



Instructions for Competitive Retail Electric Service (CRES) Providers

- I. **Where to file:** Applications can be completed and submitted via the [PUCO Community](#). Paper applications, an original plus two copies, can be mailed to: Public Utilities Commission of Ohio, Docketing Division, 180 East Broad Street, Columbus Ohio 43215-3793.
- II. **Case Number:** If Applicant is applying for any combination of broker and/or aggregator, the application must be filed with an "AGG" purpose code. If the application includes marketer and/or retail electric generation provider, then the purpose code must be "CRS".
- III. **Renewal applications:** A certificate is valid for two years from the date of issuance. An application for renewal should be filed in the Applicant's existing case number 30-90 days prior to the expiration date printed on the certificate.
- IV. **Confidentiality:** An applicant may file financial statement, forecasted financial statements, financial arrangements, credit ratings, and credit reports under seal. Confidentiality for other items must be requested in a motion filed in the docket. Motions for protective orders must be filed in accordance with Ohio Administrative Code [4901:1-24](#) and [4901:1-24](#).
- V. **Commission approval process:** The Commission approval process begins when the Commission's Docketing Division receives and time/date stamps the application. An incomplete application may be suspended or rejected. An application that has been suspended an incomplete may cause delay in certification. The Commission may approve, suspend, or deny an application within 30 days. If no action is taken, the application is deemed automatically approved on the 31st day after the official filing date. Upon approval, the Commission will issue a numbered certificate that specifies the service(s) for which the applicant is certified and the dates for which the certificate is valid.
- VI. **Material change:** Providers are required to notify the Commission of any changes to the information provided in its most recent application within thirty days of the change.
- VII. **Governing law:** The certification and renewal of competitive providers is governed by Chapters [4901:1-21](#), [4901:1-24](#), [4901:1-27](#), [4901:1-28](#), and [4901:1-29](#) of the Ohio Administrative Code, and Sections [4928.08](#) and [4929.20](#) of the Ohio Revised Code.
- VIII. **Questions:** Questions regarding the application should be directed to CRES@puco.ohio.gov or CRNGS@puco.ohio.gov.

This page is for informational purposes and should not be filed with the application.



Public Utilities Commission

Competitive Retail Electric Service (CRES) Provider Application

Case Number: 16 - 298 - EL - AGG

Please complete all information. Identify all attachments with a label and title (example: Exhibit C-2 Financial Statements). For paper filing, you can mail the original and two complete copies to the Public Utilities Commission of Ohio, Docketing Division, 180 East Broad Street, Columbus, Ohio 43215-3793.

A. Application Information

A-1. Provider Type.

Select the competitive retail electric service (CRES) provider type(s) for which the applicant is seeking certification. Please note you can select more than one.

Aggregator

☐

Power Broker

☒

Power Marketer

☐

Retail Electric
Generation Provider

☐

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

Provide the name and contact information of the business entity.

Legal Name: Hovey Energy, LLC
Street Address: 4000 N Lincoln Ave, 2nd Fl
City: Chicago State: IL Zip: 60618
Telephone: 773-904-5300 Website: www.hoveyenergy.com

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: Hovey Energy, LLC
Street Address: 4000 N Lincoln Ave, 2nd Fl
City: Chicago State: IL Zip: 60618
Telephone: 773-904-5300 Website: www.hoveyenergy.com

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

Provide all business names the applicant uses in North America. You do not need to include the names provided in A-2 and A-3.

Name(s): _____

A-5. Contact person for regulatory matters.

Name: Megan Castaneda Title: VP of Operations
Street Address: 4000 N Lincoln Ave, 2nd Fl
City: Chicago State: IL Zip: 60618
Telephone: 855-303-1100 Email: mmader@hoveyenergy.com

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

Name: Megan Castaneda Title: VP of Operations
Street Address: 4000 N Lincoln Ave, 2nd Fl
City: Chicago State: IL Zip: 60618
Telephone: 855-303-1100 Email: mmader@hoveyenergy.com

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

Street Address: 4000 N Lincoln Ave, 2nd Fl
City: Chicago State: IL Zip: 60618
Toll-free Telephone: 855-303-1100 Email: mmader@hoveyenergy.com

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

FEIN: 90-0815814

A-9. Applicant's form of ownership (select one).

