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November 27, 2017

17-2426-GA-AGG

Public Utilities Commission of Ohio
Docketing Division, 13th Floor
180 East Broad Street
Columbus, Ohio 43215-3793.

Re: **Global Energy, LLC.**
Initial Certification Application Competitive Retail Natural Gas Brokers
Initial Certification Application for Electric Aggregators/ Power Brokers

To Whom It May Concern:

Enclosed please find an **Initial Certification Application Competitive Retail Natural Gas Brokers / Aggregators and Initial Certification Application for Electric Aggregators/ Power Brokers** for our client, **Global Energy, LLC**. Once the application has been processed, please forward evidence of approval to the mailing address on the application. If there is any issue, or if you require any further information, please do not hesitate to contact us.

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White Plains, NY 10601
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Public Utilities Commission

PUCO USE ONLY – Version 1.08 May 2016		
Date Received	Case Number	Certification Number
	17-2426 GA-AGG	

INITIAL CERTIFICATION APPLICATION COMPETITIVE RETAIL NATURAL GAS BROKERS /AGGREGATORS

Please **type or print** all required information. Identify all attachments with an exhibit label and title (*Example: Exhibit A-15 - Company History*). 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 directly input information onto the form. You may also download the form by saving it to your local disk.

SECTION A - APPLICANT INFORMATION AND SERVICES

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

☐ Retail Natural Gas Aggregator ☒ Retail Natural Gas Broker

A-2 Applicant information:

Legal Name Global Energy, LLC
Address 5 Penn Plaza 23rd Floor New York, NY 10001
Telephone No. 718-303-9630 Web site Address www.globalenergyllc.net

A-3 Applicant information under which applicant will do business in Ohio:

Name Global Energy Electric & Gas LLC
Address 5 Penn Plaza 23rd Floor New York, NY 10001
Web site Address www.globalenergyllc.net Telephone No. 718-303-9630

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

Global Energy, LLC NYC Clean Energy
Global Energy Electric & Gas LLC
Global Energy E&G LLC

A-5 Contact person for regulatory or emergency matters:

Name John Kim Title President
Business Address 5 Penn Plaza 23rd Floor New York, NY 10001
Telephone No. 718-303-9630 Fax No. 718-408-4923 Email Address jkim@globalenergyllc.net

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

Name John Kim Title President
Business address 5 Penn Plaza 23rd Floor New York, NY 10001
Telephone No. 718-303-9630 Fax No. 718-408-4923 Email Address jkim@globalenergyllc.net

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

Customer service address 5 Penn Plaza 23rd Floor New York, NY 10001
Toll-Free Telephone No. 800-385-7893 Fax No. 718-408-4923 Email Address ariemer@globalenergyllc.net

A-8 Provide "Proof of an Ohio Office and Employee," in accordance with Section 4929.22 of the Ohio Revised Code, by listing name, Ohio office address, telephone number, and Web site address of the designated Ohio Employee

Name InCorp Services, Inc. Title Agent
Business address 9435 Waterstone Boulevard Suite 140, Cincinnati, OH 45249
Telephone No. (702) 866-2689 Fax No. Email Address

A-9 Applicant's federal employer identification number 94-3484109

A-10 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 |

A-11 (Check all that apply) Identify each natural gas company service area in which the applicant is currently providing service or intends to provide service, including identification of each customer class that the applicant is currently serving or intends to serve, for example: *residential, small commercial, and/or large commercial/industrial (mercantile) customers*. (A mercantile customer, as defined in Section 4929.01(L)(1) of the Ohio Revised Code, means a customer that consumes, other than for residential use, more than 500,000 cubic feet of natural gas per year at a single location within the state or consumes natural gas, other than for residential use, as part of an undertaking having more than three locations within or outside of this state. In accordance with Section 4929.01(L)(2) of the Ohio Revised Code, "Mercantile customer" excludes a not-for-profit customer that consumes, other than for residential use, more than 500,000 cubic feet of natural gas per year at a single location within this state or consumes natural gas, other than for residential use, as part of an undertaking having more than three locations within or outside this state that has filed the necessary declaration with the Public Utilities Commission.)

<input checked="" type="checkbox"/> Columbia Gas of Ohio	<input type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/> Dominion East Ohio	<input type="checkbox"/> Residential	<input type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/> Duke Energy Ohio	<input type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/> Vectren Energy Delivery of Ohio	<input type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial

A-12 If applicant or an affiliated interest previously participated in any of Ohio's Natural Gas Choice Programs, for each service area and customer class, provide approximate start date(s) and/or end date(s) that the applicant began delivering and/or ended services.

☐ Columbia Gas of Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

☐ Dominion East Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

☐ Duke Energy Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

☐ Vectren Energy Delivery of Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

A-13 If not currently participating in any of Ohio's four Natural Gas Choice Programs, provide the approximate start date that the applicant proposes to begin delivering services:

<input checked="" type="checkbox"/>	Columbia Gas of Ohio	Intended Start Date	Upon Licensing
<input checked="" type="checkbox"/>	Dominion East Ohio	Intended Start Date	Upon Licensing
<input checked="" type="checkbox"/>	Duke Energy Ohio	Intended Start Date	Upon Licensing
<input checked="" type="checkbox"/>	Vectren Energy Delivery of Ohio	Intended Start Date	Upon Licensing

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

- A-14 **Exhibit A-14 "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-15 **Exhibit A-15 "Company History,"** provide a concise description of the applicant's company history and principal business interests.
- A-16 **Exhibit A-16 "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-17 **Exhibit A-17 "Secretary of State,"** provide evidence that the applicant is currently registered with the Ohio Secretary of the State.

