



DIS Case Number: 17-0621-GA-CRS

## Section A: Application Information

### A-1. Provider type:

☐ Retail Natural Gas  
Broker

☐ Retail Natural Gas  
Aggregator

☒ Retail Natural Gas  
Marketer

### A-2. Applicant's legal name and contact information.

**Legal Name:** Reliant Energy Northeast LLC

**Country:** United States

**Phone:** 8555008703      **Extension (if applicable):**

**Street:** 3711 Market Street, Suite 1000

**Website (if any):** www.picknrg.com

**City:** Philadelphia

**Province/State:** PA

**Postal Code:** 19104

### A-3. Names and contact information under which the applicant will do business in Ohio

Provide the names and contact information the business entity will use for business in Ohio. This does not have to be an Ohio address and may be the same contact information given in A-2.

Name	Type	Address	Active?	Proof
Reliant Energy Northeast LLC d/b/a NRG Home	DBA	3711 Market Street, Suite 1000 Philadelphia, PA 19104	Yes	File

### A-4. Names under which the applicant does business in North America

Provide all business names the applicant uses in North America, including the names provided in A-2 and A-3.

Name	Type	Address	Active?	Proof
Reliant Energy Northeast LLC d/b/a NRG Home	DBA	3711 Market Street, Suite 1000 Philadelphia, PA 19104	Yes	File



## Public Utilities Commission

Reliant Energy Northeast LLC d/b/a NRG Business	DBA	3711 Market Street, Suite 1000 Philadelphia, PA 19104	Yes	File
Reliant Energy Northeast LLC d/b/a NRG Residential Solutions	DBA	3711 Market Street, Suite 1000 Philadelphia, PA 19104	Yes	File
Reliant Energy Northeast LLC d/b/a NRG Business Solutions	DBA	3711 Market Street, Suite 1000 Philadelphia, PA 19104	Yes	File
Reliant Energy Northeast LLC d/b/a NRG Retail Solutions	DBA	3711 Market Street, Suite 1000 Philadelphia, PA 19104	Yes	File
Reliant Energy Northeast LLC d/b/a Reliant	DBA	3711 Market Street, Suite 1000 Philadelphia, PA 19104	Yes	File
Reliant Energy Northeast LLC d/b/a Reliant Energy	DBA	3711 Market Street, Suite 1000 Philadelphia, PA 19104	Yes	File

### A-5. Contact person for regulatory matters

John Holtz  
3711 Market Street, Suite 1000  
Philadelphia, PA 19104  
US  
john.holtz@nrg.com  
6092807701

### A-6. Contact person for PUCO Staff use in investigating consumer complaints

Spencer Halstead  
3711 Market Street, Suite 1000  
Philadelphia, PA 19104  
US  
support@nrghomepower.com  
2672955789

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



## Public Utilities Commission

**Phone:** 855-500-8703

**Extension (if applicable):**

**Country:** United States

**Fax:**

**Extension (if applicable):**

**Street:** 3711 Market Street, Suite 1000

**Email:** support@nrghomepower.com

**City:** Philadelphia

**Province/State:** PA

**Postal Code:** 19104

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

32-0314140

### A-9. Applicant's form of ownership

**Form of ownership:** Limited Liability Company (LLC)

### A-10. Identify current or proposed service areas

Identify each service area in which the applicant is currently providing service or intends to provide service and identify each customer class that the applicant is currently serving or intends to serve.

#### Service area selection

Columbia Gas of Ohio  
Dominion Energy Ohio  
Duke Energy Ohio  
Vectren Energy Delivery of Ohio

#### Class of customer selection

Residential  
Small Commercial

### A-11. Start date

Indicate the approximate start date the applicant began/will begin offering services: 04-01-2017

### A-12. Principal officers, directors, and partners

Please provide all contacts that should be listed as an officer, director or partner.

Name	Email	Title	Address
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## Public Utilities Commission

Gaetan Frotte	gaetan.frotte@nrg.com	Treasurer	804 Carnegie Center Princeton, NJ 08540 US
David Callen	david.callen@nrg.com	Vice President	804 Carnegie Center Princeton, NJ 08540 US
Lynda Clemmons	lynda.clemmons@nrg.com	Vice President	910 Louisiana Street Houston, TX 77002 US
Elizabeth Killinger	elizabeth.killinger@nrg.com	President	910 Louisiana Street Houston, TX 77002 US
Robert Gaudette	robert.gaudette@nrg.com	Vice President	910 Louisiana Street Houston, TX 77002 US
Scott Hart	scott.hart@nrg.com	Vice President	910 Louisiana Street Houston, TX 77002 US
Glen Mackey	glen.mackey@nrg.com	Vice President	804 Carnegie Center Princeton, NJ 08540 US
Mike Starck	mike.starck@nrg.com	Vice President	804 Carnegie Center Princeton, NJ 08540 US
S. Meigs Jones	meigs.jones@nrg.com	Vice President & Secretary	1303 San Antonio Street Austin, TX 78701 US
Leonard Gardner	bucky.gardner@nrg.com	Vice President	910 Louisiana Street Houston, TX 77002 US
Edward Krupa	chris.krupa@nrg.com	Vice President	804 Carnegie Center Princeton, NJ 08540 US

### A-13. Company history

Reliant Energy Northeast LLC (Reliant) was formed on June 24, 2010. Reliant currently serves customers in Connecticut, District of Columbia, Illinois, Maryland, Massachusetts, New Jersey, New York, and Pennsylvania. Reliant allows customers to choose plans that fit their needs, with unique options that offer different rewards, renewable energy and pricing options. Reliant is part of NRG Energy, Inc., a Fortune 500 company at the forefront of changing how people think about and use energy.

### A-14. Secretary of State

Secretary of State Link:

#### **A-15. Proof of Ohio Employee and Office**

Provide proof of an Ohio Office and Employee in accordance with Section 4929.22 of the Ohio Revised Code. List the designated Ohio employee's name, Ohio office address, telephone number and web site address

**Employee Name:** Joseph Fetzer  
4802 Brixston Drive  
Hillard, OH 43026  
US  
joseph.fetzer@nrg.com  
6145827508

## **Section B: Applicant Managerial Capability and Experience**

#### **B-1. Jurisdiction of operations**

List all jurisdictions in which the applicant or any affiliated interest of the applicant is certified, licensed, registered or otherwise authorized to provide retail natural gas service or retail/wholesale electric service as of the date of filing the application..

File Attached

#### **B-2. Experience and plans**

Describe the applicant's experience in providing the service(s) for which it is applying (e.g., number and type of customers served, utility service areas, amount of load, etc.). Include the 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 Sections 4928.10 and/or 4929.22 of the Ohio Revised Code.

