



NH PUC 20 JUL '18 PM 12:56

Debra A. Howland, Executive Director
New Hampshire Public Utilities Commission
21 South Fruit Street, Suite 10
Concord, New Hampshire 03301-2429

RE: Direct Energy Business Marketing, LLC – Electric License Renewal (DM 13-260)

Dear Ms. Howland,

Direct Energy Business Marketing, LLC (DEBM) submits this license renewal in compliance with NH Code of Administrative Rules, Section 2003.02. Enclosed are an original and two copies of application.

The original bond will be mailed to the NH PUC under separate cover.

If you have any questions about the license renewal please do not hesitate to contact me.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Andy Beauchamp', written over a faint blue line.

Andy Beauchamp
Regulatory Licensing & Reporting
(713) 877-3925
andy.beauchamp@directenergy.com

enc.



Competitive Electric Power Supplier Application Form

This form may be used to: (1) apply for initial registration as a competitive electric power supplier (CEPS) in New Hampshire, (2) apply for renewal of registration as a CEPS in New Hampshire, and (3) notify the Commission of any changes to information in a previously filed CEPS application. *This form is provided as a convenience for filing only; you are required to provide all information specified under Puc 2006.01 when applying for initial or renewal registration as a CEPS, but you are not required to use this form when doing so.*

Indicate whether this application is for an initial registration or for a renewal. Initial <input type="checkbox"/> Renewal <input checked="" type="checkbox"/>		
Applicant's General Information		
Puc 2006.01(a)	Legal Name	Direct Energy Business Marketing, LLC
	Trade Name (d/b/a) (if applicable)	Direct Energy Business
Puc 2006.01(b)	Business Mailing Address	194 Wood Avenue South, Suite 200 Iselin, NJ 08830
	Telephone Number	732 - 516 7500
	E-Mail Address	buisness.directenergy.com
	Website Address	business.directenergy.com
Puc 2006.01(c)	Provide the state or jurisdiction of organization, if anything other than an individual.	Delaware
Puc 2006.01(d)	Provide the name(s), title(s), business address(es), telephone number(s), and e-mail address(es) of the applicant if an individual, or of the applicant's principal(s)1 if it is anything other than an individual. Use additional sheets as needed.	
	Name	Please see Attachment A.
	Title	
	Business Mailing Address	
	Telephone Number	- -
	E-Mail Address	
	<hr/>	
	Name	
	Title	
	Business Mailing Address	
	Telephone Number	- -
	Email Address	
	<hr/>	
	Name	
	Title	
Business Mailing Address		
Telephone Number	- -	
E-Mail Address		

1 "Principals" means, for a corporation, any of its officers, directors, or controlling shareholders, for a limited liability company, any of its managers or controlling members, for a partnership, any of its general partners, and for any other business entity, any of its personnel exercising executive functions and any of its controlling equity owners.



Affiliates and Subsidiaries		
Puc 2006.01(e)	Provide the following information regarding any affiliates ² and subsidiaries of the applicant that are conducting business in New Hampshire. Use additional sheets as needed.	
	Name of Entity	Direct Energy Business, LLC
	Business Address	1001 Liberty Avenue South, Suite 1200
		Pittsburgh, PA
	Telephone Number	732 -516-7500
	Provide a description of the business purpose of the entity. Direct Energy Business, LLC is a comprehensive retail energy service provider.	
	Provide a description of any agreements with any affiliated New Hampshire utility, and the docket number relative to the filing of any such agreements with the Commission.	
	Name of Entity	Direct Energy Services, LLC
Business Address	12 Greenway Plaza, Suite 1200	
	Houston, TX 77046	
Telephone Number	- -	
Provide a description of the business purpose of the entity. Direct Energy Services, LLC is a comprehensive retail energy service provider.		
Provide a description of any agreements with any affiliated New Hampshire utility, and the docket number relative to the filing of any such agreements with the Commission.		

² "Affiliate" means any of the following:

- (a) Any person or entity that directly or indirectly owns, controls, or holds with power to vote a majority of the outstanding voting securities or such minority thereof as to give such person substantial control of another person or entity;
- (b) Any person or entity that is directly or indirectly owned, controlled, or held by any person or entity described in (a) above through either power to vote a majority of the outstanding voting securities or such a minority so as to maintain substantial control of such person or entity;
- (c) Any person or entity with which another person or entity has a management or service contract or arrangement that provides such person or entity with effective control over the management, supervision, or operation of the other person or entity; or
- (d) Any person or entity who or which actually exercises effective control over the management, supervision, or operation of another person or entity.



Customer Service Department Contact		
Puc 2006.01(f)	Name	Jennifer Borelli
	Title	Director, Customer Experience
	Toll-Free Telephone Number (if available)	888-925-9115
	Telephone Number	412-804-5221
	E-Mail Address	jennifer.borelli@directenergy.com

Customer Complaints Contact		
Puc 2006.01(g)(1)	Name	Nicole Nadeja
	Title	Supervisor, Customer Escalations & Critical Care Issues
	Business Mailing Address	1001 Liberty Avenue South, Suite 1200
		Pittsburgh, PA
	Telephone Number	412-667-5197
E-Mail Address	nicole.nadeja@directenergy.com	

Regulatory Compliance Matters Contact		
Puc 2006.01(g)(2)	Name	Marc Hanks
	Title	Senior Manager, Government & Regulatory Affairs
	Business Mailing Address	24 Gary Dr
		Westfield, MA 01085
	Telephone Number	413.642.3575
E-Mail Address	marc.hanks@directenergy.com	

Commission Assessment Payments Contact		
Puc 2006.01(g)(3)	Name	Joyce Jones
	Title	Regulatory Licensing & Reporting Analyst
	Business Mailing Address	12 Greenway Plaza, Suite 250
		Houston, TX 77046
	Telephone Number	713-904-7124
E-Mail Address	joyce.jones@directenergy.com	



Separate Attachments: Business Authority, Trade Name, ISO-NE Market Participation, and EDI Certification	
Puc 2006.01(h)	<p>Provide, as a separate attachment, evidence of the applicant's authorization to do business in New Hampshire from the New Hampshire secretary of state by submitting, with this application form, either of the following:</p> <p>(1) a recent printout of the applicant's listing on the N.H. Secretary of State website with the status "In Good Standing" or words of similar import; or</p> <p>(2) a copy of a certificate from the N.H. Secretary of State's office stating that the applicant is authorized to do business in New Hampshire. Please see Attachment B.</p>
Puc 2006.01(i)	<p>Provide, as a separate attachment, evidence of the applicant's registration of the trade name, if any, to be used by the applicant in New Hampshire from the New Hampshire secretary of state by submitting, with this application form, either of the following:</p> <p>(1) A recent printout of the applicant's trade name on the N.H. Secretary of State website with the status "Active" and indicating that the trade name is owned by the applicant; or</p> <p>(2) A copy of a certificate from the N.H. Secretary of State's office indicating that the applicant has registered as doing business under the trade name.</p>
Puc 2006.01(j)	<p>Provide, as a separate attachment, evidence of the applicant's ISO New England market participant membership. Please see Attachment C.</p>
Puc 2006.01(k)	<p>Provide, as a separate attachment, electronic data interchange (EDI) certification from each electric distribution utility in whose franchise area the applicant intends to operate. Please see Attachment D.</p>