Sole Proprietorship <input type="checkbox"/>	Limited Liability Partnership (LLP) <input type="checkbox"/>	Corporation <input type="checkbox"/>	Partnership <input type="checkbox"/>
Limited Liability Company (LLC) <input checked="" type="checkbox"/>	Other: _____		

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:

AES Ohio <input checked="" type="checkbox"/>	American Electric Power (AEP Ohio) <input checked="" type="checkbox"/>	Duke Energy Ohio <input checked="" type="checkbox"/>	FirstEnergy – Cleveland Electric Illuminating <input checked="" type="checkbox"/>
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FirstEnergy – Ohio
Edison



FirstEnergy – Toledo
Edison



Class of customer selection:

Commercial



Industrial



Mercantile



Residential



A-11. Start Date.

Indicate the approximate start date the applicant began/will begin offering services.

Date: _____

A-12. Principal officers, directors and partners.

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

A-13. Company history.

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

A-14. Secretary of State.

Provide evidence that the applicant is currently registered with the Ohio Secretary of State.

B. Managerial Capability

Provide a response or attachment for each of the sections below.

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.

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.

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.

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? If yes, attach a document detailing the information.

Yes

☐

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? If yes, attach a document detailing the information.

Yes

☐

No

☒**B-6. Environmental disclosure.**

This section is only applicable if power marketer or retail electric generation provider has been selected in A-1.

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.

C. Financial Capability

Provide a response or attachment for each of the sections below.

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.

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.

C-3. Forecasted financial statements.

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

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

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

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

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".

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.

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? If yes, attach a document detailing the information.

Applicant

Parent company of the applicant

Affiliate company that guarantees the financial obligations of the applicant

Any owner or officer of the applicant

Yes

☐

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? If yes, attach a document detailing the information.

Yes

☐

No

☒

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.

C-9. Financial arrangements.

This section is only applicable if power marketer or retail electric generation provider has been selected in A-1.

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

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

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

1. The applicant itself states that it is investment grade rated by Moody's Investors Service, Standard & Poor's Financial Services, or Fitch Ratings and provides evidence of rating from the rating agencies. If you provided a credit rating in C-4, reference the credit rating in the statement.

2. The applicant's parent company is investment grade rated (by Moody's, Standard & Poor's, or Fitch) and guarantees the financial obligations of the applicant to the LDU(s). Provide a copy of the most recent credit opinion from Moody's, Standard & Poor's or Fitch.
3. The applicant's parent company is not investment grade rated by Moody's, Standard & Poor's or Fitch but has substantial financial wherewithal in the opinion of the Staff reviewer to guarantee the financial obligations of the applicant to the LDU(s). The parent company's financials and a copy of the parental guarantee must be included in the application if the applicant is relying on this option.
4. The applicant can provide evidence of posting a letter of credit with the LDU(s) listed as the beneficiary, in an amount sufficient to satisfy the collateral requirements of the LDU(s).

D. Technical Capability

Provide an attachment for each of the sections below.

D-1. Operations.

Power brokers/aggregators: Include details of the applicant's business operations and plans for arranging and/or aggregating for the supply 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.

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, e-mail addresses, telephone numbers and background of key personnel involved in the operational aspects of the applicant's business. If vendors or third parties are or will be utilized for any activities listed in this application, provide the name, contact information for each, and list which activities they will perform. Also, indicate which activities will be performed directly by the company. Please note that this information is required to be updated within 30 days of any changes.

D-3. FERC power marketer authorization.

This section is only applicable if power marketer or retail electric generation provider has been selected in A-1.

Provide the FERC docket granting the applicant power marketer authority.

As authorized representative for the above company/organization, I certify that all the information contained in this application is true, accurate and complete. I also understand that failure to report completely and accurately may result in penalties or other legal actions.

Signature

Date

President/CEO

Title

Competitive Retail Electric Service Affidavit

County of Cook :

State of Illinois :

Robert Hovey, 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.

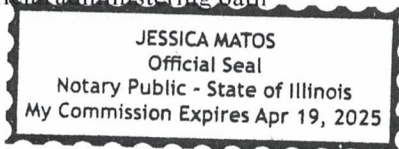
12. The facts set forth above are true and accurate to the best of his/her knowledge, information, and belief and that he/she expects said applicant to be able to prove the same at any hearing hereof.
13. Affiant further sayeth naught.

