Ohio | Public Utilities Commission

DIS Case Number: 15-1406-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: Major Energy Electric Services LLC

Phone: 888-625-6760 **Extension (if applicable):**

Website (if any): www.majorenergy.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
Major Energy Electric Services 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

A-5. Contact person for regulatory matters

Ohio | Public Utilities Commission

Muriel Jalbert
12140 Wickchester Ln., Suite 100
Houston, TX 77079
US
mjalbert@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: 888-625-6760	**Extension (if applicable):**	**Country:** United States
Fax:	**Extension (if applicable):**	**Street:** 12140 Wickchester Ln., Suite 100
Email: customercare@majorenergy.com		**City:** Houston **Province/State:** TX **Postal Code:** 77079

A-8. Applicant's federal employer identification number

26-1083006

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
Residential

A-11. Start date

Indicate the approximate start date the applicant began/will begin offering services: 11-01-2019

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

Major Energy Electric Services, LLC ('Major') formed in 2005 under the laws of New York, offers retail electric service in Connecticut, the District of Columbia, Illinois, Maryland, Massachusetts, New Jersey, New York, Ohio, and Pennsylvania. Major currently serves residential, commercial and industrial customers. Major has been active in the New York market
since 2006, Pennsylvania retail markets since 2009 and Maryland since 2011.

A-14. Secretary of State

Ohio | Public Utilities Commission

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

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/0001606268/000160626823000009/spke-20221231.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):
https://www.sec.gov/ix?doc=/Archives/edgar/data/1606268/000160626822000008/spke-20211231.htm

https://www.sec.gov/ix?doc=/Archives/edgar/data/0001606268/000160626823000009/spke-20221231.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).

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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.

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).

ER10-225-000

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Application Attachments

Exhibit B-2 "Experience & Plans"

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

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

Contracting with Customers
Major has marketed its products through traditional channels of partnerships, digital advertising, some telemarketing, and door-to-door sales.

Enrollment: Although Major is only currently enrolling customers through in-house telemarketing and web enrollment, Major 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 Major's headquarters. Customers received welcome packages with copies of all forms.

(2) Telephonic Enrollment. Potential customers were solicited over the phone by Major'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 Major's vendor and could decide to sign up and complete a third-party verification confirming the decision to enroll. Customers received welcome packages with copies of all forms.

(4) Web Enrollment. Potential customers previously could sign up for services through Major's website. Customers received welcome packages with copies of all forms.

(5) Customer Care Center. Potential customers could call Major'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. Major made outbound telemarketing calls to existing or former customers only for renewal or re-enrollment.

Providing Contracted Services
Major currently provides customers with affordable electricity in Ohio.

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

Response to Customer Inquiries and Complaints
Major 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.

Exhibit B-1: Jurisdictions of Operations

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	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
DC	Via Energy Solutions, LLC	Electric	EA2022-03
DC	Major Energy Services, LLC	Gas	GA 2015-01
DC	Verde Energy USA DC, LLC	Gas	GA 2014-10
DC	Via Energy Solutions, LLC	Gas	GA2022-02
DE	Spark Energy, LLC	Electric	18-0011
FL	Spark Energy Gas, LLC	Gas	n/a
FL	Via Energy Solutions, 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 Gas, LLC	Electric	IR-979
MD	Via Energy Solutions, LLC	Electric	IR-5006
MD	Major Energy Services, LLC	Gas	IR-1749
MD	Spark Energy Gas, LLC	Gas	IR-613
MD	Via Energy Solutions, LLC	Gas	IR-5005
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)
NH	Via Energy Solutions, LLC	Electric	n/a
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	Via Energy Solutions, LLC	Electric	EA-0688

Exhibit B-1: Jurisdictions of Operations

State	Entity	Fuel Type	License/ Docket Number
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
NY	Major Energy Electric Services, LLC	Electric	n/a
NY	Verde Energy USA New York, LLC	Electric	n/a
NY	Via Energy Solutions, LLC	Electric	n/a
NY	Major Energy Services, LLC	Gas	n/a
NY	Verde Energy USA New York, LLC	Gas	n/a
NY	Via Energy Solutions, 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	Via Energy Solutions, LLC	Electric	A-2022-3035964
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
PA	Via Energy Solutions, LLC	Gas	A-2022-3035970
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
TX	Via Energy Solutions, LLC	Electric	BR220016
VA	Spark Energy Gas, LLC	Gas	G-20A
VA	Via Energy Solutions, LLC	Electric and Gas	A-126

Exhibit B-6: "Environmental Disclosure"

Major Energy Electric Services, LLC will use the PJM system mix percentages for our filings for the prior year, and use Q1 data of current year to estimate the annual system mix with our forecasted load.

