



November 29, 2016

VIA ELECTRONIC FILING

Public Utilities Commission of Ohio
Docketing Division
13th Floor
180 East Broad Street
Columbus, Ohio 43215-3793

**Re: Aurora Energy Advisors, LLC Application for Certification as a Competitive Retail
Natural Gas Broker
Docket No.: 16-2286-GA-AGG – Public Version**

Dear Docketing Division,

Aurora Energy Advisors, LLC (“Aurora”), which has reserved Docket No. 16-2286-GA-AGG, hereby submits the Public, Redacted Version of its Initial Application to provide Competitive Retail Natural Gas Brokerage Services. The Confidential Version will be submitted via Federal Express.

Please direct any correspondence and communication regarding this submission to the undersigned.

Respectfully Submitted,

s. Kira S. Bryers

Kira S. Bryers
Compliance Consultant
Customized Energy Solutions
Phone: 267-238-4785
Email: kbryers@ces-ltd.com

On behalf of Aurora Energy Advisors, LLC



INITIAL CERTIFICATION FILING INSTRUCTIONS COMPETITIVE RETAIL NATURAL GAS BROKERS/AGGREGATORS

I. Where to File: Applications should be sent to: Public Utilities Commission of Ohio, Docketing Division, 180 East Broad Street, Columbus Ohio 43215-3793.

II. What to File: Applicant must submit one original notarized application signed by a principal officer and three copies including all exhibits, affidavits, and other attachments. All attachments, affidavits, and exhibits should be clearly identified. For example, Exhibit C-10 should be marked “Exhibit C-10 ‘Corporate Structure.’” All pages should be numbered and attached in a sequential order.

III. Which Forms to File: Entities, other than governmental aggregators, that will aggregate customers or suppliers to provide competitive retail natural gas services must file a **“Certification Application for Retail Natural Gas Brokers/Aggregators”** form. Governmental aggregators must file a **“Certification Application for Governmental Aggregators”** form and retail natural gas suppliers must file a **“Certification Application for Retail Natural Gas Suppliers”** form. If a broker/aggregator will provide competitive retail natural gas marketer services, in addition to broker and aggregator services, it must file a **“Certification Application for Retail Natural Gas Suppliers”** form. Checkboxes are provided on the form to indicate desired status.

A summary of CRNGS definitions (from the Commission’s certification rules) is provided below to help applicants determine which application form to use. Three separate application forms are provided, one each for the following services.

- ☐ **Competitive Retail Natural Gas Supplier (Marketer, Broker, Aggregator)**
- ☐ **Competitive Retail Natural Gas Broker/Aggregator**
- ☐ **Ohio Natural Gas Governmental Aggregator**

IV. Certified Entity Service Definitions:

Competitive Retail Natural Gas Service - any retail natural gas service that may be competitively offered to consumers in this state.

Competitive Retail Natural Gas Supplier - a person that is engaged in a for-profit or not for-profit basis in the business of supplying or arranging for the supply of a CRNGS to consumers in this state that are not mercantile customers. “Retail natural gas supplier” includes a marketer, broker, or aggregator, but excludes a natural gas company, a governmental aggregator, a billing or collection agent, and a producer or gatherer of gas that is not a natural gas company.

Competitive Retail Natural Gas Marketing Service – assuming the contractual and legal responsibility for the sale and provision of CRNGS to a retail natural gas customer in this state and having title to natural gas at some point during the transaction.

Competitive Retail Natural Gas Brokerage Service – assuming the contractual and legal responsibility for the sale and/or arrangement for the supply of CRNGS to a retail customer in this state without taking title to the natural gas.

Competitive Retail Natural Gas Broker - a person who provides retail natural gas brokerage service.

Competitive Retail Natural Gas Aggregation Service - combining the natural gas load of multiple retail residential customers or small commercial customers via an agreement with the customers for the purpose of purchasing retail natural gas service on an aggregated basis.

