

16-1117-GA-CRS 38

PUCO USE ONLY - Version 1.07		
Date Received	Case Number	Certification Number
	16-1117 - GA-CRS	

CERTIFICATION APPLICATION COMPETITIVE RETAIL NATURAL GAS SUPPLIERS

Please **type or print** all required information. Identify all attachments with an exhibit label and title (*Example: Exhibit A-16 - Company History*). 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 directly input information onto the form. You may also download the form by saving it to your local disk.

SECTION A - APPLICANT INFORMATION AND SERVICES

A-1 Applicant intends to be certified as: (check all that apply)

☒ Retail Natural Gas Aggregator ☐ Retail Natural Gas Broker ☒ Retail Natural Gas Marketer

A-2 Applicant information:

Legal Name Realgy, LLC dba Realgy Energy Services
Address 675 Oakwood Avenue, West Hartford, CT 06110
Telephone No. (860) 233-2270 Web site Address www.realgy.com

A-3 Applicant information under which applicant will do business in Ohio:

Name Realgy, LLC dba Realgy Energy Services
Address 675 Oakwood Avenue, West Hartford, CT 60110
Web site Address www.realgy.com Telephone No. (860) 233-2270

A-4 List all names under which the applicant does business in North America:

Realgy, LLC Realgy Energy Services
Realgy, LLC dba Realgy Energy Services

A-5 Contact person for regulatory or emergency matters:

Name Michael Vrtis Title President
Business Address 675 Oakwood Avenue, West Hartford, CT 60110
Telephone No. (860) 233-2270 Fax No. (877) 810-0675 Email Address michael.vrtis@realgy.com - reg. m

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 SWT Date Processed MAY 18 2016

(CRNGS Supplier- Version 1.07) Page 1 of 7

A-6 Contact person for Commission Staff use in investigating customer complaints:

Name Laura LaRocco Title Office Manager
Business address 675 Oakwood Avenue, West Hartford, CT 06110
Telephone No. (860) 233-2270 Fax No. (877) 810-0675 Email Address businessoffice@realgy.com

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

Customer service address 6545 Market Avenue N., Suite 100, North Canton, OH 44721
Toll-Free Telephone No. (877) 300-6747 Fax No. (877) 810-0675 Email Address Support@Realgy.com

A-8 Provide "Proof of an Ohio Office and Employee," in accordance with Section 4929.22 of the Ohio Revised Code, by listing name, Ohio office address, telephone number, and Web site address of the designated Ohio Employee

Name Michael Vrtis Title Sales Manager
Business address 6545 Market Avenue N., Suite 100, North Canton, OH 44721
Telephone No. (860) 286-8243 Fax No. (877) 782-8518 Email Address Michael.Vrtis@realgy.com

A-9 Applicant's federal employer identification number 61561408

A-10 Applicant's form of ownership: (Check one)

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

A-11 (Check all that apply) Identify each natural gas company service area in which the applicant is currently providing service or intends to provide service, including identification of each customer class that the applicant is currently serving or intends to serve, for example: *residential, small commercial, and/or large commercial/industrial (mercantile) customers.* (A mercantile customer, as defined in Section 4929.01(L)(1) of the Ohio Revised Code, means a customer that consumes, other than for residential use, more than 500,000 cubic feet of natural gas per year at a single location within the state or consumes natural gas, other than for residential use, as part of an undertaking having more than three locations within or outside of this state. In accordance with Section 4929.01(L)(2) of the Ohio Revised Code, "Mercantile customer" excludes a not-for-profit customer that consumes, other than for residential use, more than 500,000 cubic feet of natural gas per year at a single location within this state or consumes natural gas, other than for residential use, as part of an undertaking having more than three locations within or outside this state that has filed the necessary declaration with the Public Utilities Commission.)

<input checked="" type="checkbox"/> Columbia Gas of Ohio	<input checked="" type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/> Dominion East Ohi	<input checked="" type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/> Duke Energy Ohi	<input checked="" type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/> Vectren Energy Delivery of Ohio	<input checked="" type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial

A-12 If applicant or an affiliated interest previously participated in any of Ohio's Natural Gas Choice Programs, for each service area and customer class, provide approximate start date(s) and/or end date(s) that the applicant began delivering and/or ended services.

☐ Columbia Gas of Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

☐ Dominion East Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

☐ Duke Energy Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

☐ Vectren Energy Delivery of Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

A-13 If not currently participating in any of Ohio's four Natural Gas Choice Programs, provide the approximate start date that the applicant proposes to begin delivering services:

<input checked="" type="checkbox"/>	Columbia Gas of Ohio	Intended Start Date	6/1/2016
<input checked="" type="checkbox"/>	Dominion East Ohio	Intended Start Date	10/1/2016
<input checked="" type="checkbox"/>	Duke Energy Ohio	Intended Start Date	8/1/2016
<input checked="" type="checkbox"/>	Vectren Energy Delivery of Ohio	Intended Start Date	12/1/2016

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

- A-14 **Exhibit A-14 "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-15 **Exhibit A-15 "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 natural gas or electricity to customers in North America.
- A-16 **Exhibit A-16 "Company History,"** provide a concise description of the applicant's company history and principal business interests.
- A-17 **Exhibit A-17 "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-18 **Exhibit A-18 "Secretary of State,"** provide evidence that the applicant is currently registered with the Ohio Secretary of the State.

