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The Public Utilities Commission of Ohio

<b>Original AGG Case Number</b>	<b>Version</b>
04 - 592 -EL-AGG	August 2004

### RENEWAL APPLICATION FOR AGGREGATORS/POWER BROKERS

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit A-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's legal name, address, telephone number, PUCO certificate number, and web site address

Legal Name Independent Energy Consultants, Inc.  
Address 215 W. Garfield Road Suite 210 Aurora, Ohio 44202  
PUCO Certificate # and Date Certified 04-116E(5) Effective May 23, 2012  
Telephone # (330) 995-2675 Web site address (if any) www.naturalgas-electric.com

##### A-2 List name, address, telephone number and web site address under which Applicant will do business in Ohio

Legal Name Independent Energy Consultants, Inc.  
Address 215 W. Garfield Road Suite 210 Aurora, Ohio 44202  
Telephone # (330) 995-2675 Web site address (if any) www.naturalgas-electric.com

##### A-3 List all names under which the applicant does business in North America

Independent Energy Consultants, Inc \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

##### A-4 Contact person for regulatory or emergency matters

Name Mark R. Burns  
Title President  
Business address 215 W. Garfield Road Suite 210 Aurora, Ohio 44202  
Telephone # (330) 995-2675 Fax # (800) 574-4508  
E-mail address (if any) mburns@naturalgas-electric.com

PUCO  
2014 MAR 26 PM 2:52  
PUCO/REG-D-DOCKETING DIV

**A-5 Contact person for Commission Staff use in investigating customer complaints**

Name Mark Burns  
Title President  
Business address 215 W. Garfield Road Suite 210 Aurora, Ohio 44202  
Telephone # (330) 995-2675 Fax # (800) 574-4508  
E-mail address (if any) mburns@naturalgas-electric.com

**A-6 Applicant's address and toll-free number for customer service and complaints**

Customer Service address 215 W. Garfield Road Suite 210 Aurora, Ohio 44202  
Toll-free Telephone # (888) 862-6060 Fax # (800) 574-4508  
E-mail address (if any) info@naturalgas-electric.com

**A-7 Applicant's federal employer identification number # 20-0989144**

**A-8 Applicant's form of ownership (check one)**

- |  |  |
|--|--|
| <input type="checkbox"/> Sole Proprietorship                 | <input type="checkbox"/> Partnership                     |
| <input type="checkbox"/> Limited Liability Partnership (LLP) | <input type="checkbox"/> Limited Liability Company (LLC) |
| <input checked="" type="checkbox"/> Corporation              | <input type="checkbox"/> Other _____                     |

**PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:**

**A-9 Exhibit A-9 "Principal Officers, Directors & Partners" provide the names, titles, addresses and telephone numbers of the applicant's principal officers, directors, partners, or other similar officials.**

**A-10 Exhibit A-10 "Corporate Structure," provide a description of the applicant's corporate structure, 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 and companies that aggregate customers in North America.**

**B. APPLICANT MANAGERIAL CAPABILITY AND EXPERIENCE**

**PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:**

**B-1 Exhibit B-1 "Jurisdictions of Operation," provide a list of all jurisdictions in which the applicant or any affiliated interest of the applicant is, at the date of filing the application, certified, licensed, registered, or otherwise authorized to provide retail or wholesale electric services including aggregation services.**

**B-2 Exhibit B-2 "Experience & Plans," provide a description of the applicant's experience and plan for contracting with customers, providing contracted services, providing billing statements, and responding to customer inquiries and complaints in accordance with Commission rules adopted pursuant to Section 4928.10 of the Revised Code.**

**B-3** **Exhibit B-3 "Disclosure of Liabilities and Investigations,"** provide a description of all existing, pending or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or any other matter that could adversely impact the applicant's financial or operational status or ability to provide the services it is seeking to be certified to provide.

**B-4** Disclose whether the applicant, a predecessor of the applicant, or any principal officer of the applicant have ever been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years.

No       Yes

If yes, provide a separate attachment labeled as **Exhibit B-4 "Disclosure of Consumer Protection Violations"** detailing such violation(s) and providing all relevant documents.

**B-5** Disclose whether the applicant or a predecessor of the applicant has had any certification, license, or application to provide retail or wholesale electric service including aggregation service denied, curtailed, suspended, revoked, or cancelled within the past two years.

No       Yes

If yes, provide a separate attachment labeled as **Exhibit B-5 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation"** detailing such action(s) and providing all relevant documents.