Competitive Retail Natural Gas Aggregator - a person who contracts with customers to combine the customers' natural gas load for the purposes of purchasing CRNGS on an aggregated basis.

Natural Gas Governmental Aggregator - The legislative authority of a municipal corporation, the board of township trustees, or a board of county commissioners acting exclusively under Section 4929.26 or 4929.27 of the Revised Code as an aggregator for the provision of CRNGS. For the purposes of this definition, "governmental aggregator" specifically excludes a municipal corporation acting exclusively under Section 4 of Article XVIII, Ohio Constitution, as an aggregator for the provision of CRNGS.

V. Application Form: The application is available on the Commission's web site, www.puco.ohio.gov or directly from the Commission at: Public Utilities Commission of Ohio, Docketing Division, 180 East Broad Street, Columbus Ohio 43215-3793.

VI. Confidentiality: An applicant may file financial statements, financial arrangements, and forecasted financial statements under seal. If these exhibits are filed under seal, they will be afforded protective treatment for a period of six years from the date of the certificate for which the information is being provided.

An applicant may file a motion for a protective order for other information not filed under seal per the previous paragraph. If the motion is filed in conformance with rule 4901:1-27-07 of the Administrative Code, it shall be automatically approved on the thirty-first day after the date of filing and the information shall be afforded protective treatment for a period of six years from the date of the certificate for which the information is being provided, unless the commission or an attorney examiner appointed by the commission rules otherwise.

At the expiration of the six-year period provided for in the previous paragraphs, the information will be automatically released into the open record. An applicant wishing to extend a protective order beyond the six-year time period must comply with paragraph (F) of rule 4901-1-24 of the Administrative Code.

VII. Commission Process for Approval: An application for certification shall be made on forms approved and supplied by the Commission. The applicant shall complete the appropriate application form in its entirety and supply all required attachments, affidavits, and evidence of capability specified by the form at the time an application is filed. The Commission certification process begins when the Commission's Docketing Division receives and time/date stamps the application. An incomplete application may be suspended or rejected. An application that has been suspended as incomplete may cause delay in certification.

The Commission may approve, suspend, or deny an application within 30 days. If the Commission does not act within 30 days, the application is deemed automatically approved on the 31st day after the official filing date. If the Commission suspends the application, the Commission shall notify the applicant of the reasons for such suspension and may direct the applicant to furnish additional information.

The Commission shall act to approve or deny a suspended application within 90 days of the date that the application was suspended. Upon Commission approval, the applicant shall receive notification of approval and a numbered certificate that specifies the service(s) for which the applicant is certified and the dates for which the certificate is valid.

Unless otherwise specified by the Commission, a competitive retail natural gas service provider's certificate is valid for a period of two years, beginning and ending on the dates specified on the certificate. The applicant may renew its certificate in accordance with Rule 4901:1-27-09 of the Ohio Administrative Code.

CRNGS(competitive retail natural gas service) providers shall inform the Commission of any material change to the information supplied in a certification application within thirty days of such material change in accordance with Rule 4901:1-27-11 of the Ohio Administrative Code.

VIII. Contractual Arrangements for Capability Standards: If the applicant is relying upon contractual arrangements with a third-party, to meet any of the certification requirements, the applicant must provide with its application all of the following:

- ☐ The legal name of any contracted entity;
- ☐ A statement that a valid contract exists between the applicant and the third-party;
- ☐ A detailed summary of the contract(s), including all services provided thereunder; and
- ☐ The documentation and evidence to demonstrate the contracting entity's capability to meet the requirements as if the contracting entity was the applicant.

IX. Questions: Questions regarding filing procedures should be directed to CRNGS@puc.state.oh.us

X. Governing Law: The certification/renewal of CRNGS suppliers is governed by Chapters 4901:1-27 and 4901:1-29 of the Ohio Administrative Code, and Section 4929.20 of the Ohio Revised Code.