SECTION 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 current 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 natural gas service, or retail/wholesale electric services.
- B-2 **Exhibit B-2 "Experience & Plans,"** provide a current 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 4929.22 of the Revised Code and contained in Chapter 4901:1-29 of the Ohio Administrative Code.
- B-3 **Exhibit B-3 "Summary of Experience,"** provide a concise and current summary of the applicant's experience in providing the service(s) for which it is seeking to be certified to provide (e.g., number and types of customers served, utility service areas, volume of gas supplied, etc.).
- B-4 **Exhibit B-4 "Disclosure of Liabilities and Investigations,"** provide a description of all existing, pending or past rulings, judgments, contingent liabilities, revocations 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 Exhibit B-5 "Disclosure of Consumer Protection Violations,"** disclose whether the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant has 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 Exhibit B-6 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation,"** disclose whether the applicant or a predecessor of the applicant has had any certification, license, or application to provide retail natural gas or retail/wholesale electric service denied, curtailed, suspended, or revoked, or whether the applicant or predecessor has been terminated from any of Ohio's Natural Gas Choice programs, or been in default for failure to deliver natural gas.

☒ 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.

SECTION 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 the applicant does not produce annual reports, the applicant should 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 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.
- 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. If the applicant does not have a balance sheet, income statement, and cash flow statement, the applicant may provide a copy of its two most recent years of tax returns (with social security numbers and account numbers redacted).

C-4 Exhibit C-4 “Financial Arrangements,” provide copies of the applicant's current financial arrangements to satisfy collateral requirements to conduct retail electric/gas business activity (e.g., parental or third party guarantees, contractual arrangements, credit agreements, etc.,).

Renewal applicants can fulfill the requirements of Exhibit C-4 by providing a current statement from an Ohio local distribution utility (LDU) that shows that the applicant meets the LDU's collateral requirements.

First time applicants or applicants whose certificate has expired as well as renewal applicants can meet the requirement by one of the following methods:

1. The applicant itself stating that it is investment grade rated by Moody's, Standard & Poor's or Fitch and provide evidence of rating from the rating agencies.
2. Have a parent company or third party that is investment grade rated by Moody's, Standard & Poor's or Fitch guarantee the financial obligations of the applicant to the LDU(s).
3. Have a parent company or third party that is not investment grade rated by Moody's, Standard & Poor's or Fitch but has substantial financial wherewithal in the opinion of the Staff reviewer to guarantee the financial obligations of the applicant to the LDU(s). The guarantor company's financials must be included in the application if the applicant is relying on this option.
4. Posting a Letter of Credit with the LDU(s) as the beneficiary.

If the applicant is not taking title to the electricity or natural gas, enter "N/A" in Exhibit C-4. An N/A response is only applicable for applicants seeking to be certified as an aggregator or broker.

C-5 Exhibit C-5 “Forecasted Financial Statements,” provide two years of forecasted income statements for the applicant's **NATURAL GAS related business activities in the state of Ohio Only**, along with a list of assumptions, and the name, address, email address, and telephone number of the preparer. The forecasts should be in an annualized format for the two years succeeding the Application year.

C-6 Exhibit C-6 “Credit Rating,” provide a statement disclosing the applicant's current credit rating as reported by two of the following organizations: Duff & Phelps, Fitch IBCA, Moody's Investors Service, Standard & Poor's, 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 an 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. If an applicant or its parent does not have such a credit rating, enter “N/A” in Exhibit C-6.

C-7 Exhibit C-7 “Credit Report,” provide a copy of the applicant's current credit report from Experion, Dun and Bradstreet, or a similar organization. An applicant that provides an investment grade credit rating for Exhibit C-6 may enter “N/A” for Exhibit C-7.

- 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 two most recent years preceding the application.
- C-10 Exhibit C-10 "Corporate Structure,"** provide a description of the applicant's corporate structure, not an internal organizational chart, 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 in North America. If the applicant is a stand-alone entity, then no graphical depiction is required and applicant may respond by stating that they are a stand-alone entity with no affiliate or subsidiary companies.

SECTION D – APPLICANT TECHNICAL CAPABILITY

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

- D-1 Exhibit D-1 "Operations,"** provide a current written description of the operational nature of the applicant's business functions.
- D-2 Exhibit D-2 "Operations Expertise,"** given the operational nature of the applicant's business, provide evidence of the applicant's current experience and technical expertise in performing such operations.
- D-3 Exhibit D-3 "Key Technical Personnel,"** provide the names, titles, email addresses, telephone numbers, and background of key personnel involved in the operational aspects of the applicant's current business.

Applicant Signature and Title

John Kim President

Sworn and subscribed before me this

26

day of

October

Month

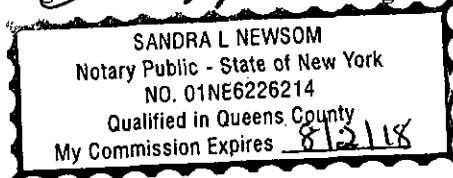
2017

Year

Signature of official administering oath

John Kim, President

Print Name and Title



My commission expires on

08/02/2018



The Public Utilities Commission of Ohio

Competitive Retail Natural Gas Service
Affidavit Form
(Version 1.07)

In the Matter of the Application of

Global Energy, LLC

for a Certificate or Renewal Certificate to Provide
Competitive Retail Natural Gas Service in Ohio.

Case No. - -GA-AGG

County of New York

State of New York

John Kim

[Affiant], being duly sworn/affirmed, hereby states that:

- (1) The information provided within the certification or certification renewal application and supporting information is complete, true, and accurate to the best knowledge of affiant.
- (2) The applicant will timely file an annual report of its intrastate gross receipts and sales of hundred cubic feet of natural gas pursuant to Sections 4905.10(A), 4911.18(A), and 4929.23(B), Ohio Revised Code.
- (3) The applicant will timely pay any assessment made pursuant to Section 4905.10 or Section 4911.18(A), Ohio Revised Code.
- (4) Applicant will comply with all applicable rules and orders adopted by the Public Utilities Commission of Ohio pursuant to Title 49, Ohio Revised Code.
- (5) Applicant will cooperate with the Public Utilities Commission of Ohio and its staff in the investigation of any consumer complaint regarding any service offered or provided by the applicant.
- (6) Applicant will comply with Section 4929.21, Ohio Revised Code, regarding consent to the jurisdiction of the Ohio courts and the service of process.
- (7) Applicant will inform the Public Utilities Commission of Ohio of any material change to the information supplied in the certification or certification renewal application within 30 days of such material change, including any change in contact person for regulatory or emergency purposes or contact person for Staff use in investigating customer complaints.
- (8) Affiant further sayeth naught.