## **C. FINANCIAL CAPABILITY AND EXPERIENCE**

**PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:**

**C-1** **Exhibit C-1 "Annual Reports,"** provide the two most recent Annual Reports to Shareholders. If applicant does not have annual reports, the applicant should provide similar information in Exhibit C-1 or indicate that Exhibit C-1 is not applicable and why.

**C-2** **Exhibit C-2 "SEC Filings,"** provide the most recent 10-K/8-K Filings with the SEC. If applicant does not have such filings, it may submit those of its parent company. 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.

- 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.).
- C-5 **Exhibit C-5 “Forecasted Financial Statements,”** provide two years of forecasted financial statements (balance sheet, income statement, and cash flow statement) for the applicant’s CRES operation, along with a list of assumptions, and the name, address, e-mail address, and telephone number of the preparer.
- 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, Dun and Bradstreet Information Services, Fitch IBCA, Moody’s Investors Service, Standard & Poors, 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.
- 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.
- 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 five most recent years preceding the application.

Mark R. Burns, PRESIDENT  
Signature of Applicant & Title

Sworn and subscribed before me this 14 day of March, 2014  
Month Year

[Signature]  
Signature of official administering oath

James Talcott Notary Public  
Print Name and Title



My commission expires on AUG. 30th 2017

# **AFFIDAVIT**

State of Ohio :

Aurora ss.  
(Town)

County of Portage :

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

He/~~she~~ is the President (Office of Affiant) of Independent Energy Consultants, Inc. (Name of Applicant);

That he/~~she~~ is authorized to and does make this affidavit for said Applicant,

1. The Applicant herein, attests under penalty of false statement that all statements made in the application for certification renewal are true and complete and that it will amend its application while the application is pending if any substantial changes occur regarding the information provided in the application.
2. The Applicant herein, attests it will timely file an annual report with the Public Utilities Commission of Ohio of its intrastate gross receipts, gross earnings, and sales of kilowatt-hours of electricity pursuant to Division (A) of Section 4905.10, Division (A) of Section 4911.18, and Division (F) of Section 4928.06 of the Revised Code.
3. The Applicant herein, attests that it will timely pay any assessments made pursuant to Sections 4905.10, 4911.18, or Division F of Section 4928.06 of the Revised Code.
4. The Applicant herein, attests that it will comply with all Public Utilities Commission of Ohio rules or orders as adopted pursuant to Chapter 4928 of the Revised Code.
5. The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, and its Staff on any utility matter including the investigation of any consumer complaint regarding any service offered or provided by the Applicant.
6. The Applicant herein, attests that it will fully comply with Section 4928.09 of the Revised Code regarding consent to the jurisdiction of Ohio Courts and the service of process.
7. The Applicant herein, attests that it will use its best efforts to verify that any entity with whom it has a contractual relationship to purchase power is in compliance with all applicable licensing requirements of the Federal Energy Regulatory Commission and the Public Utilities Commission of Ohio.
8. The Applicant herein, attests that it will comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
9. The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, the electric distribution companies, the regional transmission entities, and other electric suppliers in the event of an emergency condition that may jeopardize the safety and reliability of the electric service in accordance with the emergency plans and other procedures as may be determined appropriate by the Commission.
10. If applicable to the service(s) the Applicant will provide, the Applicant herein, attests that it will adhere to the reliability standards of (1) the North American Electric Reliability Council (NERC), (2) the appropriate regional reliability council(s), and (3) the Public Utilities Commission of Ohio. (Only applicable if pertains to the services the Applicant is offering)

11. The Applicant herein, attests that it will inform the Commission of any material change to the information supplied in the renewal application within 30 days of such material change, including any change in contact person for regulatory purposes or contact person for Staff use in investigating customer complaints.

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

Mad R. Burns, PRESIDENT  
Signature of Affiant & Title



Sworn and subscribed before me this 14 day of MARCH, 2014 Year  
Month

[Signature]  
Signature of official administering oath

James Talcott Notary Public  
Print Name and Title

My commission expires on AUG. 30th 2017

**Exhibit A-9 "Principal Officers, Directors & Partners"**

**Officers**

Mark R. Burns, President  
215 W Garfield Road Suite 210  
Aurora, Ohio 44202  
(330) 995-2675

Regina M. Burns, Vice President  
215 W Garfield Road Suite 210  
Aurora, Ohio 44202  
(330) 995-2675

Regina M. Burns, Treasurer  
215 W Garfield Road Suite 210  
Aurora, Ohio 44202  
(330) 995-2675

Regina M. Burns, Secretary  
215 W Garfield Road Suite 210  
Aurora, Ohio 44202  
(330) 995-2675