File(s) attached

#### **B-3. Disclosure of liabilities and investigations**

For the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant, describe all existing, pending or past rulings, judgments, findings, contingent



## Public Utilities Commission

liabilities, revocation of authority, regulatory investigations, judicial actions, or other formal or informal notices of violations, or any other matter related to competitive services in Ohio or equivalent services in another jurisdiction..

File Attached

### **B-4. Disclosure of consumer protection violations**

Has the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years?

**No**

### **B-5. Disclosure of certification, denial, curtailment, suspension or revocation**

Has the applicant, affiliate, or a predecessor of the applicant had any certification, license, or application to provide retail natural gas or retail/wholesale electric service denied, curtailed, suspended, revoked, or cancelled or been terminated or suspended from any of Ohio's Natural Gas or Electric Utility's Choice programs within the past two years?

**No**

## Section C: Applicant Financial Capability and Experience

### **C-1. Financial reporting**

Provide a current link to the most recent Form 10-K filed with the Securities and Exchange Commission (SEC) or upload the form. If the applicant does not have a Form 10-K, submit the parent company's Form 10-K. If neither the applicant nor its parent is required to file Form 10-K, state that the applicant is not required to make such filings with the SEC and provide an explanation as to why it is not required.

File(s) attached



## C-2. Financial statements

Provide copies of the applicant's two most recent years of audited financial statements, including a 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, provide 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 bank account numbers redacted**.

If the applicant is unable to meet the requirement for two years of financial statements, the Staff reviewer may request additional financial information.

File(s) attached

## C-3. Forecasted financial statements

Provide two years of forecasted income statements **based solely on the applicant's anticipated business activities in the state of Ohio**.

Include the following information with the forecast: a list of assumptions used to generate the forecast; a statement indicating that the forecast is based solely on Ohio business activities only; and the name, address, email address, and telephone number of the preparer of the forecast.

The forecast may be in one of two acceptable formats: 1) an annual format that includes the current year and the two years succeeding the current year; or 2) a monthly format showing 24 consecutive months following the month of filing this application broken down into two 12-month periods with totals for revenues, expenses, and projected net incomes for both periods. Please show revenues, expenses, and net income (revenues minus total expenses) that is expected to be earned and incurred in **business activities only in the state of Ohio** for those periods.

If the applicant is filing for both an electric certificate and a natural gas certificate, please provide a separate and distinct forecast for revenues and expenses representing Ohio electric business activities in the application for the electric certificate and another forecast representing Ohio natural gas business activities in the application for the natural gas certificate.

Preferred to file confidentially

## C-4. Credit rating



Provide a credit opinion disclosing the applicant's credit rating as reported by at least one of the following ratings agencies: Moody's Investors Service, Standard & Poor's Financial Services, Fitch Ratings or the National Association of Insurance Commissioners. If the applicant does not have its own credit ratings, substitute the credit ratings of a parent or an affiliate organization and submit 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 'Not Rated'.

File(s) attached

#### C-5. Credit report

Provide a copy of the applicant's credit report from Experian, Equifax, TransUnion, Dun and Bradstreet or a similar credit reporting organization. If the applicant is a newly formed entity with no credit report, then provide a personal credit report for the principal owner of the entity seeking certification. At a minimum, the credit report must show summary information and an overall credit score. **Bank/credit account numbers and highly sensitive identification information must be redacted.** If the applicant provides an acceptable credit rating(s) in response to C-4, then the applicant may select 'This does not apply' and provide a response in the box below stating that a credit rating(s) was provided in response to C-4.

File(s) attached

#### C-6. Bankruptcy information

Within the previous 24 months, have any of the following filed for reorganization, protection from creditors or any other form of bankruptcy?

- Applicant
- Parent company of the applicant
- Affiliate company that guarantees the financial obligations of the applicant
- Any owner or officer of the applicant

No

#### C-7. Merger information

Is the applicant currently involved in any dissolution, merger or acquisition activity, or otherwise participated in such activities within the previous 24 months?





Merger Information: On January 5, 2021, NRG closed an agreement with Centrica PLC to acquire Direct Energy, which has energy operations throughout the United States. For more information, see <https://investors.nrg.com/news-releases/news-release-details/nrg-completes-direct-energy-acquisition-forming-leading>

## **C-8. Corporate structure**

Provide a graphical depiction of the applicant's corporate structure. Do not provide an internal organizational chart. The graphical depiction should include all parent holding companies, subsidiaries and affiliates as well as 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 the applicant may respond by stating that it is a stand-alone entity with no affiliate or subsidiary companies.

File(s) attached

## **C-9. Financial arrangements**

Provide copies of the applicant's financial arrangements to satisfy collateral requirements to conduct retail electric/natural gas business activities (e.g., parental guarantees, letters of credit, contractual arrangements, etc., as described below).

Renewal applicants may provide a current statement from an Ohio local distribution utility (LDU) that shows that the applicant meets the LDU's collateral requirements. The statement or letter must be on the utility's letterhead and dated within a 30-day period of the date the applicant files its renewal application.

First-time applicants or applicants whose certificate has expired must meet the requirements of C-9 in one of the following ways:

1. The applicant itself states that it is investment grade rated by Moody's Investors Service, Standard & Poor's Financial Services, or Fitch Ratings and provides evidence of rating from the rating agencies. If you provided a credit rating in C-4, reference the credit rating in the statement.
2. The applicant's parent company is investment grade rated (by Moody's, Standard & Poor's, or Fitch) and guarantees the financial obligations of the applicant to the LDU(s). Provide a copy of the most recent credit opinion from Moody's, Standard & Poor's or Fitch.
3. The applicant's parent company 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 parent company's financials and a copy of the parental guarantee must be included in the application if the applicant is relying on this option.



4. The applicant can provide evidence of posting a letter of credit with the LDU(s) listed as the beneficiary, in an amount sufficient to satisfy the collateral requirements of the LDU(s).

File(s) attached

## Section D: Applicant Technical Capacity

### **D-1. Operations**

Gas Marketers: Describe the operational nature of the applicant's business, specifying whether operations will include the contracting of natural gas purchases for retail sales, the nomination and scheduling of retail natural gas for delivery, and/or 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.

File(s) attached

### **D-2. Operations Expertise & Key Technical Personnel**

Given the operational nature of the applicant's business, provide evidence of the applicant's experience and technical expertise in performing such operations. Include the names, titles, e-mail addresses, and background of key personnel involved in the operations of the applicant's business.

File(s) attached



Public Utilities  
Commission

# Application Attachments

**UNITED STATES OF AMERICA,  
STATE OF OHIO,  
OFFICE OF SECRETARY OF STATE**

*I, Frank LaRose, Secretary of State of the State of Ohio, do hereby certify that the paper to which this is attached is a true and correct copy from the original record now in my official custody as Secretary of State.*



*Witness my hand and the seal of the  
Secretary of State at Columbus, Ohio this  
30th day of December, A.D. 2020.*

**Ohio Secretary of State**

A handwritten signature in blue ink, reading "Frank LaRose".