[Signature] Pres/CEO 2/3/22
Signature of Affiant & Title

Sworn and subscribed before me this 3 day of Jan., 2022
Month Year

[Signature]
Signature of official administering oath

Jessica Matos / AB
Print Name and Title



My commission expires on 04/19/2025

ITEM A-12. Principal officers, directors and partners:

Name	Title
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Robert Hovey President/CEO

.....

ITEM A-13. Company history:

Concise description of the applicant's company history and principal business interests.

EXHIBIT A-13

Company History

Hovey Energy, LLC was incorporated in March of 2012 and is primarily owned by its holding company, Hovey Enterprises, Inc., which is owned by its President, Robert Hovey. Hovey Energy is a Chicago, Illinois based call center led by an experienced management team, Robert and Melissa Hovey. Hovey Energy, LLC was inspired by electricity and natural gas deregulation and the President and CEO, Robert Hovey's desire to be a part of helping people control the cost of their energy consumption. Robert sought out to add to his successful career of managing call centers by creating Hovey Energy and reaching as many consumers as possible to give them the power to choose an alternative energy solution. Over 2 years of planning, networking, and gaining experience with top energy experts in the business were a critical component in the development of this company. Robert's call center experience, leadership, ethics, and customer service skills are a perfect match for this industry.

Hovey Energy, LLC opened its doors on August 6th, 2012 with nine employees, including Melissa Hovey as its VP of Business Operations and Marketing. Melissa's corporate experience at the executive management level has allowed her to successfully oversee an administration department for Hovey Energy in charge of processing customer information for the supplier, human resource functions, quality assurance, IT management and database control. With Robert managing all sales aspects of the business and Melissa managing the administration department, it has proven to be a winning combination for the company.

Each agent, or energy expert, is screened to ensure the utmost professionalism. There is a thorough orientation and training process that includes, deregulation education, telemarketing and regulatory requirements, presentation roleplaying, and advanced customer service training. Each phone call is recorded, randomly monitored and reviewed with our agents for quality assurance and a better customer experience.

To date, Hovey Energy has been focused on small and medium sized businesses on behalf of only one supplier, but would like to expand its abilities by calling for multiple suppliers. In its short, eight month history, Hovey Energy has processed over 1500 electricity enrollments and over 80 million kilowatt hours. Hovey Energy started with a capital contribution from its President that is being repaid over time after expenses. The existing business model is steadily paying for itself already. The company's immediate plan is to steadily double in size over the next two years. As our organization expands, we plan on hiring additional administrative staff to assist with processing enrollments, ensure quality assurance, and a full time IT director. Although our company is young, there are no individuals more committed and driven to success as we are. Our vision is to become the leader in this industry and an example to all other marketing companies.

ITEM A-14. Secretary of State:

Evidence that the applicant is currently registered with the Ohio Secretary of State.



DATE:	DOCUMENT ID	DESCRIPTION	FILING	EXPED	PENALTY	CERT	COPY
05/06/2013	201312301531	REG. OF FOR. PROFIT LIM. LIAB. CO. (LFP)	125.00	100.00		.00	.00

Receipt

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

HOVEY ENERGY, LLC
4000 N. LINCOLN AVE.
2ND FL
CHICAGO, IL 60618

STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Jon Husted

2196618

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

HOVEY ENERGY, LLC

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

Document(s)

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

Document No(s):

201312301531

Effective Date: 05/03/2013



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 6th day of May, A.D.
2013.

Ohio Secretary of State



Form 533B Prescribed by:
Ohio Secretary of State

JON HUSTED
Ohio Secretary of State

Central Ohio: (614) 466-3910
Toll Free: (877) SOS-FILE (767-3453)
www.OhioSecretaryofState.gov
Busserv@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

Registration of a Foreign Limited Liability Company

Filing Fee: \$125

CHECK ONLY ONE (1) BOX

(1) ☒ Registration of a Foreign For-Profit Limited
Liability Company
(106-LFA)
ORC 1705

Jurisdiction of Formation

Date of Formation

(2) ☐ Registration of a Foreign Nonprofit
Limited Liability Company
(106-LFA)
ORC 1705

Jurisdiction of Formation

Date of Formation

Name of Limited Liability Company in its jurisdiction of formation

Name under which the foreign limited liability company desires to transact business in Ohio (if different from its name in its jurisdiction of formation) is:

Name must include one of the following words or abbreviations: "limited liability company," "limited," "LLC," "L.L.C.," "Ltd.," or "Ltd"

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:

Name

Mailing Address

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

William Sweress

Name

11470 Euclid Ave. Suite #614

Mailing Address

Cleveland

City

Ohio

State

44106-3926

ZIP Code

☒ If the agent is an individual and using a P.O. Box, check this box to confirm that the agent is an Ohio resident.

