

**DIS Case Number: 16-0056-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:** SFE Energy Ohio, Inc

**Country:** Canada

**Phone:** 8555006378    **Extension (if applicable):**

**Street:** 100 Milverton Drive Suite 608

**Website (if any):**

**City:** Mississauga

**Province/State:** ON

**Postal Code:** L5R 4H1

### 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 |
|-----------------|------|--|---------|-------|
| SFE Energy, SFE | DBA  | 100 Milverton Drive<br>Suite 608<br>Mississauga, ON L5R4H1 | 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

Alex Farmer  
100 Milverton Drive Suite 608  
Mississauga, ON L5R 3G2  
CA  
afarmer@sfeenergy.com  
9053664461

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

Tamara Sinson-Banton  
600 Superior Ave E, Ste 1300  
Cleveland, OH 44114  
US  
tsinson@sfeenergy.com  
9053667037

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

|                                |                                   |                               |                           |
|--------------------------------|-----------------------------------|-------------------------------|---------------------------|
| <b>Phone:</b> 8662553844       | <b>Extension (if applicable):</b> | <b>Country:</b> United States |                           |
| <b>Fax:</b> 8774257010         | <b>Extension (if applicable):</b> | <b>Street:</b> P.O. Box 967   |                           |
| <b>Email:</b> cs@sfeenergy.com |                                   | <b>City:</b> Buffalo          | <b>Province/State:</b> NY |
|                                |                                   | <b>Postal Code:</b> 14240     |                           |

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

30-0791646

**A-9. Applicant's form of ownership**

**Form of ownership:** Corporation

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

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

**Service area selection**



Columbia Gas of Ohio  
Dominion Energy Ohio  
Duke Energy Ohio  
CenterPoint Energy Ohio

#### **Class of customer selection**

Residential  
Small Commercial  
Large Commercial

#### **A-11. Start date**

Indicate the approximate start date the applicant began/will begin offering services: 02-14-2024

#### **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   |
|----------------|-------------------------|-----------|---|
| Gerry Haggarty | ghaggarty@sfeenergy.com | President | 100 Milverton Drive Suite 608<br>Mississauga, ON L5R4H1<br>CA |

#### **A-13. Company history**

In 2006, Michael Gerald Haggarty (commonly referred to as Gerry Haggarty), President & CEO, incorporated Summitt Energy Management Inc. which began its operations in Ontario, Canada followed by Quebec, British Columbia, New York, Pennsylvania, Maryland, New Jersey, Massachusetts, California and Texas. Key operating individuals, with experience in the deregulated energy industry, have been hired to oversee its operations. The management and technical staff have successfully developed and maintained sophisticated operating and information technology systems, a responsive and dedicated sales force, and have an effective compliance regime.

#### **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:** Tamara Sinson-Banton  
600 Superior Ave E, Ste 1300  
Cleveland, OH 44114  
US  
tsinson@sfeenergy.com  
9053667037

## 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..

Liability and Investigations Disclosures: None.

**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**

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.

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 **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.

**Operations Description:** Please refer to the Technical and Managerial Experience document in Exhibit B-2

### **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.

**Operations Expertise & Personnel Description:** Please refer to the Technical and Managerial Experience document in Exhibit B-2

# Application Attachments

## **TECHNICAL AND MANAGERIAL EXPERIENCE**

SFE Energy Ohio, Inc. ("SFE Energy") is applying to renew license numbers 16-1047E and 16-498G with the Public Utilities Commission of Ohio ("PUCO") to continue providing competitive retail electricity and natural gas service to consumers in the state of Ohio.

SFE Energy and its key operating personnel have extensive technical experience in the retail of electricity and natural gas supply to residential and commercial consumers in Canada, through Summitt Energy Management Inc., Summitt Energy BC LP, Summitt Energy Quebec LP, ("Summitt") and in the United States within New York (through Family Energy Inc. ("Family")), Pennsylvania, Maryland, New Jersey, Ohio, Illinois, Texas and Massachusetts (through SFE Energy Inc. ("SFE")) and California (through SFE Energy California, Inc. ("SFE California")).

## **CURRENT ELECTRICITY AND NATURAL GAS MARKETS**

### **Ontario**

Summitt first received its license from the Ontario Energy Board to retail Electricity supply to residential and commercial consumers on March 20, 2006. Summitt currently offers a five-year fixed rate for Electricity supply. Summitt is also using its Ontario Energy Board license to market electricity supply services under the trade name of My Rate Energy as an entirely internet-based company. For commercial customers, Summitt offers fixed and variable priced products for terms ranging from 1 to 5 years in length.

### **British Columbia**

Summitt received its license from the British Columbia Utilities Commission ("BCUC") on April 24, 2007 and began marketing when the deregulated Natural Gas market opened for business on July 1, 2007. Summitt currently offers a five-year fixed rate for Gas supply for both residential and commercial customers.

### **Quebec**

Summitt received a registration certificate from Régie de l'énergie Québec in 2007 and began marketing in the Gaz Métro utility area at that time. Summitt currently offers a five-year fixed rate for Gas supply for only commercial customers.

### **New York**

Family received its license from the New York Public Service Commission to retail electricity and natural gas supply to residential and commercial consumers on June 16, 2009. Family currently offers both fixed term products to both residential and commercial consumers.

### **Pennsylvania**

SFE Energy Pennsylvania, Inc. ("SFE Energy") received its license from the Pennsylvania Public Utilities Commission to retail electric and natural gas generation services to residential and commercial consumers on August 15, 2013. SFE Energy currently offers fixed term supply products to both residential and commercial consumers.

### **Maryland**

SFE Energy Maryland, Inc. ("SFE Energy") received its license from the Maryland Public Service Commission to retail electricity and natural gas supply services to residential and commercial consumers on December 18, 2013. SFE Energy currently offers fixed term supply products to both residential and commercial consumers.

### **New Jersey**

SFE Energy NJ, Inc. ("SFE Energy") received its license from the New Jersey Board of Public Utilities to retail electric generation and natural gas services to residential and commercial consumers on August 20, 2014. SFE Energy currently offers fixed term supply products to both residential and commercial consumers.

### **California**

SFE Energy California, Inc. ("SFE Energy") received its license from the California Public Utilities Commission to retail natural gas services to residential and commercial consumers on February 11, 2015.

### **Massachusetts**

SFE Energy Massachusetts, Inc. ("SFE Energy") received its license from the Massachusetts Department of Public Utilities to retail electric generation and natural gas services to residential and commercial consumers on December 29, 2015. SFE Energy currently offers fixed term supply products to both residential and commercial consumers.

### **Ohio**

SFE Energy Ohio, Inc. ("SFE Energy") received its license from the Public Utilities Commission of Ohio to retail electric generation and natural gas services to residential and commercial consumers on February 16, 2016. SFE Energy currently offers fixed term supply products to both residential and commercial consumers.

### **Texas**

SFE Energy Texas, Inc. ("SFE Energy") received its license from the Public Utilities Commission of Texas to retail electric generation services to residential and commercial consumers on March 12, 2018. SFE Energy currently offers fixed term supply products to both residential and commercial consumers.