**Validation Number:  
202036503476**



DATE:	DOCUMENT ID	DESCRIPTION	FILING	EXPED	PENALTY	CERT	COPY
08/24/2011	201123600074	REG. OF FOR. PROFIT LIM. LIAB. CO. (LFP)	125.00	100.00		.00	.00

**Receipt**

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

CT CORPORATION SYSTEM  
4400 EASTON COMMONS WAY, SUITE 125  
TIMOTHY ROBERTSON  
COLUMBUS, OH 43219

# STATE OF OHIO CERTIFICATE

**Ohio Secretary of State, Jon Husted**

**2042970**

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

**RELIANT ENERGY NORTHEAST LLC**

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

Document(s)

**REG. OF FOR. PROFIT LIM. LIAB. CO.**

Document No(s):

**201123600074**



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 22nd day of August,  
A.D. 2011.

Ohio Secretary of State



Prescribed by:  
The Ohio Secretary of State  
Central Ohio: (614) 466-3910  
Toll Free: 1-877-SOS-FILE (1-877-767-3453)

www.sos.state.oh.us  
e-mail: busserv@sos.state.oh.us

<b>Expedite this Form: (Select One)</b>	
<b>Mail Form to one of the following:</b>	
<input checked="" type="radio"/> Expedite	PO Box 1390 Columbus, OH 43216
*** Requires an additional fee of \$100***	
<input type="radio"/> Non Expedite	PO Box 670 Columbus, OH 43216

**REGISTRATION OF A FOREIGN  
LIMITED LIABILITY COMPANY**  
Filing Fee \$125.00

THE UNDERSIGNED DESIRING TO FILE A:

**(CHECK ONLY ONE (1) BOX)**

<b>(1) <input checked="" type="checkbox"/> Registration of a Foreign For-Profit Limited Liability Company</b> (106-LFA) ORC 1705  State of Organization <u>Delaware</u>  Date of Formation <u>06-24-2010</u>	<b>(2) <input type="checkbox"/> Registration of a Foreign Nonprofit Limited Liability Company</b> (106-LFA) ORC 1705  State of Organization _____  Date of Formation _____
--	--

Name of limited liability company in its state of organization:	<u>Reliant Energy Northeast LLC</u>	
Name under which the foreign limited liability company desires to transact business in Ohio (if different from its home-state name) is:	_____	
Name must include one of the following words or abbreviations: "limited liability company," "limited," "LLC," "LLC," "ltd.," or "ltd"		
<input type="checkbox"/> Check here if additional provisions are attached		
The address to which interested persons may direct requests for copies of the limited liability company's operating agreement, bylaws, or other charter documents of the company is:		
_____		
Lynne Przychodzki		
Name		
211 Carnegie Center		
Street Address / P.O. Box Address		
Princeton	NJ	08540
City	State	Zip code

2011 AUG 22 PM 3:59

RECEIVED  
SECRETARY OF STATE

CLIENT SERVICE CENTER

The limited liability company hereby appoints the following as its agent upon whom process against the limited liability company may be served in the state of Ohio. The name and complete address of the agent is:

C T Corporation System

Name

1300 East 9th Street

Mailing Address

Cleveland

City

Ohio

State

44114

Zip Code



If the agent is an individual and using a P.O. Box, check this box to certify the agent is a resident of the state of Ohio.

The limited liability company 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.

**REQUIRED**

Articles and original appointment of agent must be (signed) by a member, manager or other representative.

*[Signature]*

Signature

8-22-11

Date

LYNNE PRZYCHODZKI

Print Name

Signature

Date

Print Name

Signature

Date

Print Name

**Exhibit B-3 "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.

**Response:**

Reliant Energy Northeast LLC ("REN") does not have any existing, pending or past rulings, judgments, contingent liabilities, revocations of authority, regulatory investigations, or any other matter that could adversely impact the REN's financial or operational status or ability to provide the services it is seeking to be certified to provide.



**Exhibit C-1. Financial Reporting**

Provide a current link to the most recent Form 10-K filed with the Securities and Exchange Commission (SEC) or attach a copy of the form. If the applicant does not have a Form 10-K, submit the parent company's Form 10-K. If neither the applicant nor its parent is required to file Form 10-K, state that the applicant is not required to make such filings with the SEC and provide an explanation as to why it is not required.

**Response:** Reliant Energy Northeast, LLC does not prepare stand-alone audited financial statements, but is included in the financial statements of NRG Energy, Inc., its ultimate parent company.

NRG Energy, Inc.'s two most recent audited financial statements are included in its 10Ks and can be found here: <http://www.nrg.com/sec>

## Exhibit C-2. Financial Statements

Provide copies of the applicant's two most recent years of audited financial statements

Balance Sheet Income Statement and Cash Flow Statement Audited Financial Statements are not available provide officer certified Financial Statements the applicant cannot see in under the board to determine require edit the audited or officer certified Financial Statements cover the the of the under the applicant does not have a Balance Sheet Income Statement and Cash Flow Statement the applicant can provide a copy of the two most recent year of tax return and Social Security Number and account Number redacted

**Response:** Request for shortleaf LLC does not prepare tax data the audited Financial Statements are included in the Financial Statements of the LLC Request for utility rate parent company

Request for shortleaf LLC two most recent audited Financial Statements are included in the company and cash flow board here <http://www.shortleafco.com>

**C-5. Credit Report**

Provide a copy of the applicant's credit report from Experian, Equifax, TransUnion, Dun and Bradstreet or a similar credit reporting organization. If the applicant is a newly formed entity with no credit report, then provide a personal credit report for the principal owner of the entity seeking clarification. At a minimum, the credit report must show summary information and an overall credit score. Bank/credit account numbers and highly sensitive identification information must be redacted. If the applicant provides an acceptable credit rating(s) in response to C-4, then the applicant may select "This does not apply" and provide a response in the box stating that a credit rating(s) was provided in response to C-4.

**Response:** N/A – Please see Exhibit C-4.



## **ATTACHMENT C-8 - CORPORATE STRUCTURE**

### **Reliant Energy Northeast LLC**



**Exhibit D-1 “Operations,”** Describe the operational nature of the applicant’s business, specifying 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.

**Response:**

Reliant Energy Northeast LLC is supplying information on a key vendor relationship to emphasize and demonstrate the knowledge and experience that the company has agreed to leverage to ensure operational and technical success.

Reliant Energy Northeast LLC ("Reliant") has partnered with Energy Service Group (ESG), a well-known and highly regarded vendor in the retail energy space, to assist with its operations in Ohio. ESG performs all EDI transactions and is providing billing and CIS services.

