercantile commercial, and industrial. (A mercantile customer, as defined in (A) (19) of Section 4928.01 of the Revised Code, is a commercial customer who consumes more than 700,000 kWh/year or is part of a national account in one or more states).

- | | | | | |
|--|--------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|
| <input type="checkbox"/> First Energy | | | | |
| <input type="checkbox"/> Ohio Edison | <input type="checkbox"/> Residential | <input type="checkbox"/> Commercial | <input type="checkbox"/> Mercantile | <input type="checkbox"/> Industrial |
| <input type="checkbox"/> Toledo Edison | <input type="checkbox"/> Residential | <input type="checkbox"/> Commercial | <input type="checkbox"/> Mercantile | <input type="checkbox"/> Industrial |
| <input type="checkbox"/> Cleveland Electric Illuminating | <input type="checkbox"/> Residential | <input type="checkbox"/> Commercial | <input type="checkbox"/> Mercantile | <input type="checkbox"/> Industrial |
| <input type="checkbox"/> Duke Energy | <input type="checkbox"/> Residential | <input type="checkbox"/> Commercial | <input type="checkbox"/> Mercantile | <input type="checkbox"/> Industrial |
| <input type="checkbox"/> Monongahela Power | <input type="checkbox"/> Residential | <input type="checkbox"/> Commercial | <input type="checkbox"/> Mercantile | <input type="checkbox"/> Industrial |
| <input type="checkbox"/> American Electric Power | | | | |
| <input type="checkbox"/> Ohio Power | <input type="checkbox"/> Residential | <input type="checkbox"/> Commercial | <input type="checkbox"/> Mercantile | <input type="checkbox"/> Industrial |
| <input type="checkbox"/> Columbus Southern Power | <input type="checkbox"/> Residential | <input type="checkbox"/> Commercial | <input type="checkbox"/> Mercantile | <input type="checkbox"/> Industrial |
| <input type="checkbox"/> Dayton Power and Light | <input type="checkbox"/> Residential | <input type="checkbox"/> Commercial | <input type="checkbox"/> Mercantile | <input type="checkbox"/> Industrial |

- A-11** Provide the approximate start date that the applicant proposes to begin delivering services
7/1/2019

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

- A-12** **Exhibit A-12 "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-13** **Exhibit A-13 "Company History,"** provide a concise description of the applicant's company history and principal business interests.
- A-14** **Exhibit A-14 "Articles of Incorporation and Bylaws,"** if applicable, provide the articles of incorporation filed with the state or jurisdiction in which the Applicant is incorporated and any amendments thereto.
- A-15** **Exhibit A-15 "Secretary of State,"** provide evidence that the applicant has registered with the Ohio Secretary of the State.

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 "Summary of Experience,"** provide a concise summary of the applicant's experience in providing aggregation service(s) including contracting with customers to combine electric load and representing customers in the purchase of retail electric services. (e.g. number and types of customers served, utility service areas, amount of load, etc.).

B-4 **Exhibit B-4 "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-5 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-5 "Disclosure of Consumer Protection Violations"** detailing such violation(s) and providing all relevant documents.

B-6 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-6 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation"** detailing such action(s) and providing all relevant documents.

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 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 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 **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.

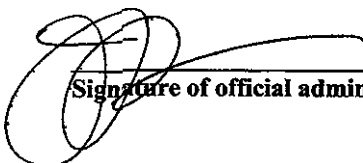
- C-6 Exhibit C-6 "Credit Rating,"** provide a statement disclosing the applicant's credit rating as reported by two of the following organizations: Duff & Phelps, Dun and Bradstreet Information Services, Fitch IBCA, Moody's Investors Service, Standard & Poors, or a similar organization. In instances where an applicant does not have its own credit ratings, it may substitute the credit ratings of a parent or affiliate organization, provided the applicant submits a statement signed by a principal officer of the applicant's parent or affiliate organization that guarantees the obligations of the applicant. 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.

 CEO
Signature of Applicant & Title

JOHN J. FAHSBENDER, Atty.
NOTARY PUBLIC • STATE OF OHIO
My commission has no expiration date
Section 147.03 O.R.C.

