

# RENEWAL CERTIFICATION APPLICATION COMPETITIVE RETAIL NATURAL GAS SUPPLIERS

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 renew its certificate as: (check all that apply)**

☐ Retail Natural Gas Aggregator    ☐ Retail Natural Gas Broker    ☒ Retail Natural Gas Marketer

**A-2 Applicant information:**

Legal Name	Switch Energy, LLC		
Address	17 High Street, 3rd Floor, Norwalk, CT 06851		
Telephone No.	(855) 737-3722	Web site Address	<a href="http://switchenergypartners.com/">http://switchenergypartners.com/</a>
Current PUCO Certificate No.	16-524G(2)	Effective Dates	June 23, 2018 through June 23, 2020

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

Name	Switch Energy, LLC		
Address	17 High Street, 3rd Floor, Norwalk, CT 06851		
Web site Address	www.switch.energy	Telephone No.	(855) 737-3722

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

Switch Energy, LLC	Switch Energy Partners, LLC
Switch Energy, LLC d/b/a Partners Energy LLC	

**A-5 Contact person for regulatory or emergency matters:**

Name	<b>Brian Grant</b>	Title	<b>Director of Customer Care</b>
Business Address	<b>17 High Street, 3rd Floor, Norwalk, CT 06851</b>		
Telephone No.	<b>(203) 220-6447</b>	Fax No.	<b>(203) 842-3979</b>
Email Address	<b>bgrant@switchenergypartners.com</b>		

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. (CRNGS Supplier Renewal - Version 1.08)

Technician TM Date Processed MAY 18 2020

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

Name **Brian Grant** Title **Director of Customer Care**  
Business address **17 High Street, 3rd Floor, Norwalk, CT 06851**  
Telephone No. **(203) 220-6447** Fax No. **(203) 842-3979** Email Address **bgrant@switchenergypartners.com**

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

Customer service address **17 High Street, 3rd Floor, Norwalk, CT 06851**  
Toll-Free Telephone No. **(855) 737-3722** Fax No. **(203) 842-3979** Email Address **customercare@switchenergy.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 **Brian Grant** Title **Director of Customer Care**  
Business address **230 West Street, Columbus, OH 43215**  
Telephone No. **(203) 220-6447** Fax No. Email Address **bgrant@switchenergypartners.com**

**A-9 Applicant's federal employer identification number 46-0953744**

**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 checked="" type="checkbox"/> Limited Liability Company (LLC) |
| <input 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 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.

See Exhibit A-14

**A-15 Exhibit A-15 "Company History,"** provide a concise description of the applicant's company history and principal business interests.

See Exhibit A-15

**A-16 Exhibit A-16 "Articles of Incorporation and Bylaws,"** provide the articles of incorporation filed with the state or jurisdiction in which the applicant is incorporated and any amendments thereto, *only if the contents of the originally filed documents changed since the initial application.*

See Exhibit A-16

**A-17 Exhibit A-17 "Secretary of State,"** provide evidence that the applicant is still currently registered with the Ohio Secretary of the State.

See Exhibit A-17

## **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.

See Exhibit B-1

**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.

See Exhibit B-2

**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 renewed certification (e.g., number and types of customers served, utility service areas, volume of gas supplied, etc.).

See Exhibit B-3

**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

See Exhibit B-4

status or ability to provide the services for which it is seeking renewed certification since applicant last filed for certification.

- 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 since applicant last filed for certification.

☒ 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 since applicant last filed for certification.

☒ 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 applicant does not have annual reports, the applicant should provide similar information, labeled as 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.)  
**See Exhibit C-1**
- 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.  
**See Exhibit C-2**
- 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).  
**See Exhibit C-3**
- C-4 Exhibit C-4 "Financial Arrangements,"** provide copies of the applicant's current financial arrangements to conduct competitive retail natural gas service (CRNGS) 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.

**See Exhibit C-4**

**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.

**See Exhibit C-5**

**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.

**See Exhibit C-6**

**C-7 Exhibit C-7 "Credit Report,"** provide a copy of the applicant's current 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.

