

Control Number: 49779



Item Number: 841

Addendum StartPage: 0



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# 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> Julie V. Hayes		<b>Title</b> Vice President - CFO	
<b>Business Address</b> 8225 Farnsworth Road, Suite A-10			
<b>City</b> Waterville	<b>State</b> Ohio	<b>Zip</b> 43566	
<b>Telephone Number</b> (567) 202-2728			
<b>Email Address</b> juliehayes@aes-energ.com			
<b>3. Registering Entity. List the registering entity's legal name, business address, and telephone number.</b>			
<b>Name</b> HB Hayes & Associates, LLC			
<b>Business address</b> 8225 Farnsworth Road, Suite A-10			
<b>City</b> Waterville	<b>State</b> Ohio	<b>Zip</b> 43566	
<b>Telephone Number</b> (567) 202-2728			
<b>4. Type of organization of registering entity:</b>			
<input type="checkbox"/> Sole proprietor <input type="checkbox"/> Other			
<input type="checkbox"/> Corporation			
<input checked="" 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:  
 Broker of electricity and energy consulting

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> Alternative Energy Source	2 <sup>nd</sup>
3 <sup>rd</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

Customer Service Department	Telephone Number	Email Address
Name Rebecca Barton	Title Director of Operations	
Business address 8225 Farnsworth Road, Suite A-10		
City Waterville	State Ohio	Zip 43566
Telephone Number (567) 202-2728		
Email Address rebeccabarton@aes-energ.com		

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

Name Huck B. Hayes	Title President
Business address 8225 Farnsworth Road, Suite A-10	
City Waterville	State Ohio
Zip 43566	
Telephone Number (567) 202-2728	
Email Address huckhayes@aes-energ.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.

Due to the time constraint of filing the appropriate registration/application forms, a copy of both Application for Registration of a Foreign Limited Liability Company Form 304 and Application for Registration of an Entity Name Form 502 are attached for your records. Once the approved application has been received, a copy will be forwarded to the Public Utility Commission of Texas.

**AFFIDAVIT**

My name is Julie V. Hayes. I am the Vice President 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.

Julie V. Hayes  
Signature of Registering Entity's Owner, Partner, or Officer

Julie V. Hayes  
Printed Name

HB Hayes & Associates LLC dba Alternative Energy Source  
Name of Registering Entity



Shown and subscribed before me this 28 day of August, 2019.  
Month Year

Becky S. Ewing  
Notary Public in and For the State of Ohio.  
My commission expires on Dec. 27, 2020.

Becky S Ewing

**Attachment A**

**Broker Registration Form – Page 3 – Question 7**

Huck B Hayes, Member  
President  
8225 Farnsworth Rd  
Waterville, OH 43566  
866-646-7322 ext. 1024  
[huckhayes@aes-energ.com](mailto:huckhayes@aes-energ.com)

Julie V. Hayes  
Vice President - CFO  
8225 Farnsworth Rd  
Waterville, OH 43566  
866-646-7322 ext. 1023  
[juliehayes@aes-energ.com](mailto:juliehayes@aes-energ.com)

**Form 304**  
**(Revised 05/11)**

Submit in duplicate to:  
Secretary of State  
P.O. Box 13697  
Austin, TX 78711-3697  
512 463-5555  
FAX: 512/463-5709  
**Filing Fee: \$750**



This space reserved for office use.

**Application for  
Registration  
of a Foreign Limited  
Liability Company**

1. The entity is a foreign limited liability company. The name of the entity is:

HB Hayes & Associates, LLC

*Provide the full legal name of the entity as stated in the entity's formation document in its jurisdiction of formation.*

2A. The name of the entity in its jurisdiction of formation does not contain the word "limited liability company" or "limited company" (or an abbreviation thereof). The name of the entity with the word or abbreviation that it elects to add for use in Texas is:

Alternative Energy Source

2B. The entity name is not available in Texas. The assumed name under which the entity will qualify and transact business in Texas is:

HB Hayes & Associates, LLC

*The assumed name must include an acceptable organizational identifier or an accepted abbreviation of one of these terms.*

3. Its federal employer identification number is: 34-1837171

Federal employer identification number information is not available at this time.

4. It is organized under the laws of: (set forth state or foreign country) State of Ohio

and the date of its formation in that jurisdiction is: 10-08-1997

*mm/dd/yyyy*

5. As of the date of filing, the undersigned certifies that the foreign limited liability company currently exists as a valid limited liability company under the laws of the jurisdiction of its formation.

6. The purpose or purposes of the limited liability company that it proposes to pursue in the transaction of business in Texas are set forth below.

Broker of electricity and energy consulting.

The entity also certifies that it is authorized to pursue such stated purpose or purposes in the state or country under which it is organized.

