



5/17/2022

Public Utilities Commission of Ohio
Docketing Division
180 East Broad Street
Columbus Ohio 43215-3793

RE: PUBLIC VERSION: ENGIE Power & Gas LLC's Renewal Application for OH PUC Competitive Retail Natural Gas Suppliers

To Whom It May Concern,

Enclosed you will find ENGIE Power & Gas LLC's Renewal Application for OH PUC Competitive Retail Natural Gas Suppliers with all necessary documents completed.

A separate package is being sent which contains Financial Statements, Financial Agreements, and Forecasted Financial Statements. These are being filed under confidential seal.

Thank you.

Sincerely,

Jessica Conigliaro

Regulatory & Compliance
516-634-2653
Jessica.conigliaro@engie.com



Instructions for Competitive Retail Natural Gas Service (CRNGS) Providers

- I. **Where to file:** Applications can be completed and submitted via the PUCO Community. Paper applications, an original plus two copies, can be mailed to: Public Utilities Commission of Ohio, Docketing Division, 180 East Broad Street, Columbus Ohio 43215-3793.
- II. **Case Number:** If Applicant is applying for any combination of broker and/or aggregator, the application must be filed with an "AGG" purpose code. If the application includes marketer, then the purpose code must be "CRS".
- III. **Renewal applications:** A certificate is valid for two years from the date of issuance. An application for renewal should be filed in the Applicant's existing case number 30-90 days prior to the expiration date printed on the certificate.
- IV. **Confidentiality:** An applicant may file financial statement, forecasted financial statements, financial arrangements, credit ratings, and credit reports under seal. Confidentiality for other items must be requested in a motion filed in the docket. Motions for protective orders must be filed in accordance with Ohio Administrative Code 4901:1-24, 4901:1-27, and 4901:1-24.
- V. **Commission approval process:** The Commission approval process begins when the Commission's Docketing Division receives and time/date stamps the application. An incomplete application may be suspended or rejected. An application that has been suspended an incomplete may cause delay in certification. The Commission may approve, suspend, or deny an application within 30 days. If no action is taken, the application is deemed automatically approved on the 31st day after the official filing date. Upon approval, the Commission will issue a numbered certificate that specifies the service(s) for which the applicant is certified and the dates for which the certificate is valid.
- VI. **Material change:** Providers are required to notify the Commission of any changes to the information provided in its most recent application within thirty days of the change.
- VII. **Governing law:** The certification and renewal of competitive providers is governed by Chapters 4901:1-21, 4901:1-24, 4901:1-27, 4901:1-28, and 4901:1-29 of the Ohio Administrative Code, and Sections 4928.08 and 4929.20 of the Ohio Revised Code.
- VIII. **Questions:** Questions regarding the application should be directed to CRNGS@puco.ohio.gov or CRNGS@puco.ohio.gov.

This page is for informational purposes and should not be filed with the application.



Public Utilities Commission

Competitive Retail Natural Gas Service
(CRNGS) Provider Application

Case Number: 12 - 1577 - GA - CRS

Please complete all information. Identify all attachments with a label and title (example: Exhibit C-2 Financial Statements). For paper filing, you can mail the original and two complete copies to the Public Utilities Commission of Ohio, Docketing Division, 180 East Broad Street, Columbus, Ohio 43215-3793.

A. Application Information

A-1. Provider Type.

Select the competitive retail natural gas service (CRNGS) provider type(s) for which the applicant is seeking certification. Please note you can select more than one.

Retail Natural Gas Aggregator

☐

Retail Natural Gas Broker

☐

Retail Natural Gas Marketer

☒

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

Provide the name and contact information of the business entity.

Legal Name: ENGIE Power & Gas LLC
Street Address: 920 Railroad Ave.
City: Woodmere State: NY Zip: 11598
Telephone: 516-734-0408 Website: www.engiepowerandgas.com

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: ENGIE Power & Gas LLC
Street Address: 920 Railroad Ave.
City: Woodmere State: NY Zip: 11598
Telephone: 516-734-0408 Email: EPG.CustomerCare@engie.com

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

Provide all business names the applicant uses in North America. You do not need to include the names provided in A-2 and A-3.

Name(s): _____

A-5. Contact person for regulatory matters.

Name: Michael Reiss Title: Director of Compliance
Street Address: 920 Railroad Ave.
City: Woodmere State: NY Zip: 11598
Telephone: 56-634-2155 Email: michael.reiss@engie.com

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

Name: Michael Reiss Title: Director of Compliance
Street Address: 920 Railroad Ave.
City: Woodmere State: NY Zip: 11598
Telephone: 56-634-2155 Email: michael.reiss@engie.com

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

Street Address: 920 Railroad Ave.
City: Woodmere State: NY Zip: 11598
Toll-free Telephone: 855-327-6937 Email: epg.customercare@engie.com

A-8. Applicant's federal employer identification number.

FEIN: 57-1212547

A-9. Applicant's form of ownership (select one).

Sole Proprietorship <input type="checkbox"/>	Limited Liability Partnership (LLP) <input type="checkbox"/>	Corporation <input checked="" type="checkbox"/>	Partnership <input type="checkbox"/>
Limited Liability Company (LLC) <input type="checkbox"/>	Other: _____		

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 <input checked="" type="checkbox"/>	Dominion Energy Ohio <input checked="" type="checkbox"/>	Duke Energy Ohio <input checked="" type="checkbox"/>	Vectren Energy Delivery of Ohio <input checked="" type="checkbox"/>
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Class of customer selection:

Industrial



Residential



Small Commercial



Large Commercial



A-11. Start Date.

Indicate the approximate start date the applicant began/will begin offering services.

Date: 9/02/2004

A-12. Principal officers, directors and partners.

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

A-13. Company history.

Provide an attachment with a concise description of the applicant's company history and principal business interests.

A-14. Secretary of State.

Provide evidence that the applicant is currently registered with the Ohio Secretary of State.

A-15. Proof of Ohio office and employee.

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.

Name: Business Filings Incorporated Title: _____
Street Address: 4400 Easton Commons Way, Suite 125
City: Columbus State: OH Zip: 43219
Telephone: 6146211906 Email: agent@bizfilings.com

B. Managerial Capability

Provide a response or attachment for each of the sections below.

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.

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.

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.

B-4. Disclosure of consumer protection violations.

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? If yes, attach a document detailing the information.

Yes

☐

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? If yes, attach a document detailing the information.

Yes

☐

No

☒

C. Financial Capability

Provide a response or attachment for each of the sections below.

C-1. Financial reporting.

Provide a current link to the most recent Form 10-K filed with the Securities and Exchange Commission (SEC) or attach a copy of 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.

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.

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.

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

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.

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? If yes, attach a document detailing the information.

Applicant

Parent company of the applicant

Affiliate company that guarantees the financial obligations of the applicant

Any owner or officer of the applicant

Yes

☐

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? If yes, attach a document detailing the information.

Yes

☐

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.

C-9. Financial arrangements.

This section is only applicable if power marketer or retail electric generation provider has been selected in A-1.

Provide copies of the applicant's financial arrangements to satisfy collateral requirements to conduct retail electric/natural gas business activities (e.g., parental guarantees, letters of credit, contractual arrangements, etc., as described below).

Renewal applicants may provide a current statement from an Ohio local distribution utility (LDU) that shows that the applicant meets the LDU's collateral requirements. The statement or letter must be on the utility's letterhead and dated within a 30-day period of the date the applicant files its renewal application.

First-time applicants or applicants whose certificate has expired must meet the requirements of C-9 in one of the following ways:

1. The applicant itself states that it is investment grade rated by Moody's Investors Service, Standard & Poor's Financial Services, or Fitch Ratings and provides evidence of rating from the rating agencies. If you provided a credit rating in C-4, reference the credit rating in the statement.

2. The applicant's parent company is investment grade rated (by Moody's, Standard & Poor's, or Fitch) and guarantees the financial obligations of the applicant to the LDU(s). Provide a copy of the most recent credit opinion from Moody's, Standard & Poor's or Fitch.
3. The applicant's parent company 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 parent company's financials and a copy of the parental guarantee must be included in the application if the applicant is relying on this option.
4. The applicant can provide evidence of posting a letter of credit with the LDU(s) listed as the beneficiary, in an amount sufficient to satisfy the collateral requirements of the LDU(s).

D. Technical Capability

Provide an attachment for each of the sections below.

D-1. Operations.

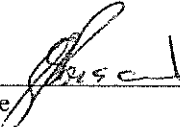
Retail natural gas brokers/aggregators: Include details of the applicant's business operations and plans for arranging and/or aggregating for the supply of natural gas to retail customers.

Gas Marketers: Describe the operational nature of the applicant's business, specifying whether operations will include the contracting of natural gas purchases for retail sales, the nomination and scheduling of retail natural gas for delivery, and/or the provision of retail ancillary services, as well as other services used to supply natural gas to the natural gas company city gate for retail customers.

D-2. Operations expertise and key technical personnel.

Provide evidence of the applicant's experience and technical expertise in performing the operations described in this application. Include the names, titles, e-mail addresses, telephone numbers and background of key personnel involved in the operational aspects of the applicant's business.

As authorized representative for the above company/organization, I certify that all the information contained in this application is true, accurate and complete. I also understand that failure to report completely and accurately may result in penalties or other legal actions.

Signature  _____ Date 5/17/2022 _____

CFO _____

Title _____

Competitive Retail Natural Gas Service Affidavit

County of Nassau :

State of New York :

Shyam Persaud, 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 sayeth naught.

[Signature] CFO
Signature of Affiant & Title

Sworn and subscribed before me this 17th day of May, 2022
Month Year

James Joseph Messina
Signature of official administering oath

James Joseph Messina, Notary Public
Print Name and Title

My commission expires on August 13, 2024

James Joseph Messina
Notary Public
State of New York
01ME6267078
Qualified in Nassau County
Term expires 8/13/2024



Exhibit A-12

"Principal Officers, Directors & Partners"



Officers:

William Jordan, Managing Director

920 Railroad Avenue
Woodmere, NY 11598
bill.jordan@engie.com
Phone: 516-634-2163
Fax: 516-295-1417

Shyam Persaud, CFO

920 Railroad Avenue
Woodmere, NY 11598
shyam.persaud@engie.com
Phone: 516-634-2501
Fax: 516-295-1417

Andy Sookram, Controller

920 Railroad Avenue
Woodmere, NY 11598
andy.sookram@engie.com
Phone: 516-634-2154
Fax: 516-295-1417



Exhibit A-13

"Company History"



Company History

ENGIE Power & Gas, LLC, formerly, Plymouth Rock Energy, LLC, is a New York Corporation formed on September 2, 2004. Prior to its acquisition by ENGIE Resources on December 19, 2018, it was a privately held company. ENGIE Power & Gas, LLC is a wholly owned subsidiary of ENGIE Resources.

