



DIS Case Number: 13-0843-EL-AGG

## Section A: Application Information

### A-1. Provider type:

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

### A-2. Applicant's legal name and contact information.

**Legal Name:** Alfa Energy LLC    **Country:** United States  
**Phone:** 8888595226    **Extension (if applicable):**    **Street:** 6177 N Lincoln Ave, Unit 333  
**Website (if any):** www.alfaenergygroup.com    **City:** Chicago    **Province/State:** IL  
**Postal Code:** 60659

### A-3. Names and contact information under which the applicant will do business in Ohio

Provide the names and contact information the business entity will use for business in Ohio. This does not have to be an Ohio address and may be the same contact information given in A-2.

Name	Type	Address	Active?	Proof
Alfa Energy LLC	Official Name	6177 N Lincoln Ave, Unit 333 Chicago, IL 60659	Yes	Link

### A-4. Names under which the applicant does business in North America

Provide all business names the applicant uses in North America, including the names provided in A-2 and A-3.

Name	Type	Address	Active?	Proof
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### A-5. Contact person for regulatory matters

Kenan Kreso  
6177 N Lincoln Ave, Unit 333



## Public Utilities Commission

Chicago, IL 60659

US

kenan@alfa-energy.com

8888595226

### A-6. Contact person for PUCO Staff use in investigating consumer complaints

Kenan Kreso

6177 N Lincoln Ave, Unit 333

Chicago, IL 60659

US

kenan@alfa-energy.com

8888595226

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

**Phone:** 8888595226

**Extension (if  
applicable):**

**Country:** United States

**Fax:**

**Extension (if applicable):**

**Street:** 6177 N Lincoln Ave, Unit 333

**Email:** kenan@alfa-energy.com

**City:** Chicago

**Province/State:** IL

**Postal Code:** 60659

### A-8. Applicant's federal employer identification number

27-2078701

### A-9. Applicant's form of ownership

**Form of ownership:** Limited Liability Company (LLC)

### A-10. Identify current or proposed service areas

Identify each service area in which the applicant is currently providing service or intends to provide service and identify each customer class that the applicant is currently serving or intends to serve.

#### Service area selection

AEP Ohio

DP&L

Duke Energy Ohio

FirstEnergy - Cleveland Electric Illuminating



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FirstEnergy - Ohio Edison  
FirstEnergy - Toledo Edison

### Class of customer selection

Commercial

### A-11. Start date

Indicate the approximate start date the applicant began/will begin offering services: 05-14-2014

### A-12. Principal officers, directors, and partners

Please provide all contacts that should be listed as an officer, director or partner.

Name	Email	Title	Address
Kenan Kreso	kenan@alfa-energy.com	Director	6177 N Lincoln Ave, Unit 333 Chicago, IL 60659 US

### A-13. Company history

Alfa Energy LLC was formed in Chicago, IL in April of 2010. Since day one Alfa Energy LLC focus of marketing and operation has been on energy brokerage of commercial clients in Illinois. Alfa Energy LLC has expanded to other states within the United States as and when our local IL clients need our service in other jurisdictions.

### A-14. Secretary of State

Secretary of State Link: <https://businesssearch.ohiosos.gov?=businessDetails/2185356>

## Section B: Applicant Managerial Capability and Experience

### B-1. Jurisdiction of operations

List all jurisdictions in which the applicant or any affiliated interest of the applicant is certified, licensed, registered or otherwise authorized to provide retail natural gas service or retail/wholesale electric service as of the date of filing the application..



Jurisdiction of Operation: Alfa Energy is licensed and currently operating as an energy broker in the following jurisdictions:

State of Illinois

State of Michigan

State of New Jersey

State of New York

State of Pennsylvania

State of Texas

## **B-2. Experience and plans**

Describe the applicant's experience in providing the service(s) for which it is applying (e.g., number and type of customers served, utility service areas, amount of load, etc.). Include the 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 Sections 4928.10 and/or 4929.22 of the Ohio Revised Code.

Application Experience and Plan Description: As a standard practice and in compliance with all jurisdictions in which the Alfa Energy LLC is licensed, the Alfa Energy LLC provides its prospective clients with adequate, accurate, and understandable pricing and terms and conditions of service, including any switching fees, and a document containing the terms and conditions of pricing and service before the consumer enters into the contract for service, and discloses the conditions under which a customer may rescind a contract without penalty. All prospective clients are also informed as to the procedure as to how a client may cancel, switch or terminate service, and the requisite notice for such cancellation.

Alfa Energy LLC discloses of all prices, commissions earned on the transaction, usage history, and information relating to the suppliers in which Alfa Energy LLC is offering energy brokerage services through. Alfa Energy LLC provides all contact information to the supplier that is selected for service for direct contact and issues relating to the provision of service, as well as the contact information of the governing body of the energy market (i.e. Illinois Commerce Commission in Illinois). Alfa Energy LLC also assigned a trained sales member to each customer to assist in the servicing of the customer throughout the duration of the contract with Alfa Energy LLC.

