

NC
FILE

49



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Date Received	Case Number	Version
	18-205-EL-AGG	May 2016

18-205

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 Apollo Edison LLC
Address 310 Nottingham Drive Spring City, PA 19475
Telephone # (508) 612-4288 Web site address (if any) www.apolloedison.com

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

Legal Name Apollo Edison LLC
Address 310 Nottingham Drive Spring City, PA 19475
Telephone # (844) 927-6555 Web site address (if any) www.apolloedison.com

A-4 List all names under which the applicant does business in North America
Apollo Edison LLC

A-5 Contact person for regulatory or emergency matters

Name Kenneth Antos
Title Principal

This is to certify that the images appearing are an accurate and complete reproduction of a case file document delivered in the regular course of business.
Technician RE Date Processed 2/2/18

RECEIVED-DOCKETING DIV.
2018 FEB -2 AM 11:11
PUCO

Business address 310 Nottingham Drive Spring City, PA 19475
Telephone # (508) 612-4288 Fax # _____
E-mail address kantos@apolloedison.com

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

Name Kenneth Antos
Title Principal
Business address 310 Nottingham Drive Spring City, PA 19475
Telephone # (508) 612-4288 Fax # _____
E-mail address kantos@apolloedison.com

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

Customer Service address 310 Nottingham Drive Spring City, PA 19475
Toll-free Telephone # (844) 927-6556 Fax # _____
E-mail address kantos@apolloedison.com

A-8 Applicant's federal employer identification number # 823022580

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

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

3/1/2018

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.

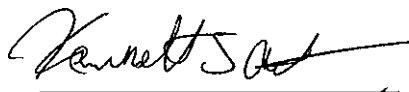
First time applicants or applicants whose certificate has expired as well as renewal applicants can meet the requirement by one of the following methods:

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.

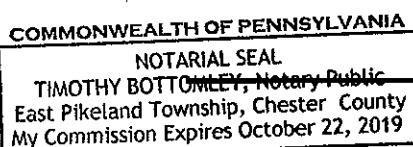
- C-6 **Exhibit C-6 "Credit Rating,"** provide a statement disclosing the applicant's credit rating as reported by two of the following organizations: Duff & Phelps, Dun and Bradstreet Information Services, Fitch IBCA, Moody's Investors Service, Standard & Poors, or a similar organization. In instances 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.

 Principal
Signature of Applicant & Title
Kenneth S. Antos

Sworn and subscribed before me this 22nd day of January 2018
Month Year


Signature of official administering oath

Timothy Bottomley - Notary
Print Name and Title



My commission expires on 10/22/2019

AFFIDAVIT

State of PA :

Phoenixvilless.
(Town)

County of Chester :

Kenneth S. Antos Affiant, being duly sworn/affirmed according to law, deposes and says that:

He is the Principal (Office of Affiant) of Apollo Edison 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.

Kevin H. [Signature], Principal
Signature of Affiant & Title

Sworn and subscribed before me this 22nd day of January, 2018
Month Year

[Signature]
Signature of official administering oath

Timothy Bottomley - Title
Print Name and Title

My commission expires on 10/22/2019

COMMONWEALTH OF PENNSYLVANIA
NOTARIAL SEAL
TIMOTHY BOTTOMLEY, Notary Public
East Pikeland Township, Chester County
My Commission Expires October 22, 2019

Apollo Edison LLC Application
A-12 Exhibit A-12 "Principal Officers, Directors & Partners"

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.

Apollo Edison LLC is a single member DE LLC with Principal information below:

Kenneth S. Antos

Principal

Apollo Edison LLC

310 Nottingham Drive

Spring City, PA 19475

Phone: (508) 612-4288

kantos@apolloedison.com

Apollo Edison LLC Application
A-13 Exhibit A-13 "Company History,"

A-13 Exhibit A-13 "Company History," provide a concise description of the applicant's company history and principal business interests.

