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August 23, 2019

Public Utilities Commission of Ohio
Docketing Division
180 East Broad Street
Columbus, OH 43215
P: (614) 466-3016

PUCO

2019 AUG 27 AM 11:33

RECEIVED-DOCKETING DIV

Re: **United Power Consultants, Inc**
Initial Certification Application Competitive Retail Natural Gas
Brokers/Aggregators

To Whom It May Concern:

Enclosed please find an **Initial Certification Application Competitive Retail Natural Gas Brokers/Aggregators** for our client, **United Power Consultants, Inc.** Once the application has been processed, please forward evidence of approval to the mailing address on the application. If there is any issue, or if you require any further information, please do not hesitate to contact us.

Thank you,

LicenseLogix
2151 River Plaza Drive, Suite 195
Sacramento, CA 95833
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(800) 292-0909

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Public Utilities Commission

19-1620-GA-AGG

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Date Received	Case Number	Certification Number
	- GA-AGG	

INITIAL CERTIFICATION APPLICATION COMPETITIVE RETAIL NATURAL GAS BROKERS /AGGREGATORS

Please **type or print** all required information. Identify all attachments with an exhibit label and title (*Example: Exhibit A-15 - 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

A-2 Applicant information:

Legal Name United Power Consultants, Inc
Address 2001 N Federal Highway, Suite 316, Pompano Beach, FL 33062
Telephone No. 800-738-6159 Web site Address www.unitedpowerconsultants.com

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

Name United Power Consultants, Inc
Address 2001 N Federal Highway, Suite 316, Pompano Beach, FL 33062
Web site Address www.unitedpowerconsultants.com Telephone No. 800-738-6159

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

United Power Consultants, Inc

A-5 Contact person for regulatory or emergency matters:

Name Todd Griffin Title Senior Administrator
Business Address 2001 N Federal Highway, Suite 316, Pompano Beach, FL 33062
Telephone No. 800-738-6159 Fax No. 888-229-1285 Email Address todd@upcnw.com



INITIAL CERTIFICATION FILING INSTRUCTIONS COMPETITIVE RETAIL NATURAL GAS BROKERS/AGGREGATORS

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

II. What to File: Applicant must submit one original notarized application signed by a principal officer and three copies including all exhibits, affidavits, and other attachments. All attachments, affidavits, and exhibits should be clearly identified. For example, Exhibit C-10 should be marked "Exhibit C-10 'Corporate Structure.'" All pages should be numbered and attached in a sequential order.

III. Which Forms to File: Entities, other than governmental aggregators, that will aggregate customers or suppliers to provide competitive retail natural gas services must file a **"Certification Application for Retail Natural Gas Brokers/Aggregators"** form. Governmental aggregators must file a **"Certification Application for Governmental Aggregators"** form and retail natural gas suppliers must file a **"Certification Application for Retail Natural Gas Suppliers"** form. If a broker/aggregator will provide competitive retail natural gas marketer services, in addition to broker and aggregator services, it must file a **"Certification Application for Retail Natural Gas Suppliers"** form. Checkboxes are provided on the form to indicate desired status.

A summary of CRNGS definitions (from the Commission's certification rules) is provided below to help applicants determine which application form to use. Three separate application forms are provided, one each for the following services.

- ☐ **Competitive Retail Natural Gas Supplier (Marketer, Broker, Aggregator)**
- ☐ **Competitive Retail Natural Gas Broker/Aggregator**
- ☐ **Ohio Natural Gas Governmental Aggregator**

IV. Certified Entity Service Definitions:

Competitive Retail Natural Gas Service - any retail natural gas service that may be competitively offered to consumers in this state.

Competitive Retail Natural Gas Supplier - a person that is engaged in a for-profit or not for-profit basis in the business of supplying or arranging for the supply of a CRNGS to consumers in this state that are not mercantile customers. "Retail natural gas supplier" includes a marketer, broker, or aggregator, but excludes a natural gas company, a governmental aggregator, a billing or collection agent, and a producer or gatherer of gas that is not a natural gas company.

Competitive Retail Natural Gas Marketing Service – assuming the contractual and legal responsibility for the sale and provision of CRNGS to a retail natural gas customer in this state and having title to natural gas at some point during the transaction.

