



Public Utilities Commission

Original CRS Case Number	Version
04 - 1015-EL-CRS	May 2016

RENEWAL APPLICATION FOR RETAIL GENERATION PROVIDERS AND POWER MARKETERS

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 renewed as: (check all that apply)

- ☒ Retail Generation Provider ☐ Power Broker
☒ Power Marketer ☐ Aggregator

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

Legal Name ENGIE Resources LLC
Address 1360 Post Oak Blvd., Suite 400, Houston, TX 77056
PUCO Certificate # and Date Certified 04-118E - issued 07/25/2004
Telephone # (888) 364-4344 Web site address (if any) www.engieresources.com

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

Legal Name ENGIE Resources LLC
Address 1360 Post Oak Blvd., Suite 400, Houston, TX 77056
Telephone # (888) 364-4344 Web site address (if any) www.engieresources.com

This is to certify that the images appearing are an accurate and complete reproduction of a case file document delivered in the regular course of business.
Technician M Date Processed JUN 15 2020

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

A-5 Contact person for regulatory or emergency matters

Name Naveen Rabie
Title Senior Attorney
Business address 1360 Post Oak Blvd., Suite 400, Houston, TX 77056
Telephone # (713) 636-1607 Fax # (713) 636-1601
E-mail address naveen.rabie@engie.com

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

Name Naveen Rabie
Title Senior Attorney
Business address 1360 Post Oak Blvd., Suite 400, Houston, TX 77056
Telephone # (713) 636-1607 Fax # (713) 636-1601
E-mail address naveen.rabie@engie.com

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

Customer Service address 1360 Post Oak Blvd., Suite 400, Houston, TX 77056
Toll-free Telephone # (866) 693-6443 Fax # (713) 636-1601
E-mail address care@engieresources.com

A-8 Applicant's federal employer identification number # 76-0685946

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 checked="" type="checkbox"/> Limited Liability Company (LLC) |
| <input 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. 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.
- 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 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 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.

D. TECHNICAL CAPABILITY

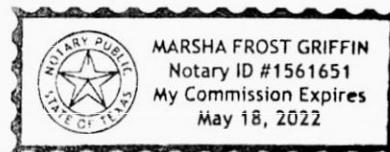
PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

- D-1 Exhibit D-1 "Operations"** provide a written description of the operational nature of the applicant's business. Please include whether the applicant's operations include the generation of power for retail sales, the scheduling of retail power for transmission and delivery, the provision of retail ancillary services as well as other services used to arrange for the purchase and delivery of electricity to retail customers.
- D-2 Exhibit D-2 "Operations Expertise,"** given the operational nature of the applicant's business, provide evidence of the applicant's experience and technical expertise in performing such operations.
- D-3 Exhibit D-3 "Key Technical Personnel,"** provide the names, titles, e-mail addresses, telephone numbers, and the background of key personnel involved in the operational aspects of the applicant's business.
- D-4 Exhibit D-4 "FERC Power Marketer License Number,"** provide a statement disclosing the applicant's FERC Power Marketer License number. (Power Marketers only)



Senior Counsel

Signature of Applicant and Title



Sworn and subscribed before me this 12th day of June, 2020
Month Year


Signature of official administering oath

MARSHA FROST GRIFFIN, NOTARY

Print Name and Title

My commission expires on 05/18/2022

AFFIDAVIT

State of TEXAS :

HOUSTON_{ss.}
(Town)

County of HARRIS :

NAVEEN RABIE, Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/She is the Senior Attorney (Office of Affiant) of ENGIE Resources LLC (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 comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
7. 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.
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 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.

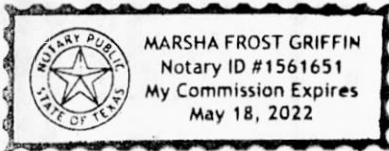
That the facts above set forth are true and correct to the best of his/her knowledge, information, and belief and that he/she expects said Applicant to be able to prove the same at any hearing hereof.

TPK, Senior Counsel
Signature of Affiant & Title

Sworn and subscribed before me this 12th day of June, 2020
Month Year

Marsha Frost Griffin
Signature of official administering oath

MARSHA FROST GRIFFIN, Notary
Print Name and Title



My commission expires on 05/18/2022



ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)
Renewal Application for Retail Generation Providers & Power Marketers

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.

