



DIS Case Number: 13-1206-GA-CRS

## Section A: Application Information

### A-1. Provider type:

☐ Retail Natural Gas  
Broker

☐ Retail Natural Gas  
Aggregator

☒ Retail Natural Gas  
Marketer

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

**Legal Name:** Alpha Gas And Electric LLC

**Country:** United States

**Phone:** 8458100088      **Extension (if applicable):**

**Street:** 12 College Road, Suite 100

**Website (if any):**  
www.alphagasandeelctric.com

**City:** Wickliffe

**Province/State:**

**Postal Code:** 10952

### 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
Alpha Gas and Electric, LLC	Official Name	12 college road Suite 100 Monsey, NY 10952	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
Alpha Gas and Electric, LLC	Official Name	12 college road Suite 100 Monsey, NY 10952	Yes	File

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

Joe Koval  
12 College Rd.  
Monsey, NY 10952  
US  
joe.koval@alphagne.com  
2168490279

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

Joe Koval  
12 College Rd.  
Monsey, NY 10952  
US  
joe.koval@alphagne.com  
2168490279

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

<b>Phone:</b> 888-636-3749	<b>Extension (if applicable):</b>	<b>Country:</b> United States
<b>Fax:</b>	<b>Extension (if applicable):</b>	<b>Street:</b> 12 College Road
<b>Email:</b> compliance@alphagne.com		<b>City:</b> Monsey
		<b>Province/State:</b> NY
		<b>Postal Code:</b> 01952

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

27-3718690

**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**

Columbia Gas of Ohio  
 Dominion Energy Ohio  
 Duke Energy Ohio

**Class of customer selection**

Industrial  
 Residential  
 Small Commercial  
 Large Commercial

**A-11. Start date**

Indicate the approximate start date the applicant began/will begin offering services: 04-23-2021

**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
Joe Koval	joe.koval@alphagne.com	General Counsel	12 College Rd. Monsey, NY 10952 US
Levi Moeller	levi.moeller@alphagne.com	Chief Operating Officer	12 College Road Monsey, NY 10952 US
Harvey Klein	harvey.klein@alphagne.com	Chief Executive Officer	12 college rd monsey, NY 10952 US

**A-13. Company history**

Alpha Gas and Electric was originally founded on October 19th, 2010 under the name of Pan American, LLC. Later on, our name changed to Alpha Gas and Electric, LLC. Alpha is based in Rockland County; NY and it is proudly servicing hundreds of commercial and residential customers in more than 35 utility service zones. Moreover, we are currently servicing customers in a wide range of jurisdictions, including Illinois, Maryland, Massachusetts, New Jersey, New York, Ohio, Pennsylvania, and Washington DC.



## Public Utilities Commission

Alpha Gas and Electric's core mission and principal business interest is to offer its customers innovative solutions that provide for pricing stability and rate protection along with an exemplary customer experience whether you have a home or building receiving energy from us.

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

Secretary of State Link:

### **A-15. Proof of Ohio Employee and Office**

Provide proof of an Ohio Office and Employee in accordance with Section 4929.22 of the Ohio Revised Code. List the designated Ohio employee's name, Ohio office address, telephone number and web site address

**Employee Name:** Joe Koval

12 College Rd.

Monsey, NY 10952

US

joe.koval@alphagne.com

2168490279

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

**No**

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

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**



## Public Utilities Commission

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

Does not apply

### C-2. Financial statements

Provide copies of the applicant's two most recent years of audited financial statements, including a balance sheet, income statement, and cash flow statement. If audited financial statements are not available, provide officer certified financial statements. If the applicant has not been in business long enough to satisfy this requirement, provide audited or officer certified financial statements covering the life of the business. If the applicant does not have a balance sheet, income statement, and cash flow statement, the applicant may provide a copy of its two most recent years of tax returns with **social security numbers and bank account numbers redacted**.

If the applicant is unable to meet the requirement for two years of financial statements, the Staff reviewer may request additional financial information.

Preferred to file this information confidentially

### C-3. Forecasted financial statements

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

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

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



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

Preferred to file confidentially

#### C-4. Credit rating

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

This does not apply

#### C-5. Credit report

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

Preferred to file this information confidentially

#### C-6. Bankruptcy information

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

- Applicant
- Parent company of the applicant

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

No

### **C-7. Merger information**

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

No

### **C-8. Corporate structure**

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

Stand-alone entity with no affiliate or subsidiary companies

### **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





## Public Utilities Commission

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).

