



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 Applied Energy Partners, LLC
Address 40 Lloyd Avenue, Suite 205, Malvern, PA 19355
Telephone No. (484) 324-8010 Web site Address www.appenergy.com

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

Name Applied Energy Partners, LLC
Address 40 Lloyd Avenue, Suite 205, Malvern, PA 19355
Web site Address www.appenergy.com Telephone No. (484) 324-8010

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

Applied Energy Partners, LLC

A-5 Contact person for regulatory or emergency matters:

Name Rod Heckman Title CMO
Business Address 40 Lloyd Avenue, Suite 205, Malvern, PA 19355
Telephone No. (484) 324-8010 Fax No. (866) 521-2783 Email Address rheckman@appenergy.com

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

Name	Kit Gutteridge	Title	CEO
Business address	40 Lloyd Avenue, Suite 205, Malvern, PA 19355		
Telephone No.	(484) 324-8010	Fax No.	(866) 521-2783
Email Address	kgutteridge@appenergy.com		

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

Customer service address	40 Lloyd Avenue, Suite 205, Malvern, PA 19355		
Toll-Free Telephone No.	(866) 521-2783	Fax No.	(866) 521-2783
Email Address	kgutteridge@appenergy.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	InCorp Services, Inc.	Title	Registered Agent
Business address	9435 Waterstone Boulevard, Suite 140, Cincinnati, Ohio 45249		
Telephone No.	800-246-2677	Fax No.	
Email Address			

A-9 Applicant's federal employer identification number 20-1471154

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"/> Columbia Gas of Ohio	<input type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/> Dominion East Ohio	<input type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/> Duke Energy Ohio	<input 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 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 checked="" type="checkbox"/>	Columbia Gas of Ohio	Intended Start Date	Upon Licensure
<input checked="" type="checkbox"/>	Dominion East Ohio	Intended Start Date	Upon Licensure
<input checked="" type="checkbox"/>	Duke Energy Ohio	Intended Start Date	Upon Licensure
<input checked="" type="checkbox"/>	Vectren Energy Delivery of Ohio	Intended Start Date	Upon Licensure

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

CEO

CRM Gutteridge

Sworn and subscribed before me this

10th

day of

January

Month

2018

Year

Jeffrey B. Yetter

Signature of official administering oath

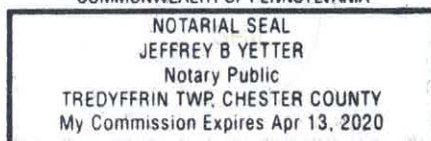
Jeffrey B. Yetter, Notary

Print Name and Title

COMMONWEALTH OF PENNSYLVANIA

My commission expires on

April 13, 2020





The Public Utilities Commission of Ohio

Competitive Retail Natural Gas Service Affidavit Form (Version 1.07)

In the Matter of the Application of

Applied Energy Partners, LLC

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

Case No.

 -

-GA-AGG

County of
State of

Chester

PA

Christopher Guttridge

[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

CEO

CRNGuttridge

Sworn and subscribed before me this

10th

day of

January

Month

2018

Year

Jeffrey B. Yetter

Signature of Official Administering Oath

Jeffrey B. Yetter, Notary

Print Name and Title

COMMONWEALTH OF PENNSYLVANIA

NOTARIAL SEAL
JEFFREY B YETTER
Notary Public
TREDYFFRIN TWP, CHESTER COUNTY
My Commission Expires Apr 13, 2020

My commission expires on

April 13, 2020

OFFICERS AND DIRECTORS

CHRISTOPHER (KIT) GUTTERIDGE
PRESIDENT
36 NEWPORT DRIVE
WAYNE, PA 19087
484-324-8010

THOMAS DUFRAINE
VICE PREIDENT
333 ELMWOOD LANE
TELFORD, PA 18969
6100-331-3869

COMPANY DESCRIPTION and HISTORY

- Founded in 2004
- privately held energy consulting firm
- specializing in energy procurement and utilization
- commercial / industrial / educational / governmental customers
- Currently manage energy procurement for 250+ customers
 - These customers collectively use approximately 1 Billion kWh of electricity and
 - 3.6MM Decatherms of natural gas

Prior to 2016, the Company executed energy contracts through third-party brokers/auction providers, primarily World Energy (Worcester, MA); EnerNOC (Boston, MA); and INCITE (Houston, TX).

