

November 26, 2012

Pennsylvania Public Utilities Commission
Secretary
Keystone Building, 2nd Floor Room N201
Harrisburg, PA 17120



CUSTOMIZED
ENERGY SOLUTIONS

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PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

Re: **Plymouth Rock Energy, LLC Request for Confidentiality Under
Docket A-2011-2264916**

Dear Secretary,

Enclosed please find a public version of the Application for Plymouth Rock Energy, LLC. This version should replace the version currently posted on the PA PUC website, as the original version contains proprietary information that was not marked as confidential. The public version enclosed has redacted Attachment 2: Financial Statements, Records and Ratings. Plymouth requests that the enclosed replace the version currently available on the website, and that the prior version be removed and held as confidential.

Thank you for your assistance in this matter. Please direct any correspondence and communication regarding this request to the undersigned.

Respectfully Submitted,

A handwritten signature in black ink, appearing to read "Erika Schmitt".

Erika Schmitt
Customized Energy Solutions
P: 267-331-4242
Email: eschmitt@ces-ltd.com

On behalf of Plymouth Rock Energy, LLC



**CUSTOMIZED
ENERGY SOLUTIONS**

September 22, 2011

Pennsylvania Public Utilities Commission
Secretary
Keystone Building, 2nd Floor Room N201
Harrisburg, PA 17120

Re: Plymouth Rock Energy, LLC Electric Generation Services Application

Dear Secretary,

Enclosed please find Plymouth Rock Energy, LLC's completed, original and signed Electric Generation Services Application, one copy of the application and a cd-rom containing a searchable PDF version of the application. The cd-rom is divided by bookmarks as follows, as is the hard copy filing:

- License Application
- Affidavits
- Notice
- Certificate of Service
- Bond
- Tax Certification
- Disclosure Statement
- Attachment 1: Business Entity Filings and Registration
- Attachment 2: Financial Statements, Records and Ratings
- Attachment 3: Technical Fitness
- Proof of Payment

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PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

Thank you for your consideration of this application. Please direct any correspondence and communication regarding this application to the undersigned.

Respectfully Submitted,

Erika Schmitt
Customized Energy Solutions
P: 267-331-4242
Email: eschmitt@ces-ltd.com

On behalf of Plymouth Rock Energy, LLC

BEFORE THE PENNSYLVANIA PUBLIC UTILITY COMMISSION

Application of Plymouth Rock Energy, LLC d/b/a Plymouth Rock Energy, LLC for approval to offer, render, furnish, or supply electricity or electric generation services as a(n) [as specified in item #4b below] to the public in the Commonwealth of Pennsylvania (Pennsylvania).

To the Pennsylvania Public Utility Commission:

1. IDENTIFICATION AND CONTACT INFORMATION

- a. **IDENTITY OF THE APPLICANT:** Provide name (including any fictitious name or d/b/a), primary address, web address, and telephone number of Applicant:

Plymouth Rock Energy, LLC
1074 Broadway
Woodmere, NY 11598
Web: www.plymouthenergy.com
Phone: 1-866-539-6450

- b. **PENNSYLVANIA ADDRESS / REGISTERED AGENT:** If the Applicant maintains a primary address outside of Pennsylvania, provide the name, address, telephone number, and fax number of the Applicant's secondary office within Pennsylvania. If the Applicant does not maintain a physical location within Pennsylvania, provide the name, address, telephone number, and fax number of the Applicant's Registered Agent within Pennsylvania.

Thomas Marzella Phone: 516-734-21557
13 Owl Hollow Road Fax: 516-295-1417
Tannersville, PA 18372

- c. **REGULATORY CONTACT:** Provide the name, title, address, telephone number, fax number, and e-mail address of the person to whom questions about this Application should be addressed.

Erika Schmitt, Compliance Analyst
1528 Walnut Street, 22nd Floor
Philadelphia, PA 19102
Phone: 267-331-4242, Fax: 215-875-9490
Email: eschmitt@ces-ltd.com

- d. **ATTORNEY:** Provide the name, address, telephone number, fax number, and e-mail address of the Applicant's attorney. If the Applicant is not using an attorney, explicitly state so.

Usher Fogel, Attorney at Law
557 Central Avenue, Suite 4A
Cedarhurst, N.Y. 11516
Phone: 516.374.8400 x 308, Fax: 516.374.2600
usher@ufogel.com

- e. **CONTACTS FOR CONSUMER SERVICE AND COMPLAINTS:** Provide the name, title, address, telephone number, FAX number, and e-mail of the person and an alternate person responsible for addressing customer complaints. These persons will ordinarily be the initial point(s) of contact for resolving complaints filed with the Applicant, the Electric Distribution Company, the Pennsylvania Public Utility Commission, or other agencies. The main contact's information will be listed on the Commission website list of licensed EGSs.

David Sokol, Vice-President
1074 Broadway
Woodmere, NY 11598
Email: dsokol@plymouthenergy.com
Phone: 1.866.539.6450
Fax: 718.852.8628

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2. BUSINESS ENTITY FILINGS AND REGISTRATION

a. **FICTITIOUS NAME:** *(Select appropriate statement and provide supporting documentation as listed.)*

The Applicant will be using a fictitious name or doing business as ("d/b/a")

Provide a copy of the Applicant's filing with Pennsylvania's Department of State pursuant to 54 Pa. C.S. §311, Form PA-953.

or

The Applicant will not be using a fictitious name.

b. **BUSINESS ENTITY AND DEPARTMENT OF STATE FILINGS:**

(Select appropriate statement and provide supporting documentation. As well, understand that Domestic means being formed within Pennsylvania and foreign means being formed outside Pennsylvania.)