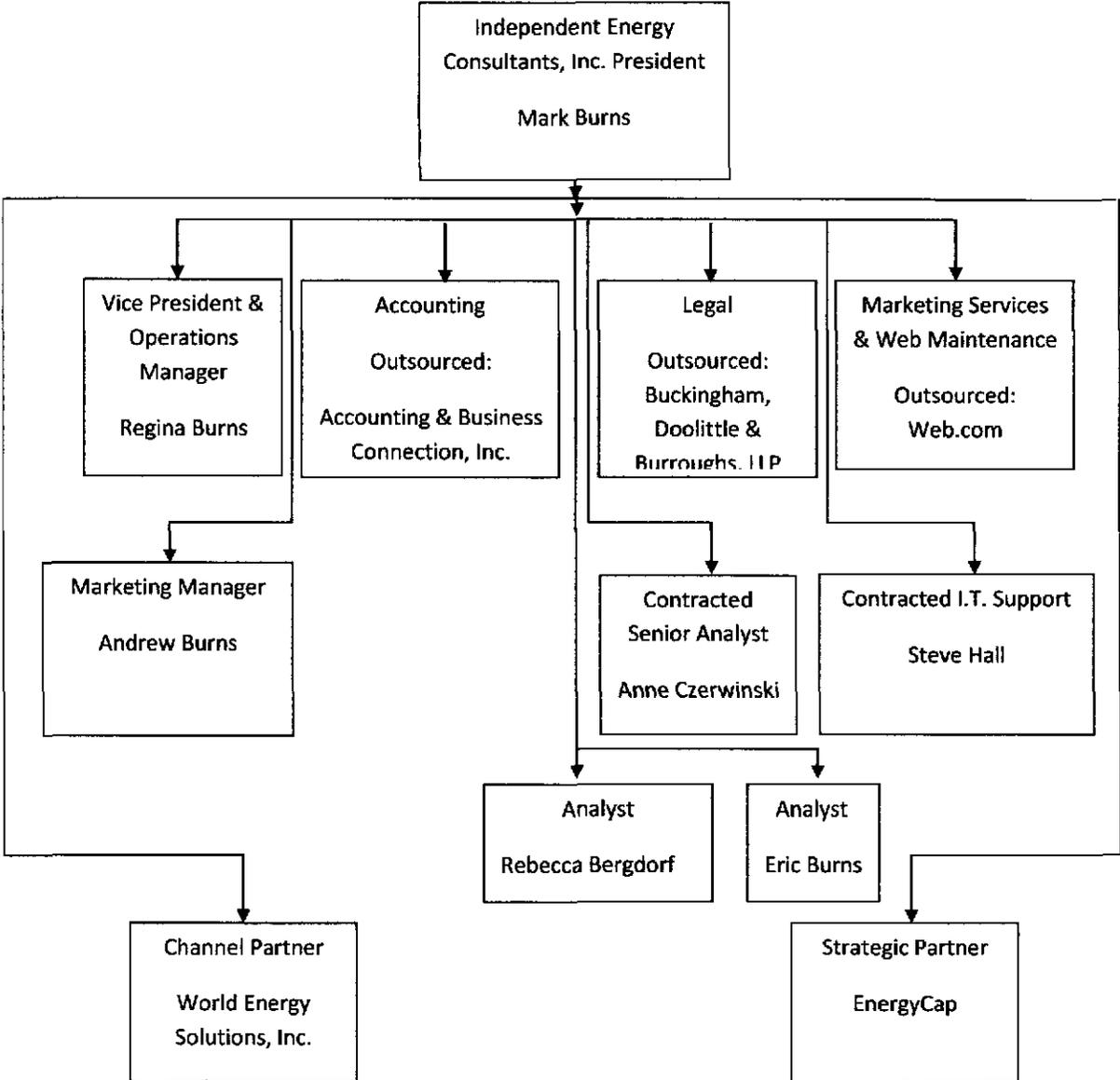
**Directors**

Mark R. Burns  
215 W Garfield Road Suite 210  
Aurora, Ohio 44202  
(330) 995-2675

Regina M. Burns  
215 W Garfield Road Suite 210  
Aurora, Ohio 44202  
(330) 995-2675

**Exhibit A-10 "Corporate Structure"**

Independent Energy Consultants, Inc. has eight employees and two contractors who provide administrative and information technology support. The office address is 215 W Garfield Road Suite 210, Aurora, OH 44202. The corporation does not have any affiliates and subsidiary companies that supply retail or wholesale electricity or natural gas to customers in North America. The corporation seeks to outsource key functions where possible. It has and will continue to hire additional contractors/employees for special projects or when the need arises.



