

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

July 16, 2019

Case Number: 19-1430-EL-AGG

Business Name: Upstream Renewable LLC

To Whom It May Concern:

Upstream Renewable applied to be an aggregator and power broker within the state of Ohio on July 2, 2019. Please accept this cover letter as the amended and correct form of the application.

**Section A-10**

We are applying to have residential and commercial licensure in all territories.

**Section B-5**

No applicant, predecessor of applicant, or principal officers for Upstream Renewable LLC has ever been convicted or held liable for consumer protection or antitrust law violation.

**Section B-6**

No applicant, predecessor of applicant, or principal officers for Upstream Renewable LLC has ever had a certification, license, or application to provide retail/wholesale electric service, including aggregator, denied, curtailed, suspended, revoked, or cancelled.

Please call (618) 771-6149 with any questions you may have.

Sincerely,

A handwritten signature in black ink that reads "Kayla Bredar". The signature is written in a cursive, flowing style.

Kayla Bredar  
Upstream Renewable LLC



PUCO USE ONLY		
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 Upstream Renewable LLC  
Address 1621 Central Ave, Cheyenne, WY 82001  
Telephone # (618) 528-6946 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 Upstream Renewable LLC  
Address 6545 Market Ave N, Ste 100, North Canton, OH 44721  
Telephone # (618) 528-6946 Web site address (if any)

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

Upstream Renewable LLC

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

Name Kayla Bredar  
Title Managing Member

Business address 1201 Cambridge Ct, Marion, IL 62959  
Telephone # (618) 771-6149 Fax #  
E-mail address kaylab@laketreeenergy.com

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

Name Kayla Bredar  
Title Managing Member  
Business address 1201 Cambridge Ct, Marion, IL 62959  
Telephone # (618) 771-6149 Fax #  
E-mail address kaylab@laketreeenergy.com

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

Customer Service address Engie Resources, 1990 Poast Oak Blvd, Ste 1900m Houston, TX 77056  
Toll-free Telephone # (888) 232-6206 Fax #  
E-mail address custserv@na.engie.com

**A-8 Applicant's federal employer identification number # 842182877**

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

- ☐ Sole Proprietorship ☐ Partnership  
☐ Limited Liability Partnership (LLP) ☐ Limited Liability Company (LLC)  
☐ Corporation ☐ 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 checked="" type="checkbox"/> First Energy            |   |  |                                     |                                     |
| <input type="checkbox"/> Ohio Edison                        | <input checked="" type="checkbox"/> Residential | <input checked="" type="checkbox"/> Commercial | <input type="checkbox"/> Mercantile | <input type="checkbox"/> Industrial |
| <input type="checkbox"/> Toledo Edison                      | <input checked="" type="checkbox"/> Residential | <input checked="" type="checkbox"/> Commercial | <input type="checkbox"/> Mercantile | <input type="checkbox"/> Industrial |
| <input type="checkbox"/> Cleveland Electric Illuminating    | <input checked="" type="checkbox"/> Residential | <input checked="" type="checkbox"/> Commercial | <input type="checkbox"/> Mercantile | <input type="checkbox"/> Industrial |
| <input checked="" type="checkbox"/> Duke Energy             | <input checked="" type="checkbox"/> Residential | <input checked="" type="checkbox"/> Commercial | <input type="checkbox"/> Mercantile | <input type="checkbox"/> Industrial |
| <input checked="" type="checkbox"/> Monongahela Power       | <input checked="" type="checkbox"/> Residential | <input checked="" type="checkbox"/> Commercial | <input type="checkbox"/> Mercantile | <input type="checkbox"/> Industrial |
| <input checked="" type="checkbox"/> American Electric Power |   |  |                                     |                                     |
| <input type="checkbox"/> Ohio Power                         | <input checked="" type="checkbox"/> Residential | <input checked="" type="checkbox"/> Commercial | <input type="checkbox"/> Mercantile | <input type="checkbox"/> Industrial |
| <input type="checkbox"/> Columbus Southern Power            | <input checked="" type="checkbox"/> Residential | <input checked="" type="checkbox"/> Commercial | <input type="checkbox"/> Mercantile | <input type="checkbox"/> Industrial |
| <input checked="" type="checkbox"/> Dayton Power and Light  | <input checked="" type="checkbox"/> Residential | <input checked="" 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  
January 1, 2020

**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.

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

**Commission of Ohio Docketing Information System on**

**7/16/2019 9:14:51 AM**

**in**

**Case No(s). 19-1430-EL-AGG**

Summary: Amended Application Per request from Melissa Scarberry, amended application electronically filed by Mrs. Kayla Bredar on behalf of Upstream Renewable LLC and Bredar, Kayla Mrs.