SECTION 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 current 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 natural gas service, or retail/wholesale electric services.
- B-2 **Exhibit B-2 "Experience & Plans,"** provide a current 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 4929.22 of the Revised Code and contained in Chapter 4901:1-29 of the Ohio Administrative Code.
- B-3 **Exhibit B-3 "Summary of Experience,"** provide a concise and current summary of the applicant's experience in providing the service(s) for which it is seeking to be certified to provide (e.g., number and types of customers served, utility service areas, volume of gas supplied, etc.).
- B-4 **Exhibit B-4 "Disclosure of Liabilities and Investigations,"** provide a description of all existing, pending or past rulings, judgments, contingent liabilities, revocations 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 Exhibit B-5 "Disclosure of Consumer Protection Violations,"** disclose whether the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant has 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 Exhibit B-6 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation,"** disclose whether the applicant or a predecessor of the applicant has had any certification, license, or application to provide retail natural gas or retail/wholesale electric service denied, curtailed, suspended, or revoked, or whether the applicant or predecessor has been terminated from any of Ohio's Natural Gas Choice programs, or been in default for failure to deliver natural gas.

☒ 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.

SECTION 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, labeled as 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 whether 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 current financial arrangements to conduct competitive retail natural gas service (CRNGS) 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 CRNGS operation, along with a list of assumptions, and the name, address, email address, and telephone number of the preparer.

- C-6 Exhibit C-6 "Credit Rating,"** provide a statement disclosing the applicant's current 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 current 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 since applicant last filed for certification.
- 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, or at any time as a participant in the Ohio Natural Gas Choice programs.

SECTION D – APPLICANT TECHNICAL CAPABILITY

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

- D-1 Exhibit D-1 "Operations,"** provide a current written description of the operational nature of the applicant's business. Please include whether the applicant's operations will include the contracting of natural gas purchases for retail sales, the nomination and scheduling of retail natural gas for delivery, and the provision of retail ancillary services, as well as other services used to supply natural gas to the natural gas company city gate for retail customers.
- D-2 Exhibit D-2 "Operations Expertise,"** given the operational nature of the applicant's business, provide evidence of the applicant's current experience and technical expertise in performing such operations.
- D-3 Exhibit D-3 "Key Technical Personnel,"** provide the names, titles, email addresses, telephone numbers, and background of key personnel involved in the operational aspects of the applicant's current business.

Applicant Signature and Title

[Handwritten Signature] President

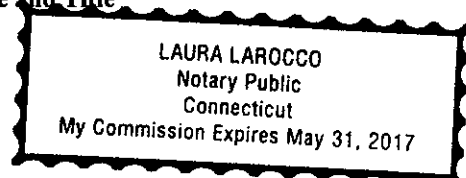
Sworn and subscribed before me this

12th day of May Month 2014 Year

Signature of official administering oath

LAURA LAROCCO, OFFICE MANAGER
Print Name and Title

My commission expires on





The Public Utilities Commission of Ohio

Competitive Retail Natural Gas Service
Affidavit Form
(Version 1.07)

In the Matter of the Application of)

for a Certificate or Renewal Certificate to Provide)
Competitive Retail Natural Gas Service in Ohio.)

Case No. - -GA-CRS

County of
State of

Michael VETIS

[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.
- (2) The applicant will timely file an annual report of its intrastate gross receipts and sales of hundred cubic feet of natural gas pursuant to Sections 4905.10(A), 4911.18(A), and 4929.23(B), Ohio Revised Code.
- (3) The applicant will timely pay any assessment made pursuant to Section 4905.10 or Section 4911.18(A), Ohio Revised Code.
- (4) 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) Applicant will cooperate with the Public Utilities Commission of Ohio and its staff in the investigation of any consumer complaint regarding any service offered or provided by the applicant.
- (6) Applicant will comply with Section 4929.21, Ohio Revised Code, regarding consent to the jurisdiction of the Ohio courts and the service of process.
- (7) Applicant will inform the Public Utilities Commission of Ohio of any material change to the information supplied in the certification or certification renewal application within 30 days of such material change, including any change in contact person for regulatory or emergency purposes or contact person for Staff use in investigating customer complaints.
- (8) Affiant further sayeth naught.

Affiant Signature & Title

Sworn and subscribed before me this

12th day of

May

Month

2016

Year

Signature of Official Administering Oath

Print Name and Title

LAURA LAROCO, OFFICE MANAGER

My commission expires on

LAURA LAROCO
Notary Public
Connecticut

My Commission Expires May 31, 2017

(CRNGS Supplier, Version 1.07) Page 7 of 7

REALGY'S PRINCIPAL OFFICERS, DIRECTORS, & PARTNERS

Exhibit A-14 "Principal Officers, Directors & Partners" provide the names, titles, addresses and telephone numbers of the applicant's principal officers, directors, partners, or other similar officials.

Michael VP Vrtis

Managing Partner

675 Oakwood Ave., West Hartford, CT 60110
(860) 233-2270 Extension 7000

Michael VP Vrtis is the Managing Partner for Realgy, LLC.

