

FILE

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18-0200-EL-AG 6¹⁹

January 29, 2020

Public Utilities Commission of Ohio
Docketing Division
180 East Broad Street
Columbus, OH 43215
P: (800) 686-7826

Re: **CSD Energy Advisors, LLC**
Electric Broker License Renewal

To Whom It May Concern:

Enclosed please find an **Electric Broker License Renewal** along with three (3) additional copies and all supporting documents for our client, **CSD Energy Advisors, LLC**.

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
service@licenselogix.com
(800) 292-0909

PUCO

2020 JAN 30 AM 10:37

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Public Utilities Commission

Original AGG Case Number	Version
18-0200-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 CSD Energy Advisors, LLC
Address 2407 Oaks Forks Drive, Kingwood, TX 77339
PUCO Certificate # and Date Certified 18-1298 E (1) Certified 3/4/2018
Telephone # 281-415-0071 Web site address (if any) www.csdenenergy.com

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

Legal Name CSD Energy Advisors, LLC
Address 2407 Oaks Forks Drive, Kingwood, TX 77339
Telephone # 281-415-0071 Web site address (if any) www.csdenenergy.com

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

CSD Energy Advisors
CSD Energy

A-5 Contact person for regulatory or emergency matters

Name JB Sowyrda
Title Managing Partner
Business address 2407 Oaks Forks Drive, Kingwood, TX 77339
Telephone # 281-415-0071 Fax # 281-415-1983
E-mail address jbs@csdenenergy.com

PUCO

2020 JAN 30 AM 10:37

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

Name JB Sowydra
Title Managing Partner
Business address 2407 Oaks Forks Drive, Kingwood, TX 77339
Telephone # 281-415-0071 Fax # 281-415-1983
E-mail address jbs@cdsenergy.com

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

Customer Service address 2407 Oaks Forks Drive, Kingwood, TX 77339
Toll-free Telephone # 888-340-2637 Fax # 281-415-1983
E-mail address jbs@cdsenergy.com

A-8 Applicant's federal employer identification number # 46-4796262

A-9 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 _____ |

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

- A-10 Exhibit A -10 "Principal Officers, Directors & Partners"** provide the names, titles, addresses and telephone numbers of the applicant's principal officers, directors, partners, or other similar officials.
See attached

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.
N/A

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.




Managing Partner
Signature of Applicant & Title

Sworn and subscribed before me this 22nd day of January, 2020
Month Year

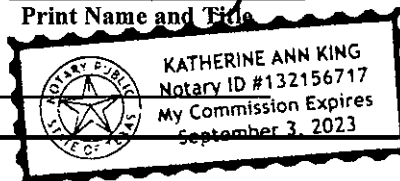


Signature of official administering oath



Print Name and Title

My commission expires on _____



AFFIDAVIT

State of Texas :

(Town) ss.

County of Harris :

Jonathon Sowyrda, Affiant, being duly sworn/affirmed according to law, deposes and says that:

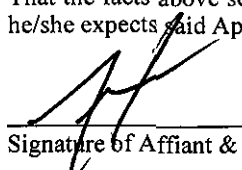
He/She is the Managing Partner (Office of Affiant) of CSD Energy Advisors, LLC(Name of Applicant);

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

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

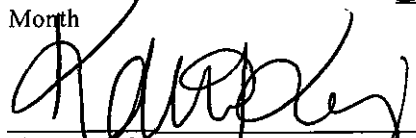
11. The Applicant herein, attests that it will inform the Commission of any material change to the information supplied in the renewal application within 30 days of such material change, including any change in contact person for regulatory purposes or contact person for Staff use in investigating customer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

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



Managing Partner
Signature of Affiant & Title

Sworn and subscribed before me this 22nd day of January, 2020
Month Year



Signature of official administering oath

KATHERINE KING

Print Name and Title

My commission expires on _____

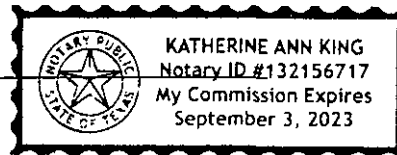


Exhibit A-10 Principle Officers, Directors, and Partners

CSD Energy Advisors, LLC

Jonathon (JB) Sowyrda –Managing Partner- 2407 Oaks Forks Dr. Kingwood TX 77339, 281-415-0071

Andrew Barth – Partner – 3333 Allen Parkway Unit 904 Houston TX 77019, 832-754-4883

Exhibit B-1 Jurisdiction of Operations

CSD Energy Advisors, LLC

**Ohio, Pennsylvania, Maryland, Washington DC, Massachusetts, Delaware, New Jersey,
New Hampshire, Maine, Illinois, Texas**

Exhibit B-2 Experience & Plans
CSD Energy Advisors, LLC

Summary of Experience

Jonathon Sowyrda:

Jonathon Sowyrda started his career in brokerage in 2014 after spending his first 9 years post college at Reliant Energy, an NRG Company. He started CSD Energy in 2014, however spent 2 years working for Incite Energy, a brokerage that also specializes in Demand Response services. Here Jonathon acted as Executive Vice President of Operations. In 2017, Jonathon and Andrew Barth decided to refocus their efforts on building CSD Energy and left his position at Incite Energy.

Andrew Barth:

Andrew Barth has been working as a broker since he graduated college in 2004 and he remains in this role today. First servicing as an account Executive for two years for Access Energy and later as a Senior Energy Consultant for Gulf States Energy. Andrew was then promoted to Director of Sales in 2011 for World Energy Solutions where he remained in that role for two years. He was later promoted to Vice President of Business Development for World Energy for three more years until he started CSD Energy with Jonathon Sowyrda in 2014. For a two year period, Andrew worked for Incite Energy where he acted as Senior Vice President of Sales before later focusing his efforts on CSD Energy in 2017.

Exhibit B-3 Disclosure of Liabilities and Investigations
CSD Energy Advisors, LLC

Judgements, rulings, liabilities, revocations of authority, regulatory investigations, or any other matter that could adversely impact financial/operation status or ability to provide services

NOT APPLICABLE - Neither the Company nor the principal have any existing liabilities or investigations.

CSD Energy Advisors LLC

Exhibit C-1

Applicant is not publically traded and therefor does not generate annual reports to shareholders.

CSD Energy Advisors LLC

Exhibit C-2

Applicant is not publically traded and not required to file with the SEC.

Exhibit C-4 Financial Arrangements
CSD Energy Advisors, LLC

CSD Energy Advisors, LLC is applying as a Power Broker and is not taking title to the electricity or natural gas

Exhibit C-6

Credit rating

CSD Energy Advisors, LLC is closely held by the principal, Jonathon Sowyrda. As such, the Company does not have a credit report at this time.

Exhibit C-8 Bankruptcy Information
CSD Energy Advisors, LLC

Bankruptcy or Merger information

Neither CSD Energy Advisors, LLC nor its principals, Jonathon Sowyrda and Andrew Barth, have ever engaged in any reorganization, bankruptcy filing or other action to seek protection from creditors.

C-9

CSD Energy Advisors, LLC has not been involved in a dissolution, merger or acquisition within the 2 most recent years preceding this application.

Exhibit C-10 Corporate Structure
CSD Energy Advisors, LLC

CSD Energy Advisors, LLC is a stand alone entity with no affiliates or subsidiaries.