



Control Number: 43711



Item Number: 1

Addendum StartPage: 0

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**AGGREGATOR REGISTRATION FORM**

PUBLIC UTILITY COMMISSION  
FILING CLERK

*For the Texas Retail Electric Market*

**43711**

PROJECT NO. \_\_\_\_\_ (Assigned by Central Records when registration is initially filed)

**Registering Party:**

\_\_\_\_\_ *River Oaks Energy, INC.* \_\_\_\_\_

**Authorized Representative or Attorney to contact about this application:**

NAME: *DVANE Lock* TITLE: *President*

ADDRESS: *2727 LBJ Freeway #930, Dallas, TX 75234*

TELEPHONE: *972-241-1970* FAX: *972-241-1980*

EMAIL ADDRESS: *dlock@Lockgroup.com*

**Agent for Service of Process:**

NAME: \_\_\_\_\_ TITLE: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

TELEPHONE: \_\_\_\_\_ FAX: \_\_\_\_\_

EMAIL ADDRESS: \_\_\_\_\_

**Check the most appropriate box to describe the submission of this document:**

- This submission opens a new aggregator registration.
- This submission supplies additional information for a pending aggregator registration.
- This submission amends an existing, completed aggregator registration.

Review the *Instructions*. Fill out Parts A through C of this Registration Form and the Affidavit according to the aggregator classification(s) desired:

- Class I:** Parts A, B, C, and Affidavit.
- Class II.A:** Parts A, B, C, and Affidavit
- Class II.B:** Part A and Affidavit.
- Class II.C:** Part A and Affidavit.
- Class II.D:** Parts A, B, C, and Affidavit.

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## PART A – GENERAL INFORMATION

### APPLICABLE TO ALL REGISTERING PARTIES

1. Legal Name of Registering Party: River oaks Energy, Inc.

2. Type of registering party. Review the definitions in the *Instructions* and check appropriate box:

- Person
- Political subdivision
- Political subdivision corporation

3. Types of aggregator registrations sought. Review the required eligibility and operational parameters listed in the *Instructions* and check appropriate box or boxes:

- Class I:** Private entity that aggregates private customers to buy electricity from REPs.
- Class II.A:** Person that aggregates municipalities, political subdivisions, or both.
- Class II.B:** Political subdivision corporation aggregating political subdivisions.
- Class II.C:** Public body that aggregates its citizens.
- Class II.D:** Administrator of citizen aggregation.

4. Other Names. List any trade, commercial, and doing-business-as (d/b/a) names, other than the legal name listed in #1 above, under which the registering party intends to operate (Class I, II.A and II.B aggregators are limited to 5 operating names.):

N/A - NO other names will be used.

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5. **Address.** List the registering party's Texas business address, telephone number and fax number. Provide the same details for the principal place of business, if different from the Texas business address.

RIVER OAKS ENERGY, INC.  
2727 LBJ FRWY #930  
DALLAS, TX 75234  
972-241-1970 - FAX 972-241-1980

6. **Officers.** Provide, as Attachment A, the names, business addresses, and phone numbers of the registering party's officers, directors, or partners.

7. **Affiliates.** Provide, as Attachment B, the names of the registering party's affiliates and subsidiaries that provide utility-related services, such as telecommunications, electric, gas, water or cable (if any).

8. **Customer Service Contact.** List the telephone number of the customer service department.

KERRIE HAMMONS  
972-241-1970

9. **Regulatory contact person.** List the name, physical business address, telephone number, fax number, and e-mail address for a regulatory contact person – and for the agent for service of process, if different.

DWANE LOCKE  
972-241-1970  
2727 LBJ FRWY #930  
DALLAS, TX 75234

10. **Customers.** Circle all of the electricity customer classes in the following list that the registering party intends to aggregate:

RESIDENTIAL COMMERCIAL INDUSTRIAL MUNICIPALITIES POLITICAL SUBDIVISIONS

Please provide further detail regarding the classes you have selected:

Commercial Meters + Govt Meters

**CLASS II.B AND CLASS II.C REGISTERING PARTIES MAY STOP HERE.  
COMPLETE THE AFFIDAVIT AND SUBMIT ALL MATERIALS, INCLUDING  
SUPPORTING ATTACHMENTS A AND B, TO THE COMMISSION.**

## PART B – TECHNICAL AND CUSTOMER PROTECTION INFORMATION

### **APPLICABLE ONLY TO PARTIES REGISTERING FOR CLASS I, CLASS II.A, AND CLASS II.D**

Review the attached *Instructions*. Select one of the following two options for registration by checking the appropriate box. By separate attachment, provide the information required for the option chosen.

