

FILE



The Public Utilities Commission of Ohio

PUCO USE ONLY

Date Received	Case Number	Version
10-8-2014	14-1789-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 Aaron JohannAddress 8838 Chateau DriveTelephone # 614-452-1602Web site address (if any) peak5advisors.com

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

Legal Name Peak 5 Advisors, LLCAddress 8838 Chateau Drive, Pickerington, OH 43147 and 1900 Polaris Parkway, Suite 450, Columbus, OH 43240Telephone # 614-452-1602Web site address (if any) peak5advisors.com

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

Peak 5 Advisors, LLC

A-4 Contact person for regulatory or emergency matters

Name Aaron JohannTitle Managing Partner/ Co-Owner

This is to certify that the images appearing are an accurate and complete reproduction of a case file document delivered in the regular course of business.
Technician AN Date Processed OCT 08 2014

RECEIVED-DOCKETING DIV
2014 OCT -8 PM 12:04

PUCO

Business address 8838 Chateau Drive, Pickerington, OH 43147

Telephone # 614-452-1602

Fax # 614-489-6388

E-mail address (if any) a.johann@peak5advisors.com

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

Name Ben Ramnytz

Title Vice-President

Business address 1900 Polaris Parkway, Suite 450

Telephone # 330-573-5400

Fax # _____

E-mail address (if any) ben.ramnytz@peak5advisors.com

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

Customer Service address 1900 Polaris Parkway, Suite 450

Toll-free Telephone # 800-615-3221

Fax # _____

E-mail address (if any) info@peak5advisors.com

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

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

☐ Duke Energy

☐ Monongahela Power

☐ American Electric Power

☐ Ohio Power

☐ Columbus Southern Power

☐ Dayton Power and Light

☐ Residential

☐ Residential

☐ Residential

☐ Residential

☐ Residential

☐ Residential

☐ Residential

☐ Residential

☐ Residential

☐ Commercial

☐ Commercial

☐ Commercial

☐ Commercial

☐ Commercial

☐ Commercial

☐ Commercial

☐ Commercial

☐ Commercial

☐ Mercantile

☐ Mercantile

☐ Mercantile

☐ Mercantile

☐ Mercantile

☐ Mercantile

☐ Mercantile

☐ Mercantile

☐ Mercantile

☐ Industrial

☐ Industrial

☐ Industrial

☐ Industrial

☐ Industrial

☐ Industrial

☐ Industrial

☐ Industrial

☐ Industrial

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

November 1, 2014

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 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 Experion, 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.

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.

[Signature] - Owner / President
Signature of Affiant & Title

Sworn and subscribed before me this 7 day of October, 2014
Month Year

[Signature]
Signature of official administering oath

Kimberly N Saunders - Notary Public
Print Name and Title



KIMBERLY N. SAUNDERS
Notary Public, State of Ohio
My commission expires on April 17, 2017
My Comm. Expires April 17, 2017

AFFIDAVIT

State of Ohio :

Columbus ss.
(Town)

County of Franklin :


Aaron Johann, Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/She is the Owner (Office of Affiant) of Peak 5 Advisors (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)

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 7 day of October, 2014
Month Year



Signature of official administering oath

Kimberly N. Saunders, Notary Public

Print Name and Title



KIMBERLY N. SAUNDERS
Notary Public, State of Ohio
My commission expires on April 17, 2017
My Comm. Expires April 17, 2017