Regional generation resource mix (%) (actual)

Form posted:	June 2023	March 2023	December 2022	September 2022	June 2022
Emissions data for:	Jan - March 2023	Jan-Dec 2022	Jan-Sept 2022	Jan-June 2022	Jan-Mar 2022
Coal-fired power	15	20	21	22	23.5
Nuclear power	34	33	32.5	33	32.5
Natural gas-fired power	43	40	40	37	36
Wind power	5	4	3.5	4.5	4.5
Hydropower	1	1	1	1.5	1.5
Biomass power	0.5	0.5	0.5	.5	0.5
Other	0.5	0.5	0.5	.5	0.5
Solar	1	1	1	1	1

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

Form posted:	June 2023		March 2023		December 2022		September 2022		June 2022	
Emissions data for:	Jan - Mar 2023		Jan - Dec 2022		Jan - Sept 2022		Jan-June 2022		Jan-Mar 2022	
	#/MWH	% of regional average	#/MWH	% of regional average	#/MWH	% of regional average	#/MWH	% of regional average	#/MWH	% of regional average
Carbon dioxide	712	85%	811	97%	829	99%	816	98%	845	101
Sulfur dioxide	0.3	60%	0.4	80%	0.5	100%	0.3	75%	0.5	100
Nitrogen oxides	0.2	50%	0.3	75%	0.3	75%	.5	100%	0.4	100

Regional generation resource mix (%) (projected)

	2023	2022	2021	2020	2019
Coal-fired Power	22	22	20.5	27	31
Nuclear Power	33	33.5	34.5	34.5	35.5
Natural gas-fired power	38.5	38.5	3*9	33	28.5
Wind power	3.5	3.5	3	2.5	2.5
Hydropower	1	1	1.5	1.5	1
Biomass power	0.5	0.5	0.5	0.5	0.5
Other	0.5	0.5	0.5	0.5	0.5
Solar	1	0.5	0.5	0.5	0.5

Regional air emission rates (pounds/MWh) (projected)

Carbon dioxide	836	834	804	891	948
Sulfur dioxide	0.5	0.5	0.5	0.7	0.7
Nitrogen oxides	0.4	0.4	0.4	0.5	0.6

Frank LaRose
Ohio Secretary of State

Mon Jul 10 2023

Entity#:	2312914
Filing Type:	FOREIGN LIMITED LIABILITY COMPANY
Original Filing Date:	07/21/2014
Location:	--
Business Name:	MAJOR ENERGY ELECTRIC SERVICES 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	07/21/2014	201420402161
FOREIGN/DESIGNATED APPOINTMENT OF AGENT	10/25/2016	201629903140
FOREIGN/DESIGNATED APPOINTMENT OF AGENT	06/07/2017	201715801704
FOREIGN LLC - CERTIFICATION OF CORRECTION	10/06/2021	202127901354
AGENT ADDRESS CHANGE/LIMITED/LIABILITY/PARTNERS	04/18/2022	202210801594

Frank LaRose
Ohio Secretary of State

Mon Jul 10 2023

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 10th of July, A.D. 2023

Ohio Secretary of State

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

Major Energy Electric Services, 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
Maine PUC v. Electricity Maine, LLC	Electricity Maine, LLC	ME	Public Utilities Commission (PUC)	Investigation into customer complaints regarding alleged violation of renewal practices.	2023 Docket No. 2023-00024	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

Matter Name	Entity	State	Agency	Description	Opening Date and Reference No.	Status & Date Completed
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, LLC	Electricity Maine, LLC	ME	Public Utilities Commission (PUC)	Allegations of Misleading and Deceptive door-to-door conduct, using false, deceptive, coercive and unfair statements and actions. Penalty $500,000.	2018 Docket No. 2010-00256	Completed 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	Verde Energy USA Ohio, LLC	OH	Public Utilities Commission of	Allegations of misleading and deceptive practices to market and enroll customers, as well as violating several requirements of	2019	Completed

Matter Name	Entity	State	Agency	Description	Opening Date and Reference No.	Status & Date Completed
Ohio, LLC			OHIO (PUCO)	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.	Case Number 19-958-GE-COI	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
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

Matter Name	Entity	State	Agency	Description	Opening Date and Reference No.	Status & Date Completed
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
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
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	Completed 12/12/2022

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

Major Energy Electric Services, 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
Maine PUC v. Electricity Maine, LLC	Electricity Maine, LLC	ME	Public Utilities Commission (PUC)	Investigation into customer complaints regarding alleged violation of renewal practices.	2023 Docket No. 2023-00024	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

Matter Name	Entity	State	Agency	Description	Opening Date and Reference No.	Status & Date Completed
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, LLC	Electricity Maine, LLC	ME	Public Utilities Commission (PUC)	Allegations of Misleading and Deceptive door-to-door conduct, using false, deceptive, coercive and unfair statements and actions. Penalty $500,000.	2018 Docket No. 2010-00256	Completed 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	Verde Energy USA Ohio, LLC	OH	Public Utilities Commission of	Allegations of misleading and deceptive practices to market and enroll customers, as well as violating several requirements of	2019	Completed