### **Illinois**

SFE Energy Illinois, Inc. ("SFE Energy") received its license from the Illinois Commerce Commission to retail electric and natural gas generation services to residential and commercial consumers on September 25, 2018. SFE Energy currently offers fixed term supply products to both residential and commercial consumers.

## **MANAGEMENT AND TECHNICAL STAFF**

In 2006, Michael Gerald Haggarty (commonly referred to as Gerry Haggarty), President & CEO, incorporated Summitt Energy Management Inc. which began its operations in Ontario, Canada followed by Quebec, British Columbia, New York, Pennsylvania, Maryland, New Jersey, Massachusetts, California and Texas. Key operating individuals, with experience in the deregulated energy industry, have been hired to oversee its operations. The management and technical staff have successfully developed and maintained sophisticated operating and information technology systems, a responsive and dedicated sales force, and have an effective compliance regime.

The current staffing structure of the company is organized under the following departments: Finance, Portfolio Management, Regulatory Affairs & Compliance, Information Technology, Sales, Marketing, Operations, and Customer Care. Each department is managed by a Director (outlined in the chart below) with a total staff count of approximately 140.

SFE Energy's key operating personnel will oversee the operations of SFE Energy from its head office based in Mississauga, Ontario, Canada and affiliate offices throughout the United States.

### **SFE ENERGY 'S EXECUTIVE STAFF**

1. President & CEO, Michael Gerald Haggarty (commonly referred to as Gerry Haggarty)
2. Senior Vice President, Jeff Borg
3. Chief Technology and Operations Officer, Samir Kareem

### **SFE ENERGY 'S KEY OPERATING PERSONNEL**

1. Corporate Controller, Jeremy Haggarty, CPA
2. Sr. Director of Customer Relations and Regulatory Compliance, Tamara Sinson-Banton
3. Vice President of Portfolio Management, Kris Plotzke
4. Vice President of Sales, Martin Finnerty
5. Director of Application Development, Adam Wallace
6. Director of Revenue Assurance, Sally Legaspi

### **PROJECTED FRANCHISE AREAS**

Upon the approval of our Renewal Application, SFE Energy will seek to continue to provide Electricity and Natural Gas services in all Ohio gas utilities.

SFE Energy intends to continue marketing natural gas supply for fixed terms to residential and commercial consumers. SFE Energy has no restrictions to the number or size of consumers it intends to offer its services.

SFE Energy will conduct the sales of our energy programs via existing independent broker channels, most of whom we already contract with in New York, Pennsylvania, Maryland and New Jersey, Massachusetts as well as procuring new brokerage channels in the state of Ohio.

SFE Energy will utilize pre-existing compliance personnel currently working in the state of New York, Pennsylvania, Maryland, New Jersey, Ohio and Massachusetts to conduct regular sales office and in-field reviews in Ohio, along with our standard compliance regime reporting, to ensure high quality sales and customer satisfaction. As SFE Energy's business base in Ohio grows, SFE Energy will, in all likelihood, add dedicated compliance staff to the Ohio market.

### **CUSTOMER INFORMATION SYSTEMS (CIS)**

SFE Energy has a dedicated U.S. market customer information system which houses its customer profile information, manages transactions with the utility, maintains portfolio management information, and stores complaint data used to generate compliance monitoring reports. This customer information system was custom-built and is flexible to respond to changing requirements and market environments.

### **UTILITY INTERFACE**

SFE Energy plans to use a service provider, EC Infosystems, for interfacing with the utilities for the purposes of Electronic Data Interchange (EDI). SFE Energy will undergo EDI testing via EC Infosystems to ensure all requirements are met to transact with the utilities.

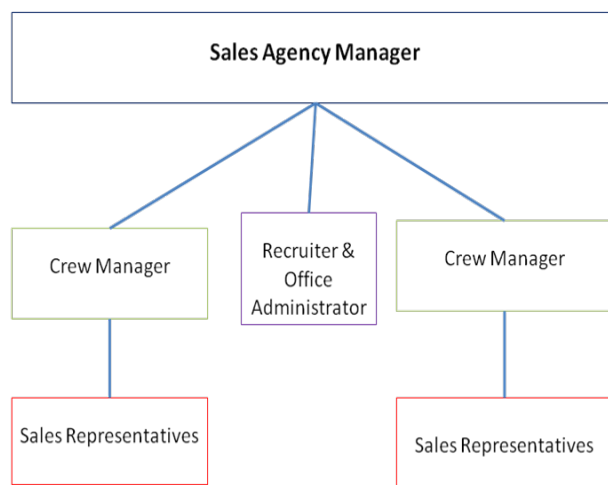
Transactions between SFE Energy and the utilities will be managed by SFE Energy's Operations Department (enrollments and billing) and Information Technology Department (information systems). The overall management of the transactions and interface with the utility will be managed by the Director of Operations.

Reporting to the Director of Operations will be the Manager of U.S. Operations. These positions will be responsible for the day to day dealings with transactions and communication with the utilities and EC Infosystems. These responsibilities include, but are not limited to; customer enrollments, customer maintenance, billing and remittance.

The Director of Information Technology and staff will be responsible for the administration and management of the Customer Information Systems. Reporting to the Director of Information Technology will be the system administrator and business analysts. This department is responsible for the infrastructure and maintenance of CIS systems. These responsibilities include development and maintenance of CIS systems, EDI transport interfaces and billing systems.

## **SALES STRUCTURE**

Sales Representatives are contracted with a Sales Agency to represent SFE Energy products. SFE Energy holds an agreement with the Sales Representative, to follow the standards and guidelines outlined by SFE Energy when selling our products, and an agreement with their Sales Agency, to whom they report and by whom they are paid. Sales Agencies are contracted with SFE Energy to agree that their representatives will adhere to the rules and conduct set out by SFE Energy. A typical sales office will have the following structure:



## **COMPLIANCE REGIME**

In order for SFE Energy to address complaints regarding the conduct of Sales Representatives, SFE Energy has developed a compliance monitoring program. This monitoring program tracks all complaint types, generates complaint reports, and assesses the Sales Representative's compliance standing. Remedial action is issued based upon the Sales Representative's compliance standing.

Customer complaints are received from a variety of sources such as:

- Customer Correspondence (fax, letter, email)
- Quality Assurance Calls
- Verification Calls
- Inbound Phone Call
- Third Party Complaints

The source of the complaint determines which Department handles and resolves the issue. The following SFE Energy departments may get involved in handling customer complaints:

- **Customer Service** (consists of CSR agents, Reaffirmation Agent, Administrator, Supervisor, Director of Customer Service)
- **Compliance** (consist of Compliance Specialists, Manager and Director of Regulatory Affairs and Compliance)
- **Sales** (consists of Director of Sales, Sales Staff and Senior Vice President)
- **Sales Agency** (President of Sales Agency, Sales Managers and Sales Representatives)

The sales-conduct oversight of the Sales Representatives will be based upon the model currently used in its existing Canadian and U.S. markets. The program is based on the following elements:

- Sales Representative Certification Process
- A Point-of-Sale Third Party Verification Call
- Quality Assurance Call and Verification Call Audits
- Sales Compliance Monitoring Program

The compliance regime that SFE Energy will use to manage the certification of its door-to-door sales force is currently used in its existing Canadian and U.S. markets and consists of the following:

### **Sales Representative Certification Process**

Completion of an Independent Contractor Agreement agreeing to abide by the rules and conduct of SFE Energy when representing our products. Before any Sales Representatives are permitted to conduct any sales, they are required to complete in-class training and a written test. The in-class training material and test is approved by the Compliance and Sales and Marketing Departments. The Sales Representatives must achieve a minimum score of 80% in order to proceed to sell.

