

DIS Case Number: 15-0120-EL-AGG

Section A: Application Information

A-1. Provider type:		
Nower Broker	Retail Generation	☐ Power

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

Legal Name: Sprague Energy Solutions, Inc
Country: United States

Phone: 6034305302 Extension (if Street: 185 International Drive

applicable):

Website (if any): www.spragueenergy.com City: Portsmouth Province/State: NH

Provider

Postal Code: 03801

Marketer

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	Туре	Address	Active?	Proof
Sprague Energy Solutions Inc.	Mfficial Name	185 International Drive Portsmouth, NH 03801	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	Туре	Address	Active?	Proof

A-5. Contact person for regulatory matters

Brittany Willette 185 International Dr



Portsmouth, NH 03801 US bwillette@spragueenergy.com 6034305318

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

Brittany Willette
185 International Dr
Portsmouth, NH 03801
US
bwillette@spragueenergy.com
6034305318

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

Phone: 8664777248 Extension (if Country: United States

applicable):

Fax: Extension (if applicable): Street: 185 International Drive

Postal Code: 03801

A-8. Applicant's federal employer identification number

453008814

A-9. Applicant's form of ownership

Form of ownership: Corporation

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

AEP Ohio
Duke Energy Ohio
FirstEnergy - Cleveland Electric Illuminating
FirstEnergy - Ohio Edison



FirstEnergy - Toledo Edison AFS Ohio

Class of customer selection

Commercial Industrial Mercantile

A-11. Start date

Indicate the approximate start date the applicant began/will begin offering services: 01-15-2015

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
Brittany Willette	bwillette@spragueenergy.co m	Regulatory & Governance Compliance	185 International Dr Portsmouth, NH 03801 US
Steven Levy	slevy@spragueenergy.com	President	185 International Dr. Portsmouth, NH 03801 US
Paul SCOFF	pscoff@spragueenergy.com	Secretary, Vice President & General Counsel	185 International Dr. Portsmouth, NH 03801 US
Joseph Smith	jsmith@spragueenergy.com	Director & VP Corp. Development and IT	185 International Dr. Portsmouth, NH 03801 US
Brian Weego	bweego@spragueenergy.co m	Director & VP Natural Gas	185 International Dr. Portsmouth, NH 03801 US

A-13. Company history

Sprague Energy Solutions Inc. (Sprague) provides broker services exclusively to commercial, industrial and mercantile customers. Sprague will continue to target customers in these rate classes. A customer choosing a retail supplier signs a contract with that supplier, not with Sprague. The supplier enrolls and blls the customer and directly handles customer inquiries and complaints. Sprague has an excellent and dedicated customer service staff available to handle customer inquiries and this provides the customer with an optional resource for assistance



should the need arise. Sprague does not provide any billing related or collection activity services.

A-14. Secretary of State

Secretary of State Link: https://businesssearch.ohiosos.gov/

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?



No

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

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

No

Section C: Applicant Financial Capability and Experience

C-1. Financial reporting

Provide a current link to the most recent Form 10-K filed with the Securities and Exchange Commission (SEC) or upload the form. If the applicant does not have a Form 10-K, submit the parent company's Form 10-K. If neither the applicant nor its parent is required to file Form 10-K, state that the applicant is not required to make such filings with the SEC and provide an explanation as to why it is not required.

File(s) attached

C-2. Financial statements

Provide copies of the applicant's <u>two most recent years</u> 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 <u>solely</u> 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.

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.



File(s) attached

Section D: Applicant Technical Capacity

D-1. Operations

<u>Power brokers/aggregators:</u> Include details of the applicant's business operations and plans for arranging and/or aggregating for the supply 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, email addresses, and background of key personnel involved in the operations of the applicant's business.

File(s) attached



Application Attachments

D1. Operations

Sprague has been a leading energy supplier since it was founded in Boston, MA in 1870. Today, we are headquartered in Portsmouth, NH and are a leading provider of refined fuels, natural gas, electricity, materials handling and related products and services to wholesale, commercial and industrial customers. We currently employs over 1,200 individuals throughout our service territory in the US and Canada.