Sworn and subscribed before me this 12th day of October, 2018

Month Year


Signature of official administering oath

Print Name and Title

My commission expires on _____

AFFIDAVIT

State of OHIO :

CLAYTON ss.
(Town)

County of CUYAHOGA

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

He/She is the CEO (Office of Affiant) of Solarstone Ltd (Name of Applicant);

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

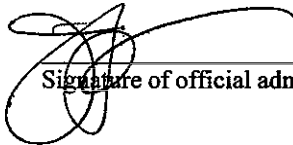
1. The Applicant herein, attests under penalty of false statement that all statements made in the application for certification are true and complete and that it will amend its application while the application is pending if any substantial changes occur regarding the information provided in the application.
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 comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
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 application within 30 days of such material change, including any change in contact person for regulatory purposes or contact person for Staff use in investigating customer complaints.

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

 CEO
Signature of Affiant & Title

Sworn and subscribed before me this 12th day of October, 2018
Month Year


Signature of official administering oath

Print Name and Title

My commission expires on _____

JOHN J. FAHSBENDER, Atty.
NOTARY PUBLIC • STATE OF OHIO
My commission has no expiration date
Section 147.03 O.R.C.

Exhibit A-12 “Principal Officers, Directors & Partners”

Dan Cook, CEO

6107 St. Clair Ave., Apt 3

Cleveland, OH 44103

Phone: 440-567-6108

Exhibit A-13 “Company History”

Solarstone Limited was founded in 2018 as an Ohio Limited Liability Company. The proper documents were filed with the Ohio Secretary of State on 6/15/2018. The company was founded in order to broker and aggregate residential electricity in the retail electricity markets in Ohio. The primary interest of the business is to engage in commercial activity related to electricity at the level of the end user.

Exhibit A-14 “Articles of Incorporation and Bylaws”

As a single member LLC incorporated in Ohio this exhibit is not applicable.

Exhibit A-15 “Secretary of State”

Please see the following documents provided in **Appendix A “Exhibit A-15”**

Exhibit B-1 "Jurisdictions of Operations"

Solarstone Limited is not currently filing for, certified, licensed, registered, or otherwise authorized to provide retail or wholesale electric services including aggregation services in any other jurisdiction other than the current application being submitted to the Public Utilities Commission of Ohio.

Exhibit B-2 "Experience & Plans"

Solarstone Limited plans to conduct business with customers according to Section 4928.10 of the Ohio Revised Code. The applicable code has been provided in **Appendix B** "Minimum Service Requirements for Competitive Services" for reference.

In summary, Solarstone will disclose the appropriate price per watt of electricity in the bill provided to the customer. The contract will disclose pricing, terms and conditions of service, as well as any fees related to switching or failures to uphold the contract. Disclosure in the contract will also provide conditions under which the customer can remove themselves from the contract without penalty, including provisions for service termination and the related penalties or notices involved.

The minimum content of bills provided to customers will include standardized statements for billing period, units, and annual electricity usage. The bill will be broken into appropriate service periods and units in order for the customer to recalculate balances provided in the bill. Suppliers of electricity services will subsequently be identified and disclosed in order to aid convenience and accuracy. A standardized statement for payment is as follows:

"Payment may be made by check, credit card, or ACH made out to 'Solarstone Limited' located at (billing address)."

A standardized statement for toll free customer service is as follows:

"Inquiries can be made by phone between the hours of 9 am to 5 pm at the following number: (business phone)."

State agency phone number listings will also be included as follows:

"PUCO – (800) 686-7826"

"Ohio Attorney General's Office – (614)-466-4986"

Penalties for early termination will be disclosed. Additionally, the energy mix, including the environmental impact and usage breakdown will be included for the benefit of the customer. The generation mix will be disclosed annually and will be provided before renewal of any contract.

Exhibit B-3 "Summary of Experience"

Dan Cook, CEO of Solarstone was a series 3 licensed commodities risk manager at Black Hawk Resources for one year (see resume provided in **Appendix C**). At Black Hawk Resources Ltd., Dan brokered electricity and natural gas for commercial clients in Cincinnati (via Duke Energy) and Chicago. The customers included a steel rebar manufacturer and a primary/secondary steel mill. Both clients were in the PJM interconnection. The exact load of electricity brokered cannot be recalled. At the scale of usage, annual energy bills were in excess of ~\$250,000. Black Hawk Resource Ltd. is a registered aggregator and

broker in the State of Ohio and Dan has familiarity with both pricing and brokerage with generators and distributors in the deregulated markets in Ohio and other areas of the PJM interconnection. Please see attachments in **Appendix C** for reference to past experience and employer credential.

