Ohio | Public Utilities Commission

DIS Case Number: 11-5886-EL-CRS

Section A: Application Information

A-1. Provider type:

☐ Power Broker ☐ Aggregator ☒ Retail Generation Provider ☒ Power Marketer

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

Legal Name: Verde Energy USA Ohio LLC
Phone: 800-388-3862 **Extension (if applicable):**
Website (if any): www.verdeenergy.com
Country: United States
Street: 12140 Wickchester Ln., Suite 100
City: Houston **Province/State:** TX
Postal Code: 77079

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
Verde Energy USA Ohio, LLC	Official Name	12140 Wickchester Ln., Suite 100 Houston, TX 77079	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
Verde Energy USA Ohio, LLC	Official Name	12140 Wickchester Ln., Suite 100 Houston, TX 77079	Yes	File

A-5. Contact person for regulatory matters

Ohio | Public Utilities Commission

Muriel LeClerc
12140 Wickchester Ln., Suite 100
Houston, TX 77079
US
regulatorymatters@sparkenergy.com
2078904094

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

April Lusk
12140 Wickchester Ln, Ste 100
Houston, TX 77079
US
regulatory@sparkenergy.com
7136002600

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

Phone: 800-388-3862	**Extension (if applicable):**	**Country:** United States
Fax:	**Extension (if applicable):**	**Street:** 12140 Wickchester Ln., Suite 100
Email: customercare@verdeenergy.com		**City:** Houston **Province/State:** TX **Postal Code:** 77079

A-8. Applicant's federal employer identification number

37-1653929

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
Residential

A-11. Start date

Indicate the approximate start date the applicant began/will begin offering services: 05-03-2017

A-12. Principal officers, directors, and partners

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

Name	**Email**	Title	Address
W. Keith Maxwell III	kmaxwell@viarenewables.com	CEO/Chairman	12140 Wickchester Ln., Suite 100 Houston, TX 77079 US
Paul Konikowski	pkonikowski@viarenewables.com	Chief Operating Officer	12140 Wickchester Ln., Suite 100 Houston, TX 77079 US
Mike Barajas	mbarajas@viarenewables.com	Chief Financial Officer	12140 Wickchester Ln., Suite 100 Houston, TX 77079 US

A-13. Company history

Verde Energy USA Ohio, LLC ('Verde OH') was organized as a limited liability company on November 4, 2011 in the State of Delaware. Verde OH is an authorized Competitive Retail Electric Supplier in Ohio, effective March 29, 2012 – License 12-489E, and has been actively serving electric customers since then.

In the first half of 2017, Verde OH began serving natural gas customers with Columbia Gas of Ohio, Dominion Ohio Energy and Duke Energy Ohio.

Prior to July of 2017, Verde OH was a wholly-owned subsidiary of Verde Energy USA Holdings, LLC ('Verde Holdings') and operated pursuant to administrative service agreements with Verde Energy USA, Inc., another wholly-owned of Verde Holdings. Verde OH, Verde Energy USA, Inc. and the other Verde branded companies (other than Verde Holdings) are referred to herein as the 'Verde Companies'.

In July of 2017, Verde OH, along with the other Verde Companies was acquired by Spark Energy, Inc. ('Spark') and its affiliates. Verde is now wholly-owned by Spark Holdco, LLC.

The Verde Companies provide and support competitive retail electricity and natural gas services to customers in eight states: Connecticut, District of Columbia, Illinois, Massachusetts, New Jersey, New York, Ohio, and Pennsylvania behind approximately fifty (50) electrical and natural gas distribution companies. The Verde Companies are headquartered in Houston, Texas and have provided retail electricity and natural gas to both residential and non-residential customers since 2009.

A-14. Secretary of State

Secretary of State Link:

Section B: Applicant Managerial Capability and Experience

B-1. Jurisdiction of operations

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

File Attached

B-2. Experience and plans

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

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 orheld liable for fraud or for violation of any consumer protection or antitrust laws within the past five years?

Yes
File(s) attached

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

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

No

B-6. Environmental disclosures

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

File(s) attached

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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.

Financial Reports Link(s):
https://www.sec.gov/ix?doc=/Archives/edgar/data/1606268/000160626822000008/spke-20211231.htm

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.

Links to Financial Statement(s): Links to Financial Statements:
2020-10-K: https://www.sec.gov/Archives/edgar/data/1606268/000160626821000015/spke-20201231.htm

2021-10-K:
https://www.sec.gov/ix?doc=/Archives/edgar/data/1606268/000160626822000008/spke-20211231.htm

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

File(s) attached

C-6. Bankruptcy information

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

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

No

C-7. Merger information

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

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.

File(s) attached

C-9. Financial arrangements

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

Renewal applicants may provide a current statement from an Ohio local distribution utility (LDU) that shows that the applicant meets the LDU's collateral requirements. The statement or

letter must be on the utility's letterhead and dated within a 30-day period of the date the applicant files its renewal application.

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

1. The applicant itself states that it is investment grade rated by Moody's Investors Service, Standard & Poor's Financial Services, or Fitch Ratings and provides evidence of rating from the rating agencies. If you provided a credit rating in C-4, reference the credit rating in the statement.
2. The applicant's parent company is investment grade rated (by Moody's, Standard & Poor's, or Fitch) and guarantees the financial obligations of the applicant to the LDU(s). Provide a copy of the most recent credit opinion from Moody's, Standard & Poor's or Fitch.
3. The applicant's parent company is not investment grade rated by Moody's, Standard & Poor's or Fitch but has substantial financial wherewithal i**n the opinion of the Staff reviewer** to guarantee the financial obligations of the applicant to the LDU(s). The parent company's financials and a copy of the parental guarantee must be included in the application if the applicant is relying on this option.
4. The applicant can provide evidence of posting a letter of credit with the LDU(s) listed as the beneficiary, in an amount sufficient to satisfy the collateral requirements of the LDU(s).

File(s) attached

Section D: Applicant Technical Capacity

D-1. Operations

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

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

File(s) attached

D-2. Operations Expertise & Key Technical Personnel

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

File(s) attached

D-3. FERC Power Marketer and License Number

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

C002168 Verde Energy USA Inc. 09-1423-001
C003119 Verde Energy USA New York, LLC 12-2071-002
C002512 Verde Energy USA Trading, LLC 11-4041-001

Ohio | Public Utilities Commission

Application Attachments

Licenses

State	Entity	Fuel Type	License/ Docket Number
CA	Spark Energy Gas, LLC	Gas	CTA0011
CT	Major Energy Electric Services, LLC	Electric	14-03-03
CT	Spark Energy, LLC	Electric	10-06-18
CT	Verde Energy USA, Inc	Electric	09-06-08
CT	Spark Energy Gas, LLC	Gas	01-05
DC	Major Energy Electric Services, LLC	Electric	EA 2015-02
DC	Verde Energy USA DC, LLC	Electric	EA 2014-18 Order #17671
DC	Major Energy Services, LLC	Gas	GA 2015-01
DC	Verde Energy USA DC, LLC	Gas	GA 2014-10
DE	Spark Energy, LLC	Electric	18-0011
FL	Spark Energy Gas, LLC	Gas	n/a
IL	Major Energy Electric Services, LLC	Electric	12-0184
IL	Spark Energy, LLC	Electric	17-0273
IL	Verde Energy USA Illinois, LLC	Electric	11-0666
IL	Spark Energy Gas, LLC	Gas	17-0281
IN	Spark Energy Gas, LLC	Gas	n/a
MA	Major Energy Electric Services, LLC	Electric	CS-110
MA	Provider Power MASS, LLC	Electric	CS-098
MA	Spark Energy, LLC	Electric	CS-053
MA	Verde Energy USA Massachusetts, LLC	Electric	CS-097
MA	Spark Energy Gas, LLC	Gas	GS-027
MD	Major Energy Electric Services, LLC	Electric	IR-2098
MD	Spark Energy, LLC	Electric	IR-979
MD	Major Energy Services, LLC	Gas	IR-1749
MD	Spark Energy Gas, LLC	Gas	IR-613
ME	Electricity Maine, LLC	Electric	2010-00256
ME	Major Energy Electric Services, LLC	Electric	2013-00486
ME	Major Energy Services, LLC	Gas	n/a
ME	Spark Energy Gas, LLC	Gas	n/a
MI	Spark Energy Gas, LLC	Gas	U-15429
NH	Electricity N.H., LLC	Electric	DM 12-075 (org) DM 17-051 (renewal)
NJ	Respond Power, LLC d/b/a Major Energy	Electric	ESL-0124
NJ	Spark Energy, LLC	Electric	ESL-0239
NJ	Verde Energy USA, Inc	Electric	ESL-0085
NJ	Major Energy Services, LLC	Gas	GSL-0117
NJ	Spark Energy Gas, LLC	Gas	GSL-0211
NJ	Verde Energy USA, Inc	Gas	GSL-0092
NV	Spark Energy Gas, LLC	Gas	G-28