Sayun Sukduang
President & CEO
1360 Post Oak Blvd, Suite 400
Houston, TX 77056
T: 713-636-0000
F: 713-636-1601

Graham Leith
Chief Operating Officer
1360 Post Oak Blvd, Suite 400
Houston, TX 77056
T: 713-636-1707
F: 713-636-1601

Bill Jordan
Vice President, Natural Gas Supply
1360 Post Oak Blvd, Suite 400
Houston, TX 77056
T: 713-636-1622
F: 713-636-1601
Email: bill.jordan@engie.com

Ray Cunningham
Vice President, General Counsel & Secretary
1360 Post Oak Blvd, Suite 400
Houston, TX 77056
T: 713-636-1980
F: 713-636-1601
Email: ray.cunningham@engie.com

David Grigsby
Vice President & Assistant Treasurer
1360 Post Oak Blvd, Suite 400
Houston, TX 77056
T: 713-636-1571
F: 713-636-1601
Email: david.grigsby@engie.com



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*John "J.D." Burrows
Vice President, Marketing
1360 Post Oak Blvd, Suite 400
Houston, TX 77056
T: 713-636-1390
F: 713-636-1601
Email: jd.burrows@engie.com*

*Anne-Laure Chassanite
Vice President, Supply
1360 Post Oak Blvd, Suite 400
Houston, TX 77056
T: 832-866-5707
F: 713-636-1601
Email: anne-laure.chassanite@engie.com*

*Rachel W. Kilpatrick
Vice President & Assistant Secretary
1360 Post Oak Blvd, Suite 400
Houston, TX 77056
T: 713-636-0000
F: 713-636-1601
Email: Rachel.kilpatrick@engie.com*

*Jay Bell
Vice President, Sales
1360 Post Oak Blvd, Suite 400
Houston, TX 77056
T: 713-636-1716
F: 713-636-1601
Email: jay.bell@engie.com*

*Greg Leflar
Vice President, Operations
1360 Post Oak Blvd, Suite 400
Houston, TX 77056
T: 713-636-1006
F: 713-636-1601
Email: greg.leflar@engie.com*

*William "Bill" Collins
Director
1360 Post Oak Blvd, Suite 400
Houston, TX 77056
T: 713-636-0000
F: 713-636-1601
Email: bill.collins@engie.com*



ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)
Renewal Application for Retail Generation Providers & Power Marketers

Exhibit B-1 – “Jurisdictions of Operations”

Provide a current list of all jurisdictions in which the applicant or any affiliated interest of the applicant is, at the date of filing the application, certified, licensed, registered, or otherwise authorized to provide retail natural gas service, or retail/wholesale electric services.

ENGIE Resources – Electric Supplier Licenses

STATE OF LICENSE	LICENSE NO.	LICENSE ISSUE DATE
Connecticut	Docket # 04-06-11	09/29/2004
Delaware	Docket # 04-325	11/23/2004
District of Columbia	Order # 13472	01/05/2005
Illinois	Certificate # 17-0163	05/03/2017
Maine	Docket # 2003-120	03/14/2003
Maryland	License # IR-605	03/21/2004
Massachusetts	License # CS-037	05/15/2002
New Hampshire	Docket # DM 15-468	12/11/2015
New Jersey	License # ESL-0061	08/06/2003
New York	ESCO Code: SUEZ	09/13/2004
Ohio	Certificate # 04-118E(1)	07/25/2004
Pennsylvania	License # A-110156	07/18/2002
Rhode Island	Docket # D-96-6(P2)	10/25/2004
Texas	License # 10053	08/05/2003
Virginia	License # E-40	12/14/2018

ENGIE Resources – Natural Gas Supplier Licenses

STATE OF LICENSE	LICENSE NO.	LICENSE ISSUE DATE
Illinois	Certificate No. 18-0365-EL	03/21/2018
New Jersey	License # GSL-0207	03/13/2019
New York	ESCO Code: SUEZ	03/19/2018
Ohio	Certificate # 18-650G(1)	03/29/2018
Pennsylvania	Docket # A-2018-3002116	10/04/2018
Virginia	License # G-52	12/14/2018

ENGIE Retail, LLC d/b/a Think Energy – Electric Supplier Licenses - Think Energy is a 100% wholly-owned, sole member-managed subsidiary of ENGIE Resources LLC and is licensed as a competitive retail electricity and natural gas supplier serving residential and small commercial customers in the following states:



STATE OF LICENSE	LICENSE NO.	LICENSE ISSUE DATE
Connecticut	Dockets #11-10-14 & 11-10-14RE01	02/09/2012
Delaware	Docket # 11-482	04/17/2012
District of Columbia	Order # 16630	12/02/2011
Illinois	Certificate # 11-0531	09/21/2011
Maine	Docket # 2011-425	11/22/2011
Maryland	License # IR-2404	08/17/2011
Massachusetts	License # CS-087	08/10/2011
New Hampshire	Docket # DM 15-490	12/28/2015
New Jersey	License # ESL-0120	03/12/2012
New York	ESCO Code: THNK	09/16/2011
Ohio	Certificate # 11-407E(1)	11/17/2011
Pennsylvania	License # A-2011-2268361	12/16/2011
Rhode Island	Docket # D-96-6(R7)	09/11/2015
Texas	License # 10204	08/26/2011

ENGIE Retail, LLC d/b/a Think Energy – Natural Gas Supplier Licenses

STATE OF LICENSE	LICENSE NO.	LICENSE ISSUE DATE
Illinois	Certificate # 16-0391	09/22/2016
Maryland	License # IR-3794	02/08/2017
New Jersey	License # GSL-0169	03/24/2017
New York	ESCO Code: THNK	02/01/2017
Ohio	Certificate # 15-479G(1)	11/22/2015
Pennsylvania	License # A-2016-2534026	04/18/2016

ENGIE Power & Gas LLC – Electric Supplier Licenses - ENGIE Power & Gas LLC (formerly known as Plymouth Rock Energy LLC) is also a wholly-owned subsidiary of ENGIE Resources LLC and is licensed as a power and natural gas supplier in the following states:

STATE OF LICENSE	LICENSE NO.	LICENSE ISSUE DATE
Maryland	License # IR-2518	04/11/2012
Massachusetts	License # CS-114	09/29/2019
Michigan	Case # U-17549	01/24/2014
New Jersey	License # ?ESL-0102	11/19/2019
New York	ESCO Code: PLY	07/02/1905
Ohio	Certificate # 12-480E	03/17/2018
Pennsylvania	License # A-2011-2264916	12/01/2011

ENGIE Power & Gas LLC – Natural Gas Supplier Licenses

STATE OF LICENSE	LICENSE NO.	LICENSE ISSUE DATE
District of Columbia	Case # L00005829198	02/27/2020
Illinois	Certificate # 19-0805	10/02/2019
Maryland	License # IR-2705	08/01/2012
Massachusetts	License # GS-069	08/15/2019



STATE OF LICENSE	LICENSE NO.	LICENSE ISSUE DATE
Michigan	Case # U-17491	01/23/2014
New Jersey	License # GSL-0039	11/19/2018
New York	ESCO Code: PLY	07/02/1905
Ohio	Certificate # 12-256G	06/18/2018
Pennsylvania	License # A-2013-2384046	01/02/2014

ENGIE Energy Marketing NA, Inc. ("EEMNA") is another affiliate of ENGIE Resources LLC and is a natural gas and power wholesale energy marketer. EEMNA actively manages the wholesale market activities for both ENGE Resources and, its subsidiary affiliate, Think Energy. EEMNA's information is as follows:

- 1) FERC Market-Based Rate Tariff, Docket No. ER15-00723-000 effective February 23, 2018;*
- 2) FERC Electric Tariff Rate Schedule No. 1, Docket No. ER-94-142-000 effective December 30, 1993; and*
- 3) EEMNA is a Delaware corporation, registration no. 2355732 and incorporated November 19, 1993.*



ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)
Renewal Application for Retail Generation Providers & Power Marketers

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.

ENGIE Resources markets to and sells electric energy supply in the competitive retail market to large industrial and commercial customers in the State of Ohio, in the following utility territories: Cleveland Electric Illuminating Company, Duke Energy Ohio, Dayton Power & Light Co., Ohio Edison Company, The Toledo Edison Company and Ohio Power Company.

ENGIE Resources is a licensed competitive retail electric supplier that is currently serving over approximately 22,000 customers and 100,000 accounts in Connecticut, Delaware, District of Columbia, Illinois, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, Texas and Virginia for customers having a peak demand ranging from 50kW to more than 200MW. ENGIE Resources has also currently been granted licenses as a natural gas supplier in Illinois, New Jersey, New York, Ohio, Pennsylvania and Virginia.

ENGIE Resources offers a variety of products to customers including fixed-price products and index-based products.