Matter Name	Entity	State	Agency	Description	Opening Date and Reference No.	Status & Date Completed
Ohio, LLC			OHIO (PUCO)	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.	Case Number 19-958-GE-COI	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
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

Matter Name	Entity	State	Agency	Description	Opening Date and Reference No.	Status & Date Completed
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
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
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	Completed 12/12/2022

Exhibit C-5: "Credit Report"

D&B Finance Analytics

Printed By: Lucy Laredo

Date Printed: 07/11/2023

LIVE REPORT

MAJOR ENERGY ELECTRIC SERVICES LLC

Tradestyle(s): (SUBSIDIARY OF VIA RENEWABLES, INC., HOUSTON, TX) 1

ACTIVE SUBSIDIARY

D-U-N-S Number: 80-786-7523
Phone: +1 888 625 6760

Address: 100 Dutch Hill Rd Ste 230, Orangeburg, NY, 10962, United States Of America
Endorsement: lloredo@sparkenergy.com

Summary

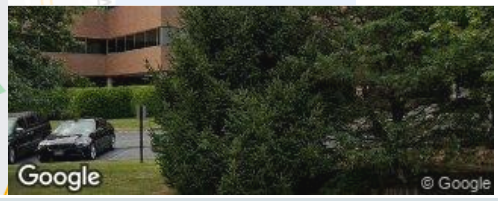
KEY DATA ELEMENTS (Formerly: SCORE BAR)

KDE Name	Current Status	Details
PAYDEX®	UNAVAILABLE	
Delinquency Score	57	Moderate Risk of severe payment delinquency.
Failure Score	43	Moderate Risk of severe financial stress.
D&B Viability Rating	6 4 C Z	View More Details
Bankruptcy Found	N	
D&B Rating	--	Undetermined.

COMPANY PROFILE

D-U-N-S 80-786-7523	**Mailing Address** UNITED STATES	**Employees** 7
Legal Form Corporation (US)	**Telephone** +1 888 625 6760	**Age (Year Started)** 16 Years (2007)
History Record Clear	**Present Control Succeeded** 2021	**Named Principal** Dan Alpe, CEO
Date Incorporated 09/12/2007		**Line of Business** Electric services
State of Incorporation NEW YORK		**SIC** 4911
Ownership Not publicly traded		**NAICS** 221118

Street Address:
100 Dutch Hill Rd Ste 230,
Orangeburg, NY, 10962,
United States Of America



OVERALL BUSINESS RISK

Dun & Bradstreet thinks...

HIGH	MODERATE-HIGH	MODERATE	LOW-MODERATE	LOW

Overall assessment of this organization over the next 12 months:	**Stable Condition**
Based on the predicted risk of business discontinuation:	**Likelihood-Of-Continued-Operations**
Based on the predicted risk of severely delinquent payments:	**Moderate Potential For Severely Delinquent Payments**

D&B MAX CREDIT RECOMMENDATION

MAXIMUM CREDIT RECOMMENDATION

US$ 26,500

The recommended limit is based on a moderately low probability of severe delinquency.

FAILURE SCORE (Formerly Financial Stress Score)

Company's Risk Level

MODERATE

Probability of failure over the next 12 months

0.29 %

43

High Risk (1) — Low Risk (100)

Past 12 Months

Low Risk

High Risk

DELINQUENCY SCORE (Formerly Commercial Credit Score)

Company's Risk Level

MODERATE

Probability of delinquency over the next 12 months

5.16 %

57

High Risk (1) — Low Risk (100)

Past 12 Months

Low Risk

High Risk

VIABILITY RATING SUMMARY

Viability Score

6

High Risk (9) — Low Risk (1)

Data Depth Indicator

C

Descriptive (G) — Predictive (A)

Portfolio Comparison

4

High Risk (9) — Low Risk (1)

Financial Data	Unavailable
Trade Payments	
Company Size	
Years in Business	-

D&B PAYDEX®

-

D&B PAYDEX - 3 MONTHS

-

PAYDEX® TREND CHART

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 05/03/2022

LEGAL EVENTS

Events	Occurrences	Last Filed
Bankruptcies	0	-
Judgements	0	-
Liens	0	-
Suits	0	-
UCC	9	01/25/2019

DETAILED TRADE RISK INSIGHT™

3 Months

From to

High Risk (120+)

Low Risk (0)

DETAILED TRADE RISK INSIGHT™ 13 MONTH TREND

Total Amount Current and Past Due -

FINANCIAL OVERVIEW - BALANCE SHEET

Balance Sheet [1]	Amount [2]	Last 2 Years

Interim
2. (In Single Units)
Source: D&B

TRADE PAYMENTS

Highest Past Due:

0

Highest Now Owing	Total Trade Experiences	Largest High Credit
0	2	100

FINANCIAL OVERVIEW - PROFIT AND LOSS

Profit & Loss [1]	Amount [2]	Last 2 Years

Interim
2. (In Single Units)
Source: D&B

OWNERSHIP

Subsidiaries
16

Total Members
38

This company is a Subsidiary.