The Applicant is a sole proprietor.

- If the Applicant is located outside the Commonwealth, provide proof of compliance with 15 Pa. C.S. §4124 relating to Department of State filing requirements.

or

The Applicant is a:

- domestic general partnership (*)
- domestic limited partnership (15 Pa. C.S. §8511)
- foreign general or limited partnership (15 Pa. C.S. §4124)
- domestic limited liability partnership (15 Pa. C.S. §8201)
- foreign limited liability general partnership (15 Pa. C.S. §8211)
- foreign limited liability limited partnership (15 Pa. C.S. §8211)

- Provide proof of compliance with appropriate Department of State filing requirements as indicated above.

- Give name, d/b/a, and address of partners. If any partner is not an individual, identify the business nature of the partner entity and identify its partners or officers.

- Provide the state in which the business is organized/formed and provide a copy of the Applicant's charter documentation.

- * If a corporate partner in the Applicant's domestic partnership is not domiciled in Pennsylvania, attach a copy of the Applicant's Department of State filing pursuant to 15 Pa. C.S. §4124.

or

The Applicant is a:

- domestic corporation (15 Pa. C.S. §1308)
- foreign corporation (15 Pa. C.S. §4124)
- domestic limited liability company (15 Pa. C.S. §8913)
- foreign limited liability company (15 Pa. C.S. §8981)
- Other (Describe):

- Provide proof of compliance with appropriate Department of State filing requirements as indicated above.
- Provide the state in which the business is incorporated/organized/formed and provide a copy of the Applicant's charter documentation.
- Give name and address of officers.
- Please see Attachment 1

3. AFFILIATES AND PREDECESSORS

(both in state and out of state)

- a. **AFFILIATES:** Give name and address of any affiliate(s) currently doing business and state whether the affiliate(s) are jurisdictional public utilities. If the Applicant does not have any affiliates doing business, explicitly state so. Also, state whether the applicant has any affiliates that are currently applying to do business in Pennsylvania.

Broadway Public Marketing, LLC
1088 Broadway
Woodmere, NY 11598

Affiliate is not a jurisdictional public utility, and is not currently applying to do business in Pennsylvania.

- b. **PREDECESSORS:** Identify the predecessor(s) of the Applicant and provide the name(s) under which the Applicant has operated within the preceding five (5) years, including address, web address, and telephone number, if applicable. If the Applicant does not have any predecessors that have done business, explicitly state so.

Applicant does not have any predecessors that have done business with the preceding 5 years.

4. OPERATIONS

a. **APPLICANT'S PRESENT OPERATIONS:** *(select and complete the appropriate statement)*

- The Applicant is presently doing business in Pennsylvania as a
- municipal electric corporation
 - electric cooperative
 - local gas distribution company
 - provider of electric generation, transmission or distribution services
 - Other; identify the nature of service being rendered.

or

- The Applicant is not presently doing business in Pennsylvania.

b. **APPLICANT'S PROPOSED OPERATIONS:** The Applicant proposes to operate as a *(may check multiple):*

- Generator of electricity
- Supplier of electricity
- Aggregator engaged in the business of supplying electricity
- Broker/Marketer engaged in the business of supplying electricity services
- Electric Cooperative and supplier of electric power
- Other (Describe):

Definitions

- Supplier – an entity that sells electricity to end-use customers utilizing the jurisdictional transmission and distribution facilities of an EDC.
- Aggregator - an entity that purchases electric energy and takes title to electric energy as an intermediary for sale to retail customers.
- Broker/Marketer - an entity that acts as an intermediary in the sale and purchase of electric energy but does not take title to electric energy.

c. **PROPOSED SERVICES:** Describe in detail the electric services or the electric generation services which the Applicant proposes to offer.

Provide electricity service to end-use retail customers in PECO, PPL, Penelec, Allegheny and Duquense service territories.

d. **PROPOSED SERVICE AREA:** Provide a list of each Electric Distribution Company for which the Applicant proposes to provide service.
PECO, PPL, Allegheny, Penelec, Duquense

e. **CUSTOMERS:** Applicant proposes to provide services to:

- Residential Customers
- Small Commercial Customers - (25 kW and Under)
- Large Commercial Customers - (Over 25 kW)
- Industrial Customers
- Governmental Customers
- All of above
- Other (Describe):

f. **PROPOSED MARKETING METHOD** (check all that apply)

- Internal – Applicant will use its own internal resources/employees for marketing
- External EGS – Applicant will contract with a PUC **LICENSED EGS** broker/marketer
- Affiliate – Applicant will use a **NON-EGS** affiliate marketing company and or individuals.
- External Third-Party – Applicant will contract with a **NON-EGS** third party marketing company and or individuals
- Other (Describe):

g. **DOOR TO DOOR SALES:** Will the Applicant be implementing door to door sales activities?

- Yes
- No

If yes, will the Applicant be using a Third Party Verification procedure?

- Yes
- No

If yes, describe the Applicant's Third Party Verification procedures.

- h. **START DATE:** Provide the approximate date the Applicant proposes to begin services within the Commonwealth