

NC FILE

18-865-GA-AGG

29



Public Utilities Commission

PUCO USE ONLY - Version 1.08 May 2016		
Date Received	Case Number	Certification Number
18-865	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 Affiliated Power Purchasers Int'l LLC
Address 2013 Northwood Drive Suite One Salisbury, MD 21801
Telephone No. 800-520-6685 Web site Address www.appienergy.com

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

Name Affiliated Power Purchasers Int'l LLC
Address 2013 Northwood Drive Suite One Salisbury, MD 21801
Web site Address www.appienergy.com Telephone No. 800-520-6685

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

Affiliated Power Purchasers International LLC Affiliated Power Purchasers
Affiliated Power Purchasers Int'l LLC APPI
APPI Energy

A-5 Contact person for regulatory or emergency matters:

Name Jennifer Underwood Title Chief Financial Officer
Business Address 2013 Northwood Drive Suite One Salisbury, MD 21801
Telephone No. 800-520-6685 Fax No. 410-749-8769 Email Address junderwood@appienergy.com

RECEIVED - DOCKETING DIV
2018 MAY 14 AM 11:45
PUCO
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 KE Date Processed 5/15/18

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

Name Michael Payne Title Exec. Vice President
Business address 2013 Northwood Drive Suite One Salisbury, MD 21801
Telephone No. 800-520-6685 Fax No. 410-749-8769 Email Address mpayne@appienergy.com

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

Customer service address 2013 Northwood Drive Suite One Salisbury, MD 21801
Toll-Free Telephone No. 800-520-6685 Fax No. 410-749-8769 Email Address customerservice@appienerg

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 Corporation Service Company Title registered agent
Business address 50 West Broad Street, Suite 1330 Columbus, OH 43215
Telephone No. 1-866-403-5272 Fax No. Email Address junderwood@appienergy.com

A-9 Applicant's federal employer identification number 52-2270096

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	as soon as approved
<input checked="" type="checkbox"/>	Dominion East Ohio	Intended Start Date	as soon as approved
<input checked="" type="checkbox"/>	Duke Energy Ohio	Intended Start Date	as soon as approved
<input checked="" type="checkbox"/>	Vectren Energy Delivery of Ohio	Intended Start Date	as soon as approved

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 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.

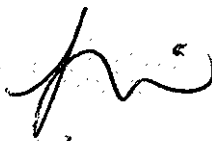
- C-8 Exhibit C-8 “Bankruptcy Information,”** provide a list and description of any reorganizations, protection from creditors, or any other form of bankruptcy filings made by the applicant, a parent or affiliate organization that guarantees the obligations of the applicant or any officer of the applicant 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.

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



Sworn and subscribed before me this

11th day of

May

Month

2018

Year



Jennifer Underwood Chief Financial Officer

Signature of official administering oath

Print Name and Title

Notary
DEBRA K MILLER
NOTARY PUBLIC, STATE OF MARYLAND
MY COMMISSION EXPIRES, FEB. 20, 2019

My commission expires on

Feb. 20, 2019



The Public Utilities Commission of Ohio

Competitive Retail Natural Gas Service
Affidavit Form
(Version 1.07)

In the Matter of the Application of

Affiliated Power Purchasers Int'l LLC

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

Case No.

-GA-AGG

County of Wicomico

State of Maryland

Jennifer Underwood

[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

Sworn and subscribed before me this

11th

day of

May

Month

2018

Year

Debra K. Miller

Signature of Official Administering Oath

Jennifer Underwood Chief Financial Officer

Print Name and Title

NOTARY PUBLIC, STATE OF MARYLAND
MY COMMISSION EXPIRES FEB. 20, 2019

My commission expires on

Feb. 20, 2019



WWW.APPIENERGY.COM

Exhibit A-14 "Principal Officers, Directors & Partners"

Walter Moore
President & CEO
2013 Northwood Drive
Suite One
Salisbury, MD 21801
800-520-6685

Jennifer Underwood
Chief Financial Officer
2013 Northwood Drive
Suite One
Salisbury, MD 21801
800-520-6685

Michael Payne
Executive Vice President
2013 Northwood Drive
Suite One
Salisbury, MD 21801
800-520-6685

Kevin Smyth
Partner
2013 Northwood Drive
Suite One
Salisbury, MD 21801
800-520-6685

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Exhibit A-15 "Company History"

APPI BUSINESS HISTORY, SERVICES, and OPERATIONS

Affiliated Power Purchasers International, LLC (APPI) is an energy consultant that began operations in 1996. Since inception, APPI has consulted with more than 5,000 electricity customers in deregulated electricity states across the United States.

