

FILE



Public Utilities Commission

Original AGG Case Number	Version
14 - 1441 -EL-AGG	May 2016

RENEWAL APPLICATION FOR ELECTRIC AGGREGATORS/POWER BROKERS

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit C-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 intends to be certified as: (check all that apply)

☒ Power Broker ☐ Aggregator

A-2 Applicant's legal name, address, telephone number, PUCO certificate number, and web site address

Legal Name Blue Hook Systems, LLC
 Address 4041 N. High St., Suite 202 Columbus, OH 43214
 PUCO Certificate # and Date Certified 14-872E(1) 9/19/2014
 Telephone # (614) 888-8805 Web site address (if any) www.bluehooksystems.com

A-3 List name, address, telephone number and web site address under which Applicant will do business in Ohio

Legal Name Blue Hook Systems, LLC
 Address 4041 N. High St., Suite 202 Columbus, OH 43214
 Telephone # (614) 888-8805 Web site address (if any) www.bluehooksystems.com

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

Blue Hook Systems _____

A-5 Contact person for regulatory or emergency matters

Name Greg Bechert
 Title Partner
 Business address 4041 N. High St., Suite 202 Columbus, OH 43214
 Telephone # (614) 888-8805 Fax # _____
 E-mail address gfbrechert@bluehooksystems.com

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 A Date 8/13/18

PUCO

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

Name Greg Bechert
Title Partner
Business address 4041 N. High St., Suite 202 Columbus, OH 43214
Telephone # (614) 888-8805 Fax # _____
E-mail address gfbechert@bluehooksystems.com

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

Customer Service address 4041 N. High St., suite 202 Columbus, OH 43214
Toll-free Telephone # (866) 455-5750 Fax # _____
E-mail address gfbechert@bluehooksystems.com

A-8 Applicant's federal employer identification number # 471338833

A-9 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-10 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.

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. (This is generally only applicable to publicly traded companies who publish annual reports.)

C-2 **Exhibit C-2 "SEC Filings,"** provide the most recent 10-K/8-K Filings with the SEC. If the applicant does not have such filings, it may submit those of its parent company. An applicant may submit a current link to the filings or provide them in paper form. 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. If the applicant does not have a balance sheet, income statement, and cash flow statement, the applicant may provide a copy of its two most recent years of tax returns (with social security numbers and account numbers redacted).

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.).

Renewal applicants can fulfill the requirements of Exhibit C-4 by providing a current statement from an Ohio local distribution utility (LDU) that shows that the applicant meets the LDU’s collateral requirements.

First time applicants or applicants whose certificate has expired as well as renewal applicants can meet the requirement by one of the following methods:

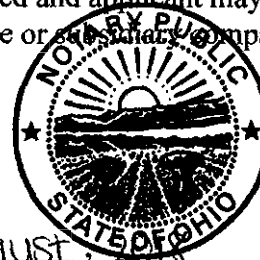
1. The applicant itself stating that it is investment grade rated by Moody’s, Standard & Poor’s or Fitch and provide evidence of rating from the rating agencies.
2. Have a parent company or third party that is investment grade rated by Moody’s, Standard & Poor’s or Fitch guarantee the financial obligations of the applicant to the LDU(s).
3. Have a parent company or third party that is not investment grade rated by Moody’s, Standard & Poor’s or Fitch but has substantial financial wherewithal in the opinion of the Staff reviewer to guarantee the financial obligations of the applicant to the LDU(s). The guarantor company’s financials must be included in the application if the applicant is relying on this option.
4. Posting a Letter of Credit with the LDU(s) as the beneficiary.

If the applicant is not taking title to the electricity or natural gas, enter "N/A" in Exhibit C-4. An N/A response is only applicable for applicants seeking to be certified as an aggregator or broker.

