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**Public Utilities  
Commission**

**PUCO**

Competitive Retail Electric Service (CRES)  
Provider Application

Case Number: 17 - 1093 -EL-AGG

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

## A. Application Information

### A-1. Provider Type.

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

Aggregator

☐

Power Broker

☒

Power Marketer

☐

Retail Electric  
Generation Provider

☐

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

Provide the name and contact information of the business entity.

Legal Name: DNE Sales, LLC  
Street Address: 35A Smithfield Blvd., Suite 221  
City: Plattsburg State: NY Zip: 12901  
Telephone: 888-631-7977 Website: www.dneresources.com

### A-3. Names and contact information under which the applicant will do business in Ohio.

Provide the names and contact information the business entity will use for business in Ohio. This does not have to be an Ohio address and may be the same contact information given in A-2.

Name: DNE Sales, LLC  
Street Address: 35A Smithfield Blvd., Suite 221  
City: Plattsburg State: NY Zip: 12901  
Telephone: 888-631-7977 Website: www.dneresources.com

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

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

Name(s): DNE Resources  
DNE Sales, LLC

Dominion Newenergy Inc.

This is to certify that the images  
appearing are an accurate and  
complete reproduction of a case file  
document delivered in the regular  
course of business.

Technician MN

Date Processed

**APR 10 2023**

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

Name: Wayne Burke Title: Chief Executive Officer  
Street Address: 16766 Trans-Canada Highway, Suite 100  
City: Kirkland State: Québec, Canada Zip: H9H 4M7  
Telephone: 514-692-8753 Email: wayne.burke@dnresources.com

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

Name: Wayne Burk Title: Chief Executive Officer  
Street Address: 16766 Trans-Canada Highway, Suite 100  
City: Kirkland State: Québec, Canada Zip: H9H 4M7  
Telephone: 514-692-8753 Email: wayne.burke@dnresources.com

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

Street Address: 16766 Trans-Canada Highway, Suite 100  
City: Kirkland State: Québec, Canada Zip: H9H 4M7  
Toll-free  
Telephone: 888-631-7977 Email: jmg@dnehq.com

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

FEIN: 50-0030002

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

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

**A-10. Identify current or proposed service areas.**

Identify each service area in which the applicant is currently providing service or intends to provide service and identify each customer class that the applicant is currently serving or intends to serve.

**Service area selection:**

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

☒

FirstEnergy – Toledo  
Edison

☒

**Class of customer selection:**

Commercial

☒

Industrial

☒

Mercantile

☒

Residential

☒

**A-11. Start Date.**

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

Date: May 2017

**A-12. Principal officers, directors and partners.**

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

*Please refer to Exhibit A-12.*

**A-13. Company history.**

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

*Please refer to Exhibit A-13.*

**A-14. Secretary of State.**

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

*Please refer to Exhibit A-14.*

## **B. Managerial Capability**

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

**B-1. Jurisdiction of operations.**

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

*Please refer to Exhibit B-1.*

**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.

*Please refer to Exhibit B-2.*

**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.

*Please refer to Exhibit B-3.*

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

Has the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years? If yes, attach a document detailing the information.

Yes

☐

No

☒

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

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

Yes

☐

No

☒

**B-6. Environmental disclosure.**

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

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

***Not applicable.***

**C. Financial Capability**

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

**C-1. Financial reporting.**

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

*Please refer to Exhibit C-1.*

**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.

*Please refer to Exhibit C-2 - Confidential and Redacted.*

**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.

*Please refer to Exhibit C-3 - Confidential and Redacted.*

**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".

*Not applicable.*

**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.

*Please refer to Exhibit C-5 - Confidential and Redacted.*

**C-6. Bankruptcy information.**



Within the previous 24 months, have any of the following filed for reorganization, protection from creditors or any other form of bankruptcy? If yes, attach a document detailing the information.

Applicant

Parent company of the applicant

Affiliate company that guarantees the financial obligations of the applicant

Any owner or officer of the applicant

Yes

☐

No

☒

**C-7. Merger information.**

Is the applicant currently involved in any dissolution, merger or acquisition activity, or otherwise participated in such activities within the previous 24 months? If yes, attach a document detailing the information.

