



DIS Case Number: 11-0625-EL-CRS

Section A: Application Information

A-1. Provider type:

☐ Power Broker

☐ Aggregator

☒ Retail Generation
Provider

☒ Power
Marketer

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

Legal Name: Energy Plus Holdings LLC

Phone: 866-698-0912

**Extension (if
applicable):**

Website (if any):

www.energypluscompany.com

Country: United States

Street: 3711 Market Street, Suite 1000

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 |
|--------------------------|------|----------------------------------------------------------|---------|-------|
| Energy Plus Holdings LLC | | 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 |
|--------------------------|------|----------------------------------------------------------|---------|-------|
| Energy Plus Holdings LLC | | 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
service@energypluscompany.com
2672955789

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

| | | |
|----------------------------------------------------|-----------------------------------|-----------------------------------------------------|
| Phone: 866-698-0912 | Extension (if applicable): | Country: United States |
| Fax: | Extension (if applicable): | Street: 3711 Market Street, Suite 1000 |
| Email: energypluscomplaints@nrenergy.com | | City: Philadelphia Province/State: PA |
| | | Postal Code: 19104 |

A-8. Applicant's federal employer identification number

74-3216390

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



Duke Energy Ohio

Class of customer selection

Commercial

Residential

A-11. Start date

Indicate the approximate start date the applicant began/will begin offering services: 03-07-2011

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 |
|---------------------|-----------------------------|-------------------------------|-----------------------------------------------------------|
| Elizabeth Killinger | elizabeth.killinger@nrg.com | President | 910 Louisiana Street Houston, TX 77002 US |
| David Callen | david.callen@nrg.com | Vice President | 804 Carnegie Center Princeton, NJ 08540 US |
| Leonard Garnder | bucky.garnder@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 |
| Gaetan Frotte | gaetan.frotte@nrg.com | Treasurer | 804 Carnegie Center Princeton, NJ 08540 US |
| Deborah Fry | deborah.fry@nrg.com | Assistant Secretary | 804 Carnegie Center Princeton, NJ 08540 US |
| S. Meigs Jones | meigs.jones@nrg.com | Vice President & Secretary | 1005 Congress Avenue, Suite 950 Austin, TX 78701 US |

A-13. Company history



Energy Plus Holdings LLC currently serves both residential and small commercial retail electric services to residential and small commercial customers in Maryland, Pennsylvania, Illinois, New York, Connecticut, New Jersey, Massachusetts, and Ohio. Energy Plus Holdings LLC is the parent company of Energy Plus Natural Gas LLC which serves both residential and small commercial retail natural gas customers in Maryland, New York, New Jersey and Ohio. Energy Plus Holdings LLC allows customers to choose a plan that fits their needs and offers different pricing options and rewards. Energy Plus Holdings LLC operates as a subsidiary 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:

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.

Application Experience and Plan Description: Since March 2011, Energy Plus Holdings LLC has provided service to both residential and small commercial retail electric customers in Ohio. Energy Plus Holdings LLC utilizes a mix of marketing channels to reach potential customers and utilizes utility consolidated billing to provide billing statements to customers. Energy Plus 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 Energy Plus 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, and Massachusetts. As customer service and satisfaction are core principles of Energy Plus's business model, Energy Plus takes the necessary actions to ensure that it is in compliance with all regulatory requirements. Energy Plus includes the following core principles into its business operations:

- Call center management has the necessary skills and qualifications that meet Energy Plus' standards on customer service and support for both email and call-in inquiries. This entails having a hands-on management team that is focused on developing, implementing, and managing the appropriate processes to ensure delivery and compliance with all rules, including providing service to any qualified applicant without discrimination, delivering the appropriate documents to customers, and accurately communicating and adhering to customer rights policies.
- Call center personnel receive appropriate training to ensure knowledge of, and compliance with, all rules. In addition to initial training, representatives will be provided with additional training as needed to maintain knowledge of current rules. Floor supervisors and managers are also available to respond to emails or assist customers who call in as necessary.
- Energy Plus has designed and implemented specific processes supporting the collection, tracking, and resolution of customer's complaints in a timely manner. Additional processes have been developed to ensure compliance of the necessary policies and timeframes.
- Energy Plus has made the Anti-Discrimination Rules easily accessible by the company's employees on a regular basis.
- Energy Plus has made customers aware of the process to file a complaint with Energy Plus and how to contact the Public Utilities Commission of Ohio.

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 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..