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.

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

Must be signed by an authorized representative.

Signature

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

By (if applicable)

Robert E. Hovey, Jr.

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.

Signature

By (if applicable)

Print Name

Signature

By (if applicable)

Print Name

ITEM 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 of retail/wholesale electric service as of the date of filing the application.

CT, DC, DE, IL, MA, MD, ME, NH, NJ, OH, PA, RI

ITEM 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.

EXHIBIT B-2

Experience & Plans

Hovey Energy is a telemarketing company that has experience enrolling over 1500 customers in the energy sector and successfully processing over 80 million kilowatt hours. Once a customer decides to enroll, the terms and conditions are explained by our agent and any questions are answered. Then, the customer is transferred to a third party verification company contracted by the supplier. All calls are recorded. The third party company verifies the customer's information and the customer's agreement of the enrollment, including early termination fees, how the billing will appear, the right to rescind without penalty, and a toll free number to call. If the customer does not understand, or clearly agree with the terms of service, the verification is terminated. Hovey Energy's agent answers any further questions for the customer before attempting to re-verify the enrollment. Each verification recording is kept on file by Hovey Energy and the supplier. After the recorded verification is completed, a confirmation code is generated. Lastly, a faxed copy of the customer's bill is faxed or emailed to us and forwarded to the supplier's processing department to confirm the data.

After the call is completed, Hovey Energy enters the customer's information into an online portal system or fills out an "Order Submission Form" with the customer's information and sends each day's submissions to the supplier for processing the enrollment. Once the information has been sent to the supplier, Hovey Energy has completed its primary role. The supplier sends the customer a "Welcome Packet" with the "Terms of Service" containing the rescission period, any early termination fees, and a toll-free number to call in accordance with Commission rules adopted pursuant to Section 4928.10 of the Revised Code. The supplier handles all further correspondence, including customer service inquiries, complaints, cancellations and all billing with the customer. If the customer wishes to speak to the sales agent directly, the customer is also given an additional phone number to call back.

There is no monetary transaction or contract with Hovey Energy that takes place. Hovey Energy simply procures the enrollment on behalf of the supplier and transmits all the data to the supplier for processing the enrollment. From that point on, all correspondence and further communication with the customer occurs directly with the supplier's corporate office. Our company tracks each customer's enrollment for our records and the customer's approximate contract expiration date for renewals.

Hovey Energy plans on marketing in Ohio for more than one supplier in order to provide customers with the widest variety of suppliers and programs available to best suit the customer's needs. Hovey Energy has increased in size from 9 to 18 employees and plans on growing to 30 by mid-2014. We anticipate enrolling an additional 160 million kilowatt hours and 3000 new customers. We plan on 50% of this business occurring in Ohio and estimate 80 million kilowatt hours with 1500 new customers over the next 18-24 months.

ITEM 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.

N/A

ITEM 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, 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.

NOTE: This is not required for private companies.

N/A

ITEM C-2. Financial statements:

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, provided 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 requirements for two years of financial statements, the Staff reviewer may request additional financial information.

ITEM 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 generated 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 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 these periods.

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

ITEM C-4. Credit rating:

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 Rating 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 parent does not have such a credit rating, enter "Not Rated".

N/A

ITEM C-5. Credit report:

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.

ITEM C-8. Corporate structure:

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.

Hovey Energy,
LLC

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graph TD; A[Hovey Energy, LLC] --- B[Robert Hovey (0.05% Owner)]; A --- C[Hovey Enterprises, Inc. (99.95%)]
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Robert Hovey
(0.05% Owner)

Hovey
Enterprises, Inc.
(99.95%)

Exhibit D-1 "Operations"

Hovey Energy LLC is a call center that represents energy suppliers in order to market their services to small and medium size commercial and residential customers.

