

FILE

(25)

Northeast Energy Advisors, LLC  
10900 Perry Highway  
Suite 210  
Wexford, PA 15090  
(412) 389-7290

RECEIVED-DOCKETING DIV  
2019 FEB 25 PM 2:10

PUCO

February 21, 2019

*Via United States Mail, Priority Mail Express*

Public Utilities Commission of Ohio  
Docketing Division  
180 East Broad Street, 11<sup>th</sup> Floor  
Columbus, Ohio 43215-3793

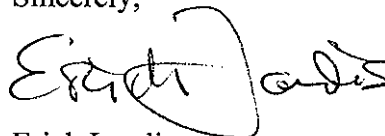
**Re: Case No. 13-0532-EL-AGG  
Northeast Energy Advisors, LLC  
Renewal Application for Electric Aggregators/Power Brokers**

To Whom It May Concern:

Enclosed for filing, please find an original and <sup>four</sup>~~two~~ copies of the Renewal Application for Electric Aggregators/Power Brokers for Northeast Energy Advisors, LLC. Kindly time-stamp one of the copies and return it to me in the enclosed postage prepaid, return envelope.

In a separate enclosure, I have included the confidential version of Exhibits C-3 and C-5, which contain confidential and proprietary information and should not be disclosed to the public.

Sincerely,



Erich Landis  
Vice President and Treasurer  
Northeast Energy Advisors, LLC

Enclosures

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 je Date Processed 2/25/2019

FILE

**Ohio****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, LLCAddress 10900 Perry Highway, Suite 210, Wexford, PA 15090PUCO Certificate # and Date Certified 13-666E(1) - April 1, 2013Telephone # (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, LLCAddress 10900 Perry Highway, Suite 210, Wexford, PA 15090Telephone # (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 MikulaTitle PresidentBusiness address 10900 Perry Highway, Suite 210, Wexford, PA 15090Telephone # (412) 389-7290Fax # (412) 202-4233E-mail address dmikula@northeastenergyadvisors

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**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) 202-4233  
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.

**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 financial arrangements to conduct CRES as a business activity (e.g., guarantees, bank commitments, 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 **ELECTRIC 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 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 credit report from Experian, 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.

COMMONWEALTH OF PENNSYLVANIA  
NOTARIAL SEAL  
Andrew L. Blattenberger, Notary Public  
Hollidaysburg Boro, Blair County  
My Commission Expires May 4, 2019  
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

*Edward J. Jones* V.P. & Treas.  
Signature of Applicant & Title

Sworn and subscribed before me this 20<sup>th</sup> day of February, 2019  
Month Year

*Andrew L. Blattenberger*  
Signature of official administering oath

*Andrew L. Blattenberger*  
Print Name and Title *Notary Public*

My commission expires on 5/4/2019

COMMONWEALTH OF PENNSYLVANIA  
NOTARIAL SEAL  
Andrew L. Blattenberger, Notary Public  
Hollidaysburg Boro, Blair County  
My Commission Expires May 4, 2019  
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

# **AFFIDAVIT**

State of Pennsylvania McLands Township  
(Town)  
County of Allegheny

Erich Landis, Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/She is the Vice President and Treasurer (Office of Affiant) of Northeast Energy Advisors, LLC (Name of Applicant);

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

1. The Applicant herein, attests under penalty of false statement that all statements made in the application for certification renewal 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 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.
8. 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.
9. The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, the electric distribution companies, the regional transmission entities, and other electric suppliers in the event of an emergency condition that may jeopardize the safety and reliability of the electric service in accordance with the emergency plans and other procedures as may be determined appropriate by the Commission.
10. If applicable to the service(s) the Applicant will provide, the Applicant herein, attests that it will adhere to the reliability standards of (1) the North American Electric Reliability Council (NERC), (2) the appropriate regional reliability council(s), and (3) the Public Utilities Commission of Ohio. (Only applicable if pertains to the services the Applicant is offering)

11. The Applicant herein, attests that it will inform the Commission of any material change to the information supplied in the renewal 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.

Erica Jones V.P. & Treas.  
Signature of Affiant & Title

Sworn and subscribed before me this 20th day of February, 2019  
Month Year

[Signature]  
Signature of official administering oath

Andrew L. Blattenberger, Notary Public  
Print Name and Title

COMMONWEALTH OF PENNSYLVANIA

NOTARIAL SEAL

Andrew L. Blattenberger, Notary Public  
Hollidaysburg Boro, Blair County  
My Commission Expires May 4, 2019

MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

My commission expires on May 4, 2019

Northeast Energy Advisors, LLC

**Exhibit A-10**

**(Principal Officers, Directors & Partners)**

Dave Mikula, President and Secretary  
Northeast Energy Advisors, LLC  
10900 Perry Highway, #210  
Pittsburgh, PA 15090  
(412) 389-7290

Erich Landis, Vice President and Treasurer  
Northeast Energy Advisors, LLC  
10900 Perry Highway, #210  
Pittsburgh, PA 15090  
(412) 389-7290

**Exhibit B-1**

**(Jurisdictions of Operation)**

The Applicant is a Pennsylvania domestic limited liability company that is also registered to do business in Ohio and Maryland. In addition to Applicant's license in Ohio, Applicant is licensed in the Commonwealth of Pennsylvania to supply electric generation supply services as a broker/marketer, and in the State of Maryland to supply electric generation services as a broker.