Liability and Investigations Disclosures: Energy Plus Holdings LLC ('EPH') previously provided information regarding investigations in connection with the sale or deliver of electricity or natural gas as well as information regarding pending litigation in connection with its prior renewal applications. In connection with its 2017 renewal application, EPH states that there have been no investigations in Ohio or any other state or federal jurisdiction of EPH that would adversely impact EPH's financial or operational status or its ability to provide the services it is seeking to be certified to provide. In the spirit of full disclosure, other matters not meeting the above material definition and not previously disclosed, are as follows:

Connecticut: Investigation by the Connecticut Public Utilities Authority ('PURA') of Energy Plus for violation of Conn. Gen. Stat. § 16-245d regarding inaccurate provision of supply summary



information on customer bills, Docket 9-01-21. The matter was settled and approved by PURA on November 4, 2020.

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

B-6. Environmental disclosures

Provide a detailed description of how the applicant intends to determine its generation resource mix and environmental characteristics, including air emissions and radioactive waste. Include the annual projection methodology and the proposed approach to compiling the quarterly actual environmental disclosure data. See 4901:1-21-09 of the Ohio Administrative Code for additional details of this requirement.

PJM disclosure option chosen

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



Public Utilities Commission

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, Energy Plus Holdings LLC's ultimate parent company, NRG Energy, Inc., 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



Public Utilities Commission

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

Power Marketers/Generators: Describe the operational nature of the applicant's business, specifying whether operations will include the generation of power for retail sales, the scheduling of retail power for transmission and delivery, the provision of retail ancillary services, as well as other services used to arrange for the purchase and delivery of electricity to retail customers.

Power Marketers/Generators: Describe the operational nature of the applicant's business, specifying whether operations will include the generation of power for retail sales, the scheduling of retail power for transmission and delivery, the provision of retail ancillary services, as well as other services used to arrange for the purchase and delivery of electricity to 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**

D-3. FERC Power Marketer and License Number

Provide a statement disclosing the applicants FERC Power Marketer License Number (Power Marketers Only).

Energy Plus Holdings LLC obtained FERC Market Based Rate authority on May 26, 2010 under Docket Nos. ER10-842-000, and ER10-842-001.



Public Utilities
Commission

Application Attachments

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.

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 29th day of December, A.D. 2020.

Ohio Secretary of State

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

Validation Number:
202036403412



| | | | | | | | |
|---------------------|-----------------------------|---------------------------------------------------------|------------------|-----------------|---------|-------------|-------------|
| DATE: 12/20/2010 | DOCUMENT ID 201035400009 | DESCRIPTION REG. OF FOR. PROFIT LIM. LIAB. CO. (LFP) | FILING 125.00 | EXPED 200.00 | PENALTY | CERT .00 | COPY .00 |
|---------------------|-----------------------------|---------------------------------------------------------|------------------|-----------------|---------|-------------|-------------|

Receipt

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

CT CORPORATION SYSTEM
ATTN: JAMES H. TANKS III
4400 EASTON COMMONS WAY, SUITE 125
COLUMBUS, OH 43219

STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Jennifer Brunner

1983710

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

ENERGY PLUS HOLDINGS LLC

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

Document(s)
REG. OF FOR. PROFIT LIM. LIAB. CO.

Document No(s):
201035400009



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 17th day of December,
A.D. 2010.

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

| | |
|--------------------------------------------|-----------------------------------|
| Expedite this Form: (Select One) | |
| Mail Form to one of the Following: | |
| <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)

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>(1) <input checked="" type="checkbox"/> Registration of a Foreign For-Profit Limited Liability Company (106-LFA) ORC 1705</p> <p>State of Organization <u>Delaware</u></p> <p>Date of Formation <u>05/09/07</u></p> | <p>(2) <input type="checkbox"/> Registration of a Foreign Nonprofit Limited Liability Company (106-LFA) ORC 1705</p> <p>State of Organization _____</p> <p>Date of Formation _____</p> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

| | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|--------------|
| Name of limited liability company in its state of organization: <u>Energy Plus Holdings 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," "L.L.C.," "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: | | |
| <u>Energy Plus Holdings LLC</u> | | |
| Name _____ | | |
| <u>3711 Market Street, Suite 1000</u> | | |
| Street Address / P.O. Box Address _____ | | |
| <u>Philadelphia</u> | <u>PA</u> | <u>19104</u> |
| City | State | Zip code |

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

Kevin Kleinschmidt

Print Name

12/16/10

Date

Signature

Date

Print Name

Signature

Date

Print Name

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 29th day of December, A.D. 2020.

