



The Public Utilities Commission of Ohio

Original AGG Case Number	Version
13-532-EL-AGG	August 2004

RENEWAL APPLICATION FOR AGGREGATORS/POWER BROKERS

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit A-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's legal name, address, telephone number, PUCO certificate number, and web site address

Legal Name Northeast Energy Advisors, LLC
Address 10900 Perry Highway, Suite 210, Wexford, PA 15090
PUCO Certificate # and Date Certified 13-66E(1) - April 1, 2013
Telephone # (412) 389-7290 Web site address (if any) www.northeastenergyadvisors.com

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

Legal Name Northeast Energy Advisors, LLC
Address 10900 Perry Highway, Suite 210, Wexford, PA 15090
Telephone # (412) 389-7290 Web site address (if any) www.northeastenergyadvisors.com

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

Northeast Energy Advisors, LLC _____

A-4 Contact person for regulatory or emergency matters

Name Dave Mikula
Title President
Business address 10900 Perry Highway, Suite 210, Wexford, PA 15090
Telephone # (412) 389-7290 Fax # (412) 202-4233
E-mail address (if any) dmikula@northeastenergyadvisors.com

A-5 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) 202-4223
E-mail address (if any) elandis@northeastenergyadvisors.com

A-6 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 (if any) elandis@northeastenergyadvisors.com

A-7 Applicant's federal employer identification number # 262092958

A-8 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-9 Exhibit A-9 "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-10 Exhibit A-10 "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.

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.

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.


 Signature of Applicant & Title
Erich Landis, Vice President and Treasurer

Sworn and subscribed before me this 5th day of Feb, 2015
 Month Year


 Signature of official administering oath

My commission expires on

Print Name and Title
 COMMONWEALTH OF PENNSYLVANIA
 Notarial Seal
 Harry M. Ruben, Notary Public
 Pine Twp., Allegheny County
 My Commission Expires July 13, 2016
 MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

AFFIDAVIT

State of _____ :
COMMONWEALTH OF PENNSYLVANIA ss.
COUNTY OF ALLEGHENY (Town)
County of _____ :

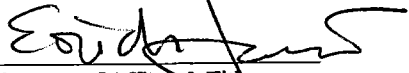
Erich Landis, Affiant, being duly sworn/affirmed according to law, deposes and says that:
He/She is the Vice President and Treasurer (Office of Affiant) of North-East Energy Advisors, LLC (Name of Applicant);

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.

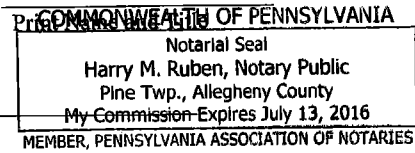
That the facts above set forth are true and correct to the best of his/her knowledge, information, and belief and that he/she expects said Applicant to be able to prove the same at any hearing hereof.


Signature of Affiant & Title
Erich Lendis, Vice President and Treasurer

Sworn and subscribed before me this 5th day of Feb, 2015
Month Year


Signature of official administering oath

My commission expires on _____



Northeast Energy Advisors, LLC

Exhibit A-9

(Principal Officers, Directors & Partners)

David 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

Northeast Energy Advisors, LLC

Exhibit A-10

(Corporate Structure)

The Applicant is a Pennsylvania domestic limited liability company that is registered to do business in Ohio and Maryland. David Mikula and Erich Landis are officers, members and directly own the Applicant. In addition to Applicant's license in Ohio, Applicant is licensed in Pennsylvania to supply electric generation supply services as a broker/marketer, and has applied for a license in Maryland to supply electric generation services as a broker. Applicant's application is currently pending with the Maryland Public Service Commission. Applicant does not have any affiliates or subsidiary companies that supply retail or wholesale electricity or natural gas to customers and companies that aggregate customers in North America.

Northeast Energy Advisors, LLC

Exhibit B-1

(Jurisdictions of Operations)

State of Ohio
Commonwealth of Pennsylvania

Exhibit B-2

(Experience & Plans)

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

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.

Although serving residential customers is not a focus of the Applicant's business, it does serve 117 residential customers in Ohio who are primarily friends, family members or employees of existing commercial customers.

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.

Northeast Energy Advisors, LLC

Exhibit B-3

(Disclosure of Liabilities and Investigations)

There are no existing, pending or past 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.

Northeast Energy Advisors, LLC

Exhibit C-1
(Annual Reports)

The Applicant is not required to have annual reports.

Northeast Energy Advisors, LLC

Exhibit C-2

(SEC Filings)

The Applicant does not have such filings and it has no parent company that is required to have such filings.

Northeast Energy Advisors, LLC

Exhibit C-3
(Financial Statements)

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

Northeast Energy Advisors, LLC

Exhibit C-4
(Financial Arrangements)

Not applicable.

Northeast Energy Advisors, LLC

Exhibit C-5
(Forecasted Financial Statements)

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

Northeast Energy Advisors, LLC

Exhibit C-6

(Credit Rating)

The applicant does not have a credit rating from Duff & Phelps, Dun & Bradstreet Information Services, Fitch IBCA, Moody's Investors Service, Standard & Poor's, or a similar organization. It 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 and Experian BizVerify Report.

**BizVerifySM Report**

as of: 12/18/14 09:54 ET

Northeast Energy Advisors, LLC

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

Experian BIN: 968777827

Experian File Established: March 2013
Experian Years on File: 1 Year
Years in Business: More than 1 Year

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

UCC Filings: 0

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

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CreditScoreSM Report

as of: 12/04/14 09:52 ET

Northeast Energy Advisors, LLC

Address: 578 Olive St
Pittsburgh, PA 15237-4879
United States

Experian BIN: 882632283

SIC Code: 8748-Business Consulting
Services, Nec

NAICS Code: 541618-Other Management
Consulting Services

Business Type: Corporation

Experian File Established: March 2008

Experian Years on File: 6 Years

Years in Business: 7 Years

Total Employees: 1

Sales: \$98,000

Filing Data Provided by: Pennsylvania

Date of Incorporation: 02/19/2008

UCC Filings: 0

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

✗ Businesses Scoring Worse: 39%

✓ Bankruptcies: 0

✓ Liens: 0

✓ Judgments Filed: 0

✓ Collections: 0

Credit Summary

Credit Ranking Score: 39

High
Risk



Low
Risk

The objective of the Credit Ranking 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:

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

Recommended Action: Medium Risk

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Northeast Energy Advisors, LLC

Exhibit C-8

(Bankruptcy Information)

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

Northeast Energy Advisors, LLC

Exhibit C-9
(Merger Information)

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

This foregoing document was electronically filed with the Public Utilities

Commission of Ohio Docketing Information System on

2/6/2015 11:26:00 AM

in

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

Summary: Application Renewal Application for Aggregators/Power Brokers electronically filed by Mr. Stephen M Howard on behalf of Northeast Energy Advisors, LLC