Alfa Energy LLC customers receive monthly or quarterly (at the selection of the customer) statements showing usage, rates and commission earned.

In order to comply with Section 4928.10 of the Ohio Revised Code, Alfa Energy LLC has recently adopted the practice of providing customers with information pertaining to the following:

- Coordination between suppliers for the purpose of maintaining service;



- The allocation of partial payments between suppliers when service components are jointly billed;
- 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;
- 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.
- A requirement of disclosure of the conditions under which a customer may rescind a decision to switch its supplier without penalty;
- Specification of any required notice and any penalty for early termination of contract.

Alfa Energy LLC has and will continue to comply with all regulations set forth by the governing jurisdictions, including those regulations set forth in Section 4928.10 of the Ohio Revised Code.

### **B-3. Disclosure of liabilities and investigations**

For the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant, describe all existing, pending or past rulings, judgments, findings, contingent liabilities, revocation of authority, regulatory investigations, judicial actions, or other formal or informal notices of violations, or any other matter related to competitive services in Ohio or equivalent services in another jurisdiction..

Liability and Investigations Disclosures: Alfa Energy has no existing, pending or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or any other matter that could adversely impact the its financial or operational status or ability to provide the services it is seeking to be certified to provide.

### **B-4. Disclosure of consumer protection violations**

Has the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years?

**No**

### **B-5. Disclosure of certification, denial, curtailment, suspension or revocation**



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Has the applicant, affiliate, or a predecessor of the applicant had any certification, license, or application to provide retail natural gas or retail/wholesale electric service denied, curtailed, suspended, revoked, or cancelled or been terminated or suspended from any of Ohio's Natural Gas or Electric Utility's Choice programs within the past two years?

**No**

## Section C: Applicant Financial Capability and Experience

### C-1. Financial reporting

Provide a current link to the most recent Form 10-K filed with the Securities and Exchange Commission (SEC) or upload the form. If the applicant does not have a Form 10-K, submit the parent company's Form 10-K. If neither the applicant nor its parent is required to file Form 10-K, state that the applicant is not required to make such filings with the SEC and provide an explanation as to why it is not required.

Does not apply

### C-2. Financial statements

Provide copies of the applicant's two most recent years of audited financial statements, including a 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, provide 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 bank account numbers redacted**.

If the applicant is unable to meet the requirement for two years of financial statements, the Staff reviewer may request additional financial information.

Preferred to file this information confidentially

### C-3. Forecasted financial statements



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Provide two years of forecasted income statements **based solely on the applicant's anticipated business activities in the state of Ohio.**

Include the following information with the forecast: a list of assumptions used to generate the forecast; a statement indicating that the forecast is based solely on Ohio business activities only; and the name, address, email address, and telephone number of the preparer of the forecast.

The forecast may be in one of two acceptable formats: 1) an annual format that includes the current year and the two years succeeding the current year; or 2) a monthly format showing 24 consecutive months following the month of filing this application broken down into two 12-month periods with totals for revenues, expenses, and projected net incomes for both periods. Please show revenues, expenses, and net income (revenues minus total expenses) that is expected to be earned and incurred in **business activities only in the state of Ohio** for those periods.

If the applicant is filing for both an electric certificate and a natural gas certificate, please provide a separate and distinct forecast for revenues and expenses representing Ohio electric business activities in the application for the electric certificate and another forecast representing Ohio natural gas business activities in the application for the natural gas certificate.

Preferred to file confidentially

### **C-4. Credit rating**

Provide a credit opinion disclosing the applicant's credit rating as reported by at least one of the following ratings agencies: Moody's Investors Service, Standard & Poor's Financial Services, Fitch Ratings or the National Association of Insurance Commissioners. If the applicant does not have its own credit ratings, substitute the credit ratings of a parent or an affiliate organization and submit 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 'Not Rated'.

This does not apply

### **C-5. Credit report**

Provide a copy of the applicant's credit report from Experian, Equifax, TransUnion, Dun and Bradstreet or a similar credit reporting organization. If the applicant is a newly formed entity with no credit report, then provide a personal credit report for the principal owner of the entity seeking certification. At a minimum, the credit report must show summary information and an overall credit score. **Bank/credit account numbers and highly sensitive identification**



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**information must be redacted.** If the applicant provides an acceptable credit rating(s) in response to C-4, then the applicant may select 'This does not apply' and provide a response in the box below stating that a credit rating(s) was provided in response to C-4.

Preferred to file this information confidentially

### **C-6. Bankruptcy information**

Within the previous 24 months, have any of the following filed for reorganization, protection from creditors or any other form of bankruptcy?