All Sales Representatives who will represent SFE Energy are required to complete in-field training with their Sales Agency Manager prior to marketing the product on their own. The type of product and training program developed by the manager of their office will determine how in-field training is conducted.

A copy of the Sales Representative's photo ID must be provided to the Compliance Department in order to conduct a criminal background check. Criminal background checks are completed for every Sales Representative.

The Sales Representatives must review and sign a “Principle of Understanding Document” which outlines SFE Energy’s Code of Conduct, the respective regulators Code of Conduct, any legal and regulatory requirements for the state or licensing approval.

Once the aforementioned has been provided to, and approved by, the Compliance Department, the Sales Representative will be approved to receive his/her Sales Representative identification badge, and their information shall be entered into SFE Energy’s database where their status is controlled. Sales Representatives who are eligible to market products for SFE Energy have an Active status – this status may change depending on the activity of the Sales Representative. Sales Representatives who are not in Active Status cannot complete a third party verification call which is a requirement for all residential sales. If any information is missing or incomplete, the Sales Representative will not be issued a representative identification badge and cannot begin selling.

### **Telemarketing Sales Representative Certification Process**

Before any Sales Representatives are permitted to conduct any telemarketing sales, they are required to complete a review of SFE Energy’s telemarketing training package with their Sales Agency Manager prior to marketing the product. The Sales Representative must submit an acknowledgement form confirming that they have received the training in order to be able to begin telemarketing on SFE Energy’s behalf.

### **Point-of-Sale Third Party Verification Call “TPV”**

SFE Energy will require that a point-of-sale TPV call be completed for all door-to-door and telemarketing sales. If a TPV call is not completed for a contract, the contract will be canceled. The following points are covered in the call to ensure the customer understands they are entering into a supply agreement:

- That SFE Energy is not affiliated with the local utility company, the Commission, or the government.
- That the customer will be purchasing natural gas supply from SFE Energy at the contract price and term.
- The customer has the right of rescission and right to cancel.
- Advise the customer to keep a copy of the Agreement.

### **Quality Assurance Call and Verification Call Audits**

SFE Energy will conduct internal audits on randomly selected Third Party Verification calls. This will be done by the Compliance Department to evaluate and ensure that Sales Representatives and CSRs are providing accurate and complete information to the customer. Any issues identified will be communicated to the Sales Agencies (if it is Sales Representative conduct-related) and/or the Third Party Verification Company (if related to a CSR).

### **Sales Compliance Monitoring Program**



**Tracking of Complaints:** All Sale Representative Complaints are logged in SFE Energy's database. Each complaint logged has a complaint type, source, Sales Representative ID (where applicable), Sales Office and a detailed description of the complaint.

SFE Energy classifies complaints in three (3) categories: Sales Representative Complaint, Contract Management Complaint or Customer Service Complaint. The complaint types available in CIS provide a general description of the complaint. These complaints are further classified by the nature of complaint – for example, misrepresentation of program, misrepresentation of Identify, CSR was unprofessional, etc.

**Complaint Reports:** Weekly compliance staff generate a complaints report and forwards the report to the appropriate Sales Office to be reviewed by the Sales Agency Manager with the Sales Representative or they entire sales force.

**Compliance Standing:** A Sales Representative's compliance standing is determined by their compliance factor. Sales Representative complaints are assigned points based on the "Complaints Point Classification System" table; which assigns points to complaints based on the type and source of the complaint. The total number of complaint points is then multiplied by the Sales Representative's complaints to contract signed ratio to arrive at a "compliance factor".

The compliance factor acts as an indicator to determine if remedial action is required to address non-compliant issues and what measures should be taken based on a standard remedial action table. Compliance staff communicates the required remedial action by way of a Compliance Notice.

The Compliance Notice is a communication tool used to provide the Agency Sales Manager and the Sales Representative with feedback on the types of complaints received. It indicates remedial action to be taken for a Sales Representative to address their compliance standing. Notices are issued by SFE Energy's Compliance Department after completing a review of the Sales Agency's Sales Representative Point Report, and determining the remedial action required to address a Sales Representative's compliance standing. The following factors are taken into account when assigning a remedial action measure:

- the number of contracts submitted by the Sales Representative
- the Sales Representative's hire date
- the date of the complaint
- the trend of the complaints
- previous training completed by the Sales Representative, and
- previous compliance notices issued to the Sales Representative

Both the Agency Sales Manager and the Sales Representative are required to review and complete the Compliance Notice and return it to SFE Energy compliance staff.

**Regulatory Complaint Memo:** Regulatory complaint memos are prepared by compliance staff and reviewed with the Agency Sales Manager and Sales Representative receiving the Regulatory Complaint. SFE Energy's Field compliance staff will review the complaint memo with the Sales Representative and their Sales Manager and obtain the Sales Representative's written feedback on the complaint.

**NOTE:** SFE Energy has a zero tolerance policy for any substantiated Slamming, Forgery or Fraud complaints.

## **Sales Representative Complaint Review Process**

SFE Energy's Compliance Staff provide weekly reports to the Sales Manager(s) on the complaints received. Compliance Staff will contact each Agency Sales Manager weekly to discuss the current week's Sales Representative complaint report. In addition, on a monthly basis or on an as-needed basis, Compliance staff and the Sales & Marketing staff will review each Sales Representative's compliance factor and discuss the appropriate remedial action required for the Sales Representative with the Sales Representative's Sales Manager.