ENGIE Resources utilizes EnergyCare as its outsourced billing, call center, and customer care group to provide customized billing services such as statement generation, and mailing and payment processing; customer care services including call center, inbound and outbound call management, call center consulting, error handling and resolutions, online customer service, contract management, customer enrollments, accounts services and customer management. ENGIE Resources also maintains an internal staff as follows: (i) operations and customer care staff to manage the day-to-day management of the Houston account (outsourced billing and customer care provider) and direct contact, as needed, with customers for customer care and billing matters; (ii) supply group to manage pricing analytics and portfolio management; (iii) a marketing team to manage all marketing functions, including strategic pricing, market planning, go-to-market strategies, new customer acquisition, and campaign management and analysis; (iv) an IT (information technology) team to manage the internal systems, databases, technical support, customer-facing applications, back-office applications, and system integration; and (v) a business control team to manage all financial control matters including, billing, revenue, accounting, and settlements. ENGIE Resources also offers e-services and after-hour services for 24/7 availability to customers.

ENGIE Resources also contracts with Energy Services Group (“ESG”) for support of EDI, XML and other data translation, transmission, auditing, archiving, business rule validation, exception identification and resolution, transaction management services, market portal, and data exchange.



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Contracting: In accordance with Section 4929.22 of the Ohio Revised Code, ENGIE Resources provides 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; and disclose the conditions under which a customer may rescind a contract without penalty.

Billing: ENGIE Resources' customer bills, at a minimum, include (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 re-calculate 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 Consumer's Counsel, the Attorney General's office, with the available hours noted; and (5) other than for the first billing after the starting date of competitive retail electric service, highlighting and clear explanation of each customer bill, for two (2) consecutive billing periods, of any changes in the rates, terms and conditions of service.



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ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)
Renewal Application for Retail Generation Providers & Power Marketers

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.

ENGIE Resources does not currently have any liabilities or investigations to disclose which could adversely impact its financial or operational ability to continue to serve as a competitive retail electricity supplier in the State of Ohio.



ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)
Renewal Application for Retail Generation Providers & Power Marketers

Exhibit C-1 – “Annual Reports”

Provide the two (2) most recent Annual Reports to Shareholders. If applicant does not have annual reports, the applicant should provide similar information, labeled as Exhibit C-1 or indicate that Exhibit C-1 is not applicable and why. (This is generally only applicable to publicly traded companies who publish annual reports.)

Not Applicable. ENGIE Resources is not a publicly traded company. ENGIE Resources is a wholly-owned subsidiary of ENGIE Holdings Inc., who is a wholly-owned subsidiary of ENGIE S.A. (collectively, the “ENGIE Group”). The two most recent Annual Reports of the ENGIE Group can be found at https://www.engie.com/wp-content/uploads/2019/02/engie_2018-management-report-and-annual-consolidated-financial-statements_27.02.2019_bat.pdf and <https://www.engie.com/en/analysts/integrated-performance/integrated-report-2019/>.

The links are supplied herein instead of the extensive amount of paper contained within these Annual Reports which would be overly cumbersome with this filing.



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ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)
Renewal Application for Retail Generation Providers & Power Marketers

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.

Neither ENGIE Resources nor its parent company, ENGIE Holdings Inc., are required to file reports with the SEC because ENGIE Holdings Inc. is a privately-held corporation.



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ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)
Renewal Application for Retail Generation Providers & Power Marketers

Exhibit C-3 – “Financial Statements”

ATTACHMENT 3

ENGIE RESOURCES 2019 UNAUDITED BALANCE SHEET & INCOME STATEMENT

*THIS EXHIBIT CONTAINS CONFIDENTIAL AND PROPRIETARY INFORMATION AND
IS BEING SUBMITTED UNDER SEAL.*



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ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)
Renewal Application for Retail Generation Providers & Power Marketers

Exhibit C-3 – “Financial Statements”

ATTACHMENT 2

ENGIE GROUP 2018 ANNUAL CONSOLIDATED FINANCIALS

***THIS EXHIBIT CONTAINS CONFIDENTIAL AND PROPRIETARY INFORMATION AND
IS BEING SUBMITTED UNDER SEAL.***

ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)
Renewal Application for Retail Generation Providers & Power Marketers

Exhibit C-3 – “Financial Statements”

ATTACHMENT 1

ENGIE GROUP 2017 ANNUAL CONSOLIDATED FINANCIALS

***THIS EXHIBIT CONTAINS CONFIDENTIAL AND PROPRIETARY INFORMATION AND
IS BEING SUBMITTED UNDER SEAL.***



ENGIE RESOURCES LLC – CRES CERTIFICATE #04-118E(1)
Renewal Application for Retail Generation Providers & Power Marketers

Exhibit C-3 – “Financial Statements”

Provide copies of the applicant’s two (2) 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 (2) most recent years of tax returns (with social security numbers and account numbers redacted).