Energy Services Group (ESG) was founded in 1997 and serves large and small retail energy suppliers as well as utilities to meet their transaction management (EDI), billing and CIS, and wholesale energy service’s needs. ESG serves more than 90 retail energy suppliers and utilities in the US who in turn, market or deliver energy to over 4.6 million customers in 20 states.

Reliant relies on ESG to provide EDI and CIS support. ESG's services and systems address all of the retail energy business process needs that do not require end use customer interaction (ESG does not provide call center or bill print services). ESG's expertise in serving clients in retail markets allows Reliant to focus on the customer experience while knowing that a reliable and scalable back office system serves as the foundation for its business. In addition, on the electric side Reliant leverages ESG's Wholesale Energy Services (WES) group to manage the systems, business processes, interfaces, required data inputs and reporting necessary to forecast, schedule and settle loads in PJM.

Reliant has an in-house customer service team to respond to customer inquiries and complaints. Services provided by the call center include handling calls regarding inquiries related to bills, payment arrangements, and other routine matters. The customer service call center is located at the company's headquarters.

**Exhibit D-2 “Operations Expertise,”** Provide evidence of the applicant’s experience and technical expertise in performing the operations described in this application. Include the names, titles, e-mail addresses, telephone numbers and background of key personnel involved in the operational aspects of the applicant’s business.

**Response:**

Reliant Energy Northeast LLC has the necessary technical and managerial resources to comply with all scheduling, operating, planning, reliability, customer registration and settlement policies, rules, guidelines and procedures to operate as a retail electric and natural gas supplier. As an active retail energy provider in the states of New York, Connecticut, Massachusetts, Illinois, Delaware, Washington D.C, Pennsylvania, New Jersey, Maryland, and Ohio, Reliant Energy Northeast LLC has firsthand knowledge of the customer operations and utility business management and will leverage its technical and managerial expertise, in combination with its relationships with business partners described in Exhibit D-1 to successfully develop and implement the infrastructure, systems, and processes to reliably provide service to Ohio consumers. As described in the details provided, Reliant Energy Northeast LLC intends to also leverage key internal staff.

**Key Operating Personnel:**

**Mike Starck, General Manager & VP, NRG Retail**

3711 Market St. Suite 1000 Philadelphia, PA 19104

Phone: 267.295.5535

[Mike.Starck@nrg.com](mailto:Mike.Starck@nrg.com)

Mr. Starck is the General Manager of the NRG Retail East Region at NRG Energy. His primary responsibilities serving the NRG Retail business include advancing the growth of the brand as a market leader and managing sales and financial objectives in the Northeast Retail region, including operations in various states and service areas for both electricity and natural gas. Mr. Starck works with the NRG Retail team to bring innovative products to market for our residential customers while working to grow in both brand recognition and customer satisfaction. He has years of experience in the retail energy industry in various roles including IT, Daily Operations and Customer Service while helping establish market presence and business operations across numerous utility markets.

**Barry Gessner, Director, East Retail Supply; Commercial Operations**

804 Carnegie Center, Princeton, NJ 08540

Phone: 609.524.4516

[Barry.Gessner@nrg.com](mailto:Barry.Gessner@nrg.com)

Barry Gessner joined NRG Energy through its acquisition of Energy Plus in 2011. He is responsible for scheduling electricity purchases in ISO-NE, MISO, NYISO, PJM, and Canada and natural gas purchases in 44 gas utilities across 14 states and provinces; hedging electricity and natural gas supply purchases to mitigate market cost volatility; meeting renewable portfolio standards and voluntary green power program requirements; and cost forecasting and market settlements. Prior to his roles at NRG, Mr. Gessner was responsible for custom pricing of large commercial and industrial customers at Liberty Power. Mr. Gessner holds an MBA from Villanova University, a BS Economics from Penn State, and is a GARP certified Energy Risk Professional.

**Brian Grant, Director, East Retail IT**

3711 Market St. Suite 1000 Philadelphia, PA 19104

Phone: 267.295.0625

[Brian.C.Grant@nrg.com](mailto:Brian.C.Grant@nrg.com)

Mr. Grant is responsible for defining the processes and procedures for the day to day IT functions, operations and quality assurance protocols for NRG Retail in the Northeast. His daily responsibilities include ensuring that all enrollments process accurately and efficiently through all of NRG's internal systems and integration points with its external vendors. Mr. Grant brings a strong background in operational processes and quality assurance. During his tenure, Mr. Grant successfully implemented a quality assurance project life cycle process that included the implementation of new technology hardware as well as processes and gates to increase the accuracy and efficiency of the energy enrollment process and customer service platforms. His continual focus on quality assurance and streamlined operational processes will ensure that NRG is poised to offer a best in class service experience to retail customers.

**Jordon McConnell, Director, Sales Strategy**

3711 Market St. Suite 1000 Philadelphia, PA 19104

Phone: 267.295.0625

[Jordon.McConnell@nrg.com](mailto:Jordon.McConnell@nrg.com)

Jordon McConnell leads sales strategy for NRG's retail business in the Northeast. Over the course of his career, Mr. McConnell has gained experience in a broad range of business functions including marketing, sales, product development, operations and financial analysis. Jordon has held leadership positions in a number of industries including energy, finance, professional services and business information with emphasis on consumer and small business segments. Prior to joining NRG Jordon led marketing strategy and helped launch the digital retail channel for D&B's small business segment. Previously Jordon held business development roles in the eBusiness segments of Prudential Securities and FirstUSA Bank. Jordon holds an MBA from the University of Delaware and a BA from Bucknell University.

**Stephanie Baldean, Senior Manager, Marketing**

804 Carnegie Center, Princeton, NJ 08540

Phone: 609.524.4660

[Stephanie.Baldean@nrg.com](mailto:Stephanie.Baldean@nrg.com)

Stephanie Baldean leads the marketing and customer experience strategy for NRG's retail business in the Northeast. She is responsible for executing comprehensive marketing programs that drive acquisition and retention of customers for NRG's Northeast retail brands. Stephanie manages the retail brand strategy and ensures alignment across advertising and marketing communications. In addition, Stephanie works across various teams to drive a positive customer experience. Prior to joining NRG, Stephanie held several marketing leadership roles in various industries, including non-profit, publishing, and home services. Stephanie holds an MBA from Thomas Jefferson University, and a BA from Arcadia University.



**Exhibit C-9. Financial Arrangements**

Provide copies of the applicant's financial arrangements to satisfy collateral requirements to conduct retail electric/natural gas business activities (e.g., parental guarantees, letters of credit, contractual arrangements, etc.)

Renewal applicants may provide a current statement from an Ohio local distribution utility (LDU) that shows that the applicant meets the LDU's collateral requirements. The statement or letter must be on the utility's letterhead and dated within a 30-day period of the date the applicant files its renewal application.

