

ILLINOIS COMMERCE COMMISSION

2011 JUN - 7 A 10: 36

Coleman Hines, Inc.

Application for Licensure of
Agents, Brokers, and Consultants
under Section 16-115C
of the Public Utilities Act.

CHIEF CLERK'S OFFICE
Docket No. **11-0472**

APPLICATION

Coleman Hines, Inc. ("Applicant"), hereby requests that the Illinois Commerce Commission ("Commission") grant it a license pursuant to Section 16-115C of the Public Utilities Act ("Act"). In support of its application, Applicant states as follows:

GENERAL [454.40, 454.50, 454.100]

1. Applicant's name and street address.

Coleman Hines, Inc.
20830 N. Tatum Blvd., Suite 330
Phoenix, AZ 85050

2. Related Information:

- Type of business entity: **S-Corp**
- Jurisdiction in which and under whose laws business entity was created: **AZ**
- Other names under which Applicant does business (D/B/A): **N/A**

3. Contact Persons for the following:

a) issues related to processing this application:

Gina Coleman, CEO
20830 N. Tatum Blvd., Suite 330
Phoenix, AZ 85050
(480) 346-5801
E-mail: gcoleman@colemanhines.com

- b) issues related to complaint resolution [454.130]:

**Gina Coleman, CEO
20830 N. Tatum Blvd., Suite 330
Phoenix, AZ 85050
(480) 346-5801
E-mail: gcoleman@colemanhines.com**

4. Description of Applicant's business. [454.40(c)(1)]

Coleman Hines, Inc. (CHI) is retained by national account customers to provide energy consulting services in multiple jurisdictions in the US and Canada. The consulting services include conducting Requests for Proposals on the client's behalf with the goal of securing a competitive electric generation contract with a qualified Retail Electric Supplier (RES) for each client's locations within the jurisdiction.

Clients retain CHI for subject matter expertise in a variety of energy related subjects, including the procurement of electric generation contracts. CHI works on behalf of the Client rather than on behalf of the RES. This differentiates CHI as a consultant rather than a Broker or Marketer. Although CHI conducts RFPs on the Client's behalf, CHI does not take title to the electric energy, nor does CHI act as Agent on behalf of the RES. CHI sells energy information and knowledge and acts as an outsourced extension of the Client's energy team.

CHI has only one office located at the aforementioned address in Phoenix, AZ. All operations activities are conducted in this location.

5. A statement in support of application (including supporting documents and schedules if necessary) certifying the applicant meets the requirements of Section 16-115C of the Act. [454.40(d)(1)]

Coleman Hines, Inc. intends to offer energy consulting services to commercial customers within the State of Illinois. The services intended for offer include: 1) Commodity Procurement; 2) Rebate Processing; 3) Energy Budgeting Support; 4) Utility Management Services; 5) Utility Bill Presentment and/or 6) On-Line Subscription Services.

6. The name, address, telephone number, any facsimile number and any e-mail address of the agent registered with the Illinois Secretary of State. This information shall be kept current and any change regarding the licensee shall be reported within 15 days after the change occurs. The required information shall

be filed with the Chief Clerk of the Commission at its Springfield office.
[454.40(c)(3)]

CT Corporation
208 S. LaSalle St., Ste 814
Chicago, IL 60604
Phone: 312-263-1414
Fax: 312-263-3928

7. A statement to disclose whether the Applicant is licensed as an agent, broker or consultant in any other jurisdictions, similar to the licensure required under Section 16-115C of the Illinois Public Utilities Act. Additionally, the Applicant is directed to disclose whether it has had any complaints filed against it for its provision of any services in the electric or gas industry in this or any other jurisdiction. If yes, the Applicant is directed to include in its response the nature of the complaint, the jurisdiction, and the ultimate resolution.

Coleman Hines, Inc. is licensed as an Electricity Broker in Massachusetts, an Electric Aggregator in Connecticut, a Competitive Electricity Provider in Maine and an Electricity Broker in Maryland. Coleman Hines, Inc. has not had any complaints filed against it for its provision of any services in the electric or gas industry in this or any other jurisdiction.