Franchise Areas, Customer Types to be Served, and Other States	
Puc 2006.01(l)	<p>List the utility franchise areas in which the applicant intends to operate and, to the extent the applicant does not intend to provide service in the entire franchise area of a utility, a delineation of the cities and towns where the applicant intends to provide service within each utility franchise area.</p> <p>Direct Energy Business Marketing, LLC intends to provide electric supply service in the Eversource Energy, Liberty Utilities, NH Electric Cooperative Inc. and Unitil Energy Systems, Inc. services areas.</p>
Puc 2006.01(m)	<p>Provide a statement whether or not the applicant intends to serve the following types of customers: residential, small commercial, large commercial, and industrial.</p> <p>Direct Energy Business Marketing, LLC intends to serve small commercial, large commercial and industrial customers, it does not intend to serve residential customers.</p>
Puc 2006.01(n)	<p>List the other states or jurisdictions in which the applicant currently conducts business relating to the sale of electricity.</p> <p>Please see Attachment E.</p>



Customer Complaints	
Puc 2006.01(o)	<p>Use either the table below or a separate attachment to provide a list disclosing the number and type of customer complaints concerning the applicant or its principals and affiliates filed with or by any commission or regulatory agency, attorney general's office, or other governmental consumer protection regulatory authority, for the most recent 2 calendar years in every state or other jurisdiction in which the applicant has conducted business relating to the sale of electricity.</p> <p>In the table below, enter abbreviations of applicable states or the jurisdiction across the top row, complaint types in the left column, and, for each cell in the table, the number of complaints for each type within the applicable state or jurisdiction.</p>

Please see Attachment F.

Complaint Type	(enter applicable states/jurisdictions in row just below)										Total
											0
											0
											0
											0
											0
											0
											0
											0
											0
											0
											0
											0
											0
Total	0	0	0	0	0	0	0	0	0	0	0



Statements Regarding Applicant and its Principals		
Respond to each of the following questions with either "Yes" or "No."		
Puc 2006.01(p)(1)	Has applicant or any of its principals ever been convicted of any felony that has not been annulled by a court?	No
Puc 2006.01(p)(2)	Has applicant or any of its principals, within the 10 years immediately prior to application, had any civil, criminal, or regulatory sanctions or penalties imposed against it, him, or her pursuant to any state or federal consumer protection law or regulation?	Yes
Puc 2006.01(p)(3)	Has applicant or any of its principals, within the 10 years immediately prior to application, settled any civil, criminal, or regulatory investigation or complaint involving any state or federal consumer protection law or regulation?	Yes
Puc 2006.01(p)(4)	Is applicant or any of its principals currently the subject of any pending civil, criminal, or regulatory investigation or complaint involving any state or federal consumer protection law or regulation?	Yes
Puc 2006.01(p)(5)	Has applicant or any of its principals been denied authorization to provide competitive electricity supply service or electric aggregation service in any other state or jurisdiction?	No
Puc 2006.01(q)	If an affirmative answer is provided to any item above, then provide a detailed explanation of the occurrence and the related circumstances. Use additional sheets as needed. Please see Attachment G.	

Telemarketing		
Puc 2006.01(s)	Does the applicant intend to telemarket? Respond with either "Yes" or "No."	No
If the response to the question above is "Yes," then respond to the following three questions:		
Puc 2006.01(r)(1)	Will the applicant maintain a list of customers who request being placed on the applicant's do-no-call list for the purposes of telemarketing?	N/A
Puc 2006.01(r)(2)	Will the applicant obtain monthly updated do-no-call lists from the National Do Not Call Registry?	N/A
Puc 2006.01(r)(3)	Will the applicant NOT initiate calls to New Hampshire customers who have either requested being placed on the applicant's do-not-call list(s) or who are listed on the National Do Not Call Registry?	N/A

In-Person Solicitation of Residential Customers		
Puc 2006.01(u)	Does the applicant intend to enroll residential customers through in-person solicitation at the customer's residence? Respond with either "Yes" or "No."	No
If the response to the question above is "Yes," then provide the following items as separate attachments:		
Puc 2006.01(t)(1)	A plan for in-person solicitation of residential customers at their residences, including provisions to ensure legal and regulatory compliance and quality assurance.	
Puc 2006.01(t)(2)	A description of the applicant's training program for employees or representatives who will conduct in-person solicitation of residential customers at their residences.	
Puc 2006.01(t)(3)	An identification of any third party vendor or vendors the applicant intends to use to conduct in-person solicitation of residential customers at their residences.	
Puc 2006.01(t)(4)	A copy of the applicant's performance standards and code of conduct for any employees, representatives, or vendors who or which will conduct in-person solicitation of residential customers at their residences.	
Puc 2006.01(t)(5)	A copy of field audit standards used to evaluate the performance of employees, representatives, or vendors who or which will conduct in-person solicitation of residential customers at their residences.	



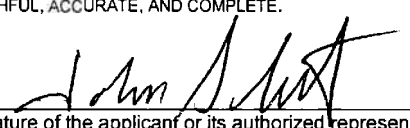
Sample Bill Form		
Puc 2006.01(v)	Does the applicant intend to use only the utility's billing service? Respond with either "Yes" or "No."	No
Puc 2006.01(v)	If the response to the question above is "No," then provide a sample of the bill form(s) the applicant intends to use as a separate attachment. Direct Energy Business Marketing, LLC is not currently serving customers in NH. DEBM, LLC will provide a bill sample prior to beginning any service.	

Residential and Small Commercial Customer Contracts		
Puc 2006.01(w)	Does the applicant intend to serve residential and small commercial customers? Respond with either "Yes" or "No."	Yes
If the response to the question above is "Yes," then provide the following item as a separate attachment: Direct Energy Business Marketing, LLC is not currently serving customers. DEBM, LLC will provide a contract prior to beginning service.		
Puc 2006.01(w)	A copy of each contract to be used for residential customers and for small commercial customers, including any schedules or other documentation attached to, incorporated into, or referenced in such contract.	

