



DIS Case Number: 20-0086-EL-AGG

## 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 Advisors LLC

**Phone:** 5135430022    **Extension (if applicable):**

**Website (if any):**

**Country:** United States

**Street:** 7192 Paddison Rd

**City:** Cincinnati

**Province/State:** OH

**Postal Code:** 45230

### 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 Advisors	Official Name	7192 Paddison Rd. Cincinnati, OH 45230	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 Advisors	Official Name	7192 Paddison Rd. Cincinnati, OH 45230	Yes	File

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



## Public Utilities Commission

John Deeds  
7192 Paddison Rd  
Cincinnati, OH 45230  
US  
jdeedsjr@gmail.com

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

John Deeds  
7192 Paddison Rd  
Cincinnati, OH 45230  
US  
jdeedsjr@gmail.com

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

<b>Phone:</b> 5135430022	<b>Extension (if applicable):</b>	<b>Country:</b> United States
<b>Fax:</b>	<b>Extension (if applicable):</b>	<b>Street:</b> 7192 Paddison Rd
<b>Email:</b> jdeedsjr@gmail.com		<b>City:</b> Cincinnati
		<b>Province/State:</b> OH
		<b>Postal Code:</b> 45230

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

83-2122408

### **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  
FirstEnergy - Cleveland Electric Illuminating  
FirstEnergy - Ohio Edison  
FirstEnergy - Toledo Edison

AES Ohio  
American Electric Power (AEP)

**Class of customer selection**

Commercial  
Industrial  
Mercantile  
Residential

**A-11. Start date**

Indicate the approximate start date the applicant began/will begin offering services: 07-08-2022

**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
John Deeds	jdeedsjr@gmail.com		7192 Paddison Rd Cincinnati, OH 45230 US

**A-13. Company history**

Energy Advisors received its CRES certificate on February 13, 2020. Energy Advisors began CRES activity in June of 2021 but mistakenly did not renew its certificate in a timely manner. Principal business interests are the minimization of energy costs for its clients.

**A-14. Secretary of State**

Secretary of State Link:

## Section B: Applicant Managerial Capability and Experience

**B-1. Jurisdiction of operations**



## Public Utilities Commission

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..

Jurisdiction of Operation: Energy Advisors received its CRES certificate on February 13, 2020. Energy Advisors began CRES activity in June of 2021 but mistakenly did not renew its certificate in a timely manner. Once (re)certified, Energy Advisors will commence providing CRES services in Ohio again.

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

Describe the applicant's experience in providing the service(s) for which it is applying (e.g., number and type of customers served, utility service areas, amount of load, etc.). Include the plan for contracting with customers, providing contracted services, providing billing statements and responding to customer inquiries and complaints in accordance with Commission rules adopted pursuant to Sections 4928.10 and/or 4929.22 of the Ohio Revised Code.

File(s) attached

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

For the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant, describe all existing, pending or past rulings, judgments, findings, contingent liabilities, revocation of authority, regulatory investigations, judicial actions, or other formal or informal notices of violations, or any other matter related to competitive services in Ohio or equivalent services in another jurisdiction..

File Attached

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

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

**No**

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



## Public Utilities Commission

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?

**Yes**

Description: Energy Advisors failed to file a timely (re)certification for its CRES certification in early 2022. Once aware of the error Energy Advisors began this current process of (re)certification.

## 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.

Does not apply

### 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.

Preferred to file this information confidentially

### **C-3. Forecasted financial statements**

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

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

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

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

Preferred to file confidentially

### **C-4. Credit rating**

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

This does not apply

### **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



## Public Utilities Commission

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.

Preferred to file this information confidentially

### 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?

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.

Stand-alone entity with no affiliate or subsidiary companies

## Section D: Applicant Technical Capacity



**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.

**Operations Description:** Energy Advisors will have broker agreements in place with several electricity suppliers. Energy Advisors will solicit pricing from its suppliers for the benefit of Energy Advisors' clients.