8. Applicant certifies that it:

- a) is licensed to do business in the State of Illinois and is in compliance with all other applicable laws, regulations and Commission rules and orders;
[454.40(c)(2)]

See Appendix A

- b) shall comply with all terms and conditions required by Section 16-115C of the Act; [454.40(d)(2)]

See Appendix A

- c) shall ensure any person who acts on behalf of the entity will comply with all sections of Part 454 applicable to the function or functions to be performed; [454.40(d)(3)]

See Appendix A

- d) shall remain in compliance with the provisions of the Act and Part 454; [454.50]

See Appendix A

- e) shall ensure that authorizations received from customers, and all other applicable records are retained for a period of not less than three calendar years after the calendar year in which they were created; and [454.100(a)]

See Appendix A

- f) shall preserve the confidentiality of its customers' data. [454.100(b)]

See Appendix A

MANAGERIAL LICENSING QUALIFICATIONS [Section 454.60]

- 9. Applicant meets the managerial qualifications set forth in Part 454.60, as demonstrated in Appendix B. Appendix B includes an exhibit containing a corporate organizational chart and identifying the persons who are being used to meet the requirements of Part 454.60(a). Appendix B includes an exhibit containing occupational background information on the person or persons who are being used to meet the requirements of Part 454.60(a). [Attachment should include narrative and/or resume of key personnel showing clearly how the managerial experience requirement is being met.]

See Appendix B

TECHNICAL LICENSING QUALIFICATIONS [Section 454.70]

- 10. Applicant meets the technical qualifications set forth in Part 454.70, as demonstrated in Appendix C. Appendix C includes an exhibit containing occupational background information on the person or persons who are being used to meet the requirements of Part 454.70(a).

See Appendix C

FINANCIAL LICENSING REQUIREMENTS [SECTION 454.80]

- 11. Applicant is required to execute and maintain a license or permit bond in the name of the People of the State of Illinois issued by a qualifying surety or insurance company authorized to transact business in the State of Illinois. The amount of the bond shall equal \$5,000.

[Department of the Treasury's Listing of Approved Sureties (Department Circular 570) (<http://www.fms.treas.gov/c570/c570.html>)]

CODE OF CONDUCT [SECTION 454.90]

12. Applicant certifies that it shall:

- a) Disclose in plain language in writing the nature of the services offered by the ABC;

See Appendix D

- b) Disclose in plain language in writing to all persons it solicits the total anticipated remuneration to be paid to it by any third party over the period of the proposed underlying customer contract. Any such disclosure must be made prior to entering into the contract and signed by the customer;

See Appendix D

- c) Not hold itself out as independent or unaffiliated with any RES, or both, or use words calculated to give that impression, unless the person or entity offering service under this Section 16-115C of the Act has no contractual relationship with any RES or its affiliates regarding retail electric service in Illinois;

See Appendix D

- d) Not utilize false, misleading, materially inaccurate, defamatory, or otherwise deceptive language or materials in the soliciting or providing of its services;

See Appendix D

- e) Maintain copies of all marketing materials disseminated to third parties for a period of not less than three years;

See Appendix D

- f) Maintain copies of all disclosure statements required in subsections (a) and (b) for a period of not less than three years;

See Appendix D

- g) Not present electricity pricing information in a manner that favors one supplier over another, unless a valid pricing comparison is made utilizing all relevant costs and terms; and

See Appendix D

- h) Comply with the requirements of Sections 2EE, 2FF, 2GG, and 2HH of the Consumer Fraud and Deceptive Business Practices Act [815 ILCS 505/2EE, 2FF, 2GG, and 2HH].

See Appendix D

REPORTING REQUIREMENTS [SECTION 454.110]

- 13. Applicant agrees to submit reports in accordance with annual reporting requirements. [454.110]

See Appendix E

WHEREFORE, Applicant requests that the Commission grant its application for licensure as an agent, broker, or consultant to engage in the procurement or sale of retail electricity supply for third parties.

Respectfully submitted,

By: 
Gina Coleman, CEO

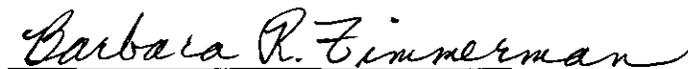
VERIFICATION

STATE OF AZ)
COUNTY OF MARICOPA

GINA COLEMAN, being first duly sworn, deposes and says that she is the
CEO of Coleman Hines, Inc.; that she has read the foregoing Application of
Coleman Hines, Inc., and all of the attachments accompanying and referred to within
the Application; and that the statements contained in the Application and the
attachments are true, correct and complete to the best of her knowledge, information
and belief.


[Name of person verifying application]

Subscribed and sworn to before me
this 2nd day of June, 2011.


Notary Public

[Stamp of Notary]