**Exhibit B-1 “Jurisdictions of Operation”**

Independent Energy Consultants, Inc. is certified by the Public Utilities Commission of Ohio to provide brokerage and aggregation services of natural gas and electricity throughout all deregulated areas of Ohio. They are similarly licensed in:

- Illinois by the Illinois Commerce Commission as an Agent/Broker/Consultant,
- Virginia by the Virginia State Corporation Commission to provide brokerage and aggregation services of natural gas and electricity, and
- The Public Utilities Commission of Texas as an Aggregator of Electric.

### **Exhibit B-2 "Experience & Plans"**

**Contract Services:** With the aid of its legal counsel, Independent Energy Consultants, Inc. has developed a standard professional services agreement that it will use with its clients. It will also use the respective commodity suppliers' "Independent Agent Agreements" when brokering deals between suppliers and commercial and industrial customers.

**Billing Statements:** Independent Energy Consultants, Inc. brokers energy contracts for Commercial and Industrial customers and designs and implements Governmental Aggregation programs. In the process it never takes title to electricity, so there is no billing for the commodity. Independent Energy Consultants does provide invoices to its clients for consulting services rendered using a commercially available accounting system.

**Customer Service Experience:** Independent Energy Consultants, Inc. is currently administering Electric and/or Natural Gas Governmental Aggregation programs that impact a combination of over 100 Ohio communities. Independent Energy Consultants also provides brokerage service to many commercial and industrial customers outside of aggregation programs. Most questions and calls were answered immediately, and all were responded to within 24 hours of receipt. Customer service often came in the form of assisting residents who had contacted their local government and/or Choice supplier and who still had questions or disputes.

Frequent communication with and detailed quarterly reports to governmental aggregators was used as a customer service technique to head off problems before they arose. This involved training of municipal personnel and preparation of material such as Frequently Asked Questions (FAQs), press releases and conducting informational town hall meetings.

**Customer Complaints and Inquiries:** Independent Energy Consultants, Inc. has helped facilitate the resolution of numerous customer complaints. Virtually all of the questions and complaints, however, concerned matters involving the local utility and/or the supplier of choice.

Inquiries directed to Independent Energy Consultants, Inc. usually pertain to the customers seeking advice on the aggregation process, deciding whether or not to accept an offer, help understanding utility bills, etc.

Customer complaints or inquiries can be made in a number a ways. Customers may contact Independent Energy Consultants, Inc. by:

- Calling the direct number: (330) 995-2675
- Calling the toll free number: (888) 862-6060
- Sending a fax: (800) 574-4508
- Sending an e-mail: [mburns@naturalgas-electric.com](mailto:mburns@naturalgas-electric.com); [rburns@naturalgas-electric.com](mailto:rburns@naturalgas-electric.com)
- Contact via the Independent Energy Consultants website: [info@naturalgas-electric.com](mailto:info@naturalgas-electric.com)

Since the onset of deregulation in Ohio, the founder of Independent Energy Consultants, Inc. has led the development and administration of many government aggregation programs that

serve many communities. Independent Energy Consultants has designed implemented and administered hundreds of aggregation programs across Ohio. The cumulative total of these groups represents approximately 200,000 residential customers and tens of thousands of commercial customers.

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

Neither Independent Energy Consultants, Inc. nor any of its employees have ever had a judgment, investigation, or ruling against it. There are no circumstances that would financially or operationally impact its ability to perform the brokerage and aggregation service for which it seeks certification.

**Exhibit C-1 "Annual Reports"**

Independent Energy Consultants, Inc. is a privately held corporation, and as such, does not produce Annual Reports.

**Exhibit C-2 “SEC Filings”**

Independent Energy Consultants, Inc. is a privately held corporation, and as such, does not produce or file 10-K/8-K, 10-Q, etc., Reports with the Securities Exchange Commission.

**Exhibit C-3 “Financial Statements”**

Independent Energy Consultants, Inc. has filed this information Under Seal.

**Exhibit C-4 “Financial Arrangements”**

Independent Energy Consultants, Inc. does not need to rely on outside financial arrangements to conduct its business as a Power Broker/Aggregator. Independent Energy Consultants, Inc. is an energy-management consulting firm and does not take title to or trade energy, nor is it a capital intensive business.

Independent Energy Consultants, Inc. maintains a business checking account with Chase and Huntington Banks in Aurora, Ohio.

Independent Energy Consultants, Inc. has business debit and credit cards with Chase Bank, and a Staples Office Supply credit card.

**Exhibit C-5 “Forecasted Financial Statements”**

Independent Energy Consultants, Inc. has filed this information Under Seal.

