The Public Utilities Commission of Ohio

Filing Instructions for Aggregators/Power Brokers

I. Where To File: Applications should be sent to: Public Utilities Commission of Ohio, Docketing Division , 180 East Broad Street, Columbus Ohio 43215-3793.

II. What To File: Applicant must submit one original notarized application signed by a principal officer and three copies including all exhibits, affidavits, and other attachments. All attachments, affidavits, and exhibits should be clearly identified. For example, Exhibit A-12 should be marked "Exhibit A-12 'Corporate Structure.'" All pages should be numbered and attached in a sequential order.

III. Which Forms To File: Entities other than governmental aggregators that will aggregate customers or provide power-brokering services must file a **"Certification Application for Aggregators/Power Brokers"** form. Governmental aggregators must file an **"Certification Application for Governmental Aggregators"** form. If an aggregator will provide power marketing and/or retail electric generation services in addition to aggregation and power brokering services, it must file an **"Certification Application for Retail Generation Providers, Power Marketers, and Power Brokers"** form. The following definitions are provided to assist applicants in determining which form(s) to file:

Aggregation - combining the electric load of multiple retail customers through an agreement with the customers or formation of a governmental aggregation pursuant to Section 4928.20 of the Revised Code for the purpose of purchasing retail electric generation service on an aggregated basis.

Aggregator - a person who contracts with customers to combine the customers' electric load for the purpose of purchasing retail electric generation service on an aggregated basis. The term does not include a governmental aggregator.

Governmental Aggregator - the legislative authority of a municipal corporation, the board of township trustees of a township, or a board of county commissioners of a county that aggregates the citizens of a municipal corporation, township, or unincorporated areas of a county in accordance with Section 4928.20 of the Revised Code for the purpose of purchasing retail electric generation service on an aggregated basis.

Power Broker - a person who assumes the contractual and legal responsibility for the sale and/or arrangement for the supply of retail electric generation service to a retail customer without taking title to the power supplied.

Power Marketer - a person who assumes the contractual and legal responsibility for the sale and provision of retail electric generation service to a retail customer who had title to the electric power provided at some point during the transaction.

IV. Application Form: The application is available on the Commission's web site, www.puco.ohio.gov or directly from the Commission at: Public Utilities Commission of Ohio, Docketing Division, 180 East Broad Street, Columbus Ohio 43215-3793.

V. Confidentiality: If any of an applicant's answers require the applicant to disclose what the applicant believes to be privileged or confidential information not otherwise available to the public, the applicant should designate at each point in the application that the answer requires the applicant to disclose privileged and confidential information. Applicant must fully support its request to maintain confidentiality for the information it believes to be confidential or proprietary in a motion for protective order filed pursuant to Rule 4901-1-24 of the Ohio Administrative Code.

VI. Commission Process for Approval: An application for certification shall be made on forms approved and supplied by the Commission. The applicant shall complete the appropriate application form in its entirety and supply all required attachments, affidavits, and evidence of capability specified by the form at the time an application is filed. The Commission certification process begins when the Commission's Docketing Division receives and time/date stamps the application. An incomplete application may be suspended or rejected. An application that has been suspended as incomplete may cause delay in certification.

The Commission may approve, suspend, or deny an application within 30 days. If the Commission does not act within 30 days, the application is deemed automatically approved on the 31st day after the official filing date. If the Commission suspends the application, the Commission shall notify the applicant of the reasons for such suspension and may direct the applicant to furnish additional information. The Commission shall act to approve or deny a suspended application within 90 days of the date that the application was suspended. Upon Commission approval, the applicant shall receive notification of approval and a numbered certificate that specifies the service(s) for which the applicant is certified and the dates for which the certificate is valid.

Unless otherwise specified by the Commission, a competitive retail electric service provider's certificate is valid for a period of two years, beginning and ending on the dates specified on the certificate. The applicant may renew its certificate in accordance with Rule 4901:1-24-09 of the Ohio Administrative Code.

CRES (competitive retail electric service) providers shall inform the Commission of any material change to the information supplied in a certification application within thirty days of such material change in accordance with Rule 4901:1-24-10 of the Ohio Administrative Code.