File Financial Security Instrument		
Refer to Puc 2003.03 for the financial security requirements.		
Puc 2003.01(b)(2)	Provide an original executed financial security instrument that meets the requirements of Puc 2003.03.	
File the original, executed financial security instrument with the Executive Director. The financial security instrument can be filed separately from the application form, by U.S. mail, overnight express, or hand delivery.		

Submit Application Fee (For Initial Applications Only)		
Puc 2003.01(b)(3)	For an application for initial registration, submit payment of the application fee in the amount of \$250.00 to the Executive Director by U.S. mail, overnight express, or hand delivery. Make check payable to: New Hampshire Public Utilities Commission.	
Note that there is no fee for a renewal application.		

Expected Marketing Start Date		
Puc 2006.01(x)	Provide the date upon which the applicant expects to commence marketing its services to customers in New Hampshire.	_____ Date

Attestation and Signature		
Puc 2006.01(y) and (z)	<p>BY SIGNING BELOW, THE APPLICANT REPRESENTATIVE CERTIFIES THAT IT HAS THE AUTHORITY TO FILE THE APPLICATION ON BEHALF OF THE CEPS AND ATTESTS THAT THE CONTENTS OF THE APPLICATION ARE TRUTHFUL, ACCURATE, AND COMPLETE.</p>  <p>Signature of the applicant or its authorized representative</p> <p>Name: John Schultz</p> <p>Title: President</p>	<p>7-16-18</p> <p>Date</p>

Filing Instructions		
<p>1) Mail an original and two paper copies of this form and all separate attachments to: Executive Director, NHPUC, 21 South Fruit St., Suite 10, Concord, NH 03301</p> <p>2) E-mail a PDF of this form and all separate attachments to: Executive.Director@puc.nh.gov</p>		

Attachment A

Attachment A
Officers & Directors

John Schultz – President

e – john.schultz@directenergy.com p – 732 516-2600

Randy Kruger – Treasurer

e – randy.kruger@directenergy.com p – 732 516-3001

Bray Dohrwardt - Secretary

e – bray.dohrwardt@directenergy.com p – 713 877-3851

Erica Steele – Assistant Secretary

e – erica.steele@directenergy.com p – 412 667-5262

Erin Miles – Assistant Treasurer

e – erin.miles@directenergy.com p – 713 904-7062

Attachment B

State of New Hampshire

Filed
Date Filed: 04/11/2013
Business ID: 690305
William M. Gardner
Secretary of State

Filing fee: \$ 50.00
Fee for Form SRA: \$ 50.00
Total fees: \$100.00
Use black print or type.

Form FLLC-1
RSA 304-C:175

APPLICATION FOR REGISTRATION AS A FOREIGN LIMITED LIABILITY COMPANY

PURSUANT TO THE PROVISIONS of the New Hampshire Limited Liability Company laws, the undersigned hereby applies for registration to transact business in New Hampshire and for that purpose submits the following statement:

FIRST: The name of the limited liability company is HESS ENERGY MARKETING, LLC

SECOND: The name which it proposes to register and do business in New Hampshire is HESS ENERGY MARKETING, LLC

THIRD: It is formed under the laws of Delaware

FOURTH: The date of its formation is March 20, 2013

FIFTH: The nature of the business or purposes to be conducted or promoted in New Hampshire is The marketing of energy to commercial and industrial customers.

SIXTH: The name of its registered agent in New Hampshire is CT Corporation System

and the street address, town/city (including zip code and post office box, if any) of its registered office is (agent's business address in New Hampshire) 9 Capitol Street, Concord, NH 03301

SEVENTH: The sale or offer for sale of any ownership interests in this business will comply with the requirements of the New Hampshire Uniform Securities Act (RSA 421-B).

State of New Hampshire
Form FLLC 1 - Application for Foreign Registration FLLC 6 Page(s)



T1310131041

APPLICATION FOR REGISTRATION AS A
FOREIGN LIMITED LIABILITY COMPANY

Form FLLC-1
(Cont.)

*Signature: *Nicholas P. Brontes* Hess Corporation, Member
Print or type name: Nicholas P. Brontes
Title: Vice President and Secretary
Date signed: March 27, 2013

Complete address of person signing: Hess Corporation
1185 Avenue of the Americas
New York, NY 10036

To receive your ANNUAL REPORT REMINDER NOTICE by email, please enter your email address here:

* Shall be executed on behalf of the foreign limited liability company by a person with authority to do so under the laws of the state or other jurisdiction of its formation, or, if the foreign limited liability company is in the hands of a receiver, executor, or other court appointed fiduciary, trustee, or other fiduciary, it must be signed by that fiduciary.

DISCLAIMER: All documents filed with the Corporation Division become public records and will be available for public inspection in either tangible or electronic form.

Mail fees, DATED AND SIGNED ORIGINAL AND FORM SRA to: Corporation Division, Department of State, 107 North Main Street, Concord NH 03301-4989. Physical location: 25 Capitol Street, 3rd Floor, Concord, NH 03301.

Delaware

PAGE 1

The First State

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "HESS ENERGY MARKETING, LLC" IS DULY FORMED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE TWENTY-EIGHTH DAY OF MARCH, A.D. 2013.

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



5306943 8300

130372333

You may verify this certificate online
at corp.delaware.gov/authver.shtml

A handwritten signature in black ink, appearing to read "JBULLOCK", written over a horizontal line.

Jeffrey W. Bullock, Secretary of State

AUTHENTICATION: C320663

DATE: 03-28-13

HESS ENERGY NEW YORK CORPORATION

One Hess Plaza
Woodbridge, NJ 07095

April 5, 2013.

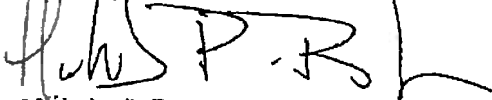
Corporate Division
Department of State
107 North Main Street
Concord, NH 03301

Re: CONSENT TO USE OF NAME

Hess Energy New York Corporation, a corporation organized under the laws of the State of Delaware, hereby consents to the organization of HESS ENERGY MARKETING, LLC in the State of New Hampshire.

IN WITNESS WHEREOF, the said limited liability company has caused this consent to be executed by its Secretary this 5th day of April 2013.

Sincerely,



Nicholas P. Brountas
Secretary



HESS ENERGY TRADING COMPANY, LLC
1185 Avenue of the Americas
New York, New York 10036

April 5, 2013

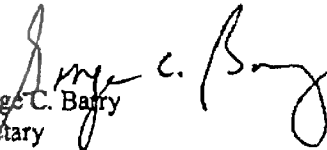
Corporate Division
Department of State
107 North Main Street
Concord, NH 03301

Re: CONSENT TO USE OF NAME

Hess Energy Trading Company, LLC, a corporation organized under the laws of the State of Delaware, hereby consents to the organization of HESS ENERGY MARKETING, LLC in the State of New Hampshire.