- Applicant
- Parent company of the applicant
- Affiliate company that guarantees the financial obligations of the applicant
- Any owner or officer of the applicant

No

### **C-7. Merger information**

Is the applicant currently involved in any dissolution, merger or acquisition activity, or otherwise participated in such activities within the previous 24 months?

No

### **C-8. Corporate structure**

Provide a graphical depiction of the applicant's corporate structure. Do not provide an internal organizational chart. The graphical depiction should include all parent holding companies, subsidiaries and affiliates as well as 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 the applicant may respond by stating that it is a stand-alone entity with no affiliate or subsidiary companies.

Stand-alone entity with no affiliate or subsidiary companies

## **Section D: Applicant Technical Capacity**

### **D-1. Operations**





Power brokers/aggregators: Include details of the applicant's business operations and plans for arranging and/or aggregating for the supply of electricity to retail customers.

**Operations Description:** Alfa Energy LLC business operations works on consulting clients with the procurement of the energy for their business. The clients we consult with in Ohio are mainly clients that we do business with in Illinois, which also have operations in OH . Alfa Energy does not do aggregation.

**D-2. Operations Expertise & Key Technical Personnel**

Given the operational nature of the applicant's business, provide evidence of the applicant's experience and technical expertise in performing such operations. Include the names, titles, e-mail addresses, and background of key personnel involved in the operations of the applicant's business.

**Operations Expertise & Personnel Description:** The experience of key personnel is detailed below:

Kenan Kreso  
Managing Director  
kenan@alfa-energy.com  
312 488 4840

Kenan has been working with Alfa Energy since its inception in 2010. Kenan helped launch the US office in Chicago with a focus of energy procurement for commercial clients in Illinois. The clients in in Kenan's portfolio are from many different types of industries and vary greatly in consumption size. Prior to launching Alfa Energy in Chicago, Kenan worked as managing director to Energy Trading Company d.o.o in Sarajevo, Bosnia & Herzegovina. Energy Trading Company was focused on energy procurement from Sarajevo for the commercial market in the United Kingdom.

Bryan Kimmell  
Head Energy Consultant  
bryan@alfa-energy.com



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Commission**

312 488 4842

Bryan has been with Alfa Energy since August 2010. Bryan has brought in commercial and industrial clients to Alfa Energy's portfolio with a focus on offering energy procurement and risk management to these clients. Prior to Alfa Energy Bryan worked as an energy consultant in 1999 and then from 1999 to 2009 Bryan managed a natural gas peaker plant.



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# Application Attachments

# Competitive Retail Electric Service Affidavit

County of Cook :

State of Illinois :

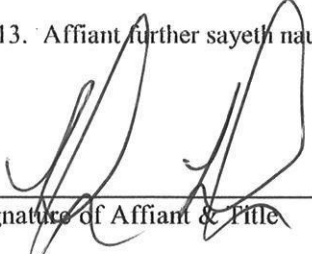
Kenan Kreso

, Affiant, being duly sworn/affirmed, hereby states that:

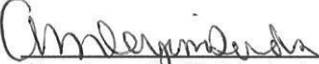
1. The information provided within the certification or certification renewal application and supporting information is complete, true, and accurate to the best knowledge of affiant, and that it will amend its application while it is pending if any substantial changes occur regarding the information provided.
2. The applicant will timely file an annual report of its intrastate gross receipts, gross earnings, and sales of kilowatt-hours of electricity pursuant to Sections 4905.10(A), 4911.18(A), and 4928.06(F), Ohio Revised Code.
3. The applicant will timely pay any assessment made pursuant to Sections 4905.10, 4911.18, and 4928.06(F), Ohio Revised Code.
4. The applicant will comply with all applicable rules and orders adopted by the Public Utilities Commission of Ohio pursuant to Title 49, Ohio Revised Code.
5. The applicant 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 will fully comply with Section 4928.09, Ohio Revised Code regarding consent to the jurisdiction of Ohio Courts and the service of process.
7. The applicant will comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
8. The applicant 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 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, 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.
11. The Applicant will inform the Public Utilities Commission of Ohio 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 consumer complaints.

12. The facts set forth above are true and accurate 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.

13. Affiant further sayeth naught.

  
Signature of Affiant & Title Director

Sworn and subscribed before me this 26<sup>th</sup> day of April, 2021  
Month Year

  
Signature of official administering oath

Amberjune M Duda (LAO)  
Print Name and Title

AMBERJUNE M DUDA  
Official Seal  
Notary Public - State of Illinois  
My Commission Expires Aug 15, 2023

My commission expires on Aug 15<sup>th</sup>, 2023

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

**Commission of Ohio Docketing Information System on**

**4/26/2021 1:39:11 PM**

**in**

**Case No(s). 13-0843-EL-AGG**

Summary: In the Matter of the Application of Alfa Energy LLC