Exhibit B-4 “Disclosures of Liabilities and Investigations”

There are currently no existing, pending or past rulings, judgments, contingent liabilities, revocations of authority, regulatory investigations, or any other matters 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.

Exhibit C-1 “Annual Reports”

There are currently no requirements to file annual reports to shareholders. Solarstone limited is not a publicly traded company. Solarstone Limited is a single member LLC incorporated solely in the state of Ohio and the requirement to file the aforementioned annual reports is not applicable.

Exhibit C-2 “SEC Filings”

Solarstone Limited is not required to file with the SEC because it is not a publicly traded company. The company is a single member LLC incorporated solely in the state of Ohio and will not be currently conducting any business that falls under the jurisdiction of the SEC that would require filing.

Exhibit C-3 “Financial Statements”

Please see **Appendix D** for financial statements. In lieu of company history and business tax returns, personal tax returns have been provided.

Exhibit C-4 “Financial Arrangements”

N/A

Solarstone Limited will not be taking title to any electricity. The purpose of this application is for aggregation and brokering only.

Exhibit C-5 “Forecasted Financial Statements”

Please see **Table 1** below for 2019 and 2020 projections.

The income statements for 2019 include assumptions of \$.10/kwh average electricity price at the retail level. With household usage of 12,000 kwh/year and a fee structure of 10%, commissions received total \$120 annually per household. Within this structure roughly 50 households are required to participate to achieve retail revenue projections of \$6,000. At the commercial level, with rate assumptions of \$.07/kwh and 12,000 kwh/month capacity per account, at a 10% commission structure, projected revenue received is \$14,112 spread across 14 commercial customers. Assumptions for usage between residential and commercial accounts is expected to be mixed between 70% commercial and 30% residential in the first year. Net income for the year is projected at \$4,978.

2020 assumptions include developed sales support, on a commission basis of 30%, in order to increase revenue. Pricing assumptions per kwh remain the same throughout the year. The mix of accounts will shift to 40% residential by the end of year 2, with an increase in usage across roughly 300 households responsible for \$36,000 in annual revenue. A mix of 40% residential and 60% commercial is projected with commercial customers totaling roughly 64 accounts responsible for \$64,512 in revenue. Net income for the year is projected at \$26,358.

In both years, rent remains constant at \$500/month including facilities for administrative support for 2-3 individuals. Income tax assumptions were factored in at a rate of 30%. Marketing costs will continue to rise as territory expansion develops.

Table 1

| | 2019 | 2020 |
|---------------------------|------------|------------|
| Revenues | \$ 20,000 | \$100,000 |
| Residential | \$6,000 | \$36,000 |
| Commercial | \$14,112 | \$64,512 |
| Cost of Sales | - | \$(30,000) |
| Gross Profit | \$20,112 | \$70,512 |
| SG&A | \$(3,000) | \$(20,000) |
| Operating Profit | \$17,112 | \$50,512 |
| Expenses | \$(12,134) | \$(24,154) |
| Marketing | \$(1,000) | \$(3,000) |
| Rent | \$(6,000) | \$(6,000) |
| Income tax expense | \$(5,134) | \$(15,154) |
| Net income | \$4,978 | \$26,358 |

Exhibit C-6 “Credit Rating”

N/A

Solarstone Limited does not have a credit rating applicable to this step.

Exhibit C-7 “Credit Report”

Please see **Appendix E**. In lieu of a business credit report, a personal credit report has been provided.

Exhibit C-8 “Bankruptcy Information”

Solarstone Limited has not had any reorganizations, protections from creditors, or any other form of bankruptcy filings made by the applicant, a parent or affiliate, or any other guarantor of the applicant or its officers.

Exhibit C-9 “Merger Information”

There have been no dissolutions, mergers, or acquisitions by the applicant.

Exhibit C-10 “Corporate Structure”

Solarstone Limited is a single member LLC incorporated in the state of Ohio and is a standalone entity with no subsidiaries. The ownership interests of Solarstone Limited are filed under Solarity Events Limited, an Ohio LLC that is a standalone entity and single member LLC.