IN WITNESS WHEREOF, the said limited liability company has caused this consent to be executed by its Secretary this 5th day of April 2013.

Sincerely,


George C. Barry
Secretary

**Form SRA ~ Addendum to Business Organization and Registration Forms
Statement of Compliance with New Hampshire Securities Laws**

Part I - Business Identification and Contact Information

Business Name: HESS ENERGY MARKETING, LLC

Business Address (include city, state, zip): One Hess Plaza, Woodbridge, NJ 07095

Telephone Number: (732) 750-8000 E-mail: jasafu-adiaye@hess.com

Contact Person: Jacqueline Asafu-Adiaye

Contact Person Address (if different): 1185 Avenue of the Americas, New York, NY 10036

Part II - Check ONE of the following items in Part II. If more than one item is checked, the form will be rejected. [PLEASE NOTE: Most small businesses registering in New Hampshire qualify for the exemption in Part II, Item 1 below. However, you must insure that your business meets all of the requirements spelled out in A), B), and C)];

1. Ownership interests in this business are exempt from the registration requirements of the state of New Hampshire because the business meets ALL of the following three requirements:
 - A) This business has 10 or fewer owners; and
 - B) Advertising relating to the sale of ownership interests has not been circulated; and
 - C) Sales of ownership interests - If any - will be completed within 60 days of the formation of this business.
2. This business will offer securities in New Hampshire under another exemption from registration or will notice file for federal covered securities. Enter the citation for the exemption or notice filing claimed - _____
3. This business has registered or will register its securities for sale in New Hampshire. Enter the date the registration statement was or will be filed with the Bureau of Securities Regulation - _____
4. This business was formed in a state other than New Hampshire and will not offer or sell securities in New Hampshire.

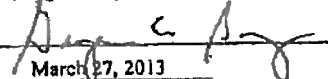
Part III - Check ONE of the following items in Part III:

1. This business is not being formed in New Hampshire.
2. This business is being formed in New Hampshire and the registration document states that any sale or offer for sale of ownership interests in the business will comply with the requirements of the New Hampshire Uniform Securities Act.

Part IV - Certification of Accuracy

(NOTE: The information in Part IV must be certified by: 1) all of the incorporators of a corporation to be formed; or 2) an executive officer of an existing corporation; or 3) all of the general partners or intended general partners of a limited partnership; or 4) one or more authorized members or managers of a limited liability company; or 5) one or more authorized partners of a registered limited liability partnership or foreign registered limited liability partnership.)

I (We) certify that the information provided in this form is true and complete. (Original signatures only)

Name (print):	<u>Hess Corporation Member</u> <u>George C. Barry</u>	Signature:	
	<u>Vice President + Secretary</u>	Date signed:	<u>March 27, 2013</u>
Name (print):	_____	Signature:	_____
		Date signed:	_____
Name (print):	_____	Signature:	_____
		Date signed:	_____

State of New Hampshire

Filed
Date Filed: 06/12/2014
Business ID: 690306
William M. Gardner
Secretary of State

Filing fee: \$35.00
Use black print or type.

Form FLLC-2
RSA 304-C:178

APPLICATION FOR AMENDED REGISTRATION FOR FOREIGN LIMITED LIABILITY COMPANY

PURSUANT TO THE PROVISIONS of the New Hampshire Limited Liability Company laws, the undersigned hereby applies for an amended registration to transact business in New Hampshire and for that purpose submits the following statement:

FIRST: The name of the limited liability company is: Hess Energy Marketing, LLC

SECOND: The name the limited liability company is currently using in the state of New Hampshire is:
Hess Energy Marketing, LLC

THIRD: The state or country of formation is: Delaware

FOURTH: The date the limited liability company was authorized to transact business in the state of New Hampshire is: 04/11/2013

FIFTH: This application is filed for the following reason(s) (complete all applicable items):

a. The limited liability company has changed its name to: Direct Energy Business Marketing, LLC

b. The name the limited liability company will hereafter use in the state of New Hampshire is changed to: Direct Energy Business Marketing, LLC

c. The limited liability company has changed the state or country of its formation to:

*Signature: 

Print or type name: Bryan Debrunardt

Title: VP of Direct Energy Business, LLC, Sole Member

Date signed: 05/29/2014

* **MUST BE SIGNED BY A MANAGER IF THE LIMITED LIABILITY COMPANY HAS A MANAGER. IF NO MANAGER, MUST BE SIGNED BY A MEMBER.** (If the limited liability company is in the hands of a receiver, executor, or other court appointed fiduciary, trustee, or other fiduciary, it must be signed by that fiduciary.)

DISCLAIMER: All doc
public inspection in eit

State of New Hampshire
Form FLLC 2 - Amendment to Application 2 Page(s)

nd will be available for

Mail fee and DATED A
Concord NH 03301-49



T1416445016

ate, 107 North Main Street,
301
Form FLLC-2 (1/2013)

DIRECT ENERGY BUSINESS, LLC
12 Greenway Plaza, Suite 250
Houston, TX 77046

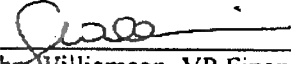
May 29, 2014

To the Secretary of State of New Hampshire:

Re: Consent to Use of Name

Direct Energy Business, LLC, a limited liability company which was originally organized under the laws of the State of Delaware on September 24, 1998, and qualified to transact business in New Hampshire on August 31, 1999 (Business No. 321781), hereby consents to the name change of Hess Energy Marketing, LLC (Business No. 690305) to "Direct Energy Business Marketing, LLC."

By:


John Williamson, VP Finance, Direct
Energy Business, Sole Member

Attachment C



Participate > Participant and Asset Listings

Customer Directory

Search the directory for details on and contact information for the entities registered with ISO New England, as well as on the committees and subgroups advising the ISO. For example, you can find:

- Each customer's name, address, stock symbol(s), industry sector, industry type/classification, committee membership, and NEPOOL voting status (if the customer is a member of the New England Power Pool)
- Committee and subcommittee or working group names, member lists, and the company association of members
- Download a CSV file of the Customer Directory

As you type you will be offered suggested results. Use your keyboard arrows or mouse to navigate the results.