Mr. Vrtis has management responsibility including hiring, daily operations and profit and loss responsibility since 1998. During this period, Realgy Energy Services was begun and has exclusively sold natural gas, electricity and energy information services to retail customers.

In selling natural gas, Michael has utilized North American Energy Standards Board (NAESB) and its predecessor Gas Institute Standards Board (GISB) in contract energy purchases, in addition to private contracts.

Prior to forming Realgy, LLC Michael worked with Kenetch, Inc. as Director Project Development and contributed to the accomplished of; 6 generation projects totaling over 230 MWs; implementing demand side projects totaling over 3 MWs and over \$1,500 million dollars in energy trading and sales. All energy sales involving natural gas included GISB. Commencing operations in 2000 Realgy Energy Services has performed marketing services in 8 states and 14 utility service territories. Michael, as the Managing Partner and founder of Realgy has consistently grown revenues, exercising full P&L responsibilities, trained and managed sales agents and employees and has integrated on-line energy information services to clients.

A native of Chicago, Illinois, Vrtis graduated from the U.S. Merchant Marine Academy with a bachelor degree in Marine Engineering Systems. He went on to earn his Professional Engineering certificate in New York and Connecticut. In addition, he completed the training to assume full responsibility as a Shift Supervisor of nuclear plants under the Department of Energy.

Doug Gugino

Vice-President, Natural Gas Operations

675 Oakwood Ave., West Hartford, CT 60110
(860) 233-2270 Extension 7001

Mr. Gugino joined Realgy in October 2001. Mr. Gugino assumed responsibility for Realgy Energy Service natural gas operation in February 2002. Since then, Mr. Gugino has been responsible for profit and losses, supplier management, regulatory compliance, sales practices and administrative responsible for his direct reports.

Realgy began its wholesale operations, purchasing wholesale for retail, in 2001.

Realgy is a member of PJM, and Mr. Gugino has performed its power scheduling since 2010.

Previous to Realgy, Doug Gugino has a career spanning twenty years with Northeast Utilities, Inc. Doug is currently under a service agreement contract with Realgy.

Mr. Gugino has over 26 years of natural gas sales experience and over 18 years of power and energy sales experience, including profit and loss responsibility. This entire experience was gained using NAESB/GISB criteria and documents.

Douglas Gugino, VP of Operations at Realgy, LLC, has more than 18 years' experience buying and selling power and energy in wholesale markets. Mr. Gugino began his energy career at Northeast Utilities (NU) in 1982 – working in the company's fossil fuel procurement department, supplying coal, natural gas and fuel oil to generation stations – also at Select Energy, Inc., NU's retail marketing subsidiary, responsible for purchase of electricity and natural gas for its retail markets. NU was a member of NARUC, NEPOOL and PJM among others.

While at Select Energy, Doug oversaw its retail natural gas marketing business and directing its Energy Operations function. In these capacities, Doug has overseen the growth from 1,000 Dth/month in the first year, to 1,000,000 Dth/month the second year and to over 2,000,000 Dth per month in the third year. Entering the forth year - the forward book was approaching 5,000,000 MMBtu per month winter business. The peak day delivery was over 150,000 MMBtu. The business included thousands of retail meters (customers), almost 50,000 forward deal months of wholesale products, across 10 states, 35 distribution companies, and 17 wholesale trading regions.

Doug, is the recipient of numerous awards and citations for his public and private service.

Education

- University of Connecticut; Hartford, Connecticut, JD/MBA Dual Degree, Juris Doctor and Master of Business Administration (Finance Concentration)

- Lehigh University; Bethlehem, Pennsylvania, Bachelor of Science in Civil Engineering; Delta Upsilon Fraternity Awards
- Northeast Utilities Chairman's Award; Retired Member of Connecticut Bar; Beta Gamma Sigma, National Business Honor Fraternity; Graduated with Honors, Lehigh University; Summer Research Scholarship, Princeton University, Princeton, New Jersey; Tau Beta Pi, National Engineering Honor Fraternity; Chi Epsilon, National Civil Engineering Honor Fraternity; Star Cadet, Top 5% of Freshman Class, United States Military Academy, West Point, New York (transfer to Lehigh University, sophomore through senior years)

Exhibit A-15 "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 in North America.

Realgy, LLC (Realgy) is incorporated as a domestic limited liability company under Connecticut state laws. <http://www.concord-sots.ct.gov/CONCORD/online?sn=PublicInquiry&eid=9740>

Realgy Energy Services is a dba (doing-business-as) of Realgy, LLC for providing energy services.

Realgy Energy Services is a dba representing Realgy, LLC as an energy marketer in the following markets;

Indiana: behind NIPSCO and Citizens Gas
State regulatory approval: IURC
Illinois: behind NICOR, North Shore, Peoples Energy Mount Carmel
MidAmerican, COMED and AMEREN -Illinois
State regulatory approval: ICC
Michigan: behind MichCon/DTE, SEMCO, MGU and Consumers.
State regulatory approval: MPSC

REALGY'S ORGANIZATIONAL CHART

Realgy, LLC is privately owned by the managers. Realgy Energy Services is a dba.

