

FILE

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Ohio**Public Utilities
Commission**

PUCO USE ONLY - Version 1.08 May 2016		
Date Received	Renewal Certification Number	ORIGINAL CRS Case Number
		12 - 1577 - GA-CRS

RENEWAL CERTIFICATION APPLICATION COMPETITIVE RETAIL NATURAL GAS SUPPLIERS

Please **type or print** all required information. Identify all attachments with an exhibit label and title (*Example: Exhibit A-15 - Company History*). 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 directly input information onto the form. You may also download the form by saving it to your local disk.

SECTION A - APPLICANT INFORMATION AND SERVICES

A-1 Applicant intends to renew its certificate as: (check all that apply)

☒ Retail Natural Gas Aggregator ☒ Retail Natural Gas Broker ☒ Retail Natural Gas Marketer

A-2 Applicant information:

Legal Name Plymouth Rock Energy, LLC
 Address 1074 Broadway, Woodmere, NY 11598
 Telephone No. 516-734-0408 Web site Address www.plymouthenergy.com
 Current PUCO Certificate No. 12-256G Effective Dates

A-3 Applicant information under which applicant will do business in Ohio:

Name Business Filings Incorporated
 Address 4400 Easton Commons Way, Suite 125, Columbus, OH 43219
 Web site Address www.bizfilings.com Telephone No. 608-827-5300

A-4 List all names under which the applicant does business in North America:

Plymouth Rock Energy, LLC

A-5 Contact person for regulatory or emergency matters:

Name Michael Reiss Title Director of Regulatory
 Business Address 1074 Broadway, Woodmere, NY 11598
 Telephone No. 516-455-2346 Fax No. 516-295-1417 Email Address mreiss@plymouthenergy.com

This is to certify that the images appearing are an accurate and complete reproduction of a case file document delivered in the regular course of business.
 Technician DMO Date Processed MAY 18 2016

Supplier Renewal - Version 1.08)

Page 1 of 8

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 2016 MAY 18 AM 11:49
 PUCO

A-6 Contact person for Commission Staff use in investigating customer complaints:

Name **Michael Reiss** Title **Director of Regulatory**
Business address **1074 Broadway, Woodmere, NY11598**
Telephone No. **516-455-2346** Fax No. **516-295-1417** Email Address **mreiss@plymouthenergy.com**

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

Customer service address **1074 Broadway, Woodmere, NY 11598**
Toll-Free Telephone No. **855-327-6937** Fax No. **516-295-1417** Email Address **mreiss@plymouthenergy.com**

A-8 Provide "Proof of an Ohio Office and Employee," in accordance with Section 4929.22 of the Ohio Revised Code, by listing name, Ohio office address, telephone number, and Web site address of the designated Ohio Employee

Name **Business Filings Incorporated** Title
Business address **4400 Easton Commons Way, Suite 125, Columbus OH 43219**
Telephone No. **608-827-5300** Fax No. Email Address **www.bizfilings.com**

A-9 Applicant's federal employer identification number 57-1212547

A-10 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 |

A-11 (Check all that apply) Identify each natural gas company service area in which the applicant is currently providing service or intends to provide service, including identification of each customer class that the applicant is currently serving or intends to serve, for example: *residential, small commercial, and/or large commercial/industrial (mercantile) customers*. (A mercantile customer, as defined in Section 4929.01(L)(1) of the Ohio Revised Code, means a customer that consumes, other than for residential use, more than 500,000 cubic feet of natural gas per year at a single location within the state or consumes natural gas, other than for residential use, as part of an undertaking having more than three locations within or outside of this state. In accordance with Section 4929.01(L)(2) of the Ohio Revised Code, "Mercantile customer" excludes a not-for-profit customer that consumes, other than for residential use, more than 500,000 cubic feet of natural gas per year at a single location within this state or consumes natural gas, other than for residential use, as part of an undertaking having more than three locations within or outside this state that has filed the necessary declaration with the Public Utilities Commission.)

<input checked="" type="checkbox"/>	Dominion Energy	<input checked="" type="checkbox"/>	Residential	<input checked="" type="checkbox"/>	Small Commercial	<input checked="" type="checkbox"/>	Large Commercial / Industrial
<input checked="" type="checkbox"/>	Dominion East Ohio	<input checked="" type="checkbox"/>	Residential	<input checked="" type="checkbox"/>	Small Commercial	<input checked="" type="checkbox"/>	Large Commercial / Industrial
<input checked="" type="checkbox"/>	Dominion Energy	<input checked="" type="checkbox"/>	Residential	<input checked="" type="checkbox"/>	Small Commercial	<input checked="" type="checkbox"/>	Large Commercial / Industrial
<input checked="" type="checkbox"/>	Vectren Energy Delivery of Ohio	<input checked="" type="checkbox"/>	Residential	<input checked="" type="checkbox"/>	Small Commercial	<input checked="" type="checkbox"/>	Large Commercial / Industrial

A-12 If applicant or an affiliated interest previously participated in any of Ohio's Natural Gas Choice Programs, for each service area and customer class, provide approximate start date(s) and/or end date(s) that the applicant began delivering and/or ended services.

☐ **Columbia Gas of Ohio**

<input type="checkbox"/>		Beginning Date of Service		End Date	
<input type="checkbox"/>	Small Commercial	Beginning Date of Service		End Date	
<input type="checkbox"/>		Beginning Date of Service		End Date	
<input type="checkbox"/>	Industrial	Beginning Date of Service		End Date	

☐ **Dominion East Ohio**

<input type="checkbox"/>		Beginning Date of Service		End Date	
<input type="checkbox"/>	Small Commercial	Beginning Date of Service		End Date	
<input type="checkbox"/>		Beginning Date of Service		End Date	
<input type="checkbox"/>	Industrial	Beginning Date of Service		End Date	

☐ **Duke Energy Ohio**

<input type="checkbox"/>		Beginning Date of Service		End Date	
<input type="checkbox"/>	Small Commercial	Beginning Date of Service		End Date	
<input type="checkbox"/>		Beginning Date of Service		End Date	
<input type="checkbox"/>	Industrial	Beginning Date of Service		End Date	

☐ **Vectren Energy Delivery of Ohio**

<input type="checkbox"/>		Beginning Date of Service		End Date	
<input type="checkbox"/>	Small Commercial	Beginning Date of Service		End Date	
<input type="checkbox"/>		Beginning Date of Service		End Date	
<input type="checkbox"/>	Industrial	Beginning Date of Service		End Date	

A-13 If not currently participating in any of Ohio's four Natural Gas Choice Programs, provide the approximate start date that the applicant proposes to begin delivering services:

<input checked="" type="checkbox"/>	Columbus Gas of Ohio	Intended Start Date	12/1/2016
<input checked="" type="checkbox"/>	Dominion East Ohio	Intended Start Date	12/1/2016
<input checked="" type="checkbox"/>	Delaware Gas	Intended Start Date	12/1/2016
<input checked="" type="checkbox"/>	Vectren Energy Delivery of Ohio	Intended Start Date	12/1/2016

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

- A-14 **Exhibit A-14 "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-15 **Exhibit A-15 "Company History,"** provide a concise description of the applicant's company history and principal business interests.
- A-16 **Exhibit A-16 "Articles of Incorporation and Bylaws,"** provide the articles of incorporation filed with the state or jurisdiction in which the applicant is incorporated and any amendments thereto, *only if the contents of the originally filed documents changed since the initial application.*
- A-17 **Exhibit A-17 "Secretary of State,"** provide evidence that the applicant is still currently registered with the Ohio Secretary of the State.

SECTION 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 current 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 natural gas service, or retail/wholesale electric services.
- B-2 **Exhibit B-2 "Experience & Plans,"** provide a current 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 4929.22 of the Revised Code and contained in Chapter 4901:1-29 of the Ohio Administrative Code.
- B-3 **Exhibit B-3 "Summary of Experience,"** provide a concise and current summary of the applicant's experience in providing the service(s) for which it is seeking renewed certification (e.g., number and types of customers served, utility service areas, volume of gas supplied, etc.).
- B-4 **Exhibit B-4 "Disclosure of Liabilities and Investigations,"** provide a description of all existing, pending or past rulings, judgments, contingent liabilities, revocations 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 for which it is seeking renewed certification since applicant last filed for certification.

- B-5 Exhibit B-5 "Disclosure of Consumer Protection Violations,"** disclose whether the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant has been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws since applicant last filed for certification.

☒ 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 Exhibit B-6 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation,"** disclose whether the applicant or a predecessor of the applicant has had any certification, license, or application to provide retail natural gas or retail/wholesale electric service denied, curtailed, suspended, or revoked, or whether the applicant or predecessor has been terminated from any of Ohio's Natural Gas Choice programs, or been in default for failure to deliver natural gas since applicant last filed for certification.

☒ 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.

SECTION 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, labeled as Exhibit C-1, or indicate that Exhibit C-1 is not applicable and why.
(This is generally only applicable to publicly traded companies who publish annual reports.)
- C-2 Exhibit C-2 "SEC Filings,"** provide the most recent 10-K/8-K Filings with the SEC. If applicant does not have such filings, it may submit those of its parent company. An applicant may submit a current link to the filings or provide them in paper form. If the applicant does not have such filings, then the applicant may indicate in Exhibit C-2 that the applicant is not required to file with the SEC and why.
- C-3 Exhibit C-3 "Financial Statements,"** provide copies of the applicant's two most recent years of audited financial statements (balance sheet, income statement, and cash flow statement). If audited financial statements are not available, provide officer certified financial statements. If the applicant has not been in business long enough to satisfy this requirement, it shall file audited or officer certified financial statements covering the life of the business. If the applicant does not have a balance sheet, income statement, and cash flow statement, the applicant may provide a copy of its two most recent years of tax returns (with social security numbers and account numbers redacted).
- C-4 Exhibit C-4 "Financial Arrangements,"** provide copies of the applicant's current financial arrangements to conduct competitive retail natural gas service (CRNGS) as a business activity (e.g., guarantees, bank commitments, contractual arrangements, credit agreements, etc.)

Renewal applicants can fulfill the requirements of Exhibit C-4 by providing a current statement from an Ohio local distribution utility (LDU) that shows that the applicant meets the LDU's collateral requirements.

First time applicants or applicants whose certificate has expired as well as renewal applicants can meet the requirement by one of the following methods:

1. The applicant itself stating that it is investment grade rated by Moody's, Standard & Poor's or Fitch and provide evidence of rating from the rating agencies.
2. Have a parent company or third party that is investment grade rated by Moody's, Standard & Poor's or Fitch guarantee the financial obligations of the applicant to the LDU(s).
3. Have a parent company or third party that is not investment grade rated by Moody's, Standard & Poor's or Fitch but has substantial financial wherewithal in the opinion of the Staff reviewer to guarantee the financial obligations of the applicant to the LDU(s). The guarantor company's financials must be included in the application if the applicant is relying on this option.
4. Posting a Letter of Credit with the LDU(s) as the beneficiary.

If the applicant is not taking title to the electricity or natural gas, enter "N/A" in Exhibit C-4. An N/A response is only applicable for applicants seeking to be certified as an aggregator or broker.

C-5 Exhibit C-5 "Forecasted Financial Statements," provide two years of forecasted income statements for the applicant's **NATURAL GAS related business activities in the state of Ohio Only**, along with a list of assumptions, and the name, address, email address, and telephone number of the preparer. The forecasts should be in an annualized format for the two years succeeding the Application year.

C-6 Exhibit C-6 "Credit Rating," provide a statement disclosing the applicant's current credit rating as reported by two of the following organizations: Duff & Phelps, Fitch IBCA, Moody's Investors Service, Standard & Poor's, or a similar organization. In instances where an applicant does not have its own credit ratings, it may substitute the credit ratings of a parent or an affiliate organization, provided the applicant submits a statement signed by a principal officer of the applicant's parent or affiliate organization that guarantees the obligations of the applicant. If an applicant or its parent does not have such a credit rating, enter "N/A" in Exhibit C-6.

- C-7 **Exhibit C-7 "Credit Report,"** provide a copy of the applicant's current credit report from Experian, Dun and Bradstreet, or a similar organization. An applicant that provides an investment grade credit rating for Exhibit C-6 may enter "N/A" for Exhibit C-7.
- C-8 **Exhibit C-8 "Bankruptcy Information,"** provide a list and description of any reorganizations, protection from creditors, or any other form of bankruptcy filings made by the applicant, a parent or affiliate organization that guarantees the obligations of the applicant or any officer of the applicant in the current year or within the two most recent years preceding the application.
- C-9 **Exhibit C-9 "Merger Information,"** provide a statement describing any dissolution or merger or acquisition of the applicant within the two most recent years preceding the application.
- C-10 **Exhibit C-10 "Corporate Structure,"** provide a description of the applicant's corporate structure, not an internal organizational chart, including a graphical depiction of such structure, and a list of all affiliate and subsidiary companies that supply retail or wholesale electricity or natural gas to customers in North America. If the applicant is a stand-alone entity, then no graphical depiction is required and applicant may respond by stating that they are a stand-alone entity with no affiliate within the two most recent years preceding the application.

SECTION D – APPLICANT TECHNICAL CAPABILITY

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

- D-1 **Exhibit D-1 "Operations,"** provide a current written description of the operational nature of the applicant's business. Please include whether the applicant's operations will include the contracting of natural gas purchases for retail sales, the nomination and scheduling of retail natural gas for delivery, and the provision of retail ancillary services, as well as other services used to supply natural gas to the natural gas company city gate for retail customers.
- D-2 **Exhibit D-2 "Operations Expertise,"** given the operational nature of the applicant's business, provide evidence of the applicant's current experience and technical expertise in performing such operations.
- D-3 **Exhibit D-3 "Key Technical Personnel,"** provide the names, titles, email addresses, telephone numbers, and background of key personnel involved in the operational aspects of the applicant's current business.

Applicant Signature and Title

[Handwritten Signature] CG

Sworn and subscribed before me this

17th

day of

MAY

Month

2016

Year

Melanie T. Mayweather

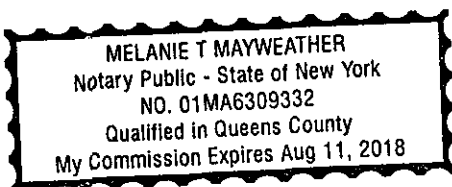
Signature of official administering oath

Melanie T. Mayweather

Print Name and Title

My commission expires on

8/11/18





The Public Utilities Commission of Ohio

Competitive Retail Natural Gas Service Affidavit Form (Version 1.07)

In the Matter of the Application of)

Plymouth Rock Energy)

for a Certificate or Renewal Certificate to Provide)
Competitive Retail Natural Gas Service in Ohio.)

Case No.

-GA-CRS

County of Nassau
State of New York

Shyam Persaud

[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.
- (2) The applicant will timely file an annual report of its intrastate gross receipts and sales of hundred cubic feet of natural gas pursuant to Sections 4905.10(A), 4911.18(A), and 4929.23(B), Ohio Revised Code.
- (3) The applicant will timely pay any assessment made pursuant to Section 4905.10 or Section 4911.18(A), Ohio Revised Code.
- (4) 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) Applicant will cooperate with the Public Utilities Commission of Ohio and its staff in the investigation of any consumer complaint regarding any service offered or provided by the applicant.
- (6) Applicant will comply with Section 4929.21, Ohio Revised Code, regarding consent to the jurisdiction of the Ohio courts and the service of process.
- (7) Applicant will inform the Public Utilities Commission of Ohio of any material change to the information supplied in the certification or certification renewal application within 30 days of such material change, including any change in contact person for regulatory or emergency purposes or contact person for Staff use in investigating customer complaints.
- (8) Affiant further sayeth naught.