Company Details: Direct Energy Business Marketing, LLC

Stock Symbol: (LOND : CNA)
194 Wood Avenue
2nd Floor
Iselin, NJ 08830

Customer Details

CUSTOMER ID	SECTOR	TYPE	CLASSIFICATION	SUB-CLASSIFICATION	VOTING STATUS
113189	Supplier	Participant	Market Participant	Demand Designated Entity	N

Attachment D

nationalgrid

175 East Old Country Road, Hicksville, New York 11801

September 17, 2013

New Hampshire Public Utilities Commission
21 South Fruit Street, Suite 10
Concord, NH 03301-2420

To Whom It May Concern:

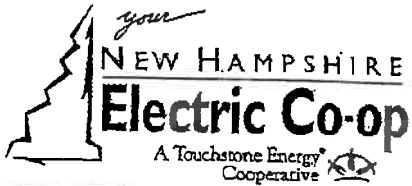
This letter is in regard to **Hess Energy Marketing, LLC** an Energy Service Company (ESCO).

Hess Energy Marketing, LLC has successfully completed all necessary EDI requirements and technical specifications to conduct business with National Grid. **Hess Energy Marketing, LLC** has been authorized and can conduct business within the National Grid (Granite State Electric) New Hampshire region effective July 3, 2013. **Hess Energy Marketing, LLC** currently utilizes Energy Services Group, Inc. as their EDI provider.

Regards,


Sergio Smalley
Senior Analyst

Supplier Services/Customer Choice
175 East Old Country Road
East Bldg. Ground Floor
Hicksville, NY 11801
Off: 516-545-2468
Fax: 516-545-3250



579 Tenney Mountain Highway
Plymouth, NH 03264-3154
www.nhec.coop
603-536-1800 / 800-698-2007

Test Acceptance Form

The undersigned agree that Hess Energy Marketing, LLC and the New Hampshire Electric Cooperative, Inc. ("NHEC") have successfully completed electronic interchange testing for the "DUAL" option on September 11, 2013.

Subject to finalization of any outstanding bilateral agreements between Hess Energy Marketing, LLC and NHEC and the fulfillment of all other registration requirements as directed by the New Hampshire Public Utility Commission, Hess Energy Marketing, LLC ("HEM") may submit customer enrollment transactions electronically to NHEC. NHEC will not be able to process any transactions until HEM has completed asset registration with ISO-NE and ISO-NE has set an implementation date for and established HEM load assets in NHEC's Metering Domains.

Competitive Supplier Company: **Hess Energy Marketing, LLC**

Competitive Supplier Business Contact Signature: *[Signature]*

Date of Test Acceptance: 9/12/2013

Competitive Supplier Technical Contact Signature: *[Signature]*

Date of Test Acceptance: 9/12/2013

Distribution Company: **New Hampshire Electric Cooperative Inc.**

Distribution Company Business Contact Signature: *[Signature]*

Date of Test Acceptance: 9/11/2013

Distribution Company Technical Contact Signature: *[Signature]*

Date of Test Acceptance: 9/11/2013

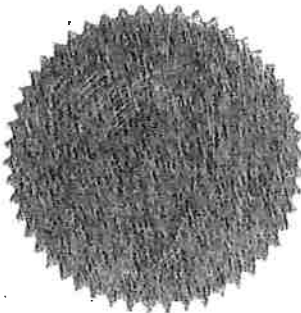
**Public Service of New Hampshire
Certificate of Completion**

is hereby granted to:

Hess Energy Marketing, LLC

to certify that they have completed to satisfaction

EDI Connectivity and Certification Testing



Granted: 09/06/13

Aaron Downing

*Aaron Downing
PSNH Supplier Services*

CERTIFICATE OF COMPLETION

This is to certify that a Representative of

Hess Energy Marketing, LLC

has successfully completed the

EDI TESTING

Given this *29th* Day of *August, 2013*

Unitil Fitchburg Gas & Electric - MA

Host Utility Coordinator

Attachment E

Exhibit B
Jurisdictions of Operation – Direct Energy Business Marketing, LLC

Name: Direct Energy Business Marketing, LLC
Business Address: 194 Wood Avenue South Suite 200, New Jersey, NJ 08830
License #/State of Issuance: License # 0031 (Gas)/California;
Registration # 13-03 (Gas)/Connecticut;
Docket # 13-08-02 (Power)/Connecticut;
Docket # GA-2013-03-1 (Gas)/D.C.;
Docket # EA-2013-12 (Power)/D.C.;
Certificate No. 8425 (Power)/Delaware;
Docket # 2013-00404 (Power)/Maine;
License # IR-3108 (Gas)/Maryland;
License # IR-3123 (Power)/Maryland;
License # GS-051 (Gas)/Massachusetts;
DM 13-260 (Power)/New Hampshire;
DM 13-121 (Gas)/New Hampshire;
License # ESL0142 (Power)/New Jersey;
License # GSL0128 (Gas)/New Jersey;
Letter Order 2017 (Power & Gas)/New York;
Certificate # 13-707E(2) (Power)/Ohio;
Certificate # 13-303G(2) (Gas)/Ohio;
License A-2013-2368464 (Power)/Pennsylvania;
License A-2013-2365792 (Gas)/Pennsylvania;
Docket # D-96-6(J6) (Power)/Rhode Island;
Docket # 2379(Y2) (Gas)/Rhode Island;
License G-7 (Gas)/Virginia

Direct Energy affiliates other than a regulated electricity of natural gas utility currently serving retail customers or engaged in the retail sale of electricity, or electricity supply services, or natural gas:

Name: Direct Energy Business, LLC
Business Address: 1001 Liberty Avenue Suite 1200, Pittsburgh, PA 15222

License #/State of Issuance: License # 1351 (Power)/California;
License #0013 (Gas)/California;
Docket # 00-05-14RE01 (Power)/Connecticut;
Registration # 12-03 (Gas)/Connecticut;
Certificate # 5267 (Power)/Delaware;
License # EA-04-4-4 (Power)/D.C.;
Docket No. 04-0811 (Power)/Illinois;
Docket No. 2011-201 (Power)/Maine;
License # IR-437 (Power)/Maryland;
License # CS-021 (Power)/Massachusetts;
License # GS-052 (Gas)/Massachusetts;
Docket # U-13609 (Power)/Michigan;
License # ESL-0165 (Power)/New Jersey;
License # GSL-0145 (Gas)/New Jersey;
License # DM 15-373 (Power)/New Hampshire;
Letter Order 2017 (Power & Gas) /New York
Certificate # 00-005(9) (Power)/Ohio;
License # A-110025 (Power)/Pennsylvania;
License # A-125072 (Gas)/Pennsylvania;
Docket # D-96-6(Z) (Power)/Rhode Island;
Docket # 2379(A3) (Gas)/Rhode Island;
Certificate # 10011 (Power)/Texas
License # E-38 (Power)/Virginia

State Not Currently Serving Customers
License # IR-2697 (Gas)/Maryland

Name: Direct Energy Services, LLC
Business Address: 12 Greenway Plaza, Suite 250, Houston, TX 77046