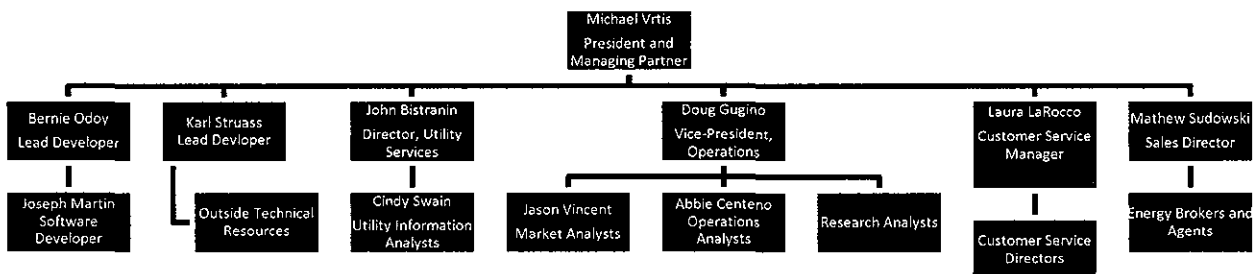


Exhibit A-15 "Corporate Structure," provide a description of the applicant's corporate structure, including a graphical depiction of such structure, and a list of all affiliate and subsidiary companies that supply retail or wholesale electricity or natural gas to customers in North America.

Realgy, LLC (Realgy) is incorporated as a domestic limited liability company under Connecticut state laws. <http://www.concord-sots.ct.gov/CONCORD/online?sn=PublicInquiry&eid=9740>

Realgy Energy Services is a dba (doing-business-as) of Realgy, LLC for providing energy services.

Realgy Energy Services is a dba representing Realgy, LLC as an energy marketer in the following markets;

Indiana: behind NIPSCO and Citizens Gas
State regulatory approval: IURC
Illinois: behind NICOR, North Shore, Peoples Energy Mount Carmel
MidAmerican, COMED and AMEREN -Illinois
State regulatory approval: ICC
Michigan: behind MichCon/DTE, SEMCO, MGU and Consumers.
State regulatory approval: MPSC

REALGY'S ORGANIZATIONAL CHART

Realgy, LLC is privately owned by the managers. Realgy Energy Services is a dba.

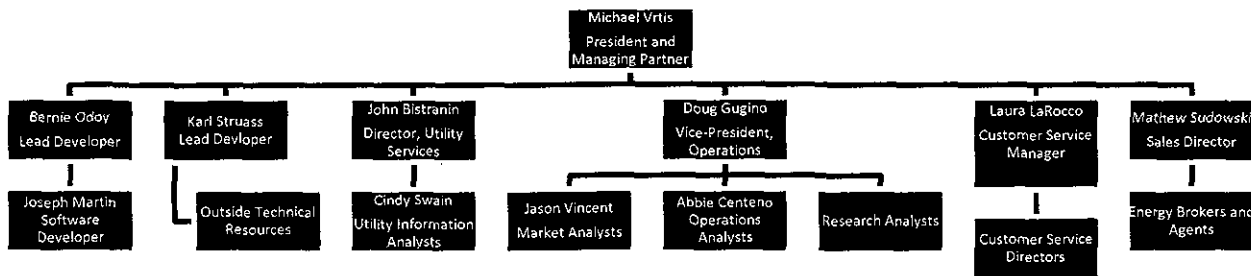


Exhibit A-16 "Company History," provide a concise description of the applicant's company history and principal business interests.

REALGY'S COMPANY HISTORY

Realgy was incorporated in June 1999. Realgy was and is private and independently owned and operated.

Realgy was a software services company specializing in the development of energy software and marketing tools for use by energy service companies, trading companies and marketers seeking to serve the emerging deregulated energy industry.

Realgy Energy Services is operated as a dba of Realgy and is organized to provide natural gas, electricity and energy services to customers. Realgy has operated as an energy marketer providing natural gas as follows:

- Indiana; authorized supplier of residential and commercial customers behind NIPSCO (Northern Indian Public Service Company) since April 2003 and Citizens Gas in May 2009
- Illinois; non-residential and non-small commercial customers' alternative gas supplier (AGS) since April 2004, behind Nicor Gas, Peoples Gas, and North Shore Gas. Realgy has been serving residential and small commercial since February 2012.
- Michigan; commercial, residential and industrial customers with Consumers, MichCon/DTE since April 2008, with SEMCO and Michigan Gas Utility since February 2011.

Realgy has operated as an energy marketer providing electricity service to customers as follows;

- Illinois; Alternative Retail Electric Supplier (ARES) docket number 09-0555 approved December 16, 2009, behind Commonwealth Edison (ComEd), Ameren, and MidAmerican Energy.

