

DIS Case Number: 21-0871-EL-GAG

Section A: Application Information

A-1. Applicant's legal name, address, telephone number, and web site address

the applicant's legal name, address, telephone number, and web address.

Legal Name: Christopher Stephen Paul	Country: United States
Phone: 2817991863	Extension (if applicable):
Street: 20627 Orange Poppy Dr	
City: Cypress	Province/State: TX
Postal Code: 77433	
Website (if any): www.simplicityenergysolutions.com	

A-2. Contact person for regulatory matters

Chris Paul
20627 Orange Poppy Dr
Cypress, TX 77433
US
chris@simplicityenergysolutions.com

A-3. Contact person for Commission Staff use in investigating customer complaints

Chris Paul
20627 Orange Poppy Dr
Cypress, TX 77433
US
chris@simplicityenergysolutions.com

A-4. Applicant's address and toll-free number for customer service complaints

Phone: 2817991863	Extension (if applicable):	Country: United States
Fax:	Extension (if applicable):	Street: 20627 Orange Poppy Dr
Email: chris@simplicityenergysolutions.com		City: Cypress
		Province/State: TX
		Postal Code: 77433



B-1. Authorizing ordinance

Provide a copy of the adopted ordinance or resolution that reflects voter authorization to form a governmental aggregation program pursuant to Sections 4929.26 and 4929.27 of the Ohio Revised Code.

File(s) attached.

B-2. Operation and governance plans

Provide a copy of the applicant's plan for operation and governance of its aggregation program adopted pursuant to Sections 4929.26(C) or 4929.27(B) of the Revised Code. The Operation and Governance Plan should include all information pursuant to Rule 4901:1-28-03 of the Ohio Administrative Code.

Files(s) attached.

B-3. Opt-out disclosure notice

If the aggregation program provides for automatic aggregation in accordance with Section 4929.26(A) of the Revised Code, provide a copy of the disclosure notification required by Section 4929.26(D) of the Revised Code.

File(s) uploaded

B-4. Experience and Plans

Provide a description of 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.). Also provide 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 Section 4928.10 of the Revised Code.

Application Experience and Plan Description: SIMPLICITY is the energy procurement consulting firm specializing in growing the bottom-line by reducing costs, mitigating risk, and protect market exposure. We are proud to offer data-driven proven results. Our solutions provide unparalleled service and value to residential, commercial and industrial, property management,



**Public Utilities
Commission**

and solar customers in most deregulated markets throughout North America. We execute our vision through the highest standards for service, innovation, honesty, and integrity.

Application Attachments

POWER BROKER REGISTRATION INITIAL APPLICATION
Ohio Power Company d/b/a AEP Ohio

Application for Competitive Retail Electric Service Provider (CRES) registration ONLY as a certified Power Broker in AEP Ohio (the "Company") rate jurisdictions: Columbus Southern Power and Ohio Power. The Applicant shall email this completed and signed application and accompanying financial information to:

cresregistration@aep.com

The Applicant will not be registered as a Power Broker in AEP Ohio's service territory until (i) the Applicant's FULLY COMPLETED application is approved, (ii) an AEP Ohio applicable agreement is executed, and (iii) all other registration requirements are completed. A non-refundable registration fee of \$100.00 will be assessed when this application and subsequent renewal applications are received. This is NOT an application to be an Energy Service Provider, Billing Agent, Meter Service Provider, Meter Data Management Agent or Governmental Aggregator. Applicant must reapply on an annual basis and update the application information.

1. Applicant

Power Broker Name (Legal Name) _____
State of Incorporation _____ Years in Business _____
Federal Tax ID _____ D&B Duns # _____
Trade Name(s) (if different from Legal Name _____
Include Ohio trade name filing(s)) _____
Ohio Registered Agent for Service of Process _____

Entity Type _____
____ Corporation - Public
____ Corporation - Private
____ Partnership (attach list of partners, general and limited)
____ Limited Liability Company
____ Other (Please indicate type below) _____

Internet Web Site Domain _____

Parent Company Information:

Parent Company Legal Name _____ State of Incorporation _____
Internet Web Site Domain _____

Applicant Primary Contact:

First and Last Name _____
Title _____
Address _____
City, State, Zip Code _____
E-mail Address _____
Telephone _____

POWER BROKER REGISTRATION INITIAL APPLICATION
for Broker Services in AEP Ohio Territory

