



The Public Utilities Commission of Ohio

14

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Date Received	Case Number	Version
13-787	-EL-AGG	August 2004

CERTIFICATION APPLICATION FOR AGGREGATORS/POWER BROKERS

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit A-5 Experience). All attachments should bear the legal name of the Applicant. Applicants should file completed applications and all related correspondence with the Public Utilities Commission of Ohio, Docketing Division; 180 East Broad Street, Columbus, Ohio 43215-3793.

**This PDF form is designed so that you may input information directly onto the form.
You may also download the form, by saving it to your local disk, for later use.**

A. APPLICANT INFORMATION

A-1 Applicant's legal name, address, telephone number and web site address

Legal Name CrossLink Advisors LLC
Address 2711 Centerville Road Suite 400 Wilmington, Delaware 19808
Telephone # (888) 983-7050 Web site address (if any) www.crosslinkenergy.com

A-2 List name, address, telephone number and web site address under which Applicant will do business in Ohio

Legal Name CrossLink Advisors LLC
Address 50 West Broad Street suite 1800 Columbus, Ohio 43215
Telephone # (888) 983-7050 Web site address (if any) www.crosslinkenergy.com

A-3 List all names under which the applicant does business in North America

CrossLink Advisors LLC
Crosslink Energy Advisors

A-4 Contact person for regulatory or emergency matters

Name Barry Haubner
Title Executive Vice President

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This is to certify that the above information is an accurate and complete reproduction of a case file document delivered in the regular course of business.
Technician Am Date Processed 4/11/13

Business address P.O. Box 528, 9550 Maple Street, Clarence Center, NY 14032

Telephone # (888) 983-7050

Fax # (888) 983-7051

E-mail address (if any) barry@crosslinkenergy.com

A-5 Contact person for Commission Staff use in investigating customer complaints

Name Brendan Biddlecom

Title Co-Founder and CEO

Business address P.O. Box 528, 9550 Maple Street, Clarence Center, NY 14032

Telephone # (888) 983-7050

Fax # (888) 983-7051

E-mail address (if any) brendan@crosslinkenergy.com

A-6 Applicant's address and toll-free number for customer service and complaints

Customer Service address P.O. Box 528, Clarence Center, NY 14032

Toll-free Telephone # (888) 983-7050

Fax # (888) 983-7051

E-mail address (if any) _____

A-7 Applicant's federal employer identification number # 461421452

A-8 Applicant's form of ownership (check one)

☐ Sole Proprietorship

☐ Partnership

☐ Limited Liability Partnership (LLP)

☐ Limited Liability Company (LLC)

☐ Corporation

☐ Other _____

A-9 (Check all that apply) Identify each electric distribution utility certified territory in which the applicant intends to provide service, including identification of each customer class that the applicant intends to serve, for example, residential, small commercial, mercantile commercial, and industrial. (A mercantile customer, as defined in (A) (19) of Section 4928.01 of the Revised Code, is a commercial customer who consumes more than 700,000 kWh/year or is part of a national account in one or more states).

☐ First Energy

☐ Ohio Edison

☐ Toledo Edison

☐ Cleveland Electric Illuminating

☐ Cincinnati Gas & Electric

☐ Monongahela Power

☐ American Electric Power

☐ Ohio Power

☐ Columbus Southern Power

☐ Dayton Power and Light

☐ Residential

☐ Residential

☐ Residential

☐ Residential

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☐ Mercantile

☐ Mercantile

☐ Mercantile

☐ Mercantile

☐ Industrial

☐ Industrial

☐ Industrial

☐ Industrial

☐ Industrial

☐ Industrial

☐ Industrial

☐ Industrial

- A-10** Provide the approximate start date that the applicant proposes to begin delivering services

April 1, 2013

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

- A-11** **Exhibit A-11 "Principal Officers, Directors & Partners"** provide the names, titles, addresses and telephone numbers of the applicant's principal officers, directors, partners, or other similar officials.
- A-12** **Exhibit A-12 "Corporate Structure,"** provide a description of the applicant's corporate structure, including a graphical depiction of such structure, and a list of all affiliate and subsidiary companies that supply retail or wholesale electricity or natural gas to customers and companies that aggregate customers in North America.
- A-13** **Exhibit A-13 "Company History,"** provide a concise description of the applicant's company history and principal business interests.
- A-14** **Exhibit A-14 "Articles of Incorporation and Bylaws,"** if applicable, provide the articles of incorporation filed with the state or jurisdiction in which the Applicant is incorporated and any amendments thereto.
- A-15** **Exhibit A-15 "Secretary of State,"** provide evidence that the applicant has registered with the Ohio Secretary of the State.