The company began brokerage operations under its own licenses in 2016, and is now licensed in PA, MD, NJ, MA, and DC.

SERVICE OFFERINGS

- Natural Gas procurement consulting services
- Electricity procurement consulting services
- Energy utilization analysis and advice
- Auditing of supplier invoices

AUG 26 2004 9 08AM

DEPT OF STATE CORP BUREAU

10.4006

3.4

TALLMAN HUDDER SORRENTINO Fax: 610-491-575

Aug 3 2004 10:50

P.03

A-16

PENNSYLVANIA DEPARTMENT OF STATE CORPORATION BUREAU			
Entry Number 3240314		Certificate of Organization Domestic Limited Liability Company (15 Pa.C.S. § 8913)	
Name Tallman, Hudders & Sorrentino, P.C.			
Address 1611 Pond Road, Suite 300			
City Allentown	State PA	Zip Code 18104	

Document will be returned to the name and address you enter to the left.

Fee: \$125

Filed in the Department of State on	AUG 03 2004
<i>Pedro C. Santos</i>	
Secretary of the Commonwealth	

In compliance with the requirements of 15 Pa.C.S. § 8913 (relating to certificate of organization), the undersigned desiring to organize a limited liability company, hereby certifies that:

1. The name of the limited liability company (designator is required, i.e., "company", "limited" or "limited liability company" or abbreviation): Applied Energy Partners, LLC				
2. The (a) address of the limited liability company's initial registered office in this Commonwealth or (b) name of its commercial registered office provider and the county of venue is:				
(a) Number and Street 36 Newport Drive	City Wayne	State PA	Zip 19087	County Chester
(b) Name of Commercial Registered Office Provider c/o			County	
3. The name and address, including street and number, if any, of each organizer is (all organizers must sign on page 2):				
Name Matthew R. Sorrentino, Esquire		Address 1611 Pond Road, Suite 300 Allentown, PA 18104		

2004 AUG -3 AM 10:51
PA OFFICE



DATE	DOCUMENT ID	DESCRIPTION	FILING	EXPED	PENALTY	CERT	COPY
03/10/2016	201606902460	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.

LICENSELOGIX, LLC
 MEGAN ROONEY
 140 GRAND ST., SUITE 300
 WHITE PLAINS, NY 10601

STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Jon Husted
 3876681

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

APPLIED ENERGY PARTNERS, LLC

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

Document(s)

REGISTRATION OF FOREIGN FOR PROFIT LLC

Effective Date: 03/08/2016

Document No(s):

201606902460



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
 10th day of March, A.D. 2016.

Jon Husted

Ohio Secretary of State

JURISDICTION OF OPERATIONS

Applied Energy Partners is currently licensed to operate in the following jurisdictions:

APPLIED ENERTGY PARTNERS JURISDICTION OF OPERATIONS		
STATE	TYPE	LICENSE #
PENNSYLVANIA		
	ELECTRICITY BROKER	A-2016-2535547
	NATURAL GAS BROKER	A-2016-2539261
MARYLAND		
	ELECTRICITY BROKER	IR-3650
	NATURAL GAS BROKER	IR-3651
NEW JERSEY		
	ENERGY CONSULTANT	EC-0129
	ENERGY BROKER	EA-0392
MASSACHUSETTS		
	ELECTRICITY BROKER	EB-365
	GAS RETAIL AGENT	RA-158
DISTRICT OF COLUMBIA		
	ELECTRICITY BROKER	EA 2017-10-4
	NATURAL GAS BROKER	GA 2017-01-6

EXPERIENCE AND PLANS

COMPANY DESCRIPTION and HISTORY

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SERVICE OFFERINGS

- Natural Gas procurement consulting services
- Electricity procurement consulting services
- Energy utilization analysis and advice
- Auditing of supplier invoices

