



The Public Utilities Commission of Ohio

PUCO USE ONLY		
Date Received	Case Number	Version
	- -EL-AGG	August 2004

CERTIFICATION APPLICATION FOR AGGREGATORS/POWER BROKERS

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit A-5 Experience). 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. APPLICANT INFORMATION

A-1 Applicant's legal name, address, telephone number and web site address

Legal Name Legend Energy Advisors LLC
Address 1712 Pioneer Ave Ste. 321, Cheyenne, WY 82001
Telephone # (844) 534-3633 Web site address (if any) _____

A-2 List name, address, telephone number and web site address under which Applicant will do business in Ohio

Legal Name Legend Energy Advisors LLC
Address 1712 Pioneer Ave Ste. 321, Cheyenne, WY 82001
Telephone # (844) 534-3633 Web site address (if any) _____

A-3 List all names under which the applicant does business in North America

Legend Energy Advisors LLC _____

A-4 Contact person for regulatory or emergency matters

Name Daniel Crosby
Title Managing Director

Business address 1712 Pioneer Ave Ste 321, Cheyenne, WY 82001
Telephone # (844) 534-3633 Fax #
E-mail address (if any) dorosby@legendenergyadvisors.com

A-5 Contact person for Commission Staff use in investigating customer complaints

Name Daniel Crosby
Title Managing Director
Business address 712 Pioneer Ave Ste 321, Cheyenne, WY 82001
Telephone # (844) 534-3633 Fax #
E-mail address (if any)

A-6 Applicant's address and toll-free number for customer service and complaints

Customer Service address 1712 Pioneer Ave Ste 321, Cheyenne, WY 82001
Toll-free Telephone # (844) 534-3633 Fax #
E-mail address (if any) info@legendenergyadvisors.com

A-7 Applicant's federal employer identification number # 0

A-8 Applicant's form of ownership (check one)

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

A-9 (Check all that apply) Identify each electric distribution utility certified territory in which the applicant intends to provide service, including identification of each customer class that the applicant intends to serve, for example, residential, small commercial, mercantile commercial, and industrial. (A mercantile customer, as defined in (A) (19) of Section 4928.01 of the Revised Code, is a commercial customer who consumes more than 700,000 kWh/year or is part of a national account in one or more states).

- | | | | | |
|--|--------------------------------------|--|--|--|
| <input checked="" type="checkbox"/> First Energy | | | | |
| <input checked="" type="checkbox"/> Ohio Edison | <input type="checkbox"/> Residential | <input checked="" type="checkbox"/> Commercial | <input checked="" type="checkbox"/> Mercantile | <input checked="" type="checkbox"/> Industrial |
| <input checked="" type="checkbox"/> Toledo Edison | <input type="checkbox"/> Residential | <input checked="" type="checkbox"/> Commercial | <input checked="" type="checkbox"/> Mercantile | <input checked="" type="checkbox"/> Industrial |
| <input checked="" type="checkbox"/> Cleveland Electric Illuminating | <input type="checkbox"/> Residential | <input checked="" type="checkbox"/> Commercial | <input checked="" type="checkbox"/> Mercantile | <input checked="" type="checkbox"/> Industrial |
| <input checked="" type="checkbox"/> Duke Energy | <input type="checkbox"/> Residential | <input checked="" type="checkbox"/> Commercial | <input checked="" type="checkbox"/> Mercantile | <input checked="" type="checkbox"/> Industrial |
| <input checked="" type="checkbox"/> Monongahela Power | <input type="checkbox"/> Residential | <input checked="" type="checkbox"/> Commercial | <input checked="" type="checkbox"/> Mercantile | <input checked="" type="checkbox"/> Industrial |
| <input checked="" type="checkbox"/> American Electric Power | | | | |
| <input checked="" type="checkbox"/> Ohio Power | <input type="checkbox"/> Residential | <input checked="" type="checkbox"/> Commercial | <input checked="" type="checkbox"/> Mercantile | <input checked="" type="checkbox"/> Industrial |
| <input checked="" type="checkbox"/> Columbus Southern Power | <input type="checkbox"/> Residential | <input checked="" type="checkbox"/> Commercial | <input checked="" type="checkbox"/> Mercantile | <input checked="" type="checkbox"/> Industrial |
| <input checked="" type="checkbox"/> Dayton Power and Light | <input type="checkbox"/> Residential | <input checked="" type="checkbox"/> Commercial | <input checked="" type="checkbox"/> Mercantile | <input checked="" type="checkbox"/> Industrial |