Affiant Signature & Title

John Kim President

Sworn and subscribed before me this

26

day of

October

Month

2017

Year

[Signature]

Signature of Official Administering Oath

John Kim, President

Print Name and Title

SANDRA L. NEWSOM
Notary Public - State of New York
NO. 01NE6226214
Qualified in Queens County
My Commission Expires 8/24/18

My commission expires on

08/02/2018

Exhibit A-14

Global Energy, LLC dba Global Energy Electric & Gas LLC

List of officers

John Kim, President

5 Penn Plz, 23rd Floor

New York, NY 10001

(718) 303-9630

Exhibit A-15

Global Energy, LLC dba Global Energy Electric & Gas Company History

Global Energy, LLC is an energy broker headquartered in New York, NY. Global Energy was formed in 2004 and has been actively marketing natural gas and electric in NY since 2009. Global Energy's goal is to craft long-term cost-reducing energy strategies for its customers. These products are designed to give the customer more control over their operating expenses. Until recently, Global Energy's principle target area has been New York, New Jersey, and other NorthEastern markets. Global Energy is seeking to expand to have a national presence in full compliance with local laws and regulations. Many of Global Energy's customers have been gained through independent contractors who have been working with Global Energy for the past 8 years, as well as by word of mouth and inbound sales. Global currently has about 15 agents and brokers actively selling on its behalf.

Global Energy, LLC is known in the industry for its honest business practices, commitment to transparency, and desire to aid its customers in any way they need. The company was founded on the belief that electric and gas supply contracts should be simple and constructed to protect the customer in both the short and long term. With over 4,000 electric and gas customers, Global Energy has never had a compliance issue or complaint issued against it.

Exhibit A-16

05/17/04 MON 11:55 FAX

002

F 040517000 932

New York State
Department of State
Division of Corporations, State Records
and Uniform Commercial Code
41 State Street
Albany, NY 12243
www.dos.state.ny.us

(This form must be printed or typed in black ink)

ARTICLES OF ORGANIZATION
OF

GLOBAL ENERGY, LLC
(Insert name of Limited Liability Company)

Under Section 203 of the Limited Liability Company Law

FIRST: The name of the limited liability company is

GLOBAL ENERGY, LLC

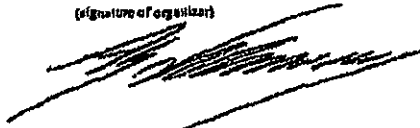
SECOND: The county within this state in which the office of the limited liability company is to be located is:

WESTCHESTER

THIRD: The Secretary of State is designated as agent of the limited liability company upon whom process against it may be served. The address within or without this state to which the Secretary of State shall mail a copy of any process against the limited liability company served upon him or her is:

368 Roundhill Road
Greenwich, CT 06831

(signature of organizer)



DOS-1234 (Rev. 3/03)

(print or typewritten name of organizer)

Ry. Alexander Weiss
Member

F 040517000932

ARTICLES OF ORGANIZATION
OF

GLOBAL ENERGY, LLC
(Insert name of Limited Liability Company)

Under Section 203 of the Limited Liability Company Law

FILED

2004 MAY 17 PM 3:23

Prepared by: ALEX WEISS
(Name)
368 RANDHILL ROAD
(Mailing address)
GREENWICH, CT 06831
(City, State and ZIP code)

STATE OF NEW YORK
DEPARTMENT OF STATE
FILED MAY 17 2004
TAXS
BY: [Signature]

NOTE: • This form was prepared by the New York State Department of State for filing articles of organization for a domestic limited liability company. It does not contain all optional provisions under the law. You are not required to use this form. You may draft your own form or use forms available at legal stationery stores. The Department of State recommends that legal documents be prepared under the guidance of an attorney. The certificate must be submitted with a \$200 filing fee made payable to the Department of State.

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2004 MAY 17 PM 1:03

2

971

Exhibit A-17



DATE	DOCUMENT ID	DESCRIPTION	FILING	EXPED	CERT	COPY
09/01/2017	201724400588	REGISTRATION OF FOREIGN FOR PROFIT LLC (LFP)	99.00	0.00	0.00	0.00

Receipt

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

GLOBAL ENERGY, LLC
5 PENN PLZ
23RD FLOOR
NEW YORK, NY 10001

**STATE OF OHIO
CERTIFICATE**

Ohio Secretary of State, Jon Husted
4068312

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

GLOBAL ENERGY ELECTRIC & GAS LLC (GLOBAL ENERGY, LLC)

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

Document(s)

REGISTRATION OF FOREIGN FOR PROFIT LLC

Effective Date: 09/01/2017

Document No(s):

201724400588



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
1st day of September, A.D. 2017.

Jon Husted

Ohio Secretary of State

Exhibit B-1

Global Energy, LLC dba Global Energy Electric & Gas LLC

Global Energy maintains broker licenses in the following states (see attached for licenses):

MA Electric (EB-339)

MA Gas (RA-144)

MD Electric (ML#149212)

MD Gas (ML#149642)

NJ Electric & Gas (EA-0378, PA-0183, EC-0123)

Washington DC Electric (EA 2013-29)

RI Electric & Gas

Global Energy, LLC currently serves residential, commercial, and industrial customers in other jurisdictions that do not have licensing requirements as well.

Exhibit B-2

Global Energy, LLC dba Global Energy Electric & Gas

Experience & Plans

Global Energy, LLC plans to operate in full compliance with the Commission rules adopted pursuant to Section 4929.22 of the Revised Code and contained in Chapter 4901:1-29 of the Ohio Administrative Code. Global Energy, LLC will take the time to understand the business plans, billing requirements, energy cost history and pain points for prospective customers and then match them with corresponding energy suppliers that can meet their needs. Global Energy will collect bids on the customer's behalf, and present pricing strategies to customers along with advice on expected market changes and operating expense impacts over time.

Global Energy, LLC will maintain a toll-free phone number, as well as email and fax support for customer inquiries and complaints. Global will assign specific account representatives for each customer who are personally responsible for the maintenance of those accounts and for dealing with any and all issues customers may have.

