



Initial Filing Instructions for Electric Aggregators/Power Brokers

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 provide power-brokering services must file a "**Certification Application for Aggregators/Power Brokers**" form. Governmental aggregators must file a "**Certification Application for Governmental Aggregators**" form. If an aggregator will provide power marketing and/or retail electric generation services in addition to aggregation and power brokering services, it must file a "**Certification Application for Retail Generation Providers, Power Marketers, and Power Brokers**" form. The following definitions are provided to assist applicants in determining which form(s) to file:

Aggregation - combining the electric load of multiple retail customers through an agreement with the customers or formation of a governmental aggregation pursuant to Section 4928.20 of the Revised Code for the purpose of purchasing retail electric generation service on an aggregated basis.

Aggregator - a person who contracts with customers to combine the customers' electric load for the purpose of purchasing retail electric generation service on an aggregated basis. The term does not include a governmental aggregator.

Governmental Aggregator - the legislative authority of a municipal corporation, the board of township trustees of a township, or a board of county commissioners of a county that aggregates the citizens of a municipal corporation, township, or unincorporated areas of a county in accordance with Section 4928.20 of the Revised Code for the purpose of purchasing retail electric generation service on an aggregated basis.

Power Broker - a person who assumes the contractual and legal responsibility for the sale and/or arrangement for the supply of retail electric generation service to a retail customer without taking title to the power supplied.

Power Marketer - a person who assumes the contractual and legal responsibility for the sale and provision of retail electric generation service to a retail customer who had title to the electric power provided at some point during the transaction.



IV. 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.

V. 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 4901:1-24-07 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.

VI. 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 electric 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 4901:1-24-09 of the Ohio Administrative Code.

CRES (competitive retail electric 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 4901:1-24-10 of the Ohio Administrative Code.

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

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

VIII. Questions: Questions regarding filing procedures should be directed to CRES@puc.state.oh.us

IX. Governing Law: The certification/renewal of competitive retail electric suppliers is governed by Chapter 4901:1-24 of the Ohio Administrative Code, Chapter 4901:1-21 of the Ohio Administrative Code, and Section 4928.08 of the Ohio Revised Code.



**Public Utilities
Commission**

PUCO USE ONLY		
Date Received	Case Number	Version
	- -EL-AGG	May 2016

INITIAL CERTIFICATION APPLICATION FOR ELECTRIC AGGREGATORS/ POWER BROKERS

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit A-12 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 input information directly onto the form.
You may also download the form, by saving it to your local disk, for later use.**

A. APPLICANT INFORMATION

A-1 Applicant intends to be certified as: (check all that apply)

☒ Power Broker ☐ Aggregator

A-2 Applicant's legal name, address, telephone number and web site address

Legal Name Applied Energy Partners, LLC
Address 40 Lloyd Avenue, Suite 205, Malvern, PA 19355
Telephone # (484) 324-8010 Web site address (if any) www.appenergy.com

A-3 List name, address, telephone number and web site address under which Applicant will do business in Ohio

Legal Name Applied Energy Partners, LLC
Address 40 Lloyd Avenue, Suite 205, Malvern, PA 19355
Telephone # (484) 324-8010 Web site address (if any) www.appenergy.com

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 # (484) 324-8010 Fax # (866) 521-2783
E-mail 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 # (484) 324-8010 Fax # (866) 521-2783
E-mail 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 # (866) 521-2783 Fax # (866) 521-2783
E-mail address kgutteridge@appenergy.com

A-8 Applicant's federal employer identification number # 201471154

A-9 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-10 (Check all that apply) Identify each electric distribution utility certified territory in which the applicant intends to provide service, including identification of each customer class that the applicant intends to serve, for example, residential, small commercial, mercantile commercial, and industrial. (A mercantile customer, as defined in (A) (19) of Section 4928.01 of the Revised Code, is a commercial customer who consumes more than 700,000 kWh/year or is part of a national account in one or more states).

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

- A-11** Provide the approximate start date that the applicant proposes to begin delivering services
Upon licensure

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

- A-12** **Exhibit A-12 "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-13** **Exhibit A-13 "Company History,"** provide a concise description of the applicant's company history and principal business interests.
- A-14** **Exhibit A-14 "Articles of Incorporation and Bylaws,"** if applicable, provide the articles of incorporation filed with the state or jurisdiction in which the Applicant is incorporated and any amendments thereto.
- A-15** **Exhibit A-15 "Secretary of State,"** provide evidence that the applicant has registered with the Ohio Secretary of the State.

B. APPLICANT MANAGERIAL CAPABILITY AND EXPERIENCE

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

- B-1** **Exhibit B-1 "Jurisdictions of Operation,"** provide a list of all jurisdictions in which the applicant or any affiliated interest of the applicant is, at the date of filing the application, certified, licensed, registered, or otherwise authorized to provide retail or wholesale electric services including aggregation services.
- B-2** **Exhibit B-2 "Experience & Plans,"** provide a description of the applicant's experience and plan for contracting with customers, providing contracted services, providing billing statements, and responding to customer inquiries and complaints in accordance with Commission rules adopted pursuant to Section 4928.10 of the Revised Code.

