



Gas Marketer Licence Application

Amerex Brokers LLC

1. Application Type

1. (a) Application Type

New Renewal

1. (b) Licence Number

GM-2018-0308

1. (c) Expiry Date

January 09, 2024

2. The Applicant

2. (a) Legal Name of the Applicant

Amerex Brokers LLC

2. (b) Business Classification

Sole Proprietorship Partnership Corporation Other

If other, please describe.

limited liability company

2. (c) Date of Formation or Incorporation

August 22, 2006

2. (d) Province/State of Formation or Incorporation

Delaware

2. (e) Country of Formation or Incorporation

USA

2. (f) If the applicant is an individual, are they at least 18 years old?

If the applicant is an individual, the applicant must be at least 18 years old.

Yes No Not Applicable

2. (g) Head Office or Business Address of the Applicant

Street Address: 1 Sugar Creek Center Blvd., Suite 700

City: Sugar Land

Province/State: Texas

Country: USA

Postal/Zip Code: 77478

Website: www.amerexenergyservices.com

Main Phone Number and Email Address

Phone Number: 281-340-5200

Toll Free: 866-802-0519

Email Address: aberrios@cantor.com

2. (h) Please describe the applicant's current or intended line of business and business activities.

Amerex's retail energy consulting team provides energy procurement consulting and price risk management services to commercial, industrial, municipal consumers of natural gas.

3. Licence Primary Contact

The licensee shall designate a person who will act as a primary contact with the Ontario Energy Board (OEB) on matters related to the licence.

3. (a) Licence Primary Contact

Salutation: Ms.

Last Name: Berrios

First Name: Amalia

Initials: AB

Title/Position: VP and Sr. Counsel

Company: Amerex Brokers LLC

Phone Number: 281-340-5212

Toll Free: 866-802-0519

Email Address: aberrios@cantor.com

3. (b) Is the Licence Primary Contact address the same as the Head Office or Business address?

Yes No

NOTE: If the Licence Primary Contact Address is not in Ontario, the applicant must also provide the contact information for service purposes in Ontario. The applicant may provide the address of an agent (an individual who is a resident of Ontario and is at least 18 years old, or a corporation that has its head office or registered office in Ontario) as the contact for service.

3. (c) Contact Information for Service in Ontario

Salutation: Ms.

Last Name: Berrios

First Name: Amalia
Title/Position: VP and Sr. Counsel
Company: CSC Canada Inc.
Phone Number: 613-233-1781
Toll Free: 866-802-0519
Email Address: aberrios@cantor.com

Address for Service in Ontario

Street Address: 160 Elgin Street, Suite 2600
City: Ottawa
Province/State: Ontario
Country: Canada
Postal/Zip Code: K1PC3

4. Application Primary Contact

The primary contact for the licence application may be a person within the applicant's organization other than the licence primary contact noted above. An applicant may also choose to designate a consultant, lawyer, etc. to be the primary contact for the licence application. The OEB will communicate with this person during the course of the application review process, but with the licence primary contact after a licence is issued.

4. (a) Is the Application Primary Contact the same as the Licence Primary Contact?

Yes No

5. Customer Complaint or Inquiries Primary Contact

Provide contact information of the person to whom correspondence or communication regarding customer complaints or inquiries should be addressed. The mailing address should be in Ontario and the phone number should be listed in Ontario. The applicant should also provide a toll-free phone number for the general public to use.

5. (a) Customer Complaint or Inquiries Primary Contact

Salutation: Mr.
Last Name: Bolton
First Name: John
Title/Position: Managing Director
Company: CSC Canada Inc.
Phone Number: 613-233-1781
Toll Free: 866-802-0519
Email Address: jbolton@amerexenergy.com

Customer Complaint or Inquiries Primary Contact Address

Street Address: 160 Elgin Street, Suite 2600

City: Ottawa

Province/State: Ontario

Country: Canada

Postal/Zip Code: K1PC3

6. Trade Names

The gas marketer licence authorizes the licensee to conduct business using the name under which the licence is held (i.e. the applicant's legal name). It also provides for the use of trade names by the licensee.

6. (a) Does the applicant intend to use trade names?

Yes No

If yes, please provide a list of trade names the applicant intends to use.

Amerex Energy Services

7. Applicant's Licensing Status and History

7. (a) Has the applicant, an affiliate of the applicant, or an associated entity (e.g. a partnership or limited partnership) ever been licensed by the OEB?

Yes No

The *Business Corporations Act* definition for "affiliate" can be found at www.e-laws.gov.on.ca.

If yes, please provide current and expired licences.