Licenses

State	Entity	Fuel Type	License/ Docket Number
NY	Major Energy Electric Services, LLC	Electric	n/a
NY	Spark Energy, LLC	Electric	n/a
NY	Verde Energy USA New York, LLC	Electric	n/a
NY	Major Energy Services, LLC	Gas	n/a
NY	Spark Energy Gas, LLC	Gas	n/a
NY	Verde Energy USA New York, LLC	Gas	n/a
OH	Major Energy Electric Services, LLC	Electric	15-1007E
OH	Verde Energy USA Ohio, LLC	Electric	12-489E
OH	Major Energy Services, LLC	Gas	15-464G
OH	Spark Energy Gas, LLC	Gas	08-136G
OH	Verde Energy USA Ohio, LLC	Gas	13-334G
PA	Respond Power, LLC d/b/a Major Energy	Electric	A-2010-2163898
PA	Spark Energy, LLC	Electric	A-2009-2145787
PA	Verde Energy USA, Inc.	Electric	A-2010-2151038
PA	Major Energy Services, LLC	Gas	A-2009-2118836
PA	Spark Energy Gas, LLC	Gas	A-125099
PA	Verde Energy USA Pennsylvania, LLC	Gas	A-2013-2375988
RI	Major Energy Electric Services, LLC	Electric	D-96-6(X9)
RI	Major Energy Services, LLC	Gas	2379(Q4)
RI	Spark Energy Gas, LLC	Gas	2379(B2)
TX	Spark Energy, LLC	Electric	10046
VA	Spark Energy Gas, LLC	Gas	G-20A

Experience & Plans

Experience
Verde Energy USA Ohio, LLC ("Verde Energy") is a retail energy service company that provides residential and commercial customers with alternative choices for their natural gas and electricity in competitive markets across the United States. Verde Energy's parent company, Via Renewables, Inc., operates in 94 utility service territories across 19 states and the District of Columbia with plans to continue expanding its geographic reach

Verde Energy has the necessary operational and managerial capabilities to serve all customer classes. The Verde Energy management team is comprised of individuals with significant experience in wholesale and retail energy supply.

Contracting with Customers/Providing Contracted Services
Although not currently marketing in Ohio, Verde Energy has marketed its products through traditional channels of partnerships, digital advertising, some telemarketing, and door-to- door sales.

Enrollment: Although not currently enrolling customers, Verde Energy has enrolled potential customer in the past through the following ways:

(1) Paper Enrollment. Potential customers used a paper enrollment form that they filled out themselves and it was faxed/emailed to Verde Energy's headquarters. Customers received welcome packages with copies of all forms.
(2) Telephonic Enrollment. Potential customers were solicited over the phone by Verde Energy's vendor and could decide to sign up over the telephone and complete a third-party verification confirming the decision to enroll. Customers received welcome packages with copies of all forms.
(3) Door-to-Door Enrollment. Potential customers were solicited door-to-door by Verde Energy's vendor and could decide to sign up and complete a third-party verification confirming the decision to enroll. The door-to-door enrollment process was completed through paper enrollment forms and through the tablet application Calibrus. Customers received welcome packages with copies of all necessary forms upon enrollment.
(4) Web Enrollment. Potential customers previously could sign up for services through Verde Energy's website. Customers received welcome packages with copies of all forms
(5) Customer Care Center. Potential customers could call Verde Energy's Customer Care Center. A call center representative would enroll the customer and a third-party verification would be taken after such enrollment. Customers received welcome packages with copies of all forms.
(6) Retention Center. Verde Energy made outbound telemarketing calls to existing or former customers only for renewal or re-enrollment.

Providing Contracted Services
Verde Energy currently provides customers with affordable green electricity and natural gas in Ohio.

Providing Billing Statements
Consolidated billing statements are provided to the customer through their utility company.

Response to Customer Inquiries and Complaints
Verde Energy commits to maintaining a fully trained staff of representatives to fulfill the needs of our customers. When a customer calls in with a question or complaint to the care center, the customer service representative will work with the customer to address any issues or problems. If the customer asks to have their enrollment canceled, the customer service representative processes it immediately.

If the complaint is not resolved, it is escalated to a call center lead/supervisor. The lead/supervisor will attempt to de-escalate the issue and if for any reason it is not resolved, the lead/supervisor will escalate it to the Office of the President ("OOP"). The OOP is responsible for mitigating and resolving customer escalations by working with the customer to reach a mutually agreeable resolution with the goal of achieving customer satisfaction.

Frank LaRose
Ohio Secretary of State

Wed Oct 19 2022

Entity#:	2059917
Filing Type:	FOREIGN LIMITED LIABILITY COMPANY
Original Filing Date:	11/08/2011
Location:	--
Business Name:	VERDE ENERGY USA OHIO, LLC
Status:	Active
Exp. Date:	-

Agent/Registrant Information

CORPORATION SERVICE COMPANY
3366 RIVERSIDE DRIVE, SUITE 103
UPPER ARLINGTON OH 43221
04/18/2022
Active

Filings

Filing Type	Date of Filing	Document ID
FOREIGN LLC – CERTIFICATE OF REGISTRATION	11/08/2011	201131300037
AGENT ADDRESS CHANGE/LIMITED/LIABILITY/PARTNERS	11/10/2016	201632602630
FOREIGN/DESIGNATED APPOINTMENT OF AGENT	07/11/2017	201719204374
FOREIGN LLC - CERTIFICATION OF CORRECTION	10/05/2021	202127801946
AGENT ADDRESS CHANGE/LIMITED/LIABILITY/PARTNERS	04/18/2022	202210801594

Frank LaRose
Ohio Secretary of State

Wed Oct 19 2022

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

I, Frank LaRose, Secretary of State of the State of Ohio, do hereby certify that this is a list of all records approved on this business entity and in the custody of the Secretary of State.

Witness my hand and the seal of the Secretary of State at Columbus, Ohio this 19th of October, A.D. 2022

Ohio Secretary of State

Exhibit B-3: Disclosure of Liabilities and Investigations
Exhibit B-4: Disclosure of Consumer Protection Violations

Verde Energy USA Ohio, LLC does not have any existing, pending, or past rulings, judgments, contingent liabilities, and revocation of authority, regulatory investigations, or any other matters that we believe would adversely impact our financial or operations status or adversely affect our ability to provide retail electrical or natural gas supply services for which we are seeking to provide services as a retail electric and/or retail natural gas service provider.

The Company, from to time to time, received and responded to customer inquiries that have been elevated to more formal complaints or investigations with the regulatory bodies of the states in which we do business at the entity level. However, none of these matters have caused the Company in the past, nor are likely in the future in our belief, to prohibit the Company from continuing to comply with its obligations or have otherwise prevented it from performing such activities, except where specifically restricted or prohibited by each jurisdiction.

Provided below are summaries of pending and closed matters that have occurred overtime.

Pending Matters

Matter Name	Entity	State	Agency	Description	Opening Date and Reference No.	Status & Date Completed
New York Attorney General v. Major Energy Services, LLC	Major Energy Services, LLC	NY	Attorney General	The NYAG filed a complaint on January 19, 2022 ("Complaint"). The Complaint is based on historical acts of the former Major Energy owners.	2016 AOD 16-206	Pending