**See 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.

**See Exhibit C-8**

**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.

**See Exhibit C-9**

**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 within the two most recent years preceding the application.

**See Exhibit C-10**

## **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. Please include whether the applicant's operations will include the contracting of natural gas purchases for retail sales, the nomination and scheduling of retail natural gas for delivery, and the provision of retail ancillary services, as well as other services used to supply natural gas to the natural gas company city gate for retail customers.

**See Exhibit D-1**

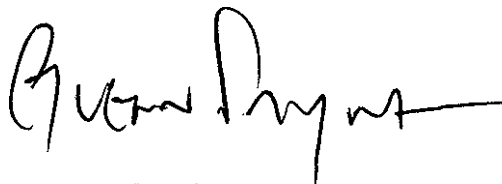
**D-2 Exhibit D-2 "Operations Expertise,"** given the operational nature of the applicant's business, provide evidence of the applicant's current experience and technical expertise in performing such operations.

**See Exhibit D-2**

**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.

**See Exhibit D-3**

**Applicant Signature and Title**



**Sworn and subscribed before me this**

**day of**

**Month**

**Year**

**Signature of official administering oath**

**Print Name and Title**

**My commission expires on**



# The Public Utilities Commission of Ohio

Competitive Retail Natural Gas Service  
Affidavit Form  
(Version 1.07)

In the Matter of the Application of

Switch Energy, LLC

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

Case No. 16-1136 -GA-CRS

County of Fairfield

State of CT

Glenn Payne

[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

Sworn and subscribed before me this

day of

Month

Year

Signature of Official Administering Oath

Print Name and Title

My commission expires on



**Exhibit A-14: Principal Officers, Directors & Partners**

*The names, titles, addresses and telephone numbers of the applicant's principal officers, directors, partners, or other similar officials.*

Glenn Payne, CEO  
Switch Energy, LLC  
17 High Street, 3<sup>rd</sup> Floor  
Norwalk, CT 06851  
(203) 446-4658  
[gpayne@switchenergypartners.com](mailto:gpayne@switchenergypartners.com)

**Exhibit A-15: Company History**

*Provide a concise description of the applicant's company history and principal business interests.*

Switch Energy, LLC, ("Switch") is a Delaware limited liability company originally incorporated on June 28, 2012 for the purpose of marketing natural gas and electricity to retail customers in the United States. Switch's principle business interest is providing competitive retail natural gas and electric supplier services to all customer classes.

Switch became licensed as a competitive electric retail supplier ("CRES") with the Public Utilities Commission ("PUC") in April 2013, and as a competitive natural gas supplier ("CNGS") in June 2016. It currently serves customers in the Duke Energy utility service area.

Switch also received its alternative retail electric supplier ("ARES") license from the Illinois Commerce Commission on May 18, 2018 (18-0629).

## 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.*

State of Delaware  
Secretary of State  
Division of Corporations  
Delivered 02:40 PM 06/28/2012  
FILED 02:40 PM 06/28/2012  
SRV 120788743 - 5177513 FILE

### CERTIFICATE OF FORMATION

OF

SWITCH ENERGY LLC


The undersigned, an authorized natural person, for the purpose of forming a limited liability company (hereinafter called the "company"), under the provisions and subject to the requirements of the Delaware Limited Liability Company Act, hereby certifies that:

1. The name of the limited liability company is Switch Energy LLC.

2. The address of its registered office and the name and the address of the registered agent of the limited liability company required to be maintained by Section 18-104 of the Delaware Limited Liability Company Act in the State of Delaware is: 160 Greenree Dr., Suite 101, Dover, DE 19904, County of Kent. The name of its registered agent at such address is National Registered Agents, Inc.

3. This Certificate of Formation shall be effective upon filing.

IN WITNESS WHEREOF, the undersigned has executed this Certificate of Formation of Switch Energy LLC, this 26<sup>th</sup> day of June, 2012.