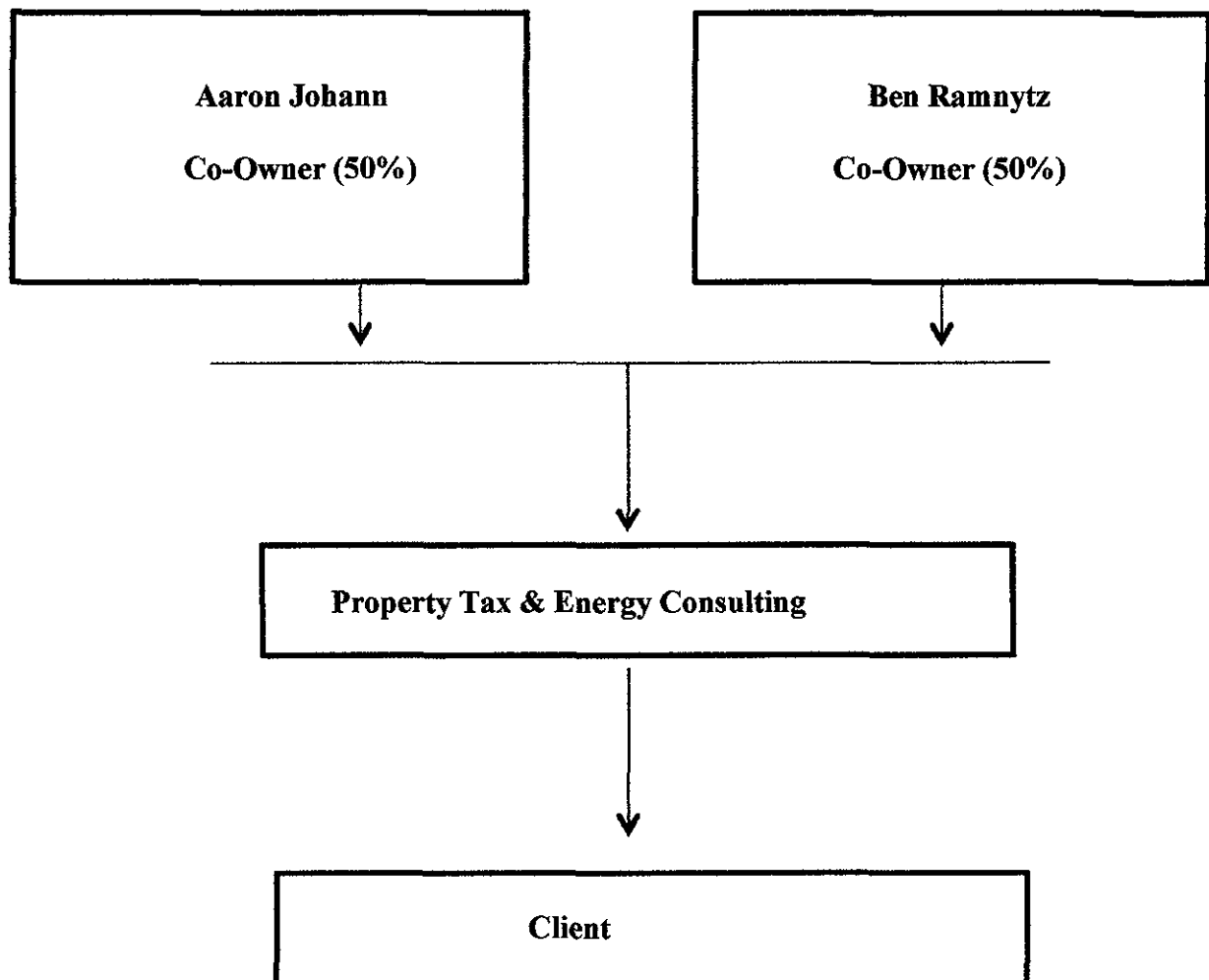
Section A – Exhibits and Attachments

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.

Aaron Johann
Managing Partner
8838 Chateau Drive, Pickerington, OH 43147
614-452-1602

Benjamin Ramnytz
Managing Partner
5504 State Road, Wadsworth, OH 44281
330-573-5400

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.



We are not affiliated with any other companies. Ben Ramnytz and Aaron Johann handle all property tax and energy related matters directly with clients.

A-13 Exhibit A-13 "Company History," provide a concise description of the applicant's company history and principal business interests.

Peak 5 Advisors is a new company formed in 2013. The company was formed from a larger property tax firm. The company's primary focus is real estate operating expense consulting and mitigation. The two largest real estate operating expenses are taxes and energy. We seek to provide services to our clients in both areas. We've worked with over a quarter of a billion dollars of commercial real estate handling tax and energy matters in 2014.

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.

Attached.



DATE:	DOCUMENT ID	DESCRIPTION	FILING	EXPED	PENALTY	CERT	COPY
12/08/2013	201333901903	ARTICLES OF ORGNZTN/DOM. PROFIT LIM.LIAB. CO. (LCP)	125.00	.00		.00	.00

Receipt

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

PEAK 5 ADVISORS LLC
ATTN: AARON JOHANN
8838 CHATEAU DRIVE
PICKERINGTON, OH 43147

STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Jon Husted**2251049**

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

PEAK 5 ADVISORS LLC

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

Document(s)

ARTICLES OF ORGNZTN/DOM. PROFIT LIM.LIAB. CO.