Competitive Retail Natural Gas Brokerage Service – assuming the contractual and legal responsibility for the sale and/or arrangement for the supply of CRNGS to a retail customer in this state without taking title to the natural gas.

Competitive Retail Natural Gas Broker - a person who provides retail natural gas brokerage service.

Competitive Retail Natural Gas Aggregation Service - combining the natural gas load of multiple retail residential customers or small commercial customers via an agreement with the customers for the purpose of purchasing retail natural gas service on an aggregated basis.

Competitive Retail Natural Gas Aggregator - a person who contracts with customers to combine the customers' natural gas load for the purposes of purchasing CRNGS on an aggregated basis.

Natural Gas Governmental Aggregator - The legislative authority of a municipal corporation, the board of township trustees, or a board of county commissioners acting exclusively under Section 4929.26 or 4929.27 of the Revised Code as an aggregator for the provision of CRNGS. For the purposes of this definition, "governmental aggregator" specifically excludes a municipal corporation acting exclusively under Section 4 of Article XVIII, Ohio Constitution, as an aggregator for the provision of CRNGS.

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

VI. Confidentiality: An applicant may file financial statements, financial arrangements, and forecasted financial statements under seal. If these exhibits are filed under seal, they will be afforded protective treatment for a period of six years from the date of the certificate for which the information is being provided.

An applicant may file a motion for a protective order for other information not filed under seal per the previous paragraph. If the motion is filed in conformance with rule 4901:1-27-07 of the Administrative Code, it shall be automatically approved on the thirty-first day after the date of filing and the information shall be afforded protective treatment for a period of six years from the date of the certificate for which the information is being provided, unless the commission or an attorney examiner appointed by the commission rules otherwise.

At the expiration of the six-year period provided for in the previous paragraphs, the information will be automatically released into the open record. An applicant wishing to extend a protective order beyond the six-year time period must comply with paragraph (F) of rule 4901-1-24 of the Administrative Code.

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

The Commission may approve, suspend, or deny an application within 30 days. If the Commission does not act within 30 days, the application is deemed automatically approved on the 31st day after the official filing date. If the Commission suspends the application, the Commission shall notify the applicant of the reasons for such suspension and may direct the applicant to furnish additional information.

The Commission shall act to approve or deny a suspended application within 90 days of the date that the application was suspended. Upon Commission approval, the applicant shall receive notification of approval and a numbered certificate that specifies the service(s) for which the applicant is certified and the dates for which the certificate is valid.

Unless otherwise specified by the Commission, a competitive retail natural gas service provider's certificate is valid for a period of two years, beginning and ending on the dates specified on the certificate. The applicant may renew its certificate in accordance with Rule 4901:1-27-09 of the Ohio Administrative Code.

CRNGS(competitive retail natural gas service) providers shall inform the Commission of any material change to the information supplied in a certification application within thirty days of such material change in accordance with Rule 4901:1-27-11 of the Ohio Administrative Code.

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

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

IX. Questions: Questions regarding filing procedures should be directed to CRNGS@puc.state.oh.us

X. Governing Law: The certification/renewal of CRNGS suppliers is governed by Chapters 4901:1-27 and 4901:1-29 of the Ohio Administrative Code, and Section 4929.20 of the Ohio Revised Code.

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

Name Glinda Rees Title Compliance
Business address 2001 N Federal Highway, Suite 316, Pompano Beach, FL 33062
Telephone No. 800-738-6159 Fax No. 888-229-1285 Email Address glinda@upcnw.com

grees@unitedpowerconsultants.com

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

Customer service address 2001 N Federal Highway, Suite 316, Pompano Beach, FL 33062
Toll-Free Telephone No. 800-738-6159 Fax No. n/a Email Address glinda@upcnw.com

grees@unitedpowerconsultants.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 *Incorp Services Inc.* Title
Business address *9435 Waterstone Blvd. Cincinnati, OH 45249*
Telephone No. *800-246-2677* Fax No. Email Address *Customercare@incop.com*

A-9 Applicant's federal employer identification number 45-2785458

A-10 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 |

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 type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/> Dominion East Ohio	<input type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/> Duke Energy Ohio	<input 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 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. **-N/A**

