



# Ohio

## Public Utilities Commission

Original AGG Case Number	Version
14-491-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 Energy Alliances, Inc.  
 Address 8469 Blue Ash Road, Suite 1, Cincinnati, OH 45236-1992  
 PUCO Certificate # and Date Certified 14-805E (3), May 1, 2018  
 Telephone # (513) 794-5555 Web site address (if any) www.energyalliances.com

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

Legal Name Energy Alliances, Inc.  
 Address 8469 Blue Ash Road, Suite 1, Cincinnati, OH 45236-1992  
 Telephone # (513) 794-5555 Web site address (if any) www.energyalliances.com

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

Energy Alliances, Inc.  
Premier Energy Advisors

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

Name Mark A. Bishop  
 Title Vice President, Secretary  
 Business address 8469 Blue Ash Road, Suite 1, Cincinnati, OH 45236  
 Telephone # (513) 794-5555 Fax # (513) 794-7777  
 E-mail address mbishop@energyalliances.com

PUCO

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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 Nub Date Processed 3/27/20

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

Name Mark A. Bishop  
Title Vice President, Secretary  
Business address 8469 Blue Ash Road, Suite 1, Cincinnati, OH 45236  
Telephone # (513) 794-5555 Fax # (513) 794-7777  
E-mail address mbishop@energyalliances.com

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

Customer Service address 8469 Blue Ash Road, Suite 1, Cincinnati, OH 45236  
Toll-free Telephone # (800) 735-0359 Fax # (888) 735-0359  
E-mail address mbishop@energyalliances.com

**A-8 Applicant's federal employer identification number # 31-1159005**

**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.

 Secretary  
Signature of Applicant & Title

Sworn and subscribed before me this 11 day of MARCH, 2020  
Month Year

  
Signature of official administering oath

My commission expires on \_\_\_\_\_



**STEVE JOSTWORTH**  
Notary Public, State of Ohio  
My Commission Expires  
August 19, 2024

# **AFFIDAVIT**

State of Ohio :

Sycamore Twp.  
(Town)

County of Hamilton :

Mark A. Bishop, Affiant, being duly sworn/affirmed according to law, deposes and says that:

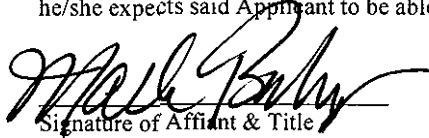
He/She is the Secretary (Office of Affiant) of Energy Alliances, Inc (Name of Applicant);

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.

 , Secretary  
Signature of Affiant & Title

Sworn and subscribed before me this 11 day of MARCH, 2020  
Month Year

  
Signature of official administering oath



**STEVE JOSTWORTH**  
Notary Public, State of Ohio  
My Commission Expires  
August 19, 2024

My commission expires on \_\_\_\_\_

Exhibit A-10  
**Principal Officers**

Energy Alliances, Inc.  
<http://www.energyalliances.com>

8469 Blue Ash Road  
Cincinnati, OH 45236-1992  
800-735-0359 Phone Toll Free  
888-735-0359 Fax Toll Free  
513-794-5555 Phone Local  
513-794-7777 Fax Local

Sydney Lamb Faxon Trout, CEO  
[strout@energyalliances.com](mailto:strout@energyalliances.com)

William Grafe, President  
[bgrafe@energyalliances.com](mailto:bgrafe@energyalliances.com)

Mark A. Bishop, Vice President  
[mbishop@energyalliances.com](mailto:mbishop@energyalliances.com)

Sydney Lamb Faxon Trout, Treasurer  
[strout@energyalliances.com](mailto:strout@energyalliances.com)

Mark A. Bishop, Secretary  
[mbishop@energyalliances.com](mailto:mbishop@energyalliances.com)



Exhibit B-1  
**Jurisdiction of Operations**

Authorized to provide electric service in:

OH

Exhibit B-2

### **Experience & Plans**

Energy Alliances, Inc. was founded in December, 1985 and incorporated in the State of Ohio in May, 1986 and has remained in good standing in the State of Ohio, Illinois and other areas.

Currently, Energy Alliances, Inc. has residential commercial, mercantile and industrial clients throughout the Duke Energy system in OH and serves 24 communities through electric aggregation in Southern Ohio on Duke Energy and 2 communities in Northern Ohio on Dominion East Ohio. We currently serve thousands of commercial electric customers on Duke's system as well.

Energy Alliances, Inc. has received no customer complaints and no unresolved complaints with its customers through its affiliates. Energy Alliances, Inc. provides services to residential (through aggregation), commercial, mercantile and industrial customers. We establish a working relationship with the client, review the client's utility history and provide the client options as well as a suggested strategy for lowering its energy costs through strategic procurement while managing its exposure to risk. The managing partners of Energy Alliances, Inc. answer customer inquiries personally. The company is staffed by the original founding members and other qualified, trained individuals.

Energy Alliances, Inc. is a broker not a supplier. Energy Alliances, Inc. will not be billing customers but customer service is available through established channels with the supplier as well as our company to ensure the customer's understanding and facilitate complaint resolution in accordance with Commission rules adopted pursuant to Section 4929.22 of the Revised Code and contained in Chapter 4909:1-29 of the Ohio Administrative Code.

Exhibit B-3  
**Disclosure of Liabilities and Investigations**

None of Record

Exhibit C-1  
**Annual Report**

Energy Alliances, Inc. is not required to produce an annual report.

Exhibit C-2  
**SEC Filings**

Energy Alliances, Inc. is a broker/sales agent only and does not take title to the natural gas or electric, is not a public entity. Energy Alliances, Inc. is an Ohio Corporation, 100% of its stock is owned by Sydney Lamb Faxon Trout, so no SEC filing is required.

Exhibit C-3  
**Financial Statements**

**Energy Alliances, Inc. is a privately held corporation and these documents are "CONFIDENTIAL" and are being filed separately under seal along with the appropriate "Motion for Protective Order"**

Exhibit C-4  
**Financial Arrangements**

N/A

Exhibit C-5  
**Forecasted Financial Statements**

**Energy Alliances, Inc. is a privately held corporation and these documents are "CONFIDENTIAL" and are being filed separately under seal along with the appropriate "Motion for Protective Order"**



Exhibit C-6  
**Credit Rating**

**Energy Alliances, Inc. is a privately held corporation is not rated by Duff & Phelps, Fitch IBCA, Moody's Investors Service or Standard & Poor's.**

Exhibit C-7  
**Credit Report**

**Energy Alliances, Inc. is a privately held corporation and these documents are "CONFIDENTIAL" and are being filed separately under seal along with the appropriate "Motion for Protective Order"**

Exhibit C-8  
**Bankruptcy Information**

Energy Alliances, Inc. has not had 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 since applicant last filed for certification.

Exhibit C-9  
**Merger Information**

Energy Alliances, Inc. has had no dissolution or mergers or acquisition of the applicant since the applicant last filed for certification.

Exhibit C-10  
**Corporate Structure**

Energy Alliances, Inc. is a stand-alone entity with no affiliate or subsidiary companies.