PUCO USE ONLY – Version 1.08 May 2016		
Date Received	Case Number	Certification Number
	- GA-AGG	

INITIAL CERTIFICATION APPLICATION COMPETITIVE RETAIL NATURAL GAS BROKERS /AGGREGATORS

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 be certified as: (check all that apply)

☐ Retail Natural Gas Aggregator ☒ Retail Natural Gas Broker

A-2 Applicant information:

Legal Name Aurora Energy Advisors, LLC
Address 4022 Avenue U, Brooklyn, NY 11234
Telephone No. (212) 742-0414 Web site Address www.aeadvisorsllc.com

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

Name Aurora Energy Advisors, LLC
Address 4022 Avenue U, Brooklyn, NY 11234
Web site Address www.aeadvisorsllc.com Telephone No. (212) 742-0414

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

Aurora Energy Advisors, LLC	

A-5 Contact person for regulatory or emergency matters:

Name Mitchell Ingerman Title President and Partner
Business Address 4022 Avenue U, Brooklyn, NY 11234
Telephone No. (212) 742-0414 Fax No. Email Address mingerman@aeadvorsllc.com

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

Name Mitchell Ingerman Title President and Partner
Business address 4022 Avenue U, Brooklyn, NY 11234
Telephone No. (212) 742-0414 Fax No. Email Address mingerman@aeadvisorsllc.com

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

Customer service address 4022 Avenue U, Brooklyn, NY 11234
Toll-Free Telephone No. (877) 695-1062 Fax No. Email Address mingerman@aeadvisorsllc.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 Vcorp Agent Services, Inc. Title
Business address 28602 Yeshiva Lane, Wickliffe, Ohio 44092
Telephone No. 845-425-0077 Fax No. Email Address

A-9 Applicant's federal employer identification number 83-0482997

A-10 Applicant's form of ownership: (Check one)

- ☐ Sole Proprietorship ☐ Partnership
☐ Limited Liability Partnership (LLP) ☒ Limited Liability Company (LLC)
☐ Corporation ☐ 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"/>	Columbia Gas of Ohio	<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"/>	Duke Energy Ohio	<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"/>	Residential	Beginning Date of Service		End Date	
<input type="checkbox"/>	Small Commercial	Beginning Date of Service		End Date	
<input type="checkbox"/>	Large Commercial	Beginning Date of Service		End Date	
<input type="checkbox"/>	Industrial	Beginning Date of Service		End Date	

☐ Dominion East Ohio

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

☐ Duke Energy Ohio

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

☐ Vectren Energy Delivery of Ohio

<input type="checkbox"/>	Residential	Beginning Date of Service		End Date	
<input type="checkbox"/>	Small Commercial	Beginning Date of Service		End Date	
<input type="checkbox"/>	Large Commercial	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 type="checkbox"/>	Columbia Gas of Ohio	Intended Start Date	
<input type="checkbox"/>	Dominion East Ohio	Intended Start Date	
<input type="checkbox"/>	Duke Energy Ohio	Intended Start Date	
<input type="checkbox"/>	Vectren Energy Delivery of Ohio	Intended Start Date	

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,"** if applicable, provide the articles of incorporation filed with the state or jurisdiction in which the applicant is incorporated and any amendments thereto.
- A-17 Exhibit A-17 "Secretary of State,"** provide evidence that the applicant is 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 to be certified to provide (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 it is seeking to be certified to provide.

- 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 within the past five years.

☒ No ☐ Yes

If Yes, provide a separate attachment labeled as Exhibit B-5 "Disclosure of Consumer Protection Violations," detailing such violation(s) and providing all relevant documents.

- B-6 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.

☒ 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 the applicant does not produce annual reports, the applicant should 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 satisfy collateral requirements to conduct retail electric/gas business activity (e.g., parental or third party guarantees, 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 Experion, 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 or subsidiary companies.