Apollo Edison LLC was formed as a DE LLC on October 6, 2017. The company was formed to assist customers and channels with energy related consulting services. Apollo Edison's primary areas of focus will be on electricity and natural gas sourcing brokering/consulting, Demand Response Consulting, Energy Monitoring & Software, and Consulting around Distributed Generation and Energy Efficiency. As part of the supply side consulting, Apollo Edison is going through the process of broker licensing in various states. Licensing has been filed in DE, MA, and PA prior to this OH filing, and subsequent filings will follow.

Apollo Edison LLC Application
A-14 Exhibit A-14 "Articles of Incorporation and Bylaws,"

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.

State of Delaware
Secretary of State
Division of Corporations
Delivered: 09:23 AM 10/06/2017
FILED: 09:21 AM 10/06/2017
SR 2017050509 - File Number: 8570100

**STATE of DELAWARE
LIMITED LIABILITY COMPANY
CERTIFICATE of FORMATION**

**FIRST
Name**

The name of the limited liability company is:
Apollo Edison LLC

**SECOND
Registered Agent**

The address of its registered office in the State of Delaware is
8 The Green, Suite R in the City of Dover. Zip code 19901.

The name of its registered agent at such address is
Resident Agents Inc.

**THIRD
Duration**

The duration of the limited liability company shall be perpetual.

**FOURTH
Purpose**

The purpose for which the company is organized is to conduct any and all lawful business for which Limited Liability Companies can be organized pursuant to Delaware statute.

In Witness Whereof, the undersigned have executed this Certificate of Formation this 6th day of October, 2017.

By: Riley Park
Authorized Person
Name: Riley Park

Apollo Edison LLC Application

A-15 Exhibit A-15 "Secretary of State,"

A-15 Exhibit A-15 "Secretary of State," provide evidence that the applicant has registered with the Ohio Secretary of the State.

Ohio Secretary of State Business License Below:

STATE OF OHIO	
CERTIFICATE	
Ohio Secretary of State, Jon Husted	
4127742	
It is hereby certified that the Secretary of State of Ohio has custody of the business records for	
APOLLO EDISON LLC	
and, that said business records show the filing and recording of:	
Document(s)	Document No(s):
FOREIGN FOR PROFIT CORPORATION - LICENSE	201802201514
Effective Date: 01/22/2018	
Authorization to transact business in Ohio is hereby given, until surrender, expiration or cancellation of this license.	
	Witness my hand and the seal of the Secretary of State at Columbus, Ohio this 29th day of January, A.D. 2018.
United States of America State of Ohio Office of the Secretary of State	<i>Jon Husted</i> Ohio Secretary of State

Apollo Edison LLC Application
B-1 Exhibit B-1 **“Jurisdictions of Operation,”**

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.

Apollo Edison LLC is currently actively marketing in CT & NY, as those states do not require energy broker licensing. The Company has licenses pending in DE, MA, and PA with docket numbers for the latter 2 provided below.

- Delaware PSC Docket Number: 17-1160
- Pennsylvania PUC Docket Number: A-2018- 2640992

Apollo Edison LLC Application
B-2 Exhibit B-2 "Experience & Plans,"

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.

Apollo Edison LLC will be providing various energy related consulting services to clients in various markets. The Applicant will have customers sign the appropriate representation documents for services and Letters of Authorizations for data acquisition purposes. All fee that are paid to Applicant from energy suppliers will be disclosed and agreed upon with customer. Some customers will pay the Applicant for services on invoiced retainer fees.

Apollo Edison has a toll-free phone number (844) 9 – Apollo for all customer service related issues and inquiries. The Applicant will work with customers and suppliers to resolve all service issues in a timely manner.

Apollo Edison LLC Application
B-3 Exhibit B-3 "Summary of Experience,"

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.).

Apollo Edison LLC is a startup energy consulting firm that has not transacted any customer business to date. The Principal officer, Kenneth Antos, has deep experience and expertise in providing retail electric services to customers. Having been in the industry since 2006 and working in all deregulated utilities & states within the United States. The Principal of Apollo Edison has facilitated transactions for hundreds of commercial, industrial and governmental customers for retail electric supply totaling billions of kilowatt-hours served. The Applicant has helped Ohio customers to source electricity and natural gas as a broker with World Energy Solutions, Inc. (now EnerNOC and Enel).