VII. Contractual Arrangements for Capability Standards: If the applicant is relying upon contractual arrangements with a third-party(ies) to meet any of the certification requirements, the applicant must provide with its application all of the following:

- The legal name of the party(ies) it is contracting with;
- A statement that a valid contract exists between the applicant and the third-party(ies);
- A detailed summary of the contract(s) including all services provided thereunder;
- The documentation and evidence to demonstrate the contracting entity's capability to meet the requirements as if the contracting entity was the applicant.

VIII. Questions: Questions regarding filing procedures should be directed to CRES@puc.state.oh.us.

IX. Governing Law: The certification/renewal of competitive retail electric suppliers is governed by Chapter 4901:1-24 of the Ohio Administrative Code, Chapter 4901:1-21 of the Ohio Administrative Code, and Section 4928.08 of the Ohio Revised Code.

The Public Utilities Commission of Ohio

PUCO USE ONLY		
Date Received	Case Number	Version
	14 -491 -EL-AGG	August 2004

CERTIFICATION APPLICATION FOR AGGREGATORS/POWER BROKERS

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit A-5 Experience). 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. APPLICANT INFORMATION

A-1 Applicant's legal name, address, telephone number and web site address

Legal Name Energy Alliances, Inc.
Address 8469 Blue Ash Road, Suite 1, Cincinnati, OH 45236
Telephone # (513) 794-5555 Web site address (if any) www.energyalliances.com

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

Legal Name Energy Alliances, Inc.
Address 8469 Blue Ash Road, Suite 1, Cincinnati, OH 45236
Telephone # (513) 794-5555 Web site address (if any) www.energyalliances.com

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

Energy Alliances, Inc.

A-4 Contact person for regulatory or emergency matters

Name Charles Spence Faxon
Title President

Business address 8469 Blue Ash Road, Suite 1, Cincinnati, OH 45236
Telephone # (513) 794-5555 Fax # (513) 794-7777
E-mail address (if any) sfaxon@energyalliances.com

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

Name Charles Spence Faxon
Title President
Business address 8469 Blue Ash Road, Suite 1, Cincinnati, OH 45236
Telephone # (513) 794-5555 Fax # (513) 794-7777
E-mail address (if any) sfaxon@energyalliances.com

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

Customer Service address 8469 Blue Ash Road, Suite 1, Cincinnati, OH 45236
Toll-free Telephone # (800) 735-0359 Fax # (888) 735-0359
E-mail address (if any) sfaxon@energyalliances.com

A-7 Applicant's federal employer identification number # 311159005

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

- ☐ Sole Proprietorship
- ☐ Partnership
- ☐ Limited Liability Partnership (LLP)
- ☐ Limited Liability Company (LLC)
- ☒ Corporation
- ☐ Other _____

A-9 (Check all that apply) Identify each electric distribution utility certified territory in which the applicant intends to provide service, including identification of each customer class that the applicant intends to serve, for example, residential, small commercial, mercantile commercial, and industrial. (A mercantile customer, as defined in (A) (19) of Section 4928.01 of the Revised Code, is a commercial customer who consumes more than 700,000 kWh/year or is part of a national account in one or more states).

☒ **First Energy**				
☒ **Ohio Edison**	☒ Residential	☒ Commercial	☒ Mercantile	☒ Industrial
☒ **Toledo Edison**	☒ Residential	☒ Commercial	☒ Mercantile	☒ Industrial
☒ **Cleveland Electric Illuminating**	☒ Residential	☒ Commercial	☒ Mercantile	☒ Industrial
☒ **Duke Energy**	☒ Residential	☒ Commercial	☒ Mercantile	☒ Industrial
☐ **Monongahela Power**	☐ Residential	☐ Commercial	☐ Mercantile	☐ Industrial
☒ **American Electric Power**				
☒ **Ohio Power**	☒ Residential	☒ Commercial	☒ Mercantile	☒ Industrial
☒ **Columbus Southern Power**	☒ Residential	☒ Commercial	☒ Mercantile	☒ Industrial
☒ **Dayton Power and Light**	☒ Residential	☒ Commercial	☒ Mercantile	☒ Industrial

A-10 Provide the approximate start date that the applicant proposes to begin delivering services

April 1, 2014

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

A-11 **Exhibit A-11 "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-12 **Exhibit A-12 "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.