Closed Matters

Matter Name	Entity	State	Agency	Description	Opening Date and Reference No.	Status & Date Completed
IL ICC v Major Energy Electric Services, LLC	Major Energy Electric Services, LLC	IL	Illinois Commerce Commission (ICC)	Alleged violation of Pub. Util. Act., Section 16-115A(b) & 16-115A(e); 83 Ill. Admin. Code, Section 412.110, 412.130. The Order approving the settlement was a voluntary dismissal of an investigation without a finding of guilt with the following settlement provisions, funding a refund pool for $262,500.	2014 Docket No. 14-052	Completed. No Fault. 04/16/2015 (settlement executed)
CT PURA v Verde Energy USA, LLC	Verde Energy USA, LLC	CT	Public Utility Regulatory Authority (PURA)	Notice of Violation and Assessment of Civil Penalty (NOV) issued 2-25-2015. Customer Disclosure Notices. Verde volunteered to make a charitable contribution in the amount of $2,000 to the Operation Fuel, Inc.	2015 Investigation No. 09-06-08RE02	Completed 06/17/2015
CT PURA v Major Energy Electric Services, LLC	Major Energy Electric Services, LLC	CT	Public Utilities Regulatory Authority (PURA)	PURA approved settlement -- failed to effectuate renewals for customers who were informed they would auto renew; provided restitution of $62.50 per customer.	2020 Docket No. 14-03-03	Complete 04/27/2022
MD PSC v Major Energy Services, LLC	Major Energy Services, LLC	MD	Public Service Commission (PSC)	Action regarding the alleged violation of any provision of Title 7, subtitles 5 & 6 of PUA; Title 20, subtitles 51-55 and 59 of COMAR, or applicable Commission Order in their customer marketing, advertising, or trade practices. The order approving the PSC findings resulted in the payment of $300,000 in Civil Penalties for civil penalties	2016 Case No. 9346(b)	Complete (appeal resolved (02/26/2016)
TX PSC v Spark Energy, LLC	Spark Energy, LLC	TX	Public Utility Commission (PUCT)	Action regarding the alleged violation of 16 T.A.C. section 25.454 (rate reduction program), 16 T.A.C. section 25.480 (bill payment and adjustments), 16 T.A.C. section 25.483. (disconnection of service). The Order approving the settlement was a voluntary dismissal of an investigation with a finding of guilt with the following settlement with an administrative penalty of $160,000.	2016 Docket No. 45520	03/07/2016 (Final Order Approving Settlement)
NY PSC v Spark Energy, LLC	Spark Energy, LLC and Spark Energy Gas, LLC	NY	Public Service Commission (PSC)	Action regarding allegations of Slamming and Deceptive Marketing. Upon review of Spark's responses to numerous document requests, the NY PSC issued an Order to Continue ESCO Eligibility with Contingencies, which "closed" the proceedings with no assessment of penalties.	2017 Case No. 16-M-0468	Eligibility Approved w/ Contingencies 05/19/2017
NY PSC v Major Energy Services, LLC	Major Energy Services, LLC	NY	Public Service Commission (PSC)	Investigating excessive number of complaints. Provided satisfactory responses.	2017 NOAF	Completed 11/2017
Maine PUC v.	Electricity Maine,	ME	Public Utilities	Allegations of Misleading and Deceptive door-to-door conduct,	2018	Completed

Matter Name	Entity	State	Agency	Description	Opening Date and Reference No.	Status & Date Completed
Electricity Maine, LLC	LLC		Commission (PUC)	using false, deceptive, coercive and unfair statements and actions. Penalty $500,000.	Docket No. 2010-00256	02/26/2021
TX PUC v Spark Energy, LLC	Spark Energy, LLC	TX	Public Utility Commission (PUC)	Telemarketing and deceptive Marketing allegations.	2018 Investigation No. 49684	Completed 6/26/2019
IL AG v Major Energy Electric Services, LLC	Major Energy Electric Services, LLC	IL	Circuit Court of Cook County County Department, Chancery Div.	Action regarding alleged violations of Illinois Consumer Fraud and Deceptive Business Practices Act, 815 ILCS 505/1 et seq., Illinois Telephone Solicitation Act, 815 ILCS 413/1 et seq., Illinois Automatic Contract Renewal Act, 815 ILCS 605/5 et seq, and the Illinois Prize and Gifts Act, 815 ILCS 525/1 et seq. Penalty, $2,000,000.	Docket No. 2018-CH-04549	Completed Settlement 08/2019
CT PURA v Spark Energy, LLC	Spark Energy, LLC	CT	Public Utility Regulatory Authority (PURA)	Action regarding the alleged telephone solicitations which would be a violation of Conn. Ge. Stat. Section 16-245o(h)(1), 16-245o(h)(2)(A), 16-245o(h)(3), 16-245o(h)(4), 16-245o(j), and 42-110b. Penalty $750,000.	2018 Docket No. 10-06-18RE02	Completed 7/17/2019
Connecticut PURA v Verde Energy USA, LLC Connecticut PURA v Major Energy Electric Services, LLC Connecticut PURA v Spark Energy, LLC	Verde Energy USA, LLC Major Energy Electric Services, LLC Spark Energy, LLC	CT	Public Utility Regulatory Authority (PURA)	Next Rate Cycle Amnesty Program - Verde was obligated to provide a refund to customers who were not timely notified as to the Next Cycle Rate; No penalty was imposed. PURA ultimately approved the Amnesty Plan for each entity. The PURA reopened the matter under Docket No. 18-12-22RE01. Multiple suppliers participated in the docket, as part of suppliers participant PURA did not assess penalties; however, customers were provided with refunds as part of PURA's industry-wide investigation. PURA closed the docket on July 6, 2022. Spark noticed PURA of it's intent to participate in the reopened Docket No. 18-12-22RE01. Thereafter, PURA suspended its review under Docket No. 10-06-18RE01.	2018 Docket No. 18-12-22 Docket No. 18-12-22RE01 Docket No. 10-06-18RE01	Completed 06/16/2020 06/11/2020 12/02/2020 01/03/2019
Ohio PUCO v. Verde Energy USA Ohio, LLC	Verde Energy USA Ohio, LLC	OH	Public Utilities Commission of OHIO (PUCO)	Allegations of misleading and deceptive practices to market and enroll customers, as well as violating several requirements of Ohio Adm. Code Chapter 4901:1-21 and 4901:1-29. Penalty $675,000; restitution payments – which will result in refunds of approximately $1,068,000.	2019 Case Number 19-958-GE-COI	Completed 02/26/2020
CT PURA v Spark Energy, LLC	Spark Energy, LLC	CT	Public Utilities Regulatory Authority (PURA)	Subsequent to the Amnesty Program in Docket No. 10-12-22RE01, Spark failed to timely provide correct supply summary information to the utilities; refund provided to customers and paid $10,000 to Operation fuel. Docket closed.	2019 Docket No. 10-06-18-RE03	Closed 05/10/2022

Matter Name	Entity	State	Agency	Description	Opening Date and Reference No.	Status & Date Completed
New York State Department v. Verde Energy USA New York, LLC	Verde Energy USA New York, LLC	NY	New York State Department of State	Allegations of violations of New York Business Law 399-z and 19 NYCRR Part 221 having made unsolicited telemarketing sales calls to customers when said customer's telephone numbers were on the national do -not-call registry. Penalty: $55,250.	2019 Consent Order 2019-C-042201	Completed 11/30/2021
Ohio AG v Verde Energy USA Ohio, LLC	Verde Energy USA Ohio, LLC	OH	Attorney General	Allegations of Deceptive Marketing; provided satisfactory response. No further action.	2019 Docket No. 577403	Closed 07/15/2020
Ohio PUCO v. Major Energy Electric Services, LLC & Major Energy Services, LLC	Major Energy Electric Services, LLC Major Energy Services, LLC	OH	Public Utilities Commission of OHIO (PUCO)	Allegations of noncompliance with certain Ohio regulations. Penalty $115,000; restitution payments totaling $198,385	2021 Case Number 21-46-GE-UNC	Completed 02/24/2021
New Jersey BPU v Major Energy Electric Services, LLC, Respond Power, LLC, Spark Energy, LLC and Spark Energy Gas, LLC	Major Energy Electric Services, LLC, Respond Power, LLC, Spark Energy, LLC & Spark Energy Gas, LLC	NJ	New Jersey Board of Public Utilities (BPU)	Failure to timely reapply for License Renewal. Following submittal and review the BPU approved the license renewal. Administrative Penalty $55,000.	2019 Docket No. ES 19060756	Completed 09/27/2019
Texas Public Utility Commission v. Spark Energy, LLC	Spark Energy, LLC	TX	Public Utility Commission (PUC)	Violation of 16 Tex. Admin. Code (TAC) 25.475 by improperly initiating an increase in the price of fixed-rate products during a contract term. No penalty was imposed.	2021 Investigation No. 2021060003	Completed 11/01/2021
Texas Public Utility Commission v. Spark Energy, LLC	Spark Energy, LLC	TX	Public Utility Commission (PUC)	Compliance with 16 Tex. Admin. Code (TAC) 25.475, related to General Retail Electric Provider Requirements and Information Disclosures to Residential and Small Commercial Customers. Closed with no penalty imposed.	2022 Investigation No. SIR2022030007	Complete 8/11/2022
Pennsylvania PUC v. Verde Energy USA, LLC	Verde Energy USA, LLC	PA	Public Utilities Commission (PUC)	Allegations of Misleading and Deceptive telemarketing & door-to-door conduct, slamming, and release of private customer information/unauthorized access to accounts, and failure to maintain verification records. Penalty $1,000,000 and customer refunds.	2020 Docket No. C-2020-3017229	Completed 09/15/2022

Matter Name	Entity	State	Agency	Description	Opening Date and Reference No.	Status & Date Completed
CT PURA v. Verde Energy USA, Inc.	Verde Energy USA, Inc.	CT	Office of Education, Outreach and Enforcement (EOE)	Notice of Violation and Assessment of Civil Penalty (NOV). Company entered settlement with PURA on October 13, 2022 over alleged marketing issues; Company agreed to pay $1.5 million to be distributed to certain Connecticut consumers designated as "financial hardship customers", issued refunds and payments to certain customers, and agreed to voluntary leave the Connecticut market, with the ability to return in the future upon reapplication.	2022 Docket 09-06-08 Issued 08/08/2022	Completed 10/13/2022

Exhibit B-3: Disclosure of Liabilities and Investigations
Exhibit B-4: Disclosure of Consumer Protection Violations

Verde Energy USA Ohio, LLC does not have any existing, pending, or past rulings, judgments, contingent liabilities, and revocation of authority, regulatory investigations, or any other matters that we believe would adversely impact our financial or operations status or adversely affect our ability to provide retail electrical or natural gas supply services for which we are seeking to provide services as a retail electric and/or retail natural gas service provider.