Services Provided

ENGIE Power & Gas LLC provides retail electric and natural gas services to customers. ENGIE Power & Gas LLC currently offers retail natural gas and electricity services in New York, New Jersey, Pennsylvania, Maryland, Illinois, and Ohio. ENGIE Power & Gas LLC is also licensed as a retail natural gas and electricity supplier in Michigan and as a retail electric supplier in Massachusetts.



Exhibit A-14
"Secretary of State"

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 PLYMOUTH ROCK ENERGY, LLC, a New York For Profit Limited Liability Company, Registration Number 2052957, filed on October 5, 2011, 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 19th day of October, A.D. 2017.*

A handwritten signature in cursive script that reads "Jon Husted".

Ohio Secretary of State

Validation Number: 201729200970

STATE OF NEW YORK DEPARTMENT OF PUBLIC SERVICE
THREE EMPIRE STATE PLAZA, ALBANY, NY 12223-1350
www.dps.state.ny.us

PUBLIC SERVICE COMMISSION

GARRY A. BROWN
Chairman
PATRICIA L. ACAMPORA
MAUREEN F. HARRIS
ROBERT E. CURRY JR.
JAMES L. LAROCCA
Commissioners



PETER McGOWAN
General Counsel
JACLYN A. BRILLING
Secretary

May 13, 2010

Mr. Adam Sokol
Plymouth Rock Energy, LLC
165 Remsen Street, Suite 200
Brooklyn, NY 11201

RE: Plymouth Rock Energy

Dear Mr. Sokol:

Thank you for submitting the recent updates to your ESCO Retail Access Application Package. This letter acknowledges your company's decision to include offering electric commodity service to residential and commercial customers in New York State. All updated documentation recently submitted has been reviewed by Staff and remains in compliance with the New York State ESCO eligibility requirements that are implemented by codes and regulations found in the Uniform Business Practices and other applicable regulations or Commission Orders. Therefore, Staff acknowledges that Plymouth Rock Energy, LLC has been deemed eligible to serve residential and non-residential electric and natural gas customers in New York State.

Please be advised that you should check with utilities to determine if they have additional approval requirements by contacting those companies in whose service territories you intend to serve or are now serving customers. Please note that each utility's eligibility requirements pertain only to their retail access programs.

Be advised that to maintain your ESCO eligibility, you must notify Staff of any substantive legal, financial or business related changes to your company as they occur. If your business plan changes and you decide to expand your service offerings by choosing to participate in any of the ESCO referral programs or move into other utility service territories, you must immediately submit the appropriate documentation for Staff review and determination of how it affects your current eligibility.

If you are using vendors to provide ESCO related services, (e.g., EDI), the ESCO remains fully responsible for any activities the vendors perform. If you have not already done so, or if you have changed vendors since last reporting them to us, please provide Staff a list with contact information for all vendors you are now using. Finally, you must

submit a statement annually, by January 31st, indicating that the information in your original or most recent updated Retail Access Application remains current, or submit a statement identifying the revisions. Upon completion of our review of any new eligibility information, Staff will then update your eligibility status as necessary.

Please do not hesitate to contact me if you have any further questions or concerns at 518-486-2432 or Christine_Bosy@dps.state.ny.us.

Sincerely,

Christine A. Bosy

Christine A. Bosy
Retail Access Section
Office of Consumer Policy

Cc: Via Email
Usher Fogel



Department of Public Service

Public Service Commission
John B. Howard
Interim Chair and
Interim Chief Executive Officer

Three Empire State Plaza, Albany, NY 12223-1350
www.dps.ny.gov

Diane X. Burman
James S. Alesi
Tracey A. Edwards
Commissioners

June 23, 2021

Michael Reiss
Engie Power & Gas LLC
920 Railroad Avenue
Woodmere, NY 11598
Mreiss@plymouthenergy.com

RE: Engie Power & Gas LLC - Annual Compliance 2021

Dear Michael Reiss:

Thank you for your recent submittal pursuant to Section 2.D.1 of the New York State Department of Public Service's Uniform Business Practices (UBP). This letter is to inform you that the documentation submitted has been reviewed by Staff and determined to be in compliance with the UBP.

Be advised that to maintain your ESCO eligibility, you must notify Staff of any contact changes, substantive legal, financial or business-related changes to your company as they occur. If your business plan changes and you decide to expand your service offerings, you must immediately submit the appropriate documentation for Staff review and determination of how it affects your current eligibility.

If you are using vendors to provide ESCO related services (e.g., EDI), the ESCO remains fully responsible for any activities the vendors perform. If you have not already done so, or if you have changed vendors since last reporting them to us, please provide Staff a list with contact information for all vendors that you are now using.

Please do not hesitate to contact me with any further questions or concerns at 518-486-2861 or john.sheevers@dps.ny.gov.

Sincerely,

A handwritten signature in black ink, appearing to read "John Sheevers".

John Sheevers
Office of Consumer Services



Phil Murphy
Governor

Sheila Oliver
Lt. Governor

STATE OF NEW JERSEY
Board of Public Utilities
44 South Clinton Avenue, 9th Floor
Post Office Box 350
Trenton, New Jersey 08625-0350
www.nj.gov/bpu/

Joseph L. Fiordaliso
President

Mary-Anna Holden
Commissioner

Dianne Solomon
Commissioner

Upendra Chivukula
Commissioner

Bob Gordon
Commissioner

March 24, 2021

Michael Reiss
Director of Compliance
ENGIE Power & Gas, LLC
338 Maitland Avenue
Teaneck, New Jersey 07666

Re: **Electric Power and Natural Gas Supplier Initial Licenses**
Docket Nos. EE21020489L and GE21020491L

Dear Mr. Reiss:

In accordance with the Electric Discount and Energy Competition Act of 1999, N.J.S.A. 48:3-49 et seq., at its March 24, 2021 Agenda meeting, the New Jersey Board of Public Utilities (the "Board") voted to issue the Electric Power Supplier and Natural Gas Supplier Licenses, numbers ESL-0250 and GSL-0220 to ENGIE Power & Gas, LLC f/k/a/ Plymouth Rock Energy LLC. Pursuant to signed bills S.604 and S.605 (2018) [P.L. 2019, c. 100-101], your licenses may be renewed without expiring so long as a license renewal fee accompanied by an annual information update form is submitted to the Board within 30 days prior to your annual **anniversary date of March 24**.

These licenses are effective March 24, 2021. These licenses and the rights thereunder are **Non-Transferable**.

This letter is not an endorsement of, nor is it intended for use in, the marketing promotions of the licensee. Licensees shall comply with all applicable laws and regulations, including the Electric Discount and Energy Competition Act, which prohibits the unauthorized change of a customer's energy provider and other fraudulent and illegal marketing activities.

If you have any questions, please contact Jehvson Espiritu at (609) 292-0744.

Sincerely,

Aida Camacho-Welch
Secretary of the Board

ACW/joe

PENNSYLVANIA PUBLIC UTILITY COMMISSION

IN THE MATTER OF THE APPLICATION OF: A-2011-2264916

EFFECTIVE DATE: October 16, 2020

Authorizing ENGIE Power & Gas LLC the right to begin to offer, render, furnish, or supply electric generation services as a supplier to residential, small commercial (25 kW and under demand), large commercial (over 25 kW demand), and industrial customers in the electric distribution company service territories of Duquesne Light Company, Metropolitan Edison Company, PECO Energy Company, Pennsylvania Electric Company, Pennsylvania Power Company, PPL Electric Utilities Corporation, and West Penn Power Company in the Commonwealth of Pennsylvania.

The Pennsylvania Public Utility Commission hereby certifies that after an investigation and/or hearing, it has, by its report and order made and entered, found and determined that the granting of the application is necessary or proper for the service, accommodation, convenience and safety of the public and hereby issues, evidencing the Commission's approval, to the applicant this:

LICENSE FOR ELECTRIC GENERATION SUPPLIER

In Witness Whereof, the PENNSYLVANIA PUBLIC UTILITY COMMISSION
has caused these presents to be signed and sealed, and duly attested by its Secretary
at its office in the city of Harrisburg this 16th day of October, 2020.


Secretary

PENNSYLVANIA PUBLIC UTILITY COMMISSION

IN THE MATTER OF THE APPLICATION OF: A-2013-2384046

Application of ENGIE Power & Gas LLC for the right to begin to offer, render, furnish, or supply natural gas services as a supplier to residential, small commercial (under 6,000 MCF annually), large commercial (6,000 MCF or more annually), industrial, and governmental customers in the natural gas distribution company service territories of Columbia Gas of Pennsylvania, Inc., National Fuel Gas Distribution Corporation, PECO Energy Company, Peoples Gas Company, LLC, Peoples Natural Gas Company, LLC, Philadelphia Gas Works, and UGI Utilities, Inc., within the Commonwealth of Pennsylvania.

EFFECTIVE DATE: September 2, 2020

The Pennsylvania Public Utility Commission hereby certifies that after an investigation and/or hearing, it has, by its report and order made and entered, found and determined that the granting of the application is necessary or proper for the service, accommodation, convenience and safety of the public and hereby issues, evidencing the Commission's approval, to the applicant this:

LICENSE FOR NATURAL GAS SUPPLIER.

In Witness Whereof, The PENNSYLVANIA PUBLIC UTILITY COMMISSION has caused these presents to be signed and sealed, and duly attested by its Secretary at its office in the city of Harrisburg this 2nd day, of September, 2020.



Secretary



**Public Utilities
Commission**

Jenifer French, Chair

Commissioners

M. Beth Trombold
Lawrence K. Friedeman
Dennis P. Deters
Daniel R. Conway

Competitive Retail Electric Service Provider Certificate

Certified Entity:
ENGIE Power & Gas LLC

920 Railroad Ave.
Woodmere, NY 11598

Certificate Number: **12-480E**

Effective Date: March 17, 2022

Expiration Date: March 17, 2024

Issued Pursuant to Case Number(s):

12-0666-EL-CRS

The above referenced entity is hereby certified to provide competitive retail electric **Power Broker;Power Marketer;Retail Electric Generation Provider** services within the State of Ohio.

The certification of competitive retail electric service providers is governed by Chapters 4901:1-24 and 4901:1-21 of the Ohio Administrative Code, and Section 4928.08 of the Ohio Revised Code. This Certificate is revocable if all of the conditions set forth in the aforementioned case(s) are not met.

The certified entity is subject to all rules and regulations of the Public Utilities Commission of Ohio now existing or hereafter promulgated.

Witness the seal of the Commission affixed at Columbus, Ohio.

Dated: 17 day of March, 2022.



