



The Public Utilities Commission of Ohio

16-1118-EL-AGG

Original AGG Case Number	Version
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 Summit Energy Services, Inc.
Address 10350 Ormsby Park Place Ste 400, Louisville, KY 40223
PUCO Certificate # and Date Certified 10-214E (3); 6/13/14
Telephone # (502) 753-3100 Web site address (if any) _____

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

Legal Name Corporation Service Company
Address 50 W Broad Street Ste 1800
Telephone # (800) 877-2556 Web site address (if any) _____

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

Schneider Electric

A-4 Contact person for regulatory or emergency matters

Name Holly Liter
Title Director, Sourcing
Business address 10350 Ormsby Park Place Ste 400, Louisville, KY 40223
Telephone # (502) 753-3100 Fax # (502) 753-2248
E-mail address (if any) holly.liter@ems.schneider-electric.

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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 _____ Date Processed _____

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

Name Holly Liter
Title Director, Sourcing
Business address 10350 Ormsby Park Place Ste 400, Louisville, KY 40223
Telephone # (502) 753-3100 Fax # (502) 753-2248
E-mail address (if any) holly.liter@ems.schneider-electric

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

Customer Service address 10350 Ormsby Park Place, Louisville, KY 40223
Toll-free Telephone # (502) 753-3100 Fax # (502) 753-2248
E-mail address (if any) N/A

A-7 Applicant's federal employer identification number # 61-1211144

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

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

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

- A-9 Exhibit A-9 "Principal Officers, Directors & Partners"** provide the names, titles, addresses and telephone numbers of the applicant's principal officers, directors, partners, or other similar officials.
- A-10 Exhibit A-10 "Corporate Structure,"** provide a description of the applicant's corporate structure, including a graphical depiction of such structure, and a list of all affiliate and subsidiary companies that supply retail or wholesale electricity or natural gas to customers and companies that aggregate customers in North America.

B. APPLICANT MANAGERIAL CAPABILITY AND EXPERIENCE

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

- B-1 Exhibit B-1 "Jurisdictions of Operation,"** provide a list of all jurisdictions in which the applicant or any affiliated interest of the applicant is, at the date of filing the application, certified, licensed, registered, or otherwise authorized to provide retail or wholesale electric services including aggregation services.
- B-2 Exhibit B-2 "Experience & Plans,"** provide a description of the applicant's experience and plan for contracting with customers, providing contracted services, providing billing statements, and responding to customer inquiries and complaints in accordance with Commission rules adopted pursuant to Section 4928.10 of the Revised Code.

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

B-4 Disclose whether the applicant, a predecessor of the applicant, or any principal officer of the applicant have ever been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years.
☒ No ☐ Yes

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

B-5 Disclose whether the applicant or a predecessor of the applicant has had any certification, license, or application to provide retail or wholesale electric service including aggregation service denied, curtailed, suspended, revoked, or cancelled within the past two years.
☒ No ☐ Yes

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

C. FINANCIAL CAPABILITY AND EXPERIENCE

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

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

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

C-3 **Exhibit C-3 "Financial Statements,"** provide copies of the applicant's two most recent years of audited financial statements (balance sheet, income statement, and cash flow statement). If audited financial statements are not available, provide officer certified financial statements. If the applicant has not been in business long enough to satisfy this requirement, it shall file audited or officer certified financial statements covering the life of the business.

- C-4 **Exhibit C-4 "Financial Arrangements,"** provide copies of the applicant's financial arrangements to conduct CRES as a business activity (e.g., guarantees, bank commitments, contractual arrangements, credit agreements, etc.).
- C-5 **Exhibit C-5 "Forecasted Financial Statements,"** provide two years of forecasted financial statements (balance sheet, income statement, and cash flow statement) for the applicant's CRES operation, along with a list of assumptions, and the name, address, e-mail address, and telephone number of the preparer.
- C-6 **Exhibit C-6 "Credit Rating,"** provide a statement disclosing the applicant's credit rating as reported by two of the following organizations: Duff & Phelps, Dun and Bradstreet Information Services, Fitch IBCA, Moody's Investors Service, Standard & Poors, or a similar organization. In instances where an applicant does not have its own credit ratings, it may substitute the credit ratings of a parent or affiliate organization, provided the applicant submits a statement signed by a principal officer of the applicant's parent or affiliate organization that guarantees the obligations of the applicant.
- C-7 **Exhibit C-7 "Credit Report,"** provide a copy of the applicant's credit report from Experian, Dun and Bradstreet or a similar organization.
- C-8 **Exhibit C-8 "Bankruptcy Information,"** provide a list and description of any reorganizations, protection from creditors or any other form of bankruptcy filings made by the applicant, a parent or affiliate organization that guarantees the obligations of the applicant or any officer of the applicant in the current year or within the two most recent years preceding the application.
- C-9 **Exhibit C-9 "Merger Information,"** provide a statement describing any dissolution or merger or acquisition of the applicant within the five most recent years preceding the application.