Affiant Signature & Title

Shyam Persaud, CFO

Sworn and subscribed before me this

17th day of

MAY Month

2016 Year

Melanie T. Mayweather

Signature of Official Administering Oath

Melanie T. Mayweather

Print Name and Title

MELANIE T MAYWEATHER
Notary Public - State of New York
NO. 01MA6309332
Qualified in Queens County
My Commission Expires Aug 11, 2018

My commission expires on

8/11/18

(CRNGS Supplier Renewal) - Version 1.08

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Exhibit A-10 "Principal Officers, Directors & Partners"

Plymouth Rock Energy, LLC

Officers:

Adam Sokol, President

1074 Broadway
Woodmere, NY 11598
asokol@plymouthenergy.com
Phone: 516-634-2152
Fax: 718-852-8628

David Sokol, Vice President

1074 Broadway
Woodmere, NY 11598
dsokol@plymouthenergy.com
Phone: 516-634-2151
Fax: 718-852-8628

Shyam Persaud, CFO

1074 Broadway
Woodmere, NY 11598
spersaud@plymouthenergy.com
Phone: 516-634-2501
Fax: 718-852-8628

Mendy Sokol, Chairman

1074 Broadway
Woodmere, NY 11598
msokol@plymouthenergy.com
Phone: 516-634-2153
Fax: 718-852-8628

Exhibit A-15 “Corporate Structure”

Plymouth Rock Energy, LLC

Organizational Structure

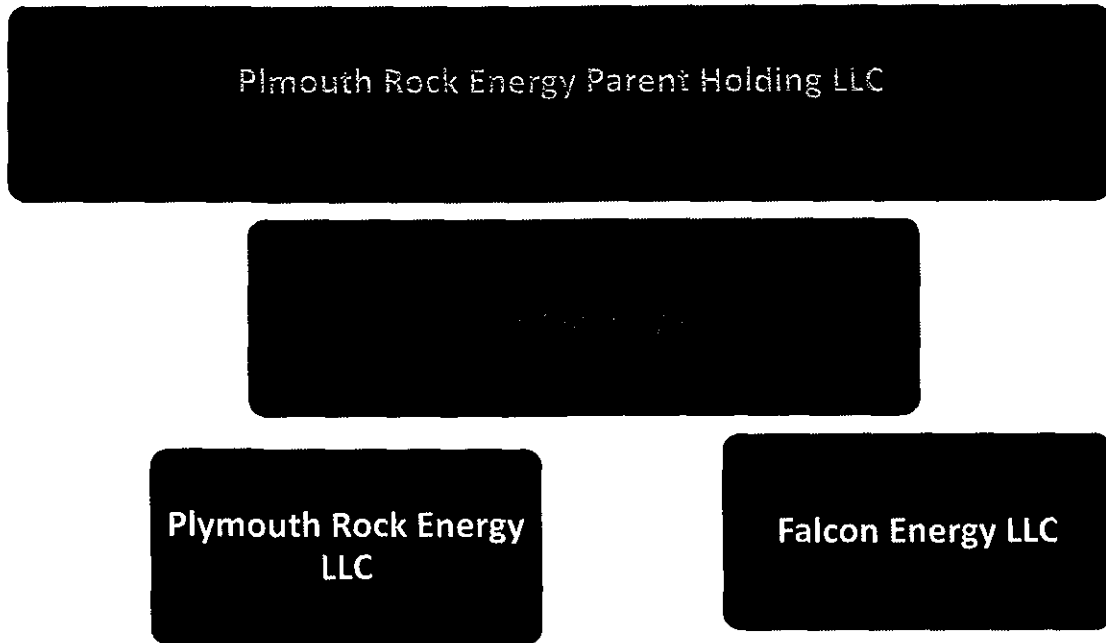


Exhibit A-16 "Company History"

Plymouth Rock Energy, LLC

The Plymouth Rock family has over 50 years of experience delivering coal and heating oil in New York City. The company has since grown into a leading independent energy provider in the Northeast. Now Plymouth Rock Energy, LLC, formed in 2004 under the laws of New York, has expanded on this tradition of excellence and personal service by offering natural gas and electricity retail services in the New York region. Plymouth offers 24 hour support to its customers, and has been active New York Natural Gas Markets since 2004.

Plymouth Rock Energy continues to expand to reach new markets throughout the U.S., garnering a positive reputation for exceptional prices, timely delivery and exceptional customer service. They are a certified member of MISO, NYISO, PJM and NE ISO. They are a licensed gas supplier currently serving customers in New York, New Jersey, Maryland and Pennsylvania. Plymouth is also a licensed retail natural gas supplier in Michigan and Massachusetts, and a licensed electric supplier in Illinois, New York, New Jersey, Maryland, Connecticut (inactive), Pennsylvania, Michigan, Ohio and Massachusetts. Plymouth currently has applications for licenses to serve electric and natural gas customers in Massachusetts.

Exhibit A-17 “Articles of Incorporation and Bylaws”

Plymouth Rock Energy, LLC

N. Y. S. DEPARTMENT OF STATE
DIVISION OF CORPORATIONS AND STATE RECORDS

ALBANY, NY 12231-0001

FILING RECEIPT

=====

ENTITY NAME: PLYMOUTH ROCK ENERGY, LLC

DOCUMENT TYPE: ARTICLES OF ORGANIZATION (DOM LLC)

COUNTY: KING

SERVICE COMPANY: BUSINESS FILINGS INCORPORATED

SERVICE CODE: M9 *

=====

FILED:09/02/2004 DURATION:12/31/2044 CASH#:040902000031 FILM #:040902000031

ADDRESS FOR PROCESS

EXIST DATE

DAVID SOKOL
165 REMSEN STREET
BROOKLYN, NY 11201

09/02/2004

REGISTERED AGENT

DAVID SOKOL
165 REMSEN STREET
BROOKLYN, NY 11201



FILER	FEES		PAYMENTS	
		235.00		235.00
	FILING	200.00	CASH	0.00
BUSINESS FILINGS INCORPORATED	TAX	0.00	CHECK	0.00
8025 EXCELSIOR DR., SUITE 200	CERT	0.00	CHARGE	0.00
	COPIES	10.00	DRAWDOWN	235.00
MADISON, WI 53717	HANDLING	25.00	BILLED	0.00
			REFUND	0.00

=====

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P.03/04


F040902000031

**ARTICLES OF ORGANIZATION
OF
PLYMOUTH ROCK ENERGY, LLC**

Under Section 203 of the Limited Liability Company Law:

- FIRST:** The name of the limited liability company is: **PLYMOUTH ROCK ENERGY, LLC**
- SECOND:** The office of the limited liability company is to be located in the city of Brooklyn, county of Kings, state of New York.
- THIRD:** The latest date on which the limited liability company is to dissolve is: 12/31/2044.
- FOURTH:** The secretary of state is designated as the agent of the limited liability Company upon whom process against it may be served. The post office Address within or without of this state to which the secretary of state shall mail a copy of any process against the limited liability company served upon him or her is: David Sokol, 165 Remsen Street, Brooklyn, New York 11201.
- FIFTH:** The name and street address within this state of the registered agent of the Registered agent of the limited liability company upon whom and at which process against the limited liability company can be served is: David Sokol, 165 Remsen Street, Brooklyn, New York 11201. Located in the county of Kings.
- SIXTH:** The limited liability company is to be managed by 1 or more Members.

IN WITNESS WHEREOF, this certificate has been subscribed this 1st day of September, 2004 by the undersigned who affirms that the statements made herein are true under the penalties of perjury.


Mark Schiff, AVE, Organizer
Business Filings Incorporated
8025 Excelsior Dr., Suite 200
Madison, WI 53717

SEP-01-2004 14:41

P.04/04

F040902000 031

CERTIFICATE OF ORGANIZATION
OF
PLYMOUTH ROCK ENERGY, LLC

040902000

1/2
STATE OF NEW YORK
DEPARTMENT OF STATE
FILED

SEP -2 2004

TAX \$

BY: *[Signature]*

NAME AND ADDRESS OF FILER

Drawdown Acct. - #M9
Business Filings Incorporated
8025 Excelsior Dr., Suite 200
Madison WI 53717

[Signature]

FILED
2004 SEP -2 AM 8:00

2

031

PLYMOUTH ROCK ENERGY
1074 BROADWAY
WOODMERE NY 11598

Enclosed is the information you requested. Your payment of \$50.00 is hereby acknowledged.

If the name on the enclosed document(s) does not match exactly with the name of the entity you requested, this office does not have a record of the exact name you requested. The document(s) provided appear(s) to be of sufficient similarity to be the entity requested.

State of New York
Department of State } ss:

I hereby certify, that PLYMOUTH ROCK ENERGY, LLC a NEW YORK Limited Liability Company filed Articles of Organization pursuant to the Limited Liability Company Law on 09/02/2004, and that the Limited Liability Company is existing so far as shown by the records of the Department.



*WITNESS my hand and the official seal
of the Department of State at the City of
Albany, this 31st day of August two
thousand and eleven.*

A handwritten signature in black ink, appearing to read "Neil A. ...", is written over a faint circular stamp.

First Deputy Secretary of State

Exhibit A-18 “Secretary of State”

Plymouth Rock Energy, LLC

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

I, Jon Husted, 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 PLYMOUTH ROCK ENERGY, LLC, a New York For Profit Limited Liability Company, Registration Number 2052957, filed on October 5, 2011, is currently in FULL FORCE AND EFFECT upon the records of this office.



*Witness my hand and the seal of the
Secretary of State at Columbus, Ohio
this 5th day of May, A.D. 2014.*

Jon Husted

Ohio Secretary of State

Validation Number: 201412500683

Exhibit B-1 "Jurisdictions of Operation"

Plymouth Rock Energy, LLC

Plymouth Rock Energy continues to expand to reach new markets throughout the U.S., garnering a positive reputation for exceptional prices, timely delivery and exceptional customer service. Plymouth is currently licensed as an Electric Supplier in New York, New Jersey, Pennsylvania, Maryland, Ohio, Illinois, Michigan and Connecticut (currently inactive) with and has an application pending in Massachusetts. Plymouth is also licensed as a Gas Supplier in New York, New Jersey, Ohio, Maryland, Michigan and Pennsylvania with an application pending in Massachusetts.

July 23, 2010

Plymouth Rock Energy LLC
165 Remson Street
Brooklyn, NY 11201
Attn: Adam Sokol

Dear Mr. Sokol:

Your application to become a customer of the New York Independent System Operator has been approved. You are now able to fully participate in the New York electric energy markets in accordance with the Tariffs under which you have elected to take service.

We look forward to providing the services needed to ensure reliable operation of the New York bulk transmission system and to facilitate an open, fair, and effective competitive electricity wholesale marketplace.

If we can be of assistance to you in your participation in this marketplace, please contact us at (518) 356-6060 or via e-mail at market_services@nyiso.com. Also, we invite you to become familiar with our web site www.nyiso.com. It contains important information about the NYISO with links to the OASIS/MIS, billing data, NYISO Manuals, contact information, a calendar of events, training schedules, and other market information.

Regards,



Roger Kirkpatrick,
Manager, Customer Support & Training



THE COMMONWEALTH OF MASSACHUSETTS
DEPARTMENT OF PUBLIC UTILITIES

CHARLES D. BAKER
GOVERNOR

KARYN E. POLITO
LIEUTENANT GOVERNOR

MATTHEW A. BEATON
SECRETARY OF ENERGY
AND ENVIRONMENTAL AFFAIRS

ONE SOUTH STATION
BOSTON, MA 02110
(617) 305-3500

ANGELA M. O'CONNOR
CHAIRMAN

JOLETTE A. WESTBROOK
COMMISSIONER

ROBERT E. HAYDEN
COMMISSIONER

August 17, 2015

Kira Bryers, Compliance Consultant
Plymouth Rock Energy, LLC
1528 Walnut Street, 22nd Floor
Philadelphia, PA 19102

Dear Ms. Bryers,

The Department of Public Utilities ("Department") has reviewed your application for renewal of your **Competitive Supplier License, CS-114**, and is pleased to inform you that your application for renewal has been approved.

As a condition of maintaining this license, you must file updated information within 30 days of any material or organic change in the information required by 220 C.M.R. § 11.05(2), and you must comply with all relevant requirements of G.L. c. 164 and the regulations promulgated thereunder, including 220 C.M.R. §§ 11.00, 12.00 et seq. If you decide to request renewal of your license next year, please submit renewal application no later than August 1, 2016. The renewal application is available at: www.mass.gov/dpu/suppliersandbrokers.


Mark D. Marini, Secretary

**STATE OF NEW YORK DEPARTMENT OF PUBLIC SERVICE
THREE EMPIRE STATE PLAZA, ALBANY, NY 12223-1350
www.dps.state.ny.us**

PUBLIC SERVICE COMMISSION

GARRY A. BROWN
Chairman
PATRICIA L. ACAMPORA
MAUREEN F. HARRIS
ROBERT E. CURRY JR.
JAMES L. LAROCCA
Commissioners



PETER McGOWAN
General Counsel

JACLYN A. BRILLING
Secretary

May 13, 2010

Mr. Adam Sokol
Plymouth Rock Energy, LLC
165 Remsen Street, Suite 200
Brooklyn, NY 11201

RE: Plymouth Rock Energy

Dear Mr. Sokol:

Thank you for submitting the recent updates to your ESCO Retail Access Application Package. This letter acknowledges your company's decision to include offering electric commodity service to residential and commercial customers in New York State. All updated documentation recently submitted has been reviewed by Staff and remains in compliance with the New York State ESCO eligibility requirements that are implemented by codes and regulations found in the Uniform Business Practices and other applicable regulations or Commission Orders. Therefore, Staff acknowledges that Plymouth Rock Energy, LLC has been deemed eligible to serve residential and non-residential electric and natural gas customers in New York State.

Please be advised that you should check with utilities to determine if they have additional approval requirements by contacting those companies in whose service territories you intend to serve or are now serving customers. Please note that each utility's eligibility requirements pertain only to their retail access programs.

Be advised that to maintain your ESCO eligibility, you must notify Staff of any substantive legal, financial or business related changes to your company as they occur. If your business plan changes and you decide to expand your service offerings by choosing to participate in any of the ESCO referral programs or move into other utility service territories, you must immediately submit the appropriate documentation for Staff review and determination of how it affects your current eligibility.

If you are using vendors to provide ESCO related services, (e.g., EDI), the ESCO remains fully responsible for any activities the vendors perform. If you have not already done so, or if you have changed vendors since last reporting them to us, please provide Staff a list with contact information for all vendors you are now using. Finally, you must

submit a statement annually, by January 31st, indicating that the information in your original or most recent updated Retail Access Application remains current, or submit a statement identifying the revisions. Upon completion of our review of any new eligibility information, Staff will then update your eligibility status as necessary.

Please do not hesitate to contact me if you have any further questions or concerns at 518-486-2432 or Christine_Bosy@dps.state.ny.us.

Sincerely,



Christine A. Bosy
Retail Access Section
Office of Consumer Policy

Cc: Via Email
Usher Fogel

State of New Jersey



Board of Public Utilities

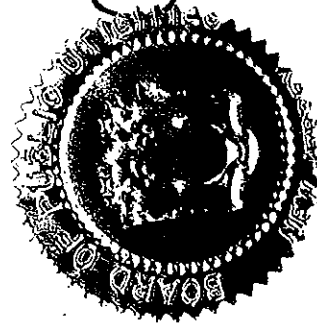
44 South Clinton Avenue, P.O. Box 350, Trenton, New Jersey 08625-0350

HEREBY LICENSES

Plymouth Rock Energy, LLC
338 Maitland Avenue
Teaneck, New Jersey 07666

To conduct business in the State of New Jersey as a

Gas Supplier



Irene Kim Asbury
Irene Kim Asbury
Secretary of the Board

License No.	GSL-0038
Effective Date:	September 11, 2015
Expiration Date:	September 10, 2016

State of New Jersey



Board of Public Utilities

44 South Clinton Avenue, P.O. Box 350, Trenton, New Jersey 08625-0350

HEREBY LICENSES

Plymouth Rock Energy, LLC
338 Maitland Avenue
Teaneck, New Jersey 07666

To conduct business in the State of New Jersey as an

Electric Power Supplier



Hene Kim Asbury
Hene Kim Asbury
Secretary of the Board

License No. ESL-0102
Effective Date: September 11, 2015
Expiration Date: September 10, 2016



**Public Utilities
Commission**

John Kasich, Governor
Andre T. Porter, Chairman

Commissioners

Asim Z. Haque
Lynn Slaby
M. Beth Trombold
Thomas W. Johnson

PUBLIC UTILITIES COMMISSION OF OHIO

Certified as a Competitive Retail Electric Service Provider

RENEWAL

Certificate Number:

12-480E (3)

Issued Pursuant to Case Number(s):

12-666-EL-CRS

A certificate as a Competitive Retail Electric Service Provider is hereby granted to **Plymouth Rock Energy, LLC** whose office or principal place of business is located at **1074 Broadway, Woodmere, NY 11598** to provide **retail generation, power marketer, and power broker** services within the State of Ohio effective **March 17, 2016**.