By Order of
The Public Utilities Commission of Ohio

Tanowa M. Troupe, Secretary
Debbie Ryan, Acting Secretary
Donielle M. Hunter, Acting Secretary
Susan Patterson, Acting Secretary

**This foregoing document was electronically filed with the Public Utilities
Commission of Ohio Docketing Information System on
2/12/2022 4:45:43 PM**

in

Case No(s). 12-0666-EL-CRS

Summary: In the Matter of the Certificate of ENGIE Power & Gas LLC



**Public Utilities
Commission**

Sam Randazzo, Chairman

Commissioners

M. Beth Trombold
Lawrence K. Friedeman
Dennis P. Deters
Daniel R. Conway

Competitive Retail Natural Gas Service Provider or Governmental Aggregator Certificate

Certified Entity:

ENGIE Power & Gas LLC DBA
920 Railroad Ave.
Woodmere, NY 11598

Certificate Number: **12-256G**

Effective Date: July 08, 2020

Expiration Date: July 08, 2022

Issued Pursuant to Case Number(s):
12-1577-GA-CRS

The above-referenced entity is hereby certified to provide competitive retail natural gas Retail Natural Gas Aggregator; Retail Natural Gas Marketer services within the State of Ohio.

The certification of competitive retail natural gas service providers is governed by Chapters 4901:1-27, 4901:1-28, and 4901:1-29 of the Ohio Administrative Code, and Section 4929.20 of the Ohio Revised Code. This Certificate is revocable if all of the conditions set forth in the aforementioned case(s) are not met.

The certified entity is subject to all rules and regulations of the Public Utilities Commission of Ohio now existing or hereafter promulgated.

Witness the seal of the Commission affixed at Columbus, Ohio.

Dated: **08 day of July, 2020.**



By Order of
The Public Utilities Commission of Ohio

Tanowa M. Troupe, Secretary
Debbie Ryan, Acting Secretary
Donielle M. Hunter, Acting Secretary
Susan Patterson, Acting Secretary

This foregoing document was electronically filed with the Public Utilities

Commission of Ohio Docketing Information System on

7/28/2020 10:55:32 AM

in

Case No(s). 12-1577-GA-CRS

Summary: Certificate renewal certificate #12-256 electronically filed by Ms. Alla Magaziner - Tempesta on behalf of PUCO staff



PJM Interconnection
Valley Forge Corporate Center
955 Jefferson Avenue
Norristown, PA 19403-2497

Audrey D. Williams
Paralegal, Contract Administrator
610.666.4651 | fax 610.666.8211
willia@pjm.com

January 9, 2012

VIA EMAIL

Mr. Adam Sokol
Plymouth Rock Energy, LLC
1074 Broadway
Woodmere, NY 11598

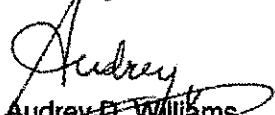
Dear Mr. Sokol,

Plymouth Rock Energy, LLC became a PJM Member on March 4, 2011, and is known on the PJM system by its short name of "PLYMRE", Org. ID 17,961.

Plymouth Rock Energy, LLC signed the PJM Reliability Assurance Agreement on June 29, 2010.

Should you require anything further, please advise.

Sincerely,


Audrey D. Williams
Paralegal / Contract Administrator

SCHEDULE 4

STANDARD FORM OF AGREEMENT TO BECOME A MEMBER OF THE LLC

Any entity which wishes to become a Member of the LLC shall, pursuant to Section 11.6 of this Agreement, tender to the President an application, upon the acceptance of which it shall execute a supplement to this Agreement in the following form:

Additional Member Agreement

1. This Additional Member Agreement (the "Supplemental Agreement"), dated as of March 4, 2011, is entered into among Plymouth Rock Energy, LLC ("Plymouth") and the President of the LLC acting on behalf of its Members.

2. Plymouth has demonstrated that it meets all of the qualifications required of a Member to the Operating Agreement. If expansion of the PJM Region is required to integrate Plymouth's facilities, a copy of Attachment J from the PJM Tariff marked to show changes in the PJM Region boundaries is attached hereto. Plymouth agrees to pay for all required metering, telemetering and hardware and software appropriate for it to become a member.

3. Plymouth agrees to be bound by and accepts all the terms of the Operating Agreement as of the above date.

4. Plymouth hereby gives notice that the name and address of its initial representative to the Members Committee under the Operating Agreement shall be:

5. The President of the LLC is authorized under the Operating Agreement to execute this Supplemental Agreement on behalf of the Members.

6. The Operating Agreement is hereby amended to include Plymouth as a Member of the LLC thereto, effective as of March 4, 2011, the date the President of the LLC countersigned this Agreement.

IN WITNESS WHEREOF, Plymouth and the Members of the LLC have caused this Supplemental Agreement to be executed by their duly authorized representatives.

Members of the LLC

By: Terry Boston
Name: Terry Boston
Title: President
By: Plymouth Rock Energy, LLC
Name: Alan Sokol
Title: V.P.

Issued By: Craig Glazer
Vice President, Government Policy
Issued On: April 30, 2004

Effective: May 1, 2004

COMMISSIONERS

DOUGLAS R. M. NAZARIAN
CHAIRMAN

HAROLD D. WILLIAMS
LAWRENCE BRENNER
KELLY SPEAKES-BACKMAN
W. KEVIN HUGHES

STATE OF MARYLAND



PUBLIC SERVICE COMMISSION

#11, 4/11/12 AM; ML#s 135973, 137600 and 137706
License Reference No.: IR-2518

April 11, 2012

Erika Schmitt
Customized Energy Solutions
1528 Walnut Street, 22nd Floor
Philadelphia, PA 19102

Dear Ms. Schmitt:

On December 12, 2011, Plymouth Rock Energy, LLC ("Plymouth") filed an Application for a license to supply electricity or electric generation services in Maryland under COMAR 20.51. Additional information was filed on March 9, 2012, March 15, 2012 and March 29, 2012. The Company proposes to provide electricity supplier services in Maryland for residential, commercial and industrial customers as described in the application.

After considering this matter at the April 11, 2012 Administrative Meeting, the Commission granted Plymouth a license to supply electricity or electric generation services in Maryland in accordance with its Application (License Reference Number IR-2518). The license granted by the Commission under this Letter Order is limited solely to electricity supplier and broker services to residential, commercial and industrial customers. Additionally, Plymouth is directed to file marketing and training materials specific to its Maryland operations, consistent with Staff's recommended edits, when materials become available.

Finally, Plymouth is reminded that it is under a continuing obligation to notify the Commission within 30 days of any changes to the information upon which the Commission relied in granting this license. A copy of the supplemental or updated information is required to be filed concurrently with the Office of People's Counsel.

By Direction of the Commission,

A handwritten signature in black ink, appearing to read "David J. Collins".

David J. Collins
Executive Secretary

DJC/st

c: Phil VanderHeyden, Electricity Division

WILLIAM DONALD SCHAEFER TOWER • 6 ST. PAUL STREET • BALTIMORE, MARYLAND 21202-6806

410-767-8000

Toll Free: 1-800-492-0474

FAX: 410-333-6495

MDRS: 1-800-735-2258 (TTY/Voice)

Website: www.psc.state.md.us/psc/

COMMISSIONERS

DOUGLAS R. M. NAZARIAN
CHAIRMAN

HAROLD D. WILLIAMS
LAWRENCE BRENNER
KELLY SPEAKES-BACKMAN
W. KEVIN HUGHES

STATE OF MARYLAND



PUBLIC SERVICE COMMISSION

#31, 8/1/12 AM; ML#s 139409 and 141287
License Ref. No.: IR-2705

August 1, 2012

Erika Schmitt
Compliance Analyst
Plymouth Rock Energy, LLC
1528 Walnut Street, 22nd Floor
Philadelphia, PA 19102

Dear Ms. Schmitt:

On May 18, 2012 Plymouth Rock Energy, LLC ("Company") filed an Application for a license to supply natural gas or natural gas supply services in Maryland under COMAR 20.54. Additional information was filed on July 13, 2012. The Company proposes to provide natural gas supplier services in Maryland for residential, commercial and industrial customers.

After considering this matter at the August 1, 2012 Administrative Meeting, the Commission granted the Company a license to supply natural gas or natural gas supplier services in Maryland in accordance with its application (License Reference Number IR-2705). The license granted by the Commission under this Letter Order is limited solely to natural gas services to residential, commercial and industrial customers. Additionally, the Company is directed to amend its marketing material to include natural gas and to submit the material to the Commission for review.

Finally, the Company is reminded that it is under a continuing obligation to notify the Commission within 30 days of any changes to the information upon which the Commission relied in granting this license. A copy of the supplemental or updated information is required to be filed concurrently with the Office of People's Counsel.

By Direction of the Commission

A handwritten signature in black ink, appearing to read "David J. Collins".

David J. Collins
Executive Secretary

DJC/st
cc: Merwin Sands, Gas Division

WILLIAM DONALD SCHAEFER TOWER • 6 ST. PAUL STREET • BALTIMORE, MARYLAND 21202-6806

410-767-8000

Toll Free: 1-800-492-0474

FAX: 410-333-6495

MDRS: 1-800-735-2258 (TTY/Voice)

Website: www.psc.state.md.us/pse/

STATE OF ILLINOIS

ILLINOIS COMMERCE COMMISSION

Plymouth Rock Energy, LLC	:	
	:	
Application for Certificate of	:	12-0252
Service Authority under Section	:	
16-115 of the Public Utilities Act.	:	

ORDER

By the Commission:

I. INTRODUCTION

On March 30, 2012, Plymouth Rock Energy, LLC ("Applicant") filed a verified application with the Illinois Commerce Commission ("Commission") requesting a Certificate of Service Authority authorizing it to operate as an alternative retail electric supplier ("ARES") in Illinois pursuant to Section 16-115 of the Public Utilities Act ("Act"), 220 ILCS 5/1-101 et seq., and 83 Ill. Adm. Code 451, "Certification of Alternative Retail Electric Suppliers," ("Part 451"). Applicant submitted its certificate of publication showing that on April 3, 2012, notice of the application was published in the official State newspaper. The Administrative Law Judge requested additional information and clarification of certain matters contained in the application. Applicant filed a verified response on April 13, 2012.

II. BACKGROUND AND AUTHORITY SOUGHT BY APPLICANT

Applicant is a New York limited liability company not affiliated with an Illinois utility. Applicant does not currently possess any authority under the Act. Applicant seeks authority to offer the sale of electricity and power to all eligible residential and nonresidential retail customers in the service territory of Commonwealth Edison Company ("ComEd") pursuant to Subpart D of Part 451. Applicant currently supplies electricity in the competitive retail markets of New Jersey, New York, Ohio, and Pennsylvania and gas in the competitive retail markets in New Jersey and New York. Applicant also currently has alternative electric supplier license applications pending in Connecticut and Maryland.

III. GENERAL REQUIREMENTS UNDER THE ACT

Applicant does not intend to install, operate, or maintain generation, transmission, or distribution facilities within Illinois. Therefore, no demonstration of compliance with the requirements of Section 451.20(d)(2) has been made. Applicant's employees are not permitted to perform such functions, nor are others permitted to perform such functions pursuant to contractual arrangements with Applicant.

