

FILE

13-532-EL-AGG 4

NORTHEAST  
ENERGY ADVISORS



To: PUCO

Fr: NorthEast Energy Advisors

Re: Certification status

We recently became aware of the differentiation of Power Broker and Aggregator status in Ohio. While we have been an active market participant as a Power Broker, we have not been an aggregator. We would like to change our status to be only a Power Broker to more accurately reflect our true status.

We are sending in a new renewal application (that was suggested to us by PUCO personnel) in order to expedite the process. If there is anything else needed to complete this clarification, please let me know.

Sincerely,

Erich Landis

Partner

NorthEast Energy Advisors

412-389-7290

[elandis@northeastenergyadvisors.com](mailto:elandis@northeastenergyadvisors.com)

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## Public Utilities Commission

Original AGG Case Number	Version
13 - 532 -EL-AGG	May 2016

### RENEWAL APPLICATION FOR ELECTRIC AGGREGATORS/POWER BROKERS

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit C-10 Corporate Structure). 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. RENEWAL INFORMATION

##### A-1 Applicant intends to be certified as: (check all that apply)

☒ Power Broker ☐ Aggregator

##### A-2 Applicant's legal name, address, telephone number, PUCO certificate number, and web site address

Legal Name Northeast Energy Advisors, LLC  
Address 10900 Perry Highway, Suite 210, Wexford, PA 15090  
PUCO Certificate # and Date Certified 13-666E(1) - April 1, 2013  
Telephone # (412) 389-7290 Web site address (if any) www.northeastenergyadvisors.com

##### A-3 List name, address, telephone number and web site address under which Applicant will do business in Ohio

Legal Name Northeast Energy Advisors, LLC  
Address 10900 Perry Highway, Suite 210, Wexford, PA 15090  
Telephone # (412) 389-7290 Web site address (if any) www.northeastenergyadvisors.com

##### A-4 List all names under which the applicant does business in North America

Northeast Energy Advisors, LLC \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

##### A-5 Contact person for regulatory or emergency matters

Name Dave Mikula  
Title President  
Business address 10900 Perry Highway, Suite 210, Wexford, PA 15090  
Telephone # (412) 389-7290 Fax # (412) 202-4233  
E-mail address dmikula@northeastenergyadvisors.com

**A-6 Contact person for Commission Staff use in investigating customer complaints**

Name Erich Landis  
Title Vice President and Treasurer  
Business address 10900 Perry Highway, Suite 210, Wexford, PA 15090  
Telephone # (412) 389-7290 Fax # (412) 202-4223  
E-mail address elandis@northeastenergyadvisors.

**A-7 Applicant's address and toll-free number for customer service and complaints**

Customer Service address 10900 Perry Highway, Suite 210, Wexford, PA 15090  
Toll-free Telephone # (888) 998-0553 Fax # (412) 202-4233  
E-mail address elandis@northeastenergyadvisors.

**A-8 Applicant's federal employer identification number # 262092958**

**A-9 Applicant's form of ownership (check one)**

- |  |   |
|--|---|
| <input type="checkbox"/> Sole Proprietorship                 | <input type="checkbox"/> Partnership                                |
| <input type="checkbox"/> Limited Liability Partnership (LLP) | <input checked="" type="checkbox"/> Limited Liability Company (LLC) |
| <input type="checkbox"/> Corporation                         | <input type="checkbox"/> Other _____                                |

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

- A-10 Exhibit A-10 "Principal Officers, Directors & Partners"** provide the names, titles, addresses and telephone numbers of the applicant's principal officers, directors, partners, or other similar officials.

**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 "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-4** 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-4 "Disclosure of Consumer Protection Violations"** detailing such violation(s) and providing all relevant documents.

**B-5** 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-5 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation"** detailing such action(s) and providing all relevant documents.

## **C. 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. (This is generally only applicable to publicly traded companies who publish annual reports.)

**C-2** **Exhibit C-2 "SEC Filings,"** provide the most recent 10-K/8-K Filings with the SEC. If the applicant does not have such filings, it may submit those of its parent company. An applicant may submit a current link to the filings or provide them in paper form. 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.