Yes

☐

No

☒

**C-8. Corporate structure.**

Provide a graphical depiction of the applicant's corporate structure. Do not provide an internal organizational chart. The graphical depiction should include all parent holding companies, subsidiaries and affiliates as well as a list of all affiliate and subsidiary companies that supply retail or wholesale electricity or natural gas to customers in North America. If the applicant is a stand-alone entity, then no graphical depiction is required, and the applicant may respond by stating that it is a stand-alone entity with no affiliate or subsidiary companies.

*Please refer to Exhibit C-8.*

**C-9. Financial arrangements.**

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

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

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

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

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

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

***Please refer to Exhibit C-9.***

## **D. Technical Capability**

Provide an attachment for each of the sections below.

### **D-1. Operations.**

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

***Please refer to Exhibit D-1.***

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

### **D-2. Operations expertise and key technical personnel.**

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

***Please refer to Exhibit D-2.***


### **D-3. FERC power marketer authorization.**

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

Provide the FERC docket granting the applicant power marketer authority.

***Please refer to Exhibit D-3.***

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

  
\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Chief Executive Officer**  
\_\_\_\_\_  
Title



# **Competitive Retail Electric Service Affidavit**

County of Québec :

State of Montreal :

Wayne Burke, 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.

                     **Chief Executive Officer**  
Signature of Affiant & Title

Sworn and subscribed before me this 24 day of Feb, 2023  
Month Year

                      
Signature of official administering oath

Commissioner of Oaths  
Print Name and Title

My commission expires on Feb 2025



## **Exhibit A-12**

### **Principal Officers, Directors and Partners**

<b>Name</b>	<b>Title</b>	<b>Address</b>	<b>Telephone Number</b>
Wayne Burke	President	27 Carmel, Hudson, Québec, Canada J0P 1H0	514-692-8753
Steve Shoiry	Chief Revenue Officer	14 Hickory Street, Dollard-des- Ormeaux, Québec, Canada H9G 3B7	888-631-7977 Ext. 444

## **Exhibit A-13**

### **Company History**

DNE Resources (“DNE”) is an independent energy consulting firm specializing in energy procurement (natural gas and electricity purchasing) and energy efficiency (energy auditing, energy monitoring, HVAC and LED lighting) in deregulated energy markets. Following our core values of (1) do the right thing, (2) stay hungry, stay humble, (3) work hard, play hard, and (4) give, we have helped over 400,000 clients choose energy programs based on their priorities – be they carbon neutrality, reduced spending and/or budget stability.

DNE is the outcome of a partnership between Steve Shoiry and Wayne Burke. DNE was born in Steve’s apartment in late 2009. In 2004, Wayne was offered a job in energy sales, and over the ensuing five years was promoted and transferred across Canada to open offices. Steve asked Wayne to bring his experience in retail energy sales management to bear as a 50-50 partner in 2009 and the two partners have been building ever since. Today, DNE is a multinational corporation with over 45 employees and growing.

DNE was built from our core values: (1) do the right thing, (2) stay hungry, stay humble, (3) work hard, play hard, and (4) give. It is these core values that we instill in our workforce every day. Every decision, policy, and procedure employed at DNE is made with these core values in mind. DNE helps businesses assess their current buying strategy, analyze the market conditions, review available energy options, implement a game plan, track performance, and conduct an annual review of their energy portfolio. After the initial market assessment, we work closely with purchasing teams to outline budgeting and financial objectives. Using our strong supplier relationships and purchasing power, we negotiate on behalf of our customers for the best price. Based on the original energy assessment, the customer’s risk aversion and financial goals, we will recommend a product structure tailored to a particular business.

**Exhibit A-14**  
**Secretary of State**



DATE	DOCUMENT ID	DESCRIPTION	FILING	EXPED	CERT	COPY
04/08/2019	201909801642	SUBSEQUENT AGENT APPOINTMENT (LSA)	25.00	0.00	0.00	0.00

**Receipt**

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

CORPORATION SERVICE COMPANY  
ATTN: DEANNE E. SCHAUSEIL  
50 W. BROAD STREET-SUITE 1330  
COLUMBUS, OH 43215

# STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Frank LaRose  
2171589

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

**DNE SALES, LLC**

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

Document(s)

**SUBSEQUENT AGENT APPOINTMENT**

Effective Date: 04/05/2019

Document No(s):

**201909801642**



United States of America  
State of Ohio  
Office of the Secretary of State

Witness my hand and the seal of the  
Secretary of State at Columbus, Ohio this  
8th day of April, A.D. 2019.