- A-10 Provide the approximate start date that the applicant proposes to begin delivering services
July 1, 2014

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

- A-11 **Exhibit A-11 "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-12 **Exhibit A-12 "Corporate Structure,"** provide a description of the applicant's corporate structure, 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 and companies that aggregate customers in North America.
- A-13 **Exhibit A-13 "Company History,"** provide a concise description of the applicant's company history and principal business interests.
- A-14 **Exhibit A-14 "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-15 **Exhibit A-15 "Secretary of State,"** provide evidence that the applicant has registered with the Ohio Secretary of the State.

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 "Summary of Experience,"** provide a concise summary of the applicant's experience in providing aggregation service(s) including contracting with customers to combine electric load and representing customers in the purchase of retail electric services. (e.g. number and types of customers served, utility service areas, amount of load, etc.).

B-4 **Exhibit B-4 "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-5 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-5 "Disclosure of Consumer Protection Violations"** detailing such violation(s) and providing all relevant documents.

B-6 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-6 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation"** detailing such action(s) and providing all relevant documents.

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 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.

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. 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.
- 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.,).
- C-5 **Exhibit C-5 “Forecasted Financial Statements,”** provide two years of forecasted financial statements (balance sheet, income statement, and cash flow statement) for the applicant’s CRES operation, along with a list of assumptions, and the name, address, e-mail address, and telephone number of the preparer.
- 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, Dun and Bradstreet Information Services, Fitch IBCA, Moody’s Investors Service, Standard & Poors, 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 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.
- 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.
- 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 five most recent years preceding the application.

Daniel C. MANDALAK
Signature of Applicant & Title

Sworn and subscribed before me this 4th day of June, 2014
Month Year

Rohini N. Bedasie
Signature of official administering oath

Rohini N. Bedasie, Notary Public
Print Name and Title



My commission expires on July 19, 2014

AFFIDAVIT

State of NEW YORK :

NEW YORK ss.
(Town)

County of NEW YORK :

DANIEL CRESBY, Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/She is the MANAGING DIR. (Office of Affiant) of LEGEND ENERGY ADVISORS (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 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 comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
8. 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.
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 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.

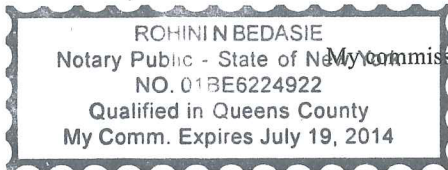
That the facts above set forth are true and correct to the best of his/her knowledge, information, and belief and that he/she expects said Applicant to be able to prove the same at any hearing hereof.

Dan K. MANAGING DIR
Signature of Affiant & Title

Sworn and subscribed before me this 4th day of June, 2014
Month Year

Rohini N. Bedasie
Signature of official administering oath

Rohini N. Bedasie, Notary Public
Print Name and Title



My commission expires on July 19, 2014

Exhibit A-11 Principles Officers, Directors & Partners

Daniel Crosby, Managing Director, 1 Penn Plaza #6184, New York, NY 10119, 203-517-7553

Exhibit A-12 Corporate Structure

Managing Director- Daniel Crosby

Company is currently serving customer in Texas and New York

There are no affiliate or subsidiary companies

Exhibit A-13 Company History

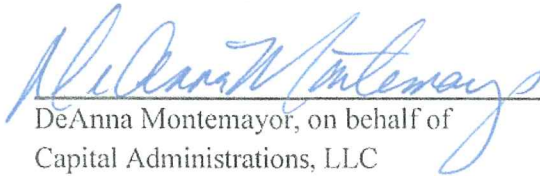
Legend Energy Advisors was formed on April 23, 2014 and provides energy brokerage services to commercial and industrial clients. We have started out in the Texas and New York markets but have clients in those states that have facilities in Ohio and would like us to provide services for them in Ohio.