- 1. STANDARD REGISTRATION.** To exercise the Standard Registration option, check the box at left and provide as **Attachment C** the following additional information:
- (a)  **Texas Secretary of State records.** Any applicable information on file with the Texas Secretary of State, such as copies of the registering party's endorsed certificate of incorporation certified by the Texas Secretary of State, the registering party's certificate of good standing, or other business registration on file with the Texas Secretary of State. Include any information under d/b/a (doing-business-as) names.
  - (b) **Tax delinquency disclosure.** Disclose any delinquency with taxing authorities in the state of Texas, including the Comptroller's Office.
  - (c)  **Prior experience.** Describe prior experience, if any, of the registering party or one or more of the registering party's principals or employees in the retail electric industry or a related industry.
  - (d)  **Affiliate and agency relationships.** Disclose any affiliate or agency relationships and the nature of any affiliate or agency agreements with REPs or transmission and distribution utilities. If such a relationship or agreement exists, explain how the registering party will disclose this information to its customers and to the REPs with whom it does business.
  - (e)  **Activities in other states.** List the other states, if any, in which the registering party, and/or its affiliates and subsidiaries providing utility-related services, currently conduct business, or have previously conducted business, within the past 3 calendar years.
  - (f) **Compensation sources.** Disclose the registering party's known or anticipated sources of compensation for aggregation services, and provide an explanation of its plans for disclosure of those compensation sources to its customers.
  - (g) **Bankruptcy disclosure.** Disclose any bankruptcy or liquidation proceedings of the registering party, any predecessors in interest, or its affiliates, within the past 3 calendar years.
  - (h) **Disclosure of fraud or liability.** List any convictions or liability findings of fraud, theft or larceny, deceit, or violations of any customer protection or deceptive trade laws in any state against the registering party, a predecessor, its principals, or its affiliates.
  - (i)  **Investigation status.** Provide a statement indicating whether the registering party is currently under criminal or civil investigation, either in this state or in another state or jurisdiction for violation of any customer protection law or regulation.

- (j) **Complaint history.** Provide a complete complaint history list for the past 3 calendar years as required by the Aggregator Rule (*see Instructions* for exact rule requirements).
  - (k) **Pending authorizations (Class II.A or II.D aggregators only).** List pending authorizations, if any, from public entities for the registering party to aggregate their loads or that of their citizens.
- 2. ALTERNATIVE LIMITED REGISTRATION.** To exercise the Alternative Limited Registration described in the Instructions, which limits the size of customers that may be served, check the box at left so that the statement (a) below is incorporated into the Affidavit, and then provide as **Attachment D** the information specified in (b) below.
- (a) By executing the Affidavit attached hereto, the registering party swears and affirms that it is aware of, and will comply with, P.U.C. SUBST. R. §25.111(f)(2), which applies to entities that aggregate only customers who seek to contract individually for 250 kilowatts or more of peak demand electricity. Specifically, the registering party swears and affirms that it possesses a written consent from each customer it plans to serve, authorizing the registering party to provide aggregation for that customer.
  - (b) Provide as **Attachment D** the information required by paragraphs (a), (b), (c), (g), (h), (i), and (k) of the Standard Registration requirements.<sup>1</sup>

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## PART C – FINANCIAL RESOURCE INFORMATION

### **APPLICABLE ONLY TO PARTIES REGISTERING FOR CLASS I, CLASS II.A, AND CLASS II.D.**

**1. Intention to take deposits or other advance payments.** Check only one of the following two statements of intention:

- YES, THE REGISTERING PARTY WILL COLLECT DEPOSITS OR OTHER ADVANCE PAYMENTS FROM ELECTRIC CUSTOMERS IN ADVANCE OF DELIVERING AGGREGATION SERVICES.**

By executing the Affidavit attached hereto, the registering party swears and affirms that it is aware of, and will comply with, P.U.C. SUBST. R. §25.111(g)(1)(A)-(D), which applies to any entities that aggregate electricity customers and intend to take any deposits or other advance payments from electricity customers for aggregation services.