File(s) attached

### Section D: Applicant Technical Capacity

#### D-1. Operations

Gas Marketers: Describe the operational nature of the applicant's business, specifying whether operations will include the contracting of natural gas purchases for retail sales, the nomination and scheduling of retail natural gas for delivery, and/or the provision of retail ancillary services, as well as other services used to supply natural gas to the natural gas company city gate for 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



Public Utilities  
Commission

# Application Attachments



## CERTIFICATE OF GOOD STANDING

Your entity number brought back the following business information. Please review this information to verify this is your business and click "Proceed to Payment" to continue. If the business information below is not correct, please click "Try Again" below to search again.

Registration Number:

2145586

Business Name:

ALPHA GAS AND ELECTRIC, LLC

Incorporation/Registration  
Date:

10/22/2012 9:00:00 AM

Status:

Active

[\(what is Status?\)](#)

Statutory Agent on  
Record:

VCORP AGENT SERVICE, II

Agent Address on Record:

4400 EASTON COMMONS WAY, COLUMBUS, OH 43

# **DISCLOSURE OF LIABILITIES AND INVESTIGATIONS**

## **EXHIBIT B-3**

Alpha Gas and Electric, LLC. does not have any existing, pending, or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or any other matters that could adversely impact the financial or operational status or ability to provide the services we are seeking to be certified to provide.

# EXPERIENCE AND PLANS

## Exhibit B-2

### BACK END FUNCTIONS

Alpha Gas and Electric, LLC. uses EBEST Systems to manage the back end of enrollments and customer accounts. We work with larger pipelines, such as Transco, Tetco, Columbia Gulf, Columbia Gas, Tennessee Pipeline, and Algonquin.

Genscape, are our aggregators, and provide back-office support.

### FRONT END FUNCTIONS

Alpha Gas and Electric, LLC. aims to keep the level of customer service at a high level. Every call is monitored and recorded. We listen to these recordings at random, to ensure that each customer service representative is treating our customers with respect, and helping to resolve all issues they may have. We take our customer service very seriously, and it is our goal to have only positive feedback from our growing number of customers.

Alpha works with very reputable, first class marketing companies for all marketing campaigns. Our marketing coordinators keep the quality control under a very careful watch. Supervisors monitor and listen to calls to ensure that our quality and integrity remains at the level we expect it.

We have multiple promotion programs that we intend to implement in Ohio. We intend to offer customers exciting programs and incentives, as well as great customer service.

# **JURISDICTIONS OF OPERATION**

## **EXHIBIT B-1**

### **Current market of Alpha Gas and Electric, LLC**

- New York Public Service Commission
  - Con Edison
  - Keyspan NY
  - Keyspan LI
  - Orange and Rockland
  - Niagara Mohawk
  - NYSEG
  - Rochester Gas and Electric
  - Central Hudson
  - National Fuel Gas
- New Jersey Board of Public Utilities
  - PSE&G
  - Rockland Electric Company
  - Jersey Central Power and Light
  - South Jersey Gas
  - New Jersey Natural Gas
  - Atlantic City Electric
  - Elizabeth Town Gas
- Ohio Public Utilities Commission
  - Dayton Power and Light
  - Duke
  - Cleveland Illuminating
  - Ohio Edison
  - Toledo Edison
  - Columbia Gas
  - Vectren
- Pennsylvania Public Utilities Commission
  - West Penn Power
  - Penn Power
  - UGI Utilities
  - Penelec
  - PGW
  - Columbia Gas
  - PPL
  - PECO
  - Met-Ed
  - Duquesne
- Illinois Public Utilities Commission
  - Gas license
  - Com Edison
- DC Public Service Commission
  - PEPCO DC
  - Washington Gas DC
- MD Public Service Commission
  - PEPCO

- BGE
  - Columbia Gas of MD
  - Delmarva Power
  - Potomac Edison
  - Washington Gas MD
- MA Department of Public Utilities
  - Eversource
  - National Grid
  - Unitil

# **Competitive Retail Electric Service Affidavit**

**County of Rockland**

**State of New York:**

Harvey Klein, 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.

