



DIS Case Number: 16-2286-GA-AGG

Section A: Application Information

A-1. Provider type:

☒ Retail Natural Gas
Broker

☐ Retail Natural Gas
Aggregator

☐ Retail Natural Gas
Marketer

A-2. Applicant's legal name and contact information.

Legal Name: Aurora Energy Advisors, LLC

Phone: (212) 742-0414

Website (if any): www.aeadvisorsllc.com

Country: United States

Street: 3848 Nostrand Avenue

City: Brooklyn

Province/State: NY

Postal Code: 11235

A-3. Names and contact information under which the applicant will do business in Ohio

Provide the names and contact information the business entity will use for business in Ohio. This does not have to be an Ohio address and may be the same contact information given in A-2.

Name	Type	Address	Active?	Proof
Aurora Energy Advisors, LLC	Official Name	3848 Nostrand Avenue Brooklyn,, NY 11235	Yes	File

A-4. Names under which the applicant does business in North America

Provide all business names the applicant uses in North America, including the names provided in A-2 and A-3.

Name	Type	Address	Active?	Proof
Aurora Energy Advisors, LLC	Official Name	3848 Nostrand Avenue Brooklyn,, NY 11235	Yes	File

A-5. Contact person for regulatory matters



Mitchell Ingerman
3848 Nostrand Avenue
Brooklyn, NY 11235
US
mingerman@aeadvisorsllc.com
2127420414

A-6. Contact person for PUCO Staff use in investigating consumer complaints

Mitchell Ingerman
3848 Nostrand Avenue
Brooklyn, NY 11235
US
mingerman@aeadvisorsllc.com
2127420414

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

Phone: (877) 695-1062	Extension (if applicable):	Country: United States
Fax:	Extension (if applicable):	Street: 3848 Nostrand Avenue
Email: mingerman@aeadvisorsllc.com		City: Brooklyn, Province/State: NY
		Postal Code: 11235

A-8. Applicant's federal employer identification number

830482997

A-9. Applicant's form of ownership

Form of ownership: Limited Liability Company (LLC)

A-10. Identify current or proposed service areas

Identify each service area in which the applicant is currently providing service or intends to provide service and identify each customer class that the applicant is currently serving or intends to serve.

Service area selection

Columbia Gas of Ohio

Dominion Energy Ohio
Duke Energy Ohio
Vectren Energy Delivery of Ohio

Class of customer selection

Industrial
Small Commercial
Large Commercial

A-11. Start date

Indicate the approximate start date the applicant began/will begin offering services: 01-31-2017

A-12. Principal officers, directors, and partners

Please provide all contacts that should be listed as an officer, director or partner.

Name	Email	Title	Address
Mitchell Ingerman	mingerman@aeadvisorsllc.com	Pres & Partner	3848 Nostrand Avenue Brooklyn, NY 11235 US

A-13. Company history

Aurora Energy Advisors, LLC is a limited liability formed in New York on May 11, 2007. Aurora Energy Advisors, LLC is a full-service energy management and consulting firm specializing in sophisticated strategies designed to manage energy costs for real estate owners and property managers.

A-14. Secretary of State

Secretary of State Link:

A-15. Proof of Ohio Employee and Office

Provide proof of an Ohio Office and Employee in accordance with Section 4929.22 of the Ohio Revised Code. List the designated Ohio employee's name, Ohio office address, telephone number and web site address



Employee Name: Mitchell Ingerman
3848 Nostrand Avenue
Brooklyn, NY 11235
US
mingerman@aeadvisorsllc.com
2127420414

Section B: Applicant Managerial Capability and Experience

B-1. Jurisdiction of operations

List all jurisdictions in which the applicant or any affiliated interest of the applicant is certified, licensed, registered or otherwise authorized to provide retail natural gas service or retail/wholesale electric service as of the date of filing the application..

File Attached

B-2. Experience and plans

Describe the applicant's experience in providing the service(s) for which it is applying (e.g., number and type of customers served, utility service areas, amount of load, etc.). Include the 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 Sections 4928.10 and/or 4929.22 of the Ohio Revised Code.

File(s) attached

B-3. Disclosure of liabilities and investigations

For the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant, describe all existing, pending or past rulings, judgments, findings, contingent liabilities, revocation of authority, regulatory investigations, judicial actions, or other formal or informal notices of violations, or any other matter related to competitive services in Ohio or equivalent services in another jurisdiction..

File Attached

B-4. Disclosure of consumer protection violations



Public Utilities Commission

Has the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years?

No

B-5. Disclosure of certification, denial, curtailment, suspension or revocation

Has the applicant, affiliate, or a predecessor of the applicant had any certification, license, or application to provide retail natural gas or retail/wholesale electric service denied, curtailed, suspended, revoked, or cancelled or been terminated or suspended from any of Ohio's Natural Gas or Electric Utility's Choice programs within the past two years?

No

Section C: Applicant Financial Capability and Experience

C-1. Financial reporting

Provide a current link to the most recent Form 10-K filed with the Securities and Exchange Commission (SEC) or upload the form. If the applicant does not have a Form 10-K, submit the parent company's Form 10-K. If neither the applicant nor its parent is required to file Form 10-K, state that the applicant is not required to make such filings with the SEC and provide an explanation as to why it is not required.

Does not apply

C-2. Financial statements

Provide copies of the applicant's two most recent years of audited financial statements, including a 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, provide 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 bank account numbers redacted**.

If the applicant is unable to meet the requirement for two years of financial statements, the Staff reviewer may request additional financial information.

Preferred to file this information confidentially

C-3. Forecasted financial statements

Provide two years of forecasted income statements **based solely on the applicant's anticipated business activities in the state of Ohio**.