Apollo Edison LLC Application

B-4 Exhibit B-4 "Disclosure of Liabilities and Investigations,"

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.

None

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.

X 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.

Not Applicable

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.

X 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.

Not Applicable

Apollo Edison LLC Application
C-1 Exhibit C-1 **"Annual Reports,"**

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)

Apollo Edison LLC is a newly started energy consulting firm as of October 6, 2017. The company has also not conducted any transactions or generated any revenue to date. The company is formed as a single member Delaware LLC, with sole employee and Principal officer, Kenneth Antos. The Applicant does not have any annual reports, shareholders or filings to report. For these reasons above, the information requested in Section C-1 is not applicable.

Apollo Edison LLC Application
C-2 Exhibit C-2 **"SEC Filings,"**

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.

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)

Apollo Edison LLC is a newly started energy consulting firm as of October 6, 2017. The company has also not conducted any transactions or generated any revenue to date. The company is formed as a single member Delaware LLC, with sole employee and Principal officer, Kenneth Antos. The Applicant does not have any annual reports, shareholders or filings to report. For these reasons above, the information requested in Section C-1 is not applicable.

Apollo Edison LLC Application
C-3 Exhibit C-3 **"Financial Statements,"**

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).

Apollo Edison LLC is a newly started energy consulting firm as of October 6, 2017. The company has also not conducted any transactions or generated any revenue to date. The company is formed as a single member Delaware LLC, with sole employee and Principal officer, Kenneth Antos. Since there are no financial statements, the Applicant has provided 2 years tax returns for Principal Kenneth Antos. The tax returns can be found in Exhibit D.

Apollo Edison LLC Application
C-4 Exhibit C-4 “Financial Arrangements,”

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.

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.

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.

N/A

Apollo Edison LLC Application
C-5 Exhibit C-5 **"Forecasted Financial Statements,"**

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.

Please see 2 years of forecasted financials for Apollo Edison LLC's projected OH Electric business. The financials are designed around conducting brokered electric transactions once licensing is approved in OH. Based upon potential customer contract flow and broker payments will impact the timing of revenue generated. Any questions can be directed to the contact below:

Kenneth Antos
Principal (Preparer)
310 Nottingham Drive
Spring City, PA 19475
kantos@apolloedison.com
(508) 612-4288

Projected 2019 Income Statement

Apollo Edison LLC

2019 Calendar & Fiscal Year

Financial Statements in U.S. Dollars

Revenue

Gross Sales	\$	13,000	
Less: Sales Returns and Allowances	\$	-	
Net Sales			\$ 13,000

Cost of Goods Sold

Beginning Inventory	\$	-	
Add:			
	Purchases	\$	-
	Freight-in	\$	-
	Direct Labor	\$	-
	Indirect Expenses	\$	-
Inventory Available	\$	-	
Less: Ending Inventory	\$	-	
Cost of Goods Sold			\$ -
Gross Profit (Loss)			\$ 13,000

Expenses

Advertising	\$	500
Amortization	\$	-
Bad Debts	\$	-
Bank Charges	\$	100
Charitable Contributions	\$	-
Commissions	\$	-
Contract Labor	\$	200
Depreciation	\$	-
Dues and Subscriptions	\$	200
Employee Benefit Programs	\$	-
Insurance	\$	-
Interest	\$	-
Legal and Professional Fees	\$	300
Licenses and Fees	\$	150
Miscellaneous	\$	200
Office Expense	\$	50
Payroll Taxes	\$	-
Postage	\$	50
Rent	\$	-
Repairs and Maintenance	\$	-
Supplies	\$	-
Telephone	\$	-