Exhibit B-3

Global Energy, LLC dba Global Energy Electric & Gas
Summary of Experience

Global Energy, LLC is an energy broker headquartered in New York, NY. Global Energy was formed in 2004 and has been actively marketing natural gas and electric in NY since 2009. Global Energy's goal is to craft long-term cost-reducing energy strategies for its customers. These products are designed to give the customer more control over their operating expenses. Until recently, Global Energy's principle target area has been New York, New Jersey, and other Northeastern markets. Global Energy is seeking to expand to have a national presence in full compliance with local laws and regulations. Many of Global Energy's customers have been gained through independent contractors who have been working with Global Energy for the past 8 years, as well as by word of mouth and inbound sales. Global currently has about 15 agents and brokers actively selling on its behalf.

Global Energy, LLC is known in the industry for its honest business practices, commitment to transparency, and desire to aid its customers in any way they need. The company was founded on the belief that electric and gas supply contracts should be simple and constructed to protect the customer in both the short and long term. With over 4,000 electric and gas customers, Global Energy has never had a compliance issue or complaint issued against it.

Global Energy's customer base consists mostly of commercial customers (95%) and some residential accounts (5%). Global Energy's goal is to expand the Commercial and Industrial customer base that it serves, servicing national chains and larger businesses and institutions.

Exhibit B-4

Global Energy, LLC dba Global Energy Electric & Gas

Disclosure of Liabilities and Investigations

Global Energy, LLC does not have any existing, pending or past rulings, judgements, contingent liabilities, or revocation of authorities, regulatory investigations, or any other matter that could adversely impact the financial or operational status or ability to provide the services it is seeking to be certified to provide.

Exhibit C-1

Not Applicable - Global Energy, LLC is not a publicly traded company.

Exhibit C-2

Not Applicable- Global Energy, LLC is not a publicly traded company.

Exhibit C-3

GLOBAL ENERGY, LLC
FINANCIAL STATEMENTS
DECEMBER 31, 2015

GLOBAL ENERGY, LLC
DECEMBER 31, 2015

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Independent Auditors' Report

To the Members of
Global Energy, LLC.
Forest Hills, NY

We have audited the accompanying financial statements of Global Energy, LLC. as of December 31, 2015, which comprise the statement of financial position, and the related statement of operations and changes in members' equity, and cash flows for the year then ended, and the related notes of the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Global Energy, LLC. as of December 31, 2015, and the results of its operations and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

New York, NY
August 5, 2016

GLOBAL ENERGY LLC
STATEMENT OF FINANCIAL POSITION
DECEMBER 31, 2015

	<u>2015</u>
ASSETS	
Current Assets	
Cash	\$ 210,441
Accounts receivable	708,562
Due from Big Apple Energy LLC	<u>242,045</u>
Total current assets	<u>1,161,048</u>
Other Assets	
Security deposits	<u>7,105</u>
Total assets	<u><u>\$ 1,168,153</u></u>
LIABILITIES AND MEMBERS' EQUITY	
Current Liabilities	
Accounts payable and accrued expenses	\$ 18,449
Sales tax payable	<u>63,945</u>
Total current liabilities	<u>82,394</u>
Non-Current Liabilities	
Members' promissory notes payable	<u>400,000</u>
Total liabilities	<u>482,394</u>
Members' equity	<u>685,759</u>
Total liabilities and members' equity	<u><u>\$ 1,168,153</u></u>

See accompanying notes to the financial statements and independent auditor's report

GLOBAL ENERGY LLC
STATEMENT OF OPERATIONS AND CHANGES IN MEMBERS' EQUITY
FOR THE YEAR ENDED DECEMBER 31, 2015

	<u>2015</u>
NET SALES	\$ 5,631,965
COST OF SALES	<u>4,402,092</u>
Gross profit	<u>1,229,873</u>
OPERATING EXPENSES	
Salaries and wages	226,733
Professional Fees	76,464
General Administrative expense	65,424
Rent	18,600
Marketing and advertising	<u>8,463</u>
Total operating expenses	<u>395,684</u>
Income from operations	<u>834,189</u>
OTHER INCOME AND EXPENSES	
Interest expense	<u>(61,054)</u>
NET INCOME	<u>773,135</u>
MEMBERS' EQUITY - JANUARY 1	<u>(87,376)</u>
MEMBERS' EQUITY - DECEMBER 31	<u><u>\$ 685,759</u></u>

See accompanying notes to the financial statements and independent auditor's report

GLOBAL ENERGY LLC
STATEMENT OF CASH FLOW
FOR THE YEAR ENDED DECEMBER 31, 2015

	<u>2015</u>
CASH FLOWS FROM OPERATING ACTIVITIES	
Net Income	\$ 773,135
Adjustments to reconcile net income to net cash provided by operating activities:	
Changes in operating activities	
(Increase) decrease in operating assets:	
Accounts receivable	(130,761)
Security deposits	(7,181)
Prepaid expenses	60,704
Due from Big Apple Energy LLC	(148,289)
Decrease in operating liabilities:	
Accounts payable and accrued expenses	(142,618)
Sales tax payable	(7,868)
Net cash provided by operating activities	<u>397,122</u>
CASH FLOWS FROM FINANCING ACTIVITIES	
Proceeds from members' promissory notes payable	200,000
Repayment to members' promissory notes payable	<u>(450,000)</u>
Net cash used in financing activities	<u>(250,000)</u>
Net increase in cash and cash equivalents	<u>147,122</u>
CASH AT BEGINNING OF YEAR	<u>63,318</u>
CASH AT END OF YEAR	<u><u>\$ 210,441</u></u>

See accompanying notes to the financial statements and independent auditor's report

GLOBAL ENERGY, LLC
NOTES TO FINANCIAL STATEMENTS

NOTE 1 – NATURE OF ORGANIZATION

Global Energy, LLC (the Company) is a limited liability company organized in the State of New York. The company is an ESCO (Energy Service Company) serving the New York State National Grid Market with Natural Gas for residential and commercial use. The company began operations in July 1st, 2014; it is located in Forest Hills, New York.