If the “YES” box above is selected, proceed to Item No. 2 below to indicate the method of meeting the financial qualifications required by the Aggregator Rule.

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<sup>1</sup> Parties registering by means of the Alternative Limited Registration option are exempted from the information required by paragraphs (d), (e), (f) and (j) of the Standard Registration and from the affiliate disclosure required by No. 7 of *Part A*.

**NO, THE REGISTERING PARTY WILL NOT COLLECT DEPOSITS OR OTHER ADVANCE PAYMENTS FROM CUSTOMERS IN ADVANCE OF DELIVERING AGGREGATION SERVICES.**

By executing the Affidavit attached hereto, the registering party swears and affirms that, if it later decides to take prepayments, it shall amend its registration in advance of accepting such deposits or other advance payments for aggregation services. That amended registration shall demonstrate compliance with P.U.C. SUBST. R. §25.111(g) within 90 days of receiving the first payment for aggregation services and before those services are rendered.

If the "NO" box above is selected, stop here and proceed to the *Affidavit*.

**2. Method of financial qualification.** Check only one of the two boxes below to select one of the two methods for financial qualification to collect deposits and advance payments. The "standard" qualifications are available to any registering party, but the "alternative" qualifications are limited to those parties who have selected the Alternative Limited Registration in Part B. Provide the respective documentation materials indicated for the method selected:

**STANDARD FINANCIAL QUALIFICATIONS.** This method of qualification is the only option for parties registering under the Standard Registration in Part B.

(a) **Calculation methodology.** The amount of required financial resources equals the registering party's cumulative obligations to customers arising from deposits or other advance payments for aggregation services made by customers prior to the delivery of aggregation services. Provide as **Attachment E** the registering party's methodology for calculating the required amount of financial resources.

(b) **Financial evidence.** From the following list, indicate which financial instruments are used to demonstrate the registering party's compliance with the Aggregator Rule's financial requirements. Then provide the applicable supporting documentation as required by (c), (d), (e), and (f) below (supply only the applicable attachments).

A certificate of deposit with a bank or other financial institution;

A letter of credit issued by a bank or other financial institution, irrevocable for a period of at least 15 months;

A line of credit or other loan issued by a bank or other financial institution, including a bond in a form approved by the commission, irrevocable for a period of at least 15 months;

A loan issued by a subsidiary or affiliate of the applicant or a corporation holding controlling interest in the applicant, irrevocable for a period of at least 15 months;

A guaranty issued by a shareholder or principal of the applicant; a subsidiary or affiliate of the applicant or a corporation holding controlling interest in the applicant; irrevocable for period of at least 15 months.

- An investment grade credit rating.
- Other financial evidence approved in advance by the commission \_\_\_\_\_
- 

- (c) **Financial integrity of loans or guarantees.** If applicable, provide as **Attachment F** the financial evidence showing that the lender or guarantor possesses the financial resources needed to fund the loan or guaranty.
- (d) **Unencumbered resources.** Provide as **Attachment G** evidence of cash and other instruments listed as financial resources unencumbered by pledges for collateral.
- (e) **Credit ratings.** If applicable, provide as **Attachment H** evidence of investment grade credit rating.
- (f) **Disclosure to financial backers.** Provide as **Attachment I** evidence that a copy of P.U.C. SUBST. R. 25.111 (the Aggregator Rule) has been provided to any party providing, either directly or indirectly, financial resources necessary to protect customers pursuant to this paragraph.