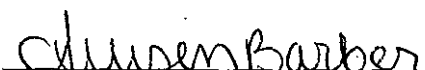
- C-5 Exhibit C-5 "Forecasted Financial Statements,"** provide two years of forecasted income statements for the applicant's **ELECTRIC related business activities in the state of Ohio Only**, along with a list of assumptions, and the name, address, email address, and telephone number of the preparer. The forecasts should be in an annualized format for the two years succeeding the Application year.
- 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, 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 an 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. If an applicant or its parent does not have such a credit rating, enter "N/A" in Exhibit C-6.
- 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. An applicant that provides an investment grade credit rating for Exhibit C-6 may enter "N/A" for Exhibit C-7.
- 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 two most recent years preceding the application.
- C-10 Exhibit C - 10 "Corporate Structure,"** provide a description of the applicant's corporate structure, not an internal organizational chart, 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. If the applicant is a stand-alone entity, then no graphical depiction is required and applicant may respond by stating that they are a stand-alone entity with no affiliate or subsidiary companies.


 Signature of Applicant & Title

Sworn and subscribed before me this 7th day of August,
 Month Year



ALLISON BARBER
 Notary Public, State of Ohio
 My Commission Expires
 January 24, 2023


 Signature of official administering oath

Allison Barber / FCM
 Print Name and Title

My commission expires on 01/24/2023

AFFIDAVIT

State of OHIO :

(Town) ss.

County of FRANKLIN :

GREG BECHTOLD, Affiant, being duly sworn/affirmed according to law, deposes and says that:

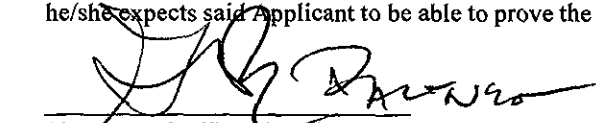
He/She is the PARTNER (Office of Affiant) of BLUEHOCK SYSTEMS (Name of Applicant);

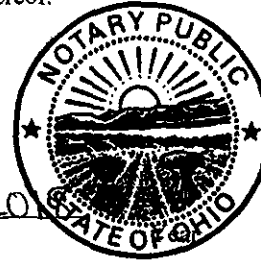
That he/she is authorized to and does make this affidavit for said Applicant,

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.

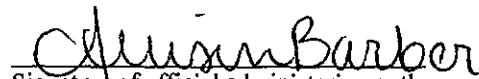
That the facts above set forth are true and correct to the best of his/her knowledge, information, and belief and that he/she expects said Applicant to be able to prove the same at any hearing hereof.


Signature of Affiant & Title



ALLISON BARBER
Notary Public, State of Ohio
My Commission Expires
January 24, 2023

Sworn and subscribed before me this 7 day of August 2018
Month


Signature of official administering oath

Allison Barber/FCM
Print Name and Title

My commission expires on 01/24/2023

Exhibit A-10 "Principal Officers, Directors & Partners"

Gregory F. Bechert, Managing Partner
4041 North High Street, Suite 202
Columbus, OH 43214-3248
Phone: 614-888-8805, Ext. 101
Fax: 614-453-8811

gfbechert@bluehooksystems.com

Susanne Buckley, Managing Partner
4041 North High Street, Suite 202
Columbus, OH 43214-3248
Phone: 614-888-8805, Ext. 104
Fax: 614-453-8811

sbuckley@bluehooksystems.com

Exhibit B-1 "Jurisdictions of Operations"

As of this filing, Blue Hook Systems, LLC is licensed as a brokerage firm in Ohio only.

Exhibit B-2 "Experience & Plans"

Blue Hook Systems, LLC (BHS) is a software based platform that allows the commercial and industrial community to quickly identify multiple wholesale energy opportunities based on specific procurement identifiers. BHS functions as an independent brokerage firm, and thus is supplier agnostic. This in turn means that BHS is not taking title to any energy and therefore does not provide any energy related billing statements to customers. In addition, because the company does not take title to the electricity, it is not a party to any agreements between customer and supplier, merely a conduit.