☐ 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 type="checkbox"/>	Columbia Gas of Ohio	Intended Start Date
<input type="checkbox"/>	Dominion East Ohio	Intended Start Date
<input type="checkbox"/>	Duke Energy Ohio	Intended Start Date
<input type="checkbox"/>	Vectren Energy Delivery of Ohio	Intended Start Date

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 "Company History,"** provide a concise description of the applicant's company history and principal business interests.
- A-16 Exhibit A-16 "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-17 Exhibit A-17 "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 the applicant does not produce annual reports, the applicant should 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 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 current financial arrangements to satisfy collateral requirements to conduct retail electric/gas business activity (e.g., parental or third party guarantees, 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 **NATURAL GAS 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 current 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 current credit report from Experion, 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.

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 functions.
- 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

George E. Saurfin

Sworn and subscribed before me this

3

day of

July

Month

2019

Year

Glinda Rees

Signature of official administering oath

Glinda Rees

Print Name and Title



My commission expires on

February 02, 2021



The Public Utilities Commission of Ohio

Competitive Retail Natural Gas Service
Affidavit Form
(Version 1.07)

In the Matter of the Application of)

United Power Consultants, Inc)

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

Case No. -GA-AGG

County of

State of

George Sarafianos

[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

George E Sarafianos - President

Sworn and subscribed before me this

3

day of

July

Month

2019

Year

Glinda Rees

Signature of Official Administering Oath

Glinda Rees - Notary

Print Name and Title



My commission expires on

February 02, 2021

(CRNGS Broker/Aggregator Ver. 1.08, Revised May 2016) Page 8 of 8

Exhibit A-10

Principal Officers, Directors & Partners

President/100% Owner George Sarafianos

United Power Consultants, Inc.

Exhibit A-14 "Principal Officer, Directors & Partners"

George E. Sarafianos, President and Sole Owner
3861 NE 22nd Way Lighthouse Point, FL 33064
1-800-738-6159

Exhibit A-15 "Company History"

United Power Consultants, Inc. is an energy consulting firm that gives expert advice on the best way to implement third party provision of electricity and natural gas. They act as energy brokers in the state of Florida. They are currently seeking licensure in Ohio, Delaware and Illinois.

Exhibit A-16 "Articles of Incorporation and Bylaws"

See attached Articles of Incorporation. The entity does not have bylaws.

Exhibit A-17 "Secretary of State"

See attached

Exhibit B-1 "Jurisdictions of Operation"

Exhibit B-2 "Experience and Plans"

Exhibit B-3 "Summary of Experience"

Exhibit B-4 "Disclosure of Liabilities and Investigations"

None.

Exhibit C-1 "Annual Reports"

Exhibit C-2 "SEC Filings"

Not applicable

Exhibit C-3 "Financial Statements"

Exhibit C-4 "Financial Arrangements"

None

Exhibit C-5 "Forecasted Financial Statements"

Exhibit C-6 "Credit Rating"

Not applicable

Exhibit C-7 "Credit Report"

Exhibit C-8 "Bankruptcy Information"

None.

Exhibit C-9 "Merger Information"

Not applicable.

Exhibit C-10 "Corporate Structure"

Solely owned by George E. Sarafianos

Exhibit D-1 "Operations"

Exhibit D-2 "Operation Expertise"

Exhibit D-3 "Key Technical Personnel"

Exhibit B-1

Jurisdictions of Operations

State	License Number
Connecticut	Not Applicable
Delaware	8456
District of Columbia	EA-2014-08
Illinois	14-0253
Maine	2014-00081
Maryland	IR-3326
New Hampshire	Not Applicable
New Jersey	EA-0254
New York	Not Applicable
Ohio	13-729E(2)
Pennsylvania	A-2014-2415133
Texas	Not Applicable

Exhibit B-2

Experience & Plans

United Power Consultants, Inc. has in business since 2011 in relationships with several large non-residential retail energy providers. United Power Consultants, Inc. is an energy brokerage specializing in third party retail energy contracting and management for electrical and natural gas commercial customers.

Exhibit B-3

Disclosure of Liabilities and Investigations

There are neither liabilities nor investigations.

Exhibit C-1

Annual Reports

Not Applicable. United Power Consultants, Inc. is a privately held corporation.