Applicant has certified that it will comply with all applicable regulations; that it will provide service only to retail customers eligible to take such services; that it will comply with informational and reporting requirements established by Commission rule; that it will comply with informational and reporting requirements pursuant to Section 16-112 of the Act; and that it will comply with all other applicable laws, regulations, terms, and conditions required to the extent they have application to the services being offered by an ARES. Additionally, Applicant has agreed to submit good faith schedules of transmission and energy in accordance with applicable tariffs. Applicant has agreed to adopt and follow rules relating to customer authorizations, billing records, and retail electric services and agrees to retain requests for delivery services transmitted to utilities for a period of not less than two calendar years after the calendar year in which they are created. Applicant has agreed to adopt and follow rules and procedures to preserve the confidentiality of its customers' data.

Applicant agrees to procure renewable energy resources as required by subsection (d) of Section 16-115 and Section 16-115D of the Act. Applicant also certifies that it will source electricity from clean coal facilities as required by Section 16-115(d)(5) of the Act.

Pursuant to the requirements of Subpart D of Part 451, Applicant certifies that any marketing materials that make statements concerning prices, terms, and conditions of service shall contain information that adequately discloses the prices, terms, and conditions of the products or services that it is offering or selling to the customer. Applicant also certifies that before any customer is switched from another supplier, it shall give the customer written information that adequately discloses, in plain language, the prices, terms, and conditions of the products and services being offered and sold to the customer. Applicant further certifies that it will provide documentation to the Commission and to customers that substantiates any claims made regarding the technologies and fuel types used to generate the electricity offered or sold to customers. Applicant commits to provide to its customers itemized billing statements that describe the products and services provided to the customer and their prices; and an additional statement, at least annually, that adequately discloses the average monthly prices, and the terms and conditions, of the products and services sold to the customer.

Applicant certifies that it will include materials comprising the consumer education program pursuant to Section 16-117 of the Act with all initial mailings to potential residential and small commercial retail customers and before executing any agreements or contracts with such customers. Applicant certifies that it will provide consumer education program materials pursuant to Section 16-117 of the Act at no charge to residential and small commercial retail customers upon request. Applicant certifies that it will provide to residential and small commercial retail customers on a semi-annual basis information on how to obtain a list of ARES that have been found in the last three years by the Commission to have failed to provide service in accordance with the terms of their contracts pursuant to Section 16-117(g)(4)(C) of the Act.

Applicant states that it has not been denied an electric supplier license in any state. Nor, Applicant continues, has it had an electric supplier license suspended or revoked by any state. Applicant states that it is not the subject of any lawsuits in a court of law or formal complaints filed with a regulatory agency alleging fraud, deception, unfair marketing practices, or similar allegations. In Attachment E to the application, however, Applicant lists 24 informal complaints concerning gas and/or electric service spanning the period of February 1, 2011 through February 13, 2012. Thirteen of the complaints arose in New York. The remainder arose in New Jersey. In each instance, Applicant reports that each informal complaint was settled with the customer. In response to the Administrative Law Judge ruling, Applicant provided a copy of its complaint resolution procedures.

IV. FINANCIAL, TECHNICAL, AND MANAGERIAL REQUIREMENTS OF SECTION 16-115

Applicant asserts that it meets the financial qualifications set forth in Section 16-115(d)(1). Specifically, Applicant states that it meets the requirements of Section 451.320(a)(3) in that it is a member of PJM Interconnection ("PJM"), as demonstrated in Attachment C to the application. Applicant certifies therein that it will purchase 100% of its physical electric energy from PJM for delivery to the ComEd service territory.

Applicant represents that it meets the technical and managerial qualifications set forth in Section 16-115(d)(1) of the Act and Sections 451.330 and 451.340 of Part 451. In Attachment E to the application and in the April 13, 2012 response to the Administrative Law Judge ruling, Applicant identified the personnel who satisfy the criteria and provided biographical information for these individuals. Overall, the record reflects that Applicant has demonstrated that its resources and abilities match the services that it intends to provide to its customers. Applicant states that it will not rely on contractors to meet the technical and managerial requirements of Sections 451.330 and 451.340. Applicant provided a telephone number and facsimile number where its staff can be directly reached at all times.

Pursuant to the requirements of Section 451.50 of Part 451, Applicant provided a License or Permit Bond in the amount of \$300,000 issued by a qualifying surety authorized to transact business in Illinois. Attachment F to the application is a copy of the required License or Permit Bond.

V. COMMISSION CONCLUSION AND CERTIFICATE OF SERVICE AUTHORITY

The Commission has reviewed the application, attachments thereto, and the responses to the rulings provided by Applicant regarding the technical, financial, and managerial requirements and all other requirements of the Act and Part 451 and finds that the Applicant sufficiently demonstrates compliance with the requirements. Although Applicant has received some informal complaints from New Jersey and New York customers, the unverified nature of the complaints and the apparent satisfactory

resolution of the complaints lead the Commission to conclude that the informal complaints are not sufficient reason to deny Applicant the requested certificate. The Commission determines, therefore, that Applicant's request for a Certificate of Service Authority to operate as an ARES in Illinois should be granted and should include the following authority:

CERTIFICATE OF SERVICE AUTHORITY

IT IS CERTIFIED that Plymouth Rock Energy, LLC is granted service authority to operate as an Alternative Retail Electric Supplier as follows:

SERVICES TO BE PROVIDED: The sale of electricity and power.

CUSTOMERS TO BE SERVED: All eligible residential and nonresidential customers.

GEOGRAPHIC REGION TO BE SERVED: The service area of Commonwealth Edison Company.

VI. FINDINGS AND ORDERING PARAGRAPHS

The Commission, having reviewed the entire record, is of the opinion and finds that:

- (1) Applicant, a business organized under the laws of New York, seeks a Certificate of Service Authority to operate as an ARES under Section 16-115 of the Act;
- (2) the Commission has jurisdiction over the party hereto and the subject matter hereof;
- (3) the recitals of fact and conclusions reached in the prefatory portion of this Order are supported by the record and are hereby adopted as findings of fact, as required by Section 16-115(d)(1) of the Act;
- (4) Applicant has demonstrated that it possesses sufficient financial, managerial, and technical resources and abilities to provide power and energy to all eligible residential and nonresidential retail customers throughout the service area of ComEd;
- (5) Applicant has complied with Section 16-115(d)(1) through (5) and (8) of the Act and 83 Ill. Adm. Code 451; and
- (6) Applicant should be granted a Certificate of Service Authority authorizing it to operate as an ARES as specified in Section V of this Order.

IT IS THEREFORE ORDERED by the Illinois Commerce Commission that Plymouth Rock Energy, LLC is hereby granted the Certificate of Service Authority set forth in Section V of this Order.

IT IS FURTHER ORDERED that Plymouth Rock Energy, LLC shall comply with all applicable Commission rules and orders now and as hereafter amended.

IT IS FURTHER ORDERED that the Illinois Commerce Commission retains jurisdiction over Plymouth Rock Energy, LLC and of the subject matter hereof for the purpose of issuing such further orders as the Commission may deem necessary.

IT IS FURTHER ORDERED that, subject to the provisions of Section 10-113 of the Public Utilities Act and 83 Ill. Adm. Code 200.880, this Order is final; it is not subject to the Administrative Review Law.

By order of the Commission this 2nd day of May, 2012.

(SIGNED) DOUGLAS P. SCOTT

Chairman

MARKET PARTICIPANT AGREEMENT

for

PLYMOUTH ROCK ENERGY, LLC

MISO MPA Designation No.: MPA.PLY

ATTACHMENT W

FORM OF MARKET PARTICIPANT AGREEMENT

- 1.0 This Market Participant Agreement ("MP Agreement"), dated as of September 3, 2013, is entered into, by and between the Midwest Independent Transmission System Operator, Inc., ("Transmission Provider") and Plymouth Rock Energy, LLC ("Market Participant").
- 2.0 The Market Participant has been determined by the Transmission Provider to be a Market Participant as defined in the Tariff.
- 3.0 The Market Participant agrees to supply the Transmission Provider with any and all information the Transmission Provider deems reasonably necessary in accordance with Good Utility Practice.
- 4.0 The Transmission Provider agrees to provide services to the Market Participant upon a request by an authorized representative of the Market Participant. The Market Participant agrees to take and pay for the requested services in accordance with the provisions of the Tariff and this MP Agreement.

- 5.0 Market Participant status under the Tariff shall commence upon execution of this MP Agreement by the Transmission Provider. Service(s) under the Tariff shall commence at the time of the requested service(s) commencement date.
- 6.0 This MP Agreement shall terminate on such date as mutually agreed upon by the Parties.
- 7.0 The Market Participant shall provide written notification of any unexpected material adverse changes in circumstances that may affect the Market Participant's status as a Market Participant, within twenty-four (24) hours of having learned of the change.

- 8.0 The Market Participant shall notify the Transmission Provider in writing of any material adverse change in circumstances that the Market Participant learns of or intends to implement and may affect its status at least seventy-two (72) hours prior to the change.
- 9.0 Any notice or request made to either of the parties to this MP Agreement shall be made to the following representatives:

	<u>Transmission Provider</u>	<u>Market Participant</u>
Title:	Contract Administrator	<u>Plymouth Rock Energy, LLC</u>
Address:	701 City Center Drive Carmel, IN 46032	<u>1074 Broadway</u> <u>Woodmere, NY 11598</u>

10.0 The Tariff, in its entirety, is incorporated herein and made a part hereof.

IN WITNESS WHEREOF, the parties have caused this MP Agreement to be executed by their respective authorized officials.

Transmission Provider

By: Kimberly Sperry
Name: Kimberly Sperry
Title: Director
Date: 12/3/2013

Market Participant

By: Shawn
Name: Shawn
Title: VP - Finance
Date: 9/3/2015



Michael Lynch, Chair
NEPOOL Membership Subcommittee

October 18, 2011

Mr. Adam Sokol
President
Plymouth Rock Energy, LLC
1074 Broadway
Woodmere, NY 11598
c/o eschmidt@ces-ltd.com

Re: Application for NEPOOL Membership

Dear Mr. Sokol:

The request of Plymouth Rock Energy, LLC ("Plymouth Rock") to become a Participant¹ in the New England Power Pool ("NEPOOL") was approved by the NEPOOL Participants Committee Membership Subcommittee at its October 17 11 meeting, subject to the applicable understandings, including those which are reflected in the attachment to this letter.

Please confirm Plymouth Rock's acceptance of NEPOOL's Standard Membership Conditions, Waivers and Reminders by signing a copy of this letter and returning it, *along with a copy of the Standard Membership Conditions, Waivers and Reminders*, to:

Audra Perry
New England Membership Application Coordinator
c/o ISO New England Inc.
One Sullivan Road
Holyoke, MA 01040-2841
Fax: 413-540-4680
E-mail: aperry@iso-ne.com

I understand that Plymouth Rock intends to operate in New England as a broker and a load aggregator. Your signature will also serve to confirm that understanding.