B. APPLICANT MANAGERIAL CAPABILITY AND EXPERIENCE

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

- B-1** **Exhibit B-1 "Jurisdictions of Operation,"** provide a list of all jurisdictions in which the applicant or any affiliated interest of the applicant is, at the date of filing the application, certified, licensed, registered, or otherwise authorized to provide retail or wholesale electric services including aggregation services.
- B-2** **Exhibit B-2 "Experience & Plans,"** provide a description of the applicant's experience and plan for contracting with customers, providing contracted services, providing billing statements, and responding to customer inquiries and complaints in accordance with Commission rules adopted pursuant to Section 4928.10 of the Revised Code.

B-3 **Exhibit B-3 "Summary of Experience,"** provide a concise summary of the applicant's experience in providing aggregation service(s) including contracting with customers to combine electric load and representing customers in the purchase of retail electric services. (e.g. number and types of customers served, utility service areas, amount of load, etc.).

B-4 **Exhibit B-4 "Disclosure of Liabilities and Investigations,"** provide a description of all existing, pending or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or any other matter that could adversely impact the applicant's financial or operational status or ability to provide the services it is seeking to be certified to provide.

B-5 Disclose whether the applicant, a predecessor of the applicant, or any principal officer of the applicant have ever been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years.

☒ No ☐ Yes

If yes, provide a separate attachment labeled as **Exhibit B-5 "Disclosure of Consumer Protection Violations"** detailing such violation(s) and providing all relevant documents.

B-6 Disclose whether the applicant or a predecessor of the applicant has had any certification, license, or application to provide retail or wholesale electric service including aggregation service denied, curtailed, suspended, revoked, or cancelled within the past two years.

☒ No ☐ Yes

If yes, provide a separate attachment labeled as **Exhibit B-6 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation"** detailing such action(s) and providing all relevant documents.

C. APPLICANT FINANCIAL CAPABILITY AND EXPERIENCE

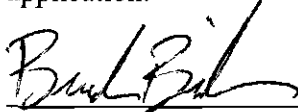
PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

C-1 **Exhibit C-1 "Annual Reports,"** provide the two most recent Annual Reports to Shareholders. If applicant does not have annual reports, the applicant should provide similar information in Exhibit C-1 or indicate that Exhibit C-1 is not applicable and why.

C-2 **Exhibit C-2 "SEC Filings,"** provide the most recent 10-K/8-K Filings with the SEC. If applicant does not have such filings, it may submit those of its parent company. If the applicant does not have such filings, then the applicant may indicate in Exhibit C-2 that the applicant is not required to file with the SEC and why.

- C-3 Exhibit C-3 “Financial Statements,”** provide copies of the applicant’s two most recent years of audited financial statements (balance sheet, income statement, and cash flow statement). If audited financial statements are not available, provide officer certified financial statements. If the applicant has not been in business long enough to satisfy this requirement, it shall file audited or officer certified financial statements covering the life of the business.
- C-4 Exhibit C-4 “Financial Arrangements,”** provide copies of the applicant's financial arrangements to conduct CRES as a business activity (e.g., guarantees, bank commitments, contractual arrangements, credit agreements, etc.,).
- C-5 Exhibit C-5 “Forecasted Financial Statements,”** provide two years of forecasted financial statements (balance sheet, income statement, and cash flow statement) for the applicant’s CRES operation, along with a list of assumptions, and the name, address, e-mail address, and telephone number of the preparer.
- C-6 Exhibit C-6 “Credit Rating,”** provide a statement disclosing the applicant’s credit rating as reported by two of the following organizations: Duff & Phelps, Dun and Bradstreet Information Services, Fitch IBCA, Moody’s Investors Service, Standard & Poors, or a similar organization. In instances where an applicant does not have its own credit ratings, it may substitute the credit ratings of a parent or affiliate organization, provided the applicant submits a statement signed by a principal officer of the applicant’s parent or affiliate organization that guarantees the obligations of the applicant.
- C-7 Exhibit C-7 “Credit Report,”** provide a copy of the applicant’s credit report from Experian, Dun and Bradstreet or a similar organization.
- C-8 Exhibit C-8 “Bankruptcy Information,”** provide a list and description of any reorganizations, protection from creditors or any other form of bankruptcy filings made by the applicant, a parent or affiliate organization that guarantees the obligations of the applicant or any officer of the applicant in the current year or within the two most recent years preceding the application.