License #/State of Issuance: Docket # 06-03-06RE02 (Power)/Connecticut;
Registration # 01-04 (Gas)/Connecticut;
Case No. EA-05-3-5/Order No. 13816 (Power)/D.C.;
Certificate No. 6790 (Power)/Delaware;
Docket # 05-0722 (Power)/Illinois;
Docket # 05-0086 (Gas)/Illinois;
License # CS-047 (Power)/Massachusetts;
License # GS-028 (Gas)/Massachusetts;
License # IR-719 (Power)/Maryland;
License # IR-791 (Gas)/Maryland;
Docket # 2005-479 (Power)/Maine;
Case No. U-14537 (Gas)/Michigan;
License # ESL-0078 (Power)/New Jersey;
License # GSL-0088 (Gas)/New Jersey;
Letter Order 2017 (Power & Gas)/ New York;
License # DM 15-513 (Power)/ New Hampshire;
Certificate # 02-024G(8) (Gas)/Ohio;
Certificate # 00-19E(9) (Power)/Ohio;
License # A-110164 (Power)/Pennsylvania;
License # A-125135 (Gas)/Pennsylvania;
Docket # D-96-6(U2)(Power)/Rhode Island;
Docket # 2379(T1) (Gas)/Rhode Island;

States Not Currently Serving Customers

Case No. U-14724 (Power)/Michigan;
License # E-36 (Power)/Virginia

Name: Direct Energy, LP
Business Address: 12 Greenway Plaza, Suite 250, Houston, TX 77046

License #/State of Issuance: Rep# 10040 (Power)/Texas

Name: CPL Retail Energy, LP
Business Address: 12 Greenway Plaza, Suite 250, Houston, TX 77046

License #/State of Issuance: Rep# 10023 (Power)/Texas

Name: WTU Retail Energy, LP
Business Address: 12 Greenway Plaza, Suite 250, Houston, TX 77046

License #/State of Issuance: Rep# 10022 (Power)/Texas

Name: First Choice Power, LLC
Business Address: 12 Greenway Plaza, Suite 250, Houston, TX 77046

License #/State of Issuance: Rep# 10008 (Power)/Texas

Name: Bounce Energy, Inc.
Business Address: 12 Greenway Plaza, Suite 250, Houston, TX 77046

License #/State of Issuance: License # 10162 (Power)/Texas

Name: Gateway Energy Services Corporation
Business Address: 12 Greenway Plaza, Suite 250, Houston, TX 77046
License #/State of Issuance: Case No. GA 03-4 (Gas)/D.C.;
License # A-2009-2137275 (Power)/Pennsylvania;
License # A-2009-2138725 (Gas)/Pennsylvania;
License # IR-334 (Gas)/Maryland;
License # IR-340 (Power)/Maryland;
License # GSL-0146 (Gas)/New Jersey;
License # ESL-0166(Power)/ New Jersey

Name: NJR Retail Services Company
Business Address: 194 Wood Avenue South Suite 200, New Jersey, NJ 08830
License #/State of Issuance: License # A-2017-2620839 (Gas)/Pennsylvania;
License # IR-3857 (Gas)/Maryland;
License # GSL-0173 (Gas)/New Jersey

Attachment F

Complaint Type	CT	DC	DE	IL	IN	MA	MD	ME	MI	NH	NJ	NY	OH	PA	RI	TX	Totals	
PUC/PSC/OEB		101	14	3	397	5	78	87	1	166	55	77	524	357	229	9	564	2667
Attorney General		0	0	0	35	0	10	1	0	0	1	1	17	29	14	0	3	111

Attachment G

Summary of U.S. Legal and/or Regulatory Proceedings

In the interest of full disclosure, certain Direct Energy entities have been the subject of legal and regulatory proceedings, which are summarized directly below with more detailed explanations following.

- Direct Energy, LP has been the subject of legal and/or regulatory proceedings in Texas.
- Direct Energy Business, LLC has been the subject of a regulatory proceeding with the California ISO.
- Direct Energy Business, LLC has been the subject of a regulatory proceeding with the California Public Utilities Commission.
- Direct Energy Services, LLC has been the subject of legal and/or regulatory proceedings in Connecticut, Michigan, New York, Ohio, and with the Federal Energy Regulatory Commission (FERC).
- CPL Retail Energy, LP was issued a notice of violation in 2011 as a result of the PUCT (TX) compliance audit program.
- Gateway Energy Services Corporation (formerly known as ECONergy Energy Company, Inc.) had been the subject of legal and/or regulatory proceedings in New York.
- Gateway Energy Services Corporation d/b/a Gateway Power Services was issued a notice of violation in 2011 as a result of the PUCT compliance audit program.
- First Choice Power Special Purpose, LP has been the subject of legal and/or regulatory proceedings in Texas.

Direct Energy, LP; Texas

Prior to April 2009, Direct Energy, LP failed to render monthly bills to some of its Texas customers in accordance with PUCT rules as a result of the transition of its previous billing system to a comprehensive customer information and billing system. In response to the delayed billings, Direct Energy self-reported the issue to Commission Staff.

Commission Staff initiated an investigation in the matter. Direct Energy fully cooperated with the investigation. Direct Energy developed and instituted corrective action plans related to its billing system that are designed to ensure that the billing system renders timely bills. In addition, Direct Energy prepared its call center to be responsive to customer needs; set up a special toll-free phone number dedicated to answering customer questions and working with customers on deferred payment plans; conducted an outreach program to contact affected customers to advise them of the issue and to assure them that Direct Energy would work with them on extended payment arrangements once the customers received their bills; and sent letters to impacted customers with a gift card.

Summary of U.S. Legal and/or Regulatory Proceedings

On June 19, 2009, Direct Energy and Commission Staff filed an Agreement resolving the violation. On August 14, 2009, the PUCT issued a Final Order approving the Settlement Agreement, in which Direct Energy agreed pay an administrative penalty of \$200,000. The agreement stipulated that Direct Energy complied with PUCT rules relating to bill payments and adjustments while resolving the issues presented, and that those actions ameliorated the impact on the small percentage of Direct Energy's customers who were impacted by the transition complications. In addition, the agreement acknowledged Direct Energy's efforts to conform to the Customer Protection Rules in good faith, and that there was no evidence of Direct Energy's willful violation of those rules, and that Direct Energy worked aggressively to resolve the problem and manage customer impacts.