I have been instructed to remind Plymouth Rock of the following obligations which are common to all NEPOOL Participants that operate as brokers or load aggregators:

- (1) each Participant is obligated to provide NEPOOL or the ISO the information that NEPOOL or the ISO determines is required in order to administer and implement the Second Restated NEPOOL Agreement, the Participants Agreement, the Tariff, and these conditions and waivers;

¹ Capitalized terms used but not defined in this letter are intended to have the meanings given to such terms in the Second Restated New England Power Pool Agreement ("Restated NEPOOL Agreement"), the Participants Agreement, or the ISO New England Inc. Transmission, Markets and Services Tariff ("ISO Tariff").

- (2) each Participant is obligated to conform to any future changes in NEPOOL requirements;
- (3) each Participant is obligated to comply with all governmental, regulatory or other legal requirements which must be satisfied as a condition to its participation in NEPOOL or the New England Markets, or which may be otherwise applicable to such participation;
- (4) each Participant is obligated to pay an allocated portion of certain NEPOOL and ISO costs in accordance with the Second Restated NEPOOL Agreement, the Participants Agreement, and the Tariff;
- (5) each Participant is obligated to pay its monthly share of Participant Expenses by the payment date as specified in the Billing Policy (or any successor rule or procedure), which is currently the third Business Day after the issuance of the first weekly statement issued after the tenth of a calendar month (the Monthly Statement due date) but may be subject to change. If a Participant is delinquent two or more times within any period of 12 months in paying on time its share of Participant Expenses or other Hourly or Non-Hourly Charges, such Participant shall pay, in addition to interest on each late payment, a late payment charge for its second failure to pay on time, and for each subsequent failure to pay on time within the same 12-month period (a "Late Payment Charge") in an amount equal to the greater of (i) two percent (2%) of the total amount of such late payment or (ii) \$1,000;
- (6) each Participant is obligated to meet the requirements specified in the Billing Policy on file with the FERC as it may be amended from time to time (Participants are encouraged to regularly review the Billing Policy for any changes to the billing and payment dates or procedures; the far-reaching consequences of the failure to pay all or any part of an amount due when and as due are set forth in the Billing Policy);
- (7) each Participant is obligated to meet the requirements specified in the Financial Assurance Policies on file with the FERC as they may be amended from time to time;
- (8) each Participant is required to submit information to the ISO from time to time, as is necessary to enable the ISO to meet its obligations, concerning any entity owned 10% or more by the Participant or any entity which owns 10% or more of the Participant, including upon a change in ownership or control of the Participant any such entity;
- (9) each Participant, except a Governance Only Member, has the obligation to assure for each transaction that it has identified transmission facilities required to accomplish such transaction and has made appropriate arrangements with the ISO or the owners of such transmission facilities, as appropriate, for use of such facilities;
- (10) each Participant is obligated to provide NEPOOL or the ISO the information that NEPOOL or the ISO determines is required in order to administer and implement the Second Restated NEPOOL Agreement, the Participants Agreement, the Tariff and any other agreement that NEPOOL or the ISO administers and, except a Governance Only Member, to verify that satisfactory transmission arrangements have been made for each transaction;

- (11) for brokered transactions, a Participant while acting, now or in the future, as a broker would not be considered either the purchaser or the seller;
- (12) each Participant is obligated to conform to standards established by the ISO or any duly authorized NEPOOL committee to assure reliable operation of the New England Control Area, including, without limitation, the obligation to have the ability to subject its load to load shedding as required by the ISO; and
- (13) no Participant may use its rights under the Second Restated NEPOOL Agreement, Tariff or the System Rules to avoid the application of any stranded cost policy, or to avoid or reduce the payment of any applicable stranded costs or access charges related to such stranded cost policy that has been approved by Federal regulators or regulators in any New England state in which that Participant is purchasing or selling electric energy and/or capacity for resale at wholesale or to retail customers.

Upon receipt of this countersigned letter, NEPOOL expects to make the necessary filings with the Federal Energy Regulatory Commission in order for Plymouth Rock's application to become effective.

Very truly yours,



Michael J. Lynch
Chair, Membership Subcommittee
of the NEPOOL Participants Committee

Accepted and approved:

Plymouth Rock Energy, LLC

By: X

Name: Adam S. S. S.
Its: member

Dated: 10/19/2011

Enclosure

STATE OF MICHIGAN
BEFORE THE MICHIGAN PUBLIC SERVICE COMMISSION

* * * * *

In the matter of the application of)	
PLYMOUTH ROCK ENERGY, LLC,)	Case No. U-17491
for a license as an alternative gas supplier.)	
<hr/>)	

At the January 23, 2014 meeting of the Michigan Public Service Commission in Lansing,
Michigan.

PRESENT: Hon. John D. Quackenbush, Chairman
Hon. Greg R. White, Commissioner
Hon. Sally A. Talberg, Commissioner

ORDER GRANTING LICENSE

On October 10, 2013, Plymouth Rock Energy, LLC (PRE) applied for a license to operate as an alternative gas supplier (AGS) within Michigan pursuant to 2002 PA 634, MCL 460.9 *et seq.* (Act 634). As part of its application, PRE provided information to demonstrate compliance with the AGS license requirements under Act 634 and under the Commission's March 12, 2003 order in Case No. U-13694 (March 12 order). That order established the AGS licensing procedure.

Act 634 requires an AGS to have the necessary financial, managerial, and technical capabilities to serve customers within the state of Michigan. The act also requires an AGS to maintain an office within the state. Under the March 12 order, the Commission Staff (Staff) must review the application of the AGS for conformance with the act and with the Commission's orders. The Staff then must recommend appropriate action regarding that application to the

Commission. The Staff has reviewed PRE's license application and the information submitted and recommends that the company be granted a license to operate as an AGS in Michigan.

The application shows that PRE is a privately held limited liability company and has its headquarters at 1074 Broadway, Woodmere, NY. PRE was organized in New York on September 2, 2004 and registered with the Michigan Corporations Division on October 23, 2012, ID Number D9201J.

PRE is a wholly owned subsidiary of Plymouth Rock Energy Parent Holding, LLC, which is partially owned by MVC Private Equity Fund, LP. PRE is a licensed competitive retail gas supplier in New York, New Jersey, Maryland, Ohio and, recently, Pennsylvania. PRE is also licensed to provide retail electric service in New York, New Jersey, Pennsylvania, Maryland, Ohio, Illinois and Connecticut (currently inactive). PRE serves approximately 46,000 total retail electric and natural gas customers throughout these jurisdictions.

The Staff reviewed PRE's personnel descriptions and histories and observes that its key personnel have over 50 combined years of experience in the energy industry, from risk management, buying and selling of natural gas and power, scheduling, load forecasting, compliance and regulatory to many other aspects associated with the day to day management and growth of the natural gas and electricity sectors. PRE answers customer inquiries and complaints during regular business hours through its in-house customer care center and has a 24-hour answering service in place for after hours and holidays. Staff has determined that PRE is well qualified with sufficient experience and expertise to serve customers in Michigan's Gas Customer Choice Program.

Based upon the information provided by PRE and the recommendation of the Staff, the Commission finds that PRE possesses the appropriate managerial and technical capabilities to serve customers within the state of Michigan.

PRE has provided the Staff with a surety bond in the amount of \$100,000. Based on its review of the confidential financial documents and the satisfied bond requirement, the Staff determined that PRE's financial capabilities and availability meet Act 634 requirements. The Commission agrees.

Act 634 requires PRE to maintain an office within the state of Michigan. On December 6, 2013, PRE filed a letter in the docket amending the Michigan office address submitted in the original application filing. PRE's Michigan office is located at 25900 Greenfield Road, Suite 245, Royal Oak, MI 48237. The Staff determined that PRE has met the office requirements for licensing. The Commission agrees.

Based upon the submissions and all of the information provided, the Commission finds that PRE's request to be licensed as an AGS is reasonable and in the public interest, and that it should be approved. However, the grant of the license is conditioned upon compliance with all of the applicable provisions of Act 634, the Commission's orders and administrative rules, and each of the delivering natural gas utilities' tariffs. Failure to comply with any of these provisions may result in revocation of the license or other penalties.

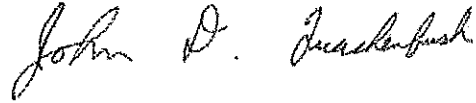
THEREFORE, IT IS ORDERED that:

- A. Plymouth Rock Energy, LLC, is granted a license as an alternative gas supplier.
- B. Plymouth Rock Energy, LLC, shall comply with the regulatory requirements specified in 2002 PA 634, MCL 460.9 *et seq.*; the Commission's orders and administrative rules approved by the Commission; and each of the delivering natural gas utilities' tariffs.

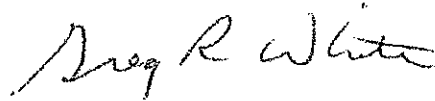
The Commission reserves jurisdiction and may issue further orders as necessary.

Any party desiring to appeal this order must do so in the appropriate court within 30 days after issuance and notice of this order, pursuant to MCL 462.26.

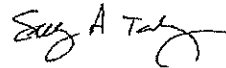
MICHIGAN PUBLIC SERVICE COMMISSION



John D. Quackenbush, Chairman

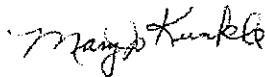


Greg R. White, Commissioner



Sally A. Talberg, Commissioner

By its action of January 23, 2014.



Mary Jo Kunkle, Executive Secretary

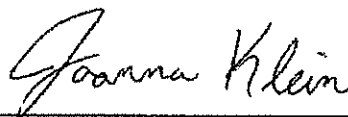
PROOF OF SERVICE

STATE OF MICHIGAN)

Case No. U-17491

County of Ingham)

Joanna Klein being duly sworn, deposes and says that on January 23, 2014 A.D. she served a copy of the attached Commission order by first class mail, postage prepaid, or by inter-departmental mail, to the persons as shown on the attached service list.



Joanna Klein

Subscribed and sworn to before me
This 23rd day of January 2014

Gloria Pearl Jones
Notary Public, Ingham County, MI
My Commission Expires June 5, 2016
Acting in Eaton County

STATE OF MICHIGAN
BEFORE THE MICHIGAN PUBLIC SERVICE COMMISSION

* * * * *

In the matter of the application of)
PLYMOUTH ROCK ENERGY, LLC,)
for a license as an alternative electric supplier.)

Case No. U-17492

_____)
In the matter, on the Commission's own motion,)
regarding the regulatory reviews, determinations,)
and/or approvals necessary for **PLYMOUTH ROCK**)
ENERGY, LLC, to fully comply with Public Act 295)
of 2008.)
_____)

Case No. U-17549

At the January 23, 2014 meeting of the Michigan Public Service Commission in Lansing,
Michigan.