2. Power Broker Information

Customer Class(es) broker _____ Residential
will provide brokerage services. _____ Mercantile
(Mark all that apply.) _____ Commercial
_____ Industrial

FOR OHIO POWER COMPANY POWER BROKER SERVICES
Maximum anticipated
Peak Summer Load (Estimate required) _____ (In MW)

Maximum anticipated Number
of Customers to be _____ Residential _____ Mercantile
provided broker services by Class _____ Commercial _____ Industrial
in first year

Please confirm Applicant's dispute resolution process for customer complaints and attach document _____

Applicant's PUCO Certification Application Case Number _____ PUCO Certificate Number _____

3. Credit Information

Credit or Financial Contact Person
First and Last Name _____
Title _____
Address _____
City, State, Zip Code _____
E-mail Address _____
Telephone _____

4. Bank Reference

Bank Name: _____ Account Officer: _____
Address: _____ Account No.: _____
City, State, Zip _____

5. Financial And Credit Requirements

AEP Ohio will assess the financial risks to determine the appropriate collateral required, if any.

Collateral may be reassessed at any time based on a change in financial risks.

Please refer to the Company's Retail Tariff for additional information.

Provide the following information for the applicant or its guarantor (if applicable):

a) Three most recent years of audited financial statements (balance sheet, income statement, and cash flow statement) or SEC Form 10-K. 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

POWER BROKER REGISTRATION INITIAL APPLICATION

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returns (with social security numbers and account numbers redacted). If this is applicant's first year in business then the applicant can provide two years of forecasted financial statements (balance sheet, income statement, and cash flow statement), along with a list of assumptions, and the name, address, email address, and telephone number of the preparer. The forecast should be in an annualized format for the two years succeeding the Application year.

b) Most recent quarterly unaudited financial statements or monthly financial information (including a balance sheet, income statement, and cash flow statement) accompanied by an attestation by Applicant's Chief Financial Officer that the information submitted is true, correct and a fair representation of Applicant's financial condition or most recent SEC Form 10-Q.

c) Senior Unsecured Debt Rating Moody's _____ S&P _____
(or, if unavailable, Corporate Fitch _____
Issuer Rating) (Insert "N/R" if not rated)

d) Parent's Senior Unsecured Debt Rating Moody's _____ S&P _____
(or, if unavailable, Corporate Fitch _____
Issuer Rating) (Insert "N/R" if not rated)

e) Provide a description of the applicant's corporate structure, not an internal organizational chart, including a graphical depiction of such structure, and a list of all affiliate and subsidiary companies that supply retail or wholesale electricity to customers in North America. If the applicant is a stand-alone entity, then no graphical depiction is required and applicant may respond by stating that they are a stand-alone entity with no affiliate or subsidiary companies.

6. Representations

Applicant

Affiliates

Is the Applicant and/or its affiliates

Yes

No

Yes

No

a) Operating under federal bankruptcy laws?

b) Subject to pending litigation or regulatory proceedings in state or federal courts and/or agencies which could impact Applicant and/or Applicant's affiliates?

c) Subject to lawsuits or outstanding judgments?

Provide information for any items above marked "Yes".

Disclose all prior bankruptcies of Applicant and its affiliates

POWER BROKER REGISTRATION INITIAL APPLICATION

for Broker Services in AEP Ohio Territory

7. Financial Security Arrangements

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- a) a guarantee of payment on behalf of the applicant from a related U.S. entity who meets the minimum investment grade rating requirements in the Company's prescribed guaranty format; or
- b) an irrevocable Letter of Credit in the Company's prescribed format from a Bank with a minimum "A-" senior unsecured debt rating (or, if unavailable, corporate issuer rating) from S&P or a minimum "A3" senior unsecured debt rating (or, if unavailable, corporate issuer rating) from Moody's, valid for a period of not less than one year and renewable annually; or
- c) a cash deposit from the applicant in U.S. Dollars, provided, further if a third party is providing such cash deposit for and on behalf of the applicant, the Company may accept such deposit from a third party if it otherwise meets AEP Ohio's security requirements.

8. Customer Service Information

Customer Service Supervisor Name

Address

City, State, Zip Code

Direct Dial Phone Number

E-Mail Address

9. Certification, Authorization, and Signature:

Applicant certifies that it will notify AEP Ohio's Customer Choice Operations, at the above address, if any material, financial, or credit application information changes.