	Global Ultimate	Immediate Parent	Domestic Ultimate
Name	Via Renewables, Inc.	Via Renewables, Inc.	Via Renewables, Inc.
Country	United States	United States	United States
D-U-N-S	07-941-7907	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

There are no recent web results to show.

COUNTRY/REGIONAL INSIGHT

United States Of America

A last-minute deal on the debt-ceiling suspension has calmed markets and re-instilled confidence in the political centre, prompting us to upgrade the country's overall rating outlook.

Risk Category

LOW

High Risk — Low Risk

Available Reports

Country Insight Report (CIR)

Current Publication Date: 06/16/2023

Country Insight Snapshot (CIS)

Current Publication Date: 06/16/2023

STOCK PERFORMANCE

No stock performance data is available for this D-U-N-S Number.

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.

Risk Assessment

D&B RISK ASSESSMENT

OVERALL BUSINESS RISK

HIGH	MODERATE-HIGH	MODERATE	LOW-MODERATE	LOW

Dun & Bradstreet thinks...

- Overall assessment of this organization over the next 12 months: **STABLE CONDITION**

MAXIMUM CREDIT RECOMMENDATION

US$ 26,500

The recommended limit is based on a moderately low probability of severe delinquency.

- Based on the predicted risk of business discontinuation: **LIKELIHOOD-OF-CONTINUED-OPERATIONS**
- Based on the predicted risk of severely delinquent payments: **MODERATE POTENTIAL FOR SEVERELY DELINQUENT PAYMENTS**

D&B VIABILITY RATING SUMMARY

The D&B Viability Rating uses D&B's proprietary analytics to compare the most predictive business risk indicators and deliver a highly reliable assessment of the probability that a company will go out of business, become dormant/inactive, or file for bankruptcy/insolvency within the next 12 months. The D&B Viability Rating is made up of 4 components:

Viability Score
Compared to All US Businesses within the D&B Database:

- Level of Risk:**Moderate Risk**
- Businesses ranked **6** have a probability of becoming no longer viable: **13** %
- Percentage of businesses ranked **6: 30** %
- Across all US businesses, the average probability of becoming no longer viable:**14** %

Portfolio Comparison
Compared to All US Businesses within the same MODEL SEGMENT:

- Model Segment :**Limited Trade Payments**
- Level of Risk:**Low Risk**
- Businesses ranked **4** within this model segment have a probability of becoming no longer viable: **9** %
- Percentage of businesses ranked **4** with this model segment: **11** %
- Within this model segment, the average probability of becoming no longer viable:**11** %

Data Depth Indicator
Data Depth Indicator:

✓ Rich Firmographics
✓ Extensive Commercial Trading Activity
✗ No Financial Attributes

Greater data depth can increase the precision of the D&B Viability Rating assessment.
To help improve the current data depth of this company, you can ask D&B to make a personalized request to this company on your behalf to obtain its latest financial information. To make the request, click the link below. Note, the company must be saved to a folder before the request can be made.

Request Financial Statements

Reference the FINANCIALS tab for this company to monitor the status of your request.

Company Profile:
Company Profile Details:

- Financial Data: **False**
- Trade Payments:
- Company Size:
- Years in Business:

Z
Subsidiary

FAILURE SCORE FORMERLY FINANCIAL STRESS SCORE

43
High Risk (1) — Low Risk (100)

- Limited time under present management control
- UCC Filings reported

Level of Risk	Raw Score	Probability of Failure	Average Probability of Failure for Businesses in D&B Database	Class
Moderate	1469	0.29 %	0.48	3

Business and Industry Trends

BUSINESS AND INDUSTRY COMPARISON

Selected Segments of Business Attributes

Norms	National %
This Business	43

Norms	National %
Region:(MIDDLE ATLANTIC)	23
Industry:INFRASTRUCTURE	29
Employee range:(1-9)	59
Years in Business:(2-3)	33

DELINQUENCY SCORE FORMERLY COMMERCIAL CREDIT SCORE

57

High Risk (1) — Low Risk (100)

- No payment experiences reported
- Higher risk region based on delinquency rates for this region
- Limited time under present management control

Level of Risk	Raw Score	Probability of Delinquency	Compared to Businesses in D&B Database	Class
Moderate	509	5.16 %	10.2 %	3

Business and Industry Trends

BUSINESS AND INDUSTRY COMPARISON

Selected Segments of Business Attributes

Norms	National %
This Business	57
Region:(MIDDLE ATLANTIC)	25
Industry:INFRASTRUCTURE	15
Employee range:(1-9)	59
Years in Business:(2-3)	25

D&B PAYDEX

Based on 24 months of data

-

Business and Industry Trends

4911 - Electric services

D&B RATING

Current Rating as of 05/03/2022

Special Rating

-- : Undetermined

Trade Payments

TRADE PAYMENTS SUMMARY (Based on 24 months of data)

