



Please complete all information. Identify all attachments with a label and title (example: Exhibit C-2 Financial Statements). For paper filing, you can mail the original and two complete copies to the Public Utilities Commission of Ohio, Docketing Division, 180 East Broad Street, Columbus, Ohio 43215-3793.

A. Application Information

A-1. Provider Type.

Select the competitive retail electric service (CRES) provider type(s) for which the applicant is seeking certification. Please note you can select more than one.

Aggregator [], Power Broker [checked], Power Marketer [], Retail Electric Generation Provider []

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

Provide the name and contact information of the business entity.

Legal Name: Northeast Energy Advisors, LLC
Street Address: 10900 Perry Highway, Suite 210
City: Wexford State: PA Zip: 15090
Telephone: (412) 389-7290 Website: www.northeastenergyadvisors.com

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: Northeast Energy Advisors, LLC
Street Address: 10900 Perry Highway, Suite 210
City: Wexford State: PA Zip: 15090
Telephone: (412) 389-7290 Website: www.northeastenergyadvisors.com

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

Provide all business names the applicant uses in North America. You do not need to include the names provided in A-2 and A-3.

Name(s): Northeast Energy Advisors, LLC

A-5. Contact person for regulatory matters.

Name: Dave Mikula Title: President
Street Address: 10900 Perry Highway, Suite 210
City: Wexford State: PA Zip: 15090
Telephone: (412) 389-7290 Email: dmikula@northeastenergyadvisors.com

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

Name: Erich Landis Title: Vice President and Treasurer
Street Address: 10900 Perry Highway, Suite 210
City: Wexford State: PA Zip: 15090
Telephone: (412) 389-7290 Email: elandis@northeastenergyadvisors.com

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

Street Address: 10900 Perry Highway, Suite 210
City: Wexford State: PA Zip: 15090
Toll-free Telephone: (888) 998-0553 Email: elandis@northeastenergyadvisors.com

A-8. Applicant's federal employer identification number.

FEIN: 262092958

A-9. Applicant's form of ownership (select one).

Sole Proprietorship Limited Liability Partnership (LLP) Corporation Partnership
Limited Liability Company (LLC) Other: _____

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:

AES Ohio American Electric Power (AEP Ohio) Duke Energy Ohio FirstEnergy – Cleveland Electric Illuminating

FirstEnergy – Ohio
Edison



FirstEnergy – Toledo
Edison



Class of customer selection:

Commercial



Industrial



Mercantile



Residential



A-11. Start Date.

Indicate the approximate start date the applicant began/will begin offering services.

Date: 04/01/2013

A-12. Principal officers, directors and partners.

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

A-13. Company history.

Provide an attachment with a concise description of the applicant's company history and principal business interests.

A-14. Secretary of State.

Provide evidence that the applicant is currently registered with the Ohio Secretary of State.

B. Managerial Capability

Provide a response or attachment for each of the sections below.

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.

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.

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.

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? If yes, attach a document detailing the information.

Yes

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? If yes, attach a document detailing the information.

Yes

No

B-6. Environmental disclosure.

This section is only applicable if power marketer or retail electric generation provider has been selected in A-1.

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.

C. Financial Capability

Provide a response or attachment for each of the sections below.

C-1. Financial reporting.

Provide a current link to the most recent Form 10-K filed with the Securities and Exchange Commission (SEC) or attach a copy of 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.

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.

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.

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

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.

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? If yes, attach a document detailing the information.

Applicant

Parent company of the applicant

Affiliate company that guarantees the financial obligations of the applicant

Any owner or officer of the applicant

Yes

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? If yes, attach a document detailing the information.

Yes

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.

C-9. Financial arrangements.

This section is only applicable if power marketer or retail electric generation provider has been selected in A-1.

Provide copies of the applicant's financial arrangements to satisfy collateral requirements to conduct retail electric/natural gas business activities (e.g., parental guarantees, letters of credit, contractual arrangements, etc., as described below).

Renewal applicants may provide a current statement from an Ohio local distribution utility (LDU) that shows that the applicant meets the LDU's collateral requirements. The statement or letter must be on the utility's letterhead and dated within a 30-day period of the date the applicant files its renewal application.

First-time applicants or applicants whose certificate has expired must meet the requirements of C-9 in one of the following ways:

1. The applicant itself states that it is investment grade rated by Moody's Investors Service, Standard & Poor's Financial Services, or Fitch Ratings and provides evidence of rating from the rating agencies. If you provided a credit rating in C-4, reference the credit rating in the statement.

2. The applicant's parent company is investment grade rated (by Moody's, Standard & Poor's, or Fitch) and guarantees the financial obligations of the applicant to the LDU(s). Provide a copy of the most recent credit opinion from Moody's, Standard & Poor's or Fitch.
3. The applicant's parent company 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 parent company's financials and a copy of the parental guarantee must be included in the application if the applicant is relying on this option.
4. The applicant can provide evidence of posting a letter of credit with the LDU(s) listed as the beneficiary, in an amount sufficient to satisfy the collateral requirements of the LDU(s).