7. The date on which the foreign entity intends to transact business in Texas, or the date on which the foreign entity first transacted business in Texas is: 10-01-2019

*mm/dd/yyyy*

*Late fees may apply (see instructions).*

8. The principal office address of the limited liability company is:

8225 Farnsworth Road, Suite A-10 Waterville

*Address*

*City*

OH

*State*

USA

*Country*

43566

*Zip/Postal Code*

Complete item 9A or 9B, but not both Complete item 9C

9A. The registered agent is an organization (cannot be entity named above) by the name of:

Corporation Service Company d/b/a CSC-Lawyers Incorporation Service Company

OR

9B. The registered agent is an individual resident of the state whose name is:

*First Name* *M.I.* *Last Name* *Suffix*

9C. The business address of the registered agent and the registered office address is:

211 E. 7th Street, Suite 620                      Auston                      TX                      78701-3218  
*Street Address*                      *City*                      *State*                      *Zip Code*

10. The entity hereby appoints the Secretary of State of Texas as its agent for service of process under the circumstances set forth in section 5.251 of the Texas Business Organizations Code.

11. The name and address of each governing person is:

<b>NAME AND ADDRESS OF GOVERNING PERSON</b> (Enter the name of either an individual or an organization, but not both )				
<b>IF INDIVIDUAL</b>				
Julie	V	Hayes		
<i>First Name</i>	<i>M.I.</i>	<i>Last Name</i>	<i>Suffix</i>	
OR				
<b>IF ORGANIZATION</b>				
<i>Organization Name</i>				
8225 Farnsworth Road, Suite A-10	Waterville	OH	USA	43566
<i>Street or Mailing Address</i>	<i>City</i>	<i>State</i>	<i>Country</i>	<i>Zip Code</i>

<b>NAME AND ADDRESS OF GOVERNING PERSON</b> (Enter the name of either an individual or an organization, but not both )				
<b>IF INDIVIDUAL</b>				
Huck	B	Hayes		
<i>First Name</i>	<i>M.I.</i>	<i>Last Name</i>	<i>Suffix</i>	
OR				
<b>IF ORGANIZATION</b>				
<i>Organization Name</i>				
8225 Farnsworth Road, Suite A-10	Waterville	OH	USA	43566
<i>Street or Mailing Address</i>	<i>City</i>	<i>State</i>	<i>Country</i>	<i>Zip Code</i>

<b>NAME AND ADDRESS OF GOVERNING PERSON</b> (Enter the name of either an individual or an organization, but not both.)				
<b>IF INDIVIDUAL</b>				
Jason	D	Glass		
<i>First Name</i>	<i>M.I.</i>	<i>Last Name</i>	<i>Suffix</i>	
OR				
<b>IF ORGANIZATION</b>				
<i>Organization Name</i>				
8225 Farnsworth Road, Suite A-10	Waterville	OH	USA	43566
<i>Street or Mailing Address</i>	<i>City</i>	<i>State</i>	<i>Country</i>	<i>Zip Code</i>



**Supplemental Provisions/Information**

Text Area: [The attached addendum, if any, is incorporated herein by reference.]

**Effectiveness of Filing** (Select either A, B, or C.)

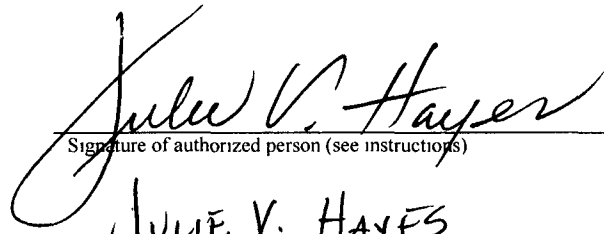
- A.  This document becomes effective when the document is filed by the secretary of state.
- B.  This document becomes effective at a later date, which is not more than ninety (90) days from the date of signing. The delayed effective date is: \_\_\_\_\_
- C.  This document takes effect upon the occurrence of a future event or fact, other than the passage of time. The 90<sup>th</sup> day after the date of signing is: \_\_\_\_\_

The following event or fact will cause the document to take effect in the manner described below:

**Execution**

The undersigned affirms that the person designated as registered agent has consented to the appointment. The undersigned signs this document subject to the penalties imposed by law for the submission of a materially false or fraudulent instrument and certifies under penalty of perjury that the undersigned is authorized under the provisions of law governing the entity to execute the filing instrument.

Date: August 28, 2019

  
\_\_\_\_\_  
Signature of authorized person (see instructions)

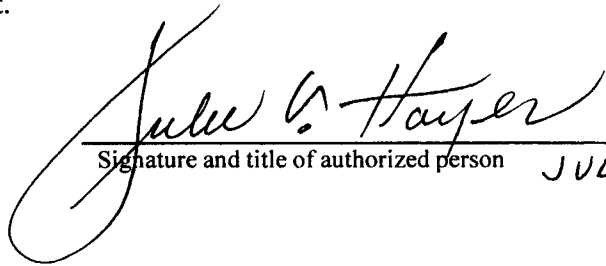
JULIE V. HAYES  
\_\_\_\_\_  
Printed or typed name of authorized person



**EXECUTION**

The undersigned signs this document subject to the penalties imposed by law for the submission of a materially false or fraudulent instrument.

Date: 8/28/2019

  
Signature and title of authorized person JULIE V. HAYES