ARTICLES OF ORGANIZATION

Limited Liability Company

Office of the Secretary of the State

30 Trinity Street / P.O. Box 150470 / Hartford, CT 06115-0470 / REV 1-9-98

Space for

FILING #0001975116 PG 01 OF 01 VOL B-00265

FILED 05/10/1999 08:30 AM PAGE 01068

SECRETARY OF THE STATE
CONNECTICUT SECRETARY OF THE STATE**1. NAME OF THE LIMITED LIABILITY COMPANY:**

REALGY, LLC

2. NATURE OF BUSINESS TO BE TRANSACTED OR THE PURPOSES TO BE PROMOTED OR CARRIED OUT:The sale of
ENERGY & ENERGY EQUIPMENT &
ENERGY SERVICE**3. PRINCIPAL OFFICE ADDRESS:**1264 BLUE HILLS AVENUE
BLOOMFIELD, CT
06002**4. APPOINTMENT OF STATUTORY AGENT FOR SERVICE OF PROCESS:**

Name of agent:

STERN, LLC

Business address:

1264 BLUE HILLS AVE
BLOOMFIELD, CT
06002

Residence address:

Acceptance of appointment



Signature of agent

MICHAEL V. PVERTS
MANAGER**5. MANAGEMENT:**(Place a check mark next to the following statement only if it applies)☒ The management of the limited liability company shall be vested in one or more managers.**6. EXECUTION**

Michael V. PVERTS

Print or type name of organizer



Signature



DATE	DOCUMENT ID	DESCRIPTION	FILING	EXPED	PENALTY	CERT	COPY
02/09/2016	201603902494	FOREIGN LLC - REGISTRATION CORRECTION (LFC)	50.00	100.00	0.00	0.00	0.00

Receipt

This is not a bill. Please do not remit payment.

REALGY, LLC
LAURA LAROCCO
675 OAKWOOD AVENUE
WEST HARTFORD, CT 06110

**STATE OF OHIO
CERTIFICATE**

Ohio Secretary of State, Jon Husted
2014452

It is hereby certified that the Secretary of State of Ohio has custody of the business records for

REALGY, LLC DBA REALGY ENERGY SERVICES

and, that said business records show the filing and recording of:

Document(s)

FOREIGN LLC - REGISTRATION CORRECTION

Effective Date: 02/08/2016

Document No(s):

201603902494



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

Witness my hand and the seal of the
Secretary of State at Columbus, Ohio this
9th day of February, A.D. 2016.

Jon Husted

Ohio Secretary of State

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 natural gas service, or retail/wholesale electric services.

REALGYS JURISDICTIONS OF OPERATIONS as of the date of filing.

Electric:

- PJM Interconnection
- Midwest Independent System Operator
- Commonwealth Edison Company (Illinois)
- Ameren Illinois (Illinois)
- MidAmerican Energy Company (Illinois service territory)

Natural Gas:

- Nicor Gas (Illinois)
- Peoples Gas Light and Coke Company (Illinois)
- North Shore Gas Company (Illinois)
- Citizens Gas and Coke Utility (Indiana)
- Northern Indiana Public Service Company (Indiana)
- Consumers Energy Company (Michigan)
- DTE Energy (Michigan)
- Michigan Gas Utilities (Michigan)
- Semco Energy Gas Company (Michigan)

Realgy has no interest in any other entity providing retail or wholesale electric or natural gas services.

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 4929.22 of the Revised Code and contained in Chapter 4901:1-29 of the Ohio Administrative Code.

REALGYS EXPERIENCE & PLANS

As documented within this Application, Realgy has experience as an energy marketer.

Our approach in entering a new utility market is as follows;

1. Model the utility tariffs to determine their costs structure and service requirements.
2. Review our wholesale purchase options and cost of service throughout the utility service area.
3. Create Realgy's service plan based on competing with the utility tariff structure and costs.
4. Create a pricing comparison between the utility and Realgy's service plan offering.

Examples can be seen at our web site: www.realgyenergyservices.com

The above process results in a specific offering for use throughout the utility territory or specific offers to residential, commercial and industrial.

Realgy's sales plan includes direct agents, telemarketers, referral services and employees.

Realgy will use both recorded third party verification and paper contracts to enroll customers.

Realgy will supply natural gas (as it has since 2002) for our customers by purchasing wholesale supplies from various suppliers then using our internal nomination and balancing personnel to arrange for deliveries to the various supply points.

Realgy prefers to utilize utility consolidated billing (UCB) where available and that would be the case in Ohio. Where UCB is not available, Realgy has experience providing supply-only invoices and we plan to provide that as needed in Ohio. Our invoices include service period dates, metered quantities, price, and monthly billing amounts. Additional information would be added to comply with Ohio requirements or provide additional detail.

Customer service is provided using online access to customer specific information, call center messaging, employee based customer service, agent directly and through online chat.

Realgy trains all sales and customer service employee and agents. Customer complaint resolution is a top priority. Customer service has discretion to resolve all matters within given parameters and they are encouraged to seek approval from management where circumstances warrant. Realgy always informs customers of their rights to file complaints with the utility and regulatory authority.

Realgy has reviewed the Commission's rules adopted pursuant to Section 4929.22 of the Revised Code and contained in Chapter 4901:1-29 of the Ohio Administrative Code and will comply.

Exhibit B-3 "Summary of Experience," provide a concise summary of the applicant's experience in providing the service(s) it is seeking to be certified to provide (e.g. number and types of customers served, utility service areas, amount of load, etc.).

REALGY'S SUMMARY OF EXPERIENCE

Realgy Energy Services is operated as a dba of Realgy and is organized to provide natural gas, electricity and energy services to customers. Realgy has operated as an energy marketer providing natural gas as follows:

- Indiana; authorized supplier of residential and commercial customers behind NIPSCO (Northern Indian Public Service Company) since April 2003 and Citizens Gas in May 2009
- Illinois; non-residential and non-small commercial customers' alternative gas supplier (AGS) since April 2004, behind Nicor Gas, Peoples Gas, and North Shore Gas. Realgy has been serving residential and small commercial since February 2012.
- Michigan; commercial, residential and industrial customers with Consumers, MichCon/DTE since April 2008, with SEMCO and Michigan Gas Utility since February 2011.