- ALTERNATIVE FINANCIAL QUALIFICATIONS FOR LIMITED REGISTRATION.** This method of qualification is available only to parties who register by means of the Alternative Limited Registration, specifically those that aggregate customers that individually contract for at least 250 kilowatts of peak demand electricity. Check the box at left to exercise this option and incorporate into the Affidavit the statement below:

By executing the affidavit attached hereto, the registering party swears and affirms that it is aware of, and will comply with, P.U.C. SUBST. R. 25.111(g)(2), which applies to entities that aggregate only customers that individually contract for 250 kilowatts or more of peak demand electricity. Specifically, the registering party swears and affirms that it possesses a written consent from each customer it wishes to serve, authorizing the registering party to provide aggregation for that customer *without* establishing the cash and credit resources normally required of aggregators who take deposits or other advance payments from customers.

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### AFFIDAVIT

BEFORE ME, the undersigned authority, on this day personally appeared the undersigned, who, after being duly sworn, stated on their oath that they are entitled to make this Affidavit, and that the statements contained below and in the foregoing are true and correct.

Check one of the following boxes:

- I am an owner, partner, or officer of the registering party, which is registering as a Class II.B or Class II.C aggregator.
- I am an owner, partner, or officer of the registering party, which is registering as a Class I, Class II.A, and/or a Class II.D aggregator.

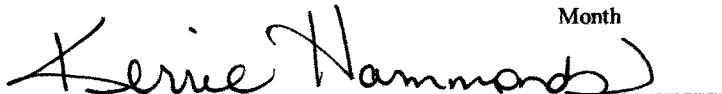
I swear or affirm that I have personal knowledge of the facts stated in the attached registration, that I am competent to testify to them, and that I have the authority to submit this application form on behalf of the registering party. I further swear or affirm that all statements made in the Registration 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 party understands and will comply with all requirements of the applicable law and rules, including any required submission of additional information by sworn affidavit prior to the provision of electric service.

  
\_\_\_\_\_  
Signature of Registering Party's Owner, Partner, or Officer

DUANE LOCK  
\_\_\_\_\_  
Printed Name

River Oaks Energy, Inc.  
\_\_\_\_\_  
Name of Registering Party

Sworn and subscribed before me this 29<sup>th</sup> day of October, 2014.  
Month Year

  
\_\_\_\_\_  
Notary Public





**RIVEROAKSENERGY**  
LOCK GROUP

LOWERING COMMERCIAL ENERGY COSTS

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## **Attachment A**

Duane Lock  
2727 LBJ Freeway, Ste. 930  
Dallas, TX 75234  
(972) 241-1970



**RIVEROAKSENERGY**  
LOCK GROUP

LOWERING COMMERCIAL ENERGY COSTS

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## **Attachment B**

**No Affiliates**



## ATTACHMENT C

- (a) Texas Secretary of State Records –**  
Franchise Tax Account Status is attached.
- (b) Tax Delinquency disclosure -**  
No records of Tax Delinquencies.
- (c) Prior Experience –**  
Please see attached resume for Duane Lock, President.
- (d) Affiliate and agency relationships –**  
No affiliate or agency relationships.
- (e) Activities in other states –**  
River Oaks Energy, Inc. is not doing business in any other states at this time.
- (f) Compensation sources -**  
Conversation provided by winning supplier and disclosed to the customer.
- (g) Bankruptcy disclosure –**  
No Bankruptcies Disclosures.
- (h) Disclosure of fraud or liability –**  
No convections or fraud.
- (i) Investigation status –**  
See attached statement.
- (j) Complaint history -**  
No record of complaints.
- (k) Pending authorizations from public entities –**  
Not required for Class I Registration.



## Franchise Tax Account Status

As of: 10/28/2014 12:57:57 PM

**This Page is Not Sufficient for Filings with the Secretary of State**

### **RIVER OAKS ENERGY, INC.**

Texas Taxpayer Number 32015654018  
Mailing Address 2727 LYNDON B JOHNSON FWY STE 930  
DALLAS, TX 75234-7553  
Right to Transact Business ACTIVE  
in Texas  
State of Formation TX  
Effective SOS Registration 08/16/2004  
Date  
Texas SOS File Number 0800379124  
Registered Agent Name DUANE NMI LOCK  
Registered Office Street 2727 LBJ FREEWAY, STE 930  
Address DALLAS, TX 75234

**DUANE LOCK**

2727 LBJ Freeway Suite 930----Dallas, Texas 75234  
Telephone: 214-288-1337 [dlock@lockgroup.com](mailto:dlock@lockgroup.com)

**PROFILE:**

Founder and President of "River Oaks Energy. The company brokers electricity across deregulated states. The firms offers, contract negotiations and consulting, risk management brokering expertise to commercial businesses.