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

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

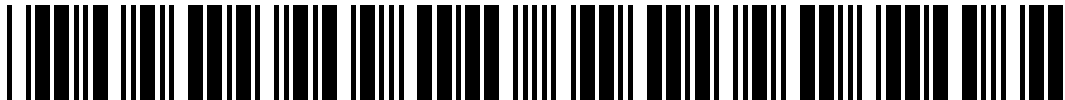
File(s) attached





Public Utilities  
Commission

# Application Attachments



DATE	DOCUMENT ID	DESCRIPTION	FILING	EXPED	CERT	COPY
02/06/2019	201903701076	Conversion Within SOS Records (CVS)	99.00	0.00	0.00	0.00

### Receipt

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

LAW FIRM  
8595 BEECHMONT AVE  
SUITE 202  
CINCINNATI, OH 45255

# STATE OF OHIO CERTIFICATE

**Ohio Secretary of State, Frank LaRose**  
**4238854**

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

**ENERGY ADVISORS, LLC**

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

Document(s)

**Conversion Within SOS Records**

**Effective Date: 02/06/2019**

Document No(s):

**201903701076**

CHANGE BUSINESS TYPE DOM. PROFIT LIM. LIAB. CO.



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 February, A.D. 2019.

**Ohio Secretary of State**

# Energy Advisors LLC

## **Exhibit B-2 "Experience & Plans"**

**The owner of Energy Advisors LLC has 30 years experience in the energy industry including 16 years at Duke Energy and its predecessor companies, partner in an Ohio CRES (broker / aggregator), and Director of an Ohio CRES (marketer / supplier).**

**Energy Advisors LLC plans on brokering electricity transactions to third-party Certified Retail Electric Suppliers in the state of Ohio. As such, Energy Advisors plans on arranging transactions only, never taking title to power. Energy Advisors plans on leveraging the subject matter expertise of its owner in order to minimize the energy spend of its clients. Energy Advisors will handle all customer inquiries and complaints in an expeditious and professional manner. Energy Advisors will ensure that its business practices strictly adhere to and remain in accordance with Ohio Revised Code Section 4928.10.**

**THE PUBLIC UTILITIES COMMISSION OF OHIO**

**IN THE MATTER OF THE COMPLAINT OF  
OHIO POWER COMPANY,**

**COMPLAINANT,**

**CASE NO. 19-872-EL-CSS**

**v.**

**ENERGY ADVISORS, LLC AND JOHN DOES  
1-20,**

**RESPONDENT.**

**ENTRY**

Entered in the Journal on June 5, 2019

**I. SUMMARY**

{¶ 1} The Commission dismisses the complaint pursuant to the motion filed by Ohio Power Company.

**II. DISCUSSION**

{¶ 2} R.C. 4928.08(B) requires an electric services company to be certified by the Commission prior to providing any competitive retail electric service (CRES) to a consumer in Ohio.

{¶ 3} R.C. 4928.16(A)(1) states that, pursuant to R.C. 4905.26, the Commission has jurisdiction over a complaint regarding the provision of any service by an electric services company for which the electric services company is subject to certification under R.C. 4928.09. R.C. 4928.16(A)(2) states that the Commission also has jurisdiction, pursuant to R.C. 4905.26, over a complaint to determine whether an electric services company has violated or failed to comply with any provision of R.C. 4928.01 through 4928.10, regarding the provision for a CRES, or any rule or order adopted under those sections.

{¶ 4} On April 11, 2019, Ohio Power Company (Complainant or AEP Ohio) filed a complaint against Energy Advisors, LLC and John Does 1-20 ( Energy Advisors or Respondents) alleging that Respondents are providing CRES without certification from the Commission. Additionally, AEP Ohio alleges that Energy Advisors and John Does 1-20 are using AEP Ohio's name and logo in their marketing practices. AEP Ohio argues that Respondent's use of AEP Ohio's logo is misleading, deceptive, unconscionable, and constitutes an improper misrepresentation that Energy Advisors is soliciting on behalf of, or is an agent of, AEP Ohio.

{¶ 5} On April 30, 2019, Energy Advisors filed its answer to the complaint, denying many of the allegations contained therein. Energy Advisors contends it does not engage in activities that include arranging for the supply for competitive retail electric generation service to customers in Ohio and denies being legally responsible for the unlawful actions described in AEP Ohio's complaint. Energy Advisors states that it is not certified by the Commission to provide CRES to customers in Ohio and has not provided CRES to customers in Ohio. Energy Advisors denies creating or sending a solicitation to AEP Ohio customers and denies featuring AEP Ohio name and corporate logo in any solicitation. Lastly, Energy Advisors denies representing that it is soliciting on behalf of AEP Ohio by using the Company's logo.