D. Technical Capability

Provide an attachment for each of the sections below.

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.

Power Marketers/Generators: Describe the operational nature of the applicant's business, specifying whether operations will include the generation of power for retail sales, the scheduling of retail power for transmission and delivery, the provision of retail ancillary services, as well as other services used to arrange for the purchase and delivery of electricity to retail customers.

D-2. Operations expertise and key technical personnel.

Provide evidence of the applicant's experience and technical expertise in performing the operations described in this application. Include the names, titles, e-mail addresses, telephone numbers and background of key personnel involved in the operational aspects of the applicant's business. If vendors or third parties are or will be utilized for any activities listed in this application, provide the name, contact information for each, and list which activities they will perform. Also, indicate which activities will be performed directly by the company. Please note that this information is required to be updated within 30 days of any changes.

D-3. FERC power marketer authorization.

This section is only applicable if power marketer or retail electric generation provider has been selected in A-1.

Provide the FERC docket granting the applicant power marketer authority.

As authorized representative for the above company/organization, I certify that all the information contained in this application is true, accurate and complete. I also understand that failure to report completely and accurately may result in penalties or other legal actions.


Signature

1/24/23
Date

Vice President and Treasurer

Title

Competitive Retail Electric Service Affidavit

County of Allegheny :

State of Pennsylvania :

Erich Landis, 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.

Erich Jankis Treas. VP
Signature of Affiant & Title

Sworn and subscribed before me this 24th day of June, 2025
Month Year

[Signature]
Signature of official administering oath

Harry M. Ruben
Print Name and Title Notary Public

Commonwealth of Pennsylvania - Notary Seal
Harry M. Ruben, Notary Public
Allegheny County
My commission expires July 13, 2024
Commission number 1141945
Member, Pennsylvania Association of Notaries

My commission expires on July 13, 2024

Northeast Energy Advisors, LLC

Exhibit A-12

(Principal Officers, Directors & Partners)

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

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

Company History

Formed in 2008, Northeast Energy Advisors, LLC, an independent, privately held company, is an energy advisory group providing energy supply advising and procurement services for various clients located in Pennsylvania, Ohio and Maryland. Our team is comprised of regionally based energy professionals with over 57 years of combined energy supply experience with some of the most innovative and competitive energy supply and marketing companies. Our mission is to assist our clients throughout the entire energy procurement process while navigating the complexities of dynamic energy markets to identify savings opportunities.

In addition to its Ohio license to provide power broker services, the company 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. The company is also licensed in the State of Maryland to supply electric generation services as a broker.

Northeast Energy Advisors, LLC

A-14

Secretary of State

Please see the attached certificate from the State of Ohio Office of the Secretary of State dated December 29, 2022 acknowledging that Northeast Energy Advisors is Pennsylvania limited liability company currently registered to do business in Ohio.

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

I, Frank LaRose, do hereby certify that I am the duly elected, qualified and present acting Secretary of State for the State of Ohio, and as such have custody of the records of Ohio and Foreign business entities; that said records show NORTHEAST ENERGY ADVISORS, LLC, a Pennsylvania Limited Liability Company, Registration Number 2175765, was registered in the State of Ohio on February 22, 2013, is currently authorized to transact business in this state.



Witness my hand and the seal of the Secretary of State at Columbus, Ohio this 29th day of December, A.D. 2022.

A handwritten signature in blue ink that reads "Frank LaRose".

Ohio Secretary of State

Validation Number: 202236303606

Exhibit B-1

(Jurisdictions of Operation)

Northeast Energy Advisors, LLC is a Pennsylvania domestic limited liability company that is also registered to do business in Ohio and Maryland. In addition to its license in Ohio, the company is licensed in the Commonwealth of Pennsylvania to supply natural gas services and 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)

Northeast Energy Advisors, LLC's two members, Dave Mikula and Erich Landis, have a combined experience of over forty-one years in the electricity and natural gas industries. In addition to its Ohio license to provide power broker services, the company 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. The company is also licensed in the State of Maryland to supply electric generation services as a broker. Northeast Energy Advisors, LLC currently provides services to hundreds of customers throughout Ohio, Pennsylvania and Maryland in more than a dozen service areas.

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.

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. 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)

As part of Northeast Energy Advisor's successful application to provide electricity supply broker services in Maryland, in 2015, the company was directed to pay a \$1,000 civil penalty for providing services to Pennsylvania and/or Ohio clients that also had a small number of physical locations in Maryland. ML # 162135; License Reference No.: IR-3432.