The certification of competitive retail electric suppliers is governed by Section 4901:1-24-(01-13) of the Ohio Administrative Code, Section 4901:1-21-(01-15) of the Ohio Administrative Code, and Section 4928.08 of the Ohio Revised Code.

This Certificate is revocable if all of the conditions set forth in the aforementioned case(s) are not met.

Subject to all rules and regulations of the Commission, now existing or hereafter promulgated.

Witness the seal of the Commission affixed at Columbus, Ohio.

Dated: **March 21, 2016**

By Order of

PUBLIC UTILITIES COMMISSION OF OHIO

Barcy F. McNeal, Secretary
Tanowa M. Troupe, Acting Secretary
Felecia D. Burdett, Acting Secretary

Certificate Expires: March 17, 2018

This is to certify that the images appearing are an accurate and complete reproduction of a case file document delivered in the regular course of business.

180 East Broad Street
Columbus, Ohio 43215-3793

Technician DM Date Processed MAR 21 2016 (614) 466-3016
PUCO.ohio.gov

CRES AUTOMATIC CASE ACTION FORM

Case No. 12-666-EL-CRS

Date Sent: 3-18-16

Effective Date of Certificate: 3-17-16

Certificate Expires: 3-17-18

Company Name and Company Name d/b/a: Plymouth Rock Energy LLC

☒ Renewal

Action Needed:

☐ Issue Certificate Number to: _____ at (address): _____

☒ Certified To Provide the Following Services:

- ☒ Retail Generation
- ☐ Aggregation
- ☒ Power Marketer
- ☒ Power Broker
- ☐ Governmental Aggregation

☒ Renew Certificate No. 12-480E (2) to 12-480E (3)

☐ Revise Certificate No. _____ to (check all applicable):

☐ Reflect name change from _____ to _____

☐ Reflect address change from _____ to _____

☐ Add new service offering to certificate:

- ☐ Retail Generation
- ☐ Aggregator
- ☐ Power Marketer
- ☐ Power Broker
- ☐ Natural Gas Governmental Aggregator

☐ Correct Administrative Error

☐ Reflect Change of Ownership to: _____

☐ Cancel Certificate No. _____

☐ Protect Un-redacted copies until _____

☐ Close Case File, Case Withdrawn at Applicant's Request

☐ Close Case File

CASE NUMBER: 12-0666-EL-CRS
CASE DESCRIPTION: PLYMOUTH ROCK ENERGY LLC
DATE OF SERVICE: 3/21/2016
DOCUMENT SIGNED ON: 3/21/2016

Sign Here: _____

DMO

APPLICANT

PARTY OF RECORD

PLYMOUTH ROCK ENERGY LLC VP OF FINANCE
SHYAM PERSAUD
1074 BROADWAY
WOODMERE, NY 11598
Phone: (516) 634-2501

Email: SPERSAUD@PLYMOUTHENERGY.COM

ATTORNEY

*Schmitt, Erika L Ms.
Customized Energy Solutions
1528 Walnut Street, 22nd Floor
Philadelphia, PA 19102
Phone: 267-331-4242
Fax: 215-875-9490
Email: eschmitt@ces-ltd.com

ATTORNEY

PARTY OF RECORD

none

*Schmitt, Erika L Ms.
Customized Energy Solutions
1528 Walnut Street, 22nd Floor
Philadelphia, PA 19102
Phone: 267-331-4242
Fax: 215-875-9490
Email: eschmitt@ces-ltd.com

ATTORNEY

none

*Bryers, Kira S Miss
Customized Energy Solutions Ltd.
1528 Walnut Street
22nd Floor
Philadelphia, PA 19102
Phone: (267) 238-4785
Fax: (215) 875-9490
Email: kbryers@ces-ltd.com



PJM Interconnection
Valley Forge Corporate Center
955 Jefferson Avenue
Norristown, PA 19403-2497

Audrey D. Williams
Paralegal, Contract Administrator
610.666.4651 | fax 610.666.8211
willia@pjm.com

January 9, 2012

VIA EMAIL

Mr. Adam Sokol
Plymouth Rock Energy, LLC
1074 Broadway
Woodmere, NY 11598

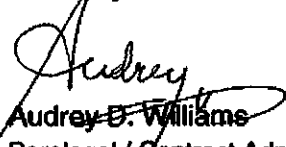
Dear Mr. Sokol,

Plymouth Rock Energy, LLC became a PJM Member on March 4, 2011, and is known on the PJM system by its short name of "PLYMRE", Org. ID 17,961.

Plymouth Rock Energy, LLC signed the PJM Reliability Assurance Agreement on June 29, 2010.

Should you require anything further, please advise.

Sincerely,


Audrey D. Williams
Paralegal / Contract Administrator

SCHEDULE 4

STANDARD FORM OF AGREEMENT TO BECOME A MEMBER OF THE LLC

Any entity which wishes to become a Member of the LLC shall, pursuant to Section 11.6 of this Agreement, tender to the President an application, upon the acceptance of which it shall execute a supplement to this Agreement in the following form:

Additional Member Agreement

1. This Additional Member Agreement (the "Supplemental Agreement"), dated as of March 4, 2011, is entered into among Plymouth and the President of the LLC acting on behalf of its Members.
Rock Energy, LLC ("Plymouth")

2. Plymouth has demonstrated that it meets all of the qualifications required of a Member to the Operating Agreement. If expansion of the PJM Region is required to integrate Plymouth's facilities, a copy of Attachment J from the PJM Tariff marked to show changes in the PJM Region boundaries is attached hereto. Plymouth agrees to pay for all required metering, telemetering and hardware and software appropriate for it to become a member.

3. Plymouth agrees to be bound by and accepts all the terms of the Operating Agreement as of the above date.

4. Plymouth hereby gives notice that the name and address of its initial representative to the Members Committee under the Operating Agreement shall be:

5. The President of the LLC is authorized under the Operating Agreement to execute this Supplemental Agreement on behalf of the Members.

6. The Operating Agreement is hereby amended to include Plymouth as a Member of the LLC thereto, effective as of March 4, 2011, the date the President of the LLC countersigned this Agreement.

IN WITNESS WHEREOF, Plymouth and the Members of the LLC have caused this Supplemental Agreement to be executed by their duly authorized representatives.

Members of the LLC

By: Terry Boston
Name: Terry Boston
Title: President
By: Plymouth Rock Energy, LLC
Name: Adrian So Kol
Title: V.P.

Issued By: Craig Glazer
Vice President, Government Policy
Issued On: April 30, 2004

Effective: May 1, 2004

COMMISSIONERS

DOUGLAS R. M. NAZARIAN
CHAIRMAN

HAROLD D. WILLIAMS
LAWRENCE BRENNER
KELLY SPEAKES-BACKMAN
W. KEVIN HUGHES

STATE OF MARYLAND



PUBLIC SERVICE COMMISSION

#11, 4/11/12 AM; ML#s 135973, 137600 and 137706
License Reference No.: IR-2518

April 11, 2012

Erika Schmitt
Customized Energy Solutions
1528 Walnut Street, 22nd Floor
Philadelphia, PA 19102

Dear Ms. Schmitt:

On December 12, 2011, Plymouth Rock Energy, LLC ("Plymouth") filed an Application for a license to supply electricity or electric generation services in Maryland under COMAR 20.51. Additional information was filed on March 9, 2012, March 15, 2012 and March 29, 2012. The Company proposes to provide electricity supplier services in Maryland for residential, commercial and industrial customers as described in the application.

After considering this matter at the April 11, 2012 Administrative Meeting, the Commission granted Plymouth a license to supply electricity or electric generation services in Maryland in accordance with its Application (License Reference Number IR-2518). The license granted by the Commission under this Letter Order is limited solely to electricity supplier and broker services to residential, commercial and industrial customers. Additionally, Plymouth is directed to file marketing and training materials specific to its Maryland operations, consistent with Staff's recommended edits, when materials become available.

Finally, Plymouth is reminded that it is under a continuing obligation to notify the Commission within 30 days of any changes to the information upon which the Commission relied in granting this license. A copy of the supplemental or updated information is required to be filed concurrently with the Office of People's Counsel.

By Direction of the Commission,

A handwritten signature in black ink, appearing to read "David J. Collins".

David J. Collins
Executive Secretary

DJC/st
c: Phil VanderHeyden, Electricity Division

WILLIAM DONALD SCHAEFER TOWER • 6 ST. PAUL STREET • BALTIMORE, MARYLAND 21202-6806

410-767-8000

Toll Free: 1-800-492-0474

FAX: 410-333-6495

MDRS: 1-800-735-2258 (TTY/Voice)

Website: www.psc.state.md.us/psc/

COMMISSIONERS

DOUGLAS R. M. NAZARIAN
CHAIRMAN

HAROLD D. WILLIAMS
LAWRENCE BRENNER
KELLY SPEAKES-BACKMAN
W. KEVIN HUGHES

STATE OF MARYLAND



PUBLIC SERVICE COMMISSION

#31, 8/1/12 AM; ML#s 139409 and 141287
License Ref. No.: IR-2705

August 1, 2012

Erika Schmitt
Compliance Analyst
Plymouth Rock Energy, LLC
1528 Walnut Street, 22nd Floor
Philadelphia, PA 19102

Dear Ms. Schmitt:

On May 18, 2012 Plymouth Rock Energy, LLC ("Company") filed an Application for a license to supply natural gas or natural gas supply services in Maryland under COMAR 20.54. Additional information was filed on July 13, 2012. The Company proposes to provide natural gas supplier services in Maryland for residential, commercial and industrial customers.

After considering this matter at the August 1, 2012 Administrative Meeting, the Commission granted the Company a license to supply natural gas or natural gas supplier services in Maryland in accordance with its application (License Reference Number IR-2705). The license granted by the Commission under this Letter Order is limited solely to natural gas services to residential, commercial and industrial customers. Additionally, the Company is directed to amend its marketing material to include natural gas and to submit the material to the Commission for review.

Finally, the Company is reminded that it is under a continuing obligation to notify the Commission within 30 days of any changes to the information upon which the Commission relied in granting this license. A copy of the supplemental or updated information is required to be filed concurrently with the Office of People's Counsel.

By Direction of the Commission

A handwritten signature in black ink, appearing to read "David J. Collins".

David J. Collins
Executive Secretary

DJC/st
cc: Merwin Sands, Gas Division

WILLIAM DONALD SCHAEFER TOWER • 6 ST. PAUL STREET • BALTIMORE, MARYLAND 21202-6806

410-767-8000 • Toll Free: 1-800-492-0474 • FAX: 410-333-6495
MDRS: 1-800-735-2258 (TTY/Voice) • Website: www.psc.state.md.us/psc/

STATE OF ILLINOIS

ILLINOIS COMMERCE COMMISSION

Plymouth Rock Energy, LLC	:	
	:	
Application for Certificate of	:	12-0252
Service Authority under Section	:	
16-115 of the Public Utilities Act.	:	

ORDER

By the Commission:

I. INTRODUCTION

On March 30, 2012, Plymouth Rock Energy, LLC ("Applicant") filed a verified application with the Illinois Commerce Commission ("Commission") requesting a Certificate of Service Authority authorizing it to operate as an alternative retail electric supplier ("ARES") in Illinois pursuant to Section 16-115 of the Public Utilities Act ("Act"), 220 ILCS 5/1-101 et seq., and 83 Ill. Adm. Code 451, "Certification of Alternative Retail Electric Suppliers," ("Part 451"). Applicant submitted its certificate of publication showing that on April 3, 2012, notice of the application was published in the official State newspaper. The Administrative Law Judge requested additional information and clarification of certain matters contained in the application. Applicant filed a verified response on April 13, 2012.

II. BACKGROUND AND AUTHORITY SOUGHT BY APPLICANT

Applicant is a New York limited liability company not affiliated with an Illinois utility. Applicant does not currently possess any authority under the Act. Applicant seeks authority to offer the sale of electricity and power to all eligible residential and nonresidential retail customers in the service territory of Commonwealth Edison Company ("ComEd") pursuant to Subpart D of Part 451. Applicant currently supplies electricity in the competitive retail markets of New Jersey, New York, Ohio, and Pennsylvania and gas in the competitive retail markets in New Jersey and New York. Applicant also currently has alternative electric supplier license applications pending in Connecticut and Maryland.

III. GENERAL REQUIREMENTS UNDER THE ACT

Applicant does not intend to install, operate, or maintain generation, transmission, or distribution facilities within Illinois. Therefore, no demonstration of compliance with the requirements of Section 451.20(d)(2) has been made. Applicant's employees are not permitted to perform such functions, nor are others permitted to perform such functions pursuant to contractual arrangements with Applicant.

Applicant has certified that it will comply with all applicable regulations; that it will provide service only to retail customers eligible to take such services; that it will comply with informational and reporting requirements established by Commission rule; that it will comply with informational and reporting requirements pursuant to Section 16-112 of the Act; and that it will comply with all other applicable laws, regulations, terms, and conditions required to the extent they have application to the services being offered by an ARES. Additionally, Applicant has agreed to submit good faith schedules of transmission and energy in accordance with applicable tariffs. Applicant has agreed to adopt and follow rules relating to customer authorizations, billing records, and retail electric services and agrees to retain requests for delivery services transmitted to utilities for a period of not less than two calendar years after the calendar year in which they are created. Applicant has agreed to adopt and follow rules and procedures to preserve the confidentiality of its customers' data.

Applicant agrees to procure renewable energy resources as required by subsection (d) of Section 16-115 and Section 16-115D of the Act. Applicant also certifies that it will source electricity from clean coal facilities as required by Section 16-115(d)(5) of the Act.

Pursuant to the requirements of Subpart D of Part 451, Applicant certifies that any marketing materials that make statements concerning prices, terms, and conditions of service shall contain information that adequately discloses the prices, terms, and conditions of the products or services that it is offering or selling to the customer. Applicant also certifies that before any customer is switched from another supplier, it shall give the customer written information that adequately discloses, in plain language, the prices, terms, and conditions of the products and services being offered and sold to the customer. Applicant further certifies that it will provide documentation to the Commission and to customers that substantiates any claims made regarding the technologies and fuel types used to generate the electricity offered or sold to customers. Applicant commits to provide to its customers itemized billing statements that describe the products and services provided to the customer and their prices; and an additional statement, at least annually, that adequately discloses the average monthly prices, and the terms and conditions, of the products and services sold to the customer.

Applicant certifies that it will include materials comprising the consumer education program pursuant to Section 16-117 of the Act with all initial mailings to potential residential and small commercial retail customers and before executing any agreements or contracts with such customers. Applicant certifies that it will provide consumer education program materials pursuant to Section 16-117 of the Act at no charge to residential and small commercial retail customers upon request. Applicant certifies that it will provide to residential and small commercial retail customers on a semi-annual basis information on how to obtain a list of ARES that have been found in the last three years by the Commission to have failed to provide service in accordance with the terms of their contracts pursuant to Section 16-117(g)(4)(C) of the Act.