Ohio Secretary of State

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

Validation Number:
202036403412



| | | | | | | | |
|------------|--------------|---------------------------------------|--------|--------|---------|------|------|
| DATE: | DOCUMENT ID | DESCRIPTION | FILING | EXPED | PENALTY | CERT | COPY |
| 04/17/2012 | 201210800056 | FICTITIOUS NAME/ORIGINAL FILING (NFO) | 50.00 | 100.00 | | .00 | .00 |

Receipt

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

CT CORPORATION SYSTEM
4400 EASTON COMMONS WAY SUITE 125
ATTN: JAMES H TANKS III
COLUMBUS, OH 43219

STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Jon Husted

2099321

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

NRG ENERGY PLUS

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

Document(s)

FICTITIOUS NAME/ORIGINAL FILING

Expiration Date: 04/16/2017

Document No(s):

201210800056

ENERGY PLUS HOLDINGS LLC
3711 MARKET STREET
SUITE 1000
PHILADELPHIA, PA 19104



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 16th day of April, A.D.
2012.

Ohio Secretary of State



**Form 534A Prescribed by the:
Ohio Secretary of State**

Central Ohio: (614) 466-3910
Toll Free: (877) SOS-FILE (767-3453)

www.OhioSecretaryofState.gov
Busseerv@OhioSecretaryofState.gov

Mail this form to one of the following:

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

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

Name Registration

Filing Fee: \$50

CHECK ONLY ONE (1) Box

☐ Trade Name
(167-RNO)

Date of first use:

MM/DD/YYYY

☒ Fictitious Name
(169-NFO)

NRG Energy Plus

Name being Registered or Reported

Energy Plus Holdings LLC

Name of the Registrant

Note: If the registrant is a partnership, please provide the name of the partnership. Individual partner names are not permitted but are required on page 2 of the form.

The Registrant is a(n): (Check only one (1) box)

☐ Individual

☐ General Partnership

Registration #, If any

☐ Limited Partnership

Registration #

If Foreign, Jurisdiction of Formation

☐ Limited Liability Partnership

Registration #

If Foreign, Jurisdiction of Formation

☒ Limited Liability Company

Registration #

If Foreign, Jurisdiction of Formation

☐ Ohio Corporation

Charter #

☐ Foreign Corporation

Ohio license #

Jurisdiction of Formation

☐ Unincorporated Association

☐ Professional Association

Charter #

☐ Other

All registrants must complete the information in this section

The general nature of business conducted by the registrant:

Holding company for retail energy business.

Business address:

3711 Market Street, Suite 1000

Mailing Address

Philadelphia

City

Pennsylvania

State

19104

Zip Code

Complete the information in this section if registrant is a partnership NOT registered in Ohio pursuant to ORC 1776. If partnership is registered, provide registration number on page one.Provide the name and address of at least one general partner:

Name

Address

NOTE: Pursuant to OAG 89-081, if a general partner is a foreign corporation/limited liability company, it must be licensed to transact business in Ohio; if a general partner is a foreign corporation/limited liability company licensed in Ohio under an assumed name, please provide the assumed name and the name as registered in its jurisdiction of formation.

By signing and submitting this form to the Ohio Secretary of State, the undersigned hereby certifies that he or she has the requisite authority to execute this document.

Required

Application must be signed by the registrant or an authorized representative.

Signature

By (if applicable)

If authorized representative is an individual, then they must sign in the "signature" box and print their name in the "Print Name" box.

Lyane Przychodzki

Print Name

If authorized representative is a business entity, not an individual, then please print the business name in the "signature" box, an authorized representative of the business entity must sign in the "By" box and print their name in the "Print Name" box.

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 29th day of December, A.D. 2020.

Ohio Secretary of State

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

Validation Number:
202036403412



| DATE | DOCUMENT ID | DESCRIPTION | FILING | EXPED | PENALTY | CERT | COPY |
|------------|--------------|--------------------------|--------|-------|---------|------|------|
| 02/27/2017 | 201705503772 | TRADE NAME RENEWAL (RNR) | 25.00 | 0.00 | 0.00 | 0.00 | 0.00 |

Receipt

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

CT CORPORATION SYSTEM
 TYLER THEIS
 4400 EASTON COMMONS WAY SUITE 125
 COLUMBUS, OH 43219

STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Jon Husted
 2099321

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

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

Document(s)

TRADE NAME RENEWAL

Document No(s):

201705503772

Effective Date: 02/22/2017



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
 27th day of February, A.D. 2017.