Sprague brokers electricity to over 8, 000 commercial and industrial customers located primarily in the US Northeast (New England, NY, PA, NJ, OH, VA and MD) with some customer locations in other deregulated states including IL, TX and FL among others. Our Power Operations Team includes five Sprague employees primarily located in our Eatontown, NJ satellite office. The Power Team is responsible for the following:

- Provide pricing and program support to our sales team
- Manage contract, pricing and sales administration with over 20 power suppliers
- Perform all related internal auditing, forecasting, reporting and planning

D2. Operations Expertise and Key Technical Personnel

Mark A. Roberts

Managing Director – Power Operations and Business Development
603-766-7412

mroberts@spragueenergy.com

Mark has been with Sprague since the creation of their natural gas department in 1999. He has extensive experience in all aspects of natural gas, oil and electricity marketing, sales and supply operations in the Northeastern United States as well as a strong proven record of senior and sales organizational management, staff development, acquisition planning and integration, growth and strategic initiative planning and implementation.

Marilyn Sweeney

Manager - Contract Administration and Power Pricing Desk Team
732-440-0017

mssweeney@spragueenergy.com

Marilyn has been with Sprague since it acquired Metromedia Energy in 2015. She was part of the original team at Metro and played a significant role in the developed and management of their Power Pricing Desk. She has continued and expanded that role at Sprague. Marilyn is very well versed in all aspects of the Desk's functions and responsibilities previously listed and oversees day-to-day operations and staff management.

Tue Dec 06 2022



Entity#: 2051135

Filing Type: FOREIGN CORPORATION

Original Filing Date: 09/30/2011

Location: --

Business Name: SPRAGUE ENERGY SOLUTIONS INC.

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 LICENSE/FOR-PROFIT	09/30/2011	201127600090
FICTITIOUS NAME/ORIGINAL FILING	11/19/2014	201432400549
FOREIGN/AGENT CHANGE OF ADDRESS	03/31/2017	201710302962
FOREIGN/AGENT CHANGE OF ADDRESS	04/17/2017	201710702872
FOREIGN/DESIGNATED APPOINTMENT OF AGENT	10/16/2018	201828900120
FICTITIOUS NAME RENEWAL	11/13/2019	201931701516
FOREIGN/AGENT CHANGE OF ADDRESS	04/18/2022	202210801594



Tue Dec 06 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 6th of December, A.D. 2022

Ohio Secretary of State

Exhibit B-1 "Jurisdiction of Operation"

The company is a licensed electricity broker and/or is authorized to operate in the following jurisdictions:

- Connecticut
- Delaware
- District of Columbia
- Illinois
- Maine
- Maryland
- Massachusetts
- Michigan
- New Hampshire
- New Jersey
- New York
- Ohio
- Pennsylvania
- Rhode Island
- Texas
- Virginia

Exhibit B-2 "Experience & Plans"

Sprague Energy Solutions Inc. (Sprague) provides broker services exclusively to commercial and industrial customers in the 16 jurisdictions detailed in Exhibit B-1. Sprague will continue to target customers in these rate classes as it expands deeper into these markets and into other states.

A customer choosing a retail supplier signs a contract with that supplier, not with Sprague. The supplier enrolls and bills the customer and directly handles customer inquiries and complaints. However, because the expertise of Sprague's sales team is instrumental in the customer's decision to choose a new supplier, Sprague may find that a customer contacts Sprague for post-enrollment information. Sprague has an excellent and dedicated customer service staff available to handle customer inquiries and this provides the customer with an optional resource for assistance should the need arise.

Sprague does not provide any billing-related or collection activity services.

Exhibit B-3 "Disclosure of Liabilities and Investigations"

Not applicable.

Exhibit C-8 "Bankruptcy Information"

Not applicable.

D1. Operations

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Managing Director – Power Operations and Business Development
603-766-7412

mroberts@spragueenergy.com

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Marilyn Sweeney

Manager - Contract Administration and Power Pricing Desk Team
732-440-0017

mssweeney@spragueenergy.com

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Date Printed:12/06/2022

LIVE REPORT

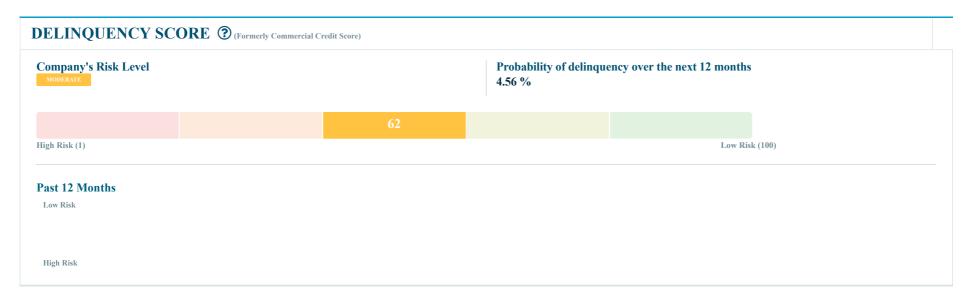
SPRAGUE ENERGY SOLUTIONS INC. (SUBSIDIARY OF SPRAGUE OPERATING RESOURCES LLC, PORTSMOUTH, NH) O7-833-9008 +1 800 225 1560 185 International Dr, Portsmouth, NH, 03801, United States Of Ar www.spragueenergy.com dmosher@spragueenergy.com