Applicant states that it has not been denied an electric supplier license in any state. Nor, Applicant continues, has it had an electric supplier license suspended or revoked by any state. Applicant states that it is not the subject of any lawsuits in a court of law or formal complaints filed with a regulatory agency alleging fraud, deception, unfair marketing practices, or similar allegations. In Attachment E to the application, however, Applicant lists 24 informal complaints concerning gas and/or electric service spanning the period of February 1, 2011 through February 13, 2012. Thirteen of the complaints arose in New York. The remainder arose in New Jersey. In each instance, Applicant reports that each informal complaint was settled with the customer. In response to the Administrative Law Judge ruling, Applicant provided a copy of its complaint resolution procedures.

IV. FINANCIAL, TECHNICAL, AND MANAGERIAL REQUIREMENTS OF SECTION 16-115

Applicant asserts that it meets the financial qualifications set forth in Section 16-115(d)(1). Specifically, Applicant states that it meets the requirements of Section 451.320(a)(3) in that it is a member of PJM Interconnection ("PJM"), as demonstrated in Attachment C to the application. Applicant certifies therein that it will purchase 100% of its physical electric energy from PJM for delivery to the ComEd service territory.

Applicant represents that it meets the technical and managerial qualifications set forth in Section 16-115(d)(1) of the Act and Sections 451.330 and 451.340 of Part 451. In Attachment E to the application and in the April 13, 2012 response to the Administrative Law Judge ruling, Applicant identified the personnel who satisfy the criteria and provided biographical information for these individuals. Overall, the record reflects that Applicant has demonstrated that its resources and abilities match the services that it intends to provide to its customers. Applicant states that it will not rely contractors to meet the technical and managerial requirements of Sections 451.330 and 451.340. Applicant provided a telephone number and facsimile number where its staff can be directly reached at all times.

Pursuant to the requirements of Section 451.50 of Part 451, Applicant provided a License or Permit Bond in the amount of \$300,000 issued by a qualifying surety authorized to transact business in Illinois. Attachment F to the application is a copy of the required License or Permit Bond.

V. COMMISSION CONCLUSION AND CERTIFICATE OF SERVICE AUTHORITY

The Commission has reviewed the application, attachments thereto, and the responses to the rulings provided by Applicant regarding the technical, financial, and managerial requirements and all other requirements of the Act and Part 451 and finds that the Applicant sufficiently demonstrates compliance with the requirements. Although Applicant has received some informal complaints from New Jersey and New York customers, the unverified nature of the complaints and the apparent satisfactory

resolution of the complaints lead the Commission to conclude that the informal complaints are not sufficient reason to deny Applicant the requested certificate. The Commission determines, therefore, that Applicant's request for a Certificate of Service Authority to operate as an ARES in Illinois should be granted and should include the following authority:

CERTIFICATE OF SERVICE AUTHORITY

IT IS CERTIFIED that Plymouth Rock Energy, LLC is granted service authority to operate as an Alternative Retail Electric Supplier as follows:

SERVICES TO BE PROVIDED: The sale of electricity and power.

CUSTOMERS TO BE SERVED: All eligible residential and nonresidential customers.

GEOGRAPHIC REGION TO BE SERVED: The service area of Commonwealth Edison Company.

VI. FINDINGS AND ORDERING PARAGRAPHS

The Commission, having reviewed the entire record, is of the opinion and finds that:

- (1) Applicant, a business organized under the laws of New York, seeks a Certificate of Service Authority to operate as an ARES under Section 16-115 of the Act;
- (2) the Commission has jurisdiction over the party hereto and the subject matter hereof;
- (3) the recitals of fact and conclusions reached in the prefatory portion of this Order are supported by the record and are hereby adopted as findings of fact, as required by Section 16-115(d)(1) of the Act;
- (4) Applicant has demonstrated that it possesses sufficient financial, managerial, and technical resources and abilities to provide power and energy to all eligible residential and nonresidential retail customers throughout the service area of ComEd;
- (5) Applicant has complied with Section 16-115(d)(1) through (5) and (8) of the Act and 83 Ill. Adm. Code 451; and
- (6) Applicant should be granted a Certificate of Service Authority authorizing it to operate as an ARES as specified in Section V of this Order.

IT IS THEREFORE ORDERED by the Illinois Commerce Commission that Plymouth Rock Energy, LLC is hereby granted the Certificate of Service Authority set forth in Section V of this Order.

IT IS FURTHER ORDERED that Plymouth Rock Energy, LLC shall comply with all applicable Commission rules and orders now and as hereafter amended.

IT IS FURTHER ORDERED that the Illinois Commerce Commission retains jurisdiction over Plymouth Rock Energy, LLC and of the subject matter hereof for the purpose of issuing such further orders as the Commission may deem necessary.

IT IS FURTHER ORDERED that, subject to the provisions of Section 10-113 of the Public Utilities Act and 83 Ill. Adm. Code 200.880, this Order is final; it is not subject to the Administrative Review Law.

By order of the Commission this 2nd day of May, 2012.

(SIGNED) DOUGLAS P. SCOTT

Chairman

PENNSYLVANIA PUBLIC UTILITY COMMISSION

IN THE MATTER OF THE APPLICATION OF: A-2013-2384046

Application of Plymouth Rock Energy, LLC the right to begin to offer, render, furnish or supply natural gas supply services as a Supplier and Broker/Marketer to the public, limited to residential, small commercial (under 6,000 MCF annually), large commercial (6,000 MCF or more annually), industrial, and governmental customers in the natural gas distribution company service territories of UGI Utilities, Inc., UGI Central Penn Gas, UGI Penn Natural Gas, Peoples TWP LLC, PECO Energy Company, Philadelphia Gas Works, and Peoples Natural Gas Company, LLC, within the Commonwealth of Pennsylvania.

The Pennsylvania Public Utility Commission hereby certifies that after an investigation and/or hearing, it has, by its report and order made and entered, found and determined that the granting of the application is necessary or proper for the service, accommodation, convenience and safety of the public and hereby issues, evidencing the Commission's approval, to the applicant this:

LICENSE FOR NATURAL GAS SUPPLIER.

In Witness Whereof, The PENNSYLVANIA PUBLIC UTILITY COMMISSION has caused these presents to be signed and sealed, and duly attested by its Secretary at its office in the City of Harrisburg this 5TH DAY OF DECEMBER 2013.



Secretary

PENNSYLVANIA PUBLIC UTILITY COMMISSION

IN THE MATTER OF THE APPLICATION OF: A-2011-2264916

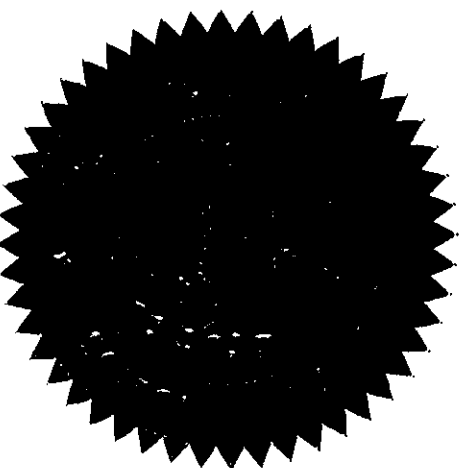
EFFECTIVE: December 1, 2011

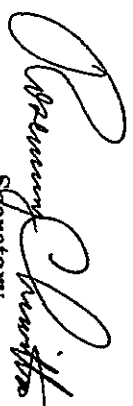
The Application of Plymouth Rock Energy, LLC for approval to begin to offer, render, furnish or supply electricity or electric generation supplier services as a supplier to residential, large commercial, small commercial and industrial customers in the service territories of PECO Energy Company, PL Electric Utilities, Penelec, West Penn Power, Duquesne, Met-Ed and Penn Power throughout the Commonwealth of Pennsylvania.

The Pennsylvania Public Utility Commission hereby certifies that after an investigation and/or hearing, it has, by its report and order made and entered, found and determined that the granting of the application is necessary or proper for the service, accommodation, convenience and safety of the public and hereby issues, evidencing the Commission's approval, to the applicant this:

LICENSE FOR ELECTRIC GENERATION SUPPLIER.

In Witness Whereof, the PENNSYLVANIA PUBLIC UTILITY COMMISSION has caused these presents to be signed and sealed, and duly attested by its Secretary at its office in the city of Harrisburg this 5th day of April 2012.




Secretary

STATE OF MICHIGAN
BEFORE THE MICHIGAN PUBLIC SERVICE COMMISSION

* * * * *

In the matter of the application of)
PLYMOUTH ROCK ENERGY, LLC,)
for a license as an alternative gas supplier.)
_____)

Case No. U-17491

At the January 23, 2014 meeting of the Michigan Public Service Commission in Lansing,
Michigan.

PRESENT: Hon. John D. Quackenbush, Chairman
Hon. Greg R. White, Commissioner
Hon. Sally A. Talberg, Commissioner

ORDER GRANTING LICENSE

On October 10, 2013, Plymouth Rock Energy, LLC (PRE) applied for a license to operate as an alternative gas supplier (AGS) within Michigan pursuant to 2002 PA 634, MCL 460.9 *et seq.* (Act 634). As part of its application, PRE provided information to demonstrate compliance with the AGS license requirements under Act 634 and under the Commission's March 12, 2003 order in Case No. U-13694 (March 12 order). That order established the AGS licensing procedure.

Act 634 requires an AGS to have the necessary financial, managerial, and technical capabilities to serve customers within the state of Michigan. The act also requires an AGS to maintain an office within the state. Under the March 12 order, the Commission Staff (Staff) must review the application of the AGS for conformance with the act and with the Commission's orders. The Staff then must recommend appropriate action regarding that application to the

Commission. The Staff has reviewed PRE's license application and the information submitted and recommends that the company be granted a license to operate as an AGS in Michigan.

The application shows that PRE is a privately held limited liability company and has its headquarters at 1074 Broadway, Woodmere, NY. PRE was organized in New York on September 2, 2004 and registered with the Michigan Corporations Division on October 23, 2012, ID Number D9201J.

PRE is a wholly owned subsidiary of Plymouth Rock Energy Parent Holding, LLC, which is partially owned by MVC Private Equity Fund, LP. PRE is a licensed competitive retail gas supplier in New York, New Jersey, Maryland, Ohio and, recently, Pennsylvania. PRE is also licensed to provide retail electric service in New York, New Jersey, Pennsylvania, Maryland, Ohio, Illinois and Connecticut (currently inactive). PRE serves approximately 46,000 total retail electric and natural gas customers throughout these jurisdictions.

The Staff reviewed PRE's personnel descriptions and histories and observes that its key personnel have over 50 combined years of experience in the energy industry, from risk management, buying and selling of natural gas and power, scheduling, load forecasting, compliance and regulatory to many other aspects associated with the day to day management and growth of the natural gas and electricity sectors. PRE answers customer inquiries and complaints during regular business hours through its in-house customer care center and has a 24-hour answering service in place for after hours and holidays. Staff has determined that PRE is well qualified with sufficient experience and expertise to serve customers in Michigan's Gas Customer Choice Program.

Based upon the information provided by PRE and the recommendation of the Staff, the Commission finds that PRE possesses the appropriate managerial and technical capabilities to serve customers within the state of Michigan.

PRE has provided the Staff with a surety bond in the amount of \$100,000. Based on its review of the confidential financial documents and the satisfied bond requirement, the Staff determined that PRE's financial capabilities and availability meet Act 634 requirements. The Commission agrees.

Act 634 requires PRE to maintain an office within the state of Michigan. On December 6, 2013, PRE filed a letter in the docket amending the Michigan office address submitted in the original application filing. PRE's Michigan office is located at 25900 Greenfield Road, Suite 245, Royal Oak, MI 48237. The Staff determined that PRE has met the office requirements for licensing. The Commission agrees.

Based upon the submissions and all of the information provided, the Commission finds that PRE's request to be licensed as an AGS is reasonable and in the public interest, and that it should be approved. However, the grant of the license is conditioned upon compliance with all of the applicable provisions of Act 634, the Commission's orders and administrative rules, and each of the delivering natural gas utilities' tariffs. Failure to comply with any of these provisions may result in revocation of the license or other penalties.

THEREFORE, IT IS ORDERED that:

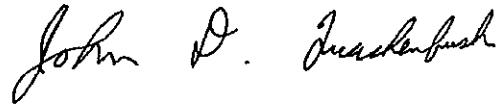
A. Plymouth Rock Energy, LLC, is granted a license as an alternative gas supplier.

B. Plymouth Rock Energy, LLC, shall comply with the regulatory requirements specified in 2002 PA 634, MCL 460.9 *et seq.*; the Commission's orders and administrative rules approved by the Commission; and each of the delivering natural gas utilities' tariffs.

The Commission reserves jurisdiction and may issue further orders as necessary.

Any party desiring to appeal this order must do so in the appropriate court within 30 days after issuance and notice of this order, pursuant to MCL 462.26.

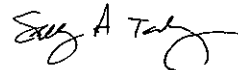
MICHIGAN PUBLIC SERVICE COMMISSION



John D. Quackenbush, Chairman

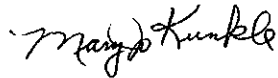


Greg R. White, Commissioner



Sally A. Talberg, Commissioner

By its action of January 23, 2014.



Mary Jo Kunkle, Executive Secretary

STATE OF MICHIGAN
BEFORE THE MICHIGAN PUBLIC SERVICE COMMISSION

* * * * *

In the matter of the application of)	
PLYMOUTH ROCK ENERGY, LLC,)	Case No. U-17492
for a license as an alternative electric supplier.)	
_____)	

In the matter, on the Commission's own motion,)	
regarding the regulatory reviews, determinations,)	
and/or approvals necessary for PLYMOUTH ROCK)	Case No. U-17549
ENERGY, LLC, to fully comply with Public Act 295)	
of 2008.)	
_____)	

At the January 23, 2014 meeting of the Michigan Public Service Commission in Lansing,
Michigan.

PRESENT: Hon. John D. Quackenbush, Chairman
Hon. Greg R. White, Commissioner
Hon. Sally A. Talberg, Commissioner

ORDER

On October 10, 2013, Plymouth Rock Energy, LLC, (PRE) submitted an application pursuant to the "Customer Choice and Electricity Reliability Act," 2000 PA 141, MCL 460.10 *et seq.* (Act 141), for a license as an alternative electric supplier (AES). An AES is a person selling electric generation service to retail customers in this state, other than a person who physically delivers electricity directly to retail customers. MCL 460.10g(a). With its application, PRE submitted information designed to show its compliance with the statutory requirements for an AES.

Act 141 requires the Commission to ensure that AESs have the necessary financial capability, possess technical competence to engage in energy transactions, are capable of meeting safety requirements for electric operations, and comply with all other lawful obligations. Additionally, the June 19, 2000 Commission order in Case No. U-11915 requires AESs to maintain an office within Michigan.

On October 6, 2008, Public Act 295 of 2008, MCL 460.1001 *et seq.*, the “Clean, Renewable, and Efficient Energy Act,” was signed into law (Act 295). The Commission issued an order in Case No. U-15800 on December 4, 2008, which provides requirements for implementing Act 295. Among other things, Act 295 requires all providers of electric service in this state, including AESs, to establish renewable energy programs.

Act 295 also requires the Commission to establish a statewide net metering program. Pursuant to Section 173(1) of Act 295, the Commission promulgated rules entitled “Electric Interconnection and Net Metering Standards,” which were effective May 27, 2009. AESs are required to comply with the net metering requirements of Act 295 and the Commission’s rules.

The Commission Staff (Staff) is responsible for review of the application and for making a recommendation regarding a license. The Staff reviewed the information submitted by PRE and recommends that the Commission grant PRE a license to operate as an AES in Michigan.

