



Public Utilities Commission

Original AGG Case Number	Version
12- 828 -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 Summit Power Brokers, LLC
 Address 4381 Hudson Drive Stow, Ohio 44224
 PUCO Certificate # and Date Certified 12-491E (4) - April 24, 2018
 Telephone # 330-208-0335 Web site address (if any) www.summitpowerbrokers.com

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

Legal Name Summit Power Brokers, LLC
 Address 4381 Hudson Drive Stow, Ohio 44224
 Telephone # 330-208-0335 Web site address (if any) www.summitpowerbrokers.com

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

<u>Summit Power Brokers</u>	<u>Midwest Power Brokers</u>
<u>Midwest Shale</u>	<u>BrokerCity.Biz</u>
<u>Midwest Shale Gas</u>	

A-5 Contact person for regulatory or emergency matters

Name Robert C. Haehn
 Title President
 Business address 4381 Hudson Drive Stow, Ohio 44224
 Telephone # 330-208-0335 Fax # 330-319-8999
 E-mail address rob@summitpowerbrokers.com

This is to certify that the images appearing are an accurate and complete reproduction of the original document delivered in the regular course of business.
 Technician A Date Processed 2/26/20

2017 FEB 26 PM 2:09

PUCO

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

Name Robert C. Haehn
Title President
Business address 4381 Hudson Drive Stow, Ohio 44224
Telephone # 330-208-0335 Fax # 330-319-8999
E-mail address rob@summitpowerbrokers.com

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

Customer Service address 4381 Hudson Drive Stow, Ohio 44224
Toll-free Telephone # N.A. 330-208-0335 Fax # 330-319-8999
E-mail address rob@summitpowerbrokers.com

A-8 Applicant's federal employer identification number # 45-5045424

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 -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.

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.

Robert C. Hark - President
Signature of Applicant & Title

Sworn and subscribed before me this 25th day of Feb., 2020
Month Year

Debbie D. Edling
Signature of official administering oath

Debbie D. Edling Notary
Print Name and Title

My commission expires on Nov. 28, 2024

AFFIDAVIT

State of Ohio :

Canfield ss.
(Town)

County of Mahoning :

Robert C. Haehn, Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/She is the President (Office of Affiant) of Summit Power Broker^{2 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.

Robert C. Huak - President
Signature of Affiant & Title

Sworn and subscribed before me this 25th day of Feb., 2020
Month Year

Debbie D. Edling
Signature of official administering oath

Debbie D. Edling-Notary
Print Name and Title

My commission expires on Nov. 28, 2024

Exhibit A-10

“Principal Officers, Directors & Partners”

Summit Power Brokers

Summit Power Brokers, LLC is wholly owned by Robert C. Haehn.

Robert C. Haehn – Owner Summit Power Brokers, LLC

Percentage Ownership – 100%

4381 Hudson Drive Stow, Ohio 44224

Phone: 330-208-0335

Exhibit B-1

“Jurisdictions of Operation”

Summit Power Brokers

Summit Power Brokers, LLC is licensed as a commercial energy broker in Ohio under the following license numbers:

Electric Case Number - 12-828-EL-AGG

Electric Certificate Number – 12-491E (4)

Natural Gas Case Number – 12-0921-GA-AGG

Natural Gas Certificate Number – 12-245G(3)

Summit Power Brokers, LLC is also licensed in Texas to provide electric brokerage services.

Summit Power Brokers, LLC will also apply for a Pennsylvania electric brokerage license in 2020.

Robert C. Haehn is authorized to provide retail electric and natural gas service in all deregulated states as an authorized individual agent for brokers and direct suppliers.

Exhibit B-2

“Experience and Plans”

Summit Power Brokers

Applicant is seeking renewal of Original AGG Case Number 12-828-EL-AGG to continue providing commercial electric brokerage services. The direct supplier is solely responsible for billing and receiving payment from commercial customer. The commercial customer contracts with the direct supplier through the energy broker and therefore pays direct supplier for agreed electric supply. Applicant does not receive out of pocket compensation from commercial customer. Applicant does not bill or receive payment from commercial customer. The direct supplier pays applicant a monthly commission based on a predetermined rate per kwh multiplied by the actual kwh used by the commercial customer.