APPI assists electricity customers by providing education and information regarding electricity deregulation, electricity markets, electricity suppliers, electricity supply contracts, and electric utility supply tariffs. APPI reviews with the customer the customer's historical, current, and projected usage and consumption of energy. APPI reviews with customers electric utility supply tariffs, electricity supply contracts, and electricity prices provided to APPI by retail electricity suppliers for consideration by the customer. If a customer chooses to accept and to implement a supply contract offer from a retail supplier, APPI assists the customer in finalizing the supply contract with the supplier chosen by the customer. APPI never favors one supplier over another supplier and strives to match APPI customers with a supplier and a supply contract that best meets the customer's needs. APPI takes utmost care to present relevant information regarding each supplier, supplier prices, and supplier supply contracts.

APPI's efforts are focused on serving each customer by fully understanding that specific customer's electricity profile, usage characteristics, financial goals, and business needs. APPI provides ongoing education about electricity markets and customer service to its electricity customers. APPI's management team actively performs initial and ongoing due diligence of electricity suppliers, supplier contracts, and regulatory matters. APPI's staff meets regularly with the APPI management team and third party energy experts to review the Illinois electricity market, regulatory matters, electricity suppliers, electricity price trends, and other related business developments.

APPI has 39 full-time employees who, combined, have more than 150 years of experience in the energy industry. APPI's staff includes electricity analysts, energy industry operations specialists, financial experts, database specialists, customer support persons, and business consultants. The APPI Organization Chart is enclosed

APPI works closely with consumer advocate entities including 140 national, state, and local trade associations, chambers of commerce, and other affinity groups. All of these entities performed due diligence of APPI and determined that APPI is capable of providing professional energy consulting services and customer service to their members. These affinity groups selected APPI as their exclusively endorsed energy consultant.

During its 22 years of business activity, APPI has acquired, stored, and analyzed electricity usage data and electricity account information for more than 25,000 electricity accounts served by more than 50 electric utilities. APPI has assisted more than 3,300 commercial, industrial, and residential customers with the review and implementation of an electricity supply contract. These electricity supply contracts have been with 25 different competitive electricity suppliers. Over the years, APPI has analyzed more than 100 different types of supplier electricity contracts and negotiated terms and conditions favorable to its customers on many occasions.

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Exhibit A-16 (1)
"Articles of Inc"

ARTICLES OF ORGANIZATION OF AFFILIATED POWER
PURCHASERS INTERNATIONAL, LLC

The undersigned, being authorized to execute and file these Articles, hereby certifies that:

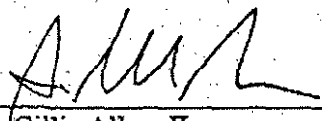
FIRST: The name of the limited liability company (hereinafter referred to as the "Company") is "Affiliated Power Purchasers International, LLC." WM

SECOND: The purpose for which the Company is formed is to develop and manage electricity and natural gas buyers' pools for trade associations, and to carry on any and all activities related thereto.

THIRD: The address of the principal office of the Company in this State is 2129 Northwood Drive, Salisbury, Maryland 21801. ✓

FOURTH: The name and address of the resident agent of the Company are A. Gillis Allen, II, 207 Downtown Plaza, PO Box 990, Salisbury, Maryland 21803-0990. ✓

IN WITNESS WHEREOF: I have signed these Articles of Organization and acknowledged them to be my act this 5th day of October, 2000.



A. Gillis Allen, II

10-05-00

te of Maryland
partment of
essments and Taxation



20-668

Parris N. Glendening
Governor

Ronald W. Wincholt
Director

Paul B. Anderson
Administrator

arter Division

ALLEN & ASSOCIATES
207 DOWNTOWN PLAZA
P.O. BOX 990
SALISBURY

Date: 10-18-2000

MD 21803-0990

This letter is to confirm acceptance of the following filing:

ENTITY NAME: AFFILIATED POWER PURCHASES INTERNATIONAL, LLC
DEPARTMENT ID: W06014930
TYPE OF REQUEST: ARTICLES OF ORGANIZATION
DATE FILED: 10-10-2000
TIME FILED: 09:31-AM
RECORDING FEE: \$50.00
FILING NUMBER: 1000234871000000
CUSTOMER ID: 0000493495
WORK ORDER NUMBER: 0000369575

PLEASE VERIFY THE INFORMATION CONTAINED IN THIS LETTER. NOTIFY THIS DEPARTMENT IN WRITING IF ANY INFORMATION IS INCORRECT. INCLUDE THE CUSTOMER ID AND THE WORK ORDER NUMBER ON ANY INQUIRIES. EVERY YEAR THIS ENTITY MUST FILE A PERSONAL PROPERTY RETURN IN ORDER TO MAINTAIN ITS EXISTENCE EVEN IF IT DOES NOT OWN PERSONAL PROPERTY. A BLANK RETURN WILL BE MAILED BY FEBRUARY OF THE YEAR FOR WHICH THE RETURN IS DUE.