Licensee Name	Relation to the Applicant (e.g. applicant itself, affiliate, partner, etc.)	Licence Number
Amerex Brokers LLC	applicant itself	ER-2013-0330; ER-2018-0307
Amerex Brokers LLC	applicant itself	GM-2013-0329; GM-2018-0308

7. (b) Does the applicant, an affiliate of the applicant, or an associated entity (e.g. a partnership or limited partnership) have any other application(s) before the OEB?

Yes No

If yes, please provide other applications.

Applicant Name	Relation to the Applicant	Type of Application	OEB File Number
Amerex Brokers LLC	applicant itself	Electricity Retailer Licence	ER-2018-0307

7. (c) Has the applicant, an affiliate of the applicant, or an associated entity (e.g. a partnership or limited partnership) ever undertaken energy sector activity in any other jurisdiction within North America?

Yes No

If yes, please provide information about activities in other jurisdictions.

Company Name	Relation to the Applicant	Jurisdiction	Business Activity	Name of Licensing Body and Licence/Registration No. (if applicable)
Amerex Brokers LLC	affiliate itself	USA	energy consulting, energy broking , aggregation	<ul style="list-style-type: none"> • Texas; Amerex Brokers LLC; Texas; Aggregator; Public Utility Commission of Texas; Registration No. 80303; Texas Electricity Broker Registration Project No. 49779; BROKER REGISTRATION NUMBER BR NO. 190284 • Maryland; Amerex Brokers LLC; Maryland; Broker/Consultant; Maryland Public Service Commission; Natural Gas License No. IR-01512; Electric Power License No. IR-1513. • Pennsylvania; Amerex Brokers LLC; Pennsylvania; Broker/Consultant; Pennsylvania Public Utility Commission; Electric Power License No. A-2009-2113764; Natural Gas License License NO. A-2013-2365859. • Ohio; Amerex Brokers LLC; Ohio; Broker/Consultant; Public Utilities Commission of Ohio; Natural Gas License No. 09-163G(1); Electric Power License No. 09-169E(1). • Illinois; Amerex Brokers LLC; Illinois; Broker/Consultant; Illinois Commerce Commission; Amerex granted Certificate of Service Authority to operate as an agent, broker or consultant under Docket No. 10-0058. • Maine; Amerex Brokers LLC; Maine; Broker/Consultant; State of Maine Public Utilities Commission; Amerex granted Electric Power License under Docket No. 2010-178; Amerex is registered on-line for a Natural Gas License in Maine. • Massachusetts; Amerex Brokers LLC; Massachusetts; Broker/Consultant; Massachusetts Department of Utilities; Natural Gas License No. RA-053; Electric Power License No. EB-152 • Washington D.C.; Amerex Brokers LLC; Washington D.C.; Broker/Consultant; Public Service Commission of the District of Columbia; Natural Gas Registration No. 10-6-7 and Electric Power Registration No. EA-10-18-7. • New Jersey; Amerex Brokers LLC; New Jersey; Broker/Consultant; New Jersey Board of Public Utilities; Energy Agent Registration No. EA-0094. • Delaware; Amerex Brokers LLC; Delaware; Broker/Consultant; Public Service Commission of Delaware; Electric Power License under Order No. 8226, Docket No. 12-386. • New Hampshire; Amerex Brokers LLC; New Hampshire; Broker/Consultant/Aggregator; New Hampshire Public Utilities Commission; Natural Gas Aggregator Registration No. DM 13-076

8. Officers, Directors and Key Individuals

8. (a) Please confirm the number of officers, directors and key individuals in your organization.

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8. (b) In the table below, identify the key individuals that are responsible for executing the following functions for the applicant: matters related to regulatory requirements and conduct, financial matters and technical matters.

Key individuals include the Chief Executive Officer, the Chief Financial Officer, other officers and directors, partners or proprietors.

NOTES:

1. List a minimum of 3 key individuals in the table below. Additional information about each key individual is required in Section 17.
2. One of the listed key individuals must sign the completed application. See Section 19 for signing authority details.

Name of Key Individual	Email	Title/Position within Applicant's Business (or identify company if not the Applicant's Business)
Amalia Berrios	aberrios@cantor.com	VP and Sr. Counsel; Amerex Brokers LLC
Randall Fenlon	randall.fenlon@bgcg.com	Head of Energy and Commodities, Americas; BGC Group Inc/Amerex Brokers LLC
John Bolton	jbolton@amerexenergy.com	Managing Director, Amerex retail division of Amerex Brokers LLC

9. Intended Markets and Services

9. (a) Identify the applicant's intended markets and services. Select all that apply.