THIS EXHIBIT CONTAINS CONFIDENTIAL AND PROPRIETARY INFORMATION AND IS BEING SUBMITTED UNDER SEAL.

ENGIE Resources is a wholly-owned subsidiary of ENGIE Holdings Inc. (“EHI”). ENGIE Resources’ most recent fiscal year audited financials are consolidated within its parent company, EHI (hereinafter collectively, the “Group”). The Group’s two (2) most recent years of consolidated financial statements are attached hereto as Attachments 1, and 2, together with officer certified unaudited balance sheet and income statement covering CY2019 as Attachment 3.



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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.).

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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.

ENGIE Resources is a wholly-owned subsidiary of ENGIE Holdings Inc. (“EHI”), who is a wholly-owned subsidiary of ENGIE S.A. (“ESA”). Attached hereto as Attachment C-4 is ESA’s Standard & Poor’s Ratings Services report.



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Exhibit C-5 – “Forecasted Financial Statements”

Provide two (2) 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.

THIS EXHIBIT CONTAINS CONFIDENTIAL AND PROPRIETARY INFORMATION AND IS BEING SUBMITTED UNDER SEAL.

SEE ATTACHED.

PREPARER:

Name: Francisco Zamarripa
Title: Senior Performance Control Advisor
Address: 1360 Post Oak Blvd., Suite 400, Houston, TX 77056
Telephone: (713) 636-1261
E-mail: francisco.zamarripa@engie.com



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Exhibit C-6 – “Credit Rating”

Provide a statement disclosing the applicant’s credit rating as reported by two (2) of the following organizations: Duff & Phelps, Dun & Bradstreet Information Services, 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 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.

THIS EXHIBIT CONTAINS CONFIDENTIAL AND PROPRIETARY INFORMATION AND IS BEING SUBMITTED UNDER SEAL.

ENGIE Resources is not rated. Its parent company is ENGIE Holdings Inc. (“EHI”) which is a wholly-owned subsidiary of ENGIE S.A. (“ESA”) which is rated A-/A2 senior unsecured by Standard & Poor’s. ESA’s Standard & Poor’s Ratings Services report is attached hereto under Exhibit C-4.



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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.

None.

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Exhibit C-9 – “Merger Information”

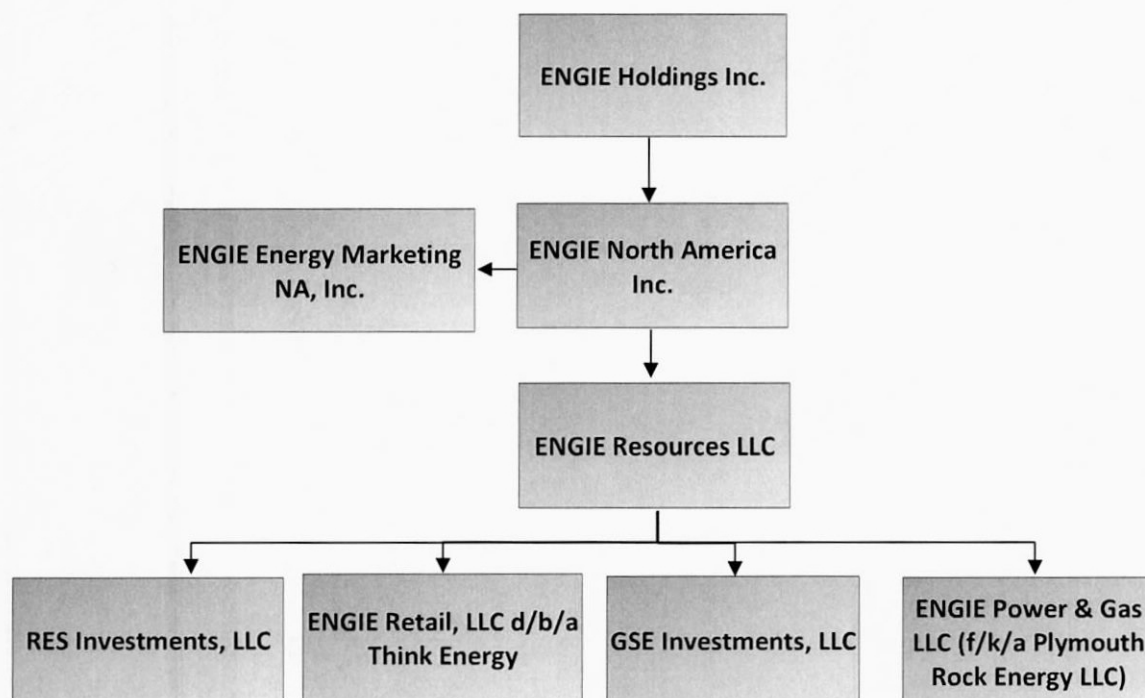
Provide a statement describing any dissolution or merger or acquisition of the applicant within the two (2) most recent years preceding the application.

