



Control Number: 49779



Item Number: 1288

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## Public Utility Commission of Texas Application for Electricity Broker Registration

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2019 DEC 20 AM 9:00

PUBLIC UTILITY COMMISSION  
FILING CLERK

### General Information

**Individual employees and agents of broker firms and persons acting only as agents of retail electric providers are not required to register as brokers.**

Under Public Utility Regulatory Act (PURA) Section 39.3555, any person that provides brokerage services for compensation or other consideration must register as a broker with the Public Utility Commission of Texas (Commission). "Brokerage services" means providing advice or procurement services to, or acting on behalf of, a retail electric customer regarding the selection of a retail electric provider, or a product or service offered by a retail electric provider. Brokers do not sell or take title to electric energy.

Registered brokers must comply with customer protection provisions, disclosure requirements, and marketing guidelines established by the Commission. An administrative penalty may be assessed for failure to comply with PURA or Commission rules.

### Registration Form

Answer all of the questions on the registration form completely, providing all relevant information. If substantive changes occur while the application is pending, promptly notify the Commission by filing seven copies (six copies and one original) of the registration form showing the changes with the Commission's Filing Clerk under the control number assigned to the application.

### Affidavit

The owner, partner, or officer of the registering entity must swear to and affirm the truthfulness, correctness, and completeness of the information provided in this registration by attaching a signed and notarized copy of the Affidavit provided with this registration form.

### Filing Instructions

Submit **seven copies (an original and six copies)** of the completed registration form and signed and notarized Affidavit to:

Central Records Filing Clerk  
Public Utility Commission of Texas  
1701 N. Congress Avenue  
P.O. Box 13326  
Austin, Texas 78711-3326  
Telephone: (512) 936-7180

1288



## ELECTRICITY BROKER REGISTRATION FORM

PROJECT NO. 49779

<b>1. Check the most appropriate box to describe this submission:</b>		
<input checked="" type="checkbox"/> This is a new broker registration		
<input type="checkbox"/> This supplies information for a pending broker registration		
<input type="checkbox"/> This amends an existing, completed broker registration		
Provide an explanation of the amendment: _____		
<b>2. Authorized Representative or Attorney to contact about this application:</b>		
<b>Name</b> Jennifer Kist	<b>Title</b> CEO	
<b>Business Address</b> 11260 Chester Road		
<b>City</b> Cincinnati	<b>State</b> OH	<b>Zip</b> 45246
<b>Telephone Number</b> (513) 481-7954		
<b>Email Address</b> jkist@tugmgt.com		
<b>3. Registering Entity:</b> List the registering entity's legal name, business address, and telephone number.		
<b>Name</b> The Utilities Group Inc.		
<b>Business address</b> 11260 Chester Road , Suite 540		
<b>City</b> Cincinnati	<b>State</b> OH	<b>Zip</b> 45246
<b>Telephone Number</b> (513) 481-7954		
<b>4. Type of organization of registering entity:</b>		
<input type="checkbox"/> Sole proprietor <input type="checkbox"/> Other		
<input checked="" type="checkbox"/> Corporation (S-corp)		
<input type="checkbox"/> Limited Liability Company, L.L.C		
<input type="checkbox"/> Limited Partnership		

5. Description of the brokerage services provided by the registering entity and type of customers served.

Description of Services:

Types of Customers: *Check all that apply*

☐ Residential

☒ Industrial

☐ Other

☒ Commercial

☒ Municipalities

6. **Other Names.** List any trade, commercial, and doing-business-as (d/b/a) names, other than the legal name listed in #3 above, under which the registering entity intends to operate. Any name in which a corporation intends to operate must be registered with the Secretary of State.

1 <sup>st</sup>	N/A	2 <sup>nd</sup>
3 <sup>rd</sup>	4 <sup>th</sup>	5 <sup>th</sup>

7. **Officers.** Provide, as **Attachment A**, the names, business addresses, email addresses, and phone numbers of the registering entity's officers, directors, and partners, as applicable.

☒ Attachment A

8. **Customer Service Contact.** List the telephone number and email address of the customer service department. If the registering entity does not have a dedicated customer service department, then provide the name, title, address, email address, and telephone number of the customer service contact person.