PRE is a wholly owned subsidiary of Plymouth Rock Energy Parent Holding, LLC, which in turn, is partially owned by MVC Private Equity Fund, LP. PRE is a privately held limited liability company and has its headquarters at 1074 Broadway, Woodmere, NY. PRE was organized in New York on September 2, 2004 and registered with the Michigan Corporations Division on October 23, 2012, ID Number D9201J.

PRE is a licensed competitive retail electric supplier in New York, New Jersey, Pennsylvania, Maryland, Ohio, Illinois and Connecticut (currently inactive). Additionally, PRE is licensed as a natural gas supplier in New York, New Jersey, Maryland, Ohio and, recently, Pennsylvania. PRE serves approximately 46,000 total retail electric and natural gas customers throughout these jurisdictions.

After reviewing PRE's personnel descriptions and histories, the Staff determined that PRE has sufficient experience and expertise to manage risk and to reliably supply electricity in Michigan's electric choice market. Based on the information provided, and the recommendation of the Staff, the Commission finds that PRE possesses the appropriate managerial and technical capabilities to serve customers within the state of Michigan.

The Staff reviewed PRE's audited financial statements for the last two years. PRE also provided the Staff with a surety bond in the amount of \$100,000. Based upon its review of the financial statements and the bond, the Staff determined that PRE's financial capabilities meet the Act 141 requirements. The Commission agrees.

The Commission requires AESs to maintain an office in Michigan. On December 6, 2013, PRE filed a letter in the docket amending the Michigan office address submitted in the original application filing. PRE's Michigan office is located at 25900 Greenfield Road, Suite 245, Royal Oak, MI 48237. The Staff determined that PRE has complied with the Michigan office requirements. The Commission agrees.

After review of PRE's application, the Commission finds that approval of the application is in the public interest. On numerous occasions, the Commission has found that competition can be advantageous to the citizens of the state. Approval of the request for a license as an AES will expand the opportunities for competition. Accordingly, the application should be approved. The

grant of an AES license is conditioned on compliance with all applicable provisions of the statute and the Commission's orders. Failure to comply fully may result in revocation of the license or other penalties. Further, the grant of a license is conditioned upon the provision of service to customers within a reasonable time. Failure to do so may result in revocation of the license.

The Commission also finds that, as a licensed AES in Michigan, PRE is required by Act 295 to file a renewable energy plan (REP) with the Commission. However, the Commission notes that the original deadline set by Act 295 and the order in Case No. U-15800 for filing a REP has passed. Therefore, in consideration of the fact that PRE's AES license was granted, the Commission has opened a separate docket for PRE's REP, which shall be filed in Case No. U-17549 by June 30, 2014.

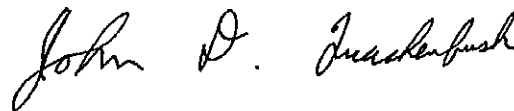
THEREFORE, IT IS ORDERED that:

- A. Plymouth Rock Energy, LLC, is granted a license as an alternative electric supplier.
- B. Plymouth Rock Energy, LLC, shall operate as an alternative electric supplier in compliance with the regulatory requirements specified in the "Customer Choice and Electricity Reliability Act," MCL 460.10 *et seq.*, and the Commission's orders.
- C. Plymouth Rock Energy, LLC, is required to comply with the net metering requirements of Act 295 of 2008 and the Commission's rules.
- D. Plymouth Rock Energy, LLC, shall file its initial renewable energy plan in Case No. U-17549 by June 30, 2014.

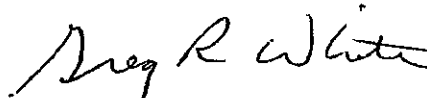
The Commission reserves jurisdiction and may issue further orders as necessary.

Any party desiring to appeal this order must do so in the appropriate court within 30 days after issuance and notice of this order, pursuant to MCL 462.26.

MICHIGAN PUBLIC SERVICE COMMISSION



John D. Quackenbush, Chairman



Greg R. White, Commissioner



Sally A. Talberg, Commissioner

By its action of January 23, 2014.



Mary Jo Kunkle, Executive Secretary

MARKET PARTICIPANT AGREEMENT

for

PLYMOUTH ROCK ENERGY, LLC

MISO MPA Designation No.: MPA.PLY

ATTACHMENT W

FORM OF MARKET PARTICIPANT AGREEMENT

- 1.0 This Market Participant Agreement ("MP Agreement"), dated as of September 3, 2013, is entered into, by and between the Midwest Independent Transmission System Operator, Inc., ("Transmission Provider") and Plymouth Rock Energy, LLC ("Market Participant").
- 2.0 The Market Participant has been determined by the Transmission Provider to be a Market Participant as defined in the Tariff.
- 3.0 The Market Participant agrees to supply the Transmission Provider with any and all information the Transmission Provider deems reasonably necessary in accordance with Good Utility Practice.
- 4.0 The Transmission Provider agrees to provide services to the Market Participant upon a request by an authorized representative of the Market Participant. The Market Participant agrees to take and pay for the requested services in accordance with the provisions of the Tariff and this MP Agreement.

- 5.0 Market Participant status under the Tariff shall commence upon execution of this MP Agreement by the Transmission Provider. Service(s) under the Tariff shall commence at *the time of the requested service(s) commencement date.*
- 6.0 This MP Agreement shall terminate on such date as mutually agreed upon by the Parties.
- 7.0 The Market Participant shall provide written notification of any unexpected material adverse changes in circumstances that may affect the Market Participant's status as a Market Participant, within twenty-four (24) hours of having learned of the change.

- 8.0 The Market Participant shall notify the Transmission Provider in writing of any material adverse change in circumstances that the Market Participant learns of or intends to implement and may affect its status at least seventy-two (72) hours prior to the change.
- 9.0 Any notice or request made to either of the parties to this MP Agreement shall be made to the following representatives:

	<u>Transmission Provider</u>	<u>Market Participant</u>
Title:	Contract Administrator	<u>Plymouth Rock Energy, LLC</u>
Address:	701 City Center Drive Carmel, IN 46032	<u>1074 Broadway</u> <u>Woodmere, NY 11598</u>

10.0 The Tariff, in its entirety, is incorporated herein and made a part hereof.

IN WITNESS WHEREOF, the parties have caused this MP Agreement to be executed by their respective authorized officials.

Transmission Provider

By: Kimberly Sperry
Name: Kimberly Sperry
Title: Director
Date: 12/3/2013

Market Participant

By: Shyam Persad
Name: Shyam Persad
Title: VP-Finance
Date: 9/3/2013



Michael Lynch, Chair
NEPOOL Membership Subcommittee

October 18, 2011

Mr. Adam Sokol
President
Plymouth Rock Energy, LLC
1074 Broadway
Woodmere, NY 11598
c/o eschmidt@ces-ltd.com

Re: Application for NEPOOL Membership

Dear Mr. Sokol:

The request of Plymouth Rock Energy, LLC ("Plymouth Rock") to become a Participant¹ in the New England Power Pool ("NEPOOL") was approved by the NEPOOL Participants Committee Membership Subcommittee at its October 17 11 meeting, subject to the applicable understandings, including those which are reflected in the attachment to this letter.

Please confirm Plymouth Rock's acceptance of NEPOOL's Standard Membership Conditions, Waivers and Reminders by signing a copy of this letter and returning it, *along with a copy of the Standard Membership Conditions, Waivers and Reminders*, to:

Audra Perry
New England Membership Application Coordinator
c/o ISO New England Inc.
One Sullivan Road
Holyoke, MA 01040-2841
Fax: 413-540-4680
E-mail: aperry@iso-ne.com

I understand that Plymouth Rock intends to operate in New England as a broker and a load aggregator. Your signature will also serve to confirm that understanding.

I have been instructed to remind Plymouth Rock of the following obligations which are common to all NEPOOL Participants that operate as brokers or load aggregators:

- (1) each Participant is obligated to provide NEPOOL or the ISO the information that NEPOOL or the ISO determines is required in order to administer and implement the Second Restated NEPOOL Agreement, the Participants Agreement, the Tariff, and these conditions and waivers;

¹ Capitalized terms used but not defined in this letter are intended to have the meanings given to such terms in the Second Restated New England Power Pool Agreement ("Restated NEPOOL Agreement"), the Participants Agreement, or the ISO New England Inc. Transmission, Markets and Services Tariff ("ISO Tariff").

- (2) each Participant is obligated to conform to any future changes in NEPOOL requirements;
- (3) each Participant is obligated to comply with all governmental, regulatory or other legal requirements which must be satisfied as a condition to its participation in NEPOOL or the New England Markets, or which may be otherwise applicable to such participation;
- (4) each Participant is obligated to pay an allocated portion of certain NEPOOL and ISO costs in accordance with the Second Restated NEPOOL Agreement, the Participants Agreement, and the Tariff;
- (5) each Participant is obligated to pay its monthly share of Participant Expenses by the payment date as specified in the Billing Policy (or any successor rule or procedure), which is currently the third Business Day after the issuance of the first weekly statement issued after the tenth of a calendar month (the Monthly Statement due date) but may be subject to change. If a Participant is delinquent two or more times within any period of 12 months in paying on time its share of Participant Expenses or other Hourly or Non-Hourly Charges, such Participant shall pay, in addition to interest on each late payment, a late payment charge for its second failure to pay on time, and for each subsequent failure to pay on time within the same 12-month period (a "Late Payment Charge") in an amount equal to the greater of (i) two percent (2%) of the total amount of such late payment or (ii) \$1,000;
- (6) each Participant is obligated to meet the requirements specified in the Billing Policy on file with the FERC as it may be amended from time to time (Participants are encouraged to regularly review the Billing Policy for any changes to the billing and payment dates or procedures; the far-reaching consequences of the failure to pay all or any part of an amount due when and as due are set forth in the Billing Policy);
- (7) each Participant is obligated to meet the requirements specified in the Financial Assurance Policies on file with the FERC as they may be amended from time to time;
- (8) each Participant is required to submit information to the ISO from time to time, as is necessary to enable the ISO to meet its obligations, concerning any entity owned 10% or more by the Participant or any entity which owns 10% or more of the Participant, including upon a change in ownership or control of the Participant any such entity;
- (9) each Participant, except a Governance Only Member, has the obligation to assure for each transaction that it has identified transmission facilities required to accomplish such transaction and has made appropriate arrangements with the ISO or the owners of such transmission facilities, as appropriate, for use of such facilities;
- (10) each Participant is obligated to provide NEPOOL or the ISO the information that NEPOOL or the ISO determines is required in order to administer and implement the Second Restated NEPOOL Agreement, the Participants Agreement, the Tariff and any other agreement that NEPOOL or the ISO administers and, except a Governance Only Member, to verify that satisfactory transmission arrangements have been made for each transaction;

Plymouth Rock Energy, LLC
October 17, 2011
Page 3

- (11) for brokered transactions, a Participant while acting, now or in the future, as a broker would not be considered either the purchaser or the seller;
- (12) each Participant is obligated to conform to standards established by the ISO or any duly authorized NEPOOL committee to assure reliable operation of the New England Control Area, including, without limitation, the obligation to have the ability to subject its load to load shedding as required by the ISO; and
- (13) no Participant may use its rights under the Second Restated NEPOOL Agreement, Tariff or the System Rules to avoid the application of any stranded cost policy, or to avoid or reduce the payment of any applicable stranded costs or access charges related to such stranded cost policy that has been approved by Federal regulators or regulators in any New England state in which that Participant is purchasing or selling electric energy and/or capacity for resale at wholesale or to retail customers.

Upon receipt of this countersigned letter, NEPOOL expects to make the necessary filings with the Federal Energy Regulatory Commission in order for Plymouth Rock's application to become effective.

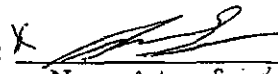
Very truly yours,



Michael J. Lynch
Chair, Membership Subcommittee
of the NEPOOL Participants Committee

Accepted and approved:

Plymouth Rock Energy, LLC

By: 
Name: Adam Sokol
Its member

Dated: 10/19/2011

Enclosure

Exhibit B-2 "Experience & Plans"

Plymouth Rock Energy, LLC

Plymouth maintains a 24 hour customer help line with trained staff that are able to assist customers in emergencies and with customer care issues. Plymouth Rock Energy, LLC currently serves gas customers in New York and New Jersey, and has established billing, customer complaint procedures, and customer contracts in place. Customer care procedures are included in this attachment for reference.


Plymouth Rock
 ENERGY

Invoice #

G278978

Invoice Date

Customer #

Amount Due:

Amount Enclosed

Make check payable to:

Plymouth Rock Energy, LLC

C/O Citibank WLBX 9601

1 Reckson Plaza - Lower Level

Unlondale, NY 11555

FOLD AND TEAR ON PERFORATION

FOLD AND TEAR ON PERFORATION

FOLD AND TEAR ON PERFORATION

Energy Commodity Bill
Gas

Customer

C/O

Address

Invoice Date

24-Aug-10

PRE Account #

Utility

Con Ed

Service Address

Utility Acct #

Meter #

From

To

Usag

Price

Bill Amount

Gas

Therms

Sales Tax at:

8.87%

CONSOLIDATED BILL

Questions? Please call us at
(516) 734-0408

Previous Balance

\$0.00

Amount Due

PAYMENT DUE / UPON RECEIPT: A Late Payment Charge of 1.5% will accrue if Payment is not received within 15 days

IMPORTANT: If you smell gas or have any other emergency, call your local utility at:

(800) 752-6633

Plymouth Rock Energy, LLC • 1074 Broadway • Woodmere, New York 11598

Tel: (516) 734-0408 • Fax: (516) 295-1417 • www.plymouthenergy.com



Natural Gas Sales Agreement - Firm Service

Seller	Plymouth Rock Energy, LLC 1074 Broadway Woodmere, NY 11598	Buyer	_____
Tel	(516) 734-0408	Address	_____
Fax	(516) 295-1417	Contact	_____
Date	_____	SS#/EID #	_____
		Contract	_____

Service Address	Account Name	Account Number	Utility	Rate Class

Contract Price: Fixed Price \$ _____ NYMEX + \$ _____

Contract Price is based on current market conditions and set on receipt of an executed Agreement. No modification of price will be made without prior oral consent of BUYER.

BUYER agrees to purchase from SELLER at the above price, all of the natural gas requirements for the accounts listed above. SELLER will deliver a quantity that is necessary to meet BUYER'S City Gate requirements based on the consumption information that SELLER receives from BUYER'S local distribution company (LDC).

The City Gate is defined as the boundary of the LDC's territory. The delivery point (where BUYER receives title) will be the City Gate station(s) of BUYER'S LDC(s).

SELLER will aggregate BUYER'S natural gas supply requirements with SELLER'S natural gas supply portfolio. BUYER agrees to designate SELLER to act as BUYER'S agent in administering contracts with the LDC and to arrange for the transportation of BUYER'S gas to the delivery point.

Initiation of service under this Agreement is contingent upon satisfactory credit review. SELLER reserves the right to decline to execute this Agreement in the event of an unsatisfactory credit report. By signing below, BUYER agrees to the terms of this Agreement and the General Terms and Conditions on the reverse and authorizes SELLER to obtain credit references including credit reference reports.

Customer Disclosure Statement

Price: Fixed or Variable as noted on this Cover Sheet and/or in the Agreement.

Fixed or Variable and, if variable, how the price is determined: If variable, the price will change monthly in response to market conditions or changes in the NYMEX rate plus a specified adder.

Length of the agreement and end date: ___ months from enrollment effective date.

Amount of Early Termination Fee and method of calculation: No early termination fee for variable service. If fixed service the projected amount of natural gas to be consumed by you for the remainder of the current Term

multiplied by the difference between the fixed price in effect for the remainder of the current Term and the price at which Plymouth can sell such gas following the termination.

Amount of Late Payment Fee and method of calculation: 1.5% on overdue balances.

Provisions for renewal of agreement: After initial term, unless otherwise agreed to, renews on a month to month basis at variable market rate unless terminated by either party.