Exhibit C-2

SEC Filings

Not Applicable. United Power Consultants, Inc. is a privately held corporation.

Exhibit C-4

Financial Arrangements

Not Applicable. United Power Consultants, Inc does not take title to the power.

Exhibit C-6

Credit Rating

United Power Consultants, Inc. does not have a Credit Rating by any of the listed organizations.

Exhibit C-7

Credit Report

United Power Consultants, Inc. does not have a Credit Report at this time.



CreditScoreSM Report

as of: 09/06/17 13:30 ET

United Power Consultants, Inc

Address: 2001 N Federal Hwy
Pompano Beach, FL 33062-1030
United States

Experian BIN: 961351054

Agent: Becker David A

Agent Address: 1909 Tyler Street
Hollywood, FL

Key Personnel:

President: Sarafianos George
President: Lara Sarafianos

SIC Code:

8748-Business Consulting Services, Nec
1629-Heavy Construction, Nec
5063-Electrical Apparatus & Equipment

NAICS Code:

541618-Other Management Consulting
Services
237990-Other Heavy And Civil Engineering
Construction
423610-Electrical Apparatus And
Equipment, Wiring Supplies, And
Related Equipment Merchant
Wholesalers

Business Type:

Corporation

Experian File Established:

August 2011

Experian Years on File:

6 Years

Years in Business:

34 Years

Total Employees:

1

Sales:

\$123,000

Filing Data Provided by:

Florida

Date of Incorporation:

07/27/2011

Payment Tradelines (see charts):

2

UCC Filings:

0

This location does not yet have an estimated Days Beyond Terms (DBT), or a Payment Trend Indicator. This is often the result of too few Payment Tradelines.

Lowest 6 Month Balance: \$2,741
Highest 6 Month Balance: \$7,693
Current Total Account Balance: \$0
Highest Credit Amount Extended: \$0

* Businesses Scoring Worse:

44%

✓ Bankruptcies:

0

✓ Liens:

0

✓ Judgments Filed:

0

✓ Collections:

0

Credit Summary

Experian Business Credit Score: 45

High
Risk



Low
Risk

The objective of the Experian Business Credit Score is to predict payment behavior. High Risk means that there is a significant probability of delinquent payment. Low Risk means that there is a good probability of on-time payment.

Key Score Factors:

- Number of active commercial accounts.
- Balance of all commercial accounts.
- Number of commercial accounts with high utilization.
- Ratio of balance to high credit for commercial accounts.

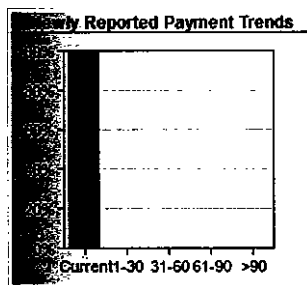
Recommended Action: Medium Risk

Payment Summary

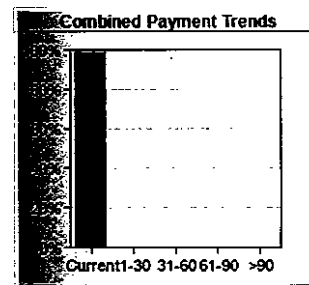
Insufficient information to produce
Monthly Payment Trends
chart.

Insufficient information to produce
Quarterly Payment Trends
chart.

Insufficient information to produce
Continuous Payment Trends
chart.



*Newly Reported distribution with DBT.



*Combined distribution with DBT.

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Exhibit C-8

Bankruptcy Information

United Power Consultants, Inc. has never filed for reorganization or bankruptcy.

Exhibit C-9

Merger Information

United Power Consultants, Inc. has never had any dissolution, merger or acquisition.

Exhibit C-10

Corporate Structure

United Power Consultants, Inc. is a standalone corporation.

United Power Consultants, Inc

Exhibit A-13

United Power Consultants Inc. will begin delivering service once approved for an Ohio Gas license.

United Power Consultants, Inc

Exhibit D-1

United Power Consultants, Inc is an energy brokerage offering consulting services, procurement and management for electric and natural gas commercial clients in the retail energy market.