None.

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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.



*This represents our North America structure.

ENGIE Resources LLC	Supplies Commercial & Industrial Retail Electricity & Natural Gas
ENGIE Retail, LLC d/b/a Think Energy	Supplies Residential & Small Commercial Retail Electricity & Natural Gas
ENGIE Energy Marketing NA, Inc.	Supplies Wholesale for both ENGIE Resources LLC & ENGIE Retail, LLC d/b/a Think Energy
ENGIE Power & Gas LLC	Supplies Retail Electricity & Natural Gas



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Exhibit D-1 – “Operations”

Provide a written description of the operational nature of the applicant's business. Please include whether the applicant's operations include the generation of power for retail sales, the scheduling of retail power for transmission and delivery, the provision of retail ancillary services as well as other services used to arrange for the purchase and delivery of electricity to retail customers.

AND

Exhibit D-2 – “Operations Expertise”

Given the operational nature of the applicant's business, provide evidence of the applicant's experience and technical expertise in performing such operations.

ENGIE Resources' operations include the retail power supply and other retail ancillary services used to arrange for the purchase and delivery of retail electricity to retail commercial and industrial customers and small retail customers. ENGIE Resources does not generate power and does not own any generation facilities.

ENGIE Resources is a licensed, active electric supplier in the retail marketplace in Connecticut, Delaware, District of Columbia, Illinois, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, Texas and Virginia, and serves over approximately 22,000 customers and 100,000 accounts. ENGIE Resources has access to shared services, support and oversight for day-to-day technical, managerial and operational activities, including risk management; legal counsel services, contract administration services; accounting and finance services; general management services; transaction related services, power supply procurement and portfolio management services; hedging of load requirements and supply resources; logistics management and coordination activities; compliance with ISO and state regulatory directives; wholesale counterparty credit administration; and the maintenance of all systems necessary to coordinate with the ISO and/or local utility.

ENGIE Resources has a contractual relationship with its affiliate, ENGIE Energy Marketing NA, Inc. (“EEMNA”), an active participant in the wholesale market, to meet all of ENGIE Resources' wholesale supply, scheduling and settlement needs pursuant to a Master Supply Agreement (“MSA”) between ENGIE Resources and EEMNA. In accordance with the MSA, ENGIE Resources is provided the following support services by its affiliate: all activities with the ISP regarding ENGIE Resources' provision of energy, capacity, ancillary services, scheduling and procurement of transmission service, congestion management and all other required products and services necessary to serve ENGIE Resources' load; bidding, sale, scheduling, dispatch, and delivery of energy, capacity and ancillary services necessary to serve ENGIE Resources' load; and assuring compliance with tariff obligations and reliability obligations, load scheduling; transmission services; and capacity and ancillary supply services.

ENGIE Resources has decades of experience in the energy industry. ENGIE Resources believes that its continued proven record of compliant performance substantially demonstrates that ENGIE Resources maintains the managerial resources and abilities to match the services it provides to its customers, and that ENGIE Resources continues to have the ability and commitment to comply with all CRES standards and procedures, and the rules and regulations of ISP, the local utilities, and the Ohio Revised Code.

ENGIE Resources has contracted with EnergyCare as its outsourced billing, call center, and customer care group to provide customized billing services such as statement generation and mailing and payment processing; customer care services including call center, inbound and outbound call management, call center consulting, error handling and resolutions, online customer service, contract management, customer enrollments, accounts services, and customer management. ENGIE Resources continues to maintain an internal staff as follows: (i) operations and customer care staff to manage the day-to-day management of the Houston account (outsourced billing and customer care provider) and direct contact, as needed, with customers for customer care and billing matters; (ii) supply group to manage pricing analytics and portfolio management; (iii) a marketing team to manage all marketing functions including strategic pricing, market planning, go-to-market strategies, new customer acquisition, and campaign management and analysis; (iv) an IT (information technology) team to manage the internal systems, databases, technical support, customer-facing applicants, back-office applicants, and system integration; (v) a business control team to manage all financial control matters including, billing, revenue, accounting, and settlements; and (vi) an exclusive sales channel to manage all direct and indirect sales channels and third-party relationships. ENGIE Resources continues to offer e-services and after-hour services for 24/7 availability to customers.