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.

REALGY'S DISCLOSURE OF LIABILITIES AND INVESTIGATIONS

As of April 2016, Applicant has no liabilities, rulings, judgements or investigations that could adversely impact Realgy financial or operational status.

Exhibit B-5 "Disclosure of Consumer Protection Violations," Disclose whether the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant has been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years.

REALGY'S DISCLOSURE OF CONSUMER PROTECTION VIOLATIONS

Not applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant has been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years.

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.

REALGY'S Annual Reports

As a limited liability company (LLC), the applicant does not have shareholders and therefore does not issue an Annual Report to Shareholders. Information similar to an Annual Report is contained in other sections of this application such as; history, summary of expereince, prinicpal officers, financial statements and liabilities.

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.

REALGY'S SEC Filings

The applicant is not a publicly traded company and is therefore not required to make SEC filings.

Applicant does post various filings due to our status as a member of ISOs', licensed by various (disclosed) state regulatory agencies and the Energy Information Agency (EIA).

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.

REALGY'S SEC Filings

Further documentation is submitted in connection with this Exhibit under seal pursuant to Ohio Administrative Code 4901:1-24-08(A).

- Realgy's 2014 Audited Financials
- Realgy's 2013 Audited Financials



139 East Fourth
EM740
Cincinnati, Ohio 45202

March 8, 2016

Realgy, LLC dba Realgy Energy Services has met the Electric and Gas Collateral obligations for Duke Energy Corporation as of March 8, 2016.

Tom Hunt

Duke Energy Corp
Certified Supplier Business Center
Tom.Hunt@Duke-Energy.com



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 CRNGS operation, along with a list of assumptions, and the name, address, email address, and telephone number of the preparer.

REALGYS Forecasted Financial Statements

Realgy has provided 2 years of audited financials (2014 and 2013). Realgy has forecasted two years (2016, 2017) based upon our actual 2015 results.

Assumptions in the forecast are identified within the Profit and Loss and Income (expense) forecasts.

Forecast provided by;
Michael Vrtis
675 Oakwood Avenue
West Hartford, CT 06110
michael.vrtis@realgy.com
860-233-2270 x7000

With assistance by Dirk Shilling and Laura LaRocco.

Further documentation is submitted in connection with this Exhibit under seal pursuant to Ohio Administrative Code 4901:1-24-08(A).

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 & Poor's, 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.

REALGY'S Credit Rating

Applicant does not have a commercial credit rating by Duff & Phelps, Dun and Bradstreet Information Services, Fitch IBCA, Moody's Investors Service, Standard & Poors, or a similar organization.

Provided From:

Realgy, Llc DUNS: 94-146-7370



CreditSignal

Summary

Company Info [Update Company Info](#)

- 1100 New Britain Ave Ste 103

West Hartford, CT 06110

Phone: (860) 233-2270

URL:

- DBA's :

Scores and Ratings

Score / Rating:	Status	Last Date Changed
-----------------	--------	-------------------

PAYDEX®	Fair	04/12/2015
---------	------	------------

Delinquency

Predictor Class	Fair	02/10/2016
-----------------	------	------------

Financial

Stress Class	Fair	10/12/2015
--------------	------	------------

Supplier

Evaluation

Rating	Fair	09/15/2015
--------	------	------------

D&B

Rating	N/A	02/10/2016
--------	-----	------------

D&B

Viability Rating Fair

D&B has recently updated their scores. [Learn how these changes affect your business credit profile.](#)

Alerts

There are currently no alerts issued for this company. If you only recently began monitoring this company, you will not receive your first alerts until score changes or events occur. To configure your alerts notification settings, please [Click Here](#)

Configure Alerts

Inquiries

You have received 0 new inquiries. Inquiries are the number of individual product(s) purchased by a customer(s) on a D&B D-U-N-S® Number in a rolling one-year(365 days) time period. Although the specific name of the inquiring customer(s) is not available, your product may allow you to see the inquiring customer's industry.

Special Events

You have received 0 new special events. Special events display information on your company such as bankruptcies, suits, liens, mergers, acquisitions or changes in ownership that may impact your relationship with other firms or lending institutions.

- Dashboard
- Summary
- Update Company Info
- Tools

Realgy, Llc DUNS: 94-146-7370
CS CreditSignal

Need help? Start here

Summary

Company Info

[Update Company Info](#)

1100 New Britain Ave Ste 103
West Hartford, CT 06110
Phone: (860) 233-2270
URL:

DBA's :

Upgrade to CreditBuilder™ Today

Help build your D&B® scores and ratings and benchmark your company against your industry and competitors

Speak with a Credit Advisor to learn more
1-800-700-2733

Scores and Ratings

Score / Rating:	Status	Last Date Changed
PAYDEX®	Fair	04/12/2015
Delinquency Predictor Class	Fair	02/10/2016
Financial Stress Class	Fair	10/12/2015
Supplier Evaluation Rating	Fair	09/15/2015
D&B Rating	N/A	02/10/2016
D&B Viability Rating	Fair	

D&B has recently updated their scores. Learn how these changes affect your business credit profile.