Travel	\$	400	
Utilities	\$	-	
Vehicle Expenses	\$	-	
Wages	\$	-	
Total Expenses			\$ 2,150
Net Operating Income			\$ 10,850
Other Income			
Gain (Loss) on Sale of Assets	\$	-	
Interest Income	\$	-	
Total Other Income			\$ -
Net Income (Loss)			\$ 10,850

Projected 2020 Income Statement

Apollo Edison LLC

2020 Calendar & Fiscal Year

Financial Statements in U.S. Dollars

Revenue

Gross Sales	\$ 29,000	
Less: Sales Returns and Allowances	\$ -	
Net Sales		\$ 29,000

Cost of Goods Sold

Beginning Inventory	\$ -	
Add:		
Purchases	\$ -	
Freight-in	\$ -	
Direct Labor	\$ -	
Indirect Expenses	\$ -	
Inventory Available	\$ -	
Less: Ending Inventory	\$ -	
Cost of Goods Sold		\$ -

Gross Profit (Loss)	\$ 29,000
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Expenses

Advertising	\$ 1,200
Amortization	\$ -
Bad Debts	\$ -
Bank Charges	\$ 200
Charitable Contributions	\$ -
Commissions	\$ -
Contract Labor	\$ 350
Depreciation	\$ -
Dues and Subscriptions	\$ 300
Employee Benefit Programs	\$ -
Insurance	\$ -
Interest	\$ -
Legal and Professional Fees	\$ 500
Licenses and Fees	\$ 150
Miscellaneous	\$ 400
Office Expense	\$ 100
Payroll Taxes	\$ -
Postage	\$ 150
Rent	\$ -
Repairs and Maintenance	\$ -
Supplies	\$ -
Telephone	\$ -
Travel	\$ 800

Utilities	\$ -	
Vehicle Expenses	\$ -	
Wages	\$ -	
Total Expenses		\$ 4,150
Net Operating Income		\$ 24,850
Other Income		
Gain (Loss) on Sale of Assets	\$ -	
Interest Income	\$ -	
Total Other Income		\$ -
Net Income (Loss)		\$ 24,850

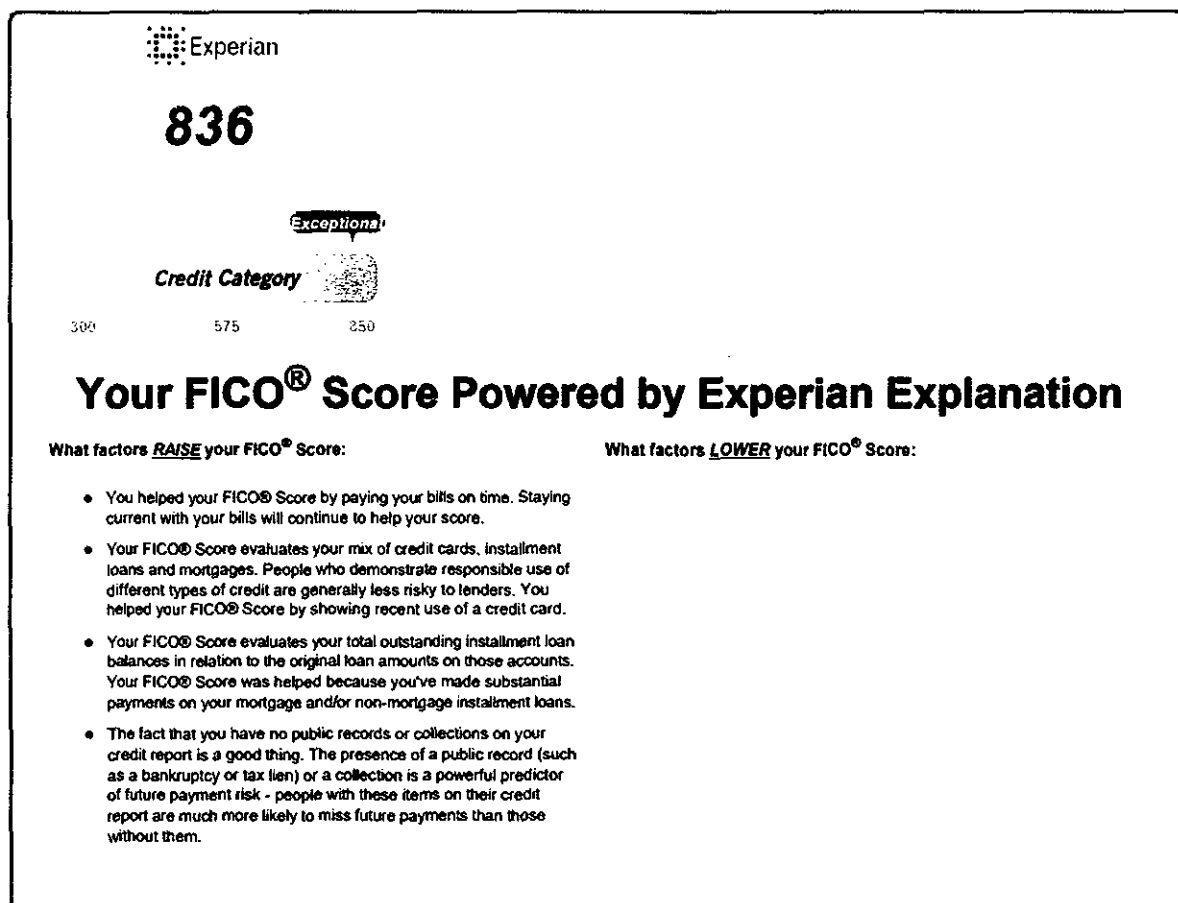
Apollo Edison LLC Application
C-6 Exhibit C-6 **“Credit Rating,”**