Jon Husted

Ohio Secretary of State



Form 523A Prescribed by:

JON HUSTED
 OHIO SECRETARY OF STATE

Toll Free: (877) SOS-FILE (877-767-3453)

Central Ohio: (614) 466-3810

www.OhioSecretaryofState.gov

buserv@OhioSecretaryofState.gov

File online or for more information: www.OhioBusinessCentral.com

Mail this form to one of the following:

Regular Filing (non expedite)

P.O. Box 788

Columbus, OH 43216

Expedite Filing (Two business day processing time.

Requires an additional \$100.00)

P.O. Box 1390

Columbus, OH 43216

Renewal of Trade Name or Fictitious Name Registration

Filing Fee: \$25

(CHECK ONLY ONE (1) BOX)

☒ Renewal of Trade Name (172-RNR)Reg. No. ☐ Renewal of Fictitious Name (159-NFR)Reg. No.

Trade Name or Fictitious Name to be Renewed

Name of Registrant Renewing Name

Registrant's Entity Number (if registered with Ohio Secretary of State):
 RECEIVED
 SECRETARY OF STATE
 2017 FEB 22 PM 12:51
 CLIENT SERVICE CENTER

Complete if the registrant is a general partnership and has not provided an entity number above. Registration numbers are assigned to partnerships that have filed a statement under Ohio Revised Code Chapter 1776 **OR** complete if a partner was listed on the original application and that person/entity is no longer a partner.

Provide the name and address of at least one general partner.

Name

Address

NOTE: Pursuant to OAG 89-081, if a general partner is a foreign corporation/limited liability company, it must be licensed to transact business in Ohio; if a general partner is a foreign corporation/limited liability company licensed in Ohio under an assumed name, please provide the assumed name and the name as registered in its jurisdiction of formation.

By signing and submitting this form to the Ohio Secretary of State, the undersigned hereby certifies that he or she has the requisite authority to execute this document.

REQUIRED

Renewal must be signed by the registrant or authorized representative of the registrant.

If authorized representative is an individual, then they must sign in the "signature" box and print their name in the "Print Name" box.

If authorized representative is a business entity, not an individual, then please print the business name in the "signature" box, an authorized representative of the business entity must sign in the "By" box and print their name in the "Print Name" box.

Deborah R. Fry

Signature

Deborah R. Fry, Assistant Secretary

By (if applicable)

Print Name

Signature

By (if applicable)

Print Name

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 29th day of December, A.D. 2020.

Ohio Secretary of State

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

Validation Number:
202036403412



| DATE | DOCUMENT ID | DESCRIPTION | FILING | EXPED | CERT | COPY |
|------------|--------------|-------------------------|--------|-------|------|------|
| 04/13/2017 | 201710302962 | Bulk Agent Change (BAP) | 0.00 | 0.00 | 0.00 | 0.00 |

Receipt

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

CT CORPORATION SYSTEM
111 8TH AVENUE, 13TH FLOOR
MARIE HAUER
NEW YORK, NY 10011

STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Jon Husted

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

CT CORPORATION SYSTEM

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

Document(s)

Bulk Agent Change

Document No(s):

201710302962

Effective Date: 03/31/2017



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
13th day of April, A.D. 2017.

Jon Husted

Ohio Secretary of State

JON HUSTED
Ohio Secretary of State



180 East Broad Street, 16th Floor
Columbus, OH 43215
(877) 767-6446 | (614) 466-2655
info@OhioSecretaryofState.gov
www.OhioSecretaryofState.gov

The filing with the Document Identification Number of 20171032962 is a Multiple Agent Name and Address Change form filed by CT Corporation System. The filing contains 2364 pages. Due to the large number of pages, the full filing is not available via the website.

The new Agent's Address is:

CT CORPORATION SYSTEM
111 8TH AVENUE, 13TH FLOOR
MARIE HAUER
NEW YORK, NY 10011

If you would like a copy of the full filing sent to you, please send an email to BUSSERV@OhioSecretaryofState.gov.

Sincerely,

Business Services

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
29th day of December, A.D. 2020.