General Terms and Condition

Agreement to Sell and Purchase Energy: This is an agreement between Plymouth Energy LLC ("Plymouth") and the undersigned customer ("Customer") under which Customer shall initiate natural gas service and begin enrollment with Plymouth (the "Agreement"). Subject to the terms and conditions of this Agreement, Plymouth agrees to sell and deliver, and Customer agrees to purchase and accept the quantity of natural gas, as estimated by Plymouth, necessary to meet Customer's requirements based upon consumption data obtained by Plymouth or the delivery schedule of the Local Distribution Utility (the "LDU"). The amount of natural gas delivered under this Agreement is subject to change based upon data reflecting Customer's consumption obtained by Plymouth or the LDU's delivery schedule.

Term: This Agreement shall commence as of the date Customer's notice regarding the change of Customer's provider to Plymouth is deemed effective by the LDU, and shall continue for ___ months thereafter (the "Initial Term"). Upon completion of the Initial Term, this Agreement will automatically renew on a month-to-month basis under the same general terms and conditions, unless Plymouth sends Customer written notice of proposed changes to such general terms and conditions in advance of the renewal date (the "Renewal Term"). Contract price will revert to variable market rate after initial term until renewal

contract is executed. Any such written notice will be sent at least 30 days and no more than 60 days prior to the renewal date, apprising Customer of any proposed changes in the terms and conditions of this Agreement and of the Customer's right to renew, terminate or renegotiate this Agreement. While receiving service on a month-to-month basis, Customer may cancel or terminate this Agreement without penalty so long as Plymouth is provided with 30 days' advance written notice of termination.

Pricing, Billing, and Termination: Unless otherwise agreed to in writing, the price for all gas sold under this Agreement shall be a [] **variable price per therm** established each month by Plymouth based upon market conditions, a **NYMEX plus \$___ adder** that varies each month or [] **a fixed price of \$___ per therm**, plus, in each case, all applicable taxes. Price [] **includes** / [] **excludes** Line Loss.

For fixed price service if usage in any month exceeds the level of usage in the same month in the previous year (the "Base Load") by ten percent or more, the Customer will be charged a variable price for all usage in excess of the Base Load and the fixed price for usage up to the Base Load. If the usage in any month falls by ten percent or more below the Base Load, the Customer will be charged the fixed price for all usage and shall be charged for hedging, cash out costs or balancing costs associated with the positive difference between Base Load and

the actual consumption. Plymouth will invoice Customer monthly for natural gas delivered under this Agreement, as measured by the LDU, and Customer will pay each invoice in full within 30 days of the invoice date or be subject to a late payment charge of 1.5% per month and termination of this Agreement upon 15 days' written notice. Additionally, if there is a material adverse change in the business or financial condition of Customer (as determined by Plymouth at its discretion) or if Customer fails to perform its obligations hereunder, including, without limitation, failing to (a) pay or (b) post any required security deposit, then, in addition to any other remedies that it may have, Plymouth may terminate this Agreement upon 15 days' written notice to Customer. If Plymouth terminates this Agreement as a result of Customer's breach or Customer seeks to terminate the Agreement, the Customer shall pay Plymouth, in addition to any other applicable charges, a cancellation fee equivalent to the multiplication of the (i) difference between the fixed price set forth in this Agreement and the calculation by Plymouth of the fixed price at the date of termination; and (ii) the estimated volumes for the remainder of the Term (Initial, Renewal or month-to-month as applicable) using the actual volumes received by Customer for the prior 12 month period as the volumes used in determining damages hereunder.

Customer shall have the ability to cure any past due balances within 20 days before Plymouth may unilaterally terminate the contract.

Customer may receive a single bill for both commodity and delivery costs from either Plymouth or the LDU, or each of the LDU and Plymouth may invoice Customer separately. Failure to make full payment of Plymouth charges due on any consolidated bill prepared by the LDU for Plymouth will be grounds for disconnection of utility services in accordance with NYSPSC rules and regulations on the termination of service to non-residential customers, 16 NYCRR Section 13.3. Customer payments remitted in response to a consolidated bill shall be prioritized (when so required) in accordance with procedures adopted by the New York State Department of Public Service (the "DPS"). A \$20 fee will be charged for all returned checks.

Assignment: Customer may not assign its interests in and delegate its obligations under this Agreement without the express written consent of Plymouth. Plymouth may sell, transfer, pledge, or assign the accounts, revenues, or proceeds hereof, in connection with any financing agreement and may assign this Agreement to another energy supplier, energy services company or other entity as authorized by the DPS.

Information Release Authorization: CUSTOMER AUTHORIZES PLYMOUTH TO OBTAIN AND REVIEW INFORMATION REGARDING CUSTOMER'S CREDIT HISTORY FROM CREDIT REPORTING AGENCIES AND THE FOLLOWING INFORMATION FROM THE LDU: CONSUMPTION HISTORY; BILLING DETERMINANTS; ACCOUNT NUMBER; CREDIT INFORMATION; PUBLIC ASSISTANCE STATUS; EXISTENCE OF MEDICAL EMERGENCIES, STATUS AS TO WHETHER CUSTOMER HAS A MEDICAL EMERGENCY, IS HUMAN NEEDS, ELDERLY, BLIND OR DISABLED AND DATA APPLICABLE TO COLD WEATHER PERIODS UNDER PSL § 32 (3); AND INFORMATION PERTAINING TO PSL § 33, TAX STATUS AND ELIGIBILITY FOR ECONOMIC DEVELOPMENT OR OTHER INCENTIVES. THIS INFORMATION MAY BE USED BY PLYMOUTH TO DETERMINE WHETHER IT WILL COMMENCE AND/OR CONTINUE TO PROVIDE ENERGY SUPPLY SERVICE TO CUSTOMER AND WILL NOT BE DISCLOSED TO A THIRD PARTY UNLESS REQUIRED BY LAW. CUSTOMER'S EXECUTION OF THIS AGREEMENT SHALL CONSTITUTE AUTHORIZATION FOR THE RELEASE OF THIS INFORMATION TO PLYMOUTH. THIS AUTHORIZATION WILL REMAIN IN EFFECT DURING THE INITIAL TERM AND ANY RENEWAL TERM. CUSTOMER MAY RESCIND THIS AUTHORIZATION AT ANY TIME BY PROVIDING WRITTEN NOTICE THEREOF TO PLYMOUTH OR BY CALLING PLYMOUTH AT 1-866-539-6450. PLYMOUTH RESERVES THE RIGHT TO CANCEL THIS AGREEMENT IN THE EVENT CUSTOMER RESCINDS THE AUTHORIZATION.

Consumer Protections: The services provided by Plymouth to Customer are governed by the terms and conditions of this Agreement. Plymouth will provide at least 15 days' notice prior to the cancellation of service to Customer. Customer may obtain additional information by contacting Plymouth at 1-866-539-6450 or the DPS at 1-800-342-3377, or by writing to the DPS at: New York State Department of Public Service, Office of Consumer Services, Three Empire State Plaza, Albany, New York 12223, or through its website at: <http://www.dps.state.ny.us>. You may also contact the Department for inquiries regarding the competitive retail energy market at 1.888.697.7728.

Cancellation: Customer acknowledges that in the event of a cancellation or termination of this Agreement, it may take up to 10 weeks for Customer to return to the LDU for commodity supply service, and Customer is liable for all Plymouth charges until Customer's switch to the LDU or another supplier is effective. A final

bill will be rendered within 20 days after the final scheduled meter reading by the LDU or if access is unavailable, an estimate of usage will be used for the final bill, which will be true-up when the final meter reading is provided.

Agency: Customer hereby designates Plymouth as agent to; (a) arrange and administer contracts and service agreements between Customer and Plymouth and between the interstate pipeline transporters of Customer natural gas supplies; (b) nominate and schedule with the interstate pipeline the transportation of Customer's natural gas supplies to the Delivery Points, and with the LDU for the transportation of the Customer's natural gas supplies from the Delivery Points to the Customer's end-use premises; and (c) aggregate Customer's natural gas supplies with such supplies of other customers served by Plymouth to maintain qualification for LDU transportation service and resolve imbalances that may arise during the term of this Agreement. Plymouth as agent for the Customer will schedule the delivery of adequate supplies of natural gas that meet the Customer's city gate requirements as established by the LDU and in response to information provided by the LDU. The Delivery Points for the natural gas transported by interstate pipelines will be the city gate stations of the LDU. Plymouth agrees to arrange for the transportation of the natural gas supplied under this Agreement from the Delivery Points to the Customer's end-use premises. These services are provided on an arm's length basis and market-based compensation is included in the price noted above.

Title: Customer and Plymouth agree that title to, control of, and risk of loss of the natural gas supplied under this Agreement will transfer from Plymouth to Customer at the Delivery Points. Customer and Plymouth agree that transactions under this Agreement are originated and consummated outside the jurisdictional limits of the municipality, city, county or other taxing authority where Customer's service address is located. Plymouth will indemnify and hold harmless Customer from all taxes, royalties, fees or other charges incurred before title passes with respect to the natural gas provided hereunder.

Warranty: This Agreement, including any enrollment form and applicable attachments, as written makes up the entire Agreement between Customer and Plymouth. Plymouth makes no representations or warranties other than those expressly set forth in this Agreement, and Plymouth expressly disclaims all other warranties, express or implied, including merchantability and fitness for a particular use.

Force Majeure: Plymouth will make commercially reasonable efforts to provide natural gas hereunder but Plymouth does not guarantee a continuous supply of natural gas to Customer. Certain causes and events out of the control of Plymouth ("Force Majeure Events") may result in interruptions in service. Plymouth will not be liable for any such interruptions caused by a Force Majeure Event, and Plymouth is not and shall not be liable for damages caused by Force Majeure Events. Force Majeure Events shall include acts of God, fire, flood, storm, terrorism, war, civil disturbance, acts of any governmental authority, accidents, strikes, labor disputes or problems, required maintenance work, inability to access the local distribution utility system, non-performance by the LDU (including, but not limited to, a facility outage on its gas distribution lines), changes in laws, rules, or regulations of any governmental authority or any other cause beyond Plymouth's control.

Liability: The remedy in any claim or suit by Customer against Plymouth will be solely limited to direct actual damages (which will not exceed the amount of Customer's single largest monthly invoice amount in the immediately preceding 12 months). All other remedies at law or in equity are hereby waived. In no event will either Plymouth or Customer be liable for consequential, incidental, indirect, special or punitive damages. These limitations apply without regard to the cause of any liability or damages. There are no third-party beneficiaries to this Agreement.

Plymouth Contact Information: Customer may contact Plymouth's Customer Service Center at 1-866-539-6450, Monday through Friday 8:00 a.m. - 8:00 p.m. EST and Saturday 8:00 a.m. - 3:00 p.m. EST (contact center hours subject to change). Customer may write to Plymouth at: Plymouth Energy LLC, 1074 Broadway, Woodmere, NY 11598.

Dispute Resolution: In the event of a billing dispute or disagreement involving Plymouth's service, Customer should contact Plymouth's Customer Service Center as provided above. Customer must pay the bill in full, except for the specific disputed amount, during the pendency of the dispute. If the parties cannot resolve the dispute within 45 days, either party may avail itself of all remedies available under law or equity. The DPS will not resolve Non Residential disputes associated with the services provided under this Sales Agreement. However, the DPS will monitor inquiries and contacts from Non-Residential

customers regarding energy service companies and an excessive number of confirmed complaints may result in an energy service company no longer being eligible to supply natural gas or natural gas in New York State. The DPS Office of Consumer Services can be reached at: New York State Public Service Commission, Office of Consumer Services, Three Empire State Plaza, Albany, New York 12223; or by visiting www.dps.state.ny.us.

Choice of Laws: Venue for any lawsuit brought to enforce any term or condition of this Agreement or to construe the terms hereof shall lie exclusively in the State of New York. This Agreement shall be construed under and shall be governed by the laws of the State of New York without regard to the application of its conflicts of law principles.

Taxes and Laws: Except as otherwise provided in the Agreement or provided by law, all taxes of whatsoever kind, nature and description due and payable with respect to service provided under this Agreement, other than taxes based on Plymouth's net income, shall be paid by Customer, and Customer agrees to indemnify Plymouth and hold Plymouth harmless from and against any and all such taxes. This Agreement is subject to present and future legislation, orders, rules, regulations or decisions of a duly constituted governmental authority having jurisdiction over this Agreement or the services to be provided hereunder.

Regulatory Changes: If at some future date there is a change in any law, rule, regulation or pricing structure whereby Plymouth is prevented, prohibited or frustrated from carrying out the terms of the Agreement, at its sole discretion Plymouth shall have the right to cancel this Agreement on 15 days' notice to Customer.

Emergency Service: In the event of a gas leak, service interruption or other emergency, Customer should immediately call the LDU at for Con Edison 1-800-75-CONED, for National Grid 1-800-490-0045, and for Niagara Mohawk at 1-800-892-2345 and emergency personnel. Customer should then call Plymouth at: 1-866-539-6450.

Parties Bound: This Agreement is binding upon the parties hereto and their respective successors and legal assigns.

Confidentiality: Customer agrees that for so long as this Agreement remains in effect and for a period of 2 years following termination of this Agreement, this Agreement and all pricing provided there under is commercially sensitive and shall not, unless required by law, be disclosed to any third party, or any Customer employee without a need to know, without the prior written consent of Plymouth.

IN WITNESS WHEREOF, Customer and Plymouth have caused this Agreement to be executed as of the _____, day of _____, _____ or as of the date noted above.

For: Plymouth Rock Energy, LLC

For: _____

By: _____

By: _____

Title: _____

Title: _____

In the case of telephonic or electronic enrollment such execution shall be deemed provided pursuant to the methods authorized under the New York Uniform Business Practices.

**Customer Care Associate Procedures
Plymouth Rock Energy, LLC**

1. Upon Arrival Customer Care Associate
 - Log In Shortel Phone
 - Sales Force
 - Check Voice Mail
 - Check Email
2. CCA Introduction Answering Calls
 - Good Morning/Afternoon you have reached the Customer Care Department
 - This is _____ YOUR NAME
 - How may I help you?
3. Assisting Inquiries or Resolving Issues
 - Obtain information from the customer to access and verify the account or premises information
 - Determine the nature of the inquiry and if the Utility or if Plymouth Rock Energy is responsible for assisting the customer
 - CCA will follow normal procedures for responding to inquiries. If the inquiry is specific to the Utility or another internal department the CCA will take one of the following actions:
 - a. Forward/transfer the inquiry to the responsible party;
 - b. Direct the customer to contact the responsible party; or
 - c. Contact the responsible party to resolve the matter and provide a prompt response to the customer.
4. Opening Case Procedure
 - Enter Customer Contact Account information in Sales Force Quick Create
 - Provide Description of customer's complaint
 - Resolve or Create Task to get support from Responsible Department
 - Close Case or Create Follow-up to customer or internal support
5. Customer Emergencies
 - An emergency call means any communication from a customer concerning an emergency situation relating to the distribution system, including, but not limited to, reports of gas odor, natural disaster, downed wires, electrical contact, or fire.
 - The CCA shall provide the distribution utility's emergency number to the customer for direct contact to the distribution utility.

Exhibit B-3 “Summary of Experience”

Plymouth Rock Energy, LLC

Plymouth Rock Energy LLC started serving Natural Gas in the New York metropolitan area in 2004.

Exhibit B-4 "Disclosure of Liabilities and Investigations"

Plymouth Rock Energy, LLC

Plymouth Rock Energy, LLC does not have any existing, pending or past rulings, judgment, contingent liabilities, revocation of authority, regulatory investigations, or any other matters that could adversely impact their financial or operational status or ability to provide the services it is seeking to be certified to provide, nor have they had any such problems in the past.

Exhibit C-1 “Annual Reports”

Plymouth Rock Energy, LLC

Plymouth Rock Energy, LLC is not of sufficient size to merit annual reports. They are a privately held company, and do not have external stakeholders.