  
By: Stephen Luthay  
Its Authorized Representative

**Exhibit A-17: Secretary of State**

*Provide evidence that the applicant has registered with the Ohio Secretary of the State.*

**\*201229900085\***

DATE	DOCUMENT ID	DESCRIPTION	FILING	EXPED	PENALTY	CERT	COPY
10/25/2012	201229900085	REGISTRATION OF FOREIGN FOR PROFIT LLC (LFP)	125.00	200.00	.00	.00	.00

**Receipt**

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

SWITCH ENERGY, LLC  
ATTN: MARIA IRACKI  
230 WEST STREET, SUITE 20  
COLUMBUS, OH 43215

**STATE OF OHIO  
CERTIFICATE**

Ohio Secretary of State, Jon Husted

2146259

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

**SWITCH ENERGY, LLC**

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

Document(s):

**REGISTRATION OF FOREIGN FOR PROFIT LLC**

Document No(s):

**201229900085**



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  
24th day of October, A.D. 2012.

*Jon Husted*

Ohio Secretary of State

**Exhibit B-1: Jurisdiction 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.*

**State of Ohio**

- Switch Energy, LLC received approval to be a Competitive Retail Electric Supplier (“CRES”) on April 20, 2013, Certificate No. 13-686E.
- Switch Energy, LLC received approval to be a Competitive Retail Natural Gas Supplier (“CNGS”) on June 23, 2016, Certificate No. 16-524G.

**State of Illinois**

- Switch Energy, LLC submitted an application to be licensed as an Alternative Retail Electric Supplier (“ARES”) with the Illinois Commerce Commission on March 21, 2018, and received approval of its license on May 18, 2018, Docket 18-0629.

**PJM Interconnection**

- Switch Energy, LLC received approval to be a PJM retail supplier on April 2, 2013.

**Federal Energy Regulatory Commission (FERC)**

- Received authority to sell energy, capacity and ancillary services at market-based rates April 8, 2013, Docket No. ER13-1053-000.

**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.*

**Experience:**

Switch Energy, LLC ("Switch") incorporated in June 2012. It currently serves customers in the Duke Energy utility service area.

The principals and management team have decades of experience in the energy marketing and services business, as well as experience in the contracting process with customers. The company's principal has successfully managed several energy companies as more fully documented in the forward sections of this application.

**Plans:**

The company markets to potential retail customers via direct marketing, telephone sales, broker channels and internet. The company bills customers through utility consolidated billing programs. Customer service related to billing inquiries or complaints are handled via its toll-free phone number. The call center hours are regular business hours Monday through Friday. The Applicant will fully comply with all Commission rules adopted of the Ohio Revised Code.

**Exhibit B-3: Summary of Experience**

*Provide a concise summary of the applicant's experience in providing the service(s) for which it is seeking renewed certification (e.g., number and types of customers served, utility service areas, volume of gas supplied, etc.).*

Switch Energy, LLC was formed in June 2012. It currently serves residential and commercial customers in the Duke Energy utility service area.

The principals and management team have extensive experience in the energy marketing and services business. Switch has also contracted with several vendors to provide additional services:

**Legal & Regulatory**

Feller Law Group, PLLC  
Natar G. Feller, Esq.  
Michelle Mann  
159 20<sup>th</sup> St, Suite 1B  
Brooklyn, NY 11232  
Phone: (212) 590-0145  
[natarafeller@feller.law](mailto:natarafeller@feller.law)  
[michellemann@feller.law](mailto:michellemann@feller.law)

Scope of Work: As part of its compliance program, Switch regularly reviews its marketing materials (e.g. TPV script and sales agreements, etc.). In addition to internal monitoring, Switch has retained Feller Law Group, PLLC ("FLG") as outside counsel to assist with compliance monitoring. The scope of services includes periodic review of marketing materials and assisting with customer complaint procedures (and updating dispute resolution protocol if necessary).

**EDI Provider EC Infosystems Inc.**

Ananda Goswami, Vice President, Sales & Marketing  
333 Earle Ovington Boulevard, Suite 102  
Uniondale, NY 11553  
Phone: (516) 874-8011  
Cell: (516) 324-5539  
[agoswami@ecinfosystems.com](mailto:agoswami@ecinfosystems.com)

Scope of Work: Switch has contracted with EC Infosystems to provide all necessary EDI services.

**Scheduling & Risk Management Services**

Enhanced Energy Services  
Chris Prejean, President  
1650 Highway 6 South, #120  
Sugar Land TX 77478  
Phone: (281) 302-5470  
[cprejean@enhancedenergyservices.com](mailto:cprejean@enhancedenergyservices.com)

Scope of Work: Switch has contracted with Enhanced Energy Services and Chris Prejean

**Accounting Services**

DRB Consulting, Inc.

