



Control Number: 49779



Item Number: 424

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ELECTRICITY BROKER REGISTRATION FORM

RECEIVED
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PUBLIC UTILITY COMMISSION
FILING CLERK

PROJECT NO. 49779

1. Check the most appropriate box to describe this submission:

- ☒ This is a new broker registration
- ☐ This supplies information for a pending broker registration
- ☐ This amends an existing, completed broker registration

Provide an explanation of the amendment:

2. Authorized Representative or Attorney to contact about this application:

Name Amalia Berrios

Title VP and Sr. Counsel

Business Address 1 Sugar Creek Center Blvd., Suite 700

City Sugar Land

State Texas

Zip 77478

Telephone Number (281) 340-5212

Email Address aberrios@amerexenergy.com

3. Registering Entity: List the registering entity's legal name, business address, and telephone number.

Name Amerex Brokers LLC

Business address 1 Sugar Creek Creek Center Blvd., Suite 700

City Sugar Land

State Texas

Zip 77478

Telephone Number (281) 340-5200

4. Type of organization of registering entity:

- ☐ Sole proprietor ☐ Other
- ☐ Corporation
- ☒ Limited Liability Company, L.L.C
- ☐ Limited Partnership

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

Description of Services:

Amerex Brokers LLC provides retail energy procurement and brokerage services in the electric power, renewables, and natural gas markets for commercial, industrial, municipal or governmental entity customers.

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.

1st Amerex Energy Services	2nd
3rd	4th
5th	

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.

Customer Service Department	Telephone Number (866) 802-0519	Email Address jbolton@amerexenergy.com
Name John Bolton	Title Managing Director	
Business address 1 Sugar Creek Center Blvd., Suite 700		
City Sugar Land	State Texas	Zip 77478
Telephone Number 281 340- 5200		
Email Address jbolton@amerexenergy.com		

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

Name Amalia Berrios	Title VP and Sr. Counsel	
Business address 1 Sugar Creek Center Blvd., Suite 700		
City Sugar Land	State Texas	Zip 77478
Telephone Number (281) 340-5212		
Email Address aberrios@amerexenergy.com		

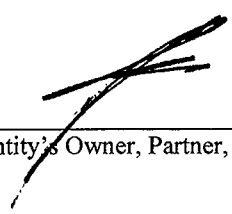
10. Secretary of State Record. Entities who must register with the Secretary of State must provide a copy of the certificate of status issued by the Texas Secretary of State certifying that the registering entity is authorized to transact business in Texas.

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

AFFIDAVIT

My name is Prashant Naik. I am the Chief Operating Officer of the Applicant.

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.



Signature of Registering Entity's Owner, Partner, or Officer

Prashant Naik

Printed Name

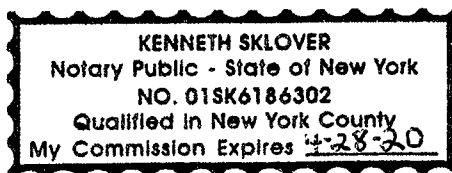
Amerex Brokers LLC

Name of Registering Entity

Sworn and subscribed before me this 13 day of August, 2019.
Month Year

Kenneth Sklover

Notary Public in and For the State of New York.
My commission expires on 04/28/2020.



Attachment A

Colin Heffron Chief Executive Officer of the GFI Brand
c/o 55 Water Street, New York, NY 10041
Colin.Heffron@gfigroup.com
(212) 968-6683

Prash Naik Chief Operating Officer
c/o 55 Water Street, New York, NY 10041S
Prash.Naik@gfigroup.co.uk
(212) 968-6683

Steve Bisgay Principal and Chief Financial Officer
c/o 499 Park Avenue, New York, NY 10022
SBisgay@cantor.com
(212) 294-7849

Richard Giles Principal
c/o 55 Water Street, New York, NY 10041
Richard.Giles@gfigroup.com
(212) 968-2936

Stephen M. Merkel Executive Vice President, General Counsel and Secretary
c/o 499 Park Avenue, New York, NY 10022
SMerkel@cantor.com
(646) 287-6309



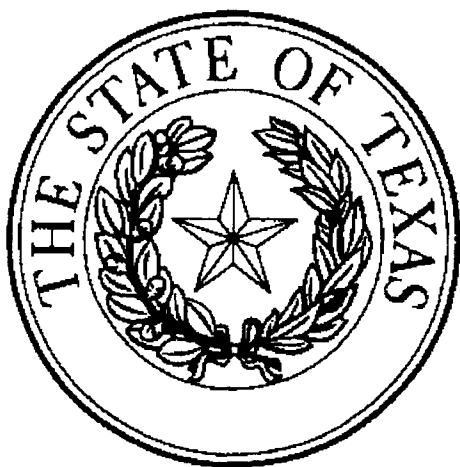
Office of the Secretary of State

Certificate of Fact

The undersigned, as Deputy Secretary of State of Texas, does hereby certify that the document, Application for Registration for Amerex Brokers LLC (file number 800699685), a DELAWARE, USA, Foreign Limited Liability Company (LLC), was filed in this office on August 28, 2006.

It is further certified that the entity status in Texas is in existence.

In testimony whereof, I have hereunto signed my name officially and caused to be impressed hereon the Seal of State at my office in Austin, Texas on August 01, 2019.

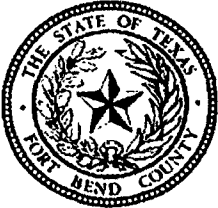


A handwritten signature of Jose A. Esparza, consisting of stylized initials "JE" followed by a long horizontal line.