## **Report Distribution to Sales Offices**

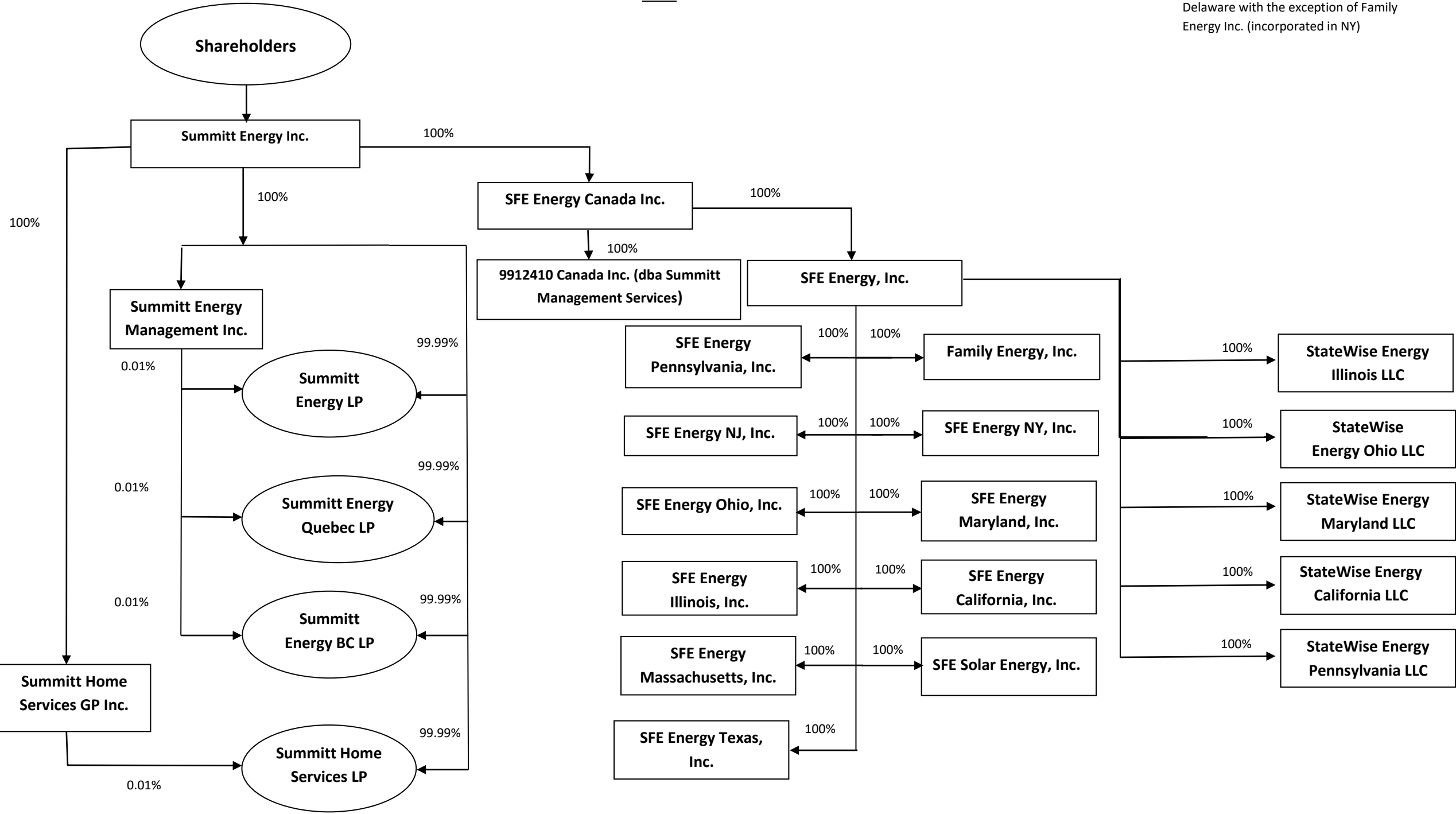
SFE Energy will have the following reports in place, which will be generated and automatically distributed.

**Sales Representative Complaint Report:** This report is run and sent out weekly to all Sales Managers, SFE Energy's Sales & Marketing Department, and SFE Energy's Compliance Department. The report lists all the complaints received for that week with a detailed description of the customer's complaint, the complaint type, and source of the complaint.

**Sales Representative Points Reports:** This report is run and sent out monthly to all Sales Managers, SFE Energy's Sales & Marketing Department, and SFE Energy's Compliance Department. A Sales Representative Point Report list by individual Sales Representative the number of complaints received in each of the Complaint Point Classifications categories (e.g. Misrepresentation of Program) and provides the Sales Representative's compliance factor.

**Summitt Energy Corporate Group**  
**Corporate Organizational Chart**  
**2023**

All US corporations and LLCs are formed in Delaware with the exception of Family Energy Inc. (incorporated in NY)



Subcode: 134120  
 Transaction Number: C082471986  
 Search Inquiry: SFE Energy/Cleveland/OH  
 Model Description: Intelliscore Plus V2

Ordered: 12/13/2023 11:55:04 CST



Business Name

**SFE ENERGY OH INC**

Business Identification Number

**423280792**

**Primary Address:** 600 SUPERIOR AVE E  
 CLEVELAND, OH 44114-2614

TOP

**Risk Dashboard**

| Risk Scores and Credit Limit Recommendation |                                 | Days Beyond Terms | Derogatory Legal | Fraud Alerts     |
|---|---------------------------------|-------------------|------------------|------------------|
| Intelliscore Plus                           | Financial Stability Risk        | Company DBT       | Original Filings | High Risk Alerts |
| <b>63</b><br>LOW TO MEDIUM RISK             | <b>31</b><br>LOW TO MEDIUM RISK | <b>0</b>          | <b>0</b>         | <b>1</b>         |
| Score range: 1 - 100 percentile             |                                 |                   |                  |                  |
| Credit Limit Recommendation: <b>\$2,100</b> |                                 |                   |                  |                  |

TOP

**Business Facts**

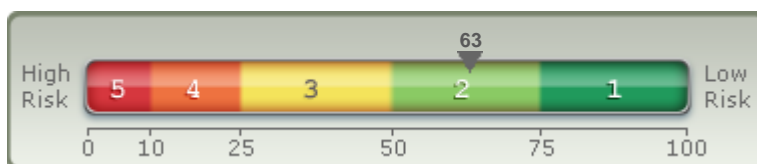
|                       |                              |                             |  |
|-----------------------|------------------------------|-----------------------------|--|
| <b>Years on File:</b> | 6 (FILE ESTABLISHED 03/2017) | <b>SIC Code:</b>            | PLUMBING, HEATING & A/C CONTRACTORS - 1711                   |
|                       |                              | <b>NAICS Code:</b>          | Plumbing, Heating, and Air-Conditioning Contractors - 238220 |
|                       |                              | <b>Number of Employees:</b> | 2  |
|                       |                              | <b>Sales:</b>               | \$389,000  |

TOP

**Commercial Fraud Shield**Evaluation for: **SFE ENERGY OH INC, 600 SUPERIOR AVE E, CLEVELAND, OH44114-2614**

| Business Alerts  | Verification Triggers                                   |
|--|---|
| <b>Active Business Indicator:</b> Experian shows this business as active | BUSINESS ADDRESS IDENTIFIED AS VACANT MIXED-USE ADDRESS |
| <b>Possible OFAC Match:</b> No OFAC match found                          |   |
| <b>Business Victim Statement:</b> No victim statement on file            |   |

TOP

**Credit Risk Score and Credit Limit Recommendation****Credit Risk Score: Intelliscore Plus****Current Intelliscore Plus Score: 63****Risk Class: 2****LOW - MEDIUM RISK**

The risk class groups scores by risk into ranges of similar performance. Range 5 is the highest risk, range 1 is the lowest risk.

This score predicts the likelihood of serious credit delinquencies for this business within the next 12 months. Payment history and public record along with other variables are used to predict future risk. Higher scores indicate lower risk.