B-3 **Exhibit B-3 "Summary of Experience,"** provide a concise summary of the applicant's experience in providing aggregation service(s) including contracting with customers to combine electric load and representing customers in the purchase of retail electric services. (e.g. number and types of customers served, utility service areas, amount of load, etc.).

B-4 **Exhibit B-4 "Disclosure of Liabilities and Investigations,"** provide a description of all existing, pending or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or any other matter that could adversely impact the applicant's financial or operational status or ability to provide the services it is seeking to be certified to provide.

B-5 Disclose whether the applicant, a predecessor of the applicant, or any principal officer of the applicant have ever been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years.

☒ No ☐ Yes

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

B-6 Disclose whether the applicant or a predecessor of the applicant has had any certification, license, or application to provide retail or wholesale electric service including aggregation service denied, curtailed, suspended, revoked, or cancelled within the past two years.

☒ No ☐ Yes

If yes, provide a separate attachment labeled as **Exhibit B-6 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation"** detailing such action(s) and providing all relevant documents.

C. APPLICANT FINANCIAL CAPABILITY AND EXPERIENCE

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

C-1 **Exhibit C-1 "Annual Reports,"** provide the two most recent Annual Reports to Shareholders. If applicant does not have annual reports, the applicant should provide similar information in Exhibit C-1 or indicate that Exhibit C-1 is not applicable and why. (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 the 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 financial 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 **ELECTRIC 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.

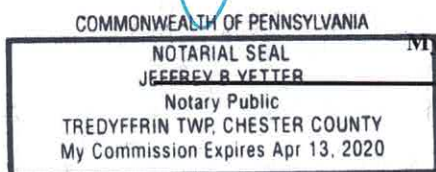
- C-6 **Exhibit C-6 "Credit Rating,"** provide a statement disclosing the applicant's credit rating as reported by two of the following organizations: Duff & Phelps, Dun and Bradstreet Information Services, Fitch IBCA, Moody's Investors Service, Standard & Poors, or a similar organization. In instances where an applicant does not have its own credit ratings, it may substitute the credit ratings of a parent or affiliate organization, provided the applicant submits a statement signed by a principal officer of the applicant's parent or affiliate organization that guarantees the obligations of the applicant. 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 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 or subsidiary companies.

RM Gutteridge CEO
Signature of Applicant & Title

Sworn and subscribed before me this 10th day of January, 2018

Jeffrey B. Yetter
Signature of official administering oath

Month Year
Jeffrey B. Yetter, Notary
Print Name and Title



My commission expires on April 13, 2020

AFFIDAVIT

State of Pennsylvania :

Frazee ss.
(Town)

County of Chester :

Christopher Gutteridge, Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/She is the CEO (Office of Affiant) of Applied Energy Partners, LLC (Name of Applicant);

That he/she is authorized to and does make this affidavit for said Applicant,

1. The Applicant herein, attests under penalty of false statement that all statements made in the application for certification are true and complete and that it will amend its application while the application is pending if any substantial changes occur regarding the information provided in the application.
2. The Applicant herein, attests it will timely file an annual report with the Public Utilities Commission of Ohio of its intrastate gross receipts, gross earnings, and sales of kilowatt-hours of electricity pursuant to Division (A) of Section 4905.10, Division (A) of Section 4911.18, and Division (F) of Section 4928.06 of the Revised Code.
3. The Applicant herein, attests that it will timely pay any assessments made pursuant to Sections 4905.10, 4911.18, or Division F of Section 4928.06 of the Revised Code.
4. The Applicant herein, attests that it will comply with all Public Utilities Commission of Ohio rules or orders as adopted pursuant to Chapter 4928 of the Revised Code.
5. The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, and its Staff on any utility matter including the investigation of any consumer complaint regarding any service offered or provided by the Applicant.
6. The Applicant herein, attests that it will fully comply with Section 4928.09 of the Revised Code regarding consent to the jurisdiction of Ohio Courts and the service of process.
7. The Applicant herein, attests that it will comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
8. The Applicant herein, attests that it will use its best efforts to verify that any entity with whom it has a contractual relationship to purchase power is in compliance with all applicable licensing requirements of the Federal Energy Regulatory Commission and the Public Utilities Commission of Ohio.
9. The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, the electric distribution companies, the regional transmission entities, and other electric suppliers in the event of an emergency condition that may jeopardize the safety and reliability of the electric service in accordance with the emergency plans and other procedures as may be determined appropriate by the Commission.
10. If applicable to the service(s) the Applicant will provide, the Applicant herein, attests that it will adhere to the reliability standards of (1) the North American Electric Reliability Council (NERC), (2) the appropriate regional reliability council(s), and (3) the Public Utilities Commission of Ohio. (Only applicable if pertains to the services the Applicant is offering)

11. The Applicant herein, attests that it will inform the Commission of any material change to the information supplied in the application within 30 days of such material change, including any change in contact person for regulatory purposes or contact person for Staff use in investigating customer complaints.

