



Section A: Application Information

A-1. Provider type:

☒ Power Broker ☒ Aggregator ☐ Retail Generation Provider ☐ Power Marketer

A-2. Applicant's legal name and contact information.

Legal Name: Legend Energy Advisors, LLC

Country: United States

Phone: 917-475-8871 **Extension (if applicable):**

Street: 16 E. 23rd St, 5th Floor

Website (if any):
<http://legendenergyadvisors.com/>

City: New York

Province/State: NY

Postal Code: 10010

A-3. Names and contact information under which the applicant will do business in Ohio

Provide the names and contact information the business entity will use for business in Ohio. This does not have to be an Ohio address and may be the same contact information given in A-2.

Name	Type	Address	Active?	Proof
Legend Energy Advisors	Official Name	16 E. 23rd Street, 5th Floor New York, NY 10010	Yes	File

A-4. Names under which the applicant does business in North America

Provide all business names the applicant uses in North America, including the names provided in A-2 and A-3.

Name	Type	Address	Active?	Proof
Legend Energy Advisors	Official Name	16 E. 23rd Street, 5th Floor New York, NY 10010	Yes	File

A-5. Contact person for regulatory matters



Public Utilities Commission

Blake Owen
16 East 23rd St., 5th Floor
New York, NY 10010
US
bowen@legendea.com

A-6. Contact person for PUCO Staff use in investigating consumer complaints

Blake Owen
16 East 23rd St., 5th Floor
New York, NY 10010
US
bowen@legendea.com

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

Phone: 1-844-534-3633	Extension (if applicable):	Country: United States
Fax: 307-316-0406	Extension (if applicable):	Street: 16 E. 23rd Street, 5th Floor
Email: info@legendea.com	City: New York	Province/State: NY
	Postal Code: 10010	

A-8. Applicant's federal employer identification number

46-5455492

A-9. Applicant's form of ownership

Form of ownership: Limited Liability Company (LLC)

A-10. Identify current or proposed service areas

Identify each service area in which the applicant is currently providing service or intends to provide service and identify each customer class that the applicant is currently serving or intends to serve.

Service area selection

AEP Ohio
DP&L
Duke Energy Ohio



Public Utilities Commission

FirstEnergy - Cleveland Electric Illuminating
FirstEnergy - Ohio Edison
FirstEnergy - Toledo Edison

Class of customer selection

Commercial
Industrial

A-11. Start date

Indicate the approximate start date the applicant began/will begin offering services: 07-18-2020

A-12. Principal officers, directors, and partners

Please provide all contacts that should be listed as an officer, director or partner.

Name	Email	Title	Address
Daniel Crosby	dcrosby@legendea.com	Managing Director	16 E. 23rd Street, 5th Floor New York, NY 10010 US

A-13. Company history

Legend Energy Advisors was founded in 2014 and provides Energy Management services for commercial and industrial clients across the United States.

A-14. Secretary of State

Secretary of State Link:

Section B: Applicant Managerial Capability and Experience

B-1. Jurisdiction of operations

List all jurisdictions in which the applicant or any affiliated interest of the applicant is certified, licensed, registered or otherwise authorized to provide retail natural gas service or retail/wholesale electric service as of the date of filing the application..



Jurisdiction of Operation: Legend Energy Advisors is licensed to provide electricity aggregation and brokerage services in New Hampshire, Texas, The District of Columbia, New Jersey, Pennsylvania, Maine, Maryland, and Massachusetts.

B-2. Experience and plans

Describe the applicant's experience in providing the service(s) for which it is applying (e.g., number and type of customers served, utility service areas, amount of load, etc.). Include the 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 Sections 4928.10 and/or 4929.22 of the Ohio Revised Code.

Application Experience and Plan Description: Legend Energy Advisors has over 6 years experience providing natural gas and electricity brokerage services for large commercial and industrial clients in all deregulated markets. Currently all sales activity is conducted via telephone and email targeted to each potential client (that is, there is no mass mailings, spam emails, robocalls, etc.). Once a client has agreed to work with Legend, all fees for services are disclosed to the client. Following execution of any electricity supply contracts, clients are assigned a dedicated Account Manager to field any questions or concerns and address any issues.

B-3. Disclosure of liabilities and investigations

For the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant, describe all existing, pending or past rulings, judgments, findings, contingent liabilities, revocation of authority, regulatory investigations, judicial actions, or other formal or informal notices of violations, or any other matter related to competitive services in Ohio or equivalent services in another jurisdiction..

Liability and Investigations Disclosures: None

B-4. Disclosure of consumer protection violations

Has the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years?