The managing partners of BHS are seasoned energy professions with over 40 years of experience in both energy trading and energy retail marketing. Their extensive knowledge of utility structures, tariffs, and wholesale modeling allows BHS to deliver crucial and unbiased information to clients, which empowers them to make the best decisions regarding implementation of risk strategies that are in line with corporate goals.

Greg Bechert has been involved in the energy retail industry since 1995, beginning with Enron Capital and Trade, where his initial focus was natural gas end-use customers throughout the Midwest region, specifically in Indiana, Michigan, and Ohio. Over seven years, his role and responsibilities expanded to include marketing electricity in Massachusetts, Illinois and Texas. In 2003, Mr. Bechert joined Constellation NewEnergy (CNE) where his knowledge and background assisted CNE in its marketing campaigns under Cinergy's and FirstEnergy's Market Development Plans. He went on to manage CNE's Midwest sales team, and was instrumental in leading the company's sales efforts behind the Ameren footprint in Southern Illinois, and eventually expanded his responsibilities to include the ComEd market throughout Chicagoland. In 2009, he started Scioto Energy, Ohio's largest energy brokerage and consulting firm. Greg was recognized as a 2013 Who's Who in Energy, and in 2013 help found the Energy Professionals of Ohio association, where he currently serves as Chairman.

Susanne Buckley began her energy career in 1992 when she joined American Electric Power as an environmental engineer, which provided the foundation for her extensive knowledge of utility rate structures developed over the years. Ms. Buckley moved to the deregulated side when she joined American Electric Power Energy Services in 1998 where she gained experience in operations, trading, structuring deals and marketing. In 2005, Ms. Buckley joined Integrys Energy Services where she led the residential mass markets efforts for deregulated natural gas and electricity sales and also directed the commercial and industrial sales efforts for the Midwest region. In 2009, Susanne joined Scioto Energy and assisted in its efforts to become a leading brokerage and consulting firm in the Midwest. In 2013, she was recognized as a Who's Who in Energy, and in 2014, she was recognized as one of the Top 20 Energy Professionals by Business First.

Exhibit B-3 "Disclosure of Liabilities and Investigations"

As of this filing, Blue Hook Systems, LLC is not aware of any existing, pending or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or any other matter that could adversely impact its financial or operational status or ability to provide the services it is seeking to be certified to provide.

Exhibit C-1 "Annual Reports"

Blue Hook Systems, LLC is not a publicly traded entity and does not have an annual report.

Exhibit C-2 "SEC Filings"

Blue Hook Systems, LLC is not a public entity and therefore no SEC filings are required.

Exhibit C-3 "Financial Statements"

The response to this request requires that Blue Hook Systems disclose confidential, proprietary or trade secret information. Blue Hook Systems has filed this information under seal.

Exhibit C-4 "Financial Arrangements"

Blue Hook Systems, LLC does not require any loans to operate. As a broker Blue Hook Systems is not taking title to the electricity.

Exhibit C-5 "Forecasted Financial Statements"

The response to this request requires that Blue Hook Systems disclose confidential, proprietary or trade secret information. Blue Hook Systems has filed this information under seal. .

Exhibit C-6 "Credit Rating"

Not Applicable. Blue Hook Systems, LLC does not have a D&B number and therefore does not have a published credit rating.

Exhibit C-7 "Credit Report"

Since Blue Hook Systems, LLC does not require any loans/credit to operate and does not have a D&B number, no credit reports are available. However, a personal credit report from Experian has been filed under seal.

Exhibit C-8 "Bankruptcy Information"

Blue Hook Systems, LLC has not had any reorganization, protection from creditors or any other form of bankruptcy filings ever.

Exhibit C-9 "Merger Information"

Blue Hook Systems, LLC has had no dissolution or merger or acquisitions within the five most recent years preceding this application.

Exhibit C-10 "Corporate Structure"

Blue Hook Systems, LLC is an Ohio Limited Liability Company with two managing partners and no affiliate or subsidiary companies that supply retail or wholesale electricity or natural gas to customers and companies that aggregate customers in North America.