Alerts

There are currently no alerts issued for this company. If you only recently began monitoring this company, you will not receive your first alerts until score changes or events occur. To configure your alerts notification settings, please [Click Here](#)

[Configure Alerts](#)

Inquiries

You have received 0 new inquiries.

Inquiries are the number of individual product(s) purchased by a customer(s) on a D&B D-U-N-S® Number in a rolling one-year(365 days) time period. Although the specific name of the inquiring customer(s) is not available, your product may allow you to see the inquiring customer's industry.

[Upgrade to View](#)

Special Events

You have received 0 new special events.

Special events display information on your company such as bankruptcies, suits, liens, mergers, acquisitions or changes in ownership that may impact your relationship with other firms or lending institutions.

[Upgrade to View](#)



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 since applicant last filed for certification.

REALGY'S Bankruptcy Information

Applicant has never experienced any bankruptcies or anything of that nature so this section is not applicable.

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, or at any time as a participant in the Ohio Natural Gas Choice programs.

REALGY'S Merger Information

Applicant has never experienced any dissolutions, mergers, acquisitions, or anything of that nature so this section is not applicable.

Exhibit D-1 "Operations" provide a written description of the operational nature of the applicant's business. Please include whether the applicant's operations will include the contracting of natural gas purchase for retail sales, the nomination and scheduling of retail natural gas for delivery, the provision of retail ancillary services, as well as other services used to supply natural gas to the natural gas company city gate for retail customers.

REALGY'S OPERATIONS

Realgy is a retail energy supplier in Illinois, Indiana, and Michigan. We provide natural gas service in all three states and electric service in Illinois via the PJM Interconnection (PJM) and Midwest Independent System Operator (MISO).

In Ohio we plan to serve retail natural gas load anywhere we can become authorized, as detailed in Part A-11 of this application. Realgy will contract for and procure wholesale supply and we will use interstate and intrastate transportation to deliver supplies to the various city gates. We will utilize ancillary services, storage where it is feasible to do so, and comply with all nomination, balancing, and curtailment rules and procedures as required. We will schedule our load per the attendant utility and federal and state regulatory protocols and comply with all state regulatory requirements and utility rules.

Exhibit D-2 "Operations Expertise," given the operational nature of the applicant's business, provide evidence of the applicant's experience and technical expertise in performing such operations.

REALGY'S OPERATIONS EXPERTISE

As described in this application Realgy has management practice in retail energy spanning 25+ years as of Jan 2016.

Realgy Energy Services is a private and independently owned energy services company and a retail marketer of natural gas and electricity. Realgy Energy Services has been providing natural gas services to customers as follows:

Illinois; non-residential and non-small commercial customers' alternative gas supplier (AGS) since April 2004 (ICC docket number 07-022 has been requested to be consolidated into Realgy application filed with ICC in February 2012 to include service to residential customer and North Shore Gas).

Michigan; commercial, residential and industrial customers with Consumers, MichCon/DTE since April 2008, with SEMCO and Michigan Gas Utility since Feb 2011.

Indiana; authorized supplier of residential and commercial customers behind NIPSCO (Northern Indian Public Service Company) since April 2003 and Citizens Gas in May 2009

Realgy has been providing electricity service to customers as follows;

Illinois; Alternative Retail Electric Supplier (ARES) docket number 09-0555 approved December 16, 2009.

REALGY'S KEY TECHICAL PERSONNEL

As of 2015:

- **TWELVE YEARS NATURAL GAS SALES EXPERIENCE, BUYING AND SELLING NATURAL GAS AND ENRGY IN WHOLESALE MARKETS**
Michael Vrtis, Doug Gugino, John Bistranin and Jason Vincent
- **TWELVE YEARS OF SCHEDULING, NOMINATING, AND BALANCING NATURAL GAS SUPPLIES.**
Michael Vrtis, Doug Gugino, John Bistranin and Jason Vincent
- **EIGHTEEN OR MORE YEARS EXPERIENCE WITH ENTERPRISE FINANCIAL AND ADMINISTRATION RESPONSIBILITIES INCLUDING PROFIT AND LOSS RESPONSIBILITIES**
Michael Vrtis, Doug Gugino, Laura LaRocco and Dirk Shilling
- **TWELVE YEARS NATURL GAS SYSTEM OPERATIONAL EXPERIENCE**
Michael Vrtis, Doug Gugino and John Bistranin

NAME	EMAIL	TELEPHONE
Michael Vrtis	michael.vrtis@realgy.com	860-233-2270 x 7000
Doug Gugino	doug.gugino@realgy.com	860-233-2270 x 7001
John Bistranin	johnbistranin@realgy.com	303-980-6011
Jason Vincent	jvincent@realgy.com	860-233-2270 x 5001
Laura LaRocco	lauralarocco@realgy.com	860-233-2270 x 7002

In addition to management previously identified in this filing the following are technical personel Realgy relies upon in the conduct of our business:

John Bistranin
Director, Utility Service

John joined Realgy in October 2001 after having over 13 years of experience in the utility service industry working with Public Service Company of Colorado (PSCo now Xcel). Xcel is a member of OASIS, PJM and the Southwest Power Pool, Inc. ("SPP") Regional Transmission Organization ("RTO") in the Eastern Interconnection among others.