Ohio Secretary of State

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

Validation Number:
202036403412



| | | | | | | |
|------------|--------------|-------------------------|--------|-------|------|------|
| DATE | DOCUMENT ID | DESCRIPTION | FILING | EXPED | CERT | COPY |
| 04/17/2017 | 201710702872 | Bulk Agent Change (BAP) | 0.00 | 0.00 | 0.00 | 0.00 |

Receipt

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

CT CORPORATION SYSTEM
111 8TH AVENUE, 13TH FLOOR
MARIE HAUER
NEW YORK, NY 10011

STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Jon Husted

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

CT CORPORATION SYSTEM

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

Document(s)

Bulk Agent Change

Document No(s):

201710702872

Effective Date: 04/17/2017



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
17th day of April, A.D. 2017.

Jon Husted

Ohio Secretary of State

JON HUSTED
Ohio Secretary of State



180 East Broad Street, 16th Floor
Columbus, OH 43215
(877) 767-6446 | (614) 466-2655
info@OhioSecretaryofState.gov
www.OhioSecretaryofState.gov

The filing with the Document Identification Number of 201710702872 is a Multiple Agent Name and Address Change form filed by CT Corporation System. The filing contains 4,151 pages. Due to the large number of pages, the full filing is not available via the website.

The new Agent's Address is:

CT Corporation System
4400 Easton Commons Way
Suite 125
Columbus, OH 43219

If you would like a copy of the full filing sent to you, please send an email to BUSSERV@OhioSecretaryofState.gov.

Sincerely,

Business Services

Exhibit D-1 “Operations” provide a written description of the operational nature of the applicant’s business. Please include whether the applicant’s operations include the generation of power for retail sales, the scheduling of retail power for transmission and delivery, the provision of retail ancillary services as well as other services used to arrange for the purchase and delivery of electricity to retail customers.

Response:

Energy Plus partners with Energy Services Group (“ESG”) to provide EDI and CIS support for the company's operations in the Ohio retail electric market. 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).

Energy Plus leverages the operational resources of its parent NRG Energy, Inc. as well as the company's in-house commercial operations and information technology groups to manage the systems, business processes, interfaces, required data inputs and reporting necessary to forecast, schedule and settle loads in PJM.

Energy Plus 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 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). 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).

Response: Energy Plus Holdings 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-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: Energy Plus Holdings 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-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

Energy Plus Holdings, LLC has met the Electric 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



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: IR-2790 & IR-2345 Natural Gas: IR-3752 | Electric: IR-2445 Natural Gas: IR-2446 |
| MA | Electric: CS-072 | | | Electric: CS-081 Natural Gas: RA-154 | Electric: CS-083 | Electric: CS-088 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 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: Energy Plus Holdings 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 Energy Plus Holdings 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+ Regulatory Disclosures | 24-Jul-2020 | 16-Nov-2020 | EE | Stable | 24-Jul-2020 |
| Foreign Currency LT | BB+ Regulatory Disclosures | 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

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Results 1 - 50 Of 115

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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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30-MDYS (1-866-330-6397)

FROM OUTSIDE THE UNITED STATES:
T Direct Dial Access® code for n.

prompt, dial 866-330-MDYS 397).

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Exhibit C8 - Corporate Structure
Energy Plus Holdings LLC