No



B-5. Disclosure of certification, denial, curtailment, suspension or revocation

Has the applicant, affiliate, or a predecessor of the applicant had any certification, license, or application to provide retail natural gas or retail/wholesale electric service denied, curtailed, suspended, revoked, or cancelled or been terminated or suspended from any of Ohio's Natural Gas or Electric Utility's Choice programs within the past two years?

No

B-6. Environmental disclosures

Provide a detailed description of how the applicant intends to determine its generation resource mix and environmental characteristics, including air emissions and radioactive waste. Include the annual projection methodology and the proposed approach to compiling the quarterly actual environmental disclosure data. See 4901:1-21-09 of the Ohio Administrative Code for additional details of this requirement.

PJM disclosure option chosen

Section C: Applicant Financial Capability and Experience

C-1. Financial reporting

Provide a current link to the most recent Form 10-K filed with the Securities and Exchange Commission (SEC) or upload the form. If the applicant does not have a Form 10-K, submit the parent company's Form 10-K. If neither the applicant nor its parent is required to file Form 10-K, state that the applicant is not required to make such filings with the SEC and provide an explanation as to why it is not required.

Does not apply

C-2. Financial statements

Provide copies of the applicant's two most recent years of audited financial statements, including a 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, provide 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 bank account numbers redacted**.

If the applicant is unable to meet the requirement for two years of financial statements, the Staff reviewer may request additional financial information.

Preferred to file this information confidentially

C-3. Forecasted financial statements

Provide two years of forecasted income statements **based solely on the applicant's anticipated business activities in the state of Ohio**.

Include the following information with the forecast: a list of assumptions used to generate the forecast; a statement indicating that the forecast is based solely on Ohio business activities only; and the name, address, email address, and telephone number of the preparer of the forecast.

The forecast may be in one of two acceptable formats: 1) an annual format that includes the current year and the two years succeeding the current year; or 2) a monthly format showing 24 consecutive months following the month of filing this application broken down into two 12-month periods with totals for revenues, expenses, and projected net incomes for both periods. Please show revenues, expenses, and net income (revenues minus total expenses) that is expected to be earned and incurred in **business activities only in the state of Ohio** for those periods.

If the applicant is filing for both an electric certificate and a natural gas certificate, please provide a separate and distinct forecast for revenues and expenses representing Ohio electric business activities in the application for the electric certificate and another forecast representing Ohio natural gas business activities in the application for the natural gas certificate.

Preferred to file confidentially

C-4. Credit rating

Provide a credit opinion disclosing the applicant's credit rating as reported by at least one of the following ratings agencies: Moody's Investors Service, Standard & Poor's Financial Services, Fitch Ratings or the National Association of Insurance Commissioners. If the applicant does not have its own credit ratings, substitute the credit ratings of a parent or an affiliate organization and submit a statement signed by a principal officer of the applicant's parent or affiliate



Public Utilities Commission

organization that guarantees the obligations of the applicant. If an applicant or its parent does not have such a credit rating, enter 'Not Rated'.

This does not apply

C-5. Credit report

Provide a copy of the applicant's credit report from Experian, Equifax, TransUnion, Dun and Bradstreet or a similar credit reporting organization. If the applicant is a newly formed entity with no credit report, then provide a personal credit report for the principal owner of the entity seeking certification. At a minimum, the credit report must show summary information and an overall credit score. **Bank/credit account numbers and highly sensitive identification information must be redacted.** If the applicant provides an acceptable credit rating(s) in response to C-4, then the applicant may select 'This does not apply' and provide a response in the box below stating that a credit rating(s) was provided in response to C-4.

Preferred to file this information confidentially

C-6. Bankruptcy information

Within the previous 24 months, have any of the following filed for reorganization, protection from creditors or any other form of bankruptcy?

- Applicant
- Parent company of the applicant
- Affiliate company that guarantees the financial obligations of the applicant
- Any owner or officer of the applicant

No

C-7. Merger information

Is the applicant currently involved in any dissolution, merger or acquisition activity, or otherwise participated in such activities within the previous 24 months?

No

C-8. Corporate structure

Provide a graphical depiction of the applicant's corporate structure. Do not provide an internal organizational chart. The graphical depiction should include all parent holding companies,



subsidiaries and affiliates as well as 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 the applicant may respond by stating that it is a stand-alone entity with no affiliate or subsidiary companies.

Stand-alone entity with no affiliate or subsidiary companies

Section D: Applicant Technical Capacity

D-1. Operations

Power brokers/aggregators: Include details of the applicant's business operations and plans for arranging and/or aggregating for the supply of electricity to retail customers.