A-13 **Exhibit A-13 "Company History,"** provide a concise description of the applicant's company history and principal business interests.

A-14 **Exhibit A-14 "Articles of Incorporation and Bylaws,"** if applicable, provide the articles of incorporation filed with the state or jurisdiction in which the Applicant is incorporated and any amendments thereto.

A-15 **Exhibit A-15 "Secretary of State,"** provide evidence that the applicant has registered with the Ohio Secretary of the State.

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 "Summary of Experience,"** provide a concise summary of the applicant's experience in providing aggregation service(s) including contracting with customers to combine electric load and representing customers in the purchase of retail electric services. (e.g. number and types of customers served, utility service areas, amount of load, etc.).

B-4 **Exhibit B-4 "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-5 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-5 "Disclosure of Consumer Protection Violations"** detailing such violation(s) and providing all relevant documents.

B-6 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-6 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation"** detailing such action(s) and providing all relevant documents.

C. APPLICANT 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 Experion, 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.

Secretary

Signature of Applicant & Title

Sworn and subscribed before me this 31st **day of** March, 2014

Month **Year**

Donna Rohdenburg Farrell

Signature of official administering oath **Print Name and Title**

My commission expires on _____

NOTARIAL SEAL STATE OF OHIO

DONNA ROHDENBURG FARRELL
Notary Public, State of Ohio
My Commission Expires 9/6/2015

AFFIDAVIT

State of Ohio :

Cincinnati ss.
(Town)

County of Hamilton :

Mark A Bishop, Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/She is the Secretary (Office of Affiant) of Energy Alliances, 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 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 comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.

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 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.

Secretary

Signature of Affiant & Title

Sworn and subscribed before me this 31st day of March 2014

Month Year

Donna Rohdenburg Farrell

Signature of official administering oath

Print Name and Title

My commission expires on

NOTARIAL SEAL STATE OF OHIO

DONNA ROHDENBURG FARRELL
Notary Public, State of Ohio
My Commission Expires 9/6/2015

Exhibit A-11
Principal Officers

Energy Alliances, Inc.
http://www.energyalliances.com

8469 Blue Ash Road
Cincinnati, OH 45236-1992
800-735-0359 Phone Toll Free
888-735-0359 Fax Toll Free
513-794-5555 Phone Local
513-794-7777 Fax Local

Charles Spence Faxon, President
sfaxon@energyalliances.com

William Grafe, Vice President
bgrafe@energyalliances.com

John D. Faxon, Treasurer
jfaxon@energyalliances.com

Mark A. Bishop, Secretary
mbishop@energyalliances.com

Exhibit A-12
Corporate Structure

Corporation, 100% owned by Charles Spence Faxon. Will participate in all deregulated markets geographically. Energy Alliances, Inc. nor Charles Spence Faxon has any affiliate subsidiary companies that supply retail or wholesale natural gas or electricity to customers in North America.

Energy Alliances, Inc. is independent.

Charles Spence Faxon, President

William Grafe Vice President	John D. Faxon Treasurer	Mark A. Bishop Secretary

Exhibit A-13
Company History

Energy Alliances, Inc. was founded in 1986.

Our mission: to save our clients "energy dollars."

Our early business involved commercial energy audits and utility bill analysis. Our experience includes brokering, managing and owning apartments and hotels, real estate appraisal, industrial process management, restaurants, construction management and architectural engineering. We combined this expertise to solve difficult energy issues.

In the mid 1980s, Spence Faxon, President, was appointed to the City of Cincinnati's Mayor's Energy Task Force. Soon we would be chosen by the local utility as its chief Energy Auditor for its Non-Profit Energy Management Program or NEMP, performing energy audits for over ten years via People Working Cooperatively (PWC). We were among the pioneers in the energy industry introducing the concept of energy management to the property management industry. Our approach saved our clients millions of their energy dollars through high impact, low and no-cost improvements and employee education. We followed up with a careful application and understanding of the rules established by the Utility.