**Exhibit C-6 “Credit Rating”**

As a privately held S Corporation, Independent Energy Consultants, Inc. does not possess a published credit rating.

**Exhibit C-7 “Credit Report”**

The credit report for Independent Energy Consultants, Inc. as provided by Experian is provided on the following two pages.

Independent Energy Consultants, Inc. and the company owners possess an unblemished corporate and personal credit history.



ProfilePlus<sup>SM</sup> Report

as of: 03/01/14 11:50 ET

**Independent Energy Consultants, Inc**

**Address:** 215 W Garfield Rd Ste 210  
Aurora, OH 44202-8849  
United States

**Phone:** 330-995-2675

**Experian BIN:** 750177526

**Agent:** Corporation Service Company

**Agent Address:** Bank Of America Center 16TH Floor  
Richmond, VA

**Key Personnel:** Pres: Mark R Burns  
Vp: Regina M Burns

**SIC Code:** 8742-Management Consulting Services  
8748-Business Consulting Services, Nec

**NAICS Code:** 541612-Human Resources Consulting Services  
541618-Other Management Consulting Services

**Business Type:** Corporation

**Experian File Established:** April 2004

**Experian Years on File:** 10 Years

**Years in Business:** More than 10 Years

**Total Employees:** 3

**Filing Data Provided by:** Ohio

**Date of Incorporation:** 05/14/2004

**Payment Tradelines (see charts, detail):** 2

**UCC Filings:** 0

This location does not yet have an estimated Days Beyond Terms (DBT), or a Payment Trend Indicator. This is often the result of too few Payment Tradelines.

✓ **Businesses Scoring Worse:** 89%

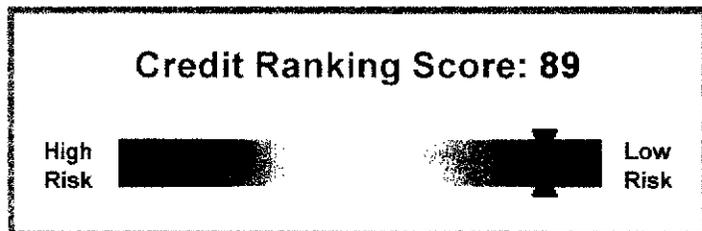
✓ **Bankruptcies:** 0

✓ **Liens:** 0

✓ **Judgments Filed:** 0

✓ **Collections:** 0

**Credit Summary**



The objective of the Credit Ranking Score is to predict payment behavior. High Risk means that there is a significant probability of delinquent payment. Low Risk means that there is a good probability of on-time payment.

**Key Score Factors:**

- Number of active commercial accounts.
- Risk associated with the company's industry sector.
- Risk associated with the business type.
- Employee size of business.

- Number of recently active commercial accounts.
- Length of time on Experian's file.
- Ratio of total bal to total high bal across all comm accts.

## Independent Energy Consultants, Inc. - Exhibit C-7 "Credit Report"

**Recommended Action:** Low Risk

### Payment Summary

Insufficient information to produce  
**Monthly Payment Trends**  
chart.

Insufficient information to produce  
**Quarterly Payment Trends**  
chart.

Insufficient information to produce  
**Continuous Payment Trends**  
chart.

Insufficient information to produce  
**Newly Reported Payment Trends**  
chart.

Insufficient information to produce  
**Combined Payment Trends**  
chart.

Number of Accounts: 1  
Present Balance: \$0  
Highest Balance: \$0

Number of Accounts: 0  
Present Balance: \$0  
Highest Balance: \$0

Number of Accounts: 1  
Present Balance: \$0  
Highest Balance: \$0

### Trade Payment Information

#### Trade Payment Experiences

Supplier Category	Reported Date	Activity Date	Payment Terms	Recent High Credit	Balance Current	Up to 30 DBT	31-60 DBT	61-90 DBT	>90 DBT	Comments
Offc Suppl	02/14	01/10	Credit							Acctclosed

#### Additional Payment Experiences

Supplier Category	Reported Date	Activity Date	Payment Terms	Recent High Credit	Balance Current	Up to 30 DBT	31-60 DBT	61-90 DBT	>90 DBT	Comments
Bank Card	02/14		Revolve	\$7,800	\$1,200	100%				

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**Exhibit C-8 “Bankruptcy Information”**

Independent Energy Consultants, Inc. has never filed for reorganization or bankruptcy protection.

**Exhibit C-9 “Merger Information”**

Independent Energy Consultants, Inc. became an Ohio corporation on April 8, 2004. Neither it nor its principals have ever been involved in a corporate dissolution, merger or acquisition.