Overall Payment Behaviour
-
Days Beyond Terms

Highest Now Owing:
US$ 0

% of Trade Within Terms
-

Total Trade Experiences:
2
Largest High Credit:
US$ 100
Average High Credit:
-

Highest Past Due
US$ 0

Total Unfavorable Comments :
0
Largest High Credit:
US$ 0

Total Placed in Collections:
0
Largest High Credit:
US$ 0

D&B PAYDEX

D&B 3 MONTH PAYDEX

UNDETERMINED	UNDETERMINED

BUSINESS AND INDUSTRY TRENDS

Based on 24 months of data

4911 - Electric services

	8/21	9/21	10/21	11/21	12/21	1/22	2/22	3/22	4/22	5/22	6/22	7/22	8/22	9/22	10/22	11/22	12/22	1/23	2/23	3/23	4/23	5/23	Current 2023
This Business	60	60	60	60	UN	UN	UN	UN	UN	UN	UN	UN	UN	UN	UN	UN	UN	UN	UN	UN	UN	UN	UN
Industry Quartile																							
Upper	-	80	-	-	80	-	-	80	-	-	80	-	-	80	-	-	80	-	-	80	-	-	80
Median	-	80	-	-	80	-	-	80	-	-	80	-	-	80	-	-	80	-	-	80	-	-	80
Lower	-	72	-	-	73	-	-	73	-	-	73	-	-	73	-	-	73	-	-	74	-	-	74

TRADE LINES

Date of Experience	Payment Status	Selling Terms	High Credit (US$)	Now Owes (US$)	Past Due (US$)	Months Since Last Sale
12/22	-	Cash account	50	0	0	Between 6 and 12 Months
04/22	-	Cash account	100	0	0	1

OTHER PAYMENT CATEGORIES

Other Payment Categories	Experience	Total Amount
Cash experiences	2	US$ 150
Payment record unknown	0	US$ 0
Unfavorable comments	0	US$ 0
Placed for collections	0	US$ 0
Total in D&B's file	2	US$ 150

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.

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: -	**9** Latest Filing: 01/25/2019

EVENTS

UCC Filing - Continuation

Filing Date	01/25/2019
Filing Number	1901250034599

Received Date	02/20/2019
Original Filing Date	06/23/2014
Original Filing Number	1406230342322
Secured Party	MASSACHUSETTS ELECTRIC COMPANY, WALTHAM, MA
Secured Party	NATIONAL GRID, WALTHAM, MA
Debtors	MAJOR ENERGY ELECTRIC SERVICES LLC
Filing Office	SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

UCC Filing - Original

Filing Date	10/13/2015
Filing Number	1510130520332
Received Date	10/21/2015
Collateral	Accounts receivable including proceeds and products - Account(s) including proceeds and products
Secured Party	NATIONAL GRID, SYRACUSE, NY
Secured Party	NIAGARA MOHAWK POWER CORPORATION, SYRACUSE, NY
Debtors	MAJOR ENERGY ELECTRIC SERVICES LLC
Filing Office	SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

UCC Filing - Amendment

Filing Date	07/25/2014
Filing Number	1407258289954
Received Date	08/08/2014
Original Filing Date	11/02/2009
Original Filing Number	0911020627182
Secured Party	PACIFIC SUMMIT ENERGY LLC
Debtors	MAJOR ENERGY SERVICES LLC
Filing Office	SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

UCC Filing - Amendment

Filing Date	07/24/2014
Filing Number	1407248287441
Received Date	08/08/2014
Original Filing Date	11/02/2009
Original Filing Number	0911020627170
Secured Party	PACIFIC SUMMIT ENERGY LLC
Debtors	MAJOR ENERGY ELECTRIC SERVICES LLC
Filing Office	SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

UCC Filing - Original

Filing Date	06/23/2014
Filing Number	1406230342322
Received Date	07/05/2014
Collateral	Accounts receivable including proceeds and products - Account(s) including proceeds and products - General intangibles(s) including proceeds and products
Secured Party	MASSACHUSETTS ELECTRIC COMPANY, WALTHAM, MA
Secured Party	NANTUCKET ELECTRIC COMPANY, WALTHAM, MA
Secured Party	NATIONAL GRID, WALTHAM, MA
Debtors	MAJOR ENERGY ELECTRIC SERVICES LLC
Filing Office	SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

UCC Filing - Amendment

Filing Date	01/22/2014
Filing Number	1401228027786
Received Date	01/31/2014
Original Filing Date	11/01/2013
Original Filing Number	1311018440105
Secured Party	CENTRAL HUDSON GAS & ELECTRIC CORPORATION
Debtors	MAJOR ENERGY ELECTRIC SERVICES LLC
Filing Office	SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