As the energy market matured, EAI marketed natural gas as an agent for Consolidated Fuel Corp. throughout the Chicago. We joined others at the negotiating table in Columbus, Ohio in the early 1990s where we helped shape the Firm Transport program on CG&E's system, now Duke Energy, always focusing on the client. Our portfolio includes:

- Thousands of energy audits & utility rate structure evaluations
- More than a decade of utility supply consulting as an agent for various entities.
- Utility cost Savings

In 1994 we officially entered CG&E's Firm Transport program and have been a leader in the program to this day currently serving as a sales agent for Integrys Energy Services, Inc., Green Bay WI. http://www.integrysenergy.com/ in Ohio.

Energy Alliances, Inc. has remained in good standing in Ohio and with Duke Energy and the PUCO.

EXHIBIT A-14

"ARTICLES OF INCORPORATION" AND "BY-LAWS"

See Attached

APPROVED
By KM
Date 2-14-86
Amount $75.00

Articles of Incorporation

of

Energy Alliances, Inc.

The undersigned, a majority of whom are citizens of the United States, desiring to form a corporation for profit, under Chapter 1701.01 of the Revised Code of Ohio, do hereby state:

FIRST. The name of said corporation shall be Energy Alliances, Inc.

SECOND. The place in Ohio where its principal office is to be located is 2734 Little Dry Run, Cincinnati, Ohio 45244, Hamilton County

THIRD. The purposes for which it is formed are:

1. To engage in the business of analyzing energy consumption practices of commercial and residential users, and to formulate plans for the conservation of energy to reduce bills for such users.

2. To engage in any lawful act, activity or business not contrary to and for which a corporation may be formed under the laws of the State of Ohio, and to have and exercise all powers, rights and privileges conferred by the laws of Ohio on corporations, including, but not limited to, buying, leasing or otherwise acquiring and holding, using or otherwise enjoying and selling, leasing or otherwise disposing of any interest in any property, real or personal, of whatever nature and wheresoever situated and buying and selling stocks, bonds, or any other security of any issuer as the corporation by action of its board of directors may, at any time and from time to time, deem advisable.

FOURTH. CAPITAL STOCK. The number of shares of capital stock which the corporation is authorized to have outstanding is 200 shares all of which shall be voting common shares without par value.

FIFTH. STATED CAPITAL. The amount of stated capital with which the corporation will begin shall be not less than five hundred dollars ($500.00).

SIXTH. CERTAIN TRANSACTIONS. No person shall be disqualified from being a director of the corporation because he or she is or may be a party to, and no director of the corporation shall be disqualified from entering into, any contract or other transaction to which the corporation is or may be a party. No

contract or other transaction to which the corporation is or may be a party shall be void or voidable for reason that any director or officer or other agent of the corporation is a party thereto, or otherwise has any direct or indirect interest in such contract or transaction or in any other party thereto, or for reason that any interested director or officer or other agent of the corporation authorizes or participates in authorization of such contract or transaction, (a) if the material facts as to such interest are disclosed or are otherwise known to the board of directors or applicable committee of directors at the time the contract or transaction is authorized, and at least a majority of the disinterested directors or disinterested members of the committee vote for or otherwise take action authorizing such contract or transaction, even though such disinterested directors or members are less than a quorum, or (b) if the contract or transaction (i) is not less favorable to the corporation than an arm's length contract or transaction in which no director or officer or other agent of the corporation has any interest or (ii) is otherwise fair to the corporation as of the time it is authorized. Any interested director may be counted in determining the presence of a quorum at any meeting of the board of directors or any committee thereof which authorizes the contract or transaction.

SEVENTH. AUTHORITY TO REPURCHASE CAPITAL STOCK. The corporation by its board of directors is authorized, except to the extent prohibited by law, to repurchase, redeem or otherwise acquire, from time to time at any time, shares of any class of capital stock issued by it.

A. IN WITNESS WHEREOF, I have hereunto subscribed my name, this 14th day of February, 1986.

Energy Alliances, Inc.
(Name of Corporation)

Steven C Wilson

Steven C. Wilson
INCORPORATOR

EXHIBIT A-15

"SECRETARY OF STATE"

Department of State

The State of Ohio

Sherrod Brown
Secretary of State

871573

Certificate

It is hereby certified that the Secretary of State of Ohio has custody of the Records of Incorporation and Miscellaneous Filings; that said records show the filing and recording of: ARF

of:

ENERGY ALLIANCES, INC.