*Frank LaRose*  
Ohio Secretary of State

Form 521 Prescribed by:

**JON HUSTED**  
Ohio Secretary of State



Toll Free (877) 802-FILE (877-757-3453)  
Capital City (614) 466-5800  
www.OhioSecretaryOfState.gov  
husted@OhioSecretaryOfState.gov  
File online or for more information www.OhioBusinessCentral.com

Mail this form to one of the following:

Regular Filing (not expedited)  
P.O. Box 788  
Columbus, OH 43216

Expedite Filing (this business day processing time,  
Required on payment of \$100 fee)  
P.O. Box 1880  
Columbus, OH 43216

**Statutory Agent Update**  
**Filing Fee: \$25**  
**Form Must Be Typed**

(CHECK ONLY ONE(1) BOX)

**(1) Subsequent Appointment of Agent**

- ☐ Corp (165-AGS)
- ☐ LP (165-AGS)
- ☒ LLC (171-LSA)
- ☐ Business Trust (171-LSA)
- ☐ Real Estate Investment Trust (171-LSA)

**(2) Change of Address of an Agent**

- ☐ Corp (145-AGA)
- ☐ LP (145-AGA)
- ☐ LLC (144-LAD)
- ☐ Business Trust (144-LAD)
- ☐ Real Estate Investment Trust (144-LAD)

**(3) Resignation of Agent**

- ☐ Corp (165-AGR)
- ☐ LP (165-AGR)
- ☐ LLC (153-LAG)
- ☐ Partnership (163-LAG)
- ☐ Business Trust (153-LAG)
- ☐ Real Estate Investment Trust (153-LAG)

Name of Entity **ONE Sales, LLC**

Charter, License or Registration No. **2171599**

Name of Current Agent **Business Filings Incorporated**

RECEIVED  
2019 APR -5 PM 3:44  
CLIENT SERVICE CENTER

Complete the information in this section if box (1) is checked

Name and Address of New Agent

**Corporation Service Company**  
Name of Agent

**50 West Broad Street, Suite 1330**  
Mailing Address

**Columbus**  
City

**Ohio**  
State

**43215**  
ZIP Code

Complete the information in this section if box (1) is checked and business is an Ohio entity

**ACCEPTANCE OF APPOINTMENT FOR DOMESTIC ENTITY'S AGENT**

The Undersigned, Corporation Service Company, named herein as the  
Name of Agent

statutory agent for DNE Sales, LLC, hereby acknowledges  
Name of Business Entity

and accepts the appointment of statutory agent for said entity.

Signature: By: Kaitlyn Rose, Asst. VP  
Corporation Service Company

Individual Agent's Signature/Signature on behalf of Business Serving as Agent

Complete the information in this section if box (2) is checked

New Address of Agent   
Mailing Address

Ohio   
City State ZIP Code

Complete the information in this section if box (3) is checked

The agent of record for the entity identified on page 1 resigns as statutory agent.

Current or last known address of the entity's principal office where a copy of this Resignation of Agent was sent as of the date of filing or prior to the date filed.

Mailing Address

City State Zip Code



By signing and submitting this form to the Ohio Secretary of State, the undersigned hereby certifies that he or she has the requisite authority to execute this document.

**Required**

Agent update must be signed by an authorized representative (see instructions for specific information).

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

If authorized representative is a business entity, not an individual, then please print the business name in the "signature" box, an authorized representative of the business entity must sign in the "By" box and print their name in the "Print Name" box.