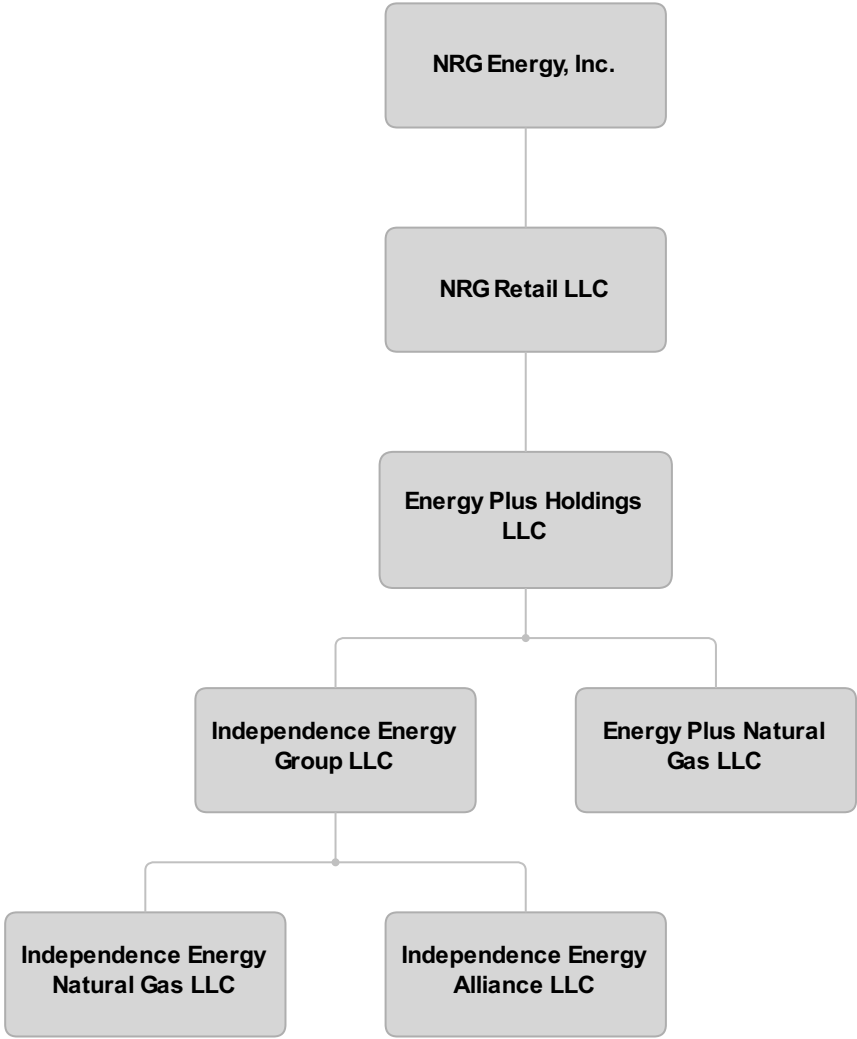


Exhibit D-2 “Operations Expertise and Key Technical Personnel,”

Provide evidence of the applicant’s experience and technical expertise in performing the operations described in this application. Include the names, titles, email addresses, telephone numbers and background of key personnel involved in the operational aspects of the applicant’s business.

Response:

Energy Plus Holdings LLC (“Energy Plus”) 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, Pennsylvania, New Jersey, Maryland, and Ohio, Energy Plus 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. Energy Plus 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

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

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

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

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

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.

Competitive Retail Electric Service Affidavit

County of Philadelphia :


State of Pennsylvania :

Mike Starck, Affiant, being duly sworn/affirmed, hereby states that:

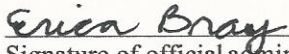
1. The information provided within the certification or certification renewal application and supporting information is complete, true, and accurate to the best knowledge of affiant, and that it will amend its application while it is pending if any substantial changes occur regarding the information provided.
2. The applicant will timely file an annual report of its intrastate gross receipts, gross earnings, and sales of kilowatt-hours of electricity pursuant to Sections [4905.10\(A\)](#), [4911.18\(A\)](#), and [4928.06\(F\)](#), Ohio Revised Code.
3. The applicant will timely pay any assessment made pursuant to Sections [4905.10](#), [4911.18](#), and [4928.06\(F\)](#), Ohio Revised Code.
4. The 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. The 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. The applicant will fully comply with Section [4928.09](#), Ohio Revised Code regarding consent to the jurisdiction of Ohio Courts and the service of process.
7. The applicant will comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
8. The applicant will use its best efforts to verify that any entity with whom it has a contractual relationship to purchase power is in compliance with all applicable licensing requirements of the Federal Energy Regulatory Commission and the Public Utilities Commission of Ohio.
9. The applicant will cooperate fully with the Public Utilities Commission of Ohio, the electric distribution companies, the regional transmission entities, and other electric suppliers in the event of an emergency condition that may jeopardize the safety and reliability of the electric service in accordance with the emergency plans and other procedures as may be determined appropriate by the Commission.
10. If applicable to the service(s) the applicant will provide, it will adhere to the reliability standards of (1) the North American Electric Reliability Council (NERC), (2) the appropriate regional reliability council(s), and (3) the Public Utilities Commission of Ohio.
11. The 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.

12. 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.

13. Affiant further sayeth naught.

 Vice President
Signature of Affiant & Title

Sworn and subscribed before me this 17th day of February, 2021
Month Year


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
Member, Pennsylvania Association of Notaries

My commission expires on 12/24/2023



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

February 5, 2021

Re: NRG Energy, Inc.'s Guarantee of the Obligations of Energy Plus Holdings LLC

To Whom It May Concern:

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

Respectfully Submitted,

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

Mike Starck, Vice President

This foregoing document was electronically filed with the Public Utilities

Commission of Ohio Docketing Information System on

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in

Case No(s). 11-0625-EL-CRS

Summary: In the Matter of the Application of Energy Plus Holdings LLC