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

Chris Gutteridge, CEO

Signature of Affiant & Title

Sworn and subscribed before me this 10th day of January, 2018
Month 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 DUFRINE
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

TALLMAN HUDDER SORRENT Fax: 610-491-575

Aug 3 2004 10:50 P.03

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
Peter C. Cantis	
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		

PA OFFICE AND AGENCY

2004 AUG -3 AM 10:51



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.

Ohio Secretary of State

JURISDICTION OF OPERATIONS

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

APPLIED ENERGY 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

- 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 it is now licensed in PA, NJ, MD, MA, and DC..

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 250+ customers
- These customers collectively use approximately 1 Billion kWh of electricity and
- 3.6MM Decatherms of natural gas
- Since 2016, we have conducted over 300 energy procurement auctions on behalf of our Clients.

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.

Exhibit C-1

Not applicable. Privately held company.

Exhibit C-2

Not applicable. Privately held company.

Exhibit C-3

Not applicable. Privately held company.

OHIO ELECTRIC BROKER APPLICATION
APPLIED ENERGY PARTNERS

EXHIBIT C-4

CONFIDENTIAL – NOT FOR PUBLICATION

Submitted via mail.

Applied Energy Partners Ohio Electricity Broker Application

APPLIED ENERGY PARTNERS, LLC

Revenue and P&L Forecast 2017 to 2020

	PROJECTED 2017	PROJECTED 2018	PROJECTED 2019
Income			
Management Services Fee Income	\$0	\$0	\$0
Total Procurement Revenue	\$922,045	\$1,124,426	\$1,186,955
Site Watch Net Revenue	\$20,000	\$100,000	\$200,000
Total Income	\$942,045	\$1,224,426	\$1,386,955
Total Cost of Goods Sold	\$251,000	\$251,000	\$251,000
Gross Profit	\$691,045	\$973,426	\$1,135,955
Total Expenses	\$542,640	\$630,830	\$675,235
Net Operating Income	\$148,405	\$342,596	\$460,720
Total Other Expenses	\$34,000	\$48,000	\$12,000
Net Other Income	-\$34,000	-\$48,000	-\$12,000
Net Income	\$114,405	\$294,596	\$448,720

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-5

PROJECTED 2020

\$0
\$1,209,849
\$300,000
\$1,509,849
\$251,000
\$1,258,849
\$716,947
\$541,902
\$0
\$0
\$541,902



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

On page 1 of 6, click on the left side of the page to view the 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 wrt (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:)

	Company	Median	Industry
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.

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

Details

Judgments

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 Filing Date:

Bankruptcies

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

Government History

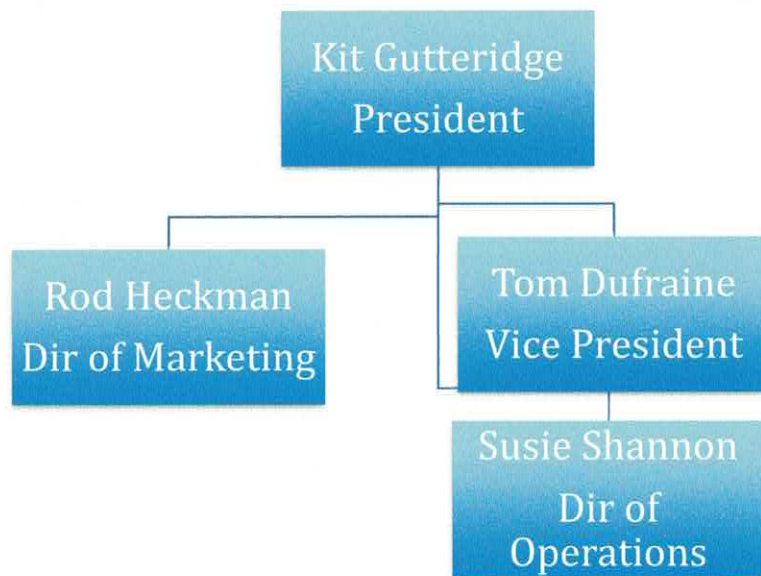
Borrower(Dir/Guar): NO
Administrative Debt: NO
Contractor: NO
Grantee: NO
Party excluded
from federal program(s): NO
Labor Surplus Area: N/A
Small Business: YES (2017)
8(A) Firm: N/A



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.

This foregoing document was electronically filed with the Public Utilities

Commission of Ohio Docketing Information System on

1/24/2018 10:11:20 AM

in

Case No(s). 18-0126-EL-AGG

Summary: Application Applied Energy Partners, LLC - Initial Certification Application for Electric Power Brokers electronically filed by Shayna Desai on behalf of Applied Energy Partners, LLC and Heckman, Rod Mr.