



Control Number: 49779



Item Number: 5009



Public Utility Commission of Texas Application for Electricity Broker Registration

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 registrant must swear to and affirm that the registrant is authorized to do business in Texas under all applicable laws and is in good standing with the Texas Secretary of State; that all statements made in the application are true, correct, and complete; that any material changes in the information will be provided in a timely manner; and that the registrant understands and will comply with all applicable laws and rules.

Filing Instructions

You can e-file the completed registration form and signed notarized affidavit online through the PUC Interchange Filer (<https://interchange.puc.texas.gov/filer>). Instructions for E-Filing: <https://www.puc.texas.gov/industry/filings/E-FilingInstructions.pdf>.

Or you may mail one copy to:

For USPS:

Public Utility Commission of Texas
Central Records
P.O. Box 13326
Austin, TX 78711-3326

For all other delivery or courier services:

Public Utility Commission of Texas
Central Records
1701 N. Congress Ave., 8-100
Austin, TX 78701

5009



ELECTRICITY BROKER REGISTRATION FORM

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:
Renew broker registration

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

Name Nancy Pink Title EVP

Business Mailing Address 6244 Preston Creek Dr.

City Dallas State Texas Zip 75240

Telephone Number 214-957-1940

Email Address nancy@rosenthalenergy.com

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

Business Name Rosenthal Energy Advisors, Inc.

Mailing address 6244 Preston Creek Dr.

City Dallas State Texas Zip 75240

Telephone Number 214-749-0009

Email Address info@rosenthalenergy.com

4. Business structure. Select the form of business being registered.

☐ Sole proprietor ☒ Corporation ☐ Partnership
☐ Limited Liability Company (LLC) ☐ Limited Partnership

5. 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 Texas Secretary of State.

1 st _____	2 nd _____
3 rd _____	4 th _____

6. Customer Service Contact. List the telephone number, business mailing address, 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, business mailing address, email address, and telephone number of the customer service contact person.

Name <u>Nancy Pink</u>	Title <u>EVP</u>
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Business mailing address <u>6244 Preston Creek Dr.</u>
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City <u>Dallas</u>	State <u>TX</u>	Zip <u>75240</u>
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Telephone Number <u>214-957-1940</u>

Email Address <u>nancy@rosenthalenergy.com</u>
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7. Commission contact person. List the name, business mailing address, telephone number, and email address for a person who Commission Staff may contact.

Name <u>Nancy Pink</u>	Title <u>EVP</u>
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Business mailing address <u>6244 Preston Creek Dr.</u>
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City <u>Dallas</u>	State <u>TX</u>	Zip <u>75240</u>
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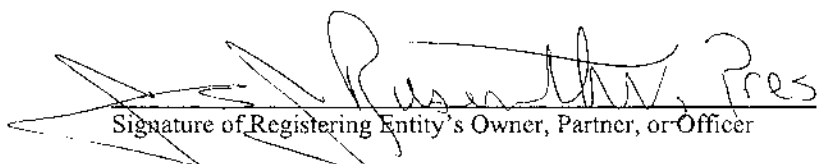
Telephone Number <u>214-957-1940</u>

Email Address <u>nancy@rosenthalenergy.com</u>
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AFFIDAVIT

My name is James J. Rosenthal. I am the owner, partner, or an officer (Circle One) 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 the applicant is authorized to do business in Texas under all applicable laws and is in good standing with the Texas Secretary of State; that all statements made in the application are true, correct and complete; and that any material changes in such information will be provided to the Public Utility Commission of Texas in a timely manner. I swear or affirm that the applicant 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

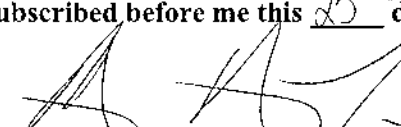
James J. Rosenthal

Printed Name

Rosenthal Energy Advisors, Inc.

Name of Registering Entity

Sworn and subscribed before me this 25th day of September, 2025
Month Year


Notary Public in and For the State of Texas
My commission expires on June 27, 2028