Exhibit C-2 “SEC Filings”

Plymouth Rock Energy, LLC

Plymouth Rock Energy, LLC is a small, privately held Limited Liability Company and is not required to file 10-K or 8-K filings with the SEC. Therefore, Plymouth does not have a 10-K to include in its application.

Exhibit C-3 “Financial Statements” – FILED UNDER CONFIDENTIAL SEAL

Plymouth Rock Energy, LLC

Exhibit C-4 “Financial Arrangements” – FILED UNDER CONFIDENTIAL SEAL

Plymouth Rock Energy, LLC

Exhibit C-5 “Forecasted Financial Statements” – FILED UNDER CONFIDENTIAL SEAL

Plymouth Rock Energy, LLC

Exhibit C-6 "Credit Rating"

Plymouth Rock Energy, LLC

Plymouth Rock Energy, LLC does not have credit ratings but has supplied a credit report from Dun and Bradstreet under Exhibit C-7.

Exhibit C-7 "Credit Report"

Plymouth Rock Energy, LLC

A Dun and Bradstreet Credit Report is included in this attachment.

PLYMOUTH ROCK ENERGY, LLC

DUNS: 82-740-6641

Dashboard

Company Info

Address:

1074 Broadway
Woodmere, NY 11598

Phone:

(516) 734-0408

URL:

www.plymouthenergy.com

DBA's:

PAREI

Fax:

(516) 295-1417

Location Type:

Single location

Risk Interpreter

Risk of Debt Write-Off



Based on the D&B Financial Stress Score, the probability of failure for this company in the next 12 months is 0.17%, which makes it a Moderate risk for you to incur a write-off. You can adjust your credit limits and collections strategies to reduce your exposure or increase your bad debt reserves to counter this risk.

Low Risk

High Risk

Cash Flow Risk



Based on the D&B Delinquency Predictor reporting a payment behavior of Consistent, Timely payments, this company is predicted to have a Low-Moderate risk of a negative impact to your cash flow. You can adjust your payment terms, credit limits and collections strategies to mitigate this risk.

Low Risk

High Risk

Payment Behavior



According to the D&B PAYDEX® Score, this company paid its vendors on time.

On Time

180 Days BT

Scores

PAYDEX®	Delinquency Predictor		Financial Stress		Supplier Eval. Risk Rating	Credit Limit Rec.	DandB Rating
Score	Score	Class	Score	Class	Rating	Recommendation	Rating
80 ▲	560 ▲	2	1497 ▼	3	2 ▼	\$35K	1R3

Recent Alerts

There are currently no alerts issued for this company. If you only recently began monitoring this company, you will not receive your first alerts until score changes or events occur. To configure your alerts notification settings, please

Payments Summary

Current PAYDEX®: 80 Equal to generally within terms
Industry Median: 78 Equal to 3 DAYS BEYOND terms
Payment Trend: ↔ Unchanged, compared to payments three months ago

Total payment Experiences in D&Bs File (HQ): 14
Payments Within Terms (not dollar weighted): 100%

Exhibit C-8 "Bankruptcy Information"
Plymouth Rock Energy, LLC

Plymouth Rock Energy, LLC has not made any bankruptcy filings in the current year or within the preceding two years.

Exhibit C-9 "Merger Information"

Plymouth Rock Energy, LLC

Plymouth Rock Energy, LLC has not been involved in any mergers or acquisitions within the preceding five years.

Exhibit D-1 “Operations”

Plymouth Rock Energy, LLC

Plymouth Rock Energy, LLC currently operates as a retail gas supplier in New York and New Jersey, an outline of Plymouth’s procurement and scheduling procedures is included below. Plymouth maintains a 24 hour customer help line with trained staff that are able to assist customers in emergency and in registration issues.

Natural Gas Procurement & Pipeline/LDC Scheduling Procedures:

LDC Prior Month Set-up

- Develop prompt month LDC demand for firm delivery customers and for interruptible delivery customers (1) week prior to Nymex futures contract prompt month settlement date.
- Confirm prompt month physical supply agreements to the LDC city gate and pipeline capacity assets available to the LDC city gate.
- Balance LDC demand & LDC supply per LDC tariff.
- Execute pipeline capacity contracts and purchase supply as needed.
- Nominate base-load supply via pipeline’s Electronic Bulletin Board (EBB) and via counter parties to the LDC city gate.
- Nominate LDC’s EBB to firm customer account/pools and to interruptible customer account/pools from the city gate.

Daily Pipeline & LDC Scheduling (Day Ahead)

- Utilizing the LDC’s EBB confirm the LDC’s operational status. Operational Flow Order (OFO) posted or no operational issues posted.
- Confirm customer demands for firm and interruptible customers based on LDC’s EBB and predicted weather.
- Utilizing the pipeline’s EBB confirm the pipeline’s operational status.
- Balance LDC demand & LDC supply per LDC tariff.
- Nominate daily supply via pipeline’s Electronic Bulletin Board (EBB) and via counter parties to the LDC city gate.
- Nominate daily supply changes via LDC’s EBB to firm customer account/pools and to interruptible customer account/pools from the city gate.

Daily Pipeline & LDC Scheduling (Same Day)

- Confirm supply for firm and interruptible customers based on LDC’s EBB.
- Confirm scheduled pipeline deliveries to the LDC on pipeline’s EBB.

Make any adjustments to LDC as necessary via pipeline EBB and counter party delivered supply.

Exhibit D-2 “Operational Expertise”

Plymouth Rock Energy, LLC

Plymouth has been operating in the New York retail market since 2010 and has established supply, billing, customer complaint procedures, and customer contracts in place. Plymouth Rock Energy, LLC has experience in natural gas markets through its business in New York and New Jersey, and will bring that expertise to its service in Ohio. Plymouth has worked to build a team of knowledgeable and experienced employees manage Plymouth’s natural gas operations, as described in Exhibit D-1. Resumes are attached a part of Exhibit D-3

Plymouth has staff with extensive operating experience in retail natural gas services including procurement, scheduling, billing, and customer service. Plymouth maintains a 24 hour customer help line with trained staff able to assist customers in emergency and in registration issues. Plymouth plans to carry its business practices to service of retail clients in Ohio.

Exhibit D-3 “Key Technical Personnel”

Plymouth Rock Energy, LLC

Biographies of Key Personnel

Adam Sokol, President

1074 Broadway
Woodmere, NY 11598
asokol@plymouthenergy.com
Phone: 516-634-2152
Fax: 718-852-8628

Adam Sokol is the President of Plymouth Rock Energy, LLC and has over 15 years' experience in the energy industry. Prior to co-founding Plymouth Rock Energy, LLC in 2004, Adam served, and continues to serve, as the Senior Vice President of Plymouth Rock Fuel Corp. Plymouth Rock Fuel Corp is responsible for delivering heating oil to residential and commercial customers in the New York metropolitan area.

As President of Plymouth Rock Energy, LLC, Adam is responsible for providing strategic guidance and vision to grow the business. This includes overseeing all aspects of the business, including sales and marketing, pricing, buying and selling natural gas and power in the wholesale energy market, ensuring the proper risk management of the company's portfolio, financing, operational and IT functions, and regulatory and statutory compliance. Adam is also involved in the acquisition of businesses that will allow Plymouth to continue to grow.

Shyam Persaud, CFO

1074 Broadway
Woodmere, NY 11598
spersaud@plymouthenergy.com
Phone: 516-634-2501
Fax: 718-852-8628

Shyam Persaud is the Chief Financial Officer at Plymouth Rock Energy, LLC, and is in his 13th year of financial management in the energy industry. As a member of the executive team, Shyam has been involved in the management and growth of Plymouth by managing the Finance Department and overseeing all accounting and finance related activities of the company. Shyam also is valuable in his ability to provide strategic and tactical insight and guidance to the members of the company.

David Sokol, VP

1074 Broadway
Woodmere, NY 11598
Phone: 516-634-2154
Fax: 516-295-1417
Email: andy@plymouthenergy.com

David is the Vice President and a shareholder in Plymouth Rock Energy, LLC. David has over 10 years of experience in the energy industry, including two years at Price Waterhouse Cooper as an auditor prior to co-founding Plymouth Rock Energy in 2004. Since then, David's responsibilities as a member of the executive team have included providing strategic guidance to help grow the business, as well as looking

for opportunities for acquisition and integration of businesses. David's day-to-day responsibilities include overseeing all operational aspects of the business, including pricing, buying and selling natural gas and power in the wholesale energy market, ensuring the proper risk management of the portfolio. David is also involved in overseeing the financial and IT functions of the business.

Andy Sookram, Controller

1074 Broadway, Woodmere, NY 11598

Phone: 516-634-2154

Fax: 516-295-1417

Email: andy@plymouthenergy.com

Andy has served as the controller at Plymouth Rock Energy for the past five years. Andy has overseen tremendous growth at the company, and is responsible for managing day-to-day operations within the finance department. Andy has over 15 years of experience in accounting management. Andy has been responsible for directing and coordinating company financial planning and budget management, *monitoring all treasury functions including debt financing and debt service payments, managing preparation of financial statements, transfers and expenses, and serving as the primary liaison to external accountants and auditors.* Andy's long experiencing in account management has equipped to skillfully handle the accounting obligations of a growing company.

Niraj Parikh, Director Of Supply & Pricing

1074 Broadway, Woodmere, NY 11598

Phone: 516-634-2503

Fax: 516-295-1417

Email: nparikh@plymouthenergy.com

Niraj has been involved in the Retail Energy Markets since 2007, working first with Con-Ed Solutions, then moving to Nextera Energy, and most recently bringing his experience to Plymouth Rock Energy as a the Director of Supply & Pricing. In this role, Niraj is responsible for scheduling into NYISO and PJM, pricing services and load forecasting. Niraj is also responsible for maintaining and updating usage files and pricing databases. Niraj develops systems to forecast customer load, target potential customers, develop procurement plans and maintain power contracts. He is involved in the operations of Plymouth in the energy markets.

Adam Sokol
13708 72nd Road
Flushing, NY 11367
Telephone: 516-634-2152

Plymouth Rock Energy, LLC (September 2004 to Current)

Plymouth Rock Energy, LLC is an independently owned retail energy provider serving natural gas and electricity to commercial and residential customers.

President

Co-founder of the company in 2004, and has since maintained overall responsibility for the daily management and operation of the company. Responsibilities include:

- Providing strategic guidance and vision to grow the business, leading to a Compounded Annual Growth Rate of 110% in net sales between 2004 and 2011.
- Developing marketing and sales initiatives. The result is the continued expansion into new markets, such as New Jersey, Pennsylvania, and Ohio.
- Maintaining the profitability and growth of the business. This includes review and oversight of *all financial information related to the company, including profit and loss responsibilities.*
- Managing the wholesale portfolio, including the buying and selling of natural gas and power in the wholesale energy market.
- Ensuring and reviewing of proper risk management policies of the portfolio.
- Ensuring compliance with regulatory and statutory agencies.

Plymouth Rock Fuel Corp (June 1997 to Current)

Plymouth Rock Fuel Corp is a family owned business, delivering heating oil to residential and commercial customers in the NY metropolitan area since 1948.

Vice - President

Oversee the operational and financial aspects of the business. Responsibilities include:

- Daily management of the business.
- Maintaining the profitability and growth of the business. This includes review of all financial information related to the company.
- Managing the wholesale portfolio, including the buying and selling of heating oil in the wholesale energy market, as well as entering into supply arrangement with various wholesale entities.
- Ensuring and reviewing proper risk management policies of the portfolio.
- Ensuring compliance with regulatory and statutory agencies.

David Sokol
801 Addison Street
Woodmere, NY 11598
Telephone: 516-634-2151

Plymouth Rock Energy LLC (September 2004 to Current)

Plymouth Rock Energy LLC is an independently owned retail energy provider serving natural gas and electricity to commercial and residential customers.

Vice -President

Co-founder of the company in 2004, and have overall responsibility for the daily management of the company. Responsibilities include:

- Overseeing all operational aspects of the business including:
 - o Customer acquisition
 - o Customer care
 - o Enrollments
 - o Pricing
 - o Billing
 - o Information Technology
- Managing the wholesale portfolio, including the buying and selling of natural gas and power in the wholesale energy market.
- Ensuring and reviewing of proper risk management policies of the portfolio.
- Ensuring compliance with regulatory and statutory agencies.
- Acquisition and integration of businesses.

Plymouth Rock Fuel Corp (August 2002 to Current)

Plymouth Rock Fuel Corp is a family owned business, delivering heating oil to residential and commercial customers in the NY metropolitan area since 1948.

Vice - President

Oversee the operational and marketing aspects of the business. Responsibilities include:

- Daily management of the business.
- Pricing of customer accounts.
- Sales and marketing.
- Managing the wholesale portfolio, including the buying and selling of heating oil in the wholesale energy market, as well as entering into supply arrangement with various wholesale entities.
- Ensuring and reviewing of proper risk management policies of the portfolio.
- Ensuring compliance with regulatory and statutory agencies.

Andy Sookram
M 917-288-3793 ☎ 347-649-1737
andysookram@gmail.com

QUALIFICATIONS

Detail oriented experienced controller with human resource, managerial and inventory experience. Strong business, analytical, and problem-solving skills. Hands-on, energetic and objective approach to tasks. Five years experience in the energy sector, commercial printing and direct mail procurement and production, distribution and warehousing. Familiar with most popular desktop applications and computer savvy.

TECHNICAL SKILLS

QuickBooks – PC & Mac, Peachtree, Microsoft Windows, Word, Excel, PowerPoint, Access, Project, Adobe Acrobat, Mailers +4

PROFESSIONAL EXPERIENCE

January 2007 to Present – Plymouth Rock Energy LLC – Woodmere NY
Controller / Human Resource Administrator

- Direct and coordinate company financial planning and budget management functions.
- Monitor and analyze monthly operating results against budget.
- Manage all treasury functions including debt financing and debt service payments with external agencies.
- Oversee daily operations of the finance department.
- Manage the preparation of financial statements, transfers, and expenses.
- Ensure compliance with local, state, and federal reporting requirements.
- Establish and implement departmental goals, objectives, policies, and operating procedures.
- Recruit, train, supervise, and evaluate department staff.
- Design, establish, and maintain an organizational structure and staffing to effectively accomplish the department's goals and objectives.
- Serve on planning and policy-making committees.
- Serve as primary liaison to company external accountants and auditors.
- Direct financial audits and provide recommendations for procedural improvements.
- Administer benefit plans
- Payroll management.
- Other duties as assigned.

November 2000 to December 2006 – MINT PRINT CORPORATION - Brooklyn, NY
Full Charge Bookkeeper/Manager

In my role as bookkeeper I implemented and maintained the accounting system using QuickBooks. Responsible for maintaining the general ledger, invoicing, accounts payable, accounts receivable, preparation of deposits, bank reconciliations, processing payroll with ADP Payroll, setting sales prices, cost analysis, and tracking inventory. Prepared reports such as internal financial statements, payables and receivables, profit analysis for each client and cost centers. Worked with accountant in monthly audits and reports.

In the role of manager I assisted and advised the President in on-going restructuring efforts that took the company from a loss into a profitable position. Supervised staff to ensure project processes, schedules and overall quality control standards was met. Liaised with vendors and clients on major projects that included estimates, print and mail procurement, and resolved customer disputes. Also assisted president in evaluating and updating company processes and policies.

September 2000 to November 2000 – RTI SHELVING SYSTEMS, Elmhurst, NY
Bookkeeper

Andy Sookram
M 917-288-3793 ☎ 347-649-1737
andysookram@gmail.com

Updated QuickBooks setup including chart of accounts, customers and vendors. Adjusted incorrectly posted entries including invoices and bills. Reconciled past and current banks accounts; payables and receivables.