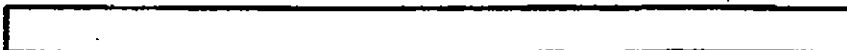
Signature



By (if applicable)



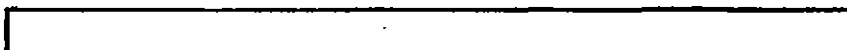
Print Name



Signature



By (if applicable)



Print Name

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

*I, Jon Husted, do hereby certify that I am the duly elected, qualified and present acting Secretary of State for the State of Ohio, and as such have custody of the records of Ohio and Foreign business entities; that said records show DNE SALES, LLC, a Delaware For Profit Limited Liability Company, Registration Number 2171589, filed on February 5, 2013, is currently in FULL FORCE AND EFFECT upon the records of this office.*



*Witness my hand and the seal of the  
Secretary of State at Columbus, Ohio  
this 4th day of April, A.D. 2017.*

*Jon Husted*

Ohio Secretary of State

Validation Number: 201709400780

## **Exhibit B-1**

### **Jurisdiction of Operations**

DNE Sales, LLC ("DNE") is authorized to provide retail natural gas to retail customers in Montana, and retail natural gas and electricity to retail customers in Illinois, Massachusetts, Ohio, Pennsylvania and Texas.

## **Exhibit B-2**

### **Experience and Plans**

As a licensed broker, DNE Sales, LLC ("DNE") works with licensed suppliers in the State of Ohio to contract to small and large customers. DNE has a history of successful B2B sales within the Ohio electricity market having spent four and a half years serving over 1,000 customers. DNE's role as a broker is to find new customers for our supply partners and provide competitive pricing and market updates for the consumer. After the initial agreement, we conduct a terms verification call (third-party verification or "TPV"). The relationship then becomes between the supplier and the customer. DNE is not involved in billing or account inquiries of any kind. DNE does have a history of recording excellent customer service reviews with all of our supplier partners. We investigate and address any concerns that arise immediately.

## **Exhibit B-3**

### **Disclosure of Liabilities and Investigations**

Since its last renewal for certification, DNE Sales, LLC ("DNE") has not encountered any revocation of licenses, revocations of authority, regulatory investigations, or any other investigations that would adversely impact DNE's financial or operational status.

## **Exhibit B-6**

### **Environmental Disclosure**

This is not applicable as DNE Sales, LLC is a Power Broker, and not a power marketer or retail electric generation provider.

## **Exhibit C-1**

### **Financial Reporting**

DNE Sales, LLC ("DNE") is not a publicly traded company; therefore, not required to file with the Securities and Exchange Commission ("SEC"). DNE is not a SEC registrant, has no public issuances of debt nor equity, and has no SEC reporting obligations. Quarterly and annual reports such as 10-Ks, 8-Ks, and 10-Qs are not applicable.

## **Exhibit C-6**

### **Bankruptcy Information**

DNE Sales, LLC has not had any reorganizations that resulted in bankruptcy nor any other form of bankruptcy filings by DNE Sales, LLC or any of its parent or affiliate organizations.