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

Melissa P. Hovey

3422 N. Claremont, Chicago, Illinois 60618
773-904-5301 mhovey@hoveyenergy.com

Executive Profile

An accomplished, dynamic, senior-level business executive with over 15 years in marketing and strategy development and implementation, business operations, relationship management and business development. I am an effective leader and manager in our personally owned and managed mid-size business as well as in large agency management. Versed in all areas of business technology and operations, marketing strategy and tactics as well as client development, I am skilled in leading and managing existing as well as new business. I have an ability to cultivate, lead, and advance relationships with suppliers and new business channels, to facilitate strategic partnerships, develop affinity programs and co-branding opportunities, to grow exposure, awareness and revenue. I excel in developing new and dynamic ways to approach things and work equally well in the boardroom, on the sales floor or in the back office.

Skill Highlights

- Develop and grow successful relationships with senior level clients over multi-year relationships
- Prepare and lead presentations and proposals for effective marketing and sales programs
- P&L, budget and revenue forecasting
- Gather and analyses effective metrics for telemarketing campaigns
- Able to develop strategy as well as operational plans to achieve goals
- Experienced in using new media and digital tactics to communicate
- Equal parts left and right brain thinker able to visualize the big picture as well as the details
- Persuasive presenter and negotiator

Core Accomplishments

- Planned and opened Hovey Energy, LLC in summer 2012 and grew company size 500% in 10 months.
- Automated strategic company operations for agent and back office data entry to facilitate company growth and quality control simultaneously.
- Grew revenue for marketing agency by 25-50% per year for multiple blue chip clients including L'Oreal USA, Burger King, Kmart/Sears.
- Created new selling/marketing platforms for experiential marketing clients resulting in award-winning programs in 2008, 2009 and 2010.

Professional Experience

-Owner, Hovey Energy, LLC -Chicago, IL

June 2012- present

Hovey Energy, LLC is a mid-size telemarketing company specialized in the energy field. Using state of the art internet telephony, Hovey Energy executes successful energy campaigns to small and medium size commercial businesses.

-SVP, Partner, Client Service, Legacy Marketing Partners- Chicago, IL

January 2004 to May 2012

A top experiential marketing agency in Chicago and ranked in the top 100 agencies nationally. I was an integral member of the senior executive team responsible for all major decisions affecting agency growth and staff, and responsible for growing agency from a small boutique to a top ranked mid-size exp

-VP, Account Director, Drafftcb (formerly DraftWorldwide) – Chicago, IL

April 2001 to December 2004

A leading agency in the traditional promotional and digital disciplines and pioneer of the holding company model to house multiple agencies under one entity.

-Account Director, Senior Account Supervisor, KBA Marketing – Chicago, IL

April 1998 to March 2001

A marketing agency specializing in brand advocacy and trend influence marketing.

-General Manager, Operations, Shelter – Chicago, Illinois

June 1994 to March 1998

A leading nationally known nightspot to the most relevant and dynamic entertainment and live music in the city of Chicago. As general manager of operations responsible for all business operations, cash management, and staff management.

-Principal, Melissa Anderson & Associates – Chicago, IL

June 1989 to June 1994

Special event production for local non-profits Open Hand Chicago and local chapter of Art Against Aides, produced art auctions and events at local nightclubs and restaurants, developed corporate art program for Lettuce Entertain You and other Chicago restaurant chains.

-Marketing Specialist, Lettuce Entertain You Enterprises – Chicago, IL

May 1986 to June 1989

A nationally known restaurant group with over 50 local concept and fine dining restaurants. Responsible for developing food and beverage costs for all restaurants and management of proprietary software program for food and beverage cost analysis. Developed and managed the corporate art program for individual restaurant and corporate office acquisitions.

Education

University of Illinois at Chicago 1986

Chicago, Illinois, USA

Business Administration and Marketing

Bachelor of Science Degree

Director, College of Business Alumnae Association, 1986-1988

Served on the University of Illinois College of Business Administration Alumnae Association Board to pioneer new mentor and business programming for alumnae and students.

Non-Profit Experience

Willow Creek Chicago Advisory Council for Pastor Jon Klinepeter, existing to advise the pastor on all strategy, positioning and communication elements for Willow Creek Chicago Campus.