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 & 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 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.

N/A

Apollo Edison LLC Application
C-7 Exhibit C-7 "Credit Report,"

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.



Apollo Edison LLC Application
C-8 Exhibit C-8 **"Bankruptcy Information,"**

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.

No bankruptcies to report.

Apollo Edison LLC Application
C-9 Exhibit C-9 **"Merger Information,"**

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.

No Merger Information to report.

Apollo Edison LLC Application
C-10 Exhibit C-10 "Corporate Structure,"

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.

The Applicant Apollo Edison LLC is a single member DE LLC with Principal Kenneth Antos. The Applicant is a stand-alone entity with no affiliate or subsidiary companies.

Kenneth S. Antos, Principal
Kenneth S. Antos
Signature of Applicant & Title

Sworn and subscribed before me this 22nd day of January, 2018
Month Year

Timothy Bottomley Notary
Signature of official administering oath Print Name and Title

My commission expires on 10/22/2019

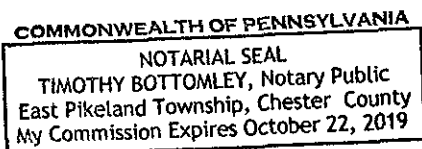


Exhibit D - 2 Years Tax Returns

2015 and 2016 Personal
Tax Returns included and
labeled "D".

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NAME: DONALD R. JAMES S. A JESSICA L. ANDROS

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2015
48th Annual
Symposium, June 3-7
Product Security Number

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36	Enter the amount from 823, "Due to or from \$55 or less," and the amount from 36 of the amount in the instructions for line 31.	3,777.079
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FIDELITY INVESTMENTS	
AMOUNT RECEIVED THIS YEAR	9,451.
NONVARIABLE AMOUNT (CARRYOVER)	9,551.
CAPITAL GAIN DISTRIBUTION REPORTED ON SCH D))))))))))
FIDELITY INVESTMENTS	
AMOUNT RECEIVED THIS YEAR	8,426.
NONVARIABLE AMOUNT (CARRYOVER)	8,508.
CAPITAL GAIN DISTRIBUTION REPORTED ON SCH D))))))))))
TOTAL INCLUDED IN FORM 1041, LINE 16B	0

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KENNETH S. & JESSICA L. ANTOS