**Response:** See attached letter from Duke Energy.



139 East Fourth  
EX396  
Cincinnati, Ohio 45202

February 8, 2021

Reliant Energy Northeast LLC, (dba NRG Retail Solutions) has met the Natural Gas Collateral obligations for Duke Energy Corporation as of February 8, 2021.

***Tom Hunt***

Duke Energy Corp  
Certified Supplier Business Center  
[Tom.Hunt@Duke-Energy.com](mailto:Tom.Hunt@Duke-Energy.com)



# Competitive Retail Natural Gas Service Affidavit

County of Philadelphia :

State of Pennsylvania :

Mike Starck

, 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, and that it will amend its application while it is pending if any substantial changes occur regarding the information provided.
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 Sections 4905.10 and 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 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. 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 comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
8. Applicant will inform the Public Utilities Commission of Ohio of any material change to the information supplied in the 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 consumer complaints.
9. The facts set forth above are true and accurate 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.
10. Affiant further sayeth naught.

Mike Starck Vice President  
Signature of Affiant & Title

Sworn and subscribed before me this 8<sup>th</sup> day of February, 2021  
Month Year

Erica Bray  
Signature of official administering oath

Erica Bray, notary public  
Print Name and Title

Commonwealth of Pennsylvania - Notary Seal  
Erica Bray, Notary Public  
Philadelphia County  
My commission expires December 24, 2023  
Commission number 1362204

My commission expires on 12/24/2023

Member, Pennsylvania Association of Notaries



**NRG Retail Northeast**  
3711 Market Street, Suite 1000  
Philadelphia, PA 19104

January 6, 2021

Re: NRG Energy, Inc.'s Guarantee of the Obligations of Reliant Energy Northeast LLC

To Whom It May Concern:

Reliant Energy Northeast LLC is a wholly owned subsidiary of NRG Energy, Inc. I certify that NRG Energy, Inc. guarantees the obligations of Reliant Energy Northeast LLC.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Mike Starck", is written over a horizontal line.

Mike Starck, Vice President

## NRG Retail Affiliates

State	Energy Plus Holdings LLC 3711 Market Street, Suite 1000 Philadelphia, PA 19104	Independence Energy Group LLC d/b/a Cirro Energy 3711 Market Street, Suite 1000 Philadelphia, PA 19104	Energy Plus Natural Gas LLC 3711 Market Street, Suite 1000 Philadelphia, PA 19104	Reliant Energy Northeast LLC d/b/a NRG Home/NRG Business 3711 Market Street, Suite 1000 Philadelphia, PA 19104	Green Mountain Energy Company 3711 Market Street, Suite 1000 Philadelphia, PA 19104	XOOM Energy [State], LLC 11208 Statesville Road Suite 200 Huntersville, NC 28078
AZ						
CA						No licensing requirement
CT	Electric: Docket 09-01-21	Electric: Docket 11-11-04		Electric: Docket 11-05-20	Electric: Docket 13-01-18	Electric: 11-06-05
DE	Electric: Docket 11-156 Order No. 7698			Electric: Docket No. 10-404 Order Nos. 7894 (C&I) & 8035 (Res)	Electric: Docket No. 11-313 Order No. 8036	Electric: Docket No. 12-563 Order No. 8318
DC	EA 11-6			Electric: EA 10-15	Electric: EA 11-16	Electric: EA 2013-28
GA						Natural Gas: GM-45
IL	Electric: Docket No. 10-0497	Electric: Docket No. 11-0277		Electric: Docket #11-0504 Natural Gas: Docket #15-0179	Electric: Docket No. 12-0477 & 11-0326 Natural Gas: Docket No. 16-0354	Electric: Docket No. 11-0705 Natural Gas: Docket No. 11-0724
IN						No licensing requirement
KY						No licensing requirement
ME				Electric: Docket # 2015-00224		Electric: Docket # 2012-00596
MD	Electric: IR-1805		Natural Gas: IR-2216	Electric: IR-2058 Natural Gas: IR-3480 Electric: CS-081	Electric: IR-2790 & IR-2345 Natural Gas: IR-3752	Electric: IR-2445 Natural Gas: IR-2446 Electric: CS-088
MA	Electric: CS-072			Natural Gas: RA-154	Electric: CS-083	Natural Gas: GS-RA-07
MI						Natural Gas: U-16802
MN						
NH				Electric: DM 15-287		Electric: DM 13-185
NJ	Electric: ESL-0087	Electric: ESL-0100	Natural Gas: GSL-0100	Electric: ESL-0093 Natural Gas: GSL-0176	Electric: ESL-0098	Electric: ESL-0115 Natural Gas: GSL-0112
NY	Electric: Licensed - no license # given ESCO eligibility letter dated 8/8/07	Electric: Licensed - no license # given ESCO eligibility letter dated 5/3/11	Natural Gas: Licensed - no license # given (ESCO Code EPGS) GSCO eligibility letter dated 7/31/08	Licensed - no license # given (ESCO Code RELI) ESCO eligibility letter dated 8/26/11 NGSCO eligibility letter dated 2/17/15	Electric & Natural Gas: Licensed - no license # given ESCO eligibility letters dated 4/8/2009 and 8/3/2011	Electric & Natural Gas: Licensed - no license # given ESCO Code: XOOM ESCO/NGSCO eligibility letter dated: 5/21/12
NC						
OH	Electric: 11-341E	Electric: 12-552E	Natural Gas: 11-222G	Electric: 11-401E Natural Gas: 17-591G	Electric: 18-0483E	Electric: 13-716E Natural Gas: 11-223G
PA	Electric: A-2009-2139745	Electric: A-2011-2262337 Natural Gas: A-2013-2396449		Electric: A-2010-2192350 Natural Gas: A-2015-2478293	Electric: A-2011-2229050 Natural Gas: A-2017-2583732	Electric: A-2012-2283821 Natural Gas: A-2012-2283967
RI				Electric: D-96-6(P7)		Electric: D-96-6(A6)
SC						
TN						
TX					Electric: 10009	Electric: 10203
VA				Electric: E-32		Natural Gas: G-37
WV						
WI						