In September 2013, Direct Energy, LP ("Direct Energy") entered into a Settlement Agreement with Staff of the PUCT to resolve the PUCT's investigation of Direct Energy for violations of the PUCT's substantive rules relating to telephonic enrollment, record retention, a customer's right of rescission, re-enrollment without affirmative consent, and informal complaint handling. The Settlement Agreement provides for a resolution of the issues and an administrative penalty of \$28,000. The Settlement Agreement provides that Direct Energy worked diligently to keep Commission Staff informed of its progress to resolve the issues and was proactive in communicating with and working with affected customers to minimize the impacts to them. Direct Energy's mitigation efforts included the addition of 180 agents to the call center since December 2012, and setting a new company policy to respond to complaints in less than the 21-day requirement.

http://interchange.puc.state.tx.us/WebApp/Interchange/Documents/41832_5_772305.pdf

In June 2015, Direct Energy, LP agreed to pay an administrative penalty in the amount of \$220,000 under a settlement with Staff of the Public Utility Commission of Texas to resolve allegations that it initiated disconnection of customers during a weather moratorium. As a result of an administrative error, Direct initiated disconnections for failure to maintain a current balance above the disconnection balance against 252 customers in counties affected by the extreme weather emergencies, of which ten disconnections were completed by Oncor. Since that time, Direct Energy has proactively implemented more efficient internal controls to ensure that TDU notifications of a weather emergency are implemented within one hour of receipt of that notification.

http://interchange.puc.state.tx.us/WebApp/Interchange/Documents/44833_3_860300.pdf

In August 2017, Direct Energy, LP agreed to pay an administrative penalty in the amount of \$70,000 under a settlement with Staff of the Public Utility Commission of Texas to resolve allegations of non-compliance with Public Utility Regulatory Act §§ 17.001(a) and 39.101(b)(6), as well as 16 Texas Administrative Code §§ 25.474, relating to selection of a retail electric provider; 25.475, relating to general retail electric provider requirements; 25.481, related to unauthorized charges, and 25.495, relating to unauthorized change of retail electric provider. Commission Staff investigated a series of informal complaints relating to door-to-door sales vendors from January 1, 2014 through February 1, 2016. These complaints included both those received by the Commission's Customer Protection Division as well as by Direct Energy. Direct ceased door-to-door solicitations in Texas on December 1, 2016.

http://interchange.puc.state.tx.us/WebApp/Interchange/Documents/47362_4_951957.PDF

Summary of U.S. Legal and/or Regulatory Proceedings

Direct Energy Business, LLC: California ISO

In August 2008, the California ISO ("CAISO") issued a \$93,364 penalty against Strategic Energy, LLC (n/k/a Direct Energy Business, LLC) in connection with a failure by a contracting partner, San Diego Gas & Electric, to adequately report load meter data for the April 27 – May 28, 2007 trading days. Strategic Energy identified this error and promptly self-reported it to the CAISO; however, pursuant to the CAISO's tariff, which is approved by the Federal Energy Regulatory Commission ("FERC"), a penalty is mandatory. Strategic Energy worked with its Wholesale Compliance team to develop procedures to prevent future occurrences of this nature.

Direct Energy Business, LLC: California (Penalty Assessment – Non-Compliance)

In July 2017, Direct Energy Business, LLC ("DEB") was notified by the Energy Division of the California Public Utilities Commission ("CPUC") that there was a deficiency in DEB's monthly compliance Resource Adequacy load forecast filing for September 2017 by 16.99 MW. The CPUC allowed a seven day extension to procure the required resources; however, we were unable to execute a contract for the deficiency with the only counterparty that had available supply in time to meet the CPUC's deadline. This resulted in the CPUC assessing a penalty of \$6.66/kWh, which equaled to \$113,000.

Direct Energy Services, LLC: Connecticut

PUC Docket 13-07-17
Date of Resolution: Ongoing

In June 2013, the Connecticut Public Utilities Regulatory Authority ("PURA") opened an investigation into the trade practices of three electric suppliers in the state, which included Direct Energy ("Direct"). The PURA alleged that it had received numerous customer complaints regarding billing, slamming and quality of service against Direct. In October 2013, Direct answered a series of interrogatories issued by the PURA. PURA staff and the Office of Consumer Counsel propounded additional interrogatories in mid-2015, which Direct Energy has answered. The case remains open at PURA, with a final decision expected in early 2017.

PUC Docket 06-03-06RE03
Date of Resolution: August 26, 2015

In October 2014, the PURA re-opened Direct's licensing docket as a result of Direct's self-report regarding a process breakdown that resulted in a failure to send renewal notices to customers. The PURA intends to fully examine Direct's compliance with the Connecticut General Statutes, and determine if civil penalties will be applied. Direct had already begun to issue refunds to impacted customers when it submitted the information about its renewal notices.

Summary of U.S. Legal and/or Regulatory Proceedings

Direct Energy Services, LLC: Michigan

PUC Case U-14537

Date of Resolution: February 28, 2013

In February 2013, the Michigan Public Service Commission ("MPSC") issued an order accepting Direct Energy Services' ("Direct") self-report regarding allegations of slamming by field sales agents. Four agents purposefully manipulated Direct's quality assurance measures by impersonating customers for third-party verification calls, thereby fraudulently enrolling multiple small business accounts. In response to several slamming complaints received by the MPSC, Direct immediately terminated the agents, suspended sales and conducted a thorough investigation. Direct submitted a formal self-report regarding the violations of applicable anti-slamming laws and regulations, proposing remedial quality assurance measures, retraining of agents, implementation of paper contracting, regular quality meetings with MPSC staff and a charitable donation to a regional organization. MPSC accepted Direct's self-report without any changes to the proposed remedial actions, and after a six month suspension of small business field sales, MPSC approved Direct's restarting of field sales in the region.

PUC Case U-18121

Date of Resolution: January 12, 2017

On January 12, 2017, the Michigan Public Service Commission ("MPSC") issued an order relating to a settlement with Direct Energy Services, LLC ("DES"). The terms of the settlement agreement is that DES agrees to: (1) pay a fine of \$35,000 to be paid to the State of Michigan within 30 days of the Commission order approving the agreement; (2) continue a moratorium on door-to-door sales that began on November 1, 2016, that shall continue for 90 days following the date of the order approving this agreement; (3) submit new training materials within 45 days of the order approving this agreement with actual training of DES' Michigan agents to be completed within 90 days; (4) present Michigan Agency for Energy (MAE) Staff by March 31, 2017 with technologies that enhance customer identification and consent, and secure enrollment processes; (5) implement the Whitepages process described in Attachment 1 to the settlement agreement; (6) meet monthly with the MAE Staff for a period of 12 months to discuss progress with compliance with this settlement agreement and any other related matter; (7) develop with MAE Staff a template for processing complaints; and (8) reopen this docket should the MAE State Response Division identify any reoccurrence of the unauthorized switching of any customers by DES salesperson, which may result in fines, permanent moratorium on door-to-door sales and telemarketing, and or potential license revocation.