FORM 1040

1. ADD ALL SOCIAL SECURITY TAX WITHHELD BUT NOT MORE THAN \$7,347.00 FOR EACH EMPLOYER (THIS TAX SHOULD BE REPORTED ON FORM 941). ENTER THE TOTAL HERE

2. ENTER ANY UNCOLLECTED SOCIAL SECURITY TAX ON TIME OR FROM 1040, LINE 62

3. ADD LINES 1 AND 2

4. SOCIAL SECURITY TAX LIAB

5. SUBTRACT LINE 4 FROM LINE 3. ENTER SOCIAL SECURITY TAX INCLUDED IN FORM 1040, LINE 71.

FORM 1040

1. DESCRIPTION

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STATEMENTS 6, 7, 8

KENNETH S. & JESSICA L. ANTOS

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STATEMENTS 12, 13

KENNETH S. & JESSICA L. ANTOS

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STATEMENTS 9

KENNETH S. & JESSICA L. ANTOS

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2015 TAX RETURN FILING INSTRUCTIONS

PENNSYLVANIA INCOME TAX RETURN

FOR THE YEAR ENDING

DECEMBER 31, 2015

KENNETH S. & JESSICA L. ANTOS

310 NOTTINGHAM DRIVE

SPRING CITY, PA 18412

Prepared by

WIRELL LLP

1000 N. MARKET AVE., SUITE 210

HARRISBURG, PA 17103

Amount of tax

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2015 TAX RETURN FILING INSTRUCTIONS
EAST VINCENT TWO/OWNERS J. ROBERTS SO INCOME TAX RETURN

FOR THE YEAR ENDING
 DECEMBER 31, 2015

Prepared for	KENNETH S. & JESSICA L. ANTOS 200 WEST BALTIC AVE. SUITE 210 SPRING CITY, PA 19775
Prepared by	WIREP1 LLP 2 WEST BALTIMORE AVE. SUITE 210 MEDA, PA 19063
Amount of tax	Federal 1,805 State 1,350 BALANCE DUE 3,155
Overpayment	Refunded by prior year 0 Refunded by prior year 0
Make check payable to	WESTSTONE COLLECTIONS GROUP
Mail to	WESTSTONE COLLECTIONS GROUP PO BOX 529 LEHIGH, PA 18043-0529
Return must be mailed on or before	APRIL 15, 2016
Instructions	THE RETURN SHOULD BE SIGNED AND DATED BY BOTH TAXPAYER AND SPOUSE. INCLUDE YOUR SOCIAL SECURITY NUMBER AND DAYTIME PHONE NUMBER ON YOUR CHECK. WE RECOMMEND THAT RETURNS BE MAILED CERTIFIED MAIL, RETURN RECEIPT REQUESTED WITH THE STAMP VALIDATED AT A POSTAL STATION IN ORDER TO HAVE PROOF OF TIMELY MAILING.

2015 TAX RETURN FILING INSTRUCTIONS
WEST CONSUMPTIONS BORO/OWNER MERTON AND INCOME TAX RETURN

FOR THE YEAR ENDING
 DECEMBER 31, 2015

Prepared for	KENNETH S. & JESSICA L. ANTOS 200 WEST BALTIC AVE. SUITE 210 SPRING CITY, PA 19775
Prepared by	WIREP1 LLP 2 WEST BALTIMORE AVE. SUITE 210 MEDA, PA 19063
Amount of tax	Federal 2,260 State 2,260 NO PAY REQUIRED 0
Overpayment	Refunded by prior year 0 Refunded by prior year 0
Make check payable to	NOT APPLICABLE
Mail to	MEMORANDUM TAX ADMINISTRATOR IRS PO BOX 529 LEHIGH VALLEY, PA 18002-5159
Return must be mailed on or before	APRIL 15, 2016
Instructions	THE RETURN SHOULD BE SIGNED AND DATED BY BOTH TAXPAYER AND SPOUSE. WE RECOMMEND THAT RETURNS BE MAILED CERTIFIED MAIL, RETURN RECEIPT REQUESTED WITH THE STAMP VALIDATED AT A POSTAL STATION IN ORDER TO HAVE PROOF OF TIMELY MAILING.