The Company, from to time to time, received and responded to customer inquiries that have been elevated to more formal complaints or investigations with the regulatory bodies of the states in which we do business at the entity level. However, none of these matters have caused the Company in the past, nor are likely in the future in our belief, to prohibit the Company from continuing to comply with its obligations or have otherwise prevented it from performing such activities, except where specifically restricted or prohibited by each jurisdiction.

Provided below are summaries of pending and closed matters that have occurred overtime.

Pending Matters

Matter Name	Entity	State	Agency	Description	Opening Date and Reference No.	Status & Date Completed
New York Attorney General v. Major Energy Services, LLC	Major Energy Services, LLC	NY	Attorney General	The NYAG filed a complaint on January 19, 2022 ("Complaint"). The Complaint is based on historical acts of the former Major Energy owners.	2016 AOD 16-206	Pending

Closed Matters

Matter Name	Entity	State	Agency	Description	Opening Date and Reference No.	Status & Date Completed
IL ICC v Major Energy Electric Services, LLC	Major Energy Electric Services, LLC	IL	Illinois Commerce Commission (ICC)	Alleged violation of Pub. Util. Act., Section 16-115A(b) & 16-115A(e); 83 Ill. Admin. Code, Section 412.110, 412.130. The Order approving the settlement was a voluntary dismissal of an investigation without a finding of guilt with the following settlement provisions, funding a refund pool for $262,500.	2014 Docket No. 14-052	Completed. No Fault. 04/16/2015 (settlement executed)
CT PURA v Verde Energy USA, LLC	Verde Energy USA, LLC	CT	Public Utility Regulatory Authority (PURA)	Notice of Violation and Assessment of Civil Penalty (NOV) issued 2-25-2015. Customer Disclosure Notices. Verde volunteered to make a charitable contribution in the amount of $2,000 to the Operation Fuel, Inc.	2015 Investigation No. 09-06-08RE02	Completed 06/17/2015
CT PURA v Major Energy Electric Services, LLC	Major Energy Electric Services, LLC	CT	Public Utilities Regulatory Authority (PURA)	PURA approved settlement -- failed to effectuate renewals for customers who were informed they would auto renew; provided restitution of $62.50 per customer.	2020 Docket No. 14-03-03	Complete 04/27/2022
MD PSC v Major Energy Services, LLC	Major Energy Services, LLC	MD	Public Service Commission (PSC)	Action regarding the alleged violation of any provision of Title 7, subtitles 5 & 6 of PUA; Title 20, subtitles 51-55 and 59 of COMAR, or applicable Commission Order in their customer marketing, advertising, or trade practices. The order approving the PSC findings resulted in the payment of $300,000 in Civil Penalties for civil penalties	2016 Case No. 9346(b)	Complete (appeal resolved (02/26/2016)
TX PSC v Spark Energy, LLC	Spark Energy, LLC	TX	Public Utility Commission (PUCT)	Action regarding the alleged violation of 16 T.A.C. section 25.454 (rate reduction program), 16 T.A.C. section 25.480 (bill payment and adjustments), 16 T.A.C. section 25.483. (disconnection of service). The Order approving the settlement was a voluntary dismissal of an investigation with a finding of guilt with the following settlement with an administrative penalty of $160,000.	2016 Docket No. 45520	03/07/2016 (Final Order Approving Settlement)
NY PSC v Spark Energy, LLC	Spark Energy, LLC and Spark Energy Gas, LLC	NY	Public Service Commission (PSC)	Action regarding allegations of Slamming and Deceptive Marketing. Upon review of Spark's responses to numerous document requests, the NY PSC issued an Order to Continue ESCO Eligibility with Contingencies, which "closed" the proceedings with no assessment of penalties.	2017 Case No. 16-M-0468	Eligibility Approved w/ Contingencies 05/19/2017
NY PSC v Major Energy Services, LLC	Major Energy Services, LLC	NY	Public Service Commission (PSC)	Investigating excessive number of complaints. Provided satisfactory responses.	2017 NOAF	Completed 11/2017
Maine PUC v.	Electricity Maine,	ME	Public Utilities	Allegations of Misleading and Deceptive door-to-door conduct,	2018	Completed

Matter Name	Entity	State	Agency	Description	Opening Date and Reference No.	Status & Date Completed
Electricity Maine, LLC	LLC		Commission (PUC)	using false, deceptive, coercive and unfair statements and actions. Penalty $500,000.	Docket No. 2010-00256	02/26/2021
TX PUC v Spark Energy, LLC	Spark Energy, LLC	TX	Public Utility Commission (PUC)	Telemarketing and deceptive Marketing allegations.	2018 Investigation No. 49684	Completed 6/26/2019
IL AG v Major Energy Electric Services, LLC	Major Energy Electric Services, LLC	IL	Circuit Court of Cook County County Department, Chancery Div.	Action regarding alleged violations of Illinois Consumer Fraud and Deceptive Business Practices Act, 815 ILCS 505/1 et seq., Illinois Telephone Solicitation Act, 815 ILCS 413/1 et seq., Illinois Automatic Contract Renewal Act, 815 ILCS 605/5 et seq, and the Illinois Prize and Gifts Act, 815 ILCS 525/1 et seq. Penalty, $2,000,000.	Docket No. 2018-CH-04549	Completed Settlement 08/2019
CT PURA v Spark Energy, LLC	Spark Energy, LLC	CT	Public Utility Regulatory Authority (PURA)	Action regarding the alleged telephone solicitations which would be a violation of Conn. Ge. Stat. Section 16-245o(h)(1), 16-245o(h)(2)(A), 16-245o(h)(3), 16-245o(h)(4), 16-245o(j), and 42-110b. Penalty $750,000.	2018 Docket No. 10-06-18RE02	Completed 7/17/2019
Connecticut PURA v Verde Energy USA, LLC Connecticut PURA v Major Energy Electric Services, LLC Connecticut PURA v Spark Energy, LLC	Verde Energy USA, LLC Major Energy Electric Services, LLC Spark Energy, LLC	CT	Public Utility Regulatory Authority (PURA)	Next Rate Cycle Amnesty Program - Verde was obligated to provide a refund to customers who were not timely notified as to the Next Cycle Rate; No penalty was imposed. PURA ultimately approved the Amnesty Plan for each entity. The PURA reopened the matter under Docket No. 18-12-22RE01. Multiple suppliers participated in the docket, as part of suppliers participant PURA did not assess penalties; however, customers were provided with refunds as part of PURA's industry-wide investigation. PURA closed the docket on July 6, 2022. Spark noticed PURA of it's intent to participate in the reopened Docket No. 18-12-22RE01. Thereafter, PURA suspended its review under Docket No. 10-06-18RE01.	2018 Docket No. 18-12-22 Docket No. 18-12-22RE01 Docket No. 10-06-18RE01	Completed 06/16/2020 06/11/2020 12/02/2020 01/03/2019
Ohio PUCO v. Verde Energy USA Ohio, LLC	Verde Energy USA Ohio, LLC	OH	Public Utilities Commission of OHIO (PUCO)	Allegations of misleading and deceptive practices to market and enroll customers, as well as violating several requirements of Ohio Adm. Code Chapter 4901:1-21 and 4901:1-29. Penalty $675,000; restitution payments – which will result in refunds of approximately $1,068,000.	2019 Case Number 19-958-GE-COI	Completed 02/26/2020
CT PURA v Spark Energy, LLC	Spark Energy, LLC	CT	Public Utilities Regulatory Authority (PURA)	Subsequent to the Amnesty Program in Docket No. 10-12-22RE01, Spark failed to timely provide correct supply summary information to the utilities; refund provided to customers and paid $10,000 to Operation fuel. Docket closed.	2019 Docket No. 10-06-18-RE03	Closed 05/10/2022