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 functions.
- 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

 , President

Sworn and subscribed before me this

21

day of

November Month 2016 Year



Signature of official administering oath

MARY K. BURNS
Notary Public

Print Name and Title

My commission expires on

8/29/17

MARY K. BURNS
Notary Public, State of New York
No. 01BU6132520
Qualified in Kings County
Commission Expires 8-29-2017



The Public Utilities Commission of Ohio

Competitive Retail Natural Gas Service
Affidavit Form
(Version 1.07)

In the Matter of the Application of

[Redacted]

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

Case No. [Redacted]-GA-AGG

County of [Redacted]
State of [Redacted]

[Redacted]

[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

[Signature] President

Sworn and subscribed before me this

21

day of

November

Month

2016

Year

[Signature]

Signature of Official Administering Oath

MARY K Burns Notary Public

Print Name and Title

MARY K. BURNS
Notary Public, State of New York
No. 01BU6132520
Qualified in Kings County
Commission Expires 8-29-2017

My commission expires on

8/29/17

(CRNGS Broker/Aggregator Ver. 1.08, Revised May 2016) Page 8 of 8

Aurora Energy Advisors, LLC

Exhibit A-14 “Principal Officers, Directors & Partners”

1. Mitchell Ingerman, President and Partner
4022 Avenue U
Brooklyn, NY 11234
(212) 742-0414 x2210
mingerman@aeadvisorsllc.com

Aurora Energy Advisors, LLC

Exhibit A-15 “Company History”

Aurora Energy Advisors, LLC is a limited liability company formed in New York on May 11, 2007 for the purposes of providing energy consulting services.

Aurora Energy Advisors, LLC

Exhibit A-16 “Articles of Incorporation and Bylaws”

Please see the Certificate of Good Standing attached hereto, and as Aurora Energy Advisors, LLC is a limited liability company, it does not have bylaws.

State of New York
Department of State } ss:

I hereby certify, that AURORA ENERGY ADVISORS, LLC a NEW YORK Limited Liability Company filed Articles of Organization pursuant to the Limited Liability Company Law on 05/11/2007, and that the Limited Liability Company is existing so far as shown by the records of the Department.

The Biennial Statement is past due.



*Witness my hand and the official seal
of the Department of State at the City
of Albany, this 09th day of June
two thousand and sixteen.*

Anthony Giardina

Anthony Giardina
Executive Deputy Secretary of State

Aurora Energy Advisors, LLC

Exhibit A-17 “Secretary of State”

Please see the OH Secretary of State registration attached hereto.



DATE	DOCUMENT ID	DESCRIPTION	FILING	EXPED	PENALTY	CERT	COPY
11/23/2016	201632603288	REGISTRATION OF FOREIGN FOR PROFIT LLC (LFP)	99.00	0.00	0.00	0.00	0.00

Receipt

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

CUSTOMIZED ENERGY SOLUTIONS
1528 WALNUT STREET
22ND FLOOR
PHILADELPHIA, PA 19102

STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Jon Husted
3961870

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

AURORA ENERGY ADVISORS, LLC

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

Document(s)

REGISTRATION OF FOREIGN FOR PROFIT LLC

Effective Date: 11/21/2016

Document No(s):

201632603288



United States of America
State of Ohio
Office of the Secretary of State

Witness my hand and the seal of the
Secretary of State at Columbus, Ohio this
23rd day of November, A.D. 2016.

Ohio Secretary of State

Aurora Energy Advisors, LLC

Exhibit B-1 “Jurisdictions of Operations”

Aurora Energy Advisors, LLC is currently providing brokerage services in New York, Pennsylvania, Connecticut, New Jersey, Massachusetts, Maryland, the District of Columbia, Illinois, Ohio, Virginia, Texas, California, and Florida.

Aurora Energy Advisors, LLC

Exhibit B-2 “Experience & Plans”

Aurora Energy Advisors, LLC is a full service energy management and consulting firm specializing in sophisticated strategies to manage energy costs for real estate owners and property managers. Aurora offers unique services that work in tandem to craft long-term, strategic energy plans suited to each client’s unique portfolio, including budgeting & reporting, renewable energy programs, portfolio analysis, energy supply procurement, and energy auditing. Aurora’s approach to electricity, oil, and natural gas procurement employs innovative strategies, allowing maximum flexibility to adapt to ever-changing market conditions while still ensuring stability of cost and budgeting. Aurora plans to serve as a certified retail natural gas broker in Ohio.