NOTE 2 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of accounting - The financial statements of the Company have been prepared on an accrual basis of accounting, recognizing income when earned and expenses when incurred.

Cash and cash equivalents - For financial statement purposes, the Company considers all highly liquid investments purchased with an original maturity of three months or less when purchased to be cash equivalents.

Revenues - The Company derives revenue from selling natural gas to KeySpan and Con Edison at a variable rate per therm. Revenue is recognized when delivery is made. The Company also record revenues for electricity and gas provided but unbilled at the end of each month. Rates include provisions to adjust billings for fluctuations in fuel and purchased power costs and cost of gas. Revenues are adjusted for difference between actual costs subject to reconciliation and the amounts billed in current rates.

Accounts Receivable and Allowance for Doubtful Accounts - Accounts receivable consist of billings provided by KeySpan and Con Edison. The provision for bad debts is determined by analysis of each open account taking into consideration several pertinent factors to determine whether the account is collectable or not. The allowance for bad debts is based upon periodic review of accounts over 90 days old, combined with several other collection process factors.

Income taxes - As a limited liability company, the members have elected be a treated as a partnership for federal and state income tax purposes. As such, no provision or credit has been made in the accompanying consolidated financial statements for federal or state income taxes since the members allocable share of the Company's taxable income or loss are reportable on their income tax returns.

The Company has adopted the recognition requirements for uncertain income tax positions as required by generally accepted accounting principles, with no cumulative effect adjustment required. Income tax benefits are recognized for income tax positions taken or expected to be taken in a tax return, only when it is determined that the income tax position will more-likely-than-not be sustained upon examination by taxing authorities. The Company has analyzed tax positions taken for filing with the Internal Revenue Service and all state jurisdictions where it operates. The Company believes that income tax filing positions will be sustained upon examination and does not anticipate any adjustments that would result in a material adverse affect on the Company's financial condition, results of operations or cash flows. Accordingly, the Company has not recorded any reserves, or related accruals for interest and penalties for uncertain income tax positions.

The Company is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress.

Use of estimates - The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

GLOBAL ENERGY, LLC
NOTES TO FINANCIAL STATEMENTS

NOTE 2 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

Advertising Costs - The Company expenses advertising costs as they are incurred.

Derivate liabilities – The Company enter into derivative financial instruments as part of the marketing and hedging activities. These financial instruments are generally accounted for under the mark-to-market method, which results in the recognition in earnings of unrealized gains and losses from changes in the fair value of the derivatives. The Company utilize forward contracts to mitigate risk associated with the marketing and trading activity as well as for proprietary trading within defined risk guideline.

NOTE 3 – FAIR VALUE

Derivatives are generally recorded at fair value and shown as Derivative Assets or Liabilities. Contracts we typically classify as derivative instruments include power, natural gas, oil and certain coal forwards, futures, options and swaps, and foreign currency exchange contracts.

The Company manages its mark-to-market (MTM) risk on a portfolio basis based upon the delivery period of its contracts and the individual components of the risks within each contract. Accordingly, the Company records and manages the energy purchase and sale obligations under its contracts in separate components based on the commodity (e.g. electricity or natural gas), the product (e.g. electricity for delivery during peak or off-peak hours), the delivery location (e.g. by region), the risk profile (e.g. forward or option), and the delivery period (e.g. by month and year).

The Company has established a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value in three broad levels. The fair value hierarchy gives the highest priority to quoted prices (unadjusted) in active markets for identical assets or liabilities (Level 1) and the lowest priority to unobservable inputs (Level 3).

NOTE 4 – CONCENTRATION OF CREDIT RISK

The Company's financial instruments consist of cash and accounts receivable. The Company maintains cash balances at a financial institution. Cash accounts are insured per institution by the Federal Deposit Insurance Corporation. At December 31, 2015, the Company's deposits were not in excess of insured limits.

NOTE 5 – CONCENTRATION OF ENERGY SUPPLIERS

The Company's revenue was earned using the client data base and services of two vendors; KeySpan and Con Ed. In the event the vendor's terminated service, Company's ability to continue as a going concern would be greatly diminished.

GLOBAL ENERGY, LLC
NOTES TO FINANCIAL STATEMENTS

NOTE 6 – MEMBERS’ PROMISSORY NOTES PAYABLE

Members’ promissory notes payable consists of the following at December 31, 2015:

	<u>2015</u>
Promissory notes payable to John Kim, managing director, which bears interest at a fixed rate of 10% and requires monthly payment of interest through maturity of 2024	\$ 200,000
Promissory note Payable to Renata Weis, member, which bears interest at a fixed rate of 10% and requires monthly payment of interest through maturity of 2024	<u>200,000</u>
Promissory notes payable	<u>\$ 400,000</u>

NOTE 7 – SUBSEQUENT EVENTS

On April 6, 2016, Company has entered into a promissory note agreement with Alex Weiss, a member. The terms are \$100,000 principal, maturity date of July 6, 2018 at 6.0% per annum, with monthly payments of principal and interest starting on May 6, 2016.

The Company has evaluated subsequent events through August 5, 2016, the date which the financial statements were issued.

Global Energy, L.L.C.