## NRG Retail Affiliates

State	Stream Energy [State], LLC 2745 Dallas Parkway, Suite 200 Plano, TX 75093	Direct Energy Services, LLC 12 Greenway Plaza, Suite 250 Houston, TX 77046	Direct Energy Business, LLC 1001 Liberty Ave., Suite 1200 Pittsburgh, PA 15222	Direct Energy Business Marketing, LLC (f/k/a Hess) 194 Wood Ave. South, Suite 200, Iselin, NJ 08830	Gateway Energy Services Corporation 12 Greenway Plaza, Suite 250, Houston, TX 77046	Bounce Energy, Inc. 12 Greenway Plaza, Suite 250, Houston, TX 77046
AZ			Wholesale Supply - APS Pilot			
CA			Electric: 1351 Natural Gas: 0013	Natural Gas: 0031		
CT		Electric: Docket No. 06-03-06RE02 Natural Gas: Docket No. 01-04	Electric: Docket No. 00-05-14RE01 Natural Gas: 12-03	Electric: 13-08-02 Natural Gas: 13-03		
DE	Electric: Docket No. 17-0340 Order No. 9137	Electric: Docket No. 05-370 Order No. 6790	Electric: Docket No. 09-174 Order No. 5267	Electric: Docket No. 14-204T Order No. 8425		
DC	Electric: EA 11-11 Natural Gas: GA 2013-07	Electric: EA-05-3-5 Order No. 13816	Electric: EA-04-4-4	Electric: EA-2013-12 Natural Gas: GA-2013-03-1	Natural Gas: GA 03-4	
GA	Natural Gas: GM-38			Gas Transport - No Lic.		
IL	Electric: 17-0033 Natural Gas: 17-0045	Electric: 05-0722 Natural Gas: 05-0086	Electric: 04-0811	Natural Gas: No License Req.		
IN		No license req.		Gas Transport - No Lic.		
KY				Gas Transport - No Lic.		
ME		Electric: Docket # 2005-479	Electric: Docket # 2011-201	Electric: Docket No. 2013-00404		
MD	Electric: IR-2742 Natural Gas: IR-2072	Electric: IR-719 Gas: IR-791	Electric: IR-437 Natural Gas: IR-2697	Electric: IR-3123 Natural Gas: IR-3108	Electric: IR-340 Natural Gas: IR-334	
MA		Electric: CS-047 Natural Gas: GS-028	Electric: CS-021 Natural Gas: GS-052	Natural Gas: GS-051		
MI		Natural Gas: U-14537 Electric: U-14724	Electric: U-13609	Gas Transport - No Lic.		
MN				Gas Transport - No Lic.		
NH		Electric: DM 15-513	Electric: DM 15-373	Electric: DM 13-260 Natural Gas: DM 13-121		
NJ	Electric: ESL-0109 Natural Gas: GSL-0120	Electric: ESL-0078 Natural Gas: GSL-0088	Electric: ESL-0165 Natural Gas: GSL-0145	Electric: ESL-0142 Natural Gas: GSL-0128	Electric: ESL-0166 Natural Gas: GSL-0146	
NY	Electric & Natural Gas: Licensed - no license # given ESCO Code: STRM ESCO eligibility letter dated: 7/13/12	Electric & Natural Gas: licensed - no license # given Eligibility letter dated 11/2/2004	Electric & Natural Gas: licensed - no license # given Eligibility letter dated 6/8/1998	Electric & Natural Gas: licensed - no license # given Eligibility letter dated 5/16/2013	Electric & Natural Gas: licensed - no license # given Eligibility letter dated 3/16/2000	
NC				Gas Transport - No Lic.		
OH	Electric: 17-1187E Natural Gas: 08-133G	Electric: 00-19E Natural Gas: 02-024G	Electric: 00-005(10)E	Natural Gas: 13-303G		
PA	Electric: A-2010-2181867 Natural Gas: A-2012-2308991	Electric: A-110164 April 21, 2005 Natural Gas: A-125135 December 2, 2004	Electric: A-110025 Natural Gas: A-125072	Electric: A-2013-2368464 Natural Gas: A-2013-2365792	Electric: A-2009-2137275 Natural Gas: A-2009-2138725	Broker/Marketer: A-2020-3020380
RI		Electric: D-96-6(U2) Natural Gas: 2378(T1)	Electric: D-96-6(Z) Natural Gas: 2379(A3)	Electric: D-96-6(U6) Natural Gas: 2379(V2)		
SC				Gas Transport - No Lic.		
TN				Gas Transport - No Lic.		
TX			Electric: 10011			
VA		Electric: E-36	Electric: E-38	Natural Gas: G-7	Electric: E-13 Natural Gas: G-19	
WV				Gas Transport - No Lic.		
WI				Gas Transport - No Lic.		

## NRG Retail Affiliates

	Canada		U.S. - Texas						
State	Direct Energy Marketing Limited 10303 Jasper Avenue, Suite 1850, Edmonton AB T5J 3M6, Canada	Direct Energy (B.C.) Limited 10303 Jasper Avenue, Suite 1850, Edmonton AB T5J 3M6, Canada	Reliant Energy Retail Services LLC 910 Louisiana St Houston, TX 77002	US Retailers LLC 910 Louisiana St Houston, TX 77002	Everything Energy LLC 910 Louisiana St Houston, TX 77002	Direct Energy, LP 12 Greenway Plaza, Suite 250, Houston, TX 77046	CPL Retail Energy, LP 12 Greenway Plaza, Suite 250, Houston, TX 77046	WTU Retail Energy, LP 12 Greenway Plaza, Suite 250, Houston, TX 77046	First Choice Power, LLC 12 Greenway Plaza, Suite 250, Houston, TX 77046
TX			Electric:10007	Electric:10177	Electric:10178	Electric: 10040	Electric: 10023	Electric: 10022	Electric: 10008
Alberta	Electric: 311173 Issued 10/1/20; Expires 9/30/21 Natural Gas: 311172 Issued 10/1/20; Expires 9/30/21								
British Columbia		Natural Gas: A-5-20 Issued 10/14/20; Expires 10/31/21							
Manitoba	Natural Gas: 657 Issued 10/23/20; Expires 10/31/21								
New Brunswick	Natural Gas Marketer Issued 6/20/20; Expires 6/24/23								
Nova Scotia	Natural Gas: M08018 License issued 6/9/17 - does not expire								
Ontario	Electric: Lic # ER-2020-0168 Issued: 8/27/20; Expires 8/26/25								
Saskatchewan	Natural Gas: No license required								
Quebec	Natural Gas: No license required								

**Exhibit B-2 "Experience & Plans,"** Describe the applicant's experience in providing the service(s) for which it is applying (e.g., number and type of customers served, utility service areas, amount of load, etc.). Include a plan for contracting with customers, providing contracted services, providing billing statements and responding to customer inquiries and complaints.

**Response:**

Since April 2017, Reliant Energy Northeast LLC ("Reliant") has served both residential and small commercial retail natural gas customers in Ohio. Reliant utilizes a mix of marketing channels to reach potential customers and utilizes utility consolidated billing to provide billing statements to customers. Reliant has an in-house customer service team reachable via a toll-free phone number to respond to customer inquiries and/or complaints. Services provided by the call center include handling calls regarding inquiries related to bills, awards, discretionary service orders, and other routine matters.

