

DIS Case Number: 14-0742-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: HB Hayes & Associates LLC **Country:** United States
Phone: 5672022728 **Extension (if applicable):** **Street:** 8225 Farnsworth Road Suite A-10
Website (if any): www.aes-energ.com **City:** Waterville **Province/State:** OH
Postal Code: 43566

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
Alternative Energy Source	DBA	,	Yes	File

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
Alternative Energy Source	DBA	,	Yes	File

A-5. Contact person for regulatory matters



Public Utilities Commission

Huck Hayes
8225 Farnsworth Road Suite A-10
Waterville, OH 43566
US
huckhayes@aes-energ.com
5672022728

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

Huck Hayes
8225 Farnsworth Road Suite A-10
Waterville, OH 43566
US
huckhayes@aes-energ.com
5672022728

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

Phone: 866-646-7322	Extension (if applicable):	Country: United States
Fax: 866-865-8740	Extension (if applicable):	Street: 8225 Farnsworth Road Suite A-10
Email: huckhayes@aes-energ.com	City: Waterville	Province/State: OH
	Postal Code: 43566	

A-8. Applicant's federal employer identification number

34-1837171

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

Duke Energy Ohio

FirstEnergy - Cleveland Electric Illuminating
FirstEnergy - Ohio Edison
FirstEnergy - Toledo Edison
AES Ohio
American Electric Power (AEP)

Class of customer selection

Commercial
Industrial

A-11. Start date

Indicate the approximate start date the applicant began/will begin offering services: 06-01-1991

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
Julie Hayes	juliehayes@aes-energ.com	VP & CFO	8225 Farnsworth Road Suite A-10 Waterville, OH 43566 US
Huck Hayes	huckhayes@aes-energ.com	Member	8225 Farnsworth Road Suite A-10 Waterville, OH 43566 US

A-13. Company history

Alternative Energy Source founded in 1991, started working in the deregulated energy markets to assist customers in evaluating their electric options.

Marketing efforts will be completed via direct mail, phone solicitation and personal contact.

Acting as a broker, we will assist the customer in obtaining competitive quotes from certified energy suppliers. Customers will sign a supply agreement with the certified energy suppliers. Alternative Energy Source will be compensated directly by the supplier. The customer will be billed by the certified supplier not Alternative Energy Source. However, we will be responsible for managing the customers program which includes resolving by our self or with the assistance of the certified energy supplier any customer inquiries and or complaints.

Alternative Energy Source will maintain a toll-free phone and fax number for our customers. Our staff is capable of handling most inquires. Problem inquires will be directed to our office manager or Huck Hayes for resolution.

A-14. Secretary of State

Secretary of State Link:

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: Alternative Energy Source currently provides electric sales to customers in Ohio, Michigan, Indiana, Pennsylvania and Illinois. We are expanding our marketing efforts to include Retail Electric Services within the Ohio market. Future growth will be into markets that offers both electric and natural gas deregulated program to commercial and industrial customers.

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: Alternative Energy Source with over thirty (30) years' experience working in the deregulated energy markets will assist customers in evaluating their electric options.

Marketing efforts will be completed via direct mail, phone solicitation and personal contact. Acting as a broker, we will assist the customer in obtaining competitive quotes from certified energy suppliers. Customers will sign a supply agreement with the certified energy suppliers. Alternative Energy Source will be compensated directly by the supplier. The customer will be billed by the certified supplier not Alternative Energy Source. However, we will be responsible for managing the customers program which includes resolving by our self or with the assistance of the certified energy supplier any customer inquiries and or complaints.

Alternative Energy Source will maintain a toll-free phone and fax number for our customers. Our staff is capable of handling most inquires. Problem inquires will be directed to our office manager or Huck Hayes for resolution.

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: There are no existing, pending or past rulings that could adversely impact our ability to service the customer.

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

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

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



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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 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: Alternative Energy Source provides brokerage services to electric end users. We currently serve customers in five (5) states. We provide our customers market updates, buying suggestions and customer service with the supplier of local utility company. The certified suppliers is responsible for nominating, scheduling and billing the customer.

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: Huck Hayes has over 31 years' experience in the energy industry. Since 1991 Mr. Hayes has been responsible for managing the sales and operations of the company. Besides developing customer relationships Mr. Hayes has built strong relationships with the certified suppliers and the local utilities. Over the years, he has established and implemented energy procurement programs for clients and gained a working knowledge of the supplier and LDC systems we currently serve.

He also held accounting positions with Placid Oil Company, an independent oil and gas exploration and production company.

A graduate of Ohio Northern University with a BA major in Accounting. Mr. Hayes has held various management positions in accounting with such companies as Trinova Corporation, Westhaven, and Zales Corporation.



Public Utilities
Commission

Application Attachments

Entity#: 993664
Filing Type: DOMESTIC LIMITED LIABILITY COMPANY
Original Filing Date: 10/08/1997
Location: --
Business Name: HB HAYES & ASSOCIATES, LLC

Status: Active
Exp. Date: -

Agent/Registrant Information

HUCK B HAYES
8225 FARNSWORTH RD. A-10
WATERVILLE OH 43566
10/08/1997
Active

Filings

Filing Type	Date of Filing	Document ID
DOMESTIC LLC - ARTICLES OF ORGANIZATION	10/08/1997	6026_0508
AGENT ADDRESS CHANGE/LIMITED/LIABILITY/PARTNERS	02/02/2007	200703901758
TRADE NAME/ASSIGNMENT	12/22/2016	201636402452
TRADE NAME RENEWAL	01/18/2017	201701701928
TRADE NAME RENEWAL	12/22/2021	202135602622

Mon May 23 2022

UNITED STATES OF AMERICA
STATE OF OHIO
OFFICE OF SECRETARY OF STATE

I, Frank LaRose, Secretary of State of the State of Ohio, do hereby certify that this is a list of all records approved on this business entity and in the custody of the Secretary of State.



*Witness my hand and the seal of the
Secretary of State at Columbus,
Ohio this 23rd of May, A.D. 2022*

Ohio Secretary of State

A handwritten signature in blue ink, reading "Frank LaRose".

Competitive Retail Electric Service Affidavit

County of Lucas :

State of Ohio :

Julie V. Hayes, 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.

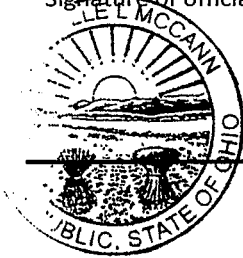
13. Affiant further sayeth naught.

Julie V. Hayes, Vice President
Signature of Affiant & Title

Sworn and subscribed before me this 9 day of June, 2022
Month Year

Michelle L McCann
Signature of official administering oath

Michelle L McCann
Print Name and Title



Michelle L. McCann

NOTARY PUBLIC
STATE OF OHIO

My commission expires on 2-14-2025

My Commission Expires
February 14, 2025

**This foregoing document was electronically filed with the Public Utilities
Commission of Ohio Docketing Information System on**

6/9/2022 3:00:45 PM

in

Case No(s). 14-0742-EL-AGG

Summary: In the Matter of the Application of HB Hayes & Associates LLC