Appendix A

Exhibit A-15

"Secretary of State"



| DATE | DOCUMENT ID | DESCRIPTION | FILING | EXPED | CERT | COPY |
|------------|--------------|--|--------|-------|------|------|
| 06/15/2018 | 201816601174 | DOMESTIC FOR PROFIT LLC - ARTICLES OF ORG (LCP) | 99.00 | 0.00 | 0.00 | 0.00 |

Receipt

This is not a bill. Please do not remit payment.

DANIEL J COOK
2246 WEST 5TH STREET
CLEVELAND, OH 44113

STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Jon Husted
4196826

It is hereby certified that the Secretary of State of Ohio has custody of the business records for
SOLARSTONE LIMITED

and, that said business records show the filing and recording of:

Document(s)

DOMESTIC FOR PROFIT LLC - ARTICLES OF ORG
Effective Date: 06/15/2018

Document No(s):

201816601174

United States of America
State of Ohio
Office of the Secretary of State

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

Ohio Secretary of State

Form 533A Prescribed by:

Date Electronically Filed: 6/15/2018

JON HUSTED
Ohio Secretary of State



Toll Free: (877) SOS-FILE (877-767-3453) | Central Ohio: (614) 466-3910
www.OhioSecretaryofState.gov | busserv@OhioSecretaryofState.gov
 File online or for more information: www.OHBusinessCentral.com

For screen readers, follow instructions located at this path.

Articles of Organization for a Domestic Limited Liability Company

Filing Fee: \$99

Form Must Be Typed

CHECK ONLY ONE (1) BOX

- (1) Articles of Organization for Domestic
☒ For-Profit Limited Liability Company
 (115-LCA)

- (2) Articles of Organization for Domestic
☐ Nonprofit Limited Liability Company
 (115-LCA)

Name of Limited Liability Company **SOLARSTONE LIMITED**

(Name must include one of the following words or abbreviations:
 "limited liability company," "limited," "LLC," "L.L.C.," "Ltd.," or "Ltd.")

Optional: Effective Date (MM/DD/YYYY) **6/15/2018**

(The legal existence of the corporation begins upon the filing of the articles or on a later date specified that is not more than ninety days after filing.)

Optional: This limited liability company shall exist for

Period of Existence

Optional: Purpose

** Note for Nonprofit LLCs

The Secretary of State does not grant tax exempt status. Filing with our office is not sufficient to obtain state or federal tax exemptions. Contact the Ohio Department of Taxation and the Internal Revenue Service to ensure that the nonprofit limited liability company secures the proper state and federal tax exemptions. These agencies may require that a purpose clause be provided. **

Original Appointment of Statutory Agent

The undersigned authorized member(s), manager(s) or representative(s) of

SOLARSTONE LIMITED

(Name of Limited Liability Company)

hereby appoint the following to be Statutory Agent upon whom any process, notice or demand required or permitted by statute to be served upon the corporation may be served. The complete address of the agent is:

SOLARITY EVENTS LIMITED

(Name of Statutory Agent)

2246 WEST 5TH STREET

(Mailing Address)

CLEVELAND

(Mailing City)

OH

(Mailing State)

44113

(Mailing ZIP Code)

Acceptance of Appointment

The Undersigned, SOLARITY EVENTS LIMITED, named herein as the
(Name of Statutory Agent)

Statutory agent for SOLARSTONE LIMITED
(Name of Limited Liability Company)

hereby acknowledges and accepts the appointment of statutory agent for said limited liability company.

Statutory Agent Signature DANIEL COOK

(Individual Agent's Signature / Signature on Behalf of Business Serving as Agent)

By signing and submitting this form to the Ohio Secretary of State, the undersigned hereby certifies that he or she has the requisite authority to execute this document.

Required

Articles and original appointment of agent must be signed by a member, manager or other representative.

If the authorized representative is an individual, then they must sign in the "signature" box and print his/her name in the "Print Name" box.

If the authorized representative is a business entity, not an individual, then please print the entity name in the "signature" box, an authorized representative of the business entity must sign in the "By" box and print his/her name and title/authority in the "Print Name" box.