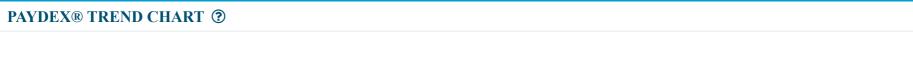
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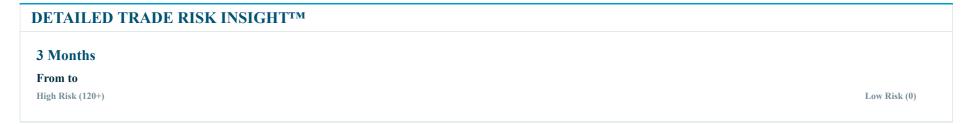
Y DATA ELEMENTS (Formerly: SCORE BAR)			
KDE Name		Current Status	Details
PAYDEX®		UNAVAILABLE	
Delinquency Score Class	^	3	Moderate Risk of severe payment delinquency
Failure Score Class	•	4	Moderate to High Risk of severe financial stress
Credit Limit - D&B Conservative		20,000.00	Based on profiles of other similar companies.
D&B Rating			Unavailable.

D&B PAYDEX - 3 MONTHS ②		
	UNDETERMINED	

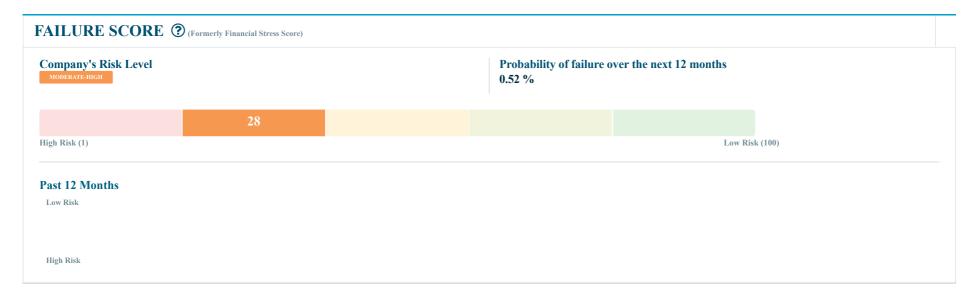
COMPANY PROFILE ③		
D-U-N-S	Mailing Address	Age (Year Started)
07-833-9008	UNITED STATES	11 Years (2011)
Legal Form	Telephone	Named Principal
Corporation (US)	+1 800 225 1560	Dave Glendon, PRES-CEO
History Record	Website	Line of Business
Incomplete	www.spragueenergy.com	Whol industrial supplies
Date Incorporated	Present Control Succeeded	SIC
07/07/2011	2011	50859903
State of Incorporation		NAICS
DELAWARE		423840
Ownership		
Not publicly traded		







LEGAL EVENTS			
Events	Occurrences	Last Filed	
Bankruptcies	0	-	
Judgements	0	-	
Liens	0	-	
Suits	0	-	
UCC	4	05/19/2020	



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

OWNERSHIP			
Subsidiaries 4	Branches 2	Total Members 73	
This company is a Subsidiary.			
	Immediate Parent	Global Ultimate	Domestic Ultimate
Name		Global Ultimate	
Name Country			
	Sprague Operating Resou	rces LLC Sprague Resources	LP Sprague Resources LP

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.