Summary of U.S. Legal and/or Regulatory Proceedings

Direct Energy Services, LLC: New York

PUC Case 13-M-0224

Date of Resolution: Ongoing

In July 2013, the New York Public Service Commission ("PSC") issued a Show Cause Order to Direct Energy Services, LLC (operating through its subsidiary NYSEG Solutions, LLC (formerly NYSEG Solutions, Inc.)). In 2012, Direct had purchased NYSEG Solutions, Inc. from Iberdrola USA Solutions, Inc. ("Iberdrola"), an affiliate of Iberdrola, S.A., which owned the utility - New York State Electric and Gas Company ("NYSEG"). In the same year, Iberdrola entered into a Trademark License Agreement with Direct, whereby Direct was granted a non-exclusive, non-transferable, non-assignable license to use the NYSEG Solutions, Inc. name and marks for a period of up to five years. The Show Cause Order required Direct to show cause why the PSC should not prohibit its continued use of the name "NYSEG Solutions" when marketing to customers. The PSC's Order alleged that use of the name NYSEG Solutions would create an impression with consumers that they were dealing with the utility rather than with an affiliate of Direct Energy, and that subsequent disclaimers may not undo that association. Direct Energy filed its response in September 2013. Prior to the PSC's Show Cause Order, Direct had engaged in good faith negotiations with PSC Staff to add certain disclaimers to NYSEG Solutions' marketing materials and other notices. Staff approved the materials on an interim basis, and assured Direct that this interim period would continue until the PSC convened a generic proceeding to investigate all uses by energy service companies of the trade names and trademarks similar to those used by utilities regulated by the Commission. No such generic proceeding had been initiated when the Show Cause Order was issued. In April 2014, the PSC issued Discovery Requests to Direct, and Direct has submitted the information requested. The case remains open at the Commission.

Direct Energy Services, LLC: Ohio

In February 26, 2013, the Public Utilities Commission of Ohio ("PUCO") issued a letter of probable non-compliance to Direct Energy ("DE"), citing concerns with DE's compliance with Ohio Administrative Code (O.A.C.) §4901:1-29-12 (B), which states, in part, "Customer bills issued by or for retail natural gas suppliers and governmental aggregators shall be accurate and understandable...". DE met with Staff on March 14, 2013 to propose a corrective action plan that included four main areas covering rate discrepancies, customer correspondence, municipal aggregation errors, and data mismatches. On June 26, 2013, DE met with Staff as a follow-up to review findings from its corrective action plan. DE showed it had made significant changes to its internal control environment, in which over 49,000 accounts were corrected where discrepancies existed and issued over \$1,052,000 in refunds. Staff believed DE fulfilled the requirements to comply with the O.A.C. §4901:1-29-12 (B) at the time and requested for a quarterly summary of its discrepancy reports to be provided for the next year.

Summary of U.S. Legal and/or Regulatory Proceedings

Direct Energy Services, LLC: FERC

In August 2014, FERC issued an Order Approving Stipulation and Consent Agreement, resolving a nonpublic investigation conducted by FERC's Office of Enforcement ("Enforcement") stemming from a self-report by Direct Energy. The investigation examined whether Direct Energy violated the FERC's Anti-Market Manipulation Rule by manipulating natural gas prices during May 2012 in order to benefit its related financial positions. Direct Energy acted promptly when it became aware of the facts, and following an extensive self-report and cooperation during a subsequent non-public investigation conducted by Enforcement, Direct Energy agreed to pay a civil penalty of \$20,000 to resolve any potential civil and administrative disputes arising from Enforcement's investigation and to disgorge profits related to this activity.

In April 2009, the OEB issued a Notice against DEML. The Notice was based on a finding that a DEML door-to-door agent was found to have made a false, misleading or deceptive statement to a consumer. The OEB determined that DEML contravened section 88.4(2) of the Act, in that it engaged in an unfair practice as defined in section 2 of Ontario Regulation 200/02. The OEB also determined that DEML contravened section 2.1 of the Code of Conduct for Gas Marketers.

The OEB made an Order on May 5, 2009, under subsection 112.5 of the *Ontario Energy Board Act, 1998* (the "Act") requiring DEML to pay an administrative penalty in the amount of \$15,000 for contravening an enforceable provision of the Act and the Code of Conduct for Gas Marketers.

In 2009, the OEB commenced an inspection into DEML's business practice relating to the methodology employed to calculate early termination fees ("ETFs").

Invoices for 7,860 of these early termination inquiries resulted in overcharges to customers which totaled approximately \$950,000. Another 6,627 invoices resulted in undercharges to customers which totaled approximately \$2 million.

DEML reimbursed all customers who paid an overcharge, with interest. DEML also paid the OEB an administrative penalty of \$700,000.

CPL Retail Energy, LP: Texas

In May 2011, CPL Retail Energy, LP entered into a settlement agreement with Staff of the PUCT in Docket No. 39285. This agreement resolved and concluded an investigation that was initiated as part of a compliance audit program applicable to all retail electric providers as instituted by the PUCT. As part of the settlement, CPL Retail Energy agreed to pay an administrative penalty of \$18,000 for alleged violations committed by the company.

Gateway Energy Services Corporation d/b/a Gateway Power Services: Texas

In 2011, Gateway Energy Services Corp. d/b/a Gateway Power Services ("Gateway") entered into a settlement agreement with Staff of the PUCT. This agreement resolved and concluded an investigation that was initiated as part of a compliance audit program applicable to all retail electric providers as instituted by the PUCT. As part of the settlement, Gateway agreed to pay an administrative penalty of \$17,000 for alleged violations committed by the company.

Summary of U.S. Legal and/or Regulatory Proceedings

First Choice Power Special Purpose, LP: Texas

First Choice Power Special Purpose, LP ("First Choice") entered into a settlement agreement in 2010 with Staff of the PUCT. This agreement resolved and concluded an investigation that was initiated as part of a compliance audit program applicable to all retail electric providers as instituted by the PUCT. As part of the settlement, First Choice agreed to pay an administrative penalty of \$16,500 for alleged violations committed by the company.

First Choice Power Special Purpose, LP: Texas

In March 2013, First Choice Power Special Purpose, LP entered into a settlement agreement with Staff of the PUCT regarding alleged violations concerning selection of a retail electric provider. The settlement agreement provided for a resolution of the issues and an administrative penalty of \$25,000. The violations related to nine separate customer complaints of an unauthorized switch received by the PUCT during the period January 2011 – October 2011.

http://interchange.puc.state.tx.us/WebApp/Interchange/Documents/41208_4_753229.pdf