Exhibit A-14 Article of Incorporation and Bylaws

**CONSENT TO
APPOINTMENT BY REGISTERED AGENT**

- I. Capital Administrations, LLC, located at 1712 Pioneer Ave. Ste. 115 Cheyenne, WY, 82001, voluntarily consents to serve as the registered agent for Legend Energy Advisors LLC, on the date shown below;
- II. The registered agent certifies that it is a domestic corporation or not-for-profit domestic corporation whose business office is identical with the registered office.
- III. The undersigned by and on behalf of Capital Administrations, LLC, hereby certify that it is in compliance with the requirements of W.S. 17-28-101 through W.S. 17-28-111.

Dated this 18th day of April, 2014.


DeAnna Montemayor, on behalf of
Capital Administrations, LLC

ARTICLES OF ORGAN
OF
Legend Energy Advisors LLC
A LIMITED LIABILITY COMPANY

- I. The name of the limited liability company is Legend Energy Advisors LLC, a Limited Liability Company.
- II. The period of its duration is perpetual from the date of filing Articles of Organization with the Wyoming Secretary of State.
- III. The purpose for which the limited liability company is organized is: any lawful purpose except for the purposes of banking and insurance.
- IV. The name and address of its registered agent is:

Capital Administrations, LLC
1712 Pioneer Ave. Ste. 115
Cheyenne, WY 82001

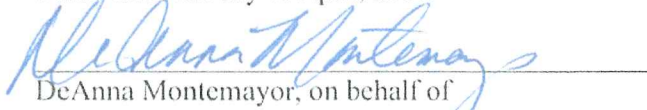
(The registered agent may be an individual resident in this state or a domestic foreign corporation authorized to transact business in this state, having a business office identical with such registered office.)

- V. The mailing address of the principal office:

1712 Pioneer Ave. Ste. 5730
Cheyenne, WY 82001

- VI. The remaining members of the limited liability company, if any, shall have the right to continue the business on the death, retirement, resignation, expulsion, bankruptcy or dissolution of a member or occurrence of any other event which terminates the continued membership of a member of the limited liability company, unless otherwise stated in the Membership Operating Agreement.

Dated this 18th day of April, 2014.


DeAnna Montemayor, on behalf of
Capital Administrations, LLC, Organizer
tax@wyomingcompany.com

Received
APR 18 2014
Secretary of State
Wyoming

STATE OF WYOMING
Office of the Secretary of State

I, MAX MAXFIELD, SECRETARY OF STATE of the STATE OF WYOMING, do hereby certify that the filing requirements for the issuance of this certificate have been fulfilled.

CERTIFICATE OF ORGANIZATION

Legend Energy Advisors LLC

Accordingly, the undersigned, by virtue of the authority vested in me by law, hereby issues this Certificate.

I have affixed hereto the Great Seal of the State of Wyoming and duly executed this official certificate at Cheyenne, Wyoming on this 23rd day of April, 2014.



Filed Date: 04/23/2014


Secretary of State

By: Dave Barker

RESOLUTIONS ADOPTED BY ORGANIZER

OF

Legend Energy Advisors LLC

The undersigned, being the sole Organizer of the Limited Liability Company hereby adopts the following resolutions:

RESOLVED, that a copy of the Certificate of Organization of the Limited Liability Company, together with the original receipt showing payment of the statutory organization tax and filing fee, be inserted in the Minute Book of the Limited Liability Company.

RESOLVED, that the form of the Operating Agreement submitted to the meeting be, and the same hereby are, adopted as and for the Operating Agreement of the Limited Liability Company, and that a copy thereof be placed in the Minute Book of the Limited Liability Company.

RESOLVED, that the following persons be, and hereby are, elected as Managers of the Limited Liability Company, to serve until the first annual meeting, and until their successors are elected and qualify.

FURTHER RESOLVED, that the following persons be, and is given full authority to manage, control and operate the said Limited Liability Company.

RESOLVED FURTHER, that the following person(s), is authorized to make decisions in the ordinary course of business, including, but not limited to, decisions regarding sales, purchases and employees. As well as the right to open a bank account, lines of credit, contractual agreements, and other financial agreements in the name of the Limited Liability Company for the deposit of funds belonging to the Limited Liability Company, such funds to be withdrawn only by lawful banking transactions signed by authorized parties.

Daniel Crosby

IN WITNESS WHEREOF, the undersigned has executed this written consent, dated this 18th day of April, 2014, at Cheyenne, Wyoming.