MANAGEMENT TEAM

- Christopher (Kit) Gutteridge, the Company's founder and Chief Executive, holds a BSc in Economics from the University of Exeter, England and is a Fellow of the Institute of Directors, London, England. Earlier in his career Kit spent 10 years managing a group of industrial and medical gas manufacturing plants employing air-separation technology, which uses massive amounts of energy. Since 2004, he has applied the knowledge gained through this experience to the business of using as little energy as possible per unit of output, and buying what must be used at the lowest price available in the market. Mr. Gutteridge's background in economics enables him to analyze energy market movements, including the results of changes in gas and

electricity supplies, transmission capacity, and demand from power generators and industry, as well as imports, exports and inventories of natural gas. In addition to his extensive energy procurement experience, he has completed numerous energy reduction projects.

- Thomas Dufraine has been with Applied Energy Partners since October 2010, and serves as the Vice President of Sales and Operations. He previously worked in the Philadelphia School District, where he developed extensive expertise in building operations and charter school administration from 2002-2010. In his recent experience, Tom has brokered and managed sales for a number of high-profile commercial/industrial electricity and natural gas procurements, and he has been instrumental in expanding AEP's technology platforms. He holds a BA degree from Widener University and two Masters Degrees from Arcadia University.
- Rodman Heckman serves as the Chief Marketing Officer. He is 71 years and holds an undergraduate degree from Lafayette College and an MBA from the University of Pennsylvania's Wharton School. His experience includes marketing management positions with major consumer products companies such as Colgate-Palmolive, Avon Products, and Smith-Kline Beecham.

ENERGY EXPERIENCE and EXPERTISE

- Currently manage energy procurement for 150+ customers
- These customers collectively use approximately 600MM kWh of electricity and
- 2.6MM Decatherms of natural gas

BUSINESS PROCESSES AND POLICIES

- The Company acts as a consultant (Broker) between its customers and suppliers.
- The Customer contracts directly with the Supplier.
- The Supplier bills the Customer directly and remits a brokerage or consulting fee to the Company (the Applicant).
- Customer complaints are addresses directly by the Company, with the aid of the Supplier as required.

SUMMARY OF EXPERIENCE

- Founded in 2004
- privately held energy consulting firm
- specializing in energy procurement and utilization
- commercial / industrial / educational / institutional customers
- **Currently manage energy procurement for 250+ customers**
- These customers collectively use approximately
 - **1 Billion kWh of electricity and**
 - **3.6MM Decatherms of natural gas**

The company began brokerage operations under its own licenses in 2016, and is now licensed in PA, MD, NJ, MA, and DC.

Currently serving the following Utility areas:

APPLIED ENERTGY PARTNERS UTILITY AREAS SERVED	
PA	PECO
	PPL
	METED
	PENNELEC
	WEST PENN POWER
	DUCANE
NEW JERSEY	PSE&G
	JCP&L
	ACE
MARYLAND	PEPCO
	BG&E
	DELMARVA
	WGL
	PEPCO
DC	

DISCLOSURE OF LIABILITIES AND INVESTIGATIONS

There are no liabilities or investigations (existing, pending, or past) which could adversely impact the Company's financial or operational status or ability to provide the services it is seeking to be certified to provide.

Applied Energy Partners, LLC

Exhibit C-1

Not applicable. Privately held company.

Exhibit C-2

Not applicable. Privately held company.

Exhibit C-3

Not applicable. Privately held company.

Exhibit C-4

Not applicable.

Applied Energy Partners				Exhibit C-5
Ohio NG Broker Application				
APPLIED ENERGY PARTNERS, LLC				
Revenue and P&L Forecast 2017 to 2020				
	PROJECTED	PROJECTED	PROJECTED	PROJECTED
	2017	2018	2019	2020
Income				
Management Services Fee Inc	\$0	\$0	\$0	\$0
Total Procurement Revenue	\$922,045	\$1,124,426	\$1,186,955	\$1,209,849
Site Watch Net Revenue	\$20,000	\$100,000	\$200,000	\$300,000
Total Income	\$942,045	\$1,224,426	\$1,386,955	\$1,509,849
Total Cost of Goods Sold	\$251,000	\$251,000	\$251,000	\$251,000
Gross Profit	\$691,045	\$973,426	\$1,135,955	\$1,258,849
Total Expenses	\$542,640	\$630,830	\$675,235	\$716,947
Net Operating Income	\$148,405	\$342,596	\$460,720	\$541,902
Total Other Expenses	\$34,000	\$48,000	\$12,000	\$0
Net Other Income	-\$34,000	-\$48,000	-\$12,000	\$0
Net Income	\$114,405	\$294,596	\$448,720	\$541,902
ASSUMES:				
95% retention of existing procurement clients (per historical rate)				
\$100,000 in new procurement revenue annually (per historical rate)				
Significant growth in new SiteWatch monitoring service (pure projection)				
Modest growth in expenses				
Prepared by Christopher Gutteridge - President of AEP				
Applied Energy Partners				
40 Lloyd Avenue, Suite 205				
Malvern, PA 19355				
484-802-2422 (mobile)				