- To sell or offer to sell gas to low-volume consumers (consuming 50,000m³ or less of natural gas per year) in Ontario.
- To act as an agent or broker for a gas marketer with respect to the sale or offering for sale of natural gas to low-volume consumers in Ontario.
- To act as an agent or broker for low-volume consumers with respect to the sale or offering for sale of natural gas in Ontario.

9. (b) Is the applicant currently providing any of the above listed services?

- Yes No

9. (b_yes) If yes, provide a list of the services the applicant is currently providing.

Amerex is providing retail natural gas consulting services to commercial, industrial, municipal consumers of natural gas in the Province of Ontario.

9. (c) Please describe in detail the applicant's intended business model and product offering(s). Include details of all products the applicant intends to offer to its customers and explain how the commodity pricing will be determined for each of the applicant's product offering.

Amerex Brokers LLC has a variety of experience in providing electric power and natural gas brokering and consulting services with respect to price risk management and energy procurement to various customers in deregulated markets. Since 2006, Amerex has provided consulting services regarding a retail customer's selection of a retail electric or natural gas provider, contract negotiations with the selected retail energy provider and management of price risk with respect to energy prices under the customer's contract for retail electric power or natural gas. Our team members have held varying roles and responsibilities including direct and indirect sales, sales leadership, strategy, structure, market development and retail pricing management. This experience allows Amerex to provide recommendations supported by rigorous technical and fundamental evaluation, and a complete understanding of the electricity and natural gas landscape across North America and certain jurisdictions in Canada.

9. (d) Describe how the applicant purchases, or intends to purchase, its commodity supply, including source(s) of supply, pricing terms, hedging mechanisms and timing of purchase relative to customer supply.

N/A; Amerex does not purchase natural gas supply.

9. (e) Describe in detail the applicant's intended approach to customer acquisition. Please include a detailed description of the marketing/advertising campaign that has been planned to begin customer acquisition and list all sales channels intended to be used.

Amerex Brokers LLC uses the following methods to market its energy consulting services:

- Website: www.amerexenergyservices.com
- RFP: Customer requests for proposal (RFP) whereby the prospective customer solicits bids for energy consulting services and selects the winning consultant based on a proposal issued to the prospective customer with terms of services proposed and applicable energy consulting fees.
- Amerex does not actively market in Ontario. Amerex does have customers in Ontario, and we may reach out via phone, conference call, or face to face meetings in order to perform services. We will also try to engage new customers in Ontario to provide retail energy consulting services and may travel or conduct presentations or face to face meetings to inform prospective customers of our services and the successful procurements we have facilitated for our customers. We also may provide references from current and former customers to prove our value to potential new customers. Amerex does not engage in door-to-door sales or other mass marketing efforts or programs. Amerex approaches customers based on their request for proposal or Amerex makes appointments via remote Teams calls, or face to face meetings. Any marketing performed is tailored to a targeted commercial and industrial end-user and may be provided via conference calls with the prospective customer, and/or a power point presentation may be performed for the benefit of the prospective customer.

9. (f) Does the applicant intend to acquire any services from the third-party providers (e.g. customer service, call centre, settlement services)?

Yes No

CONFIDENTIAL SECTIONS

Information filed as part of or in support of sections 10 to 17 of this application will be treated as confidential and is not available for public view.

18. Notice

The OEB is authorized, under section 4.14 of the [OEB Act](#), to collect personal information for the purpose of carrying out its duties and exercising its powers under the OEB Act or any other Act.

The information provided both on this form and attached to this form is being collected by the OEB for the purpose of determining whether the applicant is qualified to receive the licence for which it is applying.

In order to verify the information on this form and/or determine whether the applicant is qualified to receive the licence for which it is applying, it may be necessary for the OEB to collect additional information from some or all of the following sources: federal, provincial/state, or municipal governments; licensing bodies; law enforcement agencies; credit bureaus; and banks. Only information relevant to the application or the OEB's determination of the application will be collected by the OEB.

The public official who can answer questions about the collection of the information is:

Registrar

Ontario Energy Board

P.O. Box 2319

2300 Yonge Street, 27th Floor

Toronto, ON M4P 1E4

Tel: 416-481-1967 or 1-888-632-6273

Applicants are reminded that the OEB is subject to the [Freedom of Information and Protection of Privacy Act](#) (FIPPA). FIPPA addresses circumstances in which the OEB may, upon request, be required to release information that is in its custody or under its control, and generally prohibits the OEB from releasing personal information. "Personal Information" has the meaning given to it under FIPPA.