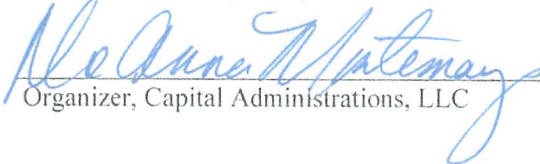
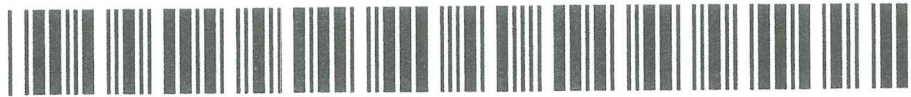

Organizer, Capital Administrations, LLC

Exhibit A-15 Secretary of State



DATE	DOCUMENT ID	DESCRIPTION	FILING	EXPED	PENALTY	CERT	COPY
05/15/2014	201413501179	REG. OF FOR. PROFIT LIM. LIAB. CO. (LFP)	125.00	0.00	0.00	0.00	0.00

Receipt

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

LEGEND ENERGY ADVISORS
1 PENN PLAZA
SUITE 6184
NEW YORK, NY 10119

**STATE OF OHIO
CERTIFICATE**

Ohio Secretary of State, Jon Husted
2295647

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

LEGEND ENERGY ADVISORS LLC

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

Document(s)

REG. OF FOR. PROFIT LIM. LIAB. CO.

Effective Date: 05/15/2014

Document No(s):

201413501179



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
15th day of May, A.D. 2014.

Jon Husted

Ohio Secretary of State

Exhibit B-1 Jurisdictions of Operation

Legend Energy Advisors is currently authorized to provide retail natural gas and electric services in the following jurisdictions:

- New York
- Texas

Exhibit B-2 Experience & Plans

The principle of the company has been in the retail energy business for almost 10 years and has managed the national and international energy portfolios of Fortune 500 companies. He has a degree in Mechanical Engineering and a back ground in commercial construction and up stream oil and gas before entering the retail energy space. This career has afforded a deep understanding of the energy business from drilling, generation and exploration to demand side energy usage at customer facilities.

The plan for contracting with customer we be initiated by defining a scope of services which Legend will provide over a set period of time. Those services will be provided by Legend as laid out in the contract and Legend will bill clients in accordance with the billing set out in the contract. Legend always strives to exceed client expectation. In the rare event that there is a client concern, Legend will always respond within 24 hours to the client and immediately take action to make sure the clients expectation are not only being met but exceeded.

Exhibit B-3 Summary of Experience

The principal of Legend Energy Advisors has deep experience in deregulated energy as well as the Ohio market. He has managed power and natural gas for large industrial clients ranging from 24-hour manufacturing operation to major interstate natural gas pipelines. He has also advised clients around market issues such as the exceptionally high capacity costs associated with the current auction in ATSI zone. He has provided service in all utilities of the Ohio market and has managed customer gas loads ranging from several thousand dth annually to loads in excess of 1 bcf annually.

Exhibit B-4 Disclosure of Liabilities and Investigations

None

Exhibit C-1 Annual Reports

N/A The company is newly formed and has no shareholders.

Exhibit C-2 SEC Filings

N/A The company is not obligated to file with the SEC

Exhibit C-3 Financial Statements

[FILED UNDER SEAL]

Exhibit C-4 Financial Arrangements

N/A

Exhibit C-5 Forecasted Financial Statements

[FILED UNDER SEAL]

Exhibit C-6 Credit Rating

N/A The company has only been in business for 2 months and is not yet registered with the aforementioned ratings agencies. Legend Energy Advisors is currently in the process of setting up a profile on D&B

Exhibit C-7 Credit Report

Legend Energy Advisors is currently in the process of setting up a profile on D&B

Exhibit C-8 Bankruptcy Information

Never declared bankruptcy

Exhibit C-9 Merger Information

Never been a merger

This foregoing document was electronically filed with the Public Utilities

Commission of Ohio Docketing Information System on

6/16/2014 11:07:36 AM

in

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

Summary: Application for Certification as an Aggregator/Power Broker in Ohio for Legend Energy Advisors LLC electronically filed by Mrs. Gretchen L Lange on behalf of Legend Energy Advisors LLC