



ORIGINAL

Amerex Brokers LLC

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FILE

September 2, 2021

VIA FEDEX

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

RE: Amerex Brokers LLC's Renewal Application for Aggregators/Power Brokers under Original Case Number: 09-0863-EL-AGG; and Amended Exhibit C-3 (forecasted financials).

To whom it may concern:

Please find enclosed herein the amended Exhibit C-3 (forecasted financials) to be included as an amendment to Amerex's renewal application for aggregators/power brokers under Case Number: 09-0863-EL-AGG. We have updated the Exhibit C-3 in accordance with the instructions received by Mr. Palkowski via email on September 1, 2021 and attached to this letter. We have submitted an original and 2 copies of the amended Exhibit C-3. Thank you for your attention to this matter.

Very truly yours,

Amalia Berrios; VP and Sr. Counsel
Amerex Brokers LLC
1 Sugar Creek Center Blvd.
Suite 700
Sugar Land, Texas 77478
Phone: 281-340-5212
Email: aberrios@cantor.com

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PUCO

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 NLB Date Processed 9/2/21

Berrios, Amalia

From: michael.palkowski@puco.ohio.gov
Sent: Wednesday, September 1, 2021 8:44 AM
To: Berrios, Amalia
Subject: Your company's Ohio renewal applications do not meet requirements
Attachments: _Natural Gas C-3 Forecast Example.pdf

This email originated from outside the Firm

Amalia Berrios,

The certification applications for Amerex Brokers LLC (Case Numbers 09-0862-GA-AGG and 09-0863-EL-AGG) were received by the PUCO Docketing Division on August 26, 2021. However, the applications did not comply with the requirements for the financial-related Exhibit C-3 (forecasted financials).

Information for this exhibit is required for certification. You should be fully aware of the requirement since you initially failed to provide a forecast for each of these cases in 2017. In response to the email which I sent to you on September 19, 2017, you filed an amendment to your applications with a forecast on September 27, 2017 which fulfilled the requirements of the forecast at that time. With your company's subsequent renewal on September 18, 2019, you successfully filed a forecast which did not require an amendment.

The format for the forecast has changed slightly since 2019 and now a forecast for the current year (a mix of actual results and forecasted results) and the next two subsequent years is required. A sample template is attached for your convenience; you need to fill in the actual dates. In the event that no revenues are expected for a given year, you can, at minimum, enter an estimated \$100 expense for your company's annual fee for each case and compute net income accordingly.

In order to avoid suspension and/or denial of your applications, please send the above referenced Exhibits to the PUCO Docketing Division with a note to include them as amendments to your applications for Case Numbers 09-0862-GA-AGG and 09-0863-EL-AGG. Use separate sheets of paper for each Case. The required amendments must be received by Docketing (**not myself**) by **Noon Thursday, September 16, 2021** and comply with filing content requirements in order for staff to have sufficient time to review the information and for you to avoid suspension or denial of your applications.

Please **email me** if you have any questions.

Michael J. Palkowski
Public Utilities Commission of Ohio
Rates and Analysis Department
Specialist, Capital Recovery and Financial Analysis Division
PUCO.ohio.gov



AMEREX BROKERS LLC

AMENDED EXHIBIT C-3 FOREASTED FINANCIAL STATEMENTS

Amerex Brokers does not currently forecast income based on any anticipated activities in the State of Ohio as Amerex is not currently providing services in the State of Ohio. Please see attached forecasted income statement based on Ohio Electric Power brokering activities.

Amerex Brokers, LLC
Forecasted Income Statement based solely upon Ohio Electricity Brokering Activities

	Current Year Estimated 2021	Forecast Year 1 2022	Forecast Year 2 2023
Revenues			
Ohio Electricity Brokering Rev.	\$ -	\$ -	\$ -
Expenses			
Total Expenses	\$ (100)	\$ (100)	\$ (100)
Taxes			
Provision for Taxes	\$ -	\$ -	\$ -
Net Income (Loss)	\$ (100)	\$ (100)	\$ (100)

Forecast prepared by:
Richard Wommack
Finance Director - Amerex Brokers
1 Sugar Creek Center Blvd
Sugar Land, TX 77478
281-340*-5203

Assumptions:
No current employees in Ohio, and no plans to add any in the coming years.

Forward-looking statement

The information contained in this unaudited financial statement contain forward-looking statements within the meaning of the Private Securities Litigation Reform Act of 1995. The word "projections" or similar expressions identify such forward-looking statements. Actual results, performance or achievements could differ materially from those contemplated, expressed or implied by the forward-looking statements contained herein. These forward-looking statements are based largely on the expectations of Amerex Brokers LLC and GFI Group Inc. (the "Company") and are subject to a number of risks and uncertainties. These include, but are not limited to, risks and uncertainties associated with: economic, political and market factors affecting trading volumes; securities prices or demand for the Company's brokerage services; competition from current and new competitors; the Company's ability to attract and retain key personnel, including highly-qualified brokerage personnel; the Company's ability to identify and develop new products and markets; changes in laws and regulations governing the Company's business and operations or permissible activities; the Company's ability to manage its international operations; financial difficulties experienced by the Company's customers or key participants in the markets in which the Company focuses its brokerage services; the Company's ability to keep up with technological changes; uncertainties relating to litigation and the Company's ability to assess and integrate acquisition prospects. Further information about factors that could affect the Company's financial and other results is included in the Company's filings with the Securities and Exchange Commission. The Company does not undertake to publicly update or revise any forward-looking statements, whether as a result of new information, future events or otherwise.