EXHIBIT C-6

and C-7

Welcome, Rodman ▾



1.800.700.2733



Cart

Sign Out

Selected Company: APPLIED ENERGY PARTNERS, LLC
D-U-N-S #: 83-810-6388

Overview

Business Summary

Company Name: APPLIED ENERGY PARTNERS, LLC
D-U-N-S #: 83-810-6388
DBA's: N/A
Address: 40 Lloyd Ave Ste 205
City: Malvern
State: PA
Zip: 19355
Phone: 4844065400
Principal: KIT GUTTERIDGE
Year Started: 2004
Employs: 5 which includes officer(s). UNDETERMINED employed here.
SIC Code(s): 87489904 Energy conservation consultant
NAICS Code(s): 541690 Other Scientific and Technical Consulting Services
Legal Structure: LIMITED LIABILITY COMPANY

Special Events

11/24/2016 -MERGER/ACQUISITION: According to published reports,.

History and Operations

Officers and Directors

Current Officers

Name	Title
KIT GUTTERIDGE	PRES

Current Directors

For directions to the location listed in this company report.

Company History

Provides business consulting services, specializing in energy (100%).

Terms are undetermined. Sells to undetermined. Territory : Local.

Operations

Employees

5 which includes officer(s). UNDETERMINED employed here.

Facilities

Rents premises on 2nd floor of a multi story building.

Location

There is currently no location information listed in this company report.

U.S. Branch

There are currently no U.S. branches listed in this company report.

U.S. Subsidiary

There are currently no U.S. subsidiaries listed in this company report.

International Branch

There are currently no international branches listed in this company report.

International Subsidiary

There are currently no international subsidiaries listed in this company report.

Payments

Payment Summary

	Total Received	Total Dollar Amount	Largest High Credit Payment summary	Within Terms	Days Slow			
					<31	31-60	61-90	91+
Other Categories								
Cash experiences	2	\$750		\$500				
Unknown	0	\$0		\$0				
Unfavorable comments	0	\$0		\$0				
Placed for collections with D&B:	0	\$0		\$0				
Other	0	N/A		\$0				
Total in D&B's file	2	\$750		\$500				

The highest Now Owes on file is **\$0**

The highest Past Due on file is **\$0**

There are 2 payment experience(s) in D&Bs file for the most recent 24 months, with 1 experience(s) reported during the last three month period.

Payment Details

Total (Last 24 Months): 2

Date	Paying Record	High Credit	Now Owes	Past Due	Selling Terms	Last sale w/lt (Mo.)
10/2017	(001)	\$250	\$0	\$0	Cash account	2-3 mos
08/2017	(002)	\$500	--	--	Cash account	1 mo

Payments Detail Key: ■ 30 or more days beyond terms

Accounts are sometimes placed for collection even though the existence or amount of the debt is disputed.

Payment experiences reflect how bills are met in relation to the terms granted. In some instances payment beyond terms can be the result of disputes over merchandise, skipped invoices etc.

Each experience shown is from a separate supplier. Updated trade experiences replace those previously reported.