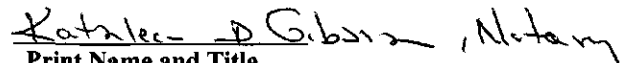
C-9 **Exhibit C-9 "Merger Information,"** provide a statement describing any dissolution or merger or acquisition of the applicant within the five most recent years preceding the application.



Signature of Applicant & Title

Sworn and subscribed before me this 30 day of Mar, 2013
Month Year


Signature of official administering oath


Print Name and Title

My commission expires on 6-24-2015

KATHLEEN A GIBSON
Notary Public - State of New York
No. 01GI4983385
Qualified in Niagara County
My Commission Expires June 24, 2015

EXHIBIT A-11 “Principal Officers, Directors & Partners”

Guy H. Morgan

Co-Founder and Chairman of the Board

15957 Spyglass Hill Loop

Gainesville, VA 20155

312-890-3460

Brendan Biddlecom

Co-Founder and CEO

P.O. Box 203

Clarence Center, NY 14032

716-777-1804

EXHIBIT A-12 “Corporate Structure”

Exhibit A-12 “Corporate Structure”

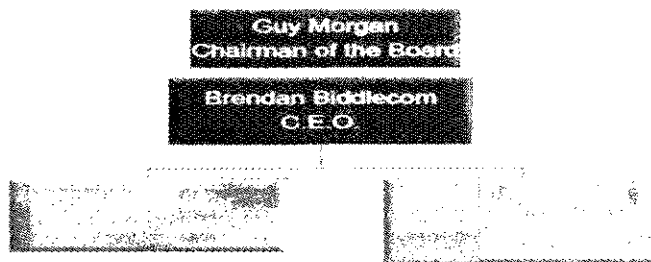


EXHIBIT A-13 “Company History”

CrossLink Advisors LLC is a new limited liability company which was formed in the state of Delaware on November 15, 2012. The applicant will be involved in the procurement or sale of energy by offering reduced cost energy supply to commercial customers.

EXHIBIT A-14 “Articles of Incorporation and Bylaws”

The applicant does not have any.

EXHIBIT A-15
"SECRETARY OF STATE"

201301500839

DATE 01/16/2013	DOCUMENT ID 201301500839	DESCRIPTION REGISTRATION OF FOREIGN FOR PROFIT LLC (LFP)	FILING 125.00	EXPED .00	PENALTY .00	CERT .00	COPY .00
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Receipt

This is not a bill. Please do not remit payment.

CROSSLINK ADVISORS LLC
DENISE WATERS
55 E. MONROE SUITE 3440
CHICAGO, IL 60477

**STATE OF OHIO
CERTIFICATE**

Ohio Secretary of State, Jon Husted

2165561

It is hereby certified that the Secretary of State of Ohio has custody of the business records for

CROSSLINK ADVISORS LLC

and, that said business records show the filing and recording of:

Document(s):

REGISTRATION OF FOREIGN FOR PROFIT LLC

Document No(s):

201301500839



United States of America
State of Ohio
Office of the Secretary of State

Witness my hand and the seal of the
Secretary of State at Columbus, Ohio this
14th day of January, A.D. 2013.

Jon Husted

Ohio Secretary of State

EXHIBIT B-1 "Jurisdiction of Operation"

Illinois licensed as Agent, Broker and Consultant; Case Number 12-0646

Maryland licensed to supply electricity broker services to commercial and industrial customers. License Reference No.: IR-2902

EXHIBIT B-2 "Experience & Plans"

Applicant will not take title to electricity, but instead plans only to act as a broker for electricity service. Thus, once customers have signed up with a particular electricity provider, all contracting with customers, billing statements and responding to customer inquiries and complaints will be handled by the electricity provider, not Applicant.

EXHIBIT B-3 "Summary of Experience"

Guy Morgan is an entrepreneur with a track record of creating and building successful companies.