September 1999 to September 2000 – HANK TRADERS LTD, Chaguanas, Trinidad
Accounting Manager/General Manager

As head of the accounting department I was responsible for training new and existing staff in QuickBooks. Supervised sales and accounting staff and ensuring adherence to procedures and policies. Prepared all reports including P&L, Balance Sheet, Sales, Receivables & payables

As General Manager, I supervised all other staff including sales personnel, supervisors, managers and supporting staff. Also in charge of recruiting, hiring and termination of employees. Coordinated projects such as major refurbishing of storage and refrigeration units, increasing cooling capacity, thereby considerably reducing spoilage.

March 1996 to September 1999 – R&C Enterprises Ltd, San Fernando, Trinidad
Accounting Manager – Rehired

Responsible for updating general ledger, receivables, payables, payroll. Supervised accounting and inventory staff. Directly involved in the implementation of Peachtree Accounting by an Accounting firm. Independently designed, implemented and maintained a multiple warehouse inventory system in Peachtree, including training staff, trouble shooting, and resolving conflicts.

July 1994 to March 1996 – Agostini Industries Ltd, San Juan, Trinidad
Inventory Manager

Maintained finished products inventory using FIFO method. Verifying and approving daily production. Spatial allocation on inventory in a limited warehouse space. Dispatching products to distribution centers and exports. Calculating spatial requirements for packing containers for exports and verifying contents. Monthly reports. Maintained consistently accurate inventory than predecessors.

November 1992 to April 1994 – R&C Enterprises Ltd, Chaguanas, Trinidad
Accounts Clerk

All recordkeeping functions including posting entries, accounts receivable, payables, inventory, reports and cost analysis. Reported to company accountant.

Major achievement - Recommended and implemented the transformation from "wholesale only" to retail distribution, thereby increasing sales from \$0.75M to \$15M

September 1990 to November 1992 – Chief Brand Products Ltd, Chaguanas, Trinidad
Inventory Clerk

Receiving and dispatching finished goods inventory using FIFO method. Preparation products for export. Verifying end of day products from sales trucks, with the highest consistent accuracy rate. Assisting with monthly reports.

EDUCATION

High School Diploma – 1989

Association of accounting technicians Level I – 1991

SHYAM PERSAUD

89-17, 213 Street, Queens Village, New York 11427

Cell: (917)-710-2869

shyampersaud@gmail.com

Home: (718)-776-1346

FINANCE AND MANAGEMENT EXECUTIVE

Innovative and Entrepreneurial Leadership ~ Business Development ~ Change Management

Astute, results-oriented Leader with proven success in working with corporations to achieve profitability and business growth objectives within start ups, turnarounds and rapid change environments. Background includes creating and implementing accounting process and controls, systems and management reports within six months, three months ahead of plan at *Homeland Renewable Energy*, with leading technology, competent human resources, and decisive leadership. Critical thinker, who can take large conceptual project or problem, break into components, establish plan and critical path, achieve incremental goal and deliver project or solution to problem on time. Expertly directs resources, technology and expenses to achieve objectives. Additional expertise includes:

- | | | |
|----------------------|-----------------------------------|---|
| • Accounting | • Corporate / Operational Finance | • Risk Management |
| • Strategic Planning | • Process Improvement | • Sarbanes-Oxley (SOX) Requirement |
| • Marketing Analysis | • Business Development | • Employee Development |
| • Due Diligence | • Change Management | • Budgets and Forecasts |
| • Treasury | • Mergers and Acquisitions | • System Technology Design & Implementation |

CAREER ACCOMPLISHMENTS

- Partnered with the Board in providing analysis, strategies and insight to secure additional financing in excess of \$50M at *Ram Power*.
- Successfully converted accounting reporting from Canadian GAAP to IFRS at *Ram Power*.
- Created and developed complex financial model to determine capital requirements and investment needed to construct renewable energy fueled power plants, as well as expected Return on Investment (ROI), operating profits and cash flows, and which was presented to investors by *Homeland Renewable Energy* to acquire financing in excess of \$200 million and to start construction four months ahead of plan.
- Implemented accounting systems, controls and process, including management financial reports, reducing the reporting cycle from 2 months to 1 week, and improving accuracy of financial statements.
- Increased earnings \$15 million by initiating and leading project at *Constellation NewEnergy* to identify and reduce risk exposure by analyzing the energy trading portfolio and customers' energy usage pattern and implementing sound risk management policies and controls to mitigate exposures.
- Reduced collection period from 8 weeks to 5 days by creating and implementing aggressive credit and collection policies and process, new Customer Relation Management (CRM) system, recruiting and developing a competent team.
- Boosted earnings \$5 million by initiating process improvement that resulted in the efficient streamlining of regional operational functions and reduction of cost whilst improving productivity and customer satisfaction.
- Recruited a knowledgeable and competent team of accounting and finance staff after *New Energy Venture* was acquired by *AES Corporation* and transitioned to Boston, resulting in accounting and financial management reporting that provided visibility on the company's performance, and where such information had previously never existed.

PROFESSIONAL ACCOMPLISHMENTS

PLYMOUTH ROCK ENERGY, Woodmere, NY

May 2011 –Present

Energy service provider of natural gas and electricity to residential, commercial and industrial customers.

Vice President of Finance

- Member of the executive team involved in the management and growth of the business.
- Manages the Finance Department overseeing all accounting and finance related activities of the company.
- Provide strategic and tactical insight and guidance to the Members and management of the company.

SHYAM PERSAUD

RAM POWER INC, Reno, Nevada

September 2010 – May 2011

A Canadian registered builder, owner and operator of geothermal power plants in North America and Latin America (TSX:RPI).

Director of Financial Planning & Analysis

- Manages the Finance Department, developing and implementing financial management reports, analysis and models.
- Partnering with executive management and Board in developing strategies and executing on these strategies to achieve the overall business objectives.
- Partnering with the Latin American Project Manager to ensure successful completion of a 72Mw geothermal facility in Nicaragua.
- Developed high level project budgets for the exploration of geothermal resources and construction budgets for power plants.
- Developed business plan and models to secure financing of geothermal projects.
- Successfully implemented Microsoft Dynamics AX accounting system.
- In the process of implementing AX Project in Latin America.
- Converted accounting reporting standard from CGAAP to IFRS.

HOMELAND RENEWABLE ENERGY, LLC, Newtown, Pennsylvania

July 2007 – February 2010

A builder, owner and operator of biomass fuel power plants in the US.

VP of Finance /Consultant, Finance and Management

- Managed the Accounting and Finance Department, implementing systems, establishing controls, policies and procedures in accordance with General Accepted Accounting Principles (GAAP), development of financial management reports, analysis and models.
- Partner with CFO in developing strategies to acquire and maintain capital to secure the company's long term growth, including planned public offering.
- Provided critical analytical support to Executive Management, including development of Monthly Cash Flows, Balance Sheet and Income Statement projection models, to make strategic business decisions.
- Interface with auditors.
- Initiated and created Key Performance Indicators (KPI) to measure and report on operating efficiency of the power plants, resulting in increased productivity, efficiency and reduction in cost by \$600K.
- Recruited and developed accounting and finance staff.

ENVIRONMENTAL POWER GROUP, Portsmouth, New Hampshire

February 2007 – May 2007

A developer, owner, and operator of clean energy production facilities in the US.

Consultant, Finance and Management

- Assigned complete responsibility for all accounting and finance functions, including strategic planning, executive management and SEC reporting during transitional period.
- Developed models to support various business initiatives, resulting in providing a detailed and accurate picture to potential partners and investors.

CONSTELLATION NEWENERGY, Baltimore, Maryland

February 2000 – January 2007

\$4 billion energy service provider to Commercial customers. Company was owned by AES (NYSE: AES) 1999 –2002 and then sold to Constellation Energy Group (NYSE: CEG). NewEnergy company has nine offices in the U.S. and Canada in the following cities Los Angeles, Chicago, Baltimore, Boston, Southfield, New York, Columbus, Houston, Calgary and Toronto.

Consultant, Finance and Management (July 2006 –January 2007)

- Actively partnering with the Regional Vice President of the East Region in creating and implementing long term strategic plan to sustain 10% to 15% annual growth, and creating infrastructure, new products and pricing to support growth.
- Initiated and championed project to review Pricing Model business assumptions and to implement corrective measures where there were variations from actual, resulting in a 40% increase in gross margin.

Regional Group Controller (March 2002 – April 2006)

- Developed and managed a team of 14 Regional Accountants and support staff.
- Directed general accounting, cash management, financial reporting, credit and collections and wholesale portfolio management for all regional business units.
- Reduced reporting cycle to 4 days from 2 weeks, by streamlining accounting and operational process, designing and implementing management reporting system, and tailored financial and operational systems to meet requirements of all regional business units.
- As member of the Leadership Team, actively participated in the creation and implementation of strategic goals and business development to grow business 20%.
- Cut receivable write-offs \$2 million by developing credit policies, instituting aggressive collection strategies, and establishing constructive dialogue with delinquent customers.
- Directed annual budget process and strengthened accountability by partnering with the Regional Vice Presidents in all the regional businesses.
- Recognized critical need and upgraded accounting and operational systems to support the growth of the company from a \$500 million to a \$4 billion company in 5 years.
- Implemented Sarbanes-Oxley requirements 3 months ahead of schedule.
- Researched and analyzed potential new markets and making a business case for entering these markets, resulting in the expansion into 3 new markets and increased growth by 20%.

Controller, East Region (February 2000 – February 2002)

- Initiated broad review and analysis of pricing, risk management, cost and hedging strategies to understand reasons for sustained losses as key finance member of team charged with turning around the business from a loss making entity to profitability when it was acquired by *AES Corporation*, resulting in the implementation of sound business policies, controls and accountability and a return to profitability within 2 years.
- Initiated, developed and implemented critical financial modeling tools (including rolling 5 years P&L, Balance Sheet and Cash Flows) to provide visibility of the long-term business plan and determine future infrastructure and resources needed to sustain growth, resulting in achieving growth of 25%.
- Increased margin \$5 million through hedging strategy for a cost component by identifying a counterparty willing to enter into such transaction even though a visible forward market never existed.
- Assigned ownership for financial consolidation and management reporting for all regional business units, resulting in consistent reporting and a reduction in the reporting cycle from 2 ½ weeks to 2 weeks.

BARNES AND NOBLE, INC., New York, New York

January 1990 - January 2000

Leading retail bookseller with annual sales of \$4.8 billion

Senior Business Analyst (April 1997 – January 2000)

- Directed budgeting, strategic planning, reporting, gathering and analysis of competitive; economic and demographic information.
- Responsible for the financial modeling of all new stores, including ROI, earnings, inventory and staffing levels, lease and construction costs resulting in the rollout of over 200 new superstores and growth in excess of 15%.

Manager – Merchandize Planning and Control (March 1995 – March 1997)

- Implemented change management and process improvement leading to increase productivity and reduction in the annual planning cycle from 5 months to 2 months.
- Reduced inventory 5% and improved cash flow by identifying slow turn over and obsolete books and returning these to the vendors.

Senior Staff Accountant– Operational Accounting (January 1990 – March 1995)

- Managed the operational accounting, reporting and analysis for approximately 1000 stores.
- Initiated and led project to automate daily Sales Audit process, resulting in cost reduction, increased efficiency and scalability.

SHYAM PERSAUD

GUYANA AGRICULTURAL DEVELOPMENT COMPANY LTD, Georgetown, Guyana

August 1987 – October 1989

Start up agricultural production and processing company funded by the Government of Guyana and foreign investors

Vice President of Finance and Operations

- Directed procurements, operational accounting, strategic planning, and cost and management planning and reporting.
- Negotiated with trade union and structured workers' compensation and benefit package resulting in company savings of \$ (GUY) 2 million.

EDUCATION

Certified Accountant – London, England

UNIVERSITY OF LONDON – London, England,
Bachelor of Science in Accounting(May 1985)

NIRAJ PARIKH

(814) 880-9214 • nirajr@gmail.com • One City Place #2205, White Plains, NY 10601

SUMMARY OF QUALIFICATIONS

- Results-driven professional with six years of progressive experience in the power, natural gas and renewables industry.
- Excellent commercial skills, with emphasis on structuring and hedging.
- Substantial experience in origination, portfolio management, P&L analysis, financial modeling and valuation of structured transaction products across U.S. deregulated markets.

WORK EXPERIENCE

Energy Pricing and Supply, Plymouth Rock Energy, LLC

Woodmere, NY

Director, Pricing and Supply

2015 - Present

- Responsible for the development and management of the Pricing and Supply Team for power and natural gas.
- Optimizing, hedging and managing risks associated with natural gas, power and renewables portfolio.
- Managing development of power and natural gas pricing models to support product structuring and pricing requests made by the business in conjunction with development of process to review of settlement data to serve as input into pricing assumptions.
- Responsible for actively managing pricing and position management of the retail book with the objective of growing P&L while remaining competitive and minimizing pricing risks through strategic hedging.

ConEdison Solutions, Consolidated Edison, Inc.

Valhalla, NY

Senior Commodity Analyst

2014 - 2015

- Negotiated and structured contracts for complex power supply deals in partnership with legal counsel and compliance division.
- Researched and maintained forward price curves for non-market based power supply components with the objective to remain competitive while minimizing pricing risks through strategic hedging.
- Optimized pricing model for standard power and gas deals on a monthly basis based on quantitative research and regulatory changes, to assess and price risks inherent in products marketed by sales representatives.

NextEra Energy Power Marketing, LLC, NextEra Energy, Inc.

Juno Beach, FL

Full Requirements Analyst, Wholesale Power

2012 - 2014

- Originated 7.9 MM MWhs and won gross margins of \$23.9 MM; this contributed in exceeding annual origination target of \$21 MM for the Full Requirements (FR) desk by \$16 MM.
- Led origination of wholesale power supply deals by identifying opportunities, evaluating pricing risks, satisfying credit requirements, and vetting deals' valuations and strategies with senior level executives.
- Managed portfolio positions by developing hedging and trading strategies including FTRs, options and heat rate products.
- Hedged and traded REC positions for FR portfolios and ensured compliance of Renewable Portfolio Standard.
- Reported financial performance of FR portfolios to senior management in addition to P&L attribution.
- Awards: Recognized for Outstanding Performance in 2013.

Electric Trading and Operations, Hess Corporation

Woodbridge, NJ

Lead Analyst, Electric Pricing and Structuring

2010 - 2012

- Managed a team of four Pricing & Structuring Analysts for Hess Corporation's Energy Marketing division.
- Performed real options valuation during strategic decision-making for investment in 512 MW dual fuel simple-cycle power generation facility (Located in Bayonne, NJ, directly interconnected to the New York City submarket).
- Analyzed and presented deal valuation, product structures, and risk factors for power deals with notional revenues greater than \$25 MM to senior management.
- Led the development of an innovative iPad application, to provide Sales Team the functionality to price and accept proposals directly from the field; the application contributed to increase in book margins, sales volume and overall operational efficiency.
- Served as primary pricing liaison to the Sales Team by reviewing pricing build-up for long-term deals, addressing customers' and sales reps' pricing concerns, and evaluating loads for product suitability.

Trading Room, Smeal College of Business

University Park, PA

Trading Intern

2008 - 2010

- Designed, tested and optimized financial forecasting model using back propagation Neural Networks.
- Trained students on the use of Bloomberg professional software to conduct research and analysis on a weekly basis.

Bank of America Securities LLC

New York, NY

Equity Business Analyst

2007 - 2008

- Managed a team of IT consultants to produce daily revenue and profitability reports across Global Equities.
- Administered transformation of equities reporting platform to accelerate data processing capability by 300 percent.

EDUCATION

The Pennsylvania State University, Eberly College of Science

May 2010

- Bachelor of Science, Financial Mathematics
- Minor, Statistics and Economics

The Pennsylvania State University, College of Engineering

May 2007

- Bachelor of Science, Electrical Engineering

Honors: Dean's List; Eta Kappa Nu: The Int'l Electrical and Computer Engineering Honor Society

TECHNICAL SKILLS

Programming: SAS; C++; SQL; VBA; MATLAB; HTML; XML

Software: Bloomberg; SPSS; Microsoft Office; Minitab