Signature of Applicant & Title

DIRECTOR, SOURCING

Sworn and subscribed before me this 16 day of May, 2016
Month Year


Signature of official administering oath

Leslie Williams
Print Name and Title



My commission expires on 10/10/19

AFFIDAVIT

State of KENTUCKY :

LOUISVILLE ss.
(Town)

County of JEFFERSON :

HOLLY LITER, Affiant, being duly sworn/affirmed according to law, deposes and says that:

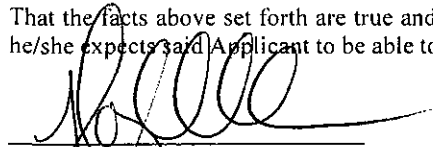
He/She is the DIRECTOR, SUPPLY (Office of Affiant) of SUMMIT ENERGY SERVICES, INC. (Name of Applicant);

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

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

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

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


Signature of Affiant & Title

DIRECTOR, SURGEON

Sworn and subscribed before me this 16 day of May, 2016 Year
Month


Signature of official administering oath

Leslie Williams
Print Name and Title

My commission expires on 10/10/19



Summit Energy Services Inc.

Exhibit A-9 Principal Officers, Directors & Partners

Steve Wilhite
President/CEO
10350 Ormsby Park Place, Suite 400
Louisville, KY 40223
502-753-3103

Bill Brewer
Vice President
10350 Ormsby Park Place, Suite 400
Louisville, KY 40223
502-753-3159

Summit Energy Services Inc.

Exhibit A-10 Corporate Structure

Summit Energy Services, Inc. is a 100% fully owned subsidiary of Schneider Electric. Neither Summit nor Schneider have any affiliate or subsidiary companies that supply retail or wholesale electricity or natural gas to customers and companies that aggregate customers in North America. Schneider does own some solar generation assets that are used for its own energy needs at some of its facilities.

States in which the Applicant is now or has been engaged in the retail sale (including brokering) of electricity or natural gas:

<u>State:</u>	<u>Type of License:</u>	<u>License No:</u>
Illinois	Electricity	10-0241
Maine	Electricity	2006-318
Maryland	Electricity	IR-1396
Massachusetts	Electricity	EB-149
New Hampshire	Electricity	DE 11-007
Ohio	Electricity	10-214E(2)
Ontario	Electricity	ER-2013-0050
Pennsylvania	Electricity	A-2009-2143682
Texas	Electricity	80292

Summit Energy Services Inc.

Exhibit B-2 Experience & Plans

Summit Energy Services Inc. is a broker, not a supplier, and we do not provide contracting services or billing statements.

Summit Energy Services Inc.

Exhibit B-3 Disclosure of Liabilities and Investigations

Summit Energy Services Inc. has no Liabilities nor are there any past or present Investigations.

Summit Energy Services Inc.

Exhibit C-1 Annual Report

Annual reports for Schneider Electric SA can be found online at <http://www.schneider-electric.com/sites/corporate/en/finance/presentations/annual-reports.page>.

Summit Energy Services Inc.

Exhibit C-2 SEC Filings

Schneider Electric SA shares are not traded on an organized exchange in the United States. As a result, Schneider Electric does not fall under the SEC's jurisdiction. The shares are traded on the Paris Stock Exchange (Eurolist – Euronext Paris).

Summit Energy Services Inc.

Exhibit C-3 Financial Statements

Audited financial statements can be located in pages 181-252 of the FY 2014 PDF and pages 187-248 of the FY 2015 PDF here: <http://www2.schneider-electric.com/sites/corporate/en/finance/presentations/annual-reports.page>

Summit Energy Services Inc.

Exhibit C-4 Financial Arrangements

We are a broker, not a supplier and do not have copies of any financial arrangements requested in Exhibit C-4.

Summit Energy Services Inc.

Exhibit C-5 Forecasted Financial Statements

Summit US
PUCO Application

	<u>2014</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
Revenues	62,856,507	65,999,332	69,299,299	72,764,264
Expenses	(65,100,771)	(68,355,810)	(71,773,600)	(75,362,280)
Net Income	<u>(2,244,264)</u>	<u>(2,356,477)</u>	<u>(2,474,301)</u>	<u>(2,598,016)</u>

Exhibit C-6 Credit Rating

Phone: +33 141297000 35 rue Joseph Monier
RUEIL-MALMAISON 92500 France Ticker: SU

Business Summary

(Source: Company's Website)

Federal Tax Id: 362440683

Auditor Information

Last Audit: 12/31/2012

Auditors: Mazars

Opinion: Unqualified with
Explanation

Days Sales Outstanding

Age Group	Percentage
18-24	15
25-34	25
35-44	30
45-54	35
55-64	40
65-74	45
75-84	50
85-94	55
95-104	60

11/2012	12/2012	1/2013
8	8	8

(Includes DBT Indexes from Subsidiaries)

Summit Energy Services Inc.

Exhibit C-7 Credit Report

Summit Energy Services Inc. is a broker and we do not have credit report information.

Summit Energy Services Inc.

Exhibit C-8 Bankruptcy Information

Schneider Electric is not in any bankruptcy or reorganization proceedings and does not anticipate need to do so.

Summit Energy Services Inc.

Exhibit C-9 Merger Information

On April 14, 2011, Summit Energy Services, Inc. was acquired by Schneider Electric. Summit Energy Services, Inc. still exists as a wholly owned subsidiary.