MK, CEO  
Signature of Affiant & Title

Sworn and subscribed before me this 13<sup>th</sup> day of June, 2023  
Month Year

[Signature]  
Signature of official administering oath

Joseph Koval, Esq.  
Print Name and Title



Joseph Koval Esq., Attorney at Law  
Notary Public, State of Ohio  
My Commission Has No Expiration Date  
Sec 147.03 RC

My commission expires on N/A

Wednesday, June 07, 2023

Alpha Gas and Electric, LLC  
Attn: Joe Koval  
Monsey, NY 10952

Re: Columbia Gas of Ohio Collateral Requirements

To Whom It May Concern:

Alpha Gas and Electric, LLC has complied with Columbia Gas of Ohio's collateral requirements.

Sincerely,

*Angela Sanchez*

Angela Sanchez  
Director, Transportation Programs and Nominations

# OPERATIONS

## EXHIBIT D-1

### BACK END FUNCTIONS

Alpha Gas and Electric, LLC. uses EBEST Systems to manage all of the back-end functions. EBEST Addresses all EDI, CIS, and Billing functions. Alpha Gas and Electric works with larger pipelines, such as Transco, Tetco, Columbia Gulf, Columbia Gas, Tennessee, and Algonquin.

### MID END FUNCTIONS

Alpha Gas and Electric, LLC. has a Revolving line of Credit with M and T Bank for all collateral postings and power procurement functions, as well as other functions.

In addition, Alpha Gas and Electric, LLC has contracted with Genscape, LLC of New York, a consultancy with over 30 years of energy industry experience, to manage all wholesale business processes. Genscape is tasked with creating retail supply forecasts, scheduling energy into PJM, as well as managing all settlement data and hedging activities. Genscape currently manages over 500,000 retail meters *nationwide for over 30 different power marketers.*

### FRONT END FUNCTIONS

Alpha Gas and Electric, LLC. aims to keep the level of customer service at a high level. *Every* call is monitored and recorded. We listen to these recordings at random, to ensure that each customer service representative is treating our customers with respect and helping to resolve all issues they may have. We take our customer service very seriously, and it is our goal to have only positive feedback from our growing number of customers.

Alpha Gas and Electric works with very reputable, first class marketing companies for all marketing campaigns. Our marketing coordinators keep the quality control under a very careful watch. Supervisors monitor and listen to calls; to ensure our quality remains at the level we expect it.

We have multiple promotion programs that we intend to implement in Ohio. We intend to offer customers exciting programs and incentives, as well as great customer service.

# OPERATIONS EXPERTISE

## EXHIBIT D-2 Operations Expertise and Key Technical Personnel

*Alpha Gas and Electric, LLC's operations will be managed through direct staff, consultants and service providers. Please also see Exhibit B-2 (Experience & Plans) and down below for more detail regarding Alpha Gas and Electric, LLC's plans and experience.*

1. Harvey Klein  
CEO  
[Harvey.klein@alphagne.com](mailto:Harvey.klein@alphagne.com)  
845.810.0088 x205
2. Levi Moeller  
COO  
[Levi.moeller@alphagne.com](mailto:Levi.moeller@alphagne.com)  
845.810.0088 x2017
3. Alexandre Bladassano  
Managing Director, GP Renewables and Trading  
Consultant, On retainer  
[alex@gprenew.com](mailto:alex@gprenew.com)  
212.255.8050
4. Jon Spivak  
President, GP Renewables & Trading  
Consultant, On Retainer  
[jon@gprenew.com](mailto:jon@gprenew.com)  
212.255.8050
5. Joe Koval  
General Counsel, Director of Compliance  
[Joe.koval@alphagne.com](mailto:Joe.koval@alphagne.com)  
845.810.0088 x209
6. Annico Mechlovics  
Accountant  
[amech@alphagne.com](mailto:amech@alphagne.com)  
845.810.0088 x203

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Commission of Ohio Docketing Information System on**

**6/14/2023 5:10:44 PM**

**in**

**Case No(s). 13-1206-GA-CRS**

Summary: In the Matter of the Application of Alpha Gas And Electric LLC