Most recently, Guy founded and led BlueStar Energy from a small, two person operation to one of the most successful retail energy companies in North America. In 2008, BlueStar was recognized as the #2 fastest growing company in the US by Entrepreneur® magazine. The company was a mainstay on Inc.® magazine's Inc. 5000® list from 2008 through 2012, when BlueStar was acquired by American Electric Power (NYSE:AEP).

In addition to receiving numerous awards for its rapid growth, BlueStar was consistently recognized for its contributions to the industry, particularly in the area of innovation.

Mr. Morgan was selected as the Ernst & Young Midwest Entrepreneur of the Year® for 2011. He is also a member of the Ernst & Young Entrepreneur of the Year® Hall of Fame.

Through his current firm, Blue Creek Capital, Guy invests in early stage companies with strong leadership teams that have demonstrated the ability to deliver profitable growth.

Mr. Morgan holds a BS in Finance from the University of Maryland. He earned an MBA degree jointly conferred by: The London School of Economics and Political Science, École des Hautes Études Commerciales de Paris (HEC Paris) and the Stern School of Business at New York University. He is a graduate of the Advanced Management Program at the Harvard Business School and is also a graduate of the US Naval Nuclear Power School.

While Guy served as CEO of BlueStar Energy Services, Inc. from 2002 to 2012, BlueStar served thousands of commercial, industrial, and residential customers, primarily in Illinois but also in several other states.

EXHIBIT B-4 "Disclosure of Liabilities and Investigations"

The applicant has no past liabilities or investigations.

EXHIBIT C-1 “Annual Reports”

The applicant does not have any annual reports. The applicant is a LLC and does not file an annual report.

EXHIBIT C-2 “SEC Filings”

The applicant does not have any SEC filings. The applicant is not required to file SEC filings.

EXHIBIT C-3 “Financial Statements”

The applicant is a new LLC and does not have any financial statements. The paperwork sent to the Ohio Secretary of State’s office to do business in Ohio is also attached as Exhibit C-3.

EXHIBIT C-4 “ Financial Arrangements”

The applicant is acting as a broker only and is not taking title.

EXHIBIT C-5 “Forecasted Financial Statements”

The applicant has attached as EXHIBIT C-5 the two years of forecasted income statements and balance sheets.

EXHIBIT C-6 “Credit Rating”

The applicant does not have a credit rating report.

EXHIBIT C-7 “Credit Report”

The applicant does not have a credit report.

EXHIBIT C-8 “Bankruptcy Information”

The applicant has not filed for bankruptcy or any other reorganization.

EXHIBIT C-9 “Merger Information”

The applicant does not have any dissolutions or mergers or acquisitions in the past five years.

Exhibit C-5 "Forecasted Financial Statements"

Balance Sheet

CrossLink Energy Advisors

Row #		2013	2014
7	Current Assets		
8	Cash	\$ (413,304)	\$ 3,233,553
9	Accounts Receivable	-	-
10	Inventory	-	-
11	Total Current Assets	<u>(413,304)</u>	<u>3,233,553</u>
12			
13	Fixed Assets		
14	Property and Equipment, Total	-	-
15	Less Accumulated Depreciation	-	-
16	Fixed Assets, Net	<u>-</u>	<u>-</u>
17			
18	Other Assets		
19	Intangibles	-	-
20	Less Amortization	-	-
21	Total Other Assets	<u>-</u>	<u>-</u>
22			
23	Total Assets	<u>\$ (413,304)</u>	<u>\$ 3,233,553</u>
24			
25	Current Liabilities		
26	Accounts Payable	\$ -	\$ -
27	Bonus Accruals	237,833	421,200
28	Total Current Liabilities	<u>237,833</u>	<u>421,200</u>
29			
30	Long Term Liabilities		
31		-	-
32	Total Long Term Liabilities	<u>-</u>	<u>-</u>
33			
34	Equity		
35	Common Stock	-	-
36	Retained Earnings	(801,138)	2,662,353
37	Total Equity	<u>(801,138)</u>	<u>2,662,353</u>
38			
39	Total Liabilities and Equity	<u>\$ (563,304)</u>	<u>\$ 3,083,553</u>

Exhibit C-5 "Forecasted Financial Statements"