Exhibit D-2

United Power Consultants, Inc. has been in business since July 2011 and a Competitive Retail Electric Service Provider in Ohio since 2013. United Power Consultants, Inc. is licensed to provide broker/marketer services in Delaware, District of Columbia, Illinois, Maine, Maryland, New Jersey, Ohio, Pennsylvania and Texas. We represent clients with AEP Retail Energy, Agrea Energy, Brilliant Energy, Circular Energy, Direct Energy, Engie, Freepoint Energy Solutions, Green Mountain Energy, Hudson Energy, IDT Energy, Infinite Energy, Nextera Energy, Plymouth Rock Energy, South Jersey Energy, Sprague Energy, UGI Energy Services and WGL Energy.

Exhibit D-3

Kevin Gipson
Sales & Pricing Manager
pricing@unitedpowerconsultants.com
800-738-6159

Kevin Gipson has worked in the competitive retail energy market for seven years for several energy brokerages.

Todd Griffin
Business Operation Manager
tgriffin@unitedpowerconsultants.com
800-738-6159

Todd Griffin has worked in the competitive retail energy market for twelve years for several energy brokerages. He has been with United Power Consultants, Inc. since 2011.

United Power Consultants, Inc.

Exhibit A-14 "Principal Officer, Directors & Partners"

George E. Sarafianos, President and Sole Owner
3861 NE 22nd Way Lighthouse Point, FL 33064
1-800-738-6159

Exhibit A-15 "Company History"

United Power Consultants, Inc. is an energy consulting firm that gives expert advice on the best way to implement third party provision of electricity and natural gas. They act as energy brokers in the state of Florida. They are currently seeking licensure in Ohio, Delaware and Illinois.

Exhibit A-16 "Articles of Incorporation and Bylaws"

See attached Articles of Incorporation. The entity does not have bylaws.

Exhibit A-17 "Secretary of State"

See attached

Exhibit B-1 "Jurisdictions of Operation"

United Power Consultants, Inc. currently operates in Florida.

Exhibit B-2 "Experience and Plans"

See attached

Exhibit B-3 "Summary of Experience"

See attached

Exhibit B-4 "Disclosure of Liabilities and Investigations"

None.

Exhibit C-1 "Annual Reports"

Not applicable

Exhibit C-2 "SEC Filings"

Not applicable

Exhibit C-3 "Financial Statements"

See attached

Exhibit C-4 "Financial Arrangements"

None

Exhibit C-5 "Forecasted Financial Statements"

See attached

Exhibit C-6 "Credit Rating"

Not applicable

Exhibit C-7 "Credit Report"

Not applicable.

Exhibit C-8 "Bankruptcy Information"

None.

Exhibit C-9 "Merger Information"

Not applicable.

Exhibit C-10 "Corporate Structure"

Solely owned by George E. Sarafianos



DATE: 08/10/2012	DOCUMENT ID 201222201210	DESCRIPTION FOREIGN FOR PROFIT CORPORATION - LICENSE (FLF)	FILING 125.00	EXPED .00	PENALTY	CERT .00	COPY .00
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Receipt

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

UNITED POWER CONSULTANTS, INC.
MIKE COTTEC
4699 FEDERAL HIGHWAY, SUITE 106
POMPANO BEACH, FL 33064

STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Jon Husted**2127074**

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

UNITED POWER CONSULTANTS, INC.

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

Document(s)

FOREIGN FOR PROFIT CORPORATION - LICENSEAuthorization to transact business in Ohio is hereby given, until surrender, expiration or
cancellation of this license.

Document No(s):

201222201210

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 6th day of August, A.D.
2012.

Ohio Secretary of State



Form 530A Prescribed by:
Ohio Secretary of State

JON HUSTED
Ohio Secretary of State

Central Ohio: (614) 466-3910
Toll Free: (877) SOS-FILE (767-3453)
www.OhioSecretaryofState.gov
Busserv@OhioSecretaryofState.gov

Mail this form to one of the following:

Regular Filing (non expedite)
P.O. Box 670
Columbus, OH 43216

Expedite Filing (Two-business day processing
time requires an additional \$100.00).
P.O. Box 1390
Columbus, OH 43216

Foreign For-Profit Corporation Application for License

Filing Fee: \$125
(151-FLF)

The application is made to procure a ☒ Permanent License ☐ Temporary License (valid for six months)

Attach Certificate of Good Standing from the jurisdiction of formation (see instructions)

Name of Corporation United Power Consultants, Inc.