Document No(s):

201333901903**Effective Date: 12/04/2013**

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 6th day of December,
A.D. 2013.

Ohio Secretary of State



Form 533A Prescribed by:
Ohio Secretary of State

JON HUSTED
Ohio Secretary of State

Central Ohio: (614) 466-3910
Toll Free: (877) SOS-FILE (767-3453)
www.OhioSecretaryofState.gov
Busserv@OhioSecretaryofState.gov

Mail this form to one of the following:

Regular Filing (non expedite)
P.O. Box 670
Columbus, OH 43216

Expedite Filing (Two-business day processing
time requires an additional \$100.00).
P.O. Box 1390
Columbus, OH 43216

Articles of Organization for a Domestic Limited Liability Company

Filing Fee: \$125

CHECK ONLY ONE (1) BOX

(1) ☒ Articles of Organization for Domestic
For-Profit Limited Liability Company
(115-LCA)

(2) ☐ Articles of Organization for Domestic
Nonprofit Limited Liability Company
(115-LCA)

Name of Limited Liability Company Peak 5 Advisors LLC

Name must include one of the following words or abbreviations: "limited liability company," "limited," "LLC," "L.L.C.," "Ltd.," or "Ltd."

Effective Date
(Optional)

mm/dd/yyyy

(The legal existence of the limited liability company begins upon the filing
of the articles or on a later date specified that is not more than ninety days
after filing)

This limited liability company shall exist for
(Optional)

Period of Existence

Purpose
(Optional)

**Note for Nonprofit LLCs

The Secretary of State does not grant tax exempt status. Filing with our office is not sufficient to obtain state or federal tax exemptions. Contact the Ohio Department of Taxation and the Internal Revenue Service to ensure that the nonprofit limited liability company secures the proper state and federal tax exemptions. These agencies may require that a purpose clause be provided.

ORIGINAL APPOINTMENT OF AGENT

The undersigned authorized member(s), manager(s) or representative(s) of

Peak 5 Advisors LLC

Name of Limited Liability Company

hereby appoint the following to be Statutory Agent upon whom any process, notice or demand required or permitted by statute to be served upon the limited liability company may be served. The name and address of the agent is

Aaron Johann

Name of Agent

8638 Chateau Drive

Mailing Address

Pickerington

City

Ohio

State

43147

ZIP Code

ACCEPTANCE OF APPOINTMENT

The undersigned, Aaron Johann named herein as the statutory agent

Statutory Agent Name

for Peak 5 Advisors LLC

Name of Limited Liability Company

hereby acknowledges and accepts the appointment of agent for said limited liability company

Statutory Agent Signature

Individual Agent's Signature / Signature on Behalf of Corporate Agent

☐ If the agent is an individual and using a P.O. Box, check this box to confirm that the agent is an Ohio resident.

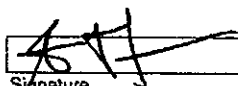
By signing and submitting this form to the Ohio Secretary of State, the undersigned hereby certifies that he or she has the requisite authority to execute this document.

Required

Articles and original appointment of agent must be signed by a member, manager or other representative.

If authorized representative is an individual, then they must sign in the "signature" box and print their name in the "Print Name" box.

If authorized representative is a business entity, not an individual, then please print the business name in the "signature" box, an authorized representative of the business entity must sign in the "By" box and print their name in the "Print Name" box.


Signature

By (if applicable)

Aaron Johann
Print Name

Signature

By (if applicable)

Print Name

Signature

By (if applicable)

Print Name

A-15 Exhibit A-15 "Secretary of State," provide evidence that the applicant has registered with the Ohio Secretary of the State.

Corporation Details	
Entity Number	2251049
Business Name	PEAK 5 ADVISORS LLC
Filing Type	DOMESTIC LIMITED LIABILITY COMPANY
Status	Active
Original Filing Date	12/04/2013
Expiry Date	
Location:	County: State:

Agent / Registrant Information		
AARON JOHANN 8838 CHATEAU DRIVE PICKERINGTON, OH 43147 Effective Date: 12/04/2013 Contact Status: Active		
Incorporator Information		
AARON JOHANN		
Filings		
Filing Type	Date of Filing	Document Number/Image
ARTICLES OF ORGNZTN/DOM. PROFIT LIM.LIAB. CO.	12/04/2013	201333901903

This is directly from the Ohio Secretary of State Website.

Section B – Exhibits and Attachments

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.