Aurora Energy Advisors, LLC

Exhibit B-3 “Summary of Experience”

Aurora Energy Advisors, LLC has been providing energy management and consulting services to clients since 2011, including brokerage of electricity and natural gas services in twelve states and the District of Columbia. Aurora’s experience includes energy cost management, budgeting & reporting to optimize energy investments, energy supply procurement (including renewable energy), portfolio analysis to create customized strategies for reducing and controlling energy costs, performing energy audits to assist in obtaining government and utility grants and low-interest loans, third-party management support, and local law compliance. Aurora seeks to bring this depth of experience to its operations as a certified retail natural gas broker in Ohio and expand its suite of services after licensure.

Aurora Energy Advisors, LLC

Exhibit B-4 “Disclosure of Liabilities and Investigations”

Aurora Energy Advisors, LLC does not have any existing, pending, or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or any other matter that could adversely impact its financial or operational status or ability to provide the services it is seeking to be certified to provide.

Aurora Energy Advisors, LLC

Exhibit C-1 “Annual Reports”

Aurora Energy Advisors, LLC, is not a publicly traded company, and therefore has no Annual Reports to provide.

Aurora Energy Advisors, LLC

Exhibit C-2 “SEC Filings”

Aurora Energy Advisors, LLC, is a privately held limited liability company, and therefore is not required to file with the SEC.

Aurora Energy Advisors, LLC

Exhibit C-3 “Financial Statements”

Documentation submitted in connection with this Exhibit will filed under seal pursuant to Ohio Admin. Code 4901:1-27-08(A).

Aurora Energy Advisors, LLC

Exhibit C-4 “Financial Arrangements”

N/A – Aurora Energy Advisors, LLC is seeking only to be certified as a natural gas broker.

Aurora Energy Advisors, LLC

Exhibit C-5 “Forecasted Financial Statements”

Documentation submitted in connection with this Exhibit will be filed under seal pursuant to Ohio Admin. Code 4901:1-27-08(A).

Aurora Energy Advisors, LLC

Exhibit C-6 “Credit Rating”

Aurora Energy Advisors, LLC is not rated by Duff & Phelps, Fitch IBCA, Moody’s Investors Service, Standard & Poor’s, or a similar organization. Please see the Experian Credit Report attached as Exhibit C-7.

Aurora Energy Advisors, LLC

Exhibit C-7 "Credit Report"

Please see the Experian Credit Report attached hereto.



Report

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Search inquiry: (My company)

CreditScoreSM Report

as of: 11/10/16 15:30 ET

Aurora Energy Advisors LLC

Address:	4022 Avenue U Brooklyn, NY 11234-5118 United States	Key Personnel:	President: Mitchell Ingerman
Phone:	212-742-0414	SIC Code:	8742-Management Consulting Services
Experian BIN:	987164870	NAICS Code:	541614-Process, Physical Distribution, And Logistics Consulting Services
		Business Type:	Corporation
		Experian File Established:	June 2014
		Experian Years on File:	2 Years
		Years in Business:	9 Years
		Total Employees:	16
		Sales:	\$981,000

UCC Filings: 0

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

✗ Businesses Scoring Worse: 41%

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

Credit Summary

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Credit Ranking Score: 42



The objective of the Credit Ranking Score is to predict payment behavior. High Risk means that there is a significant probability of delinquent payment. Low Risk means that there is a good probability of on-time payment.

Key Score Factors:

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

Recommended Action: Medium Risk

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Aurora Energy Advisors, LLC

Exhibit C-8 “Bankruptcy Information”

Aurora Energy Advisors, LLC has never had any reorganizations, protection from creditors or any other form of bankruptcy filings by itself, a parent or affiliate organization that guarantees Aurora Energy Advisors, LLC or any officer of Aurora Energy Advisors, LLC in the current year or within the two most recent years preceding this application.