Jose A. Esparza
Deputy Secretary of State



**ASSUMED NAME CERTIFICATE FOR INCORPORATED BUSINESS OR
PROFESSION, LIMITED PARTNERSHIP, LIMITED LIABILITY PARTNERSHIP,
LIMITED LIABILITY COMPANY, OR FOREIGN FILING ENTITY**



CERTIFICATE OF OWNERSHIP FOR BUSINESS OR PROFESSION
**NOTICE: THIS CERTIFICATE OF OWNERSHIP PROPERLY EXECUTED IS TO BE FILED IMMEDIATELY
WITH THE COUNTY CLERK AS PROVIDED BY LAW.**

LAURA RICHARD

COUNTY CLERK, FORT BEND COUNTY, TEXAS

301 JACKSON, RICHMOND, TEXAS 77469-3108 | (281) 341-8685

A corporation, limited partnership, limited liability partnership, limited liability company, or foreign filing entity must file a certificate under this subchapter if the entity:

- (1) regularly conducts business or renders professional services in this state under an assumed name; or
- (2) is required by law to use an assumed name in this state to conduct business or render professional services.

ASSUMED NAME under which the business or professional service is or is to be conducted (print clearly): Business and Commerce Code § 71.102 (1)

Amerex Energy Services

ADDRESS OF BUSINESS (print clearly):

1 Sugar Creek Center Blvd. Suite 700

Address: _____

City: _____ Sugar Land State: Texas Zip Code: 77478

I hereby state that this registrant is: BCC § 71.102 (5) (Mark appropriate box.)

- ☐ A for-profit corporation, nonprofit corporation, professional corporation, professional association, or other type of corporation.
- ☒ A limited partnership, limited liability partnership, or limited liability company.
- ☐ Another type of incorporated business, professional or other association, or legal entity, foreign or domestic.

Registrant's name as stated in the registrant's certificate of formation or application filed with the office of the Secretary of State or other comparable document: BCC § 71.102 (2)

Amerex Brokers LLC

State, country, or other jurisdiction under the laws of which the registrant was incorporated or organized: BCC § 71.102 (3)

1 Sugar Creek Center Blvd. Suite 700 Sugar Land, Texas 77478

Period, not to exceed 10 years, during which the registrant will use the assumed name: : BCC § 71.102 (4) Amerex Energy Services

Street or mailing address of the registrant's principal office in this state or outside this state, as applicable: BCC § 71.102 (6)

1 Sugar Creek Center Blvd. Suite 700 Sugar Land, Texas 77478

County or counties in this state where the registrant is or will be conducting business or rendering professional services under the assumed name. BCC § 71.102 (7) and BCC 71.054

- ☐ All Counties
- ☐ All Counties Except: _____
- ☒ Only the following counties: Fort Bend County

This certificate must be executed and acknowledged:

(A) by each individual whose name is required to be stated in the certificate or the individual's representative or attorney-in-fact; and
(B) under oath on behalf of each person whose name is required to be stated in the certificate and who is not an individual, by: (1) the person's representative or attorney-in-fact; or (2) a joint venturer, general partner, trustee manager, officer, or other person having authority regarding the person comparable to the person's representative or attorney-in-fact. A certificate executed and acknowledged by an attorney-in-fact must include a statement that the attorney has been authorized in writing by the attorney's principal to execute and acknowledge the certificate.

NOTE: SIGNATURE(S) MUST BE SIGNED IN FRONT OF A NOTARY OR DEPUTY CLERK

Name: Stephen M. Merkel Signature: 

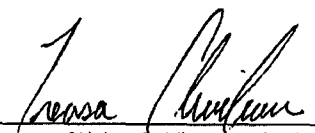
Name: _____ Signature: _____

Name: _____ Signature: _____

FOR USE BY NOTARY AND CLERK OF THE COURT, DEPUTY. The State of ^{New York} ~~Texas~~ and County of ^{New York} ~~Fort Bend~~:

Before me, the undersigned authority, on this day personally appeared: Stephen M. Merkel

known to me to be the person(s) whose name(s) is/are subscribed to the foregoing instrument and acknowledged to me that he/she/they signed the same purpose and consideration therein expressed. Given under my hand and seal of office, on August 15, 2019


Signature of Notary Public in and for the State of ~~Texas~~ ^{New York} or Clerk of the Court, Deputy

Seal of the Notary Public or Clerk of the Court, Deputy

INFORMATION WHERE DOCUMENT SHOULD BE RETURNED

(to be completed by applicant):

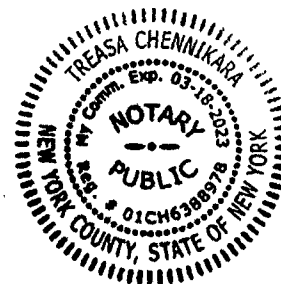
In the spaces below, clearly print the name, address, city, state, and zip code where this document should be returned

RETURNED AT COUNTER TO:

Document Searchers

3007 Woodland Hills Dr. #107

Kingwood, TX 77339-1403



Form of identification presented: Drivers License

FILED AND RECORDED
OFFICIAL PUBLIC RECORDS

Laura Richard

Laura Richard, County Clerk

Fort Bend County Texas

August 19, 2019 12:45:22 PM

FEE: \$11.00

PL

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AS PER ORIGINAL