ENGIE Resources also contracts with Energy Services Group ("ESG") for support of EDI, XML and other data translation, transmission, auditing, archiving, business rule validation, exception identification and resolution, transaction management services, market portal, and data exchange.



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Exhibit D-3 – “Key Technical Personnel”

Provide the names, titles, e-mail addresses, telephone numbers and the background of key personnel involved in the operational aspects of the applicant's current business.

SAYUN SUKDUANG – President & CEO

1360 Post Oak Blvd, Suite 400

Houston, TX 77056

T: 713-636-0000

F: 713-636-1601

Email: sayun.sukduang@engie.com

Sayun Sukduang is the President & CEO of ENGIE Resources LLC (“ENGIE”), one of the nation’s leading energy providers serving residential, commercial and industrial customers and a subsidiary of ENGIE North America, Inc. (“ENA”), active in the development, acquisition, and operation of electricity and cogeneration facilities, the marketing and sales of products and services, and the import and distribution of natural gas and LNG. Mr. Sukduang joined ENA in 2000 and has held executive level positions in Mergers and Acquisitions, Energy Infrastructure Development, Commodity Trading, Operations and Engineering. Mr. Sukduang has 22 years of experience in the energy industry and currently serves as a board member of C2C Power, one of Canada’s largest renewable energy companies, and TagSur Pipelines, a mid-stream pipeline company in Mexico. Mr. Sukduang holds a bachelor of science in Mechanical Engineering and a Masters of Business Administration.

GRAHAM LEITH – Chief Operating Officer

1360 Post Oak Blvd, Suite 400

Houston, TX 77056

T: 713-636-1707

F: 713-636-1601

Email: Graham.leith@engie.com

Mr. Leith joined ENGIE in May 2014 as Vice President, Sales. He has over 22 years of experience in the energy industry, with 18 years in retail energy in the areas of Sales, Marketing, Risk Management and Operations. Most recently, he held the positions of Chief Risk Officer and Vice President & General Manager, Commercial Energy Sales, at AEP Energy. Prior to AEP, Graham held senior positions with Direct Energy & British Gas (Centrica plc), Ontario Power Generation Inc., and Photowatt Solar, in Canada and the United Kingdom. Mr. Leith has also held various energy marketing and sales roles with PremStar Energy Inc., TransCanada Pipelines, Ltd., and Air Solutions, Inc., in Ontario, Canada. Mr. Leith holds a Master of Business Administration from the Schulich School of Business at York University in Toronto, Ontario, Canada and a Bachelor of Business Administration from Wilfrid Laurier University in Waterloo, Ontario, Canada.



RAY CUNNINGHAM - Vice President, Assistant General Counsel & Secretary

1360 Post Oak Blvd, Suite 400

Houston, TX 77056

T: 713-636-1980

F: 713-636-1601

Email: ray.cunningham@engie.com

Mr. Cunningham joined ENGIE in October 2012 as its Vice President & Assistant General Counsel where he is responsible for government affairs, regulatory compliance, corporate transactions, litigation, risk management, and all legal matters impacting the retail business. Mr. Cunningham has over 27 years of experience in the energy industry and was most recently Vice President & Assistant General Counsel of the wholesale gas and power business unit of ENA. Mr. Cunningham is a graduate of Texas Tech University and South Texas College of Law.

J.D. BURROWS - Vice President, Marketing

1360 Post Oak Blvd, Suite 400

Houston, TX 77056

T: 713-636-1390

F: 713-636-1601

Email: jd.burrows@engie.com

Mr. Burrows rejoined ENGIE in April 2013 as its Vice President of Marketing where he is responsible for lead generation, brand positioning, market analytics and pricing strategies. Prior to rejoining ENGIE, Mr. Burrows worked as the Vice President of Origination & Procurement for the wholesale gas and power business unit of ENA where he was responsible for wholesale origination of structured energy products; mid-marketing of energy, capacity, RECs; and procurement of natural gas, fuel oil, coal, transportation and rail capacity; and prior to that he was the Vice President of Strategy & Marketing for ENA. Before joining ENGIE, Mr. Burrows held positions with Enron in structuring and risk management, and with Dynegy in Northeast market development. He started his career in energy with the Public Utility Commission of Texas, where he served as a witness and staff expert on rate design and fuel factors. Mr. Burrows earned a Bachelor of Science in economics from the University of Texas and a Master of Science in economics from Texas A&M University.