PROFIT AND LOSS

January - December 2015

	TOTAL
INCOME	
Commission Income	554,928.05
Metered - Electricity	303,588.21
Metered - Gas	4,230,423.39
Sales of Product Income	238,854.12
Service Charges	1,985.67
Services	0.00
Unmetered - Electricity	-7,238.48
Unmetered - Gas	-46,477.12
Total Income	\$5,276,063.84
COST OF GOODS SOLD	
Cost of Goods Sold	
Billing Adjustment	-179,010.07
Hedge/Swap Surplus/Deficit	599,804.13
Total Cost of Goods Sold	420,794.06
Electricity - ESCO	4,921.11
Ancillaries Cost	6,387.61
Capacity Charges	90,203.77
Energy Cost Adjustments from Prior Months (V2,V3)	-1,770.10
NYISO Purchased Energy	140,877.34
Scheduling Fee	757.67
Supply Agreement Fee	5,984.96
Total Electricity - ESCO	247,362.36
Gas - ESCO	2,705,687.01
Gas - Swing Charge	-40,898.52
Gas Imbalance - True Up	143,740.83
Scheduling Fee	88,672.07
Utilities - POR Fees	130,333.03
Total Cost of Goods Sold	\$3,695,690.84
GROSS PROFIT	\$1,580,373.00
EXPENSES	
Accounting Fees - CRC	1,445.18
Advertising	224.75
Bank Charges	418.00
Commissions	56,402.25
Agency	188,224.09
Electric	3,619.09
Gas	223,949.12
Rep Commissions	1,039.29
Total Commissions	473,233.84
Consulting	19,250.00
Delivery costs	441.91
Disability Insurance	180.00
Employee Benefits	28,715.16
Extraordinary Expense	11,745.49
Federal Unemployment Tax	0.00

	TOTAL
GRT Tax	11,461.02
Guaranteed Pay - John Kim	154,920.06
Insurance	659.47
Legal Fees	309.00
Licenses, Fees & Permits	1,569.99
Life Insurance	1,200.00
Marketing	7,447.18
Hosting Services	790.97
Total Marketing	8,238.15
Meals and Entertainment	2,000.00
Miscellaneous	-313.50
Office Supplies & Equipment	6,621.24
Software	4,870.33
Total Office Supplies & Equipment	11,491.57
Payroll Expenses	35.60
Taxes	3,002.81
Wages	26,282.69
Total Payroll Expenses	29,321.10
Payroll Processing	993.97
Payroll Taxes	0.00
Professional Fees	55,459.61
Rent	18,600.00
<i>Salary & Wages</i>	<i>1,141.42</i>
Selling Expenses	190.83
State Unemployment Tax	0.00
T&E Expenses	4,751.55
Telephone	2,572.53
Total Expenses	\$840,221.10
NET OPERATING INCOME	\$740,151.90
OTHER EXPENSES	
Extraordinary Items	24,827.01
Interest Expense	61,053.62
Taxes	2,910.12
Total Other Expenses	\$88,790.75
NET OTHER INCOME	\$ -88,790.75
NET INCOME	\$651,361.15

Global Energy, L.L.C.

BALANCE SHEET

As of December 31, 2016

	TOTAL
ASSETS	
Current Assets	
Bank Accounts	
Checking	0.00
Citibank	0.00
TD Bank	311,015.11
Total Bank Accounts	\$311,015.11
Accounts Receivable	
Accounts Receivable	9,596.14
Accounts Receivable - Metered	304,763.38
Accounts Receivable - Unmetered	270,493.75
Total Accounts Receivable	\$584,853.27
Other Current Assets	
Loan Receivable	11,471.12
Organization Costs	0.00
Prepaid Commissions	0.00
Prepaid Expenses	0.00
Undeposited Funds	7,300.00
Total Other Current Assets	\$18,771.12
Total Current Assets	\$914,639.50
Other Assets	
Deposits - NYISO	0.00
Security Deposit - 98-20 METROPOLITAN AVENUE	0.00
Security Deposit - ConEd Duel Billing	3,104.89
Security Deposit - Penn Plaza	6,916.00
Total Other Assets	\$10,020.89
TOTAL ASSETS	\$924,660.39
LIABILITIES AND EQUITY	
Liabilities	
Current Liabilities	
Accounts Payable	
Accounts Payable	6,478.19
Total Accounts Payable	\$6,478.19
Other Current Liabilities	
Accrued Expenses	3,184.60
Benefit Withholding	0.00
Deferred Commission Income	0.00
Direct Deposit Payable	0.00
Disability Withholding	0.00
Due to Big Apple Energy	-290,051.72
Due to ConEd	121,775.11
GRT Payable	6,124.49
Loan Payable - RW	300,000.00

	TOTAL
Payroll Liabilities	
Federal Taxes (941/944)	7,608.52
Federal Unemployment (940)	117.78
NY MCTMT Employer Tax	0.00
NYS Employment Taxes	1,003.16
NYS Income Tax	705.39
Total Payroll Liabilities	9,434.85
Sales Tax Payable	65,910.37
Total Other Current Liabilities	\$216,377.70
Total Current Liabilities	\$222,855.89
Long-Term Liabilities	
Shareholder Notes Payable-JK	200,000.00
Total Long-Term Liabilities	\$200,000.00
Total Liabilities	\$422,855.89
Equity	
Equity	
Alex Weiss Distribution	-314,250.00
Alex Weiss Equity	20,000.00
John Kim Distributions	-250,000.00
Joshua Rand Distribution	0.00
Total Equity	-544,250.00
Opening Bal Equity	0.00
Retained Earnings	608,234.97
Net Income	437,819.53
Total Equity	\$501,804.50
TOTAL LIABILITIES AND EQUITY	\$924,660.39

Global Energy, L.L.C.

PROFIT AND LOSS

January - December 2016

	TOTAL
INCOME	
Commission Income	781,730.27
Metered - Electricity	211,970.64
Metered - Gas	4,643,025.10
Prepaid Commission Income	68,500.78
Service Charges	5,700.00
Unmetered - Electricity	-2,933.32
Unmetered - Gas	34,872.71
Total Income	\$5,742,866.18
COST OF GOODS SOLD	
Cost of Goods Sold	
Billing Adjustment	6,146.30
Green Product Cost	1,634.24
Hedge/Swap Surplus/Deficit	586,143.95
Total Cost of Goods Sold	593,924.49
Electricity - ESCO	1,926.33
Ancillaries Cost	9,134.25
Capacity Charges	54,677.30
Electric Hedges	1,096.46
Energy Cost Adjustments from Prior Months (V2,V3)	-13,485.94
NYISO Purchased Energy	96,338.35
Scheduling Fee	1,298.88
Supply Agreement Fee	6,042.85
Total Electricity - ESCO	157,028.48
Gas - ESCO	3,050,722.19
Gas - Swing Charge	-14,110.72
Gas Imbalance - True Up	58,762.09
Scheduling Fee	112,554.07
Utilities - POR Fees	104,317.68
Total Cost of Goods Sold	\$4,063,198.28
GROSS PROFIT	\$1,679,667.90
EXPENSES	
Auto	4,900.00
Bank Charges	320.00
Commissions	-29.18
Agency	359,948.16
Commissions - Meiyu Marketing	106,238.77
Electric	3,067.54
Gas	236,357.24
Total Commissions	705,582.53
Consulting	6,900.00
Employee Benefits	30,673.19