In addition, the team at Reliant has worked closely with the Public Service Commissions in each state to ensure both adherence to, and contribution toward, policies and regulations that will continue to promote the competitive landscape in the states of New York, Connecticut, New Jersey, Pennsylvania, Maryland, Illinois, Ohio, Delaware, Washington D.C, and Massachusetts.

Reliant employs a sales and marketing compliance review process that ensures that all customer-facing material is reviewed for regulatory and legal compliance prior to being deployed in the field. Our Creative Review Process (CRP) utilizes a Share Point site that serves as the central clearinghouse. All customer and external facing collateral material is submitted for review, including: all marketing message maps/documents; solicitation materials (direct mail, email, phone/door-to-door/face to face events/campaigns, etc.); marketing collateral; advertising (web, TV, radio, bill boards, etc.); agent training materials; agent scripts (sales, call center reps, TPV, etc.); welcome kits/letters; renewal letters; customer notices/communications; website content; press releases; etc. All Reliant employees involved in the production of customer facing materials have access to the CRP system and submit their materials for review and approval by our compliance review team.

As customer service and satisfaction are core principles of Reliant's business model, Reliant takes the necessary actions to ensure that it is in compliance with all regulatory requirements. Reliant includes the following core principles into its business operations:

- **Call Center Reps:** Reliant's customer service agent training content covers customer choice, product details, and market/sales regulations within 80 hours of instructor led training, and 40 hours of on the job training. Upon completion of training, all agents are required to sign a Quality Assurance Agreement indicating that they understand specific market/sales regulations and that they will follow applicable guidelines. All call center agents are audited each month to ensure quality standards and compliance with regulations, and there are penalties for non-compliance.
- **Full-time Quality Assurance Staff:** We employ full-time in-house staff located at our corporate office and in the field offices; their full time jobs are to train, monitor, evaluate, audit all face-to-face sales activities and proactively address concerns/issues in an effort to avoid/minimize complaints. They also ensure agents have the materials/ resources they need. Market managers are assigned to each state to manage all face-to-face product offers and campaigns and interact with agents/vendors on an ongoing basis.
- **Robust training and certification process:** All agent training is conducted either by our own QA analysts or a vendor trainer that has been certified by our QA analyst. Reliant provides all training materials. Training is ongoing depending on the season – in the summer – typically weekly. Agents trained on the code of ethics/consumer protection rules, uniform requirements, sales



techniques, our products, and the proper procedures for completing the sales transaction and TPV.

- **Thorough auditing process:** includes performance measures and scoring metrics for individual agents. The goal is to identify trends/discrepancies that raise flags and help us to identify and address problems with our agents. Process includes face-to-face audits as well as audits of enrollment forms, TPV calls, and outbound surveying of customers.
- **Detailed performance measures for agents:** allows us to objectively rate and track agent performance; Agents rated on 10 areas of performance measured during face-to-face audits – range from visibility of ID badge, uniform/appearance, behavior, proper materials used, current disclosure statement, proper explanation of competition/restructuring, choice, utility and retailer roles; accuracy of product description, sales technique, accuracy of explanation of key terms, provision of rescission notice and copies of materials, proper completion of enrollment forms/tablet process, proper transfer to TPV.
- **Robust complaint handling/discipline process:** process established to address concerns/issues with agents; Reliant monitors and tracks all complaints and categorizes them according to severity, and to specifically identify major/mid-level complaints (disputed enrollments, misrepresentation, behavior, PUC complaints, etc.); established guidelines dictate course of disciplinary action.
- Reliant has made the Anti-Discrimination Rules easily accessible by the company's employees on a regular basis.
- Reliant has made customers aware of the process to file a complaint with Reliant and how to contact the Public Utilities Commission of Ohio.

#### **Exhibit C-4. Credit Rating**

Provide a credit opinion disclosing the applicant's credit rating as reported by at least one of the following ratings agencies: Moody's Investors Service, Standard & Poor's Financial Services, Fitch Ratings or the National Association of Insurance Commissioners. If the applicant does not have its own credit ratings, substitute the credit ratings of a parent or an affiliate organization and submit 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 "Not Rated."

**Response:** Reliant Energy Northeast LLC does not have a credit rating, but its ultimate parent, NRG Energy, Inc.'s credit rating from Moody's and Standard & Poor's are attached as Exhibit C-4 along with a statement by Vice President, Mike Starck, guaranteeing the obligations of Reliant Energy Northeast LLC as Exhibit C-4.1.

# NRG Energy Inc.

Issuer Credit Rating						
Rating Type	Rating	Rating Date	Last Review Date	Regulatory Identifiers	CreditWatch/ Outlook	CreditWatch/ Outlook Date
Local Currency LT	BB+ <a href="#">Regulatory Disclosures</a>	24-Jul-2020	16-Nov-2020	EE	Stable	24-Jul-2020
Foreign Currency LT	BB+ <a href="#">Regulatory Disclosures</a>	24-Jul-2020	16-Nov-2020	EE	Stable	24-Jul-2020

### View Ratings Definitions

## Debt Types

1/6/2021

## NRG Energy, Inc. Credit Rating - Moody's

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## NRG Energy, Inc.

Ticker: NRG Moody's Org ID: 806927478 LEI: 5E2UPK5SW04M13XY7138 Market Segment: Corporates  
 Industry: ENERGY: UNREG - ELECTRIC PRODUCTION Peer Group: Unreg Utilities and Unreg Power Companies  
 Domicile: UNITED STATES

ANALYST

Analyst: **Toby Shea**

## LONG TERM RATING

Rating: **Ba1**, Not on Watch  
 Type: **LT Corporate Family Ratings - Dom Curr**  
 Date: **24 Jul 2020**

## SHORT TERM RATING

Rating: **SGL-1**, Not on Watch  
 Type: **Speculative Grade Liquidity Rating**  
 Date: **06 Dec 2018**