WILLIAM ("BILL") JORDAN - Vice President, Natural Gas Supply

1360 Post Oak Blvd, Suite 400

Houston, TX 77056

T: 713-636-1622

F: 713-636-1601

Email: bill.jordan@engie.com

Mr. Jordan joined ENGIE in March 2015 and is responsible for pricing, and portfolio risk management. He has over 22 years of experience and brings a broad background in energy marketing, portfolio management, wholesale generation and retail operations, valuation, risk management, and structuring to the role. He joined ENA in 2004 and has held roles in retail operations and wholesale marketing. Prior to ENGIE, he was Director, ERCOT Portfolio Management and responsible for all commercial operations of the ERCOT generation portfolio including budget year term hedging, and



day-ahead and real-time optimization. During his career, he held various retail commodity structuring and risk management roles with Centrica, Reliant Resources, Enron, Duke, and Central & Southwest, including developing hedging strategies for retail load obligations and risk management of supply positions. He holds an electric engineering degree from Louisiana Tech.

GREG LEFLAR – Vice President, Operations

1360 Post Oak Blvd, Suite 400

Houston, TX 77056

T: 713-636-1006

F: 713-636-1601

Email: greq.leflar@engie.com

Mr. Leflar joined ENGIE July 2017 as the Vice President of Operations. Mr. Leflar is responsible for sales support, transaction management, contract validation, process and systems management, and information technology. Mr. Leflar has over 20 years of experience working with companies in a variety of industries to bring about transformative change in the areas of organization effectiveness, culture, and the adoption of emerging technology. Prior to joining ENGIE, Mr. Leflar served as an officer of Pariveda Solutions responsible for the firm's largest clients in the retail electric energy industry and served in a leadership role over operations in the consulting firm with responsibility over business planning, financial performance, and marketing activities. As a management consultant, Mr. Leflar partnered with executives to devise strategies around business agility, organizational structure, and team culture. At Continental Airlines, Mr. Leflar led the adoption of mobile devices in the aircraft maintenance organization and the digitization of many of their processes and procedures. In his lengthy career as an IT consultant, Mr. Leflar worked with companies in upstream oil and gas, midstream, and healthcare industries to envision and implement leading-edge technology solutions. Mr. Leflar is a subject matter expert in agile methods, cloud computing, advanced analytics, mobility, and enterprise architecture. Mr. Leflar has published papers and spoken at conferences on the API economy, enterprise cloud adoption, and the integration of big data and machine learning into business operations. Mr. Leflar is a graduate of Baylor University.

Anne Laure Chassanite – Vice President, Supply

1360 Post Oak Blvd, Suite 400

Houston, TX 77056

T: (832) 866-5707

F: 713-636-1601

Email: anne-laure.chassanite@engie.com

Ms. Chassanite joined ENGIE Resources in June 2019 as a Director of natural gas and has since been promoted to Vice President of Supply. She is responsible for overseeing the management of forecasting, scheduling and development of electric and gas activity. Ms. Chassanite has an extensive background in power and natural gas supply with over 14 years in scheduling, crisis management, risk analysis and knowledge of distribution and transmission networks with ENGIE's Global gas distribution businesses all over the world. Ms. Chassanite graduated with a degree from the (the Paris Institute of Political Studies) and Master of Law degree from the University of Rennes 1.



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Exhibit D-4 – “FERC Power Marketer License Number”

Provide a statement disclosing the applicant’s FERC Power Marketer License number. (Power Marketers only).

ENGIE Resources, formerly known as GDF SUEZ Energy Resources NA, Inc. was granted market-based rate authority by the Federal Energy Regulatory Commission (“FERC”) in Docket No. ER16-583-001. ENGIE Resources has an effective market-based rate tariff on file with FERC in Docket No. ER16-1708-000. ENGIE Resources filed a Notice of Succession notifying the FERC of its name change to ENGIE Resources LLC in Docket No. ER16-2271-000. FERC accepted notice of succession and revised market-based rate tariff effective September 21, 2016 in Docket No. ER16-2271-000.