UCC Filing - Original

Filing Date	10/10/2011
Filing Number	1110108339165
Received Date	10/22/2011
Collateral	RIGHT, TITLE AND INTEREST and proceeds
Secured Party	COLUMBIA GAS OF PENNSYLVANIA, INC., COLUMBUS, OH
Debtors	MAJOR ENERGY SERVICES LLC
Filing Office	SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

UCC Filing - Amendment

Filing Date	04/28/2011
Filing Number	1104288141007
Received Date	05/05/2011
Collateral	Account(s) and proceeds - Chattel paper and proceeds - General intangibles(s) and proceeds
Original Filing Date	02/22/2011
Original Filing Number	1102228057191
Secured Party	NATIONAL FUEL GAS DISTRIBUTION CORPORATION, WILLIAMSVILLE, NY

Debtors	MAJOR ENERGY SERVICES LLC
Filing Office	SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

UCC Filing - Original

Filing Date	08/30/2010
Filing Number	1008305844726
Received Date	09/06/2010
Collateral	RIGHTS
Secured Party	CON EDISON OF NEW YORK, INC., NEW YORK, NY
Debtors	MAJOR ENERGY ELECTRIC SERVICES LLC
Filing Office	SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

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

SPECIAL EVENTS

Date	Event Description
12/13/2022	According to a published report dated Dec 12, 2022, New York Attorney General Letitia James secured $1.5 million from Major Energy. In Jan 2022, Attorney General James sued Major Energy for its dishonest business practices that led to New York consumers paying millions more for their gas and electric services than they would have paid to their utilities. This agreement resolves Attorney General James lawsuit and will require Major Energy to stop its deceptive practices and provide restitution to impacted New York consumers. As a result of OAGs agreement, Major Energy is required to pay $1,500,000 in restitution to impacted consumers. In addition, Major Energy must take action to prevent deceptive practices in the future, including training customer service representatives, recording telephone communications between customers and sales representatives that result in a sale, not using misleading marketing that implies savings, and regularly monitoring sales calls.
05/03/2022	According to a published report dated Jan 19, 2022, New York Attorney General Letitia James filed a lawsuit against Major Energy Services LLC and Major Energy Electric Services LLC (together, Major Energy) for overcharging and misleading New York consumers with false advertisements. Through the lawsuit filed in New York County State Supreme Court, Attorney General James is seeking a permanent injunction to stop Major Energys misleading advertising and marketing practices, as well as restitution, disgorgement, penalties, and costs.
-	This entity now operates as a subsidiary of VIA Renewables, Inc., Houston, TX.
-	Business started 2007. Present control succeeded 2021.

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

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

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

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

Company Profile

COMPANY OVERVIEW

D-U-N-S
80-786-7523

Mailing Address
UNITED STATES

Employees
7

Legal Form
Corporation (US)

Telephone
+1 888 625 6760

Age (Year Started)
16 Years (2007)

History Record
Clear

Present Control Succeeded
2021

Named Principal
Dan Alpe, CEO

Date Incorporated
09/12/2007

SIC
4911

Line of Business
Electric services

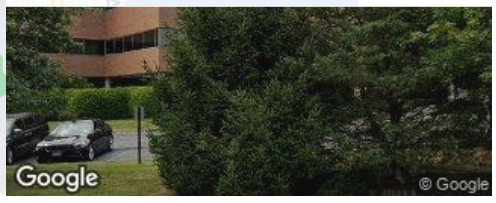
Business Commenced On
2007

NAICS
221118

State of Incorporation
NEW YORK

Ownership
Not publicly traded

Street Address:
100 Dutch Hill Rd Ste 230,
Orangeburg, NY, 10962,
United States Of America



BUSINESS REGISTRATION

Corporate and business registrations reported by the secretary of state or other official source as of: 2023-06-27
This data is for informational purposes only, certification can only be obtained through the Office of the Secretary of State.

Registered Name	MAJOR ENERGY ELECTRIC SERVICES LLC
Corporation Type	Corporation (US)
State of Incorporation	NEW YORK
Registration ID	3567032
Registration Status	ACTIVE
Date Status Attained	10/06/2021
Filing Date	09/12/2007
Where Filed	SECRETARY OF STATE/CORPORATION DIVISION

Registered Agent

Name	CORPORATION SERVICE COMPANY
Address	80 STATE ST., ALBANY, NY, 122070000

PRINCIPALS

Officers

DAN ALPE, CEO

Directors

DIRECTOR(S): THE OFFICER(S)

COMPANY EVENTS

The following information was reported on: 12/13/2022

The New York Secretary of State's business registrations file showed that Major Energy Electric Services LLC was registered as a Limited Liability Company on September 12, 2007, under file registration number 3567032.

Business started 2007. Present control succeeded 2021.

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

Business started 2007. Present control succeeded Apr 2016.

CONTROL CHANGE:.