David R. Behanna, CPA

36 Mount Grey Road

Setauket, NY 11733

Phone: (631) 482-1725

Cell: (516) 790-4548

Dave@drbcpapc.com

Scope of Work: Switch has contracted with David Behanna to provide financial and accounting services.



**Exhibit B-4: 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.*

Switch Energy, LLC has no liabilities nor investigations 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**

*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.*

Switch Energy, LLC is a privately owned company and does not issue Annual Reports.

**Exhibit C-2: SEC Filings**

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

As a privately held company, Switch Energy, LLC is not required to file with the Securities and Exchange Commission. Switch Energy, LLC is not an SEC registrant, has no public issuances of debt or equity and, therefore, has no SEC reporting obligations. Quarterly and annual reports, such as 10-Ks, 8-Ks and 10-Qs are not applicable.

**Exhibit C-7: Credit Report**

*Provide a copy of the applicant's credit report from Experian, Dun and Bradstreet or a similar organization.*

Switch Energy, LLC does not subscribe to the credit organizations referenced in Exhibit C-6, and does not have a credit report.

**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.*

No officer of Switch Energy, LLC has filed for bankruptcy nor reorganized since it was formed in 2012, nor are there any other reorganizations that would affect Applicant's business.

**Exhibit C-9: Merger Information**

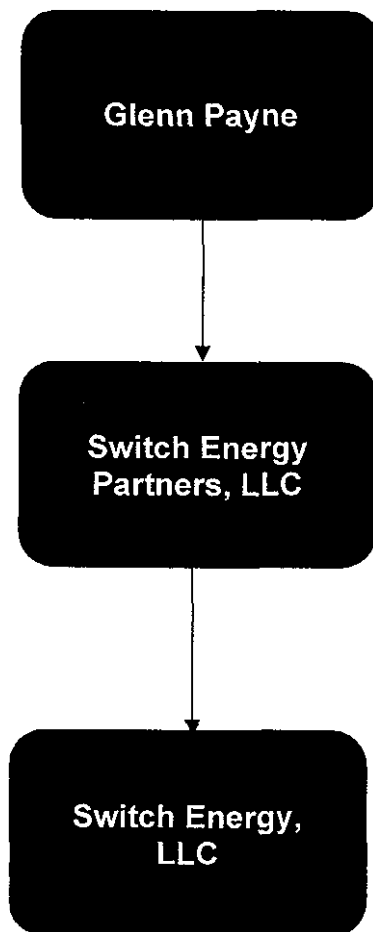
*Provide a statement describing any dissolution or merger or acquisition of the applicant within the five most recent years preceding the application.*

Switch Energy, LLC has no dissolutions, mergers, or acquisitions since it was formed in 2012.

**Exhibit C-10: Corporate Structure**

*Provide a description of the applicant's corporate structure, including a graphical depiction of such structure, and a list of all affiliate and subsidiary companies that supply retail or wholesale electricity or natural gas to customers in North America.*

1. Switch Energy LLC is wholly owned by Switch Energy Partners, LLC.
2. Glenn Payne – Switch Energy LLC's CEO – owns a 100% share in Switch Energy Partners, LLC.



**Exhibit D-1: Operations**

*Provide a written description of the operational nature of the applicant's business. Please include whether the applicant's operations will include the contracting of natural gas purchases for retail sales, the nomination and scheduling of retail natural gas for delivery, and the provision of retail ancillary services, as well as other services used to supply natural gas to the natural gas company city gate for retail customers.*

Switch Energy, LLC ("Switch Energy" or the "Applicant") operation will be managed through direct staff, consultants and service providers. As more fully described Exhibits B-2, D-2, and D-3, the expertise of Switch Energy's principals ensures that it can fulfill all requirements of a Competitive Retail Natural Gas Supplier ("CRNG"). It has also contracted with leading edge service providers and consultants to ensure it can fulfill all requirements of a Competitive Retail Natural Gas Supplier.

Switch Energy does not generate power for retail sale nor does it schedule the delivery of natural gas. Switch Energy will purchase natural gas from local pipelines, and it will deliver it to the retail customers through the LDC's. Switch Energy utilizes consolidated billing and does not intend to be sending retail customers separate bills.