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**EXPERIENCE:**

**2004--Present**

**RIVER OAKS ENERGY**

Founder and President

The company provides electricity brokering and consulting services in deregulated electricity markets across the United States. Founded in 2004, the firms has grown into one of the largest and most profitable companies in the industry. The firm double digit annual growth has enabled expansion into deregulated states and Canada.

**2000--2003**

**TXU ENERGY (Dallas Texas)**

Director, Product Development and strategic acquisitions.

Responsible for the development and implementation of commodity and non-commodity energy services for this \$250 million dollar strategic accounts business. Major responsibilities included:

- Developing a profit/cost modeling system for all services offered. This involved building an activity based costing model from the ground up. As a direct benefit to the new model, cost decreased 27% by outsourcing key services and keeping other in-house..
- Packaged new energy services under a bundled package that included; commodity contracts, renewable energy, demand response and internet based services such as remote interaction with centralized equipment controls from across the world.
- Lead our acquisitions and strategic alliance initiatives. Developed strategic alliances with large and small business. Additionally, I lead all efforts acquisitions and alliances for the strategic accounts business.

**1994--2000**

**KANSAS CITY POWER & LIGHT**

Director and senior executive for all retail sales and customer contact activities for \$900 million dollar company. In addition, I was responsible for; commodities trading, customer service, sales and distribution engineering for large commercial accounts. Below are details for this position:

- Hired, lead and guided an organization that sold regulated and unregulated energy and consulting services before deregulation. The portfolio we offered included; long and short term electric and gas commodity contracts combined with risk management and demand side management and peak load curtailment contract services.

- Developed and lead commodities trading operations from inception to implementation. The trading floor included electric and gas retail contracts. The commodities trading operations offered customers a complete bundled of energy services of; electric, gas and demand management products.
- Responsible for regulated electric distribution engineering. We operated a 24X7 call center to deal with reliability on the electric grid system. My group was responsibility for consulting with large electric users on
- As an executive for the company, I was a member of the strategic planning committee.

#### **MISSOURI GAS ENERGY**

Director, Marketing, Communications and Governmental Relations and Media

- As a registered lobbyist with the state, relationships were formed and developed with Legislatures, Mayors, City Councils and Governors. I was the designated lobbyist for the company: I represented the company in: rate cases franchise filings, interveners and regulated rule changes dealing with public service.
- Regarding marketing: I redesigned the entire marketing and communications area of the company in preparation for energy deregulation. This includes; organizational structure, incentive compensation, new services, line extensions and builder and developers economic analysis justifications.

1984--1994

#### **XEROX CORPORATION**

Sales & Marketing Management

- I worked for Xerox Corporation ten years where I held a variety of management positions in marketing, sales and training. Specifics are;
  1. Sold large laser printers, copiers, digital devices and integrated computer systems to large and mid sized customers.
  2. As an instructor, I delivered sales and Total Quality Management training (TQM) at the International Training Center in Virginia.

#### **EDUCATION:**

-MBA, Rockhurst University  
-Bachelors; BSBA, University of Southern Mississippi

#### **BOARDS & MILITARY:**

-Proudly served in the United States Marine Corps Reserve  
-Board Member and Trustee at Rockhurst University  
-Board Member, National Seminars Group.



RIVER

ENERGY  
LOCK GROUP

LOWERING COMMERCIAL ENERGY COSTS

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**October 20, 2014**

**Investigation Status:**

To whom it may concern:

This is a statement indicating River Oaks Energy Inc., is not under criminal or civil investigation, either in this state or in another state or jurisdiction for violation of many customer protection law or regulation.

Duane Lock

President

A handwritten signature in black ink, consisting of a large, stylized 'D' followed by a smaller 'L' and a flourish.