At this time, we are not currently licensed, certified, registered, or authorized to provide retail or wholesale electric services in any jurisdiction.

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.

Our primary business involves mitigating companies operating expenses. The two largest operating expenses are property tax and energy costs. We plan to offer both services to our clients when applicable. We currently service over \$250,000,000 in commercial property for property tax and valuation services. Our plan is to discuss electricity procurement along with our tax service for a comprehensive cost reduction and advisory service.

As the owners, we both have experience with natural gas and electricity pricing. We also have extensive experience in the markets (former hedge fund pricing analyst). We have serviced clients in both natural gas and electricity procurement areas in the past.

Ben Ramnytz and Aaron Johann will handle the energy matters. We will not bill our clients for energy procurement services. All of our customers have our cell and office phone numbers for customer inquiries. Any complaints will be handled by us, the owners. We will disclose the following to our clients:

- 1. Adequate, accurate and understandable pricing and contract terms.**
- 2. Identification of the supplier.**
- 3. Conditions under which a customer can rescind the contract without penalty.**
- 4. Service termination terms.**

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.).

Peak 5 Advisors has provided electricity and natural gas consulting for about a year. We currently work with only one company who was just purchased. Our main focus is keeping our clients advised on electricity prices. We have brokered deals in AEP, Ohio Edison and Cleveland Illuminating areas.

Our clients include office, multi-family, healthcare, industrial and retail facilities.

Our current electricity load that we have broker is around 5,000,000 kWh.

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.

This is not applicable. There are no Liabilites nor Investigations.

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

NO

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

NO

Section C – Exhibits and Attachments

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.

Exhibit C-1 is not applicable. We are a private 2 member LLC who does not have shareholders neither do we have employees.

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.

We are a private LLC/ 2-person partnership. We are not required to file with the SEC.

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.

We have only been in business for about a year. I have provided most recent years financial statements. These are officer certified. We do not have a cash flow statement.

Income Statement - Trailing 12 month

Revenue

Consulting	\$ 107,140.00
Energy Brokering	\$ 12,121.00
Total Revenue	\$ 119,261.00

Operating Expenses

Subscription expense	\$ 2,171
Office expense	\$ 3,100
Supplies expense	\$ 8,000
Insurance expense	\$ 1,200
Total Operating Expense	\$ 14,471.00

Net Income	\$ 104,790.00
-------------------	----------------------

Balance Sheet - As of 10/6/2014

Assets		Liabilities & Equity	
Current Assets		Liabilities	
Cash	\$ 27,000	Accounts Payable	\$ 18,000
Accounts Rec	\$ 1,000		
Fixed Assets		Owner's Equity	
Equipment	\$ 2,100	Equity	\$ 12,100
Total	\$ 30,100	Total	\$ 30,100

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.,).

We are not attempting to be a CRES supplier just a broker. We do not have any financial arrangements.

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, email-address, and telephone number of the preparer.

Attached. Again we do not have a cash flow statement. Please note these are our business forecasted financial statements including property tax consulting fees.

Preparer of forecasted financial statements:

**Aaron Johann
8838 Chateau Drive, Pickerington, OH 43147
a.johann@peak5advisors.com
614-452-1602**

Income Statement - 2015 Projection

Revenue	
Consulting	\$ 214,280.00
Energy Brokering	\$ 24,242.00
Total Revenue	\$ 238,522.00
Operating Expenses	
Subscription expense	\$ 4,342
Office expense	\$ 9,300
Supplies expense	\$ 20,000
Insurance expense	\$ 1,200
Total Operating Expense	\$ 34,842.00
Net Income	\$ 203,680.00

Income Statement - 2016 Projection

Revenue	
Consulting	\$ 321,420.00
Energy Brokering	\$ 36,363.00
Total Revenue	\$ 357,783.00
Operating Expenses	
Subscription expense	\$ 6,513
Office expense	\$ 13,950
Supplies expense	\$ 30,000
Insurance expense	\$ 1,800
Total Operating Expense	\$ 52,263.00
Net Income	\$ 305,520.00

Balance Sheet - 2015 Projection

Assets		Liabilities & Equity	
Current Assets		Liabilities	
Cash	\$ 54,000	Accounts Payable	\$ 36,000
Accounts Rec	\$ 2,000		
Fixed Assets		Owner's Equity	
Equipment	\$ 4,200	Equity	\$ 24,200
Total	\$ 60,200	Total	\$ 60,200

Balance Sheet - 2016 Projection

Assets		Liabilities & Equity	
Current Assets		Liabilities	
Cash	\$ 81,000	Accounts Payable	\$ 54,000
Accounts Rec	\$ 3,000		
Fixed Assets		Owner's Equity	
Equipment	\$ 6,300	Equity	\$ 36,300
Total	\$ 90,300	Total	\$ 90,300

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.