John Bistranin directs the collection, organization and validation of all the utility related data including trading and operations related to tariff requirements for RTOs.

John is recognized as an expert in analyzing tariffs, rates and regulatory environments throughout the nation. The tariff rate information is used for billing services, sales, and auditing and impact assessments. John has extensive experience in customizing solutions in each of these business areas.

John's 20-year career spans all the disciplines of information services related to utility rates: tariff analyst, rate account, project manager and sales analysts.

John has management responsibility including administration responsibilities related to profit and loss.

John's advance degree is from the University of Denver.

Laura LaRocco
Manager, Customer Service

Laura joined Realgy in May 2009. Previous to joining Realgy, Laura had a career spanning 18 years at Unisource Worldwide Inc., where she was responsible for all aspects of Administrative Services to both the Sales and Operations Departments including profit and loss responsibility.

As the Customer Service/Office Manager at Realgy, Laura is responsible for implementing Realgy's marketing messages, communicating responses to customer inquiries and the satisfaction of all of our customers.

Laura has management responsibility including administration responsibilities related to profit and loss.

Bernie Odoy
Lead Software Engineer

Bernie Odoy is a Lead Software Engineer for Realgy, LLC. Mr. Odoy shares responsibility for designing and developing the software systems that drive Realgy's business.

Mr. Odoy has 30 years of experience developing systems. He has experience in the electrical, industrial, insurance, healthcare and financial business sectors.

Before joining Realgy, Bernie worked at HIMCO, the investment division of The Hartford. There he led a number of teams to develop systems to assist investment professionals manage investment and risk decisions for collateralized bonds and derivatives.

Additionally, Bernie spent 15 years as a consultant at Microsoft, in their consulting division, and for his own firm. In his role as a consultant, he assisted both large and small businesses plan and deliver critical business systems.

Mr. Odoy is a lifelong resident of Connecticut. Bernie graduated from the University of Connecticut with B.S in Computer Engineering. He started his career at GE in their Electrical Distribution division as a member of the Edison Engineering program. As part of the program he achieved an M.S. in Computer Science from Rensselaer Polytechnic Institute.

Karl Strauss
Lead Software Engineer

Karl Strauss is a Lead Software Engineer for Realgy, LLC. Mr. Strauss shares responsibility for designing and developing the software systems that drive Realgy's business.

Mr. Strauss joined the Realgy team in 2013 with over 25 years of experience in software engineering. He has experience in the healthcare, financial services and publishing industries.

Before joining Realgy, Karl worked at Alegeus designing several iterations of their healthcare membership and plan communication services. During the late 80s and 90s Karl was a founding partner for Legend Communications a seller of packaged software for the desktop publishing sector.

Mr. Strauss graduated with a B.Sc. in Environmental Science from the University of Northern British Columbia in Canada

Jason Vincent
Energy/Operational Analyst
675 Oakwood Ave., West Hartford, CT 60110
(860) 233-2270 Extension 5001

Mr. Vincent is an experienced Operations and Financial Analyst with over 15 year of analytics in Finance, accounting and logistics. For the past year and half, Mr. Vincent has taken on the role to learn the Energy Industry working in both Natural Gas and Electric with Realgys' operations team. He has been become crucial part by taking on the day to day operations of Realgy's Gas Purchasing, Nominations, Scheduling and Forecasting while freeing up upper managements time to develop a software system to meet the Electric and Natural Gas Market Demands.

Prior to coming to Realgy, he was a Senior Financial Analyst while being promoted to Operations Controller and working on complex deals and negotiations'. He worked on Six Sigma metrics developing a process to audit WIP and revenue metrics by using cost analysis techniques to improve profitability and efficiencies of the business. He has developed a training curriculum to reduce retention rate and driving down the cost components of his company business.

A bulk of his work was creating analysis techniques in redefining the standard operating procedures along with working with software developers to implement his analytics into the algorithm and their software system.

He spent many years creating and analyzing financial reports and then reporting his finding to the CEOs with a creative solution along with any anomalies during the weekly company' meeting. He has also created business rules for general ledgers and reports in multiple accounting software systems, examples Great Plains, PeopleSoft and Mas 200 where his work consisted of setting up complex codes to make reporting simpler and easier to track each jobs' product line and labor costs per job while maintaining revenue to cost effectiveness and reliability.

A Bachelors in Finance with a concentration in Economics.

A Military Distinguished Graduate of A School in Electronics and Telecoms.

A Veteran of the US Navy aboard the USS Carl Vinson serving time overseas in the Persian Gulf while maintain a pristine military record.

Dirk Schilling
CPA

Dirk is a CPA who has over 25 years of accounting, tax and financial consulting experience working with small and mid-sized family businesses. Dirk has worked with client throughout the United States providing support from beginning the planning stages of operations all the way through the eventual transition of ownership. He has provided compliance filings, financial and tax projections, and consulted with owners and management on general business and financial strategies. He graduated from Northern Illinois University in 1990 with a BS in Accounting and started his own Professional Corporation in 2005. He currently serves on several Board of Advisors for clients and his church and resides in Wheaton, IL with his wife Shelley and 2 kids.