Finances

Key Financial Comparisons

This Company's Operating Results Year Over Year

Net Sales	NA	NA	NA
Gross Profit	NA	NA	NA
Net Profit	NA	NA	NA
Dividends / Withdrawals	NA	NA	NA
Working Capital	NA	NA	NA

This Company's Assets Year Over Year

Cash	NA	NA	NA
Accounts Receivable	NA	NA	NA
Notes Receivable	NA	NA	NA
Inventories	NA	NA	NA
Other Current	NA	NA	NA
Total Current	NA	NA	NA
Fixed Assets	NA	NA	NA

Other Non Current	NA	NA	NA
Total Assets	NA	NA	NA
This Company's Liabilities Year Over Year			
Accounts Payable	NA	NA	NA
Bank Loan	NA	NA	NA
Notes Payable	NA	NA	NA
Other Current	NA	NA	NA
Total Current	NA	NA	NA
Long Term Debt	NA	NA	NA
Deferred Credit	NA	NA	NA
Net Worth	NA	NA	NA
Total Liabilities And Net Worth	NA	NA	NA

Balance Sheet

Fiscal Consolidated Statement Dated

We currently do not have any recent financial statement on file for this business.

Key Business Ratios

(Industry Median is based on this number of firms:)

	This Company	Industry Median	Industry Quartile
Solvency			
Quick Ratio	NA	NA	NA
Current Ratio	NA	NA	NA
Current Liabilities to Net Worth	NA	NA	NA
Current Liabilities to Inventory	NA	NA	NA
Total Current	NA	NA	NA
Fixed Assets to Net Worth	NA	NA	NA
Efficiency			
Collection Period	NA	NA	NA

Inventory Turn Over	NA	NA	NA
Sales to NWC	NA	NA	NA
Acct Pay to Sales	NA	NA	NA
Profitability			
Return on Sales	NA	NA	NA
Return on Assets	NA	NA	NA
Return on NetWorth	NA	NA	NA

Public Filings

Summary

This following public filing data includes both open and closed filings found in D&B's database on this company. It is for informational purposes only and is not the official record. Certified copies can be obtained from the official source.

Report Type	# of Records	Most Recent Filing Date
UCC Filing	1	09/26/0017
Government History	1	N/A

Details

Judgements

No judgments have been reported to D&B on this company.

Liens

No liens have been reported to D&B on this company.

Suits

No suits have been reported to D&B on this company.

UCC Filings

Collateral:

All Negotiable instruments including proceeds and products - All Inventory including proceeds and products
- All Account(s) including proceeds and products - All

Oil, gas and minerals including proceeds and products -
and OTHERS

Type: Original
Secured Party: TD BANK, N.A., CHERRY HILL, NJ
Debtor: APPLIED ENERGY PARTNERS, LLC
Filing Number: 2017091800217
Filed With:
Date Filed: 09/18/17
Latest Info Received: 09/26/17
Original Filing Number:
Original UCC Filed Date:

Bankruptcies

No bankruptcies have been reported to D&B on this company.

Government History

Borrower(Dir/Guar): NO
Administrative Debt: NO
Contractor: NO
Grantee: NO
Party excluded
from federal program(s): NO
Labor Surplus Area: N/A
Small Business: YES (2017)
8(A) Firm: N/A

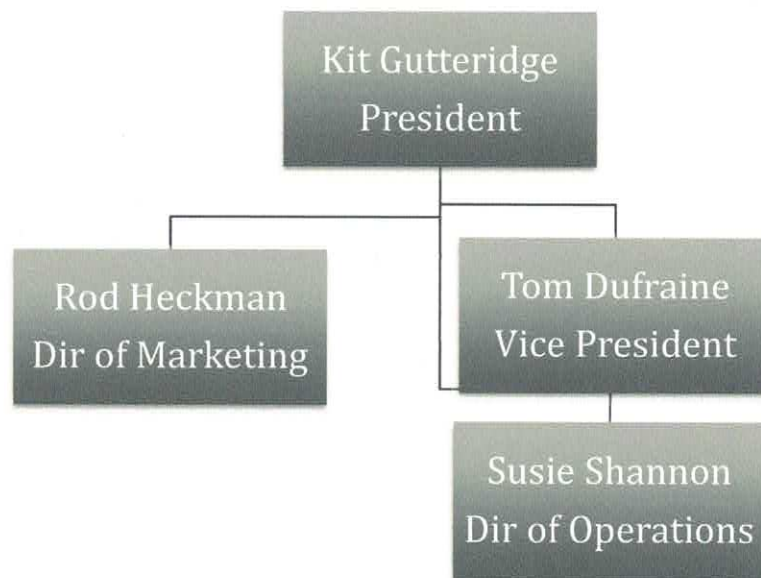


Applied Energy Partners, LLC

Exhibit C-8 and C-9

Not applicable. Nothing to report.