PRESENT: Hon. John D. Quackenbush, Chairman
Hon. Greg R. White, Commissioner
Hon. Sally A. Talberg, Commissioner

ORDER

On October 10, 2013, Plymouth Rock Energy, LLC, (PRE) submitted an application pursuant to the "Customer Choice and Electricity Reliability Act," 2000 PA 141, MCL 460.10 *et seq.* (Act 141), for a license as an alternative electric supplier (AES). An AES is a person selling electric generation service to retail customers in this state, other than a person who physically delivers electricity directly to retail customers. MCL 460.10g(a). With its application, PRE submitted information designed to show its compliance with the statutory requirements for an AES.

Act 141 requires the Commission to ensure that AESs have the necessary financial capability, possess technical competence to engage in energy transactions, are capable of meeting safety requirements for electric operations, and comply with all other lawful obligations. Additionally, the June 19, 2000 Commission order in Case No. U-11915 requires AESs to maintain an office within Michigan.

On October 6, 2008, Public Act 295 of 2008, MCL 460.1001 *et seq.*, the “Clean, Renewable, and Efficient Energy Act,” was signed into law (Act 295). The Commission issued an order in Case No. U-15800 on December 4, 2008, which provides requirements for implementing Act 295. Among other things, Act 295 requires all providers of electric service in this state, including AESs, to establish renewable energy programs.

Act 295 also requires the Commission to establish a statewide net metering program. Pursuant to Section 173(1) of Act 295, the Commission promulgated rules entitled “Electric Interconnection and Net Metering Standards,” which were effective May 27, 2009. AESs are required to comply with the net metering requirements of Act 295 and the Commission’s rules.

The Commission Staff (Staff) is responsible for review of the application and for making a recommendation regarding a license. The Staff reviewed the information submitted by PRE and recommends that the Commission grant PRE a license to operate as an AES in Michigan.

PRE is a wholly owned subsidiary of Plymouth Rock Energy Parent Holding, LLC, which in turn, is partially owned by MVC Private Equity Fund, LP. PRE is a privately held limited liability company and has its headquarters at 1074 Broadway, Woodmere, NY. PRE was organized in New York on September 2, 2004 and registered with the Michigan Corporations Division on October 23, 2012, ID Number D9201J.

PRE is a licensed competitive retail electric supplier in New York, New Jersey, Pennsylvania, Maryland, Ohio, Illinois and Connecticut (currently inactive). Additionally, PRE is licensed as a natural gas supplier in New York, New Jersey, Maryland, Ohio and, recently, Pennsylvania. PRE serves approximately 46,000 total retail electric and natural gas customers throughout these jurisdictions.

After reviewing PRE's personnel descriptions and histories, the Staff determined that PRE has sufficient experience and expertise to manage risk and to reliably supply electricity in Michigan's electric choice market. Based on the information provided, and the recommendation of the Staff, the Commission finds that PRE possesses the appropriate managerial and technical capabilities to serve customers within the state of Michigan.

The Staff reviewed PRE's audited financial statements for the last two years. PRE also provided the Staff with a surety bond in the amount of \$100,000. Based upon its review of the financial statements and the bond, the Staff determined that PRE's financial capabilities meet the Act 141 requirements. The Commission agrees.

The Commission requires AESs to maintain an office in Michigan. On December 6, 2013, PRE filed a letter in the docket amending the Michigan office address submitted in the original application filing. PRE's Michigan office is located at 25900 Greenfield Road, Suite 245, Royal Oak, MI 48237. The Staff determined that PRE has complied with the Michigan office requirements. The Commission agrees.

After review of PRE's application, the Commission finds that approval of the application is in the public interest. On numerous occasions, the Commission has found that competition can be advantageous to the citizens of the state. Approval of the request for a license as an AES will expand the opportunities for competition. Accordingly, the application should be approved. The

grant of an AES license is conditioned on compliance with all applicable provisions of the statute and the Commission's orders. Failure to comply fully may result in revocation of the license or other penalties. Further, the grant of a license is conditioned upon the provision of service to customers within a reasonable time. Failure to do so may result in revocation of the license.

The Commission also finds that, as a licensed AES in Michigan, PRE is required by Act 295 to file a renewable energy plan (REP) with the Commission. However, the Commission notes that the original deadline set by Act 295 and the order in Case No. U-15800 for filing a REP has passed. Therefore, in consideration of the fact that PRE's AES license was granted, the Commission has opened a separate docket for PRE's REP, which shall be filed in Case No. U-17549 by June 30, 2014.


THEREFORE, IT IS ORDERED that:

- A. Plymouth Rock Energy, LLC, is granted a license as an alternative electric supplier.
- B. Plymouth Rock Energy, LLC, shall operate as an alternative electric supplier in compliance with the regulatory requirements specified in the "Customer Choice and Electricity Reliability Act," MCL 460.10 *et seq.*, and the Commission's orders.
- C. Plymouth Rock Energy, LLC, is required to comply with the net metering requirements of Act 295 of 2008 and the Commission's rules.
- D. Plymouth Rock Energy, LLC, shall file its initial renewable energy plan in Case No. U-17549 by June 30, 2014.

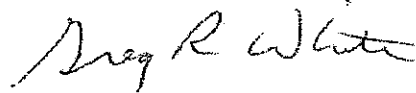
The Commission reserves jurisdiction and may issue further orders as necessary.

Any party desiring to appeal this order must do so in the appropriate court within 30 days after issuance and notice of this order, pursuant to MCL 462.26.

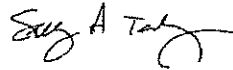
MICHIGAN PUBLIC SERVICE COMMISSION



John D. Quackenbush, Chairman

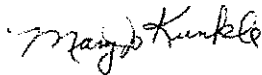


Greg R. White, Commissioner



Sally A. Talberg, Commissioner

By its action of January 23, 2014.



Mary Jo Kunkle, Executive Secretary

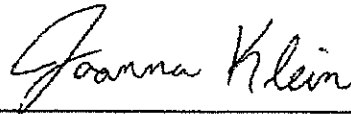
PROOF OF SERVICE

STATE OF MICHIGAN)

Case No. U-17492

County of Ingham)

Joanna Klein being duly sworn, deposes and says that on January 23, 2014 A.D. she served a copy of the attached Commission order by first class mail, postage prepaid, or by inter-departmental mail, to the persons as shown on the attached service list.



Joanna Klein

Subscribed and sworn to before me
This 23rd day of January 2014

Gloria Pearl Jones
Notary Public, Ingham County, MI
My Commission Expires June 5, 2016
Acting in Eaton County



Exhibit B-2

Experience and Plans

ENGIE Power & Gas LLC maintains a 24-hour customer help line with trained staff that can assist all customer inquiries. ENGIE Power & Gas LLC currently serves natural gas customers in New York, New Jersey, Pennsylvania, Maryland, Ohio, and Illinois. ENGIE Power & Gas LLC has established billing, customer care procedures, and customer contracts in place—and included in this attachment for reference.

ENGIE Power & Gas LLC is a member of PJM, NYISO and MISO. ENGIE Power & Gas LLC has not had any violations or failures to perform on contracts or other obligations to sell or otherwise provide natural gas. ENGIE Power & Gas LLC is currently a PJM member in good standing.



Customer Care Associate Procedures
ENGIE Power & Gas LLC

1. Upon Arrival Customer Care Associate
 - Log In Shortel Phone
 - Sales Force
 - Check Voice Mail
 - Check Email
2. CCA Introduction Answering Calls
 - Good Morning/Afternoon you have reached the Customer Care Department
 - This is. _____YOUR NAME
 - How may I help you?
3. Assisting Inquiries or Resolving Issues
 - Obtain information from the customer to access and verify the account or premises information
 - Determine the nature of the inquiry and if the Utility or if ENGIE Power & Gas LLC is responsible for assisting the customer
 - CCA will follow normal procedures for responding to inquiries. If the inquiry is specific to the Utility or another internal department the CCA will take one of the following actions:
 - a. Forward/transfer the inquiry to the responsible party;
 - b. Direct the customer to contact the responsible party; or
 - c. Contact the responsible party to resolve the matter and provide a prompt response to the customer.
4. Opening Case Procedure
 - Enter Customer Contact Account information in Sales Force Quick Create
 - Provide Description of customer's complaint
 - Resolve or Create Task to get support from Responsible Department
 - Close Case or Create Follow-up to customer or internal support
5. Customer Emergencies
 - An emergency call means any communication from a customer concerning an emergency situation relating to the distribution system, including, but not limited to, reports of gas odor, natural disaster, downed wires, electrical contact, or fire.
 - The CCA shall provide the distribution utility's emergency number to the customer for direct contact to the distribution utility.



Exhibit B-3

Disclosure of Liabilities and Investigations

ENGIE Power & Gas LLC does not have any existing, pending or past rulings, judgment, contingent liabilities, revocation of authority, regulatory investigations, or any other matters that could adversely impact their financial or operational status or ability to provide the services it is seeking to be certified to provide, nor have they had any such problems in the past.



Exhibit C-1

REDACTED



Exhibit C-2

REDACTED



Exhibit C-3

REDACTED



Exhibit C-4

REDACTED



Exhibit C-5

REDACTED



Exhibit C-8

REDACTED



Exhibit C-9

REDACTED



Exhibit D-1

Operations

ENGIE Power & Gas LLC currently operates as a retail gas supplier in New York, New Jersey, Maryland, and Pennsylvania. ENGIE Power & Gas LLC is also licensed as a retail gas supplier in Ohio and Michigan and has an application pending in Massachusetts. ENGIE Power & Gas LLC operates as a retail electric supplier in New York, New Jersey, Pennsylvania, Maryland, Ohio and Illinois and is also licensed in Massachusetts, Michigan and Connecticut (inactive). ENGIE Power & Gas LLC has been operating in the New York retail market since 2010 and has established supply, billing, customer complaint procedures, and customer contracts in place.



Exhibit D-2

Operations Expertise and Key Technical Personnel

Shyam Persaud, Chief Financial Officer

920 Railroad Ave. Woodmere, NY 11598
shyam.persaud@engie.com
516.634.2501

As a member of the Executive team, Shyam is actively involved in the management and growth of the business, and manages the Financial department, overseeing all accounting, financial and risk management related activities. His resume is included as part of this attachment.

Faye Outar, Principal Pricing Analyst

920 Railroad Ave. Woodmere, NY 11598
faye.outar@engie.com
516.634.2739

Faye heads the natural gas pricing desk, and is responsible for the creation, maintenance and accuracy of the pricing model across all markets. Faye has over 15 years of extensive experience in the natural gas industry. Her resume is included as part of this attachment.