**Exhibit D-2: Operations Expertise**

*Given the operational nature of the applicant's business, provide evidence of the applicant's experience and technical expertise in performing such operations.*

Switch Energy is currently licensed to and is providing electric and natural gas service in Ohio. Formed in June 2012, Switch Energy has assembled a skilled and experienced team of industry professionals to ensure technical and financial success in providing electric service to retail customers. Together, Switch Energy's leadership team has over 40 years of experience in utilities, risk management, and commodity trading.

Glenn Payne  
CEO of Switch Energy, LLC  
17 High Street, 3<sup>rd</sup> Floor  
Norwalk, CT 06851  
(203) 446-4658  
[gpayne@switchenergypartners.com](mailto:gpayne@switchenergypartners.com)

Glenn leads investment, advises and partners with profitable and growing companies where he adds value. Glenn draws on his experience as Chief Executive Officer of LMS Capital plc, a London-based and listed private equity company that pursued direct/control investments in small profitable growing businesses. During his tenure he refocused the company resulting in a profit (first time), growing net asset value, materially improved earnings at portfolio level and outperformance of both the listed PE group and the FTSE. He has experience in private equity and many industry sectors (with deep expertise in energy) and has lived for extended periods in Australia, the USA (he is a citizen of both) and the UK. Incorporating his experiences from professional service partnerships he believes in teamwork and intelligent contributions to pursue a common goal of creating value. Combining superior insights and disciplined execution will result in meaningful accretion to capital providers.

Brian Grant  
Head of Customer Care  
17 High Street, 3<sup>rd</sup> Floor  
Norwalk, CT 06851  
(203) 220-6447  
[bgrant@switchenergypartners.com](mailto:bgrant@switchenergypartners.com)

Brian has been with Switch Energy since 2013, where he oversees its customer service and IT. Brian has worked in customer service, operations and technology support capacities in the energy and cable television industries since 2004, and with companies from CableVision to Noble Americas Corp.

Brian is a certified IT technician and enjoys working with computers and other technical hardware. When not reading the latest IT technical manuals, Brian is an unapologetic Yankees fan. He is a graduate of Hunter College.

**Exhibit D-3: Key Technical Personnel**

*Provide the names, titles, e-mail addresses, telephone numbers, and the background of key personnel involved in the operational aspects of the applicant's business.*

**Glenn Payne**, CEO, [gpayne@switchenergypartners.com](mailto:gpayne@switchenergypartners.com) (203) 446-4658

**Brian Grant**, Head of Customer Care, [bgrant@switchenergypartners.com](mailto:bgrant@switchenergypartners.com) (203) 220-6447

For background information on the above individuals, please reference Exhibit D-2. Additionally, Switch Energy, LLC has retained the following as legal counsel and as an advisor on regulatory markets:

**Natara G. Feller**

Title: Outside Counsel

Company: Feller Law Group, PLLC

Email: [natarafeller@feller.law](mailto:natarafeller@feller.law)

Telephone: (212) 590-0145

Ms. Feller and her team of regulatory specialists advise clients on regulatory, transactional, compliance and enforcement matters involving the Federal Energy Regulatory Commission (FERC) and state utility commissions. Ms. Feller's experience includes:

- Regulatory compliance obligations under the FPA, PURPA, PUHCA, NGA, NGPA, EPA Act 2005 and state statutes
- Participation in organized markets and ISO/RTO governance
- Preparation of all manner of responsive agency pleadings, including rehearing applications, briefs, comments, testimony, protests and motions, natural gas tariff filings, QF and EWG self-certifications and market-based rate applications

Ms. Feller is licensed to practice law in New York, New Jersey and the District of Columbia. The Feller Law team has experience before PUCO and advising CRES on energy regulatory and consumer protection issues. As required, Ms. Feller will work with local Ohio-barred counsel on legal matters.

**Ananda Goswami**

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Vice President, Sales & Marketing

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**Chris Prejean**

Enhanced Energy Services

President

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(516) 790-4548 (Cell)

# Switch Energy, LLC

## Organization Chart

Employee

Contractor