Include the following information with the forecast: a list of assumptions used to generate the forecast; a statement indicating that the forecast is based solely on Ohio business activities only; and the name, address, email address, and telephone number of the preparer of the forecast.

The forecast may be in one of two acceptable formats: 1) an annual format that includes the current year and the two years succeeding the current year; or 2) a monthly format showing 24 consecutive months following the month of filing this application broken down into two 12-month periods with totals for revenues, expenses, and projected net incomes for both periods. Please show revenues, expenses, and net income (revenues minus total expenses) that is expected to be earned and incurred in **business activities only in the state of Ohio** for those periods.

If the applicant is filing for both an electric certificate and a natural gas certificate, please provide a separate and distinct forecast for revenues and expenses representing Ohio electric business activities in the application for the electric certificate and another forecast representing Ohio natural gas business activities in the application for the natural gas certificate.

Preferred to file confidentially

C-4. Credit rating

Provide a credit opinion disclosing the applicant's credit rating as reported by at least one of the following ratings agencies: Moody's Investors Service, Standard & Poor's Financial Services, Fitch Ratings or the National Association of Insurance Commissioners. If the applicant does not have its own credit ratings, substitute the credit ratings of a parent or an affiliate organization and submit a statement signed by a principal officer of the applicant's parent or affiliate



Public Utilities Commission

organization that guarantees the obligations of the applicant. If an applicant or its parent does not have such a credit rating, enter 'Not Rated'.

This does not apply

C-5. Credit report

Provide a copy of the applicant's credit report from Experian, Equifax, TransUnion, Dun and Bradstreet or a similar credit reporting organization. If the applicant is a newly formed entity with no credit report, then provide a personal credit report for the principal owner of the entity seeking certification. At a minimum, the credit report must show summary information and an overall credit score. **Bank/credit account numbers and highly sensitive identification information must be redacted.** If the applicant provides an acceptable credit rating(s) in response to C-4, then the applicant may select 'This does not apply' and provide a response in the box below stating that a credit rating(s) was provided in response to C-4.

Preferred to file this information confidentially

C-6. Bankruptcy information

Within the previous 24 months, have any of the following filed for reorganization, protection from creditors or any other form of bankruptcy?

- Applicant
- Parent company of the applicant
- Affiliate company that guarantees the financial obligations of the applicant
- Any owner or officer of the applicant

No

C-7. Merger information

Is the applicant currently involved in any dissolution, merger or acquisition activity, or otherwise participated in such activities within the previous 24 months?

No

C-8. Corporate structure

Provide a graphical depiction of the applicant's corporate structure. Do not provide an internal organizational chart. The graphical depiction should include all parent holding companies,



subsidiaries and affiliates as well as 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 the applicant may respond by stating that it is a stand-alone entity with no affiliate or subsidiary companies.

Stand-alone entity with no affiliate or subsidiary companies

Section D: Applicant Technical Capacity

D-1. Operations

Retail natural gas brokers/aggregators: Include details of the applicant's business operations and plans for arranging and/or aggregating for the supply of natural gas to retail customers.

File(s) attached

D-2. Operations Expertise & Key Technical Personnel

Given the operational nature of the applicant's business, provide evidence of the applicant's experience and technical expertise in performing such operations. Include the names, titles, e-mail addresses, and background of key personnel involved in the operations of the applicant's business.

File(s) attached



Public Utilities
Commission

Application Attachments

Exhibit D-2 “Operations Expertise”

Aurora Energy Advisors, LLC

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

“Key Technical Personnel”

Aurora Energy Advisors, LLC

Mitchell Ingerman, President and Partner

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

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

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

Joseph Weitz, Director of Energy Management

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

Sean Stettin, Senior Energy Analyst

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

Exhibit B-2 “Experience & Plans”

Aurora Energy Advisors, LLC

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

Exhibit B-3 “Disclosure of Liabilities and Investigations”

Aurora Energy Advisors, LLC

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

Exhibit D-1 “Operations”

Aurora Energy Advisors, LLC

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



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

Receipt

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

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

**STATE OF OHIO
CERTIFICATE**

Ohio Secretary of State, Jon Husted
3961870

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

AURORA ENERGY ADVISORS, LLC

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

Document(s)

REGISTRATION OF FOREIGN FOR PROFIT LLC

Effective Date: 11/21/2016

Document No(s):

201632603288



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

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

Ohio Secretary of State

Exhibit B-1 “Jurisdictions of Operations”

Aurora Energy Advisors, LLC

Aurora Energy Advisors, LLC is currently licensed and providing brokerage services in New Jersey, Massachusetts, Pennsylvania, Maine, Maryland, Illinois, Ohio, Washington D.C. and Delaware.

Competitive Retail Natural Gas Service Affidavit

County of New York :

State of New York :

Mitchell Ingerson, 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, and that it will amend its application while it is pending if any substantial changes occur regarding the information provided.
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 Sections 4905.10 and 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 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. 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 comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
8. Applicant will inform the Public Utilities Commission of Ohio 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 consumer complaints.
9. The facts set forth above are true and accurate 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.
10. Affiant further saith naught.

Signature of Affiant & Title

Sworn and subscribed before me this 8th day of Dec, 2020

Month Year

Dorothy Giglio
Print Name and Title

My commission expires on 8/1/2021

DOROTHY GIGLIO
NOTARY PUBLIC-STATE OF NEW YORK
No. 0161613255
Qualified in Kings County
My Commission Expires August 01, 2021

This foregoing document was electronically filed with the Public Utilities

Commission of Ohio Docketing Information System on

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in

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

Summary: In the Matter of the Application of Aurora Energy Advisors LLC