

[Luthin Associates, Inc.] :

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

Docket No. 15-0048

APPLICATION

[Luthin Associates, 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.

Luthin Associates, Inc.
535 Main Street
Allenhurst, NJ 07711

2. Related Information:

- Type of business entity: Corporation
- Jurisdiction in which and under whose laws business entity was created: New Jersey
- 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 [454.130]

Drue Zapoluch
Business Analyst
535 Main Street
Allenhurst, NJ 07711
732-774-0005
dzapoluch@luthin.com

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ILLINOIS COMMERCE COMMISSION

- b) issues related to complaint resolution [454.130]

Catherine Luthin
President/Owner
535 Main Street
Allenhurst, NJ 07711
732-774-0005
cluthin@luthin.com

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

Luthin Associates, Inc. provides energy consulting services for our clients. This includes, but is not limited to, procurement of electricity with third party suppliers. Luthin Associates acts as an intermediary between our client and third party suppliers. We have 20 years of experience doing so in other states and have created strong relationships with multiple suppliers.

Luthin Associates does not intend to provide generator or electric power service, or natural gas service, directly to end-users nor do they plan to take title to electricity or natural gas.

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)]

Luthin Associates, Inc. certifies that it meets the requirements of Section 16-115C of the Act, [454.40(d)(1)]. Please see Attachments A, B, and C in support of this statement.

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)]

Brenna Lutter
600 South Second Street, Suite #103
Springfield, IL 62704
1-800-981-7183
info@BizFilings.com

7. A statement to disclose whether the Applicant operates as an agent, broker, or consultant in any other jurisdictions in a manner similar to that contemplated under Section 16-115C of the Act. Additionally, regardless of whether Applicant operates as an agent, broker, or consultant in Illinois or any other jurisdiction, 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 any such complaints exist, the Applicant is directed to include in its response the nature of the complaint, the jurisdiction, and the ultimate resolution.

Luthin Associates, Inc. operates as a broker for energy related services in the following states: New Jersey, New York, Massachusetts, Pennsylvania, California, and Connecticut. Luthin Associates has not had any complaints filed against it in regards to its provision of any services in the electric or gas industry in this or any other jurisdiction. In addition, Luthin Associates is in the process of submitting applications to Maryland for electric and gas broker licenses.

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)] (NOTE to Applicant: be certain to include the Certificate of Good Standing obtained from the Illinois Secretary of State)

Please see Foreign Entity Registration as Attachment A.

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

Luthin Associates, Inc. shall adhere to the above statement as specified.

- 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)]

Luthin Associates, Inc. shall adhere to the above statement as specified.

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

Luthin Associates, Inc. shall adhere to the above statement as specified.

- 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)]

Luthin Associates, Inc. shall adhere to the above statement as specified.

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

Luthin Associates, Inc. shall adhere to the above statement as specified.

MANAGERIAL LICENSING QUALIFICATIONS [Section 454.60]

9. Applicant meets the managerial qualifications set forth in Part 454.60, as demonstrated in Attachment B. Attachment 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). Attachment 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).

Please see Attachment B for Luthin Associates' organizational chart.

Please see Attachment B for the resumes of key personnel.

TECHNICAL LICENSING QUALIFICATIONS [Section 454.70]

10. Applicant meets the technical qualifications set forth in Part 454.70, as demonstrated in Attachment B. Attachment B 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).

Please see Attachment B for the resumes of key personnel.

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.

Please see Attachment C for the surety bond.

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;

Luthin Associates, Inc. shall adhere to the above statement as specified.

- b) Prior to the customer signing a contract, disclose that they are not employed by the electric utility operating in the applicable service territory;

Luthin Associates, Inc. shall adhere to the above statement as specified.

- c) Disclose in plain language in writing to all persons it solicits the total price per kilowatt-hour, and the total anticipated cost, inclusive of all fees or

commissions received by the licensee, to be paid by the customer over the period of the proposed underlying customer contract. In the event a person or entity required to be licensed pursuant to this Part uses an electric supply usage estimate for a particular customer, the person or entity required to be licensed pursuant to this Part must use the same electric supply usage estimate for all service offers it presents to that particular customer;

Luthin Associates, Inc. shall adhere to the above statement as specified.

- d) Any disclosure required by subsection (c) must be made prior to entering into the contract and signed by the customer;

Luthin Associates, Inc. shall adhere to the above statement as specified.

- e) Disclose if applicable, to all customers, prior to the customer signing a contract the fact that they will be receiving compensation from the supplier;

Luthin Associates, Inc. shall adhere to the above statement as specified.

- f) 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 Section 16-115C of the Act has no contractual relationship with any RES or its affiliates regarding retail electric service in Illinois;

Luthin Associates, Inc. shall adhere to the above statement as specified.

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

Luthin Associates, Inc. shall adhere to the above statement as specified.

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

Luthin Associates, Inc. shall adhere to the above statement as specified.

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

Luthin Associates, Inc. shall adhere to the above statement as specified.

- j) 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

Luthin Associates, Inc. shall adhere to the above statement as specified.

- k) 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].

Luthin Associates, Inc. shall adhere to the above statement as specified.

REPORTING REQUIREMENTS [SECTION 454.110]

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

Luthin Associates, Inc. shall adhere to the above statement as specified.

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,



Luthin Associates, Inc.

By: Catherine Luthin

VERIFICATION

STATE OF New Jersey

COUNTY OF Monmouth

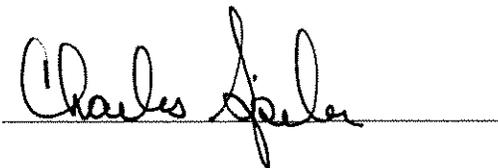
Catherine Luthin, being first duly sworn, deposes and says that she is the President/Owner of Luthin Associates, Inc.; that she has read the foregoing Application of Luthin Associates, Inc., and all of the attachments accompanying and referred to within the Application; and that the statements contained in the Application and the attachments are true, correct and complete to the best of her knowledge, information and belief.


Catherine Luthin

To be completed by a Notary Public

Subscribed and sworn to before me

this 14TH day of JANUARY, 2015



Notary Public

