



Control Number: 49779



Item Number: 1449

Addendum StartPage: 0



## 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

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

1449



## 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:

---



---

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

Name <u>Joseph Ziccardi</u>		Title <u>Attorney</u>
Business Mailing Address <u>77 W. Washington St Suite 705</u>		
City <u>Chicago</u>	State <u>IL</u>	Zip <u>60602</u>
Telephone Number <u>312-372-3477</u>		
Email Address <u>jziccardi@ziccardilaw.com</u>		

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

Business Name <u>Hovey Energy LLC</u>		
Mailing address <u>4000 N Lincoln Ave 2nd Floor</u>		
City <u>Chicago</u>	State <u>IL</u>	Zip <u>60618</u>
Telephone Number <u>773-904-5300</u>		
Email Address <u>mmader@hoveyenergy.com</u>		



**4. Description of the brokerage services provided by the registering person and type of customers served.**

Description of Services:

Broker for Electric SuppliersTypes of Customers: *Check all that apply*☒ Residential☒ Industrial☐ Other☒ Commercial☐ Municipalities**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 <sup>st</sup> _____	2 <sup>nd</sup> _____
3 <sup>rd</sup> _____	4 <sup>th</sup> _____

**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.

<b>Customer Service Department</b> _____	<b>Telephone Number</b> _____	<b>Email Address</b> _____
<b>Name</b> <u>Megan Castaneda</u>	<b>Title</b> <u>VP of Operations</u>	
<b>Business mailing address</b> <u>4000 N Lincoln Ave 2nd Floor</u>		
<b>City</b> <u>Chicago</u>	<b>State</b> <u>IL</u>	<b>Zip</b> <u>60618</u>
<b>Telephone Number</b> <u>773-904-5300</u>		
<b>Email Address</b> <u>mmader@hoveyenergy.com</u>		

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

<b>Name</b> <u>Megan Castaneda</u>	<b>Title</b> <u>VP of Operations</u>	
<b>Business mailing address</b> <u>4000 N Lincoln Ave 2nd Floor</u>		
<b>City</b> <u>Chicago</u>	<b>State</b> <u>IL</u>	<b>Zip</b> <u>60618</u>
<b>Telephone Number</b> <u>773-904-5300</u>		
<b>Email Address</b> <u>mmader@hoveyenergy.com</u>		

## AFFIDAVIT

My name is Robert E Hovey Jr. 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.

DocuSigned by:  
  
1285CDBA71724FB

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

Robert Hovey

Printed Name

Hovey Energy LLC

Name of Registering Entity

Sworn and subscribed before me this 13th day of May, 2020.  
Month Year

Notary Public in and For the State of \_\_\_\_\_  
My commission expires on \_\_\_\_\_

## Certificate Of Completion

Envelope Id: 479F0F642D004F75A91A2B54A900F8B5  
 Subject: Please DocuSign: Texas Broker Registration.pdf  
 Source Envelope:  
 Document Pages: 4  
 Certificate Pages: 4  
 AutoNav: Enabled  
 Enveloped Stamping: Enabled  
 Time Zone: (UTC-08:00) Pacific Time (US & Canada)

Status: Completed

Envelope Originator:  
 Retention Letter Program  
 4000 N Lincoln Ave 2nd Floor  
 Chicago, IL 60618  
 info@verifymybill.org  
 IP Address: 173.9.252.141

## Record Tracking

Status: Original  
 5/13/2020 11:56:01 AM

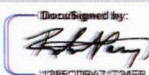
Holder: Retention Letter Program  
 info@verifymybill.org

Location: DocuSign

## Signer Events

Robert Hovey  
 rhovey@hoveyenergy.com  
 Security Level: Email, Account Authentication  
 (None)

## Signature



Signature Adoption: Drawn on Device  
 Using IP Address: 173.9.252.141

## Timestamp

Sent: 5/13/2020 11:57:10 AM  
 Viewed: 5/13/2020 11:58:33 AM  
 Signed: 5/13/2020 11:58:46 AM

## Electronic Record and Signature Disclosure:

Accepted: 5/13/2020 11:58:33 AM  
 ID: 59741483-0152-4167-8b47-9a181a64341b

In Person Signer Events	Signature	Timestamp
Editor Delivery Events	Status	Timestamp
Agent Delivery Events	Status	Timestamp
Intermediary Delivery Events	Status	Timestamp
Certified Delivery Events	Status	Timestamp
Carbon Copy Events	Status	Timestamp
Witness Events	Signature	Timestamp
Notary Events	Signature	Timestamp
Envelope Summary Events	Status	Timestamps
Envelope Sent	Hashed/Encrypted	5/13/2020 11:57:10 AM
Certified Delivered	Security Checked	5/13/2020 11:58:33 AM
Signing Complete	Security Checked	5/13/2020 11:58:46 AM
Completed	Security Checked	5/13/2020 11:58:46 AM
Payment Events	Status	Timestamps
Electronic Record and Signature Disclosure		



## **ELECTRONIC RECORD AND SIGNATURE DISCLOSURE**

From time to time, Hovey Energy (we, us or Company) may be required by law to provide to you certain written notices or disclosures. Described below are the terms and conditions for providing to you such notices and disclosures electronically through the DocuSign, Inc. (DocuSign) electronic signing system. Please read the information below carefully and thoroughly, and if you can access this information electronically to your satisfaction and agree to these terms and conditions, please confirm your agreement by clicking the 'I agree' button at the bottom of this document.