DANIEL COOK

Signature

By (if applicable)

Print Name

Signature

By (if applicable)

Print Name

Signature

By (if applicable)

Print Name

Business Details

| | | | |
|-----------------|------------------------------------|----------------|--------------------|
| #: | 4196826 | Business Name: | SOLARSTONE LIMITED |
| Type: | DOMESTIC LIMITED LIABILITY COMPANY | Status: | Active |
| al Filing Date: | 06/15/2018 | Exp. Date: | - |
| on: | - | | |

NT/REGISTRANT INFORMATION

SOLARITY EVENTS LIMITED
2246 WEST 5TH STREET
CLEVELAND OH 44113
06/15/2018
Active

ORPORATOR INFORMATION

DANIEL COOK

NGS

| ype | Date of Filing | Document ID | Download Image to PDF |
|---|----------------|--------------|--------------------------------|
| ES OF ORGNZTN/DOM. PROFIT LIM.LIAB. CO. | 06/15/2018 | 201816601174 | Download Image |

Appendix B

Exhibit B-2

"Experience & Plans"

"Minimum Service Requirements

For Competitive Services"

4928.10 Minimum service requirements for competitive services.

For the protection of consumers in this state, the public utilities commission shall adopt rules under division (A) of section 4928.06 of the Revised Code specifying the necessary minimum service requirements, on or after the starting date of competitive retail electric service, of an electric utility, electric services company, electric cooperative, or governmental aggregator subject to certification under section 4928.08 of the Revised Code regarding the provision directly or through its billing and collection agent of competitive retail electric services for which it is subject to certification. Rules adopted under this section shall include a prohibition against unfair, deceptive, and unconscionable acts and practices in the marketing, solicitation, and sale of such a competitive retail electric service and in the administration of any contract for service, and also shall include additional consumer protections concerning all of the following:

(A) Contract disclosure. The rules shall include requirements that an electric utility, electric services company, electric cooperative, or governmental aggregator subject to certification under section 4928.08 of the Revised Code do both of the following:

(1) Provide 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;

(2) Disclose the conditions under which a customer may rescind a contract without penalty.

(B) Service termination. The rules shall include disclosure of the terms identifying how customers may switch or terminate service, including any required notice and any penalties.

(C) Minimum content of customer bills. The rules shall include all of the following requirements, which shall be standardized:

(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 recalculate 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 consumers' counsel, and the attorney general's office, with the available hours noted;

(5) Other than for the first billing after the starting date of competitive retail electric service, highlighting and clear explanation on each customer bill, for two consecutive billing periods, of any changes in the rates, terms, and conditions of service.

(D) Disconnection and service termination, including requirements with respect to master-metered buildings. The rules shall include policies and procedures that are consistent with sections 4933.121 and 4933.122 of the Revised Code and the commission's rules adopted under those sections, and that provide for all of the following:

- (1) Coordination between suppliers for the purpose of maintaining service;
 - (2) The allocation of partial payments between suppliers when service components are jointly billed;
 - (3) A prohibition against blocking, or authorizing the blocking of, customer access to a noncompetitive retail electric service when a customer is delinquent in payments to the electric utility or electric services company for a competitive retail electric service;
 - (4) A prohibition against switching, or authorizing the switching of, a customer's supplier of competitive retail electric service without the prior consent of the customer in accordance with appropriate confirmation practices, which may include independent, third-party verification procedures.
 - (5) A requirement of disclosure of the conditions under which a customer may rescind a decision to switch its supplier without penalty;
 - (6) Specification of any required notice and any penalty for early termination of contract.
- (E) Minimum service quality, safety, and reliability. However, service quality, safety, and reliability requirements for electric generation service shall be determined primarily through market expectations and contractual relationships.
- (F) Generation resource mix and environmental characteristics of power supplies. The rules shall include requirements for determination of the approximate generation resource mix and environmental characteristics of the power supplies and disclosure to the customer prior to the customer entering into a contract to purchase and four times per year under the contract. The rules also shall require that the electric utility, electric services company, electric cooperative, or governmental aggregator provide, or cause its billing and collection agent to provide, a customer with standardized information comparing the projected, with the actual and verifiable, resource mix and environmental characteristics. This disclosure shall occur not less than annually or not less than once during the contract period if the contract period is less than one year, and prior to any renewal of a contract.
- (G) Customer information. The rules shall include requirements that the electric utility, electric services company, electric cooperative, or governmental aggregator make generic customer load pattern information available to other electric light companies on a comparable and nondiscriminatory basis, and make customer-specific information available to other electric light companies on a comparable and nondiscriminatory basis unless, as to customer-specific information, the customer objects. The rules shall ensure that each such utility, company, cooperative, or aggregator provide clear and frequent notice to its customers of the right to object and of applicable procedures. The rules shall establish the exact language that shall be used in all such notices.