Exhibit A-16 (3)

EFFECTIVE DATE: 10-10-2000
PRINCIPAL OFFICE: 2129 NORTHWOOD DRIVE
SALISBURY

MD 21801

RESIDENT AGENT: A. GILLIS ALLEN, II
207 DOWNTOWN PLAZA
P.O. BOX 990
SALISBURY

MD 21803-0990

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

I, Jon Husted, do hereby certify that I am the duly elected, qualified and present acting Secretary of State for the State of Ohio, and as such have custody of the records of Ohio and Foreign business entities; that said records show AFFILIATED POWER PURCHASERS INTERNATIONAL, LLC, a Maryland Limited Liability Company, Registration Number 1204123, filed on December 18, 2000, is currently in FULL FORCE AND EFFECT upon the records of this office.



*Witness my hand and the seal of the
Secretary of State at Columbus, Ohio
this 11th day of May, A.D. 2018.*

Jon Husted

Ohio Secretary of State

Validation Number: 201813101520

Exhibit B-1 “Jurisdiction of Operation”

Maine
Maryland
Massachusetts
New Jersey
Pennsylvania

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Exhibit B-2 “Experience & Plans”

Affiliated Power Purchasers International, LLC (“APPI”) is an independent consulting firm that assists electricity and natural gas users by providing education, market information, and access to supply contracts offered by retail suppliers. APPI began operations in 1996 and has provided energy consulting services to more than 5,000 customers across the United States.

APPI analyzes customer data, prepares requests for pricing proposal, and negotiates contracts with the suppliers on behalf of the customers. If the customer signs an APPI negotiated contract with a competitive retail supplier, APPI receives a fee based on customer’s usage. The customer is billed by the supplier or its utility. The supplier remits APPI’s fee payments to APPI. APPI never buys or sells electricity or natural gas. APPI never receives or processes customer payments for energy.

APPI provides its customers and the public a toll free number, email access, and full-time consultants to answer questions and provide information.

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Exhibit B-3 “Summary of Experience”

Affiliated Power Purchasers International, LLC (“APPI”) is currently licensed to provide natural gas broker services in Maine, Maryland, Massachusetts, New Jersey and Pennsylvania in all participating utility service areas. We only work with commercial, industrial and governmental customers. We do not participate in residential programs or customers.

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Exhibit B-4 “Disclosure of Liabilities and Investigations”

There are currently no known existing, pending, or past rulings, judgments, contingent liabilities, revocations of authority, regulatory investigations, or any other matter that could adversely impact APPI’s financial or operation status or ability to provide the services it is seeking to be certified to provide.

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Exhibit C-1 "Annual Reports"

N/A – Affiliated Power Purchasers Int'l LLC is not a publicly traded company.

TRUSTED. RELIABLE. POWERFUL SOLUTIONS.

Exhibit C-2 “SEC Filings”

N/A – Affiliated Power Purchasers Int’l LLC is not a publicly traded company.

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Exhibit C-4 “Financial Arrangements”

N/A – Affiliated Power Purchasers Int’l LLC does not take title to electricity or natural gas.

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Exhibit C-6 "Credit Rating"