{¶ 6} On May 20, 2019, AEP Ohio filed a notice of dismissal without prejudice. AEP Ohio states that, upon information and belief, Energy Advisors, LLC is not the entity engaging in the practices outlined in the Complaint. Further, AEP Ohio has been unable to locate the appropriate entity to name in its Complaint, despite extensive efforts.

{¶ 7} The Commission finds that AEP Ohio's request to dismiss the complaint is reasonable and should be granted. Accordingly, the complaint should be dismissed without prejudice.

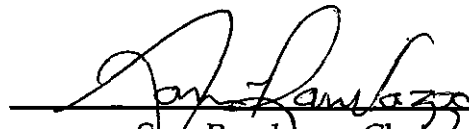
**III. ORDER**

{¶ 8} It is, therefore,


{¶ 9} ORDERED, That AEP Ohio's request to dismiss this case be granted and this matter be dismissed, without prejudice, in accordance with Paragraph 7. It is, further,

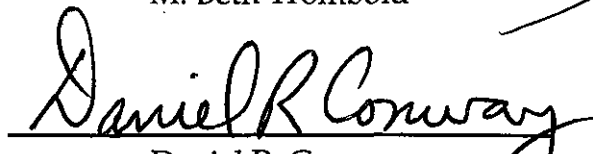
{¶ 10} ORDERED, That a copy of this Entry be served upon all parties of record.

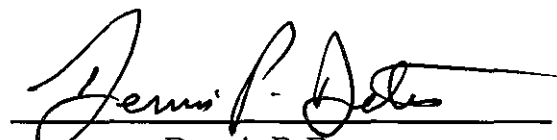
**THE PUBLIC UTILITIES COMMISSION OF OHIO**

  
Sam Randazzo, Chairman

  
M. Beth Trombold

  
Lawrence K. Friedeman

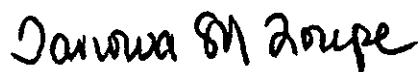
  
Daniel R. Conway

  
Dennis P. Deters

SEC/sc

Entered in the Journal

**JUN - 5 2019**



Tanowa M. Troupe  
Secretary

## Energy Advisors LLC

### **Exhibit D-2 "Operational Expertise and Key Technical Personnel"**

**The owner of Energy Advisors LLC is the key person. He has 30 years experience in the energy industry including 16 years at Duke Energy and its predecessor companies, partner in an Ohio CRES (broker / aggregator), and Director of an Ohio CRES (marketer / supplier).**

**As a Director of Origination at Cinergy / Duke Energy the owner of Energy Advisors structured and marketed wholesale energy contracts to large industrial customers. As a partner in an Ohio CRES (broker / aggregator) the owner of Energy Advisors LLC brokered electric supply transactions to approximately 100 commercial and industrial customers in Ohio. As a Director of an Ohio CRES (marketer / supplier) the owner of Energy Advisors contracted directly with approximately 200 commercial and industrial customers in the state of Ohio located in all Ohio service territories. Peak summer load of that supplier was approximately 100 megawatts.**

**With respect to aggregation services the owner of Energy Advisors LLC has reviewed many governmental aggregation supply opportunities while serving as Director of an Ohio CRES (marketer/ supplier). Although that supplier did not win any governmental aggregations the owner of Energy Advisors LLC has a solid understanding of: governmental aggregations, load aggregated and priced as one, and the regulatory requirements associated with such transactions.**

# **Competitive Retail Electric Service Affidavit**

County of Hamilton :

State of Ohio:

John Deeds, 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.

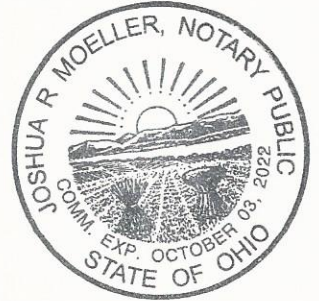
13. Affiant further sayeth naught.

John Deeds Owner  
Signature of Affiant & Title

Sworn and subscribed before me this 07 day of June, 2022  
Month Year

[Signature]  
Signature of official administering oath

Joshua R. Mueller, Notary  
Print Name and Title



My commission expires on 10/03/2022

**This foregoing document was electronically filed with the Public Utilities  
Commission of Ohio Docketing Information System on**

**6/8/2022 4:20:44 PM**

**in**

**Case No(s). 20-0086-EL-AGG**

Summary: In the Matter of the Application of Energy Advisors LLC