

FILE

# SEBALY SHILLITO + DYER

A LEGAL PROFESSIONAL ASSOCIATION

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DAYTON, OHIO 45423-1013  
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FX: 937-222-6654

TOBY K. HENDERSON PH: 937-222-2608  
thenderson@sadlaw.com

July 17, 2014

## VIA FEDERAL EXPRESS

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

Dear Sir or Madam:

**RE: *Energy Professionals, LLC***  
***Original AGG Case No.: 12-2090-EL-AGG***

RECEIVED-DOCKETING DIV  
2014 JUL 18 PM 2:26  
PUCO

Please find enclosed for filing the following documents:

- 1) The original plus two copies of the Renewal Application for Aggregators/Power Brokers, Case # 12-2090-EL-AGG, including Exhibits A-9, A-10, B-1, B-2, B-3, C-1, C-2, C-4, C-6, C-7, C-8, and C-9;
- 2) The original plus two copies of the Motion for Protective Order related to Exhibits C-3 and C-5 to the Renewal Application; and
- 3) An envelope marked confidential and containing three copies of the balance sheets and income statements for 2012 and 2013 called for by Exhibit C-3 and three copies of the forecasted financial statements for 2014 and 2015 called for by Exhibit C-5. The financial documents have been marked and designated as confidential and are the subject of the Motion for Protective Order.

Sincerely,

*Toby K. Henderson*

Toby K. Henderson

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 AMJ Date Processed 7/18/14

2042087.1





*The Public Utilities Commission of Ohio*

Original AGG Case Number	Version
12-2090-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 Energy Professionals, LLC  
 Address 13100 56th Court, Ste 703 Clearwater, FL 33760  
 PUCO Certificate # and Date Certified 12-553E(1) August 16, 2012  
 Telephone # (727) 572-0600 Web site address (if any) www.energyprofessionals.com

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

Legal Name Energy Professionals, LLC  
 Address 13100 56th Court, Suite 703 Clearwater, FL 33760  
 Telephone # (727) 572-0600 Web site address (if any) www.energyprofessionals.com

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

Energy Professionals, LLC  
 \_\_\_\_\_  
 \_\_\_\_\_

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

Name Laura Zepeda  
 Title Director of Corporate Affairs  
 Business address 13100 56th Court, Suite 703 Clearwater, FL 33760  
 Telephone # (727) 572-0600 Fax # \_\_\_\_\_  
 E-mail address (if any) lzepeda@energyprofessionals.com

PUCO

RECEIVED-DOCKETING DIV  
 2014 JUL 18 PM 2:27

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

Name Laura Zepeda  
Title Director of Corporate Affairs  
Business address 13100 56th Court, Suite 703 Clearwater, FL 33760  
Telephone # (727) 572-0600 Fax # \_\_\_\_\_  
E-mail address (if any) lzepeda@energyprofessionals.com

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

Customer Service address 13100 56th Court, Suite 703 Clearwater, FL 33760  
Toll-free Telephone # (877) 343-9044 Fax # \_\_\_\_\_  
E-mail address (if any) eupham@energyprofessionals.com

**A-7 Applicant's federal employer identification number # 26-1539589**

**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 checked="" type="checkbox"/> Limited Liability Company (LLC) |
| <input 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**

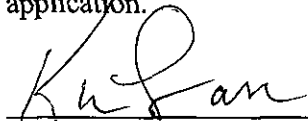
PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

**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.

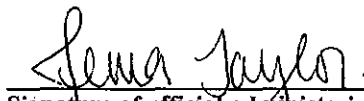
**C-2** **Exhibit C-2 "SEC Filings,"** provide the most recent 10-K/8-K Filings with the SEC. If applicant does not have such filings, it may submit those of its parent company. If the applicant does not have such filings, then the applicant may indicate in Exhibit C-2 that the applicant is not required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

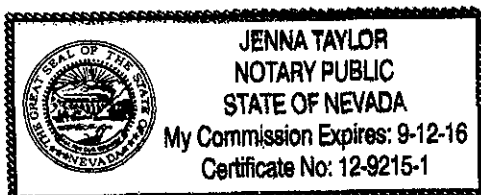
  
Signature of Applicant & Title

Sworn and subscribed before me this 30<sup>th</sup> day of June, 2014  
Month Year