2015 TAX RETURN FILING INSTRUCTIONS
WEST CONSUMPTIONS BORO/OWNER MERTON AND S D TAXPAYER ANNUAL

Prepared for	KENNETH S. & JESSICA L. ANTOS 200 WEST BALTIC AVE. SUITE 210 SPRING CITY, PA 19775
Prepared by	WIREP1 LLP 2 WEST BALTIMORE AVE. SUITE 210 MEDA, PA 19063
Amount of tax	Federal 1,805 State 1,350 BALANCE DUE 3,155
Overpayment	Refunded by prior year 0 Refunded by prior year 0
Make check payable to	WESTSTONE COLLECTIONS GROUP
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2015 TAX RETURN FILING INSTRUCTIONS
EAST VINCENT TWO/OWNERS J. ROBERTS S D TAXPAYER ANNUAL

FOR THE YEAR ENDING
 DECEMBER 31, 2015

Prepared for	KENNETH S. & JESSICA L. ANTOS 200 WEST BALTIC AVE. SUITE 210 SPRING CITY, PA 19775
Prepared by	WIREP1 LLP 2 WEST BALTIMORE AVE. SUITE 210 MEDA, PA 19063
Amount of tax	Federal 2,260 State 2,260 NO PAY REQUIRED 0
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[illegible]

Itemized Deductions

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Interest and Ordinary Dividends

[illegible]

Interest and Dividend Summary												
NAME	STREET & A. ADDRESS & CITY	Interest	Interest as to a Foreign Source	Tax Exempt Interest	Private Activity Interest	Depreciation Recapture	Ordinary Dividends	Qualified Dividends	Capital Gain Dividends	Income from Real Estate	State Tax Withheld	F. T.
WAGNER NATIONAL ASSOCIATION	43											
WAGNER BANK N.A.	31											
WAGNER FINANCIAL SERVICES												
WIC												
WILSON												
WILSON FINANCIAL SERVICES												
WILSON												
TOTAL	61						108	114	11			

Form 1041-99B KENNETH S. & JESSICA L. AMOS
Page 2
Additional Medicare Tax
Part II Additional Medicare Tax
1. Enter the amount of the additional Medicare tax on the return for 2016.
2. Enter the amount of the additional Medicare tax on the return for 2016.
3. Enter the amount of the additional Medicare tax on the return for 2016.
4. Enter the amount of the additional Medicare tax on the return for 2016.
5. Enter the amount of the additional Medicare tax on the return for 2016.
6. Enter the amount of the additional Medicare tax on the return for 2016.
7. Enter the amount of the additional Medicare tax on the return for 2016.
8. Enter the amount of the additional Medicare tax on the return for 2016.
9. Enter the amount of the additional Medicare tax on the return for 2016.
10. Enter the amount of the additional Medicare tax on the return for 2016.

Form 8859-9 Additional Medicare Tax
Part I Additional Medicare Tax
1. Enter the amount of the additional Medicare tax on the return for 2016.
2. Enter the amount of the additional Medicare tax on the return for 2016.
3. Enter the amount of the additional Medicare tax on the return for 2016.
4. Enter the amount of the additional Medicare tax on the return for 2016.
5. Enter the amount of the additional Medicare tax on the return for 2016.
6. Enter the amount of the additional Medicare tax on the return for 2016.
7. Enter the amount of the additional Medicare tax on the return for 2016.
8. Enter the amount of the additional Medicare tax on the return for 2016.
9. Enter the amount of the additional Medicare tax on the return for 2016.
10. Enter the amount of the additional Medicare tax on the return for 2016.