Effective Date: 10-05-1999 .

Appendix C

Exhibit B-3

"Summary of Experience"

Resume and Former Employer Certification

Daniel J. Cook

440-567-6108 ~ dcsend1@gmail.com

EXPERIENCE

VNTG Home | Cleveland, Ohio

Summer 2018-Present

Chief of Finance & Operations

- 2nd year furniture and transitional real estate services start up, managing 25-person organization with \$1.5 million/year in revenue split between retail and services channels. Responsible for all areas of financial management and operations.
- Restructured the organization- 7 fired, 3 laid off, hired on new talent throughout the business accompanied by new systems.

PNC Financial Services | Cleveland, Ohio

Spring 2018-Summer 2018

Internal Auditor

- Corporate & Institutional Bank, auditing treasury and asset management for ~\$250 billion (OPB) real estate operation split between CMBS, agency, and conventional business, including growth in whole business securitizations and single family rentals

Gabriel Partners- AML RightSource | Cleveland, Ohio

Spring 2017-Spring 2018

Compliance Analyst

- Commercial business risk rating and enhanced due diligence for domestic and international PE and VC bank clients

Black Hawk Resources Ltd. | Cleveland, Ohio

Winter 2015- Winter 2016

Commodities Risk Manager

- Series 3 licensed utilizing futures, options, and swaps to manage ~\$25 million monthly metals inventory in Excel
- Trading, Pricing and Inventory risk, P&L, VaR, and settlements for non-ferrous scrap broker, LME and Comex base metals

First Investors Corporation | Independence, Ohio

Fall 2014- Spring 2015

Registered Representative

- Series 6 licensed for personal portfolio finance, developed \$50,000 book of business in 6 months

Solarity Events | Oberlin, OH, Cleveland, OH

2011-2013

Founder, Chair

- Managed \$100,000 in revenue over 2 years, sold out 5 large scale events, set new financial precedents within the college

EDUCATION

CFA Society | Passed Level I, CFA Level II Candidate

June 2019

Cleveland State University | Cleveland, Ohio

January 2015- May 2016

- Master of Public Administration, concentration in public finance, budget analysis, and organizational behavior
- Research and Thesis: Deliberative Governance and Regulatory Capture: Airworthiness Standards and the FAA
- Graduate Assistant for Ohio State Government Seminar and Columbus Field Experience

Oberlin College and Conservatory | Oberlin, Ohio

September 2009-May 2013

- Bachelor of Arts, Religion, concentration in modern religious thought, South Asian religions
- Coursework in economics and accounting, conservatory classes in audio signal processing

University of Wisconsin | College Year in India (Varanasi, UP)

Fall 2011

- Indian history, Hindi, and Sanskrit in collaboration with Benares Hindu University professors
- Independent project, designed and constructed a 24-foot river boat launched on the Ganges River in Varanasi

LEADERSHIP & ACTIVITIES

Cleveland Soaring Society | Cleveland, Ohio

2018-present

- Private glider club member and private pilot license (glider) candidate

The Movement Project | Cleveland, Ohio

2018-present

- Standing Board Member, \$60,000 annual operating budget, non-profit- dance company, school of dance, Cleveland Dance Fest

Personal

4 year St. Ignatius High School varsity lacrosse letter and defensive player of the year 2009, Lake Erie open water kayaker

Regulated Company List Search

Company Name or
Certificate Number

black hawk

Submit

Back to Regulated Company List

• Black Hawk Resources Limited:

PUCO ID: 346993

1455 W 29th St
Cleveland, OH 44113

• Certificate(s):

- **Certificate: 12-520E**
- Status: Current
- Case: 12-1311-EL-AGG

▪ Industries:

- Aggregator
- Broker

▪ **Certificate: 15-448G**

- Status: Current
- Case: 15-1034-GA-AGG

▪ Industries:

- Aggregator
- Broker



Initial Certification Application
for Electric Aggregators/Power Brokers

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