#### Factors lowering the score

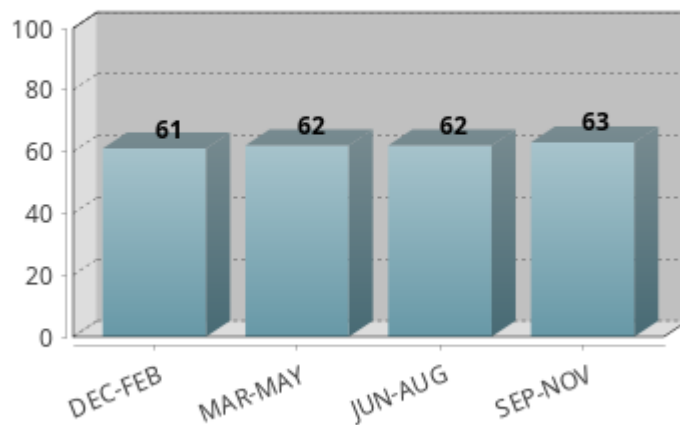
- › LOW NUMBER OF RECENTLY REPORTED COMMERCIAL ACCOUNTS
- › RATIO OF TOTAL BAL TO TOTAL HIGH BAL ACROSS ALL COMM ACCTS
- › LENGTH OF TIME ON EXPERIAN'S FILE
- › HIGH MAXIMUM COMMERCIAL ACCOUNT BAL IN THE LAST 12 MOS

#### Industry Risk Comparison

62% of businesses indicate a higher likelihood of severe delinquency.

#### Intelliscore Plus Quarterly Score Trends

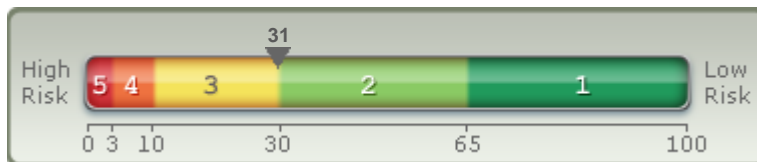
Quarterly Score Trends



The Intelliscore Plus Quarterly Score Trends provide a view of the likelihood of delinquency over the past 12 months for this business. The trends will indicate if the score improved, remained stable, fluctuated or declined over the last 12 months

#### Credit Risk Score: Financial Stability Risk

Current Financial Stability Risk Score: 31



This score predicts the likelihood of financial stability risk for this business within the next 24 months. Payment history and public record along with other variables are used to predict future risk. Higher scores indicate lower risk.

Risk Class: 2

LOW - MEDIUM RISK

The risk class groups scores by risk into ranges of similar performance. Range 5 is the highest risk, range 1 is the lowest risk.

#### Factors lowering the score

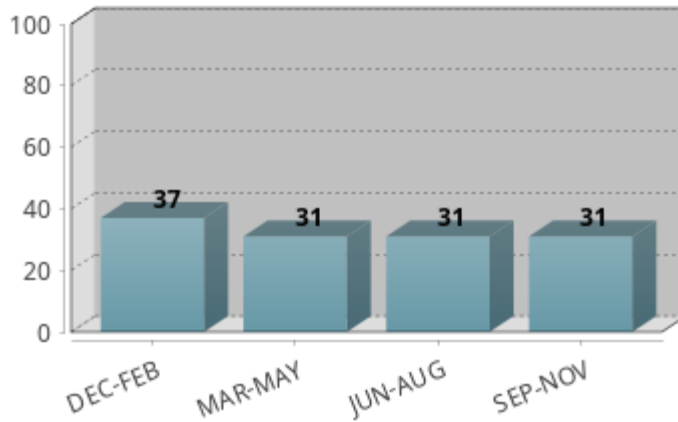
- › NUMBER OF ACTIVE COMMERCIAL ACCOUNTS
- › RISK ASSOCIATED WITH THE COMPANY'S INDUSTRY SECTOR
- › BALANCE TO HIGH CREDIT RATIO FOR COMMERCIAL ACCOUNTS
- › RISK ASSOCIATED WITH THE BUSINESS TYPE

#### Industry Risk Comparison

30% of businesses indicate a higher likelihood of financial stability risk.

#### Financial Stability Risk Quarterly Score Trends

### Quarterly Score Trends



The Financial Stability Risk Quarterly Score Trends provide a view of the likelihood of financial stability risk over the past 12 months for this business. The trends will indicate if the score improved, remained stable, fluctuated or declined over the last 12 months

### Credit Limit Recommendation

**Credit Limit Recommendation**  
\$2,100

This recommendation compares this business against similar businesses in the Experian business credit database. It is based on trade information, industry, age of business and the Intelliscore Plus. The recommendation is a guide. The final decision must be made based on your company's business policies.

TOP

### Payment and Legal Filings Summary

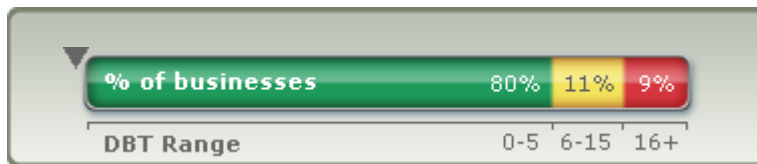
| Payment Performance                   |     | Trade and Collection Balance             |       | Legal Filings           |     |
|---------------------------------------|-----|--|-------|-------------------------|-----|
| Current DBT:                          | 0   | Total trade and collection (1):          | \$100 | Bankruptcy:             | No  |
| Predicted DBT :                       | N/A | All trades (1):                          | \$100 | Tax Lien filings:       | 0   |
| Monthly Average DBT:                  | 0   | All collections (0):                     | \$0   | Judgment filings:       | 0   |
| Highest DBT Previous 6 Months:        | 0   | Continuous trade (1):                    | \$100 | Sum of legal filings:   | \$0 |
| Highest DBT Previous 5 Quarters:      | 0   | 6 month average:                         | N/A   | UCC filings:            | 0   |
| Payment Trend Indication:             |     | Highest credit amount extended:          | \$100 | Cautionary UCC filings: | No  |
| Payment trend indicator not available |     | Most frequent industry purchasing terms: |       |                         |     |
|                                       |     | Industry purchasing terms not available  |       |                         |     |

### Industry Comparison

#### Industry DBT Range Comparison

The current DBT of this business is 0. 80% of businesses have a DBT range of 0-5.

DBT for this business: 0



TOP

### Trade Payment Summary

| Trade Line Type       | Lines Reported | DBT | Recent High Credit | Balance      | Current     | 01-30 | 31-60 | 61-90 | 91+ |
|-----------------------|----------------|-----|--------------------|--------------|-------------|-------|-------|-------|-----|
| Continuous            | 1              |     | \$100              | \$100        | 100%        |       |       |       |     |
| New                   | 0              |     |                    | \$0          |             |       |       |       |     |
| <b>Combined Trade</b> | <b>1</b>       |     | <b>\$100</b>       | <b>\$100</b> | <b>100%</b> |       |       |       |     |
| Additional            | 0              |     |                    | \$0          |             |       |       |       |     |
| <b>Total Trade</b>    | <b>1</b>       |     | <b>\$100</b>       | <b>\$100</b> | <b>100%</b> |       |       |       |     |

## Trade Payment - New and Continuously Reported Trade Details

| Business Category |  | Payment Experiences<br>(Trade Lines with an (*) after the date are newly reported) |           |               |                    | Account Status<br>Days Beyond Terms |      |      |       |       |     | Comments |
|-------------------|--|--|-----------|---------------|--------------------|-------------------------------------|------|------|-------|-------|-----|----------|
|                   |  | Date Reported  | Last Sale | Payment Terms | Recent High Credit | Balance                             | Cur  | 1-30 | 31-60 | 61-90 | 91+ |          |
| BUS SERVCS        |  | 07/2023  |           | VARIED        | \$100              | \$100                               | 100% |      |       |       |     |          |

