



DIS Case Number: 14-0491-EL-AGG

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: Energy Alliances Inc **Country:** United States
Phone: 5137945555 **Extension (if applicable):** **Street:** 8469 Blue Ash RD Suite 1
Website (if any): **City:** Cincinnati **Province/State:** OH
<http://www.energyalliances.com>

Postal Code: 45236

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
Energy Alliances, Inc.	Official Name	8469 Blue Ash Road Suite 1 Cincinnati, OH 45236-1992	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
Energy Alliances, Inc.	Official Name	8469 Blue Ash Road Suite 1 Cincinnati, OH 45236-1992	Yes	File

Premier Energy Advisors	DBA	8469 Blue Ash Road Suite 1 Cincinnati, OH 45236-1992	Yes	File
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A-5. Contact person for regulatory matters

Mark Bishop
8469 Blue Ash Road Suite 1
Cincinnati, OH 45236-1992
US
mbishop@energyalliances.com
5137945555

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

Mark Bishop
8469 Blue Ash Road Suite 1
Cincinnati, OH 45236-1992
US
mbishop@energyalliances.com
5137945555

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

Phone: 8007350359 **Extension (if applicable):** 103 **Country:** United States
Fax: 8887350359 **Extension (if applicable):** **Street:** 8469 Blue Ash Road Suite 1
Email: mbishop@energyalliances.com **City:** Cincinnati **Province/State:** OH
Postal Code: 45236-1992

A-8. Applicant's federal employer identification number

31-1159005

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

Duke Energy Ohio
 FirstEnergy - Cleveland Electric Illuminating
 FirstEnergy - Ohio Edison
 FirstEnergy - Toledo Edison
 AES Ohio
 American Electric Power (AEP)

Class of customer selection

Commercial
 Industrial
 Mercantile
 Residential

A-11. Start date

Indicate the approximate start date the applicant began/will begin offering services: 01-01-2010

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
Mark Bishop	mbishop@energyalliances.com	Vice President & Secretary	8469 Blue Ash Road Suite 1 Cincinnati, OH 45236-1992 US
Bill Grafe	bgrafe@energyalliances.com	President	8469 Blue Ash Road Suite 1 Cincinnati, OH 45236-1992 US
Jaime Martin	martin@energyalliances.com	Energy Data Specialist	8469 Blue Ash Road Suite 1 Cincinnati, OH 45236-1992 US
Rich Surace	rsurace@energyalliances.com	Chief Operating Officer	8469 Blue Ash Road Suite 1 Cincinnati, OH 45236-1992 US

A-13. Company history

Energy Alliances, Inc. was founded in 1986.

Our mission: to save our clients 'energy dollars.' Our early business involved commercial energy audits and utility bill analysis. We combined this expertise to solve difficult energy issues.

In the mid 1980s, Spence Faxon, President, was appointed to the City of Cincinnati's Mayor's Energy Task Force. Soon we would be chosen by the local utility as its chief Energy Auditor for its Non-Profit Energy Management Program or NEMP, performing energy audits for over ten years via People Working Cooperatively (PWC). We were among the pioneers in the energy industry introducing the concept of energy management to the property management industry. EAI marketed natural gas as an agent for Consolidated Fuel Corp. throughout the Chicago region. We joined others at the negotiating table in Columbus, Ohio in the early 1990s where we helped shape the Firm Transport program on CG&E's system, now Duke Energy. In 1994 we officially entered CG&E's Firm Transport program and have been a leader in the program to this day. In 2010, we entered the power business as an electric broker. Following the untimely passing of Spence Faxon in 2014, His daughter, Sydney Trout, became CEO. Energy Alliances is now officially a women-owned business.

Our portfolio now includes:

- Commercial, mercantile, residential and industrial customers
- Governmental Community Aggregation customers

Energy Alliances, Inc. has remained in good standing in Ohio and with LDCs and the PUCO.

A-14. Secretary of State

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..

Jurisdiction of Operation: Authorized to provide electric/natural gas service in:
OH, IL

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.

Application Experience and Plan Description: Energy Alliances, Inc. was founded in December 1985 and incorporated in the State of Ohio in May 1986 and has remained in good standing in the State of Ohio, Illinois and other areas.

Currently, Energy Alliances, Inc. has residential commercial, mercantile and industrial clients throughout the Duke Energy system in OH and serves 35 communities through electric aggregation and 27 on natural gas aggregation in Southern Ohio on Duke Energy and 1

community on natural gas aggregation in Northern Ohio on Dominion East Ohio. We currently serve

approximately 900 commercial customers on Duke's system as well.