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Associations

All Credit Files with Same D-U-N-S® Number as this D&B Live Report

ALL CREDIT FILES WITH SAME D-U-N-S® NUMBER AS THIS D&B LIVE REPORT				
Company Name	Type	<u>Status</u>	Date Created	
Sprague Energy Solutions Inc.	ACCOUNT - #89582000	No Action Recommended	05/12/2014	
Sprague Energy Solutions Inc.	ACCOUNT - #26369000	No Action Recommended	05/12/2014	

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 * Sales Representatives
-- dmosher@spragueenergy.com

Credit Limit	Total Outstanding	
0	0	

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<u>US Government Employee Disclaimer</u>



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Date Printed:12/06/2022

LIVE REPORT

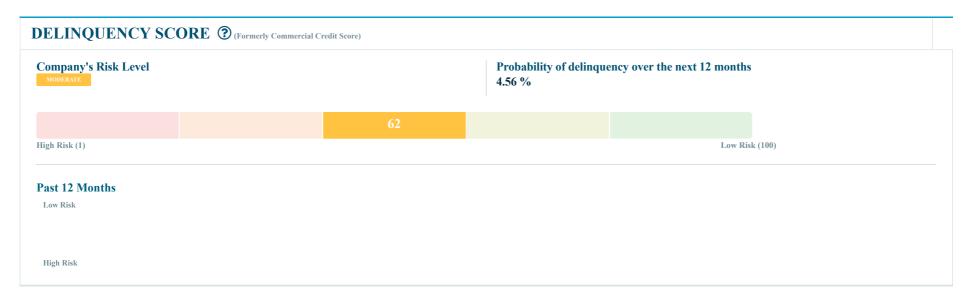
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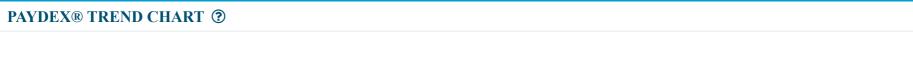
Summary

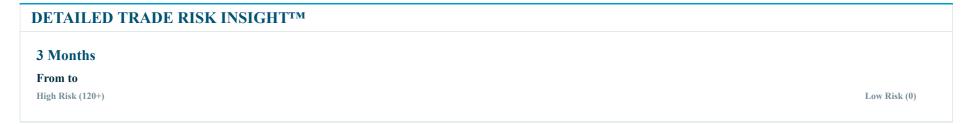
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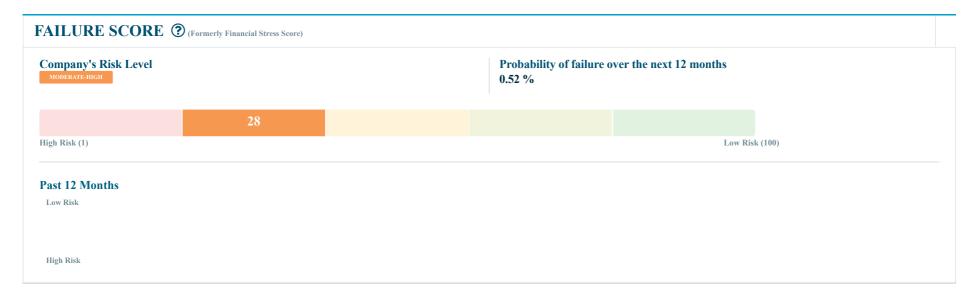
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Ownership		
Not publicly traded		







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Judgements	0	-	
Liens	0	-	
Suits	0	-	
UCC	4	05/19/2020	



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

OWNERSHIP			
Subsidiaries 4	Branches 2	Total Members 73	
This company is a Subsidiary.			
	Immediate Parent	Global Ultimate	Domestic Ultimate
Name		Global Ultimate	
Name Country			
	Sprague Operating Resou	rces LLC Sprague Resources	LP Sprague Resources LP

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-- dmosher@spragueenergy.com

Credit Limit	Total Outstanding	
0	0	

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<u>US Government Employee Disclaimer</u>

Competitive Retail Electric Service Affidavit

County of	Mockingr	YWh.
State of _	NH	_:
Paul	Scaff	, Affiant, being duly sworn/affirmed, hereby states that:

 \mathcal{D}

- 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.

	curate to the best of his/her knowledge, information, and cant to be able to prove the same at any hearing hereof.
Signature of Affiant & Title	ce President
Sworn and subscribed before me this 10 th	day of January, 2023 Month Year Topp Bottom, Normaly Print Name and Title
2-8	My commission expires on 12-18-25

Exhibit C-1 "Annual Reports"

Sprague Energy Solutions Inc. is a privately held corporation. It does not issue an "Annual Report to Shareholders" or its equivalent.

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

1/16/2023 2:00:44 PM

in

Case No(s). 15-0120-EL-AGG

Summary: In the Matter of the Application of Sprague Energy Solutions, Inc