N/A

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Exhibit C-7

Factual Data		BUREAU EXPRESS		Bureau Express Trended Credit Data	
FACTUAL DATA, 6100 HAHNS PEAK DRIVE LOVELAND, CO 80538 888-870-8630					
PRIMELENDING - SALISBURY 2265 312 W. MAIN STREET, B SOUTH SALISBURY, MD 21801 (410)202-3068 (866)868-7891		Client Tracking [REDACTED]	Requested by Flowers, James	Report ID H4401BXG70F0116	
		Client Code [REDACTED]	BX Date requested 09/12/2017 08:57:04	Charges 20.87	
Identification (as requested)					
Applicant's last name Moore	First name Walter	Middle W	Suffix [REDACTED]	DOB [REDACTED]	Social Security [REDACTED]
Residence Information (as requested)					
Present	511 TONY TANK LANE	SALISBURY	MD	21801	Telephone
File Variations					
Trans Union	BK1	[REDACTED]	MOORE, WALTER W Hit Level: Frozen	/	09/12/17 08:57
Equifax	BQ1	Not Reported	Hit Level: Frozen		09/12/17 08:57
Experian	BK1	[REDACTED]	MOORE, WALTER W	1953	09/12/17 08:57
TruAlert - Applicant					
OFAC Compliance					
Applicant input name checked. No similar records found in OFAC's SDN list.					
File Variations					
No additional File Variation names found.					
AKA Records					
AKA records checked. No similar records found in OFAC's SDN list.					
AKA					
Nickname: WALTER, MOORE					
BX1					
Fraud Search					
TransUnion High Risk Fraud Alert was completed on applicant by searching applicant's name, social security number and address. No fraudulent activity was found.					
BU1					
IDENTITY SCAN did not detect any alerts.					
BQ1					
Experian Fraud Shield Search Results: CKPT: EDUCATION-SOCIAL SERVICE ON FACS+ FILE/BUILDING SCHOOLS BUILDING LIVES/511 TONY TANK LN/SALISBURY MD 21801/410.749.2801					
Experian Fraud Shield Search Results: Possible years of SSN issuance: 1955 - 1965					
Experian Fraud Shield Search Results: INQUIRY ADDRESS IDENTIFIED AS NON-RESIDENTIAL					
BX1					
Public Records					
No Public Records found					
Inquiry Information (Past 120 days shown below)					
09/11/2017 ON-SITE MANAGERING (BX1)					
Credit Score Information					
774	Repository	Brand	Type	[REDACTED]	MOORE, WALTER W
	Experian	Fair Isaac V2	FICO	[REDACTED]	BX1
	13 - Time since delinquency is too recent or unknown				
	18 - Number of accounts with delinquency				
N/A	Repository	Brand	Type	[REDACTED]	MOORE, WALTER W
	TransUnion	Classic 04	FICO	[REDACTED]	BU1
	Classic 04 information cannot be scored or returned because data is suppressed or cannot be evaluated.				
	Credit History				
					Payment
					Balance

<https://primepath.primelending.com/FileDownloadServlet>

9/12/2017



Exhibit C-8 "Bankruptcy Information"

None

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Exhibit C-9 “Merger Information”

None

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Exhibit C-10 "Corporate Structure"

Affiliated Power Purchasers Int'l LLC is a stand-alone entity with no affiliate or subsidiary companies.

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Exhibit D-1 "Operations"

Affiliated Power Purchasers Int'l LLC analyzes customer data, prepares requests for pricing proposal, and negotiates contracts with the suppliers on behalf of the customers. If the customer signs an APPI negotiated contract with a competitive retail supplier, APPI receives a fee based on customer's usage. The customer is billed by the supplier or its utility. The supplier remits APPI's fee payments to APPI. APPI never buys or sells electricity or natural gas. APPI never receives or processes customer payments for energy.

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Exhibit D-2 “Operations Expertise”

Affiliated Power Purchasers International, LLC (“APPI”) is an independent consulting firm that assists electricity and natural gas users by providing education, market information, and access to supply contracts offered by retail suppliers. APPI began operations in 1996 and has provided energy consulting services to more than 5,000 customers across the United States.

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Exhibit D-3 “Key Technical Personnel”

Suzanne Hearn

Vice President, Energy Markets & Procurement

shearn@appienergy.com

800-520-6685

Ms. Hearn joined the firm in 2000. Hearn is responsible for the management of relationships with approved retail energy suppliers, as well as the leadership and management of the activities and market strategies of the Operations Department. She structures pricing strategies and energy procurement contracts for clients. She also monitors, analyzes, and maintains a tariff filing database for all deregulated markets.

Daniel Forgacs, CEP

Director of U.S. Strategic Markets

dforgacs@appienergy.com

800-520-6685

Mr. Forgacs has an active role in the day-to-day management and professional development of the APPI Energy consulting team. Forgacs directly engages with clients and prospects in key U.S. markets. He helps consultants develop new relationships and renew exiting APPI Energy clients. Forgacs also works with the APPI Energy operations team to create higher-value interactions with clients and suppliers.

Michael Payne, J.D., L.L.M

Executive Vice President

mpayne@appienergy.com

800-520-6685

Mr. Payne joined APPI in 2000 and today serves as Executive Vice President and Corporate Counsel. Mr. Payne is responsible for the development and management of APPI consulting services, operations and legal matters. Prior to joining APPI, he worked in investment banking and corporate finance for twenty years. Mr. Payne graduated with honors receiving a B.A. from Wake Forest University. He received a J.D. from the University of Miami School of Law and a Masters of Law in Taxation from the George Washington University National Law Center.