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Ohio AG v Verde Energy USA Ohio, LLC	Verde Energy USA Ohio, LLC	OH	Attorney General	Allegations of Deceptive Marketing; provided satisfactory response. No further action.	2019 Docket No. 577403	Closed 07/15/2020
Ohio PUCO v. Major Energy Electric Services, LLC & Major Energy Services, LLC	Major Energy Electric Services, LLC Major Energy Services, LLC	OH	Public Utilities Commission of OHIO (PUCO)	Allegations of noncompliance with certain Ohio regulations. Penalty $115,000; restitution payments totaling $198,385	2021 Case Number 21-46-GE-UNC	Completed 02/24/2021
New Jersey BPU v Major Energy Electric Services, LLC, Respond Power, LLC, Spark Energy, LLC and Spark Energy Gas, LLC	Major Energy Electric Services, LLC, Respond Power, LLC, Spark Energy, LLC & Spark Energy Gas, LLC	NJ	New Jersey Board of Public Utilities (BPU)	Failure to timely reapply for License Renewal. Following submittal and review the BPU approved the license renewal. Administrative Penalty $55,000.	2019 Docket No. ES 19060756	Completed 09/27/2019
Texas Public Utility Commission v. Spark Energy, LLC	Spark Energy, LLC	TX	Public Utility Commission (PUC)	Violation of 16 Tex. Admin. Code (TAC) 25.475 by improperly initiating an increase in the price of fixed-rate products during a contract term. No penalty was imposed.	2021 Investigation No. 2021060003	Completed 11/01/2021
Texas Public Utility Commission v. Spark Energy, LLC	Spark Energy, LLC	TX	Public Utility Commission (PUC)	Compliance with 16 Tex. Admin. Code (TAC) 25.475, related to General Retail Electric Provider Requirements and Information Disclosures to Residential and Small Commercial Customers. Closed with no penalty imposed.	2022 Investigation No. SIR2022030007	Complete 8/11/2022
Pennsylvania PUC v. Verde Energy USA, LLC	Verde Energy USA, LLC	PA	Public Utilities Commission (PUC)	Allegations of Misleading and Deceptive telemarketing & door-to-door conduct, slamming, and release of private customer information/unauthorized access to accounts, and failure to maintain verification records. Penalty $1,000,000 and customer refunds.	2020 Docket No. C-2020-3017229	Completed 09/15/2022

Matter Name	Entity	State	Agency	Description	Opening Date and Reference No.	Status & Date Completed
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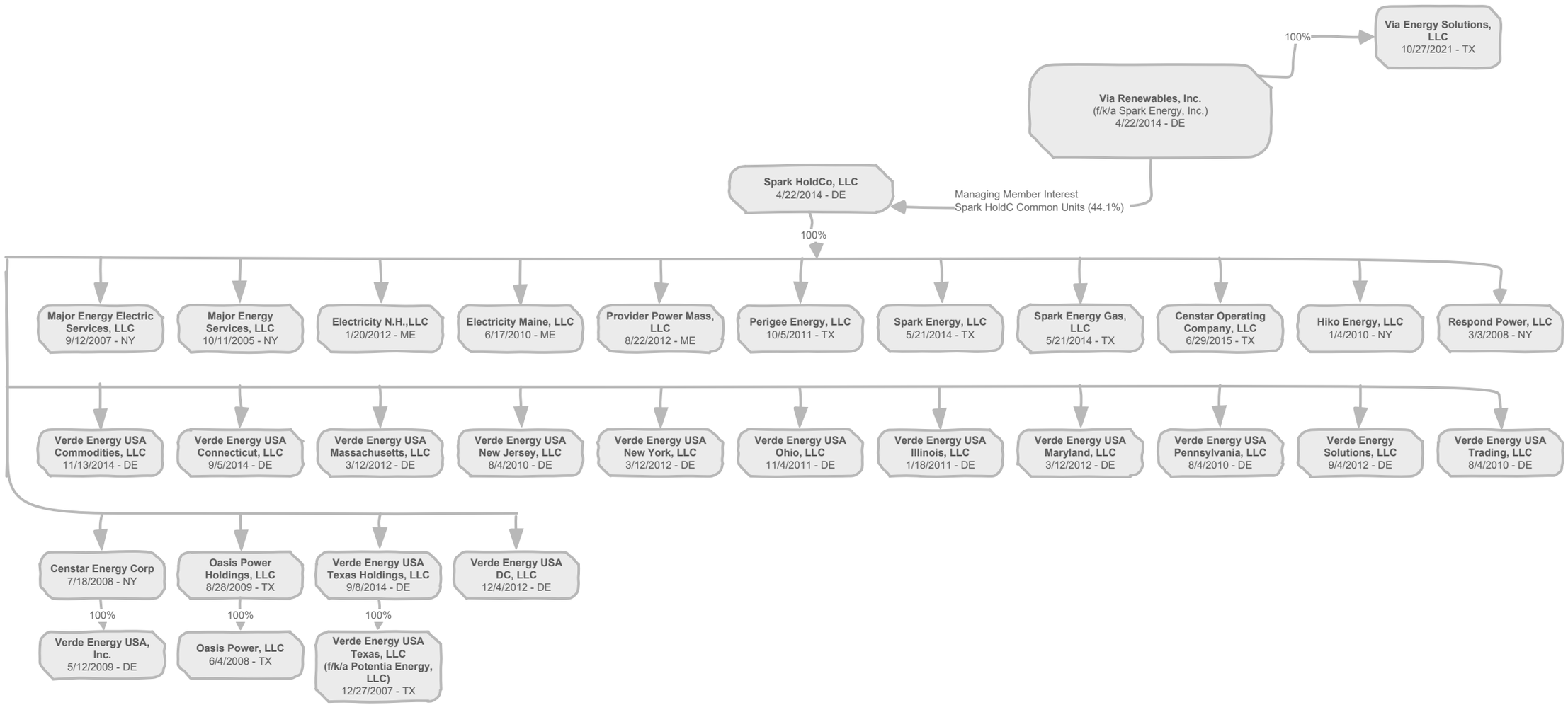
Via Renewables, Inc.

(f/k/a Spark Energy. Inc) Structure



Operations

Verde Energy USA Ohio, LLC ("Verde") markets electricity as a competitive retail electric supplier in Ohio. Verde does not own generation of power sources or ancillary services. Verde Ohio operations do not provide delivery services. Verde acquires electric generation supply in the PJM through wholesale transactions.

Operations Expertise and Key Technical Personnel

Verde Energy obtained approval from the Public Utilities Commission of Ohio to operate as a CRES supplier on March 29, 2012 (Case No. 11-5886-EL-CRS) and obtained approval to operate as a CRNGS supplier on December 5, 2013 (Case No. 13-2164-GA-CRS).

Verde Energy has the necessary operational and managerial capabilities to serve all customer classes, including residential, commercial, and industrial customers. Verde Energy's management team and key technical personnel teams are comprised of individuals with significant experience in wholesale and retail energy. Verde Energy's management and technical personnel have a combined total of more than 60 years of industry experience and have served markets in numerous states and markets.

Management Team:

W. Keith Maxwell III
Chief Executive Officer & Chairman of the Board of Directors
12140 Wickchester Ln., Suite 100
Houston, TX 77079
kmaxwell@viarenewables.com
(713) 977-5641

Mr. Maxwell serves as Chairman of the Board of Directors and was appointed to this position in connection with the IPO in 2014. Mr. Maxwell also serves as Chief Executive Officer of Spark Energy as well as Chief Executive Officer of several privately owned energy related companies. Prior to founding the predecessor of Spark Energy in 1999, Mr. Maxwell was a founding partner in Wickford Energy, an oil and natural gas services company which was sold to Black Hills Utilities in 1997. Prior to Wickford Energy, Mr. Maxwell was a partner in Polaris Pipeline, a natural gas producer services and midstream company that sold to TECO Pipeline in 1994. In 2010, Mr. Maxwell was named Ernst & Young Entrepreneur of the Year in the Energy, Chemicals and Mining category. A native of Houston, Texas, Mr. Maxwell earned a Bachelor's Degree in Economics from the University of Texas at Austin in 1987. We believe that Mr. Maxwell's extensive energy industry background, leadership experience, and strategic planning and oversight brings an important skill set to our board of directors.

Paul Konikowski
Chief Operating Officer
12140 Wickchester Ln., Suite 100
Houston, TX 77079
pkonikowski@viarenewables.com
(832) 294-1955

Paul Konikowski was appointed Chief Operating Officer in November 2021. Immediately prior to his appointment as COO, Mr. Konikowski served as Senior Vice President of National Gas and Electric ("NG&E"), a position he had held since April 2015.

Prior to NG&E, Mr. Konikowski served as Chief Operating Officer of Glacial Energy and Senior Vice President and Chief Information Officer of Via Renewables, Inc. (formerly Spark Energy, Inc.). Mr. Konikowski has extensive retail energy experience spanning 20+ years including, sales, operations, risk and IT.

Mr. Konikowski holds a Bachelor of Business Administration in Computer Information Systems and Marketing from Stephen F. Austin State University.

Mike Barajas
Chief Financial Officer
12140 Wickchester Ln., Suite 100
Houston, TX 77079
mbarajas@viarenewables.com
(832) 217-1827

Mike Barajas was appointed Chief Financial Officer in November 2021. Immediately prior to his appointment as CFO, Mr. Barajas served as the Vice President of Finance and Investor Relations. Mr. Barajas oversees the Company's accounting, tax, SEC reporting, treasury, financial planning and analysis, and investor relations functions. He is also the Chief Risk Officer.