*Experian prides itself on the depth and accuracy of the data maintained on our databases. Reporting your customer's payment behavior to Experian will further strengthen and enhance the power of the information available for making sound credit decisions. Give credit where credit is due. Call 1-800-520-1221, option #4 for more information.*

End of report

1 of 1 report

*The information herein is furnished in confidence for your exclusive use for legitimate business purposes and shall not be reproduced. Neither Experian Information Solutions, Inc., nor their sources or distributors warrant such information nor shall they be liable for your use or reliance upon it.*

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# Competitive Retail Natural Gas Service Affidavit

County of City of Mississauga

State of Province of Ontario

Michael Gerald Haggarty,  
President

, 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 and sales of hundred cubic feet of natural gas pursuant to Sections 4905.10(A), 4911.18(A), and 4929.23(B), Ohio Revised Code.
3. The applicant will timely pay any assessment made pursuant to Sections 4905.10 and 4911.18(A), Ohio Revised Code.
4. 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. 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. Applicant will comply with Section 4929.21, Ohio Revised Code, regarding consent to the jurisdiction of the Ohio courts and the service of process.
7. Applicant will comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
8. 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.
9. 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.
10. Affiant further sayeth naught.

  
Signature of Affiant & Title

Sworn and subscribed before me this 26 day of January, 2024  
Month Year

  
Signature of official administering oath

Ashley Bunzel Notary Public  
Print Name and Title

My commission expires on N/A





|                     |                             |   |                  |                 |         |             |              |
|---------------------|-----------------------------|---|------------------|-----------------|---------|-------------|--------------|
| DATE:<br>07/31/2013 | DOCUMENT ID<br>201321200078 | DESCRIPTION<br>FOREIGN LICENSE/FOR-PROFIT (FLF) | FILING<br>125.00 | EXPED<br>100.00 | PENALTY | CERT<br>.00 | COPY<br>5.00 |
|---------------------|-----------------------------|---|------------------|-----------------|---------|-------------|--------------|

### Receipt

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

NSI  
ATTN: JILL F. PROBST  
145 BAKER STREET  
MARION, OH 43302

## STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Jon Husted

2218417

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

**SFE ENERGY OHIO, INC.**

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

Document(s)  
**FOREIGN LICENSE/FOR-PROFIT**

Document No(s):  
**201321200078**

Effective Date: 07/30/2013

Authorization to transact business in Ohio is hereby given, until surrender, expiration or cancellation of this license.



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

Witness my hand and the seal of  
the Secretary of State at Columbus,  
Ohio this 31st day of July, A.D.  
2013.

Ohio Secretary of State



Form 530A Prescribed by the:  
Ohio Secretary of State

Central Ohio: (614) 466-3910  
Toll Free: (877) SOS-FILE (767-3453)

[www.OhioSecretaryofState.gov](http://www.OhioSecretaryofState.gov)  
[Bussserv@OhioSecretaryofState.gov](mailto:Bussserv@OhioSecretaryofState.gov)

Mail this form to one of the following:

Regular Filing (non expedite)  
P.O. Box 670  
Columbus, OH 43216

Expedite Filing (Two-business day processing  
time requires an additional \$100.00).  
P.O. Box 1390  
Columbus, OH 43216

## Foreign For-Profit Corporation Application for License

Filing Fee: \$125

(151-FLF)

The application is made to procure a ☒ Permanent License ☐ Temporary License (valid for six months)

Attach Certificate of Good Standing from the jurisdiction of formation (see instructions)

Name of Corporation **SFE Energy Ohio, Inc.**

(Name must match the name on the Certificate of Good Standing)

Assumed name under which the corporation will do business, if its corporate name is not available in Ohio  
(Must attach "Resolution of Foreign Corporation to Qualify Under An Assumed Name" Form 591)

Under the Laws of the Jurisdiction of

**Delaware**

Jurisdiction of Formation

Date of Incorporation in Jurisdiction of Formation

**June 18, 2013**

(Date must match the date provided on  
the Certificate of Good Standing)

Date of Incorporation

The location of the principal office (non-Ohio) is:

**100 Milverton Drive, Suite 608**

Mailing Address

**Mississauga, Ontario**

City

**Canada**

State

**L5R 4H1**

ZIP Code

If there is a principal office within Ohio, the location is

Mailing Address

City

State

ZIP Code

A brief summary of the corporate purpose(s) to be exercised within Ohio

**energy service company**

## Appointment of Agent

The corporation hereby appoints the following as its statutory agent upon whom process against the corporation may be served in Ohio.

UCS of Ohio

Name

3040 Riverside Drive, Suite 122 Ste. 122

Mailing Address

Columbus

City

Ohio

State

43221

ZIP Code

- ☐ If the agent is an individual and using a P.O. Box, check this box to confirm the agent is an Ohio resident.

The entity above irrevocably consents to service of process on the agent listed above as long as the authority of the agent continues, and to service of process upon the Ohio Secretary of State if:

- A. an agent is not appointed, or
- B. an agent is appointed but the authority of that agent has been revoked, or
- C. the agent cannot be found or served after the exercise of reasonable diligence.

Pursuant to Ohio Revised Code 1703.29 (A), a foreign corporation is required to pay an additional \$250 fee if the application is being made to enable the corporation to prosecute or defend a legal action. Please see Ohio Revised Code or the instructions for more information.

- ☒ No, the corporation is not filing for this purpose and an additional fee is not included.
- ☐ Yes, the application is being filed for this purpose and the additional \$250 fee is included with the filing fee.

**If yes then:**

Pursuant to Ohio Revised Code 1703.29(B), a foreign corporation that began transacting business in Ohio prior to 2009 without a license may be required to provide a certificate from the tax commissioner which states that the corporation has paid all franchise taxes which it should have paid had it qualified to do business in this state.

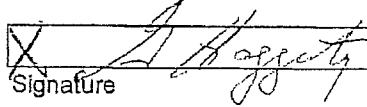
**Did the corporation begin transacting business in Ohio prior to 2009?**

- ☐ Yes, the D4 certificate from the tax commissioner is attached.
- ☒ No, the corporation began transacting business in 2009 or later, therefore, a D4 certificate is not required.

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

**Required**

Articles and original appointment of agent must be signed by a member, manager or other representative.

☒   
Signature

By (if applicable)

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

Michael Gerald Haggarty  
Print Name

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

Signature

By (if applicable)

Print Name

Michael Gerald Haggarty  
Name of Officer

, being first duly sworn, deposes and says that he/she is the

President

of

SFE Energy Ohio, Inc.

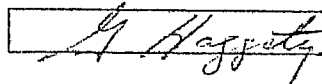
Officer Title

Corporation

the corporation described in the foregoing application, and that the statements contained in said application are true and correct to best of my knowledge and belief.

Name Michael Gerald Haggarty

Signature



Sworn before me and subscribed on

July 23/13  
Date

  
Notary Public Ronald Joseph Marcus Mercier

NOTARY SEAL

Expiration Date of Notary's Commission

N/A \*  
Date

\* Lifetime appointment.