### **Getting paper copies**

At any time, you may request from us a paper copy of any record provided or made available electronically to you by us. You will have the ability to download and print documents we send to you through the DocuSign system during and immediately after signing session and, if you elect to create a DocuSign signer account, you may access them for a limited period of time (usually 30 days) after such documents are first sent to you. After such time, if you wish for us to send you paper copies of any such documents from our office to you, you will be charged a \$0.00 per-page fee. You may request delivery of such paper copies from us by following the procedure described below.

### **Withdrawing your consent**

If you decide to receive notices and disclosures from us electronically, you may at any time change your mind and tell us that thereafter you want to receive required notices and disclosures only in paper format. How you must inform us of your decision to receive future notices and disclosure in paper format and withdraw your consent to receive notices and disclosures electronically is described below.

### **Consequences of changing your mind**

If you elect to receive required notices and disclosures only in paper format, it will slow the speed at which we can complete certain steps in transactions with you and delivering services to you because we will need first to send the required notices or disclosures to you in paper format, and then wait until we receive back from you your acknowledgment of your receipt of such paper notices or disclosures. To indicate to us that you are changing your mind, you must withdraw your consent using the DocuSign 'Withdraw Consent' form on the signing page of a DocuSign envelope instead of signing it. This will indicate to us that you have withdrawn your consent to receive required notices and disclosures electronically from us and you will no longer be able to use the DocuSign system to receive required notices and consents electronically from us or to sign electronically documents from us.

### **All notices and disclosures will be sent to you electronically**

Unless you tell us otherwise in accordance with the procedures described herein, we will provide electronically to you through the DocuSign system all required notices, disclosures, authorizations, acknowledgements, and other documents that are required to be provided or made available to you during the course of our relationship with you. To reduce the chance of you inadvertently not receiving any notice or disclosure, we prefer to provide all of the required notices and disclosures to you by the same method and to the same address that you have given us. Thus, you can receive all the disclosures and notices electronically or in paper format through the paper mail delivery system. If you do not agree with this process, please let us know as described below. Please also see the paragraph immediately above that describes the consequences of your electing not to receive delivery of the notices and disclosures

electronically from us.

**How to contact Hovey Energy:**

You may contact us to let us know of your changes as to how we may contact you electronically, to request paper copies of certain information from us, and to withdraw your prior consent to receive notices and disclosures electronically as follows:

To contact us by email send messages to: [mmader@hoveyenergy.com](mailto:mmader@hoveyenergy.com)

**To advise Hovey Energy of your new e-mail address**

To let us know of a change in your e-mail address where we should send notices and disclosures electronically to you, you must send an email message to us at [mmader@hoveyenergy.com](mailto:mmader@hoveyenergy.com) and in the body of such request you must state: your previous e-mail address, your new e-mail address. We do not require any other information from you to change your email address..

In addition, you must notify DocuSign, Inc. to arrange for your new email address to be reflected in your DocuSign account by following the process for changing e-mail in the DocuSign system.

**To request paper copies from Hovey Energy**

To request delivery from us of paper copies of the notices and disclosures previously provided by us to you electronically, you must send us an e-mail to [mmader@hoveyenergy.com](mailto:mmader@hoveyenergy.com) and in the body of such request you must state your e-mail address, full name, US Postal address, and telephone number. We will bill you for any fees at that time, if any.

**To withdraw your consent with Hovey Energy**

To inform us that you no longer want to receive future notices and disclosures in electronic format you may:

- i. decline to sign a document from within your DocuSign session, and on the subsequent page, select the check-box indicating you wish to withdraw your consent, or you may;
- ii. send us an e-mail to [mmader@hoveyenergy.com](mailto:mmader@hoveyenergy.com) and in the body of such request you must state your e-mail, full name, US Postal Address, and telephone number. We do not need any other information from you to withdraw consent.. The consequences of your withdrawing consent for online documents will be that transactions may take a longer time to process..

**Required hardware and software**

Operating Systems:	Windows® 2000, Windows® XP, Windows Vista®; Mac OS® X
Browsers:	Final release versions of Internet Explorer® 6.0 or above (Windows only); Mozilla Firefox 2.0 or above (Windows and Mac); Safari™ 3.0 or above (Mac only)
PDF Reader:	Acrobat® or similar software may be required to view and print PDF files
Screen Resolution:	800 x 600 minimum
Enabled Security Settings:	Allow per session cookies

\*\* These minimum requirements are subject to change. If these requirements change, you will be asked to re-accept the disclosure. Pre-release (e.g. beta) versions of operating systems and browsers are not supported.

**Acknowledging your access and consent to receive materials electronically**



To confirm to us that you can access this information electronically, which will be similar to other electronic notices and disclosures that we will provide to you, please verify that you were able to read this electronic disclosure and that you also were able to print on paper or electronically save this page for your future reference and access or that you were able to e-mail this disclosure and consent to an address where you will be able to print on paper or save it for your future reference and access. Further, if you consent to receiving notices and disclosures exclusively in electronic format on the terms and conditions described above, please let us know by clicking the 'I agree' button below.

By checking the 'I agree' box, I confirm that:

- I can access and read this Electronic CONSENT TO ELECTRONIC RECEIPT OF ELECTRONIC RECORD AND SIGNATURE DISCLOSURES document; and
- I can print on paper the disclosure or save or send the disclosure to a place where I can print it, for future reference and access; and
- Until or unless I notify Hovey Energy as described above, I consent to receive from exclusively through electronic means all notices, disclosures, authorizations, acknowledgements, and other documents that are required to be provided or made available to me by Hovey Energy during the course of my relationship with you.