On May 31, 2016, sources stated that National Gas & Electric, LLC, an affiliate of Spark Energy, Inc., Houston, TX, has acquired Major Energy Electric Services, LLC, Orangeburg, NY, April 15, 2016. With the acquisition, Major Energy Electric Services, LLC will now operate as a subsidiary of National Gas & Electric, LLC. Employees and management were retained. Further details are unavailable.

DAN ALPE. Antecedents are unknown.

Business address has changed from 955 Coney Island Ave Ste 1p, Brooklyn, NY, 11230 to 100 Dutch Hill Rd Ste 230, Orangeburg, NY, 10962.

According to a published report dated Dec 12, 2022, New York Attorney General Letitia James secured $1.5 million from Major Energy. In Jan 2022, Attorney General James sued Major Energy for its dishonest business practices that led to New York consumers paying millions more for their gas and electric services than they would have paid to their utilities. This agreement resolves Attorney General James lawsuit and will require Major Energy to stop its deceptive practices and provide restitution to impacted New York consumers.

As a result of OAGs agreement, Major Energy is required to pay $1,500,000 in restitution to impacted consumers. In addition, Major Energy must take action to prevent deceptive practices in the future, including training customer service representatives, recording telephone communications between customers and sales representatives that result in a sale, not using misleading marketing that implies savings, and regularly monitoring sales calls.

According to a published report dated Aug 20, 2019, Illinois Attorney General Kwame Raoul announced three settlements totaling more than $3.1 million with alternative retail electric suppliers Major Energy Electric Services LLC (Major), Eligo Energy IL, LLC (Eligo), and Realgy, LLC (Realgy). Raoul alleged that the companies and their sales representatives used aggressive and deceptive tactics to enroll customers in the ComEd territory into unnecessarily expensive contracts for electricity.

Under the settlements, Major, Eligo, and Realgy will provide refunds to more than 35,000 Illinois customers totaling more than $3.1 million. Refund amounts will be based on customers' electricity usage.

Additionally, all three companies will be, or have been, suspended from certain marketing activities: Eligo will be banned from telemarketing and door-to-door marketing for three years and Realgy's suspension on door-to-door marketing extends four years from its last campaign in Sep 2016, or until Sep 2020. As a result of the Attorney General's lawsuit against Major, it has ceased all marketing for the past 15 months and is only able to resume marketing with additional restrictions and oversight imposed by the Attorney General's Office.

According to a published report dated Apr 9, 2018, the Attorney General Lisa Madigan filed a lawsuit against Major Energy Electric Services LLC (Major Energy) for allegedly misleading thousands of Illinois customers about the companys costly electricity contracts using high-pressure sales tactics to push people to enroll without explaining the service or the costs. Madigans office is asking the court to provide full restitution of nearly $2.5 million to impacted consumers and to revoke Major Energys license to do business in the state of Illinois.

According to a published report dated Jan 19, 2022, New York Attorney General Letitia James filed a lawsuit against Major Energy Services LLC and Major Energy Electric Services LLC (together, Major Energy) for overcharging and misleading New York consumers with false advertisements. Through the lawsuit filed in New York County State Supreme Court, Attorney General James is seeking a permanent injunction to stop Major Energys misleading advertising and marketing practices, as well as restitution, disgorgement, penalties, and costs.

BUSINESS ACTIVITIES AND EMPLOYEES

The following information was reported on: 12/13/2022

Business Information

Trade Names	(SUBSIDIARY OF VIA RENEWABLES, INC., HOUSTON, TX); ESCO
Description	Subsidiary of VIA Renewables, Inc., Houston, TX started 2013. This company operates as a provider of electric services. Terms are undetermined. Sells to undetermined. Territory : Regional.
Employees	7 which includes officer(s).
Financing Status	Unsecured
Facilities	Occupies premises in a multi story building.

Related Concerns

SIC/NAICS Information

Industry Code	Description	Percentage of Business
4911	Electric services	-
49110000	Electric services	-

NAICS Codes	NAICS Description
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 *
lloredo@sparkenergy.com

Sales Representatives

Credit Limit
0

Total Outstanding
0

Last Login : 07/10/2023 03:56:01 PM

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Exhibit C-9: "Financial Arrangements"

139 East Fourth
EX396
Cincinnati, Ohio 45202

July 11, 2023

Major Energy Electric Services, LLC has met the Electric Collateral obligations for Duke Energy Corporation as of July 11, 2023.

Heather Klein

Duke Energy Corp
Certified Supplier Business Center
CSBCreps@duke-energy.com

Exhibit C-8: "Corporate Structure"

Via Renewables, Inc.