Aurora Energy Advisors, LLC

Exhibit C-9 “Merger Information”

Aurora Energy Advisors, LLC has never dissolved, merged or been acquired by another organization within the two most recent years preceding this application.

Aurora Energy Advisors, LLC

Exhibit C-10 “Corporate Structure”

Aurora Energy Advisors, LLC is a New York limited liability company, and has no affiliates or subsidiaries.

Aurora Energy Advisors, LLC

Exhibit D-1 “Operations”

Aurora Energy Advisors, LLC is in the business of providing energy management and consulting services designed to manage energy costs for real estate owners and property managers, including electricity and natural gas brokerage services.

Aurora Energy Advisors, LLC

Exhibit D-2 “Operations Expertise”

Aurora Energy Advisors, LLC has provided energy management and consulting services, including brokering electricity and natural gas services, for five years. Aurora’s staff has a depth of experience in the industry, offering unique services that work in tandem to craft long-term, strategic energy plans suited to each client’s unique portfolio. Aurora’s approach to electricity, oil, and natural gas procurement employs innovative strategies, allowing maximum flexibility to adapt to ever-changing market conditions while ensuring stability of cost and budgeting. Aurora’s role does not end when contracts are put into place. Most critically, Aurora continues to closely track energy markets for opportunities to improve clients’ positions, providing ongoing monitoring of utility invoices for errors, rate class adjustments, meter reads and latent problems within portfolio patterns. Aurora is also committed to aiding clients in their pursuit of energy efficiency measures.

Aurora Energy Advisors, LLC

Exhibit D-3 “Key Technical Personnel”

Mitchell Ingerman, President and Partner

Mitchell Ingerman is the President and Founder of Aurora Energy Advisors. He has more than 25 years of executive experience in real estate finance and asset management, during which he has been on the cutting-edge of developing cost-saving energy programs for many leading real estate owners, developers, and manager. Mitchell brings an unparalleled ability to view a client’s portfolio from the executive side of the desk.

Prior to founding Aurora Energy Advisors, Mitchell served as a Senior Vice President of Asset Management, Administration and Treasurer for 22 years with one of the largest real estate organizations in the United States. In this role, he was responsible for initiating and implementing energy strategies for the organization’s \$5 billion residential and commercial real estate portfolio. Mitchell directly supervised a staff of 45, and created programs that resulted in \$14 million in annual savings in the areas of procurement, conservation, and demand response.

Mitchell brings a strategic, seasoned perspective to his clients’ portfolios, and becomes an integral part of each organization’s management team. He has earned a strong reputation for establishing programs that have resulted in millions of dollars in savings, and currently manages in excess of \$2 billion in energy disbursements for clients, including oil, gas, electricity, and steam.

Joseph Weitz, Director of Energy Management

Joseph Weitz serves as Aurora Energy Advisors’ Director of Energy Management, beginning as an intern in 2009 and joining the company full-time in 2010. Joseph’s areas of expertise include annual budgeting, procurement, local law compliance, client relations, commodity price analysis, and utility rate structure analysis. Joseph holds degrees in Economics and Finance from Brooklyn College.

Sean Stettin, Senior Energy Analyst

Sean Stettin joined Aurora Energy Advisors in 2011 and currently serves as a Senior Energy Analyst. Sean’s areas of expertise include variance reporting, procurement, supply contract negotiation, special projects, utility rate structure analysis, commodity price analysis and building energy cost structure. Sean holds a Bachelor of Science degree from Binghamton University’s School of Management in Finance and Global Management.

This foregoing document was electronically filed with the Public Utilities

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in

Case No(s). 16-2286-GA-AGG

Summary: Application Initial Application for Certification as a Competitive Retail Natural Gas Broker of Aurora Energy Advisors, LLC electronically filed by Miss Kira S Bryers on behalf of Aurora Energy Advisors, LLC