Prior to rejoining the Company in 2019, Mr. Barajas worked for several energy companies including Spark Energy from 2009 to 2014, Marlin Midstream, Xcalibur Logistics, and National Gas & Electric with leadership experience in accounting, finance, mergers & acquisitions, and treasury.

Mr. Barajas holds a Master of Science in Accounting and a Bachelor of Business Administration from the C.T. Bauer College of Business at The University of Houston. Mr. Barajas is a Certified Public Accountant in the state of Texas.

In addition to the management team listed here, Verde Energy has a team of key operating personnel that have extensive technical experience in retail and natural gas supply to residential and commercial customers in numerous states within the United States. See attached *Procedure for Onboarding and Training of Trading Personnel – Power*. Verde Energy's management and key operating personnel will oversee the operations of Verde Energy from its headquarters in Houston, Texas.

<u>Customer Service:</u>

Verde Energy has a Regulatory Department to address customer concerns and complaints. When complaints come into the Regulatory Department (whether from the PUCO Staff, directly from a customer, or through an escalation from a customer service representative), team members in the Regulatory Department log the complaints, analyze the complaints, investigate the allegations, prepare responses to the complaints, correspond with the PUCO Staff or customer directly, and recommend/initiate resolution of the complaint, if necessary. Before being permitted to interact with live complaints and individuals, the Regulatory Department team members receive training

on Ohio regulations, how to investigate complaints, how to respond to complaints, and how to escalate potential compliance issues.

Other Operations:

Additionally, Verde Energy has partnered with VertexOne, a well-known third-party vendor in the retail energy space, to assist with its operations in Ohio. VertexOne acquired Verde Energy's previous EDI provider (EC Infosystems). VertexOne performs EDI transactions and is providing billing and CIS services. For 30 years, VertexOne has been helping utilities and energy companies across North America achieve digital transformation and business process optimization.

Verde Energy relies on VertexOne to provide EDI and CIS support. VertexOne's services and systems address all of the retail energy business process needs that do not require end-use customer interactions. VertexOne's expertise in serving clients in retail markets allows Verde Energy to focus resources on customer experience, pricing, procurement, and regulatory and administrative functions while knowing that a reliable and scalable back-office system serves as the foundation for its business.

Via Renewables, Inc. – Procedure for the onboarding and training of Trading Personnel - Power

Via Renewables, Inc., through its subsidiaries Spark HoldCo, LLC, Spark Energy Gas, LLC, Spark Energy, LLC, Oasis Power, LLC, CenStar Energy Corp., CenStar Operating Company, LLC, Major Energy Services, LLC, Major Energy Electric Services, LLC, Respond Power LLC, Electricity Maine, LLC, Electricity N.H., LLC, Provider Power Mass, LLC, Perigee Energy, LLC, and Verde Energy USA, INC (collectively, the "Companies" or "Spark"), buys and sells natural gas and electricity in conjunction with its operations.

The Companies *ensure that personnel involved with hedging, transacting, and scheduling across ISOs meet stringent experience and knowledge requirements. In order to be considered for such responsibilities, the Companies screens applicants based on prior experience and demonstrated knowledge of Northeast power markets, ISO processes and protocols, commodity/derivative markets, and hedging strategies. The Companies seek a minimum of 3 years of related experience in order to be considered.*

Upon selection each trader spends substantial time with existing traders and other necessary personnel to acquire knowledge of the Companies methodologies and risk/trading systems. After the new trader has proven his/her proficiency within the given market and all associated risk functions according to the Vice President of Supply, the trader is then deemed autonomous and thereafter governed by the Companies internal risk controls regarding their delegation of authority.

A broad overview of current trading personnel at Spark Energy:

Trader A: *10+ years of industry experience; entered the industry through retail power pricing and structuring where granular knowledge of ERCOT, PJM, ISONE and NYISO was attained and used in power price modeling and margin analytics; began trading in the Northeast cash markets (NYISO and NEISO) prior to moving to term trading across all of the Companies current active markets.*

Trader B: *18+ years of industry experience; began as a real-time scheduler and trader and quickly moved to managing the real-time market activities prior to overseeing all of the Companies cash month operations.*

Trader C: *15+ years of industry experience; started in Midwest natural gas before trading renewables in North American markets to manage the entirety of company's Renewable Energy products across the entire portfolio.*

Trader A: *Braxton Maddox – Senior Director, Power Supply*
Phone: 713-855-8187
Trader B: *Danny Bordeaux – Director, Cash Month Power Supply*
Phone: 713-823-3107
Trader C: *David Otte – Director, Renewables*
Phone: 832-217-1845

It is a priority that one of the Companies traders has the responsibility of being the primary contact for all ISO correspondence including market rule changes, market protocols, upcoming auction notices, etc. Such information is disseminated to the proper personnel or the entire Power Supply Team as necessary.

Environmental Disclosure

Verde Energy Ohio, LLC will use the PJM system mix percentages for our filings for the prior year, and use Q4 data of current year to estimate the annual system mix with our forecasted load.

Regional generation resource mix (%) (actual)

Form posted:	December 2022	September 2022	June 2022	March 2022	December 2021	September 2021
Emissions data for:	Jan-Sep 2022	Jan-June 2022	Jan-Mar 2022	Jan-Dec 2021	Jan-Sept 2021	Jan-June 2021
Coal-fired power	21	22	23.5	22	24	23.5
Nuclear power	32.5	33	32.5	33	32.5	33
Natural gas-fired power	40	37	36	38	37.5	36
Wind power	3.5	4.5	4.5	3.5	3	4
Hydropower	1	1.5	1.5	1.5	1	1.5
Biomass power	0.5	0.5	0.5	0.5	0.5	0.5
Other	0.5	0.5	0.5	0.5	0.5	0.5
Solar	1	1	1	1	1	1

Regional air emission rate (pounds/MWh) (actual)

Form issued:	December 2022		September 2022		June 2022		March 2022		December 2021		September 2021	
Emissions data for:	Jan-Sept 2022		Jan-June 2022		Jan-Mar 2022		Jan-Dec 2021		Jan-Sep 2021		Jan-Jun 2021	
	#/MWH	% of regional average	#/MWH	% of regional average	#/MWH	% of regional average	#/MWH	% of regional average	#/MWH	% of regional average	#/MWH	% of regional average
Carbon dioxide	829	99%	816	98%	845	101	843	105	876	109	848	105
Sulfur dioxide	0.5	100%	0.3	75%	0.5	100	0.5	100	0.5	100	0.5	100
Nitrogen oxides	0.3	75%	0.5	100%	0.4	100	0.4	100	0.4	100	0.4	100

Regional generation resource mix (%) (projected)

	2022	2021	2020	2019	2018
Coal-fired Power	22	20.5	27	31	35
Nuclear Power	33.5	34.5	34.5	35.5	34.5
Natural gas-fired power	38.5	39	33	28.5	26
Wind power	3.5	3	2.5	2.5	2.5

Hydropower	1	1.5	1.5	1	1
Biomass power	0.5	0.5	0.5	0.5	0.5
Oil-fired power	-	-	-	-	-
Other	0.5	0.5	0.5	0.5	0.5
Solar	0.5	0.5	0.5	0.5	-
Regional air emission rates (pounds/MWh) (projected)					
Carbon dioxide	834	804	891	948	998
Sulfur dioxide	0.5	0.5	0.7	0.7	1.2
Nitrogen oxides	0.4	0.4	0.5	0.6	0.8

D&B Finance Analytics

Printed By: Sheree Harris

Date Printed: 11/16/2022

LIVE REPORT

VERDE ENERGY USA OHIO, LLC

Tradestyle(s): (SUBSIDIARY OF VERDE ENERGY USA HOLDINGS, LLC, HOUSTON, TX)

CAUTION SUBSIDIARY

D-U-N-S Number: 07-830-6041

Phone: +1 203 663 5700

Address: 101 Merritt 7 Fl 2, Norwalk, CT, 06851, United States Of America

Endorsement: harrisS3@dnb.com

Summary

KEY DATA ELEMENTS (Formerly: SCORE BAR)

KDE Name	Current Status	Details
PAYDEX®	UNAVAILABLE	
Delinquency Score	UNAVAILABLE	
Failure Score	UNAVAILABLE	
D&B Viability Rating	0 0 I Z	View More Details
Bankruptcy Found	No	
D&B Rating	--	Unavailable.