  
Signature of official administering oath

Jenna Taylor / Notary Public  
Print Name and Title

My commission expires on 9-12-16

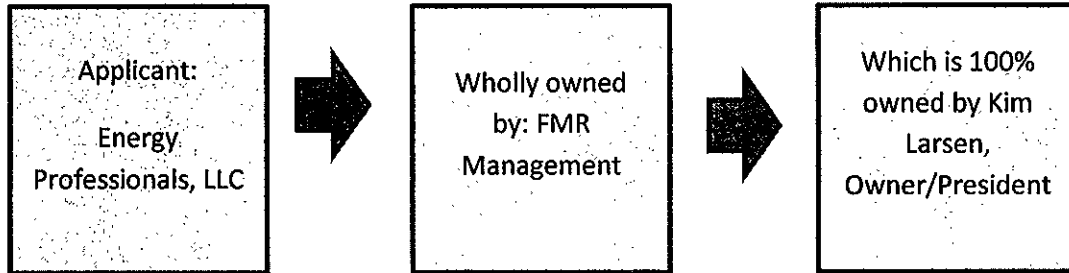


**Exhibit A-9**

**Principal Officers, Directors & Partners**

**Kim Larsen**  
**Founder/Owner/President**  
**13100 56<sup>th</sup> Court, Suite 703**  
**Clearwater, FL**  
**Phone: 714-878-9772**

Exhibit A-10  
Corporate Structure



**Exhibit B-1**  
**Jurisdictions of Operations**

As of the date of this filing the applicant has similar “broker” type licenses from the States of Delaware, Illinois, Maryland and Washington, D.C.



Exhibit B-2  
Experience and Plans

The Applicant, Energy Professionals, LLC, is hopeful that it will be allowed to continue to operate in Ohio. The Applicant will be representing the end user in identifying the best retail suppliers for that particular end user. The Applicant will be calling mainly on commercial and industrial accounts in the state of Ohio with the anticipation of bringing them lower rates than they are now paying from their current suppliers. At no time will the Applicant be taking title to the electricity.

Energy Professionals, LLC, was formed in 2007 for the purpose of being a broker in natural gas and electricity. Both the President/Owner, Kim Larsen and Executive Director Mike Hoy, have extensive managerial and energy related experience. President/Owner Kim Larsen has held numerous managerial positions for over 20 years and is a seasoned executive. Mike has over 20 year experience managing organizations in the financial services and direct sales services. He has also done efficiency consultant work for health care and non-profit organizations.

Energy Professionals, LLC, envisions working only for licensed 3<sup>rd</sup> party suppliers and will not be taking title to the commodity or traditionally "aggregating" and/or combining load. For the most part it will be the 3<sup>rd</sup> party suppliers that will have the client/customer service relationship with the customers. However, if a client/customer should ever need to contact Energy Professionals, they stand ready, willing and able to handle and professionally address all inquiries. Any and all customer inquiries and/or complaints would be handled in full accordance with Commission rules Section 4928.10 of the Revised Code.

Exhibit B -3  
Disclosure of Liabilities and Investigations

As of the date of this filing, there are no investigations, judgments or other similar matters that could adversely impact Energy Professional's financial or operational status or ability to provide the services it is seeking to provide.

Exhibit C – 1  
Annual Reports

Energy Professionals does not have shareholder reports however we have included 2012 and 2013 Annual Reports filed with the Florida Secretary of State.

# **2012 LIMITED LIABILITY COMPANY ANNUAL REPORT**

DOCUMENT# L07000121944

**FILED**  
**Jan 23, 2012**  
**Secretary of State**

**Entity Name:** ENERGY PROFESSIONALS, LLC

**Current Principal Place of Business:**

13100-56TH COURT, STE 703  
CLEARWATER, FL 33760

**New Principal Place of Business:**

**Current Mailing Address:**

13100-56TH COURT, STE 703  
CLEARWATER, FL 33760

**New Mailing Address:**

**FEI Number:** 26-1539589

**FEI Number Applied For ( )**

**FEI Number Not Applicable ( )**

**Certificate of Status Desired ( )**

**Name and Address of Current Registered Agent:**

CORPORATION SERVICE COMPANY  
1201 HAYS STREET  
TALLAHASSEE, FL 323012525 US

**Name and Address of New Registered Agent:**

The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida.