Operations Description: Legend Energy Advisors has existing brokerage agreements in place with several retail electricity suppliers serving customers in Ohio. When a client agrees to work with Legend, we will solicit bids from these suppliers and will help our clients execute retail supply agreements with the chosen supplier. Please note we facilitate the contract but at no time do we act as agent for our clients and we do not execute contracts on their behalf.

D-2. Operations Expertise & Key Technical Personnel

Given the operational nature of the applicant's business, provide evidence of the applicant's experience and technical expertise in performing such operations. Include the names, titles, e-mail addresses, and background of key personnel involved in the operations of the applicant's business.

File(s) attached



Public Utilities
Commission

Application Attachments

Entity#: 2295647
Filing Type: FOREIGN LIMITED LIABILITY COMPANY
Original Filing Date: 05/15/2014
Location: --
Business Name: LEGEND ENERGY ADVISORS LLC

Status: Active
Exp. Date: -

Agent/Registrant Information

INCORP SERVICES INC
9435 WATERSTONE BLVD
SUITE 140
CINCINNATI OH 45249
05/15/2014
Active

Filings

Filing Type	Date of Filing	Document ID
REG. OF FOR. PROFIT LIM. LIAB. CO.	05/15/2014	201413501179

**UNITED STATES OF AMERICA
STATE OF OHIO
OFFICE OF SECRETARY OF STATE**

I, Frank LaRose, Secretary of State of the State of Ohio, do hereby certify that this is a list of all records approved on this business entity and in the custody of the Secretary of State.



*Witness my hand and the seal of the
Secretary of State at Columbus,
Ohio this 16th of July, A.D. 2020*

Ohio Secretary of State

A handwritten signature in blue ink, reading "Frank LaRose".

Daniel Crosby, Managing Director

Years of Deregulated Energy Experience: 12

Email: dcrosby@legendea.com

Phone Number: 212-924-8525

Mr. Crosby has extensive experience in providing electricity and natural gas advisory services to large commercial and industrial companies across the U.S. Mr. Crosby has a background in engineering and construction and has over 12 years of experience in helping clients source energy supply in deregulated power and natural gas markets.

Taylor Bost, Director of Account Management

Years of Deregulated Energy Experience: 13

Email: tbost@legendea.com

Phone Number: 917-675-4321

Mr. Bost has over 13 years of experience assisting clients competitively purchase natural gas and electric supply in markets across the U.S. At Legend, Mr. Bost runs the Account Management group in charge of providing best-in-class service to Legend's clients.

Blake Owen, Director of Market Research

Years of Deregulated Energy Experience: 13

Email: bowen@legendea.com

Phone Number: 917-475-8871

Mr. Owen has over 13 years of experience in retail energy markets, spanning advisory services, brokerage, trading, and physical natural gas management. At Legend, Mr. Owen's focus is on helping clients understand the fundamental drivers of natural gas and electricity prices and structuring hedging strategies to help them mitigate price risk and manage costs.

Competitive Retail Electric Service Affidavit

County of Westchester :

State of New York :

C. Blake Owen, 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, and that it will amend its application while it is pending if any substantial changes occur regarding the information provided.
2. The applicant will timely file an annual report of its intrastate gross receipts, gross earnings, and sales of kilowatt-hours of electricity pursuant to Sections 4905.10(A), 4911.18(A), and 4928.06(F), Ohio Revised Code.
3. The applicant will timely pay any assessment made pursuant to Sections 4905.10, 4911.18, and 4928.06(F), Ohio Revised Code.
4. The 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. The applicant 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 will fully comply with Section 4928.09, Ohio Revised Code regarding consent to the jurisdiction of Ohio Courts and the service of process.
7. The applicant will comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
8. The applicant 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 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, 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.
11. The Applicant will inform the Public Utilities Commission of Ohio 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 consumer complaints.

12. The facts set forth above are true and accurate 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.

13. Affiant further sayeth naught.

C. Mr. Dan Director
Signature of Affiant & Title

ANA C RAMIREZ
NOTARY PUBLIC, STATE OF NEW YORK
Registration No. 02RA6171623
Qualified in Westchester County
My Commission Expires: July 31, 2023

Sworn and subscribed before me this 17th day of July, 2020
Month Year

Ana C Ramirez
Signature of official administering oath

Ana C. Ramirez, notary public
Print Name and Title

My commission expires on July 31, 2023

This foregoing document was electronically filed with the Public Utilities

Commission of Ohio Docketing Information System on

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in

Case No(s). 14-1092-EL-AGG

Summary: In the Matter of the Application of Legend Energy Advisors, LLC