United States of America
State of Ohio
Office of the Secretary of State

Recorded on Roll _____ at Frame _____ of the Records of Incorporation and Miscellaneous Filings.

Witness my hand and the seal of the Secretary of State, at the City of Columbus, Ohio, this _____ day of _____, A.D. 19__.

Sherrod Brown
Secretary of State

Exhibit B-1
Jurisdiction of Operations

Authorized to provide electric service in:

OH

KY

Exhibit B-2
Experience & Plans

Energy Alliances, Inc. provides services to residential (through aggregation), commercial, mercantile and industrial customers. We establish a working relationship with the client, review the client's utility history and provide the client options as well as a suggested strategy for lowering its energy costs while managing its exposure to risk. The managing partners of Energy Alliances, Inc. answer customer inquiries personally. The company is staffed by the original founding members. We have a highly experienced Data Department Manager who has been with the company for over 21 years.

Energy Alliances, Inc. is a broker not a supplier. Energy Alliances, Inc. will not be billing customers but customer service is available through established channels with the supplier as well as our company to ensure the customer's understanding and facilitate complaint resolution in accordance with Commission rules adopted pursuant to Section 4929.22 of the Revised Code and contained in Chapter 4909:1-29 of the Ohio Administrative Code.

Exhibit B-3
Summary of Experience

Energy Alliances, Inc. was founded in December, 1985 and incorporated in the State of Ohio in May, 1986 and has remained in good standing in the State of Ohio, Illinois and other areas.

Currently, Energy Alliances, Inc. has residential commercial, mercantile and industrial clients throughout the Duke Energy system in OH and serves 17 communities through natural gas aggregation in Southern Ohio on Duke Energy and 2 communities in Northern Ohio on Dominion East Ohio Gas. We currently serve 1,750 electric customers on Duke's system.

Energy Alliances, Inc. has received no customer complaints and no unresolved complaints with its customers through its affiliates.

Exhibit B-4

Disclosure of Liabilities and Investigations

None

Exhibit C-1
Annual Report

Energy Alliances, Inc. is not required to produce an annual report.

Exhibit C-2
SEC Filings

Energy Alliances, Inc. is a broker/sales agent only and does not take title to the natural gas or electric, is not a public entity. Energy Alliances, inc. is an Ohio Corporation, 100% of its stock is owned by Charles Spence Faxon, so no SEC filing is required.

Exhibit C-3
Financial Statements

Energy Alliances, Inc. is a privately held corporation and these documents are "CONFIDENTIAL" and are being filed separately under seal along with the appropriate "Motion for Protective Order"

Exhibit C-4

Financial Arrangements

Energy Alliances, Inc. is a broker/sales agent only and does not take title to the natural gas or electric, is not a public entity. EAI does not require any loans to operate.

Exhibit C-5
Forecasted Financial Statements

Energy Alliances, Inc. is a privately held corporation and these documents are "CONFIDENTIAL" and are being filed separately under seal along with the appropriate "Motion for Protective Order"

Exhibit C-6
Credit Rating

Energy Alliances, Inc. is a privately held corporation and these documents are "CONFIDENTIAL" and are being filed separately under seal along with the appropriate "Motion for Protective Order"

Exhibit C-7
Credit Report

Energy Alliances, Inc. is a privately held corporation and these documents are "CONFIDENTIAL" and are being filed separately under seal along with the appropriate "Motion for Protective Order"

Exhibit C-8
Bankruptcy Information

Energy Alliances, Inc. has not had 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 since applicant last filed for certification.

Exhibit C-9
Merger Information

Energy Alliances, Inc. has had no dissolution or mergers or acquisition of the applicant since the applicant last filed for certification.

This foregoing document was electronically filed with the Public Utilities

Commission of Ohio Docketing Information System on

3/31/2014 3:54:42 PM

in

Case No(s). 14-0491-EL-AGG

Summary: Application For Certification of Aggregator Broker (replacement certificate) electronically filed by Mr. Mark A Bishop on behalf of Bishop, Mark Albert Mr.