**SIGNATURE:** \_\_\_\_\_

Electronic Signature of Registered Agent

\_\_\_\_\_ Date

**MANAGING MEMBERS/MANAGERS:**

**Title:** MGRM  
**Name:** FMR MANAGEMENT  
**Address:** 222 KAREN AVE #4508  
**City-St-Zip:** LAS VEGAS, NV 89109MGFM

I hereby certify that the information indicated on this report is true and accurate and that my electronic signature shall have the same legal effect as if made under oath; that I am a managing member or manager of the limited liability company or the receiver or trustee empowered to execute this report as required by Chapter 608, Florida Statutes.

**SIGNATURE:** KIM LARSEN

MEM

01/23/2012

\_\_\_\_\_  
Electronic Signature of Signing Managing Member, Manager, or Authorized Representative / Date

**2013 FLORIDA LIMITED LIABILITY COMPANY ANNUAL REPORT**

DOCUMENT# L07000121944

**Entity Name:** ENERGY PROFESSIONALS, LLC

**Current Principal Place of Business:**

13100-56TH COURT, STE 703  
CLEARWATER, FL 33760

**Current Mailing Address:**

13100-56TH COURT, STE 703  
CLEARWATER, FL 33760

**FEI Number:** 26-1539589

**Certificate of Status Desired:** Yes

**Name and Address of Current Registered Agent:**

CORPORATION SERVICE COMPANY  
1201 HAYS STREET  
TALLAHASSEE, FL 32301-2525 US

*The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida.*

**SIGNATURE:** \_\_\_\_\_

Electronic Signature of Registered Agent

\_\_\_\_\_  
Date

**Authorized Person(s) Detail :**

Title MGRM  
Name FMR MANAGEMENT  
Address 222 KAREN AVE #4508  
City-State-Zip: LAS VEGAS NV 89109

I hereby certify that the information indicated on this report or supplemental report is true and accurate and that my electronic signature shall have the same legal effect as if made under oath; that I am a managing member or manager of the limited liability company or the receiver or trustee empowered to execute this report as required by Chapter 608, Florida Statutes; and that my name appears above, or on an attachment with all other like empowered.

**SIGNATURE:** KIM LARSEN

**OWNER**

**02/15/2013**

\_\_\_\_\_  
Electronic Signature of Signing Authorized Person(s) Detail

\_\_\_\_\_  
Date

Exhibit C-2  
SEC Filings

Energy Professionals, LLC does not trade any securities, will not be taking title to any commodities and as such is not required to file with the SEC.

Exhibit C – 3  
Financial Statements

Filed under protective seal.

## Exhibit C – 4

### Financial Arrangements

Energy Professionals, LLC, will be providing energy service information and will not be buying and/or selling the natural gas or electricity. Therefore, Energy Professionals does not rely on bank commitments and or credit agreements.



**Exhibit C – 5**

**Forecasted Financial Statements**

**Filed under protective seal.**

**Exhibit C – 6**

**Credit Rating**

Energy Professionals, LLC, does not subscribe to any credit rating organizations and does not have a “parent company” that could supply a credit rating.

Exhibit C – 7

Credit Report

Energy Professionals does not subscribe to any credit rating organization thus does not have a credit report that it can provide.

**Exhibit C- 8**

**Bankruptcy Information**

Energy Professionals, LLC has not filed for any reorganizations, protection from creditors or any other form of bankruptcy.

**Exhibit C – 9**

**Merger Information**

**Energy Professionals, LLC has not undergone any mergers or acquisitions.**

# **AFFIDAVIT**

State of Nevada :

\_\_\_\_ ss.  
(Town)

County of Clark :

Kim Larsen, Affiant, being duly sworn/affirmed according to law, deposes and says that:


He/She is the President (Office of Affiant) of Energy Professionals, LLC (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.

  
Signature of Affiant & Title

Sworn and subscribed before me this 30<sup>th</sup> day of June, 2014  
Month Year

  
Signature of official administering oath

Jenna Taylor / Notary Public  
Print Name and Title

My commission expires on 9-12-16