COMPANY PROFILE

D-U-N-S
07-830-6041

Legal Form
Partnership

History Record
Clear

Ownership
Not publicly traded

Mailing Address
UNITED STATES

Telephone
+1 203 663 5700

Present Control Succeeded
2011

Annual Sales
1,000,000

Employees
3

Age (Year Started)
11 Years (2011)

Named Principal
Thomas Fitzgerald , MBR-PRES

Line of Business
Electric and other services combined

SIC
49310000

NAICS
221118

Street Address:
101 Merritt 7 Fl 2,
Norwalk, CT, 06851,
United States Of America

OVERALL BUSINESS RISK

Dun & Bradstreet thinks...

UNABLE TO CONFIRM

Dun & Bradstreet is unable to confirm active operations at a specific location due to the business showing limited to no business activity and multiple signs of inactivity (e.g. disconnected phone, vacant address, no longer in a telephone directory etc.)

D&B MAX CREDIT RECOMMENDATION

MAXIMUM CREDIT RECOMMENDATION

Undetermined

FAILURE SCORE (Formerly Financial Stress Score)

UNDETERMINED

DELINQUENCY SCORE (Formerly Commercial Credit Score)

UNDETERMINED

D&B PAYDEX®

UNDETERMINED

D&B PAYDEX - 3 MONTHS

UNDETERMINED

PAYDEX® TREND CHART

No Data Available

SBRI ORIGINATION

No SBRI Origination Score data is currently available.

D&B SBFE SCORE

No D&B SBFE Score data is currently available.

D&B RATING

Special Rating

-- : Undetermined

Current Rating as of 11/22/2011

LEGAL EVENTS

Events	Occurrences	Last Filed
Bankruptcies	0	-
Judgements	0	-
Liens	0	-
Suits	0	-
UCC	4	01/07/2022

DETAILED TRADE RISK INSIGHT™

No Detailed Trade Data is available for this D-U-N-S Number.

DETAILED TRADE RISK INSIGHT™ MONTH TREND

No Detailed Trade Data is available for this D-U-N-S Number.

FINANCIAL OVERVIEW - BALANCE SHEET

No Data Available

FINANCIAL OVERVIEW - PROFIT AND LOSS

No Data Available

OWNERSHIP

Subsidiaries
-

Total Members
37

This company is a Subsidiary.

	Global Ultimate	Domestic Ultimate
Name	VIA RENEWABLES, INC.	VIA RENEWABLES, INC.
Country	UNITED STATES	UNITED STATES
D-U-N-S	07-941-7907	07-941-7907
Others	-	-

FINANCIAL OVERVIEW - KEY BUSINESS RATIOS

No Data Available

ALERTS

There are no alerts for this D-U-N-S Number.

WEB & SOCIAL POWERED BY FIRSTRAIN

No Data Available

COUNTRY/REGIONAL INSIGHT

United States Of America

Risk Category

Near-term economic outlook has deteriorated as the Fed pursues aggressive rate hikes; damage from hurricane Ian expected to disrupt business continuity in and around Florida for weeks to come.

LOW

High Risk — Low Risk

Available Reports

Country Insight Snapshot (CIS)

High-level view of a single country's cross-border risk exposure, with particular focus on the current political, commercial, and macroeconomic environments.

Country Insight Report (CIR)

In-depth analysis of the current risks and opportunities within a single country and its regional and global context.

STOCK PERFORMANCE

History	Performance
Daily High	P/E:
52-Week High	EPS:
	Div/Yield

The scores and ratings included in this report are designed as a tool to assist the user in making their own credit related decisions, and should be used as part of a balanced and complete assessment relying on the knowledge and expertise of the reader, and where appropriate on other information sources. The score and rating models are developed using statistical analysis in order to generate a prediction of future events. Dun & Bradstreet monitors the performance of thousands of businesses in order to identify characteristics common to specific business events. These characteristics are weighted by significance to form rules within its models that identify other businesses with similar characteristics in order to provide a score or rating.

Dun & Bradstreet's scores and ratings are not a statement of what will happen, but an indication of what is more likely to happen based on previous experience. Though Dun & Bradstreet uses extensive procedures to maintain the quality of its information, Dun & Bradstreet cannot guarantee that it is accurate, complete or timely, and this may affect the included scores and ratings. Your use of this report is subject to applicable law, and to the terms of your agreement with Dun & Bradstreet.

Detailed Trade Risk Insight™

Detailed Trade Risk Insight provides detailed updates on over 1.5 billion commercial trade experiences collected from more than 260 million unique supplier/purchaser relationships.

DAYS BEYOND TERMS - PAST 3 & 12 MONTHS

There is not sufficient reported trading activity to generate 3 month Days Beyond Terms (a minimum of 3 trade experiences from at least 2 companies).

There is not sufficient reported trading activity to generate 12 month Days Beyond Terms (a minimum of 3 trade experiences from at least 2 companies).

DEROGATORY EVENTS LAST MONTHS FROM TO

No Derogatory trade Event has been reported on this company for the past 13 Months

TOTAL AMOUNT CURRENT AND PAST DUE - MONTH TREND FROM TO

Status
Total
Current
1-30 Days Past Due
31-60 Days Past Due
61-90 Days Past Due
91+ Days Past Due

Risk Assessment

D&B RISK ASSESSMENT

OVERALL BUSINESS RISK

UNABLE TO CONFIRM

Dun & Bradstreet thinks...

Dun & Bradstreet is unable to confirm active operations at a specific location due to the business showing limited to no business activity and multiple signs of inactivity (e.g. disconnected phone, vacant address, no longer in a telephone directory etc.)

FAILURE SCORE FORMERLY FINANCIAL STRESS SCORE

UNDETERMINED

DELINQUENCY SCORE FORMERLY COMMERCIAL CREDIT SCORE

UNDETERMINED

D&B RATING

Current Rating as of 11/22/2011

Special Rating

-- : Undetermined

Trade Payments

TRADE PAYMENTS SUMMARY (Based on 24 months of data)

Overall Payment Behaviour
-
Days Beyond Terms

Highest Now Owing:
-

% of Trade Within Terms
-

Total Trade Experiences:
0
Largest High Credit:
-
Average High Credit:
-

Highest Past Due
-

Total Placed in Collections:
-
Largest High Credit:
-

D&B PAYDEX

UNDETERMINED

D&B 3 MONTH PAYDEX

UNDETERMINED

OTHER PAYMENT CATEGORIES

Other Payment Categories	Experience	Total Amount
Cash experiences	-	-
Payment record unknown	-	-
Unfavorable comments	-	-
Placed for collections	-	-
Total in D&B's file	-	-

Accounts are sometimes placed for collection even though the existence or amount of the debt is disputed. Payment experiences reflect how bills are met in relation to the terms granted. In some instances payment beyond terms can be the result of disputes over merchandise, skipped invoices etc. Each experience shown represents a separate account reported by a supplier. Updated trade experiences replace those previously reported.

Corporate Linkage

Increase your understanding of the links and risks between your customers and suppliers with D&B's Interactive Global Family Tree

DOMESTIC ULTIMATE

Company	City , State	D-U-N-S® NUMBER
VIA RENEWABLES, INC.	HOUSTON , Texas	07-941-7907

PARENT

Company	City , State	D-U-N-S® NUMBER
VERDE ENERGY USA HOLDINGS, LLC	HOUSTON , Texas	96-814-6576

AFFILIATES (DOMESTIC)

Company	City , State	D-U-N-S® NUMBER
VERDE ENERGY SOLUTIONS, LLC	NORWALK , Connecticut	07-871-5126
VERDE ENERGY USA PENNSYLVANIA, LLC	NORWALK , Connecticut	96-814-6931
VERDE ENERGY USA, INC.	HOUSTON , Texas	83-080-7892
VERDE ENERGY USA ILLINOIS, LLC	NORWALK , Connecticut	96-814-6758
VERDE ENERGY USA NEW JERSEY, LLC	NORWALK , Connecticut	96-814-6840
VERDE ENERGY USA DC, LLC	NORWALK , Connecticut	07-871-3453
VERDE ENERGY USA MARYLAND, LLC	NORWALK , Connecticut	07-847-8168
VERDE ENERGY USA NEW YORK, LLC	NORWALK , Connecticut	07-847-8169
VERDE ENERGY USA MASSACHUSETTS, LLC	NORWALK , Connecticut	07-847-0151
VERDE ENERGY USA TRADING, LLC	NORWALK , Connecticut	96-814-6667
VERDE ENERGY USA CONNECTICUT, LLC	HOUSTON , Texas	07-971-4060
VERDE ENERGY USA TEXAS HOLDINGS, LLC	HOUSTON , Texas	07-975-1669

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Legal Events

The following Public Filing data is for information purposes only and is not the official record. Certified copies can only be obtained from the official source.