We are a newer company. We do not have a credit rating.

C-7 Exhibit C-7 "Credit Report," provide a copy of the applicant's credit report from Experion, Dun and Bradstreet or a similar organization.

We are a newer company. We do not have a credit report.

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.

NONE.

Date of this notice: 12-06-2013

Employer Identification Number:
46-4249472

Form: SS-4

Number of this notice: CP 575 B

PEAK 5 ADVISORS LLC
AARON JOHANN MBR
8838 CHATEAU DR
PICKERINGTON, OH 43147

For assistance you may call us at:
1-800-829-4933

IF YOU WRITE, ATTACH THE
STUB AT THE END OF THIS NOTICE.

WE ASSIGNED YOU AN EMPLOYER IDENTIFICATION NUMBER

Thank you for applying for an Employer Identification Number (EIN). We assigned you EIN 46-4249472. This EIN will identify you, your business accounts, tax returns, and documents, even if you have no employees. Please keep this notice in your permanent records.

When filing tax documents, payments, and related correspondence, it is very important that you use your EIN and complete name and address exactly as shown above. Any variation may cause a delay in processing, result in incorrect information in your account, or even cause you to be assigned more than one EIN. If the information is not correct as shown above, please make the correction using the attached tear off stub and return it to us.

Based on the information received from you or your representative, you must file the following form(s) by the date(s) shown.

Form 1065

04/15/2014

If you have questions about the form(s) or the due date(s) shown, you can call us at the phone number or write to us at the address shown at the top of this notice. If you need help in determining your annual accounting period (tax year), see Publication 538, *Accounting Periods and Methods*.

We assigned you a tax classification based on information obtained from you or your representative. It is not a legal determination of your tax classification, and is not binding on the IRS. If you want a legal determination of your tax classification, you may request a private letter ruling from the IRS under the guidelines in Revenue Procedure 2004-1, 2004-1 I.R.B. 1 (or superseding Revenue Procedure for the year at issue). Note: Certain tax classification elections can be requested by filing Form 8832, *Entity Classification Election*. See Form 8832 and its instructions for additional information.

A limited liability company (LLC) may file Form 8832, *Entity Classification Election*, and elect to be classified as an association taxable as a corporation. If the LLC is eligible to be treated as a corporation that meets certain tests and it will be electing S corporation status, it must timely file Form 2553, *Election by a Small Business Corporation*. The LLC will be treated as a corporation as of the effective date of the S corporation election and does not need to file Form 8832.

To obtain tax forms and publications, including those referenced in this notice, visit our Web site at www.irs.gov. If you do not have access to the Internet, call 1-800-829-3676 (TTY/TDD 1-800-829-4059) or visit your local IRS office.

IMPORTANT REMINDERS:

- * **Keep a copy of this notice in your permanent records. This notice is issued only one time and the IRS will not be able to generate a duplicate copy for you. You may give a copy of this document to anyone asking for proof of your EIN.**
- * Use this EIN and your name exactly as they appear at the top of this notice on all your federal tax forms.
- * Refer to this EIN on your tax-related correspondence and documents.

If you have questions about your EIN, you can call us at the phone number or write to us at the address shown at the top of this notice. If you write, please tear off the stub at the bottom of this notice and send it along with your letter. If you do not need to write us, do not complete and return the stub.

Your name control associated with this EIN is PEAK. You will need to provide this information, along with your EIN, if you file your returns electronically.

Thank you for your cooperation.

Keep this part for your records.

CP 575 B (Rev. 7-2007)

Return this part with any correspondence
so we may identify your account. Please
correct any errors in your name or address.

CP 575 B

999999999999

Your Telephone Number Best Time to Call
() -

DATE OF THIS NOTICE: 12-06-2013
EMPLOYER IDENTIFICATION NUMBER: 46-4249472
FORM: SS-4 NOBOD

INTERNAL REVENUE SERVICE
CINCINNATI OH 45999-0023

PEAK 5 ADVISORS LLC
AARON JOHANN MBR
8838 CHATEAU DR
PICKERINGTON, OH 43147