Form 1041-99B KENNETH S. & JESSICA L. AMOS
Page 3
Part III Additional Medicare Tax
1. Enter the amount of the additional Medicare tax on the return for 2016.
2. Enter the amount of the additional Medicare tax on the return for 2016.
3. Enter the amount of the additional Medicare tax on the return for 2016.
4. Enter the amount of the additional Medicare tax on the return for 2016.
5. Enter the amount of the additional Medicare tax on the return for 2016.
6. Enter the amount of the additional Medicare tax on the return for 2016.
7. Enter the amount of the additional Medicare tax on the return for 2016.
8. Enter the amount of the additional Medicare tax on the return for 2016.
9. Enter the amount of the additional Medicare tax on the return for 2016.
10. Enter the amount of the additional Medicare tax on the return for 2016.

Table with 5 columns: AMOUNT, FEDERAL TAX, STATE TAX, CITY TAX, MEDICAL TAX. Rows include REMUNERATION, REMUNERATION, REMUNERATION, REMUNERATION, REMUNERATION.

Table with 5 columns: AMOUNT, FEDERAL TAX, STATE TAX, CITY TAX, MEDICAL TAX. Rows include REMUNERATION, REMUNERATION, REMUNERATION, REMUNERATION, REMUNERATION.

Table with 5 columns: AMOUNT, FEDERAL TAX, STATE TAX, CITY TAX, MEDICAL TAX. Rows include REMUNERATION, REMUNERATION, REMUNERATION, REMUNERATION, REMUNERATION.

Table with 5 columns: AMOUNT, FEDERAL TAX, STATE TAX, CITY TAX, MEDICAL TAX. Rows include REMUNERATION, REMUNERATION, REMUNERATION, REMUNERATION, REMUNERATION.

Table with 5 columns: AMOUNT, FEDERAL TAX, STATE TAX, CITY TAX, MEDICAL TAX. Rows include REMUNERATION, REMUNERATION, REMUNERATION, REMUNERATION, REMUNERATION.

Table with 5 columns: AMOUNT, FEDERAL TAX, STATE TAX, CITY TAX, MEDICAL TAX. Rows include REMUNERATION, REMUNERATION, REMUNERATION, REMUNERATION, REMUNERATION.

2016 TAX RETURN FILING INSTRUCTIONS

FOR THE YEAR ENDING
DECEMBER 31, 2016

PREPARED FOR:
KENNETH S. & JESSICA L. ANTOS
310 NOTTINGHAM DRIVE
SPRING CITY, PA 19085

PREPARED BY:
WILLIAMS
2 WEST BALTIMORE AVE. SUITE 710
KEOKUK, IA 50601

AMOUNT OF TAX:

TOTAL TAX: \$ 7,517.00
LESS PAYMENTS AND CREDITS: \$ 7,517.00
BALANCE DUE: \$ 0.00

OVERPAYMENT:

NET REFUNDABLE:

MADE CHECK PAYABLE TO:

PAID BY CHECK OR DEPOSIT:

MAIL TAX RETURN AND CHECK BY AIRCRAFT TO:

THE RETURN HAS BEEN PREPARED FOR ELECTRONIC FILING. PLEASE SIGN
ELECTRONIC RETURN TO THE FLOOR

RETURN MUST BE MAILED ON OR BEFORE:

RETURN FROM PARCEL TO BE BY APRIL 18, 2017.

SPECIAL INSTRUCTIONS:

DO NOT MAIL THE POWER COPY OF THE RETURN TO THE FLOOR

YOUR CHECK FOR \$ 7,517.00 IS TO BE DEPOSITED TO YOUR
ACCOUNT BY APRIL 18, 2017. WE WILL NOT RETURN YOUR
CHECK TO YOU.

PAYEE NAME OF RETURN:

PAID TO:

INCLUDE YOUR SOCIAL SECURITY NUMBER AND THE ADDRESS TO WHICH
YOUR CHECK IS TO BE SENT.

Pennsylvania e-file Signature Authorization

FOR THE YEAR ENDING
DECEMBER 31, 2016

PREPARED FOR:
KENNETH S. & JESSICA L. ANTOS
310 NOTTINGHAM DRIVE
SPRING CITY, PA 19085

PREPARED BY:
WILLIAMS
2 WEST BALTIMORE AVE. SUITE 710
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LOCAL EARNED INCOME TAX RETURN

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