Volunteer leadership position on numerous Breakthrough Ministries programs and projects such as developing initial marketing materials for the Dream Big Capital Campaign, volunteer in the Breakthrough Runners Program (2 years), volunteer mentor and adult chaperone for 1st annual South Africa trip program STRIDES, pioneered Breakthrough's first AA meeting, Women's facility crafts night, Men's and Women's meal serving, created 'Drink Coffee. Do Good for Breakthrough' fundraising' partnership between Breakthrough and The Land of a Thousand Hills Coffee Company, negotiated coffee partnership for Breakthrough with Willow Chicago, developed 2008 E-Stamp Click Campaign, and Annual Breakthrough Benefit Table Host.

Safe Family since 2010 through Chicago Lydia Home Agency with several placements in our home of children aged 17 months to 4 years.

World Vision sponsor family of 5 children, World Vision Party Host to engage others to become a sponsor family, World Vision National Running Team member for local fundraising efforts.

Additional contributions to the following: International Justice Mission, Children's Memorial Hospital, and Greater Chicago Food Depository.

Robert E. Hovey Jr.

3422 N. Claremont St., Chicago, Illinois, 60618

312-933-8042

rhovey@hoveyenergy.com

Executive Profile

A successful and accomplished call center owner and executive with over 25 years in a variety of inside sales environments. I bring passion, dedication, and immediate financial results to any organization I lead. My bold vision and talent as a top performing closer, trainer, and motivator, sets me apart from all others in the telemarketing industry. I am experienced at managing all aspects of a call center, including supplier relationships, customer service, quality assurance, IT, and legal affairs. I am a well-versed energy broker and have quickly ranked as the undisputed rainmaker. My dynamic leadership, hard work, and ability to get things done with no excuses, all contribute to my uniqueness and success.

- Top performing closer in all owned and managed businesses
- Results driven sales motivator
- Dynamic public speaker and sales trainer
- Consistently received top achievement awards
- Owned and operated three successful call centers since 1998
- Energy and other category experience
- Business entrepreneur mindset

Professional Experience

Hovey Energy, LLC, Chicago, IL

August 2012- present

President and CEO

Hovey Energy is a professional call center dedicated to helping electric and natural gas suppliers increase their revenue and market share by being an instrumental part of their sales and marketing team. We are energy experts in providing the most successful telemarketing campaigns for commercial and residential energy suppliers using state of the art internet telephony and technology.

Rush Hour Events, Chicago, IL

2005-2011

Partner

Staffed event super sale company that provides full service advertising (direct mail, TV, radio) and management of high powered sales events for automotive dealer's nationwide using Rush Hour sales teams. A recognized leader in the automotive super-sale industry.

Chicago Mortgage Acceptance, Chicago, IL

2000-2006

Partner

Chicago Mortgage Acceptance was one of Chicago's largest mortgage companies specifically catering to the residential market from its LaSalle Street location with over 35 loan officers. The company utilized a predictive dialer in its call center to generate leads for loan officers to help customers save money by lowering their interest rate on their current mortgage.

Xtreme Traffic Builders, Inc., Chicago, IL

1998-2005

Partner

Provided direct mail services and staffing for auto dealers and mortgage companies to become the largest provider in the category. Sales were generated using a call center business model with floor managers closing deals for inside reps. In addition to overseeing, recruiting, training, and the overall management of this fast paced, growing organization, Robert holds several copywrites and the patent for many ground breaking promotional devices.

**International Profit & Associates, Buffalo Grove, IL, WXLC Radio, Waukegan, IL,
American Hotel Registry, Northbrook, IL, K&D Products, Corporate Bank Services,
CDS Supply, Las Vegas, NV**

1987-1998

Inside Sales Positions

Top closer in short time span at every company.

Education

Harold Washington College, Chicago, IL 2010

Certified Collections Specialist, Chicago, IL 2005

Radio Marketing Associate Certification, Chicago, IL 1995

National Broadcasting School, Las Vegas, NV 1989

U.S. Marine Corp., 1984

Interests

Avid marathoner, drumming, community volunteering and spending time with family.

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Case No(s). 16-0298-EL-AGG

Summary: Application CRES Provider Renewal electronically filed by Mr. Greg Scheffler on behalf of Hovey Energy, LLC