(Name must match the name on the Certificate of Good Standing)

Assumed name under which the corporation will do business, if its corporate name is not available in Ohio
(Must attach "Resolution of Foreign Corporation to Qualify Under An Assumed Name" Form 591)

United Power Consultants, Inc.

Under the Laws of the Jurisdiction of

Florida

Jurisdiction of Formation

Date of Incorporation in Jurisdiction of Formation

07-20-2011

(Date must match the date provided on
the Certificate of Good Standing)

Date of Incorporation

The location of the principal office (non-Ohio) is:

4699 Federal Hwy, Ste 106

Mailing Address

Pompano Beach

City

FL

State

33064

ZIP Code

If there is a principal office within Ohio, the location is

N/A

Mailing Address

City

State

ZIP Code

A brief summary of the corporate purpose(s) to be exercised within Ohio

Energy Consultants Services

Appointment of Agent

The corporation hereby appoints the following as its statutory agent upon whom process against the corporation may be served in Ohio.

InCorp Services, Inc.

Name

9435 Waterstone Boulevard Suite 140

Mailing Address

Cincinnati

City

Ohio

State

45249

ZIP Code

- ☐ If the agent is an individual and using a P.O. Box, check this box to confirm the agent is an Ohio resident.

The entity above irrevocably consents to service of process on the agent listed above as long as the authority of the agent continues, and to service of process upon the Ohio Secretary of State if:

- A. an agent is not appointed, or
- B. an agent is appointed but the authority of that agent has been revoked, or
- C. the agent cannot be found or served after the exercise of reasonable diligence.

Pursuant to Ohio Revised Code 1703.29 (A), a foreign corporation is required to pay an additional \$250 fee if the application is being made to enable the corporation to prosecute or defend a legal action. Please see Ohio Revised Code or the instructions for more information.

- ☒ No, the corporation is not filing for this purpose and an additional fee is not included.
- ☐ Yes, the application is being filed for this purpose and the additional \$250 fee is included with the filing fee.

If yes then:

Pursuant to Ohio Revised Code 1703.29(B), a foreign corporation that began transacting business in Ohio prior to 2009 without a license may be required to provide a certificate from the tax commissioner which states that the corporation has paid all franchise taxes which it should have paid had it qualified to do business in this state.

Did the corporation begin transacting business in Ohio prior to 2009?

- ☐ Yes, the D4 certificate from the tax commissioner is attached.
- ☒ No, the corporation began transacting business in 2009 or later, therefore, a D4 certificate is not required.

George Sarafianos

Name of Officer

, being first duly sworn, deposes and says that he/she is the

President

of

United Power Consultants, Inc.

Officer Title

Corporation

the corporation described in the foregoing application, and that the statements contained in said application are true and correct to best of my knowledge and belief.

Name

George Sarafianos

Signature

George C. Sarafianos

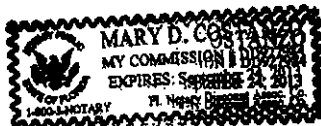
Sworn before me and subscribed on

7/18/12

Date

Notary Public

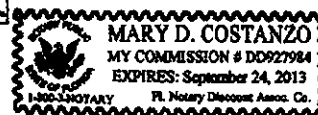
NOTARY SEAL



Expiration Date of Notary's Commission

9/24/2013

Date



State of Florida

Department of State

I certify from the records of this office that UNITED POWER CONSULTANTS, INC. is a corporation organized under the laws of the State of Florida, filed on July 27, 2011, effective July 20, 2011.

The document number of this corporation is P11000067354.

I further certify that said corporation has paid all fees due this office through December 31, 2012, that its most recent annual report was filed on January 30, 2012, and its status is active.

I further certify that said corporation has not filed Articles of Dissolution.

*Given under my hand and the Great Seal of
Florida, at Tallahassee, the Capital, this the Ninth
day of July, 2012*

Ken Detjen

Secretary of State



Authentication ID: 400237253164-070912-P11000067354

To authenticate this certificate, visit the following site, enter this ID, and then follow the instructions displayed.

<https://efile.sunbiz.org/certauthver.html>