**Exhibit B-2**  
**(Experience & Plans)**

Applicant's two members, Dave Mikula and Erich Landis, have a combined experience of over thirty-three years in the electricity and natural gas industry. In addition to Applicant's Ohio license to provide power broker services, Applicant is also currently licensed by the Pennsylvania Public Utility Commission to offer, render, furnish or supply electric generation supplier services and natural gas services as a "broker/marketer" to various customer types throughout the Commonwealth of Pennsylvania. Applicant is also licensed in the State of Maryland to supply electric generation services as a broker.

Applicant will use its experience and existing infrastructure to work in its preferred business segments to build new relationships and leverage existing relationships into new business in the territories in which it holds licenses to provide services.

The Applicant does not provide billing statements to its customers. All billing is performed by the supplier, which also provides the customer with a written agreement for the contracted service. The Applicant has always timely responded to customer inquiries and any complaints, and will continue to do so.

**Exhibit B-3**

**(Disclosure of Liabilities and Investigations)**

There are no existing, pending or past undisclosed rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or any other matters 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.

**Exhibit C-1**  
**(Annual Reports)**

The Applicant is not required to have annual reports. Applicant is a limited liability company with only two members, and each member participates directly in the operation of the entity and is aware of the entity's financial matters.

**Exhibit C-2**

**(SEC Filings)**

The Applicant does not have such filings and is not required to file with the SEC. Applicant has no parent company that is required to have such filings.

**Exhibit C-3**  
**(Financial Statements)**

This exhibit contains confidential and proprietary information and is being submitted under seal.

**Exhibit C-4**  
**(Financial Arrangements)**

Not applicable.

**Exhibit C-5**  
**(Forecasted Financial Statements)**

This exhibit contains confidential and proprietary information and is being submitted under seal.

**Exhibit C-6**

**(Credit Rating)**

Not applicable. The applicant does not have a credit rating from Duff & Phelps, Fitch IBCA, Moody's Investor Service or Standard & Poor's, or a similar organization. Applicant does not have a parent with such a credit rating.

Northeast Energy Advisors, LLC

**Exhibit C-7**

**(Credit Report)**

Please see the attached credit report from Experian.



## Report

[Home](#) [My reports](#) [My account](#) [Products](#) [Help](#) [Business services](#) [Logout](#)

For help reading this report, please review our sample report.

Search inquiry: Northeast Energy Advisors Llc / Wexford / PA / (Other company)

CreditScore<sup>SM</sup> Report

as of: 01/16/19 16:43 ET

## Northeast Energy Advisors, LLC

**Address:** 10900 Perry Hwy Ste 210  
Wexford, PA 15090-8370  
United States

**Experian BIN:** 968777827

**Agent:** Ct Corporation System

**Agent Address:** 4400 Easton Commons Way  
Columbus, OH

**SIC Code:** 1711-Plumbing, Heating & A/C Contractors  
**NAICS Code:** 238220-Plumbing, Heating, And Air-Conditioning Contractors

**Business Type:** Corporation

**Experian File Established:** March 2013

**Experian Years on File:** 6 Years

**Years in Business:** More than 6 Years

**Total Employees:** 12

**Sales:** \$1,828,000

**Filing Data Provided by:** Pennsylvania

**Date of Incorporation:** 02/22/2013

## Experian Business Credit Score

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Business Credit Score



Medium-High 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:

- Risk associated with the company's industry.
- Company's business type.

Business Credit Scores range from a low of 1 to high of 100 with this company receiving a score of 24. Higher scores indicate lower risk. This score predicts the likelihood of serious credit delinquencies within the next 12 months. This score uses tradeline and collections information, public filings as well as other variables to predict future risk.

## Experian Financial Stability Risk Rating

[Back to top](#)**4****Financial Stability Risk  
Rating****Medium-High Risk**

A Financial Stability Risk Rating of 4 indicates a  
10% potential risk of severe financial distress  
within the next 12 months.

**Key Rating Factors:**

- Lack of active trades.
- Risk associated with the business type.
- Risk associated with the company's industry sector.

Financial Stability Risk Ratings range from a low of 1 to high of 5 with this company receiving a rating of 4. Lower ratings indicate lower risk. Experian categorizes all businesses to fit within one of the five risk segments. This rating predicts the likelihood of payment default and/or bankruptcy within the next 12 months. This rating uses tradeline and collections information, public filings as well as other variables to predict future risk.

**Credit Summary**[Back to top](#)

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 active Payment Tradelines.

Please refer to Experian's [www.BusinessCreditFacts.com](http://www.BusinessCreditFacts.com) website for more information on establishing Payment Tradelines.

UCC Filings: 0

✖ Businesses Scoring Worse: 23%

✓ Bankruptcies: 0

✓ Liens: 0

✓ Judgments Filed: 0

✓ Collections: 0

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**Exhibit C-8**

**(Bankruptcy Information)**

The Applicant has not sought protection from creditors or any other form of bankruptcy filings.

**Exhibit C-9**  
**(Merger Information)**

Applicant has had no dissolutions, mergers or acquisitions in its history.

Northeast Energy Advisors, LLC

**Exhibit C-10**  
**(Merger Information)**

Applicant is a stand-alone entity with no affiliate or subsidiary companies.