Bankruptcies	Judgements	Liens	Suits	UCCs
No	**0** Latest Filing: -	**0** Latest Filing: -	**0** Latest Filing: -	**4** Latest Filing: 01/07/2022

EVENTS

UCC Filing - Continuation

Filing Date	01/07/2022
Filing Number	2022 0185942
Received Date	04/12/2022
Original Filing Date	07/03/2017
Original Filing Number	2017 4383359
Secured Party	COOPERATIEVE RABOBANK U.A., NEW YORK BRANCH, NEW YORK, NY
Debtors	VERDE ENERGY USA OHIO, LLC
Filing Office	SECRETARY OF STATE/UCC DIVISION, DOVER, DE

UCC Filing - Original

Filing Date	07/03/2017
Filing Number	2017 4383359
Received Date	08/18/2017
Collateral	All Assets
Secured Party	COOPERATIEVE RABOBANK U.A., NEW YORK BRANCH, NEW YORK, NY
Debtors	VERDE ENERGY USA OHIO, LLC
Filing Office	SECRETARY OF STATE/UCC DIVISION, DOVER, DE

UCC Filing - Original

Filing Date	06/20/2014
Filing Number	2014 2439768
Received Date	07/24/2014
Collateral	RIGHT, TITLE AND INTEREST and proceeds
Secured Party	COLUMBIA GAS OF OHIO, INC., COLUMBUS, OH
Debtors	VERDE ENERGY USA OHIO, LLC
Filing Office	SECRETARY OF STATE/UCC DIVISION, DOVER, DE

UCC Filing - Original

Filing Date	05/02/2014
Filing Number	2014 1729334

Received Date	06/10/2014
Collateral	RIGHTS, TITLE AND INTEREST and proceeds
Secured Party	VECTREN ENERGY DELIVERY OF OHIO, INC., EVANSVILLE, IN
Debtors	VERDE ENERGY USA OHIO, LLC
Filing Office	SECRETARY OF STATE/UCC DIVISION, DOVER, DE

The public record items contained in this report may have been paid, terminated, vacated or released prior to the date this report was printed. This information may not be reproduced in whole or in part by any means of reproduction.

There may be additional UCC Filings in D&Bs file on this company available by contacting 1-800-234-3867.

Special Events

There are no Special Events recorded for this business.

Financials - D&B

A detailed financial statement is not available from this company for publication.

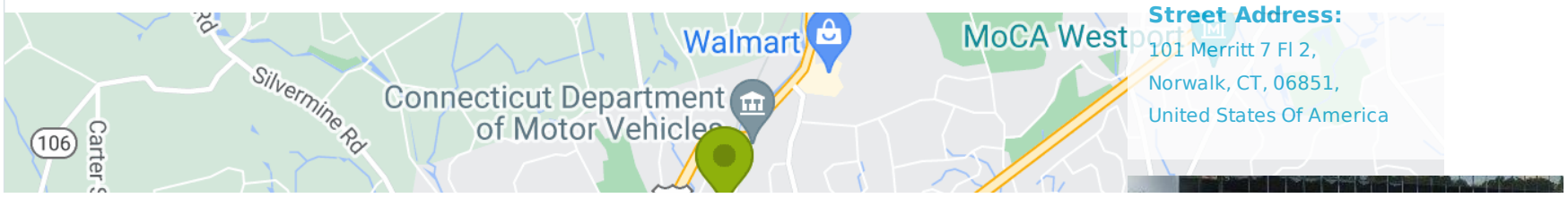
A detailed financial statement is not available from this company for publication.

D&B currently has no financial information on file for this company

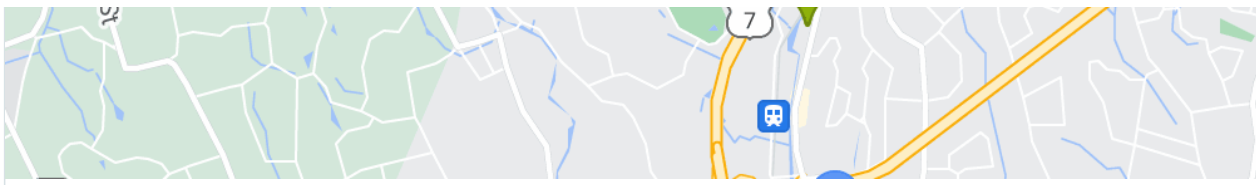
Company Profile

COMPANY OVERVIEW

D-U-N-S 07-830-6041	**Mailing Address** UNITED STATES	**Annual Sales** US$ 1,000,000
Legal Form Partnership	**Telephone** +1 203 663 5700	**Employees** 3
History Record Clear	**Present Control Succeeded** 2011	**Age (Year Started)** 11 Years(2011)
Business Commenced On 2011	**SIC** 49310000	**Named Principal** Thomas Fitzgerald , MBR-PRES
Ownership Not publicly traded	**NAICS** 221118	**Line of Business** Electric and other services combined



Street Address:
101 Merritt 7 Fl 2,
Norwalk, CT, 06851,
United States Of America



BUSINESS REGISTRATION

No business registration attached to this DUNS

PRINCIPALS

Officers

THOMAS FITZGERALD, MBR-PRES

COMPANY EVENTS

The following information was reported on: 06/25/2018

This business was registered as a Limited Liability Company in the State of Ohio on November 8, 2011.

Ownership information provided verbally by Richard Reilly, Mbr-V Pres, on May 17 2012.

Although this company operates as a Limited Liability Company, the members have elected to use officer titles to denote areas of responsibility.

Business started 2011.

THOMAS FITZGERALD. Antecedents are undetermined.

BUSINESS ACTIVITIES AND EMPLOYEES

The following information was reported on: 06/25/2018

Business Information

Trade Names	(SUBSIDIARY OF VERDE ENERGY USA HOLDINGS, LLC, HOUSTON, TX)
Description	Subsidiary of VERDE ENERGY USA HOLDINGS, LLC, HOUSTON, TX. As noted, this company is a subsidiary of Verde Energy USA Holdings, LLC, Duns number 96-814-6576, and reference is made to that report for background information on the parent and its management. Provides electric and other services combined and Cogeneration of electric power (100%). Sells to retailers, manufacturers, general public, commercial concerns and government. Territory : Regional.
Employees	3 which includes partners.
Financing Status	Unsecured
Facilities	Shares premises in building.
Location	Commercial section.

Related Concerns

SIC/NAICS Information

Industry Code	Description	Percentage of Business
4931	Electric and other services combined	-
49310000	Electric and other services combined	-

Industry Code	Description	Percentage of Business
49319901	Cogeneration of electric power	-

NAICS Codes	NAICS Description
221118	Other Electric Power Generation
221118	Other Electric Power Generation

GOVERNMENT ACTIVITY

Activity Summary	
Borrower(Dir/Guar)	No
Administrative Debt	No
Contractor	No
Grantee	No
Party excluded from federal program(s)	No

Your Information

Record additional information about this company to supplement the D&B information.

> Note: Information entered in this section will not be added to D&B's central repository and will be kept private under your user ID. Only you will be able to view the information.

In Folders: View

Account Number
--

Endorsement/Billing Reference *
harrisS3@dnb.com

Sales Representatives

Credit Limit
0

Total Outstanding
0

Audit Trail

Text | Timeline

From : To :

Date/Time of the Event	Event Name	Triggered By	Message
11/16/2022 10:54 AM	Credit Report Pulled	SYSTEM	The credit report was pulled
11/16/2022 10:42 AM	Credit Report Pulled	SYSTEM	The credit report was pulled

Federal Information

REPORTED U.S. GOVERNMENT CONTRACT ACTIONS

No government activity has been found in this section.

REPORTED FEDERAL LOANS AND LOAN GUARANTEES

No government activity has been found in this section.

CLAIMS, FEES, FINES, OVERPAYMENTS, PENALTIES AND OTHER MISC. REPORTED DEBTS TO FEDERAL AGENCIES

No government activity has been found in this section.

REPORTED PARTY EXCLUDED FROM FEDERAL PROGRAM(S)

No government activity has been found in this section.

REPORTED U.S. GOVERNMENT GRANT AWARDS

No government activity has been found in this section.

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139 East Fourth
EM740
Cincinnati, Ohio 45202

Novermber 7, 2022

Verde Energy has met the Electric Collateral obligations for Duke Energy Corporation as of November 7, 2022.

Thanks

Donna Burns
Duke Energy Corp
Certified Supplier Business Center
Donna.Burns@Duke-Energy.com

Competitive Retail Electric Service Affidavit

County of Harris :

State of Texas :

Mike Barajas, 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.

Nikki Barajas, Chief Financial Officer

Signature of Affiant & Title

Sworn and subscribed before me this 21st day of November, 2022

Month Year

Signature of official administering oath

VIKTORYIA AKSIONAVA

Print Name and Title Business Support Manager

VIKTORYIA AKSIONAVA
Notary ID #133750813
My Commission Expires
May 9, 2026

My commission expires on MAY 9, 2026

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

11/23/2022 10:50:44 AM

in

Case No(s). 11-5886-EL-CRS

Summary: In the Matter of the Application of Verde Energy USA Ohio LLC