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

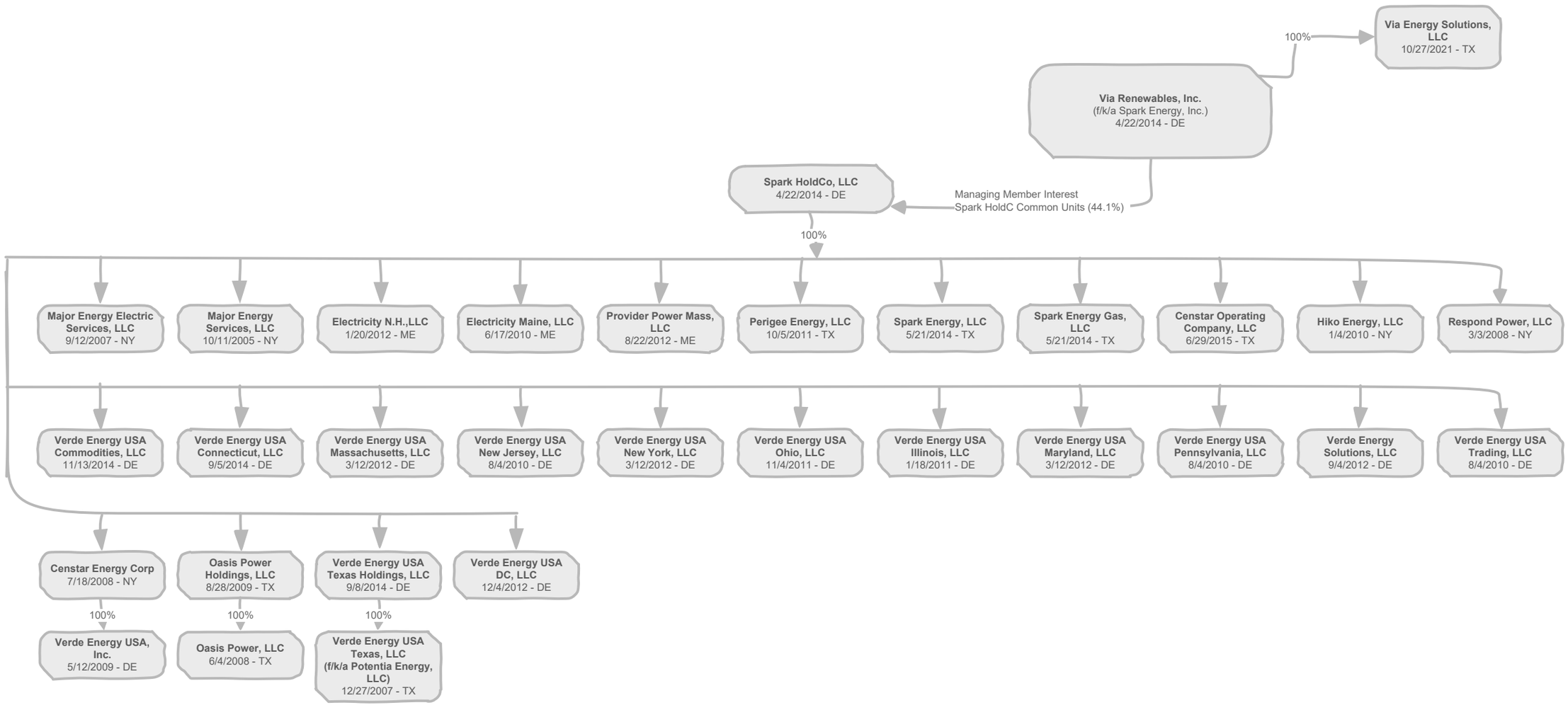

Exhibit D-1: "Operations"

Major Energy Electric Services, LLC ("Major") has the necessary operational and managerial capabilities to serve all customer classes, including residential, commercial and industrial customers. Applicant's management team is comprised of individuals with significant experience in wholesale and retail energy.

Major markets electricity as a competitive retail electric supplier in Ohio. Major does not own generation of power sources or ancillary services. Major operations do not provide delivery services. Major acquires electric generation supply in the PJM through wholesale transactions.

Exhibit D-2: "Operations Expertise and Key Technical Personnel"

Major Energy Electric Services, LLC obtained approval from the Public Utilities Commission of Ohio to operate as a CRES supplier on September 3, 2015 (Case No. 15-1406-EL-CRS).

Major Energy has the necessary operational and managerial capabilities to serve all customer classes, including residential, commercial, and industrial customers. Major Energy's management team and key technical personnel teams are comprised of individuals with significant experience in wholesale and retail energy. Major 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, Major 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*. Major Energy's management and key operating personnel will oversee the operations of Major Energy from its headquarters in Houston, Texas.

Customer Service:

Major 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, Major Energy has partnered with VertexOne, a well-known third-party vendor in the retail energy space, to assist with its operations in Ohio. 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.

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 Major 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: *12+ 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: *20+ 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: *12+ 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: *Michael Lopez – Senior Manager, Renewables*
Phone: 832-200-371

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.

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.

Nita Banjo, Chief Financial Officer
Signature of Affiant & Title

Sworn and subscribed before me this 26th day of July, 2023
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

7/28/2023 10:16:05 AM

in

Case No(s). 15-1406-EL-CRS

Summary: In the Matter of the Application of Major Energy Services LLC