ORGANIZATION CHART



Applied Energy Partners is an autonomous, free-standing entity and has no affiliate or subsidiary companies.

OPERATIONS

- We act as a consultant (Broker) between our customers and suppliers.
- We invite all viable suppliers to compete for the Client's business by responding to a formal RFP.
- We then conduct a two-stage reverse auction among the participating suppliers.
- We review the auction results with the Client.
- The Client selects the offer that best satisfies its procurement strategy.
- We assist with contract language.
- We do not take ownership of the gas or electricity
- The Customer contracts directly with the Supplier.
- The Supplier bills the Customer directly and remits a brokerage or consulting fee to us (the Applicant).
- We audit our Clients bills periodically to ensure they are being billed correctly.
- Customer complaints are addressed directly by the Company, with the aid of the Supplier as required.

OPERATIONS EXPERTISE

Applied Energy Partners began brokerage operations under its own licenses in 2016, and it is now licensed in PA, MD, MA, NJ, and DC.

In the last two years, Applied Energy Partners has conducted more than 250 procurement auctions on behalf of its clients, saving them (on average) over 15% versus their prior contract.

We believe that we offer the most efficient and effective approach to energy procurement.

At the end of 2016, we surveyed 42 of the most prominent energy Suppliers, seeking their feedback on our 2-stage auction process, accuracy, and efficiency.

This pool of Suppliers covers every utility area in the Northeast and Mid-Atlantic Regions and are well qualified to judge our people and our processes. On average, they deal with 58 different brokers and some deal with as many as 200.

The results showed that

- 84% of the responding suppliers ranked AEP among the Top 10% of the brokers they work with.
- And 17% ranked us #1

This matters to our customers, because our procurement platform – The Energy Exchange™ – depends upon the participation of **every** viable supplier in your area to produce its extraordinary results.

This endorsement of our people and process by 3rd party Suppliers provides direct evidence of our **accuracy, efficiency and fairness**, which ensures that all viable suppliers participate in our auctions and that our customers will **always** see the lowest price.

We are extremely gratified with our outstanding rating, and we are committed to continual improvement.

KEY TECHNICAL PERSONNEL

Our procurement operations team comprises two people: Tom Dufraine and Susie Shannon. Between the two of them they manage every aspect of the procurement process, including but not limited to:

- Customer contact
- Supplier contact
- Creation of RFPs
- Issuance of RFPs to the Suppliers
- Analysis and presentation of auction results
- Contracting
- Bill review

Tom Dufraine - Vice President
tdufraine@appenergy.com
610-331-3869 (cell)

Tom has a background in education administration, where he managed charter schools and earned two Masters degrees (*all while raising twins*). Tom joined Applied Energy Partners 6 years ago, and his technology savvy, his organizational skills, and his natural affinity for other people have made a huge contribution to our remarkable growth. He is the Client-facing keystone of our successful auction process.

Susie Shannon - Director of Operations
Susie.shannon@appenergy.com
413-478-7479 (cell)

Susie has more than 15 years' experience in energy procurement, with Northeast Partners, World Energy, EnerNoc, and Applied Energy Partners.

Her role is Supplier-facing, and her challenge is to manage our substantial Supplier network, ensuring that they are informed about and engaged in our Clients' auctions. Operating seamlessly with Tom, Susie has perfected an auction process that we consider to be the most effective and efficient in the industry.

This foregoing document was electronically filed with the Public Utilities

Commission of Ohio Docketing Information System on

1/23/2018 7:52:58 PM

in

Case No(s). 18-0129-GA-AGG

Summary: Application Applied Energy Partners, LLC- Initial Certification Application for Competitive Natural Gas Broker electronically filed by Shayna Desai on behalf of Applied Energy Partners, LLC and Heckman, Rod Mr.