Applicant and direct suppliers that applicant contracts with are both subject to Commission rules pursuant to Section 4928.10 of the Revised Code. Applicant will review proposed electric offers to ensure direct suppliers are compliant with ORC 4928.10.

If the PUCO requires applicant to make available a dedicated toll-free complaint number or otherwise dedicated complaint number for Summit Power Brokers, LLC applicant will do so on the company website. Applicant will provide local customer assistance for customer complaints that can be made in writing by fax, mail or email. Applicant will send notification to one or more of the following within 3 business days of receiving customer complaint: PUCO, office of the consumers' counsel, attorneys general office. Applicant will make available complaint telephone numbers for the electric utility, electric service company as well as telephone numbers for state agencies including the commission, office of the consumers' counsel, and attorney general's office with the available hours upon request.

Applicant will abide by the procedures set forth in the energy agreement in the event of a customer complaint. This includes but is not limited to mediation, arbitration or otherwise acceptable remedy as set forth by PUCO, office of the consumers' counsel, and/or attorneys general office. In the event procedures were not set forth in the energy agreement or regulatory authority initiates an investigation applicant will adhere to the recommendation of the regulatory authority.

Exhibit B-3

“Disclosure of Liabilities and Investigations”

Summit Power Brokers

Summit Power Brokers does not have any existing, pending or past rulings, judgements, contingent liabilities, revocation of authority, regulatory investigations, or any other matter that could adversely impact the company's financial or operational status or ability to provide the services it is licensed to provide.

Exhibit C-1

“Annual Reports”

Summit Power Brokers

Exhibit C-1 “Annual Reports” is not applicable to Summit Power Brokers. Summit Power Brokers is wholly owned by Robert C. Haehn and began operating as a licensed commercial electric and natural gas broker on June 1, 2012.

The energy brokerage firm is privately held and does not have shareholders. Summit Power Brokers does not issue annual reports.

Exhibit C-2

“SEC Filings”

Summit Power Brokers

Exhibit C-2 “SEC Filings” is not applicable to Summit Power Brokers. Summit Power Brokers is wholly owned by Robert C. Haehn and began operating as a licensed commercial electric and natural gas broker on June 1, 2012.

The energy brokerage firm is privately held and not subject to “SEC Filings.”

Exhibit C-4
"Financial Arrangements"
Summit Power Brokers

N.A.

Exhibit C-6
“Credit Rating”
Summit Power Brokers

N.A.

Exhibit C-8

“Bankruptcy Information”

Summit Power Brokers

Summit Power Brokers does not have reorganizations, protection from creditors or any other form of bankruptcy filings to report.

Exhibit C-9

“Merger Information”

Summit Power Brokers

Summit Power Brokers does not have dissolution, merger or acquisition to report.

Exhibit C-10

"Corporate Structure"

Summit Power Brokers

Summit Power Brokers, LLC is wholly owned by Robert C. Haehn. The company has been in business since June 1, 2012. Summit Power Brokers, LLC services commercial electric and natural gas accounts in the state of Ohio.

Summit Power Brokers, LLC is licensed as an electric broker in Ohio and Texas. Summit Power Brokers, LLC will be applying for an electric broker license Pennsylvania in 2020.

Sierra Power Brokers, LLC is wholly owned by Robert C. Haehn. Sierra Power Brokers is an affiliate of Summit Power Brokers, LLC.

Sierra Power Brokers, LLC
143 Boardman Canfield Road # 332
Boardman, Ohio 44512
President - Robert C. Haehn
Percentage Ownership - 100%

Affiliate Companies

Affiliate Companies

Summit Power Brokers, LLC
4381 Hudson Drive
Stow, Ohio 44224
President - Robert C. Haehn
Percentage Ownership - 100%

Summit Power Brokers, LLC has the following subsidiaries:

Midwest Power Brokers
Midwest Shale
Midwest Shale Gas
BrokerCity.Biz

Summit Power Brokers, LLC
4381 Hudson Drive
Stow, Ohio 44224
President - Robert C. Haehn
Percentage Ownership - 100%

Subsidiary Companies

Subsidiary Companies

Midwest Power Brokers
Midwest Shale
Midwest Shale Gas
BrokerCity.Biz
4381 Hudson Drive
Stow, Ohio 44224
President - Robert C. Haehn
Percentage Ownership - 100%