To the extent that the term "judicial actions" referenced in the section requires the disclosure of litigation matters in which the applicant has been a plaintiff or a defendant, the company states as follows:

Applicant has pending litigation matters at *Northeast Energy Advisors LLC v. Volunteer Energy Services, Inc.*, Court of Common Pleas of Allegheny County, Pennsylvania, Docket No. GD-17-006133 and *Volunteer Energy Services, Inc. v. Northeast Energy Advisors, LLC*, Court of Common Pleas of Allegheny County, Pennsylvania, Docket No. GD-17-010020. The matters involve disputes with a competitive energy supplier. These matters are stayed as a result of Volunteer Energy Services, Inc.'s pending bankruptcy proceeding.

Applicant has previously been involved in the following litigation matters, all of which have been resolved:

Firstenergy Solutions, Inc. v. JG Service Stations, Inc. v. Northeast Energy Advisors, LLC, Court of Common Pleas of Fayette County, Pennsylvania Docket No. 1681 of 2014, G.D. Firstenergy Solutions, Inc. sued JG Service Stations, Inc. for breach of contract. JG Service Stations, Inc. joined Northeast Energy Advisors, LLC as an additional defendant. Northeast Energy Advisors had procured new supply service for JG Service Stations, as requested by the company. JG Service Stations failed to disclose to Northeast Energy that it had additional contracts with First Energy Solutions. The matter resolved amicably in 2015, and Northeast Energy continues to provide services to the client.

Northeast Energy Advisors v. Buckeye Utility Solutions, LLC, Court of Common Pleas of Allegheny County, Pennsylvania, Docket No. GD-18-010737 and *Buckeye Utility Solutions, LLC v. Northeast Energy Advisors, LLC*, U.S.D.C. for the W. Dist. of Ohio, Case No. 5:18-CV-2081. These matters involved business disputes with an independent contractor. The matters resolved in 2018.

Northeast Energy Advisors, LLC

Exhibit B-6

(Environmental Disclosure)

Not applicable. Applicant is applying for renewal as a Power Broker.

Northeast Energy Advisors, LLC

Exhibit C-1

(Financial Reporting)

Applicant is not required to file a Form 10-K. Applicant is not required to make such filings. 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.

Northeast Energy Advisors, LLC

Exhibit C-4
(Credit Rating)

Not Rated.

Northeast Energy Advisors, LLC

Exhibit C-8

(Corporate Structure)

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

Northeast Energy Advisors, LLC

Exhibit C-9
(Financial Arrangements)

Not Applicable.

Exhibit D-1

(Operations)

For well over a decade, Northeast Energy Advisors, LLC has been educating its clients on how to purchase electricity more effectively and at the lowest cost in the marketplace. Over the years, the company has retained and expanded its roster of clients by offering objective and unbiased energy advisory services. The company's proven energy procurement solutions navigate the complexities of a dynamic energy market for its commercial, industrial and mercantile clients. Northeast Energy Advisors, LLC currently works with more than ten suppliers to provide supply solutions in Ohio.

Exhibit D-2

(Operations expertise and key technical personnel)

Dave Mikula, President and Secretary

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

Dave Mikula co-founded Northeast Energy Advisors, LLC in 2008. He is responsible for managing operations and sales in Western Pennsylvania, Ohio and Maryland. He has been involved with electricity and natural gas supply and consulting services since 1998. Before founding Northeast Energy Advisors, he worked for Strategic Energy, later Direct Energy, from 1998 to 2004; Reliant Energy NRG Solutions from 2004 to 2006; and Co-Exprise Energy Market Place from 2006 to 2007. Dave holds a Bachelor of Science degree in Electrical Engineering from Pennsylvania State University.

Over his twenty-five-year career in working as a marketer and supplier of energy commodity, he originated, negotiated and managed over 500 electricity and natural gas supply sales agreements. He has assisted a wide variety of customers, include small companies and larger property management and industrial operations.

Erich Landis, Vice President and Treasurer

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

Erich Landis has been involved in various aspects of the energy industry since 1997. Before co-founding Northeast Energy Advisors, he worked for Central and Southwest (later AEP) as a regional manager from 1997 to 1999; with Strategic Energy, later Direct Energy, as National Sale Manager from 1999 to 2004; and with Green Mountain Energy as Vice President from 2004 to 2006. Erich holds a Bachelor of Science Degree in Economics from Texas Tech University System and a Master's Degree in Public Administration from Texas A&M University.

Mr. Mikula and Mr. Landis are the sole members of the company, and actively manage its operations. At least one of them is involved in every action taken by the company.

Northeast Energy Advisors, LLC

Exhibit D-3

FERC Power Marketer Authorization)

Not applicable

**This foregoing document was electronically filed with the Public Utilities
Commission of Ohio Docketing Information System on**

1/31/2023 12:31:59 PM

in

Case No(s). 13-0532-EL-AGG

Summary: Application - 2023 Certificate Renewal Application electronically filed by
Mrs. Gretchen L. Petrucci on behalf of Northeast Energy Advisors, LLC