## **Exhibit C-7**

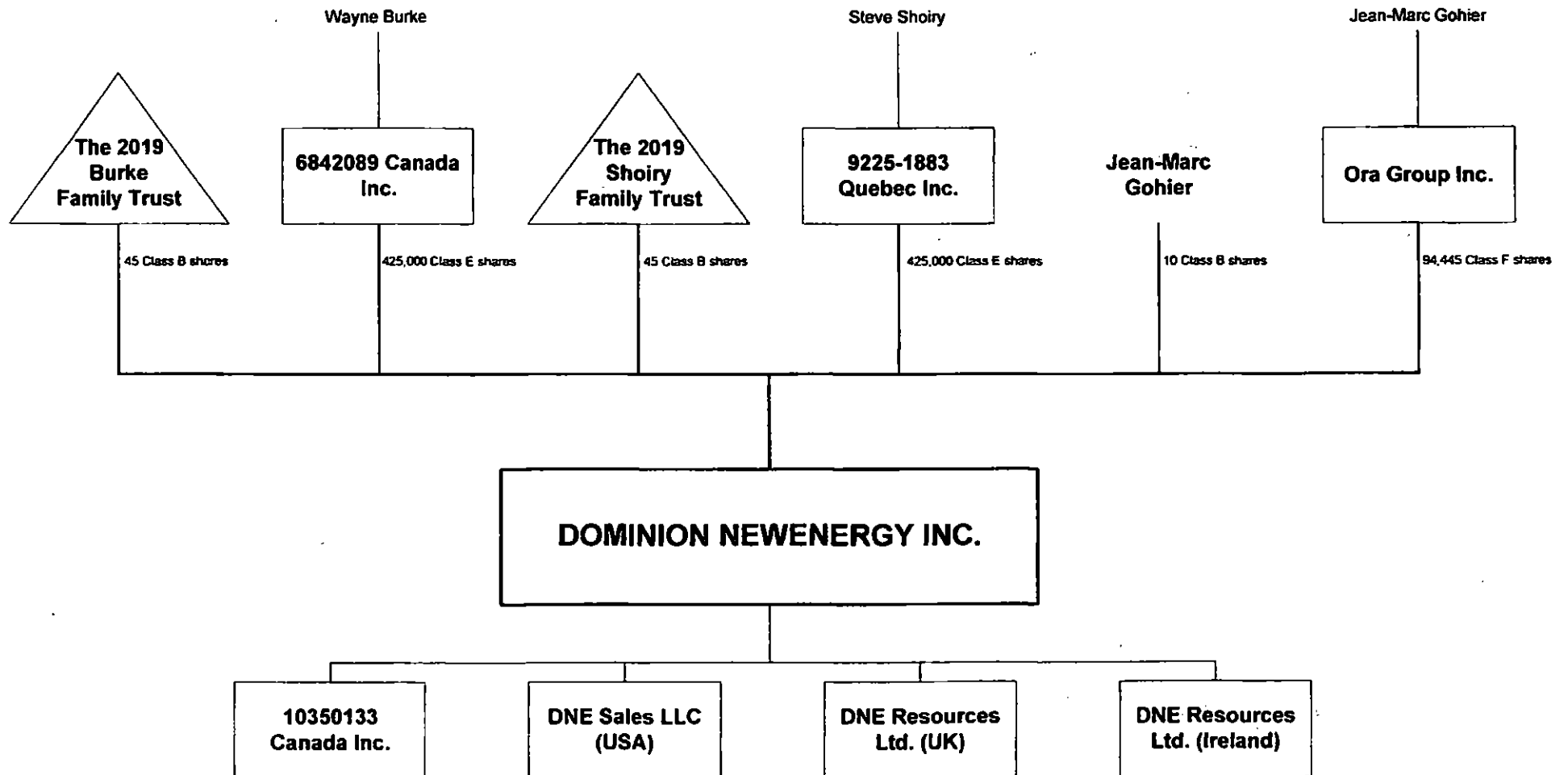
### **Merger Information**

DNE Sales, LLC has not had any dissolution, merger nor acquisition that altered the composition of the organization. On September 22, 2014, the shareholders of 7818947 Canada Inc. (an Alberta-based holding company which owned DNE Sales, LLC and its affiliates) transferred their ownership from the holding company to Dominion Newenergy Inc., while continuing to maintain the ultimate ownership of DNE Sales, LLC or its affiliates.

**Exhibit C-8**  
**Corporate Structure**

# DOMINION NEWENERGY INC.

Organizational Chart  
(as at December 31, 2020)



(only includes wholly-owned subsidiaries)

## **Exhibit C-9**

### **Financial Arrangements**

Not applicable; DNE Sales, LLC seeks to renew its power broker certificate and does not seek to conduct retail electric activity.

## **Exhibit D-1**

### **Operations**

We have continually challenged ourselves to achieve the highest levels of quality control in our industry. We have devised quality control measurements that previously did not exist in order to track performance and set targets for continual improvements.

A Third-Party Verification ("TPV") call is required for all contracts we process. We will not operate without it and will do the TPV ourselves if the retailer does not. This applies to all forms of business, residential, commercial and industrial whether the regulator inquires a TPV or not. Model scripts are available upon request.

## **Exhibit D-2**

### **Operations Expertise and Key Technical Personnel**

DNE Resources is a Better Business Bureau™ accredited firm with an A+ rating since 2013, a clear statement as one of the highest quality control standards in the industry.

Following are the resumes for:

Wayne Burke  
President  
(514) 692-8753

Steve Shoiry  
Chief Revenue Officer  
(514) 262-9619

# WAYNE BURKE

829 Rue Charon, Montreal QC H3K 2P7 — 514-692-8753 — wayne.burke@dnresources.com

Dynamic, results-oriented leader and entrepreneur with a strong track record of performance in turnaround and high-paced organizations. Utilize keen analysis and insights and team approach to drive organizational improvements and implementation of best practices. Superior interpersonal skills, capable of resolving multiple and complex (sales, human resources, legal, financial, operational) issues and motivating staff to peak performance.