# Delaware

PAGE 1

## *The First State*

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "SFE ENERGY OHIO, INC." IS DULY INCORPORATED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL CORPORATE EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE TWENTY-NINTH DAY OF JULY, A.D. 2013.

AND I DO HEREBY FURTHER CERTIFY THAT THE SAID "SFE ENERGY OHIO, INC." WAS INCORPORATED ON THE EIGHTEENTH DAY OF JUNE, A.D. 2013.

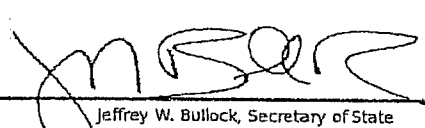
AND I DO HEREBY FURTHER CERTIFY THAT THE FRANCHISE TAXES HAVE NOT BEEN ASSESSED TO DATE.



5353030 8300

130929035

You may verify this certificate online  
at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)

  
Jeffrey W. Bullock, Secretary of State  
AUTHENTICATION: 0622344

DATE: 07-29-13

#2218417 UNITED STATES OF AMERICA,  
STATE OF OHIO,  
OFFICE OF THE SECRETARY OF STATE

I, Jon Husted, Secretary of State of the State of Ohio, do hereby certify that the foregoing is a true and correct copy, consisting of 5 pages, as taken from the original record now in my official custody as Secretary of State.



WITNESS my hand and official seal at  
Columbus, Ohio, this 31<sup>st</sup> day of  
July, 2013 A.D.

Jon Husted  
JON HUSTED  
Secretary Of State

By: M. Bender

NOTICE: This is an official certification only when reproduced in red ink



|            |              |                                  |        |        |         |      |      |
|------------|--------------|----------------------------------|--------|--------|---------|------|------|
| DATE:      | DOCUMENT ID  | DESCRIPTION                      | FILING | EXPED  | PENALTY | CERT | COPY |
| 08/01/2013 | 201321300089 | TRADE NAME/ORIGINAL FILING (RNO) | 50.00  | 100.00 |         | .00  | 5.00 |

**Receipt**

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

NSI  
ATTN: JILL F. PROBST  
145 BAKER STREET  
MARION, OH 43302

# STATE OF OHIO CERTIFICATE

**Ohio Secretary of State, Jon Husted**

**2218669**

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

**SFE**

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

Document(s)

Document No(s):

**TRADE NAME/ORIGINAL FILING**

**201321300089**

**Effective Date: 07/31/2013**

Date of First Use: 07/30/2013  
Expiration Date: 07/31/2018

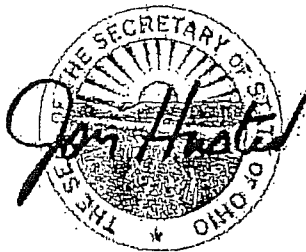
SFE ENGERY OHIO, INC.  
100 MILVERTON DRIVE  
SUITE 608  
MISSISSAUGA, ONTARIO, CD L5R 4H1



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

Witness my hand and the seal of  
the Secretary of State at Columbus,  
Ohio this 1st day of August, A.D.  
2013.

Ohio Secretary of State



Form 534A Prescribed by:

**JON HUSTED**  
Ohio Secretary of State

Central Ohio: (614) 466-3910  
Toll Free: (877) SOS-FILE (767-3453)  
[www.OhioSecretaryofState.gov](http://www.OhioSecretaryofState.gov)  
[Busserv@OhioSecretaryofState.gov](mailto:Busserv@OhioSecretaryofState.gov)

Mail this form to one of the following:

Regular Filing (non expedite)  
P.O. Box 670  
Columbus, OH 43216

Expedite Filing (Two-business day processing  
time requires an additional \$100.00).  
P.O. Box 1390  
Columbus, OH 43216

## Name Registration

Filing Fee: \$50

CHECK ONLY ONE (1) Box

☒ Trade Name  
(167-RNO)

Date of first use: 07/30/2013

MM/DD/YYYY

☐ Fictitious Name  
(169-NFO)

SFE

Name being Registered or Reported

SFE Energy Ohio, Inc.

Name of the Registrant

Note: If the registrant is a partnership, please provide the name of the partnership. Individual partner names are not permitted but are required on page 2 of the form.

The Registrant is a(n): (Check only one (1) box)

☐ Individual

☐ General Partnership

Registration #, if any

☐ Limited Partnership

Registration #

If Foreign, Jurisdiction of Formation

☐ Limited Liability Partnership

Registration #

If Foreign, Jurisdiction of Formation

☐ Limited Liability Company

Registration #

If Foreign, Jurisdiction of Formation

☐ Ohio Corporation

Charter #

☒ Foreign Corporation

Ohio license: 2218147

Jurisdiction of Formation

☐ Unincorporated Association

☐ Professional Association

Charter #

☐ Sole Proprietor

☐ Other



All registrants must complete the information in this section

The general nature of business conducted by the registrant:

sales, marketing and supplier of gas and electricity

Business address:

100 Milverton Drive, Suite 608

Mailing Address

Mississauga, Ontario

City

Canada

State

L5R 4H1

Zip Code

Complete the information in this section if registrant is a partnership NOT registered in Ohio pursuant to ORC 1776, if partnership is registered, provide registration number on page one.

Provide the name and address of at least one general partner:

Name

Address

NOTE: Pursuant to OAG 89-081, if a general partner is a foreign corporation/limited liability company, it must be licensed to transact business in Ohio; if a general partner is a foreign corporation/limited liability company licensed in Ohio under an assumed name, please provide the assumed name and the name as registered in its jurisdiction of formation.

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

**Required**

Application must be signed by the registrant or an authorized representative.

Signature

By (If applicable)

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

Michael Gerald Haggarty

Print Name

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

2218669

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

I, Jon Husted, Secretary of State of the State of Ohio, do hereby certify that the foregoing is a true and correct copy, consisting of 3 pages, as taken from the original record now in my official custody as Secretary of State.



WITNESS my hand and official seal at  
Columbus, Ohio, this 15<sup>th</sup> day of  
August A.D. 2013

*Jon Husted*

JON HUSTED  
Secretary Of State

By: *Ray Siegan*

NOTICE: This is an official certification only when reproduced in red ink



|                     |                             |   |                 |                 |         |             |              |
|---------------------|-----------------------------|---|-----------------|-----------------|---------|-------------|--------------|
| DATE:<br>08/01/2013 | DOCUMENT ID<br>201321300090 | DESCRIPTION<br>TRADE NAME/ORIGINAL FILING (RNO) | FILING<br>50.00 | EXPED<br>100.00 | PENALTY | CERT<br>.00 | COPY<br>5.00 |
|---------------------|-----------------------------|---|-----------------|-----------------|---------|-------------|--------------|

**Receipt**

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

NSI  
ATTN: JILL F. PROBST  
145 BAKER STREET  
MARION, OH 43302

# STATE OF OHIO CERTIFICATE

**Ohio Secretary of State, Jon Husted**

**2218670**

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

**SFE ENERGY**

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

Document(s)

Document No(s):

**TRADE NAME/ORIGINAL FILING**

**201321300090**

**Effective Date: 07/31/2013**

Date of First Use: 07/30/2013

Expiration Date: 07/31/2018

SFE ENERGY OHIO, INC.