Income Statement

CrossLink Energy Advisors

Row #		2013	2014
7	Revenue		
8	Energy Procurement	\$ 388,500	\$ 5,071,500
9	DR Bidding	18,000	72,000
10	Wholesale Scheduling	-	480,000
11		-	-
12		-	-
13	Total Revenue	406,500	5,623,500
19	Total Direct Costs	-	-
20	Gross Margin	406,500	5,623,500
21	Operating Expenses		
40	Total Sales and Marketing Expenses	398,850	823,684
65	Total G&A Expenses	808,788	1,336,326
66	Total Operating Expenses	1,207,638	2,160,010
67	Operating Income (Loss)	(801,138)	3,463,490
71	Total Other Income	-	-
72	Pre-Tax Profit (Loss)	(801,138)	3,463,490
73	Income Taxes	-	-
74	Net Income (Loss)	(801,138)	3,463,490
75			
76	EBITDA (Loss)	\$ (801,138)	\$ 3,463,490
78	Total Revenue	100.0%	100.0%
79	Total Direct Costs	0.0%	0.0%
80	Gross Margin	100.0%	100.0%
81	Total Sales and Marketing Expenses	98.1%	14.6%
82	Total G&A Expenses	199.0%	23.8%
83	Total Operating Expenses	297.1%	38.4%
84	Operating Income (Loss)	-197.1%	61.6%
85	Total Other Income	0.0%	0.0%
86	Income Taxes	0.0%	0.0%
87	Net Income (Loss)	-197.1%	61.6%
88			
89	EBITDA (Loss)	-197.1%	61.6%

AFFIDAVIT

State of New York :

Williamsville ss.
(Town)

County of Erie :

Brendan Biddlecom, Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/She is the C.E.O. (Office of Affiant) of Crosslink Advisors LLC (Name of Applicant);

That he/she is authorized to and does make this affidavit for said Applicant,

1. The Applicant herein, attests under penalty of false statement that all statements made in the application for certification are true and complete and that it will amend its application while the application is pending if any substantial changes occur regarding the information provided in the application.
2. The Applicant herein, attests it will timely file an annual report with the Public Utilities Commission of Ohio of its intrastate gross receipts, gross earnings, and sales of kilowatt-hours of electricity pursuant to Division (A) of Section 4905.10, Division (A) of Section 4911.18, and Division (F) of Section 4928.06 of the Revised Code.
3. The Applicant herein, attests that it will timely pay any assessments made pursuant to Sections 4905.10, 4911.18, or Division F of Section 4928.06 of the Revised Code.
4. The Applicant herein, attests that it will comply with all Public Utilities Commission of Ohio rules or orders as adopted pursuant to Chapter 4928 of the Revised Code.
5. The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, and its Staff on any utility matter including the investigation of any consumer complaint regarding any service offered or provided by the Applicant.
6. The Applicant herein, attests that it will fully comply with Section 4928.09 of the Revised Code regarding consent to the jurisdiction of Ohio Courts and the service of process.
7. The Applicant herein, attests that it will comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
8. The Applicant herein, attests that it will use its best efforts to verify that any entity with whom it has a contractual relationship to purchase power is in compliance with all applicable licensing requirements of the Federal Energy Regulatory Commission and the Public Utilities Commission of Ohio.
9. The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, the electric distribution companies, the regional transmission entities, and other electric suppliers in the event of an emergency condition that may jeopardize the safety and reliability of the electric service in accordance with the emergency plans and other procedures as may be determined appropriate by the Commission.
10. If applicable to the service(s) the Applicant will provide, the Applicant herein, attests that it will adhere to the reliability standards of (1) the North American Electric Reliability Council (NERC), (2) the appropriate regional reliability council(s), and (3) the Public Utilities Commission of Ohio. (Only applicable if pertains to the services the Applicant is offering)

11. The Applicant herein, attests that it will inform the Commission of any material change to the information supplied in the application within 30 days of such material change, including any change in contact person for regulatory purposes or contact person for Staff use in investigating customer complaints.

That the facts above set forth are true and correct to the best of his/her knowledge, information, and belief and that he/she expects said Applicant to be able to prove the same at any hearing hereof.

Bul Bil

Signature of Affiant & Title

Sworn and subscribed before me this 20 day of March 2013
Month Year

Kathleen Gibson
Signature of official administering oath

Kathleen Gibson Notary
Print Name and Title

My commission expires on 6-24-2015

KATHLEEN A GIBSON
Notary Public - State of New York
No. 0104583225
Qualified in Niagara County
My Commission Expires June 24, 2015