	TOTAL
Extraordinary Expense	26,619.69
GRT Tax	4,981.29
Guaranteed Pay - John Kim	160,795.44
Insurance	5,628.53
Licenses, Fees & Permits	8,704.58
Life Insurance	1,200.00
Marketing	3,159.93
Hosting Services	1,358.88
Total Marketing	4,518.81
Meals and Entertainment	711.84
Miscellaneous	-7.44
NYC Business Tax	49,076.69
Office Supplies & Equipment	2,426.73
Software	19,597.70
Total Office Supplies & Equipment	22,024.43
Payroll Expenses	
Taxes	11,174.27
Wages	102,880.81
Total Payroll Expenses	114,055.08
Payroll Processing	94.80
Payroll Taxes	45.87
Professional Fees	8,630.00
Rent	29,029.43
Selling Expenses	446.44
Software ProcessingAmortization	60.00
T&E Expenses	4,413.14
Telephone	3,852.12
Total Expenses	\$1,193,256.46
NET OPERATING INCOME	\$486,411.44
OTHER EXPENSES	
Extraordinary Items	1,300.00
Interest Expense	44,291.91
Reconciliation Discrepancies-1	0.00
Taxes	3,000.00
Total Other Expenses	\$48,591.91
NET OTHER INCOME	\$ -48,591.91
NET INCOME	\$437,819.53

Exhibit C-4



100 Crossways Park Drive W – Suite 405
Woodbury, NY 11797
Tel: 516-558-7965 Fax: 516-706-2556

Victor M. Ferreira, P.E.
President
vferreira@bigappleenergy.com

August 27th, 2016

To Whom it May Concern

Big Apple Energy, LLC, (“BAE”) and Global Energy, LLC (“Global”) entered into a Power and Related Services Sales Agreement (the “Facility”) on July 1, 2014, under which BAE provides credit enhancement and working capital support to Global.

Under the terms of the Facility, BAE provides Global funding for its collateral posting requirements to wholesale trading counterparties and third parties including, ISOs, LDCs and state regulators. In addition to credit support, BAE has also made available to Global certain working capital amounts based on a borrowing base formula.

Availability under the Facility is calculated pursuant to a borrowing base formula taking into account all of Global’s assets including the forward value of retail customer accounts and retail accounts receivable. Please feel free to contact me any time if you have further questions or comments regarding the Facility or BAE’s commitments to Global.

Sincerely,

Exhibit C-5

Global Energy, LLC dba Global Energy Electric & Gas LLC
Forecasted Financial Statements

Month	Revenue	Expenses	Net Income
Jan-18	\$ -	1000	\$ (1,000)
Feb-18	\$ -	1000	\$ (1,000)
Mar-18	\$ 1,000	\$ 1,100.00	\$ (100)
Apr-18	\$ 1,200	\$ 1,210.00	\$ (10)
May-18	\$ 1,440	\$ 1,331.00	\$ 109
Jun-18	\$ 1,728	\$ 1,464.10	\$ 264
Jul-18	\$ 2,074	\$ 1,610.51	\$ 463
Aug-18	\$ 2,488	\$ 1,771.56	\$ 717
Sep-18	\$ 2,986	\$ 1,948.72	\$ 1,037
Oct-18	\$ 3,583	\$ 2,143.59	\$ 1,440
Nov-18	\$ 4,300	\$ 2,357.95	\$ 1,942
Dec-18	\$ 5,160	\$ 2,593.74	\$ 2,566
Jan-19	\$ 6,192	\$ 2,853.12	\$ 3,339
Feb-19	\$ 7,430	\$ 3,138.43	\$ 4,292
Mar-19	\$ 8,916	\$ 3,452.27	\$ 5,464
Apr-19	\$ 10,699	\$ 3,797.50	\$ 6,902
May-19	\$ 12,839	\$ 4,177.25	\$ 8,662
Jun-19	\$ 15,407	\$ 4,594.97	\$ 10,812
Jul-19	\$ 18,488	\$ 5,054.47	\$ 13,434
Aug-19	\$ 22,186	\$ 5,559.92	\$ 16,626
Sep-19	\$ 26,623	\$ 6,115.91	\$ 20,507
Oct-19	\$ 31,948	\$ 6,727.50	\$ 25,220
Nov-19	\$ 38,338	\$ 7,400.25	\$ 30,937
Dec-19	\$ 46,005	\$ 8,140.27	\$ 37,865

Exhibit C-6

Not applicable.

Exhibit C-7



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CreditScoreSM Report

as of: 11/22/17 16:49 ET

Global Energy, LLC

Address: 9525 Queens BLVD Ste 1001
Rego Park, NY 11374-4508
United States

Experian BIN: 403332795

Agent: Incorp Services, Inc.
Agent Address: 1519 York Road
Lutherville, MD

Family Linkage:
Ultimate Parent Global Energy, LLC
9525 Queens BLVD Ste 1001
Rego Park, NY

Branches / Alternative Locations Global Energy, LLC
26 Sutherland Dr
Highland Mills, NY United States

Key Personnel: Officer: John H Kim
SIC Code: 87480000-Business Consulting Services,
Nec

NAICS Code: 541618-Other Management Consulting
Services

Business Type: Corporation
Experian File Established: August 2011
Experian Years on File: 6 Years
Years in Business: More than 6 Years

Filing Data Provided by: New York
Date of Incorporation: 08/04/2013

Payment Tradelines: 2
UCC Filings: 6

*** Businesses Scoring Worse:** 43%

✓ **Bankruptcies:** 0
✓ **Liens:** 0
✓ **Judgments Filed:** 0
✓ **Collections:** 0

This location does not yet have an estimated Days Beyond Terms (DBT), or a Payment Trend Indicator. This is often the result of too few Payment Tradelines.