Applicant certifies that the information herein is complete and accurate to the best of Applicant's knowledge, information and belief, and that the individual signing below is an authorized representative of the Applicant. Applicant further certifies that Letters of Authorization (LOA) will be obtained from customers and Applicant will retain and submit LOA's to the Company upon request. Applicant further certifies that it will not act as an Energy Service Provider, Billing Agent, Meter Service Provider, Meter Data Management Agent or Governmental Aggregator under or in connection this Power Broker only application.

Applicant hereby authorizes the Company to obtain any information that may be required relative to this Application from any source, including Applicant's financial and trade references. Applicant also hereby authorizes each source to provide such information.

Legal Name of Applicant

Signature of Authorized
Representative:

Name: (Please Print)

Title:

Date:

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Entity Type _____ Corporation - Public
_____ Corporation - Private
_____ Partnership (attach list of partners, general and limited)
_____ Limited Liability Company
_____ Other (Please indicate type below) _____

Internet Web Site Domain _____

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Peak Summer Load (Estimate required) _____ (In MW)

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c) Senior Unsecured Debt Rating
(or, if unavailable, Corporate
Issuer Rating) (Insert "N/R" if not rated)

Moody's	_____	S&P	_____
Fitch	_____		

d) Parent's Senior Unsecured Debt
Rating (or, if unavailable, Corporate
Issuer Rating) (Insert "N/R" if not rated)

Moody's	_____	S&P	_____
Fitch	_____		

e) Provide a description of the applicant's corporate structure, not an internal organizational chart, including a graphical depiction of such structure, and a list of all affiliate and subsidiary companies that supply retail or wholesale electricity to customers in North America. If the applicant is a stand-alone entity, then no graphical depiction is required and applicant may respond by stating that they are a stand-alone entity with no affiliate or subsidiary companies.

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Applicant

Affiliates

Is the Applicant and/or its affiliates

Yes

No

Yes

No

a) Operating under federal bankruptcy laws?

b) Subject to pending litigation or regulatory proceedings in state or federal courts and/or agencies which could impact Applicant and/or Applicant's affiliates?

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Customer Service Supervisor Name

Address

City, State, Zip Code

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E-Mail Address

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State of Incorporation _____ Years in Business _____
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Ohio Registered Agent for Service of Process _____

Entity Type _____ Corporation - Public
_____ Corporation - Private
_____ Partnership (attach list of partners, general and limited)
_____ Limited Liability Company
_____ Other (Please indicate type below) _____

Internet Web Site Domain _____

Parent Company Information:

Parent Company Legal Name _____ State of Incorporation _____
Internet Web Site Domain _____

Applicant Primary Contact:

First and Last Name _____
Title _____
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E-mail Address _____
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2. Power Broker Information

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will provide brokerage services. _____ Mercantile
(Mark all that apply.) _____ Commercial
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FOR OHIO POWER COMPANY POWER BROKER SERVICES
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Peak Summer Load (Estimate required) _____ (In MW)

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(or, if unavailable, Corporate Fitch _____
Issuer Rating) (Insert "N/R" if not rated)

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Applicant

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Is the Applicant and/or its affiliates

Yes

No

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b) Subject to pending litigation or regulatory proceedings in state or federal courts and/or agencies which could impact Applicant and/or Applicant's affiliates?

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- c) a cash deposit from the applicant in U.S. Dollars, provided, further if a third party is providing such cash deposit for and on behalf of the applicant, the Company may accept such deposit from a third party if it otherwise meets AEP Ohio's security requirements.

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Signature of Authorized
Representative:

Name: (Please Print)

Title:

Date:

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1. Applicant

Power Broker Name (Legal Name) Simplicity Energy Solutions LLC
 State of Incorporation Texas Years in Business 5
 Federal Tax ID 84-4354548 D&B Duns # 09-022-6022
 Trade Name(s) (if different from Legal Name) _____
 Include Ohio trade name filing(s) _____
 Ohio Registered Agent for Service of Process energy broker

Entity Type

- ☐ Corporation - Public
☐ Corporation - Private
☐ Partnership (attach list of partners, general and limited)
☒ Limited Liability Company
☐ Other (Please indicate type below)

Internet Web Site Domain www.simplicityenergysolutions.com

Parent Company Information:

Parent Company Legal Name SIMPLICITY Energy Solutions State of Incorporation TX
 Internet Web Site Domain www.simplicityenergysolutions.com

Applicant Primary Contact:

First and Last Name Chris Paul
 Title Founder, CEO
 Address 20627 Orange Poppy Drive
 City, State, Zip Code Cypress, Texas 77433
 E-mail Address chris@simplicityenergysolutions.com
 Telephone 281-799-1863

POWER BROKER REGISTRATION INITIAL APPLICATION

for Broker Services in AEP Ohio Territory

2. Power Broker Information

Customer Class(es) broker
will provide brokerage services.
(Mark all that apply.)