100 MILVERTON DRIVE

SUITE 608

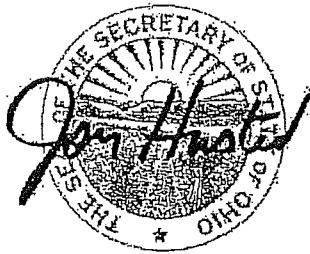
MISSISSAUGA, ONTARIO, CD L5R 4H1



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

Witness my hand and the seal of  
the Secretary of State at Columbus,  
Ohio this 1st day of August, A.D.  
2013.

Ohio Secretary of State



Form 534A Prescribed by:

**JON HUSTED**  
Ohio Secretary of State

Central Ohio: (614) 466-3910  
Toll Free: (877) SOS-FILE (767-3453)  
[www.OhioSecretaryofState.gov](http://www.OhioSecretaryofState.gov)  
[Busserv@OhioSecretaryofState.gov](mailto:Busserv@OhioSecretaryofState.gov)

Mail this form to one of the following:

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Columbus, OH 43216

Expedite Filing (Two-business day processing  
time requires an additional \$100.00).  
P.O. Box 1380  
Columbus, OH 43216

## Name Registration

Filing Fee: \$50

CHECK ONLY ONE (1) Box

☒ Trade Name  
(167-RNO)

Date of first use: 07/30/2013

MM/DD/YYYY

☐ Fictitious Name  
(169-NFO)

SFB Energy

Name being Registered or Reported

SFB Energy Ohio, Inc.

Name of the Registrant

Note: If the registrant is a partnership, please provide the name of the partnership. Individual partner names are not permitted but are required on page 2 of the form.

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☐ Individual

☐ General Partnership

Registration #, if any

☐ Limited Partnership

Registration #

If Foreign, Jurisdiction of Formation

☐ Limited Liability Partnership

Registration #

If Foreign, Jurisdiction of Formation

☐ Limited Liability Company

Registration #

If Foreign, Jurisdiction of Formation

☐ Ohio Corporation

Charter #

☒ Foreign Corporation

Ohio license

Jurisdiction of Formation

☐ Unincorporated Association

☐ Professional Association

Charter #

☐ Sole Proprietor

☐ Other

All registrants must complete the information in this section

The general nature of business conducted by the registrant:

sales, marketing and supplier of gas and electricity

Business address:

100 Milverton Drive, Suite 608

Mailing Address

Mississauga, Ontario

City

Canada

State

L5R 4H1

Zip Code

Complete the information in this section if registrant is a partnership NOT registered in Ohio pursuant to ORC 1776, if partnership is registered, provide registration number on page one.

Provide the name and address of at least one general partner:

Name

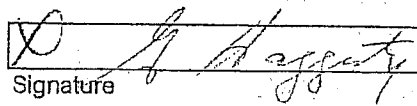
Address

NOTE: Pursuant to OAG 89-081, if a general partner is a foreign corporation/limited liability company, it must be licensed to transact business in Ohio; if a general partner is a foreign corporation/limited liability company licensed in Ohio under an assumed name, please provide the assumed name and the name as registered in its jurisdiction of formation.

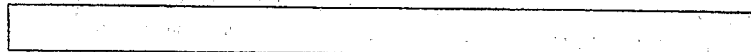
By signing and submitting this form to the Ohio Secretary of State, the undersigned hereby certifies that he or she has the requisite authority to execute this document.

**Required**

Application must be signed by the registrant or an authorized representative.

  
Signature

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

  
By (if applicable)

Michael Gerald Haggarty

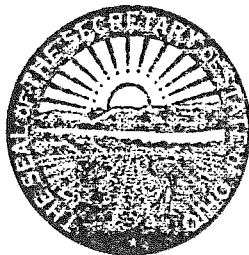
Print Name

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

2218670

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

I, Jon Husted, Secretary of State of the State of Ohio, do hereby certify that the foregoing is a true and correct copy, consisting of 3 pages, as taken from the original record now in my official custody as Secretary of State.



WITNESS my hand and official seal at  
Columbus, Ohio, this 15<sup>th</sup> day of  
August A.D. 2013

Jon Husted

JON HUSTED  
Secretary Of State

By: Ray Siegrist

NOTICE: This is an official certification only when reproduced in red ink

| <u>Applicant/Affiliate Company Name</u>           | <u>Original Date of Issuance</u> | <u>Regulatory Agency</u>                                      |
|---|----------------------------------|---|
| Summitt Energy BC LP ("Summitt Energy")           | 19-Mar-08                        | British Columbia Utilities Commission ("BCUC")                |
| Family Energy Inc. ("Family Energy")              | 22-Apr-13                        | New York Public Service Commission ("NYPSC")                  |
| SFE Energy Pennsylvania, Inc. ("SFE Energy")      | 15-Aug-13                        | Pennsylvania Public Utilities Commission                      |
| SFE Energy Maryland, Inc. ("SFE Energy")          | 18-Dec-13                        | Maryland Public Service Commission                            |
| SFE Energy NJ, Inc. ("SFE Energy")                | 20-Aug-14                        | New Jersey Board of Public Utilities                          |
| Summitt Energy Management Inc. ("Summitt Energy") | 16-Oct-14                        | Ontario Energy Board ("OEB")                                  |
| SFE Energy California Inc. ("SFE Energy")         | 11-Feb-15                        | California Public Utilities Commission ("CPUC")               |
| SFE Energy Massachusetts, Inc. ("SFE Energy")     | 12-Mar-15                        | Commonwealth of Massachusetts, Department of Public Utilities |
| StateWise Energy Ohio LLC                         | 12-Mar-15                        | Public Utilities Commission of Ohio ("PUCO")                  |
| SFE Energy Illinois, Inc. ("SFE Energy")          | 3-May-17                         | Illinois Commerce Commission ("ICC")                          |
| SFE Energy Texas Inc. ("SFE Energy")              | 27-Jun-17                        | Public Utilities Commission of Texas ("PUCT")                 |
| StateWise Energy Maryland LLC                     | 31-Oct-18                        | Pennsylvania Public Utilities Commission                      |
| StateWise Energy California LLC                   | 1-Nov-18                         | California Public Utilities Commission ("CPUC")               |
| StateWise Energy Pennsylvania LLC                 | 6-Dec-18                         | Maryland Public Service Commission                            |
| StateWise Energy Illinois LLC                     | 2-May-19                         | Illinois Commerce Commission ("ICC")                          |



139 East Fourth  
EX396  
Cincinnati, Ohio 45202

January 16, 2024

SFE Energy has met the Electric and Natural Gas Collateral obligations for Duke Energy Corporation as of January 16, 2024.

*Heather Klein*

Duke Energy Corp  
Certified Supplier Business Center  
[CSBCreps@duke-energy.com](mailto:CSBCreps@duke-energy.com)





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

**2/9/2024 10:45:44 AM**

**in**

**Case No(s). 16-0056-GA-CRS**

Summary: In the Matter of the Application of SFE Energy Ohio, Inc