## SKILLS

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- Strategic Planning
- Energy Products & Services
- Organizational Development
- Regulations & Relations
- International Expansion
- Strategic Partnerships
- Performance Improvement
- Sales & Marketing Leadership
- Policy & Procedure Development

## PROFESSIONAL EXPERIENCE

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### **DNE Resources, *President*** 2010–Present

- Grew business from small start up to one of the largest energy consulting firms in North America
- Organized expansion into new territories and countries such as Ireland and the United Kingdom.

### **Superior Energy, *National Director of Sales*** 2008–2010

- Founded offices in Montreal & Vancouver
- Responsible for company revenue and market outcomes

### **Summitt Energy, *Regional Director of Sales*** 2007–2008

- Supervised middle management
- Set sales targets and strategic goals

## RECENT CAREER HIGHLIGHTS

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- Oversaw 100% net growth (\$240,000 to \$9.2 million) 2010–2014  
*DNE Resources*
- EY Entrepreneur of the Year™ Award Winner: Quebec Young Entrepreneur 2014
- Sold the most residential energy contracts by volume in Alberta 2011–2012  
*DNE Resources*
- Achieved gross revenue of \$15 million for a client (\$3.75 million profit for employer) 2008  
*Superior Energy*
- Turnaround of a satellite office: increased sales contracts by 420% 2007  
*Summitt Energy*

## EDUCATION

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### **McGill University — Montreal, QC** 2010–2013

B.C.L./LL.B.

- President: McGill Business Law Association

### **Concordia University — Montreal, QC**

2007–2010

B.A. (Political Science)

- Dean's List
- Arts and Science Scholar's Award
- Elder member of Zeta Psi Fraternity

# STEVE SHOIRY

14 Hickory, Montreal QC H9G 3B7 — 514-262-9619 — [steve.shoiry@dnresources.com](mailto:steve.shoiry@dnresources.com)

Energetic, and versatile leader and entrepreneur with over 7 years of experience and demonstrating a strong track record of performance in turnaround and high-paced organizations. Take pride in ability to motivate, energize and lead to successful outcomes. Superior interpersonal skills, contagious passion for high energy, and a talent for resourceful business coordination and execution.

## SKILLS

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- |   |                              |                                  |
|---|------------------------------|----------------------------------|
| • Leadership and tactical business planning | • Regulations & Relations    | • Performance Improvement        |
| • Sales management                          | • Organizational Development | • Strategic Partnerships         |
| • Energy Products & Services                | • International Expansion    | • Policy and product development |

## PROFESSIONAL EXPERIENCE

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- |  |              |
|--|--------------|
| <b>DNE Resources, Chief Revenue Officer (CRO)</b>  | 2009–Present |
| • Grew business from small start up to one of the largest energy consulting firms in North America |              |
| • Organized expansion into new territories and countries such as Ireland and the United Kingdom.   |              |
| <b>Superior Energy, Consultant</b>   | 2008         |
| • Energy consultant in the Quebec Gas Market   |              |
| <b>Multi-Prets, Broker</b>   | 2006–2007    |
| • Mortgage broker  |              |

## RECENT CAREER HIGHLIGHTS

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- |  |           |
|--|-----------|
| • Oversaw 100% net growth (\$240,000 to \$9.2 million)<br><i>DNE Resources</i>                 | 2010–2014 |
| • EY Entrepreneur of the Year™ Award Winner: Quebec Young Entrepreneur<br><i>DNE Resources</i> | 2014      |
| • Sold the most residential energy contracts by volume in Alberta<br><i>DNE Resources</i>      | 2011–2012 |

## EDUCATION

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- |   |           |
|---|-----------|
| <b>John Abbott College — Montreal, QC</b> | 2000–2004 |
| • Business Administration Degree          |           |
| <b>LaSalle College — Montreal, QC</b>     | 2005      |
| • Real Estate and Mortgage Certificate    |           |



## **Exhibit D-3**

### **FERC Power Marketer Authorization**

DNE Sales, LLC ("DNE") is not a power marketer nor retail electric generation provider; hence, DNE is not required to provide a FERC power marketer authorization.