☒ Residential
☒ Mercantile
☒ Commercial
☒ Industrial

FOR OHIO POWER COMPANY POWER BROKER SERVICES

Maximum anticipated

Peak Summer Load (Estimate required) 5 (In MW)

Maximum anticipated Number
of Customers to be
provided broker services by Class
in first year

50 Residential 10 Mercantile
10 Commercial 10 Industrial

Please confirm Applicant's dispute resolution process for customer complaints and attach document

☐

Applicant's PUCO Certification Application Case Number
n/a

PUCO Certificate Number
n/a

3. Credit Information

Credit or Financial Contact Person

First and Last Name

-

Title

-

Address

-

City, State, Zip Code

-

E-mail Address

-

Telephone

-

4. Bank Reference

Bank Name:

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	Applicant		Affiliates	
Is the Applicant and/or its affiliates	Yes	No	Yes	No
a) Operating under federal bankruptcy laws?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
b) Subject to pending litigation or regulatory proceedings in state or federal courts and/or agencies which could impact Applicant and/or Applicant's affiliates?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
c) Subject to lawsuits or outstanding judgments?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>

Provide information for any items above marked "Yes".

Disclose all prior bankruptcies of Applicant and its affiliates

POWER BROKER REGISTRATION INITIAL APPLICATION

for Broker Services in AEP Ohio Territory

7. Financial Security Arrangements

When applicable, if the Applicant does not provide the Company with adequate evidence of creditworthiness, the Applicant must provide and maintain, in a form and/or amount acceptable to the Company, one of the following as financial security:

- a) a guarantee of payment on behalf of the applicant from a related U.S. entity who meets the minimum investment grade rating requirements in the Company's prescribed guaranty format; or
- b) an irrevocable Letter of Credit in the Company's prescribed format from a Bank with a minimum "A-" senior unsecured debt rating (or, if unavailable, corporate issuer rating) from S&P or a minimum "A3" senior unsecured debt rating (or, if unavailable, corporate issuer rating) from Moody's, valid for a period of not less than one year and renewable annually; or
- c) a cash deposit from the applicant in U.S. Dollars, provided, further if a third party is providing such cash deposit for and on behalf of the applicant, the Company may accept such deposit from a third party if it otherwise meets AEP Ohio's security requirements.

8. Customer Service Information

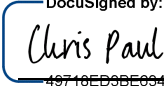
Customer Service Supervisor Name	<u>Chris Paul</u>
Address	<u>20627 Orange Poppy Drive</u>
City, State, Zip Code	<u>Cypres, Texas 77433</u>
Direct Dial Phone Number	<u>281-799-1863</u>
E-Mail Address	<u>chris@simplicityenergysolutions.com</u>

9. Certification, Authorization, and Signature:

Applicant certifies that it will notify AEP Ohio's Customer Choice Operations, at the above address, if any material, financial, or credit application information changes.

Applicant certifies that the information herein is complete and accurate to the best of Applicant's knowledge, information and belief, and that the individual signing below is an authorized representative of the Applicant. Applicant further certifies that Letters of Authorization (LOA) will be obtained from customers and Applicant will retain and submit LOA's to the Company upon request. Applicant further certifies that it will not act as an Energy Service Provider, Billing Agent, Meter Service Provider, Meter Data Management Agent or Governmental Aggregator under or in connection this Power Broker only application.

Applicant hereby authorizes the Company to obtain any information that may be required relative to this Application from any source, including Applicant's financial and trade references. Applicant also hereby authorizes each source to provide such information.

Legal Name of Applicant	<u>Christopher Stephen Paul</u>
Signature of Authorized Representative:	<div>DocuSigned by:  49716ED3DE034F4...</div>
Name: (Please Print)	<u>Chris Paul</u>
Title:	<u>Founder, CEO</u>
Date:	<u>08/08/2021</u>

This foregoing document was electronically filed with the Public Utilities

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in

Case No(s). 21-0871-EL-GAG

Summary: In the Matter of the Application of Simplicity Energy Solutions