Joseph Murphy, Gas Supply Manager

920 Railroad Ave. Woodmere, NY 11598
joseph.murphy@engie.com
516.634.2168

Joseph heads the natural gas supply desk and is responsible for hedging, pipeline scheduling, storage optimization, and capacity releases. Joseph has 10 years of experience in the natural gas industry. His resume is included as part of this attachment.

SHYAM PERSAUD

89-17, 213 Street, Queens Village, New York 11427

Cell: (917)-710-2869

shyampersaud@gmail.com

Home: (718)-776-1346

FINANCE AND MANAGEMENT EXECUTIVE

Astute, results-oriented Leader with proven success in working with corporations to achieve profitability and business growth objectives within start ups, turnarounds and rapid change environments. Background includes creating and implementing accounting process and controls, systems and management reports within six months, three months ahead of plan at *Homeland Renewable Energy*, with leading technology, competent human resources, and decisive leadership. Critical thinker, who can take large conceptual project or problem, break into components, establish plan and critical path, achieve incremental goal and deliver project or solution to problem on time. Expertly directs resources, technology and expenses to achieve objectives. Additional expertise includes:

- Accounting
- Strategic Planning
- Marketing Analysis
- Project Finance
- Treasury
- Energy
- Corporate / Operational Finance
- Process Improvement
- Business Development
- Change Management
- Mergers and Acquisitions
- Commodity Trading
- Risk Management
- Sarbanes-Oxley (SOX) Requirement
- Employee Development
- Budgets and Forecasts
- System Technology Design & Implementation
- Financial Modeling

CAREER ACCOMPLISHMENTS

- Partnered with the owners of *Plymouth Rock Energy* in securing additional capital through a private placement with a private equity firm.
- Negotiated a long term Preferred Supplier Agreement with a major international energy company that will ensure liquidity and growth at *Plymouth Rock Energy*.
- Developed high level performance indicators to better understand the drivers of profitability and to drive performance and accountability at *Plymouth Rock Energy*.
- Implement Risk Management Policy at *Plymouth Rock Energy*, resulting in efficient management, stability and profitability of the power and natural gas portfolios.
- Oversee annual growth in excess of 10% at *Plymouth Rock Energy*.
- Partnered with the Board in providing strategies and insight to secure additional financing in excess of \$50M at *Ram Power*.
- Successfully converted accounting reporting from Canadian GAAP to IFRS at *Ram Power*.
- Created and developed complex financial model to determine capital requirements and investment needed to construct renewable energy fueled power plants, as well as expected Return on Investment (ROI), operating profits and cash flows, and which was presented to investors by *Homeland Renewable Energy* to acquire financing in excess of \$200 million and to start construction four months ahead of plan.
- Implemented accounting systems, controls and process, including management financial reports, reducing the reporting cycle from 2 months to 1week, and improving accuracy of financial statements.
- Increased earnings \$15 million by initiating and leading project at *Constellation NewEnergy* to identify and reduce risk exposure by analyzing the energy trading portfolio and customers' energy usage pattern and implementing sound risk management policies and controls to mitigate exposures.
- Reduced collection period from 8 weeks to 5 days by creating and implementing aggressive credit and collection policies and process, new Customer Relation Management (CRM) system, recruiting and developing a competent team.
- Boosted earnings \$5 million by initiating process improvement that resulted in the efficient streamlining of regional operational functions and reduction of cost whilst improving productivity and customer satisfaction.
- Recruited a knowledgeable and competent team of accounting and finance staff after *New Energy Venture* was acquired by *AES Corporation* and transitioned to Boston, resulting in accounting and financial management reporting that provided visibility on the company's performance, and where such information had previously never existed.

PROFESSIONAL ACCOMPLISHMENTS

PLYMOUTH ROCK ENERGY, LLC, Woodmere, NY

May 2011 –Present

Privately held energy service provider of natural gas and electricity to residential, commercial and industrial customers.

Chief Financial Officer

- Member of the executive team involved in the management, decision making, strategy and growth of the business.
- Manages the Finance Department overseeing all accounting and finance related activities of the company.
- Provide strategic and tactical insight and guidance to the Members and the Board of Directors of the company.
- Responsible for ensuring compliance with the Risk Management Policy.
- Oversight over pricing, trading and hedging functions.
- Responsible for legal and regulatory affairs, including compliance with local, state and federal agencies, such as the various Public Service Commissions and FERC. .
- Responsible for business development, including market and competitive analysis, entrance into new markets.

RAM POWER INC, Reno, Nevada

September 2010 –May 2011

A Canadian registered builder, owner and operator of geothermal power plants in North America and Latin America (TSX:RPI).

Director of Financial Planning & Analysis

- Managed the Finance Department, developing and implementing financial management reports, analysis and models.
- Partnered with executive management and Board in developing strategies and executing on those strategies to achieve the overall business objectives.
- Partnered with the Latin American Project Manager to ensure successful completion of a 72Mw geothermal facility in Nicaragua.
- Developed high level project budgets for the exploration of geothermal resources and construction budgets for power plants.
- Developed business plan and models to secure financing of geothermal projects.
- Successfully implemented Microsoft Dynamics AX accounting system.
- Converted accounting reporting standard from Canadian GAAP to IFRS.

HOMELAND RENEWABLE ENERGY, LLC, Newtown, Pennsylvania

July 2007 – February 2010

A builder, owner and operator of biomass fuel power plants in the US.

VP of Finance /Consultant, Finance and Management

- Managed the Accounting and Finance Department, implementing systems, establishing controls, policies and procedures in accordance with General Accepted Accounting Principles (GAAP), development of financial management reports, analysis and models.
- Partner with CFO in developing strategies to acquire and maintain capital to secure the company's long term growth, including planned public offering.
- Provided critical analytical support to Executive Management, including development of Monthly Cash Flows, Balance Sheet and Income Statement projection models, to make strategic business decisions.
- Interface with auditors.
- Initiated and created Key Performance Indicators (KPI) to measure and report on operating efficiency of the power plants, resulting in increased productivity, efficiency and reduction in cost by \$600K.
- Recruited and developed accounting and finance staff.

ENVIRONMENTAL POWER GROUP, Portsmouth, New Hampshire

February 2007 – May 2007

A developer, owner, and operator of clean energy production facilities in the US.

Consultant, Finance and Management

- Assigned complete responsibility for all accounting and finance functions, including strategic planning, executive management and SEC reporting during transitional period.
- Developed models to support various business initiatives, resulting in providing a detailed and accurate picture to potential partners and investors.

SHYAM PERSAUD

CONSTELLATION NEWENERGY, Baltimore, Maryland

February 2000 – January 2007

\$4 billion energy service provider to Commercial customers. Company was owned by AES (NYSE: AES) 1999 –2002 and then sold to Constellation Energy Group (NYSE: CEG). NewEnergy company has nine offices in the U.S. and Canada in the following cities Los Angeles, Chicago, Baltimore, Boston, Southfield, New York, Columbus, Houston, Calgary and Toronto.

Consultant, Finance and Management (July 2006 –January 2007)

- Actively partnering with the Regional Vice President of the East Region in creating and implementing long term strategic plan to sustain 10% to 15% annual growth, and creating infrastructure, new products and pricing to support growth.
- Initiated and championed project to review Pricing Model business assumptions and to implement corrective measures where there were variations from actual, resulting in a 40% increase in gross margin.

Regional Group Controller (March 2002 – April 2006)

- Developed and managed a team of 14 Regional Accountants and support staff.
- Directed general accounting, cash management, financial reporting, credit and collections and wholesale portfolio management for all regional business units.
- Reduced reporting cycle to 4 days from 2 weeks, by streamlining accounting and operational process, designing and implementing management reporting system, and tailored financial and operational systems to meet requirements of all regional business units.
- As member of the Leadership Team, actively participated in the creation and implementation of strategic goals and business development to grow business 20%.
- Cut receivable write-offs \$2 million by developing credit policies, instituting aggressive collection strategies, and establishing constructive dialogue with delinquent customers.
- Directed annual budget process and strengthened accountability by partnering with the Regional Vice Presidents in all the regional businesses.
- Recognized critical need and upgraded accounting and operational systems to support the growth of the company from a \$500 million to a \$4 billion company in 5 years.
- Implemented Sarbanes-Oxley requirements 3 months ahead of schedule.
- Researched and analyzed potential new markets and making a business case for entering these markets, resulting in the expansion into 3 new markets and increased growth by 20%.

Controller, East Region (February 2000 – February 2002)

- Initiated broad review and analysis of pricing, risk management, cost and hedging strategies to understand reasons for sustained losses as key finance member of team charged with turning around the business from a loss making entity to profitability when it was acquired by AES Corporation, resulting in the implementation of sound business policies, controls and accountability and a return to profitability within 2 years.
- Initiated, developed and implemented critical financial modeling tools (including rolling 5 years P&L, Balance Sheet and Cash Flows) to provide visibility of the long-term business plan and determine future infrastructure and resources needed to sustain growth, resulting in achieving growth of 25%.
- Increased margin \$5 million through hedging strategy for a cost component by identifying a counterparty willing to enter into such transaction even though a visible forward market never existed.
- Assigned ownership for financial consolidation and management reporting for all regional business units, resulting in consistent reporting and a reduction in the reporting cycle from 2 ½ weeks to 2 weeks.

BARNES AND NOBLE, INC., New York, New York

January 1990 - January 2000

Leading retail bookseller with annual sales of \$4.8 billion

Senior Business Analyst (April 1997 – January 2000)

- Directed budgeting, strategic planning, reporting, gathering and analysis of competitive; economic and demographic information.
- Responsible for the financial modeling of all new stores, including ROI, earnings, inventory and staffing levels, lease and construction costs resulting in the rollout of over 200 new superstores and growth in excess of 15%.

Manager – Merchandize Planning and Control (March 1995 – March 1997)

- Implemented change management and process improvement leading to increase productivity and reduction in the annual planning cycle from 5 months to 2 months.
- Reduced inventory 5% and improved cash flow by identifying slow turn over and obsolete books and returning these to the vendors.

SHYAM PERSAUD

Senior Staff Accountant— Operational Accounting (January 1990 – March 1995)

- Managed the operational accounting, reporting and analysis for approximately 1000 stores.
- Initiated and led project to automate daily Sales Audit process, resulting in cost reduction, increased efficiency and scalability.

GUYANA AGRICULTURAL DEVELOPMENT COMPANY LTD, Georgetown, Guyana

August 1987 – October 1989

Start up agricultural production and processing company funded by the Government of Guyana and foreign investors

Vice President of Finance and Operations

- Directed procurements, operational accounting, strategic planning, and cost and management planning and reporting.
- Negotiated with trade union and structured workers' compensation and benefit package resulting in company savings of \$ (GUY) 2 million.