## OUTLOOK

**Positive**  
 Date: **24 Jul 2020**

OTHER DEBTS ON WATCH?  
 No

Research

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16 Dec 2020	Issuer Profile	NRG Energy, Inc.: Key Facts and Statistics - LTM September 2020	Moody's Investors Service
16 Oct 2020	Announcement of Periodic Review	Moody's announces completion of a periodic review of ratings of NRG Energy, Inc.	Moody's Investors Service
24 Jul 2020	Rating Action	Moody's affirms NRG's Ba1 CFR; outlook positive	Moody's Investors Service
30 Dec 2019	Credit Opinion	NRG Energy, Inc.: Update following upgrade to Ba1	Moody's Investors Service
13 Dec 2019	Rating Action	Moody's upgrades NRG's CFR to Ba1 from Ba2, outlook positive	Moody's Investors Service
06 Nov 2019	Announcement of Periodic Review	Moody's announces completion of a periodic review of ratings of NRG Energy, Inc.	Moody's Investors Service
02 May 2019	Issuer Profile	NRG Energy, Inc.: Key Facts and Statistics - FYE December 2018	Moody's Investors Service
13 Dec 2018	Credit Opinion	NRG Energy, Inc.: Update following ratings upgrade	Moody's Investors Service
06 Dec 2018	Rating Action	Moody's upgrades NRG to Ba2, outlook positive	Moody's Investors Service
06 Jul 2018	Credit Opinion	NRG Energy, Inc.: Update to credit analysis	Moody's Investors Service
18 May 2018	Issuer Profile	NRG Energy, Inc.: Key Facts and Statistics - FYE December 2017	Moody's Investors Service
30 Nov 2017	Covenant Quality Assessment	NRG Energy, Inc.: Covenant Quality Pre-Sale Snapshot: \$870m _% Senior Notes due 2028	Moody's Investors Service
11 Oct 2017	Credit Opinion	NRG Energy, Inc.: A merchant power company undergoing a major transformation	Moody's Investors Service
06 Oct 2017	Rating Action	Moody's revises NRG Energy's Outlook to Positive	Moody's Investors Service
09 Aug 2017	Issuer Comment	Dynegy Inc.: Offer to buy back \$1.25 billion of 2019 senior notes is credit positive	Moody's Investors Service
31 Jul 2017	Issuer Comment	New York Federal Judge Dismisses Challenge of Nuclear Subsidy	Moody's Investors Service
18 Jul 2017	Credit Opinion	NRG Energy, Inc.: A merchant power company undergoing a major restructuring	Moody's Investors Service
17 Jul 2017	Issuer Comment	NRG's Restructuring Plan Is Credit Positive	Moody's Investors Service
13 Jul 2017	Issuer Comment	NRG Energy, Inc.: NRG to reduce debt and simplify financial disclosure, a credit positive.	Moody's Investors Service
22 May 2017	Issuer Profile	NRG Energy, Inc.: Key Facts and Statistics - FYE December 2016	Moody's Investors Service
20 Feb 2017	Sector Comment	NRG Activist Shareholders' Involvement Is Credit Negative	Moody's Investors Service
06 Feb 2017	Issuer Comment	GenOn Energy, Inc.: GenOn Mid-Atlantic's letter of credit transaction has limited credit implications	Moody's Investors Service
28 Nov 2016	Credit Opinion	NRG Energy, Inc.: A U.S. unregulated power company	Moody's Investors Service
19 Oct 2016	Announcement	Moody's: Carbon reduction policies bring risk, opportunities for global unregulated utilities	Moody's Investors Service
28 Jul 2016	Covenant Quality Assessment	NRG Energy, Inc.: Covenant Quality Post-Sale Snapshot: \$1,250m 6.625% Senior Notes due 2027	Moody's Investors Service
02 Jun 2016	Covenant Quality Assessment	NRG Energy, Inc.: Covenant Quality Post-Sale Snapshot: \$1000m 7.250% Senior Notes due 2026	Moody's Investors Service
29 Apr 2016	Credit Opinion	NRG Energy, Inc.: A U.S. unregulated power company	Moody's Investors Service
27 Apr 2016	Company Profile	NRG Energy, Inc.	Moody's Investors Service

Date ▼	Document Type	Title	Source
21 Mar 2016	Rating Action	Moody's Affirms NRG Energy's Ba3 CFR; Outlook Stable	Moody's Investors Service
17 Mar 2016	Announcement	Moody's: Sponsor strategy drives yieldco credit quality during market uncertainty while MLPs offer potential insight into sector recovery	Moody's Investors Service
17 Mar 2016	Sector In-Depth	Unregulated Power – US: Sponsor Strategy Is Key for Renewable Yieldcos; MLPs Yield Lessons on Growth	Moody's Investors Service
07 Mar 2016	Issuer Comment	NRG's Dividend Reduction Is Credit Positive	Moody's Investors Service
07 Dec 2015	Credit Opinion	NRG Energy, Inc.	Moody's Investors Service
09 Jun 2015	Company Profile	NRG Energy, Inc.	Moody's Investors Service
02 Feb 2015	Rating Action	Moody's assigns Baa3 rating to NRG's \$42 million City of Texas Bonds	Moody's Investors Service
05 Jun 2014	Issuer Comment	Alta Wind acquisition likely to be credit neutral for NRG	Moody's Investors Service
21 Apr 2014	Covenant Quality Assessment	NRG Energy, Inc. - Post-Sale Snapshot - \$1,000m 6.25% Senior Notes due 2024	Moody's Investors Service
06 Apr 2014	Covenant Quality Assessment	NRG Energy, Inc. - Pre-Sale Snapshot - \$1,000m _% Senior Notes due 2024	Moody's Investors Service
04 Apr 2014	Rating Action	Moody's assigns B1 rating to new \$1 billion senior unsecured notes and affirms NRG's Ba3 Corporate Family Rating; outlook stable	Moody's Investors Service
03 Feb 2014	Issuer Comment	Brayton Point Shutdown Is Credit Positive for New England Power Producers	Moody's Investors Service
24 Jan 2014	Rating Action	Moody's places GenOn's Ratings Under Review for Downgrade, NRG's Ratings Unaffected	Moody's Investors Service
24 Jan 2014	Covenant Quality Assessment	NRG Energy, Inc. - Post-Sale Snapshot - \$1,100m 6.25% Senior Notes due 2022	Moody's Investors Service
13 Jan 2014	Rating Action	Moody's assigns B1 rating to new \$1,100 million senior unsecured notes and affirms NRG's Ba3 Corporate Family Rating	Moody's Investors Service
21 Oct 2013	Rating Action	Moody's affirms NRG's ratings; outlook stable	Moody's Investors Service
19 Sep 2013	Sector Comment	Texas' Tinkering with Competitive Generation Market Is Positive for Power Generators	Moody's Investors Service
31 May 2013	LGD Assessment	NRG Energy, Inc.	Moody's Investors Service
22 May 2013	Rating Action	Moody's Affirms Ratings of NRG Energy and GenOn Energy, Including NRG's Increased and Extended Senior Secured Debt Facilities	Moody's Investors Service
20 May 2013	LGD Assessment	NRG Energy, Inc.	Moody's Investors Service
17 May 2013	Announcement	Correction to text, May 01, 2013 Release: Moody's Confirms NRG Energy Ratings and Announces Other Rating Actions for GenOn Energy	Moody's Investors Service
01 May 2013	Rating Action	Moody's Confirms NRG Energy Ratings and Announces Other Rating Actions for GenOn Energy	Moody's Investors Service

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https://www.moody's.com/credit-ratings/NRG-Energy-Inc-credit-rating-806927478

2/2

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**in**

**Case No(s). 17-0621-GA-CRS**

Summary: In the Matter of the Application of Reliant Energy Northeast LLC