<b>Customer Service Department</b>	<b>Telephone Number</b> (513) 481-7954	<b>Email Address</b> rdeitsch@tugmgt.com
<b>Name</b> Rockland Deitsch		<b>Title</b> Vice President Sales
<b>Business address</b> 11260 Chester Road , Suite 540		
<b>City</b> Cincinnati	<b>State</b> OH	<b>Zip</b> 45246
<b>Telephone Number</b> 513-481-7954		
<b>Email Address</b> rdeitsch@tugmgt.com		

9. **Regulatory contact person.** List the name, physical business address, telephone number, and email address for a regulatory contact person.

<b>Name</b> Jennifer Kist		<b>Title</b> CEO
<b>Business address</b> 11260 Chester Road , Suite 540		
<b>City</b> Cincinnati	<b>State</b> OH	<b>Zip</b> 45246
<b>Telephone Number</b> (513) 481-7954		
<b>Email Address</b> jkist@tugmgt.com		

**10. Secretary of State Record.** Entities who must register with the Secretary of State must provide a copy of the certificate of status issued by the Texas Secretary of State certifying that the registering entity is authorized to transact business in Texas.

☒ Copy of Secretary of State certificate of status is attached.

## AFFIDAVIT

My name is Jennifer Kist I am the CEO of the Registering Entity.

I swear or affirm that I have personal knowledge of the facts stated in the attached registration, that I am competent to testify to them, and that I have the authority to submit this application form on behalf of the registering entity. I further swear or affirm that all statements made in the Registration Form are true, correct and complete and that any substantial changes in such information will be provided to the Public Utility Commission of Texas in a timely manner. I swear or affirm that the registering entity understands and will comply with all requirements of the applicable law and rules, including customer protection provisions, disclosure requirements, and marketing guidelines for retail electric service.

Jennifer M. Kist  
Signature of Registering Entity's Owner, Partner, or Officer

Jennifer M. Kist  
Printed Name

The Utilities Group, Inc.  
Name of Registering Entity

Sworn and subscribed before me this 4<sup>th</sup> day of December, 2019.  
Month Year

Theresa A. Calme  
Notary Public in and For the State of Ohio  
My commission expires on May 09, 2024



THERESA A. CALME  
Notary Public, State of Ohio  
My Commission Expires:  
May 9, 2024

**Attachment A – Officers of The Utilities Group, Inc.**

Jennifer M. Kist  
CEO, Vice President & Secretary  
11260 Chester Rd., Ste. 540  
Cincinnati, OH 45246  
[jkist@tugmgt.com](mailto:jkist@tugmgt.com)  
513.481.7954

Michael C. Catanzaro  
President & Treasurer  
11260 Chester Rd., Ste. 540  
Cincinnati, OH 45246  
[michael@tugmgt.com](mailto:michael@tugmgt.com)  
513.481.7954



## Office of the Secretary of State

### CERTIFICATE OF FILING OF

The Utilities Group, Inc.  
File Number: 803476300

The undersigned, as Secretary of State of Texas, hereby certifies that an Application for Registration for the above named Foreign For-Profit Corporation to transact business in this State has been received in this office and has been found to conform to the applicable provisions of law.

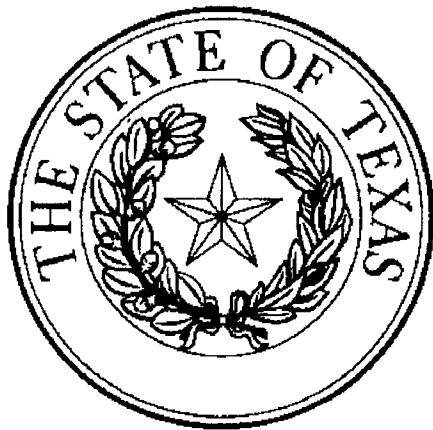
ACCORDINGLY, the undersigned, as Secretary of State, and by virtue of the authority vested in the secretary by law, hereby issues this certificate evidencing the authority of the entity to transact business in this State from and after the effective date shown below for the purpose or purposes set forth in the application under the name of

The Utilities Group, Inc.

The issuance of this certificate does not authorize the use of a name in this state in violation of the rights of another under the federal Trademark Act of 1946, the Texas trademark law, the Assumed Business or Professional Name Act, or the common law.

Dated: 11/21/2019

Effective: 11/21/2019



A handwritten signature in black ink, appearing to read "Ruth R. Hughs".

Ruth R. Hughs  
Secretary of State