Energy Alliances, Inc. has received no customer complaints and no unresolved complaints with its customers through its affiliates. Energy Alliances, Inc. provides services to residential (through aggregation), commercial, mercantile, and industrial customers. We establish a working relationship with the client, review the client's utility history and provide the client options as well as a suggested strategy for lowering its energy costs through strategic procurement while managing its exposure to risk. The managing partners of Energy Alliances, Inc. answer customer inquiries personally. The company is staffed by the original founding members and other qualified, trained individuals.

Energy Alliances, Inc. is a broker, not a supplier. Energy Alliances, Inc. will not be billing customers but customer service is available through established channels with the supplier as well as our company to ensure the customer's understanding and facilitate complaint resolution in accordance with Commission rules adopted pursuant to Section 4929.22 of the Revised Code and contained in Chapter 4909:1-29 of the Ohio Administrative Code.

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 of record.

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

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.

PJM disclosure option chosen

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.

Preferred to file this information confidentially

C-6. Bankruptcy information

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

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

No

C-7. Merger information

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

No

C-8. Corporate structure

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

Stand-alone entity with no affiliate or subsidiary companies

Section D: Applicant Technical Capacity

D-1. Operations

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



Operations Description: Energy Alliances, Inc. is a broker/sales agent only and does not take title to the natural gas or electric. Operations beyond marketing are handled by our affiliate

for whom we act as a Broker/Agent. EAI is a marketing agent with several sales agents providing customer relations and service to municipalities and consumers.

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: Energy Alliances, Inc. is a broker/sales agent only and does not take title to the natural gas or electric. Operations beyond marketing are handled by our affiliate for whom we act as a Broker/Agent. Operations at Energy Alliances, Inc. are handled by the following personnel:

Sydney L. Trout, CEO
strout@energyalliances.com
513-794-5555; 101

Sydney Trout, daughter of the late Spence Faxon, Co-Founder of EAI, has been involved with the business for nearly two decades, working in a variety of roles before becoming CEO in 2015. EAI is a Cincinnati-certified, woman-owned corporation. Trout oversees all operations and leads development of company's short and long-term strategy and developing/overseeing strategic goals.

Rich Surace, COO
rsurace@energyalliances.com
513-794-5555; 104

Rich Surace is the Chief Operating Officer at Energy Alliances. Rich oversees the daily operations of the company including organizational operations and procedures with a strategic focus on balancing efficiency across sales, marketing, IT and finance. Rich joined EAI in February 2018. Rich continually explores methods of improving internal strategy and customer relationships through market intelligence and technology. Prior to joining EAI, Rich served as Director of Retail Operations for Dynegy Energy Services.

William H. Grafe, President
bgrafe@energyalliances.com
513-794-5555; 102



Bill is a co-founder of Energy Alliances, Inc. He oversees daily operations, future planning and corporate functions.

Mark A. Bishop, President
mbishop@energyalliances.com
513-794-5555; 103

Mark serves as Vice President and Secretary of the Corporation. Mark oversees marketing, corporate functions and processes.

Jaime Martin, Energy Data Specialist
jmartin@energyalliances.com
513-794-5555; 301

Jaime Martin manages EAI's corporate data stream and in-house financial reporting.

Application Attachments

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

I, Frank LaRose, do hereby certify that I am the duly elected, qualified and present acting Secretary of State for the State of Ohio, and as such have custody of the records of Ohio and Foreign business entities; that said records show ENERGY ALLIANCES, INC., an Ohio corporation, Charter No. 671393, having its principal location in Cincinnati, County of Hamilton, was incorporated on February 14, 1986 and is currently in GOOD STANDING upon the records of this office.



*Witness my hand and the seal of the
Secretary of State at Columbus, Ohio
this 20th day of February, A.D. 2024.*

A handwritten signature in blue ink, appearing to read "Frank LaRose".

Ohio Secretary of State

Validation Number: 202405101068

Competitive Retail Electric Service Affidavit

County of Hamilton:

State of Ohio:

Mark A Bishop, 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.

[Signature] Vice President & Secretary
Signature of Affiant & Title

Sworn and subscribed before me this 20 day of February, 2024
Month Year

[Signature]
Signature of official administering oath

Katherine McClure Notary
Print Name and Title

My commission expires on 10/26/2028



KATHERINE MCCLURE
Notary Public, State of Ohio
My Commission Expires
October 26, 2028
COMMISSION: 2023-RE-869961

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

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Case No(s). 14-0491-EL-AGG

Summary: In the Matter of the Application of Energy Alliances Inc