Lowest 6 Month Balance: \$86
Highest 6 Month Balance: \$16,415
Current Total Account Balance: \$0
Highest Credit Amount Extended: \$0

Credit Summary

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Experian Business Credit Score: 44

High Risk  Low Risk



The objective of the Experian Business Credit Score is to predict payment behavior. High Risk means that there is a significant probability of delinquent payment. Low Risk means that there is a good probability of on-time payment.

Key Score Factors:

- Number of commercial accounts with net 1-30 days term.
- Nbr of active commercial accts within the last 12 mos.
- Number of recently active commercial accounts.
- Number of commercial accounts with high utilization.

Recommended Action: Medium Risk

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Exhibit C-8

Global Energy, LLC does not have a history of bankruptcy, and does not have any affiliates or parent companies. No officer of the applicant has filed for bankruptcy

Exhibit C-9

Not applicable.

Exhibit C-10

Global Energy, LLC is a standalone entity with no affiliate or subsidiary companies.

Exhibit D-1

Global Energy, LLC dba Global Energy Electric & Gas

Operations

Global Energy, LLC's operations are simple and straightforward. Global Energy, LLC uses networking, referrals, and passive marketing in order to obtain new commercial electric and gas broker customers. Global Energy takes the time to understand the business plans, billing requirements, energy cost history and pain points for prospective customers and then match them with corresponding energy suppliers that can meet their needs. Global Energy will collect bids from energy suppliers on the customer's behalf, and present pricing strategies to customers along with advice on expected market changes and operating expense impacts over time.

Global Energy, LLC tracks its customers on a robust CRM designed for maximum customer retention and personalized attention. All customers have personal account representatives to handle any and all issues, complaints, or renewal requests.

Exhibit D-2

Global Energy, LLC dba Global Energy Electric & Gas

Operations Expertise

Global Energy, LLC has over 4,000 customers situated with over 15 suppliers partners throughout the US. The key technical personal representing Global Energy have extensive experience in both retail energy supply as well as energy brokering activities. Global Energy has completed over 10,000 customer contracts since 2010 and enjoys a retention rate of over 90%. Global Energy personnel understanding the various cost components and pricing structures that are unique to each utility region in each deregulated market. Global's goal is to craft long-term energy strategies that lower operating expenses.

Exhibit D-3

Global Energy, LLC dba Global Energy Electric & Gas

Key Technical Personnel

John Kim

President

(718) 303-9630

jkim@globalenergyllc.net

Since taking over as President of Global Energy in 2010, John has grown Global's customer base from 17 to the over 4,000 it proudly represents today. John's uncompromising commitment to the principles of honesty, transparency, and customer value form the foundation of Global Energy's business model. The outstanding reputation that Global Energy enjoys can largely be derived from this ethical foundation John has mandated.

As president, John oversees all aspects of Global Energy's growth, team, and customer experience. John makes sure that all initiatives are being orchestrated in harmony and with the proper commitment to the overarching principles to ensure long term satisfaction for customers, employees, and shareholders alike.

Previously, John operated his own family business in the laundromat industry. His experience with energy suppliers as a customer allowed him to recognize the gaps in customer service and lack of sound business ethics that are too often the norm in the energy industry. Together with his partner, Alex Weiss, John set out to improve the energy purchasing experience of hard working business owners of all shapes and sizes.

Alex Riemer

Director of Business Development & Sustainability

(718) 303-9617

ariemer@globalenergyllc.net

Since coming on board in July 2015, Alex has spearheaded a variety of growth initiatives that have kept Global's products, offers, and customer experience at the forefront of the energy industry. Alex actively manages a network of sales agents and independent brokers, sells directly to commercial and industrial accounts, and constantly improves back-end support systems to increase growth efficiency and customer satisfaction. As Director of Sustainability, Alex has created low-cost green options that help meet customer goals in renewable energy and environmental stewardship.

With a background in solar energy sales operations, Alex has been able to use his experience to craft operational structures that improve efficiency and keep overhead costs to a minimum, allowing Global to pass on savings to customers and provide industry-leading customer service. More directly, Alex has been able to leverage his experience and knowledge in the solar energy space to create a solar energy consulting product that simplifies the solar purchasing and installation process for commercial customers.

Philosophically, Alex believes in the "Global Energy model" of business ethics; that every decision should be based on honesty, transparency, and customer value. It's his belief that this is the true driver behind long-term growth and sustainability. Plus, life is too short to not thoroughly enjoy the professional relationships being developed every day.

Michael Stevens

Director of Operations

(716) 926-8269

mstevens@globalenergyllc.net

Joining the Global Energy team in December 2016, Mike has been an invaluable asset in Global's ability to service even the biggest and most demanding of clientele. As Director of Operations, Mike acts as the "brains" of the operation, developing a knowledge base and toolset that allows Global to leverage every aspect of a customer's energy load to produce the most favorable cost reduction strategy. Mike works directly with customers, sales agents, and affiliates in order to craft the most creative and effective energy strategies.

With almost 15 years of direct supply experience, Mike is often described as Global Energy's "secret weapon." Mike's background allows Global Energy a level of technical competence and strategic ability that is unparalleled in the industry. Mike understands the nuts and bolts of energy from a supplier's perspective, allowing Global to interface with its own suppliers on a much more nuanced level and to approach each sale with a level of care and technicality that would be impossible otherwise.

Jessica Trindade

Operations Analyst

(800) 385-7893

admin@globalenergyllc.net

As an Operations Analyst, Jessica handles a variety of vital functions that allows Global to operate effectively in a fast paced and data-intensive business. With a machine-like attention to detail, Jessica manages day-to-day operations and actively ensures that each and every customer is being tracked so issues are caught well before they reach the customer. Jessica directly oversees customer billing, data input and organization, contract booking, and aids in pricing and special projects.

Joining the Global team in April 2014, Jessica is one of the longest-standing employees at Global Energy. Jessica has developed an instinctual understanding of Global's business model and ethical approach to ensure that customers receive the full benefits of our services and strategies.