EDUCATION

Certified Accountant – London, England

UNIVERSITY OF LONDON – London, England,
Bachelor of Science in Accounting (May 1985)

Faye Outar

158 Pratt Street, West Babylon, NY 11704 • foutar@gmail.com • (917) 331-1425

QUALIFICATIONS

- Consistent driver of change in areas of Regulation, Pricing, Planning and Risk to directly impact P&L.
- Pricing Lead for projects to develop rates, pricing mechanisms and procedures to ensure revenue recoveries.
- Championed and implemented planning and pricing processes to deliver efficiencies in excess of 50%.
- Effective at interacting with state regulators, auditors, clients, customers and senior management.
- Led individuals and team in redesign and standardization of reconciliation and pricing models.

DELIVERABLES

Head of the Natural Gas Pricing Desk at Plymouth Rock Energy with over 15 years of extensive experience in the natural gas industry. Reputation as a collaborative team lead and problem solver who can identify simple yet creative solutions around complex processes. A solid pricing and planning background, to bring a unique perspective and offers innovative ideas to any function while guiding a team to achieve their goals. Communication skills and conflict resolution are among my strengths. Directed multiple teams to deliver exceptional results on or ahead of schedule.

PROFESSIONAL EXPERIENCE

PLYMOUTH ROCK ENERGY, Woodmere, NY

Principal Pricing Analyst (Jan, 2016 – Present)

- Head of the Natural Gas Pricing Desk responsible for creation and accuracy of natural gas pricing models.
- Automate processes to support the pricing and supply management of natural gas.
- Enhance and maintain pricing and supply platforms.
- Calculating custom pricing for large customers with complex needs
- Coordinating with sales team to effectively price deals to win while maximizing revenues.
- Monitor P&L to evaluate effectiveness of pricing and supply strategies and analyze improvement strategies.

NATIONAL GRID CORPORATION, Brooklyn, NY

Lead Regulatory Pricing Analyst (2010 – 2016)

- Leading Regulatory/IT projects to design and test reporting and billing requirements in customer systems.
- Coordinating with Accounting and Finance to determine gas cost budgets, forecasts and customer bill impacts to support revenue forecasts, budgets and press releases.
- Working to write and revise tariffs for new and existing programs, establishing guidelines for standardization.
- Managing group responses to audits and data requests from various jurisdictions and auditors. Overseeing responses from multiple departments to provide coordinated and comprehensive responses.
- Direct and assist in the calculation of various reconciliations and filings in all NY territories through collaborations with accounting, billing operations, customer groups and many others to ensure all costs are treated accurately in compliance with all tariffs and orders relating to each filing.

NATIONAL GRID CORPORATION (formerly KeySpan Corporation), Brooklyn, NY

Senior Planner, Downstate and Upstate NY Regions (2005 - 2010)

- Coordinated the plan of customer usage and supply requirements for three million natural gas customers.
- Built the annual Marketer Model to track and forecast retail marketer volumes.
- Independently created official forecast model for monthly natural gas sendout curve which is used in GDO.
- Established and maintained relationships with approximately 30 energy service companies (all retail marketers in the NY & LI service territories).

KEYSPAN CORPORATION, Brooklyn, NY

Natural Gas Scheduler/Trader (2004 - 2005)

- Designed Temperature Sendout Model to improve confidence in winter day load forecast.
- Coordinated trading and scheduling with Gas System Operations, suppliers, buyers and pipelines.
- Scheduled in excess of 100 daily deadline-driven nominations on as much as seven interstate pipelines.
- Designed models to track and forecast FTU natural gas usage for billing and bidding purposes.

KEYSPAN CORPORATION, Brooklyn, NY

Associate Insurance Analyst (2002 - 2004)

- Developed quantitative models to analyze fiscal requirements to maintain liquidity of \$50M KeySpan Captive.
- Assessed company's risk exposure through various analyses of historical and industry data.
- Developed proposal to reengineer the Absence Management Program saving over \$1M annually.
- Designed and implemented an insurance register that tracked up to 1000 vendors for purchasing area.

Above and Beyond

- Area Director – Area 85 Toastmasters District 46 (2015-2016)
- President – Toastmasters District 46 Premier Club (2014-2015); Vice President of Education (2015-2016)
- Engagement Coordinator – Asian Leadership Association (2013-2015)
- National Grid Representative – Ascend – National Pan Asian Leadership Group (2012-2013)
- Led Logistics Committee for National Grid Junior Achievement Youth Conference 2011
- Served on Customer Advisory Board of Dominion, a major interstate pipeline (2009 – 2010)

EDUCATION

MS Organizational Management, 2011. St. Joseph's College, Patchogue, NY

BS, Chemistry, 2002. Brooklyn College, Brooklyn, NY

CREDENTIALS & CONTINUING EDUCATION

Advance Communicator Bronze; Advanced Leader Bronze, 2015. Toastmasters International, NY

On Stage Leadership Seminar, 2013. OnStage Leadership, NY

Landmark Forum, 2010. Landmark Education, NY

Women Empowered Development Session, 2006. Women Empowered, NY

Natural Gas 101, 2006. Energy Seminars, Inc., TX

Associate in Risk Management (ARM), 2003. Insurance Institute of America, NY

Utility Finance and Accounting for the Non Financial Professional, 2003. Financial Accounting Institute, NJ

JOSEPH D. MURPHY

1736 Poplar St, Merrick, New York 11566
(631) 790-6415 • JosephDMurphy1@gmail.com
[linkedin.com Profile \(joseph-murphy\)](https://www.linkedin.com/profile/joseph-murphy)

EXPERIENCE

Plymouth Rock Energy LLC, Woodmere, NY

2016-Current

Plymouth Rock Energy is a privately owned energy retailer, providing electricity and natural gas products to serve residential, commercial and industrial customers.

Gas Supply Manager

Manage the entire natural gas portfolio, including overlooking cash trading and swaps, pipeline scheduling and storage optimization, capacity releases, deal management, NYMEX and basis position reporting, profit and loss reporting and assisting pricing with entry into new utilities.

- Run position report, determine long/short NYMEX and basis hedges and make recommendations on when to hedge
- Created the storage report to accurately reflect injections and withdrawals with a running WACOG.
- Established NAESB's with 6 new counterparties, with 4 additional in pending status.
- Created the 15 day moving weather report for forecasting
- Created the CONED IT supply flow to better track coned deliveries and cashouts.
- Helped redesign the P&L report for easier, quicker and more accurate record keeping.
- Created the capacity value book to track changes in basis and how it effects our release capacity spreads.
- Leading the decision making process in deciding a CTRM system.

Crius Energy LLC, Stamford, CT

2014-2016

Crius Energy LLC is a Canadian publicly traded independent energy retailer, providing electricity, natural gas and solar products to nearly 800,000 residential and commercial customers in nine states.

Natural Gas Scheduler

Nominate natural gas on 15 interstate pipelines daily for 26 utilities, record monthly storage inventory information and responsible for daily cash market trades.

- In Q1 of 2015, I used the Iroquois Park and Loan account to park gas on warmer days and loan gas out on colder days, thus saving the cost of buying expensive gas. We saved \$6,973 with this method.
- In Q1 we were released capacity from one utility that had stranded capacity. Instead of releasing for a penny, we were able to use that capacity and flow to BGE. Thus capturing the spread between TCO pool pricing, and typical BGE capacity pricing at either Transco z6nny or TGP 500 and saving \$91,963 by the end of the quarter.
- On warmer days in Q1, we would sell back our FOM Transco z6 NY gated, and fill out national grid gate with Inventory withdrawal. This sale back method brought in \$51,272 for Q1.

JOSEPH MURPHY

- In Q2 For the summer months, we were able to flow secondary in path with TGP z4 313 to CH, instead of buying primary TGP 500, saving the company \$38,000 in Q2.
- With our extra National Grid capacity, we bought MPC and flowed to other utilities, saving the cost of TGP z4 313, TGP gated and TCO. This also allowed us to release Transco Leidy at a premium. This saved us \$16,983 over Q3.
- In Q4, by purchasing gas on TCO at AO6 instead of TCO pool, we saved the company \$60,000.
- In Q1 2016, I flowed gas from TGP into Iroq for National Grid and saved \$14,000.
- Purchased West Va in TCO at A04 and A06 instead of TCO pool, saving \$20,000 in Q2.

Northern Tier Energy LP, Ridgefield, CT

2013-2014

Northern Tier Energy LP is a publicly traded petroleum refining and marketing Master Limited Partnership headquartered in Ridgefield, CT with over 3,000 employees, operations in 4 upper-Midwest states and annual revenues of over \$4 billion.

Commercial Scheduler:

2013-2014

Maintaining accurate data with regard to inventories, truck schedules, production, rack activity, and purchase/sales in order to assist the commercial director and trader.

- Created a storage workbook with WACOG, 3rd party pricing, Chicago OPIS pricing and ethanol and V-grade gasoline inventory for all six storage locations in order to organize and maintain pertinent market information which resulted in quicker decision making and greater reliability for the commercial trader.
- Learned how Biodiesel and Ethanol RINS' markets function in three months including how they are traded, in order to solve accounting discrepancies in place of my trader. This has saved him time and effort.
- Communicated with counterparties and terminal effectively and efficiently in order to minimize errors and increase the flow of information, which led to less accounting inconsistencies and pricing errors.

National Grid, Hicksville, NY

2009-2013

National Grid is a publicly traded electricity and gas company that connects consumers to energy sources through its networks in the Northeast U.S. and Great Britain, with 28,000 employees and annual revenues over \$14 billion.

Natural Gas Scheduler:

Nominated natural gas on several interstate pipelines daily and recorded monthly storage inventory information for trading desk.

- Saved 50,000 dths from being cut by correcting pipeline nominations during Thanksgiving Day on three separate pipelines.
- Updated and modified the daily "cut" sheet, which reported Id1 and timely cuts, which reduced confusion for on call scheduler and accountability for team.
- Updated and modified the Natural Gas Scheduling Standard Operating Procedures handbook, by reviewing and editing 200 pages and adding 30 more pages for the year 2013, thus ensuring standards would be met during restoration assignments.
- Created and delivered a PowerPoint presentation during a "lunch and learn" session to show other divisions in our company what we did and how it related to their daily tasks. This helped identify information gaps and fill them.

JOSEPH MURPHY

- Assisted Gas Control and Con Edison employees on the transition of LIPA gas assets and accounting to PSEG, which helped reduce errors.

EDUCATION

Baruch College, Zicklin School of Business, NY

- Master of Business Administration in Information Systems 2013
- GPA 3.74

University of Richmond, Robins School of Business Richmond, VA 2009

- Bachelor of Science in Business Administration, Cumulative GPA: 3.32
- Concentration: Finance and Economics
- Dean's List 2009

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Case No(s). 12-1577-GA-CRS

Summary: Application Renewal Application electronically filed by Mr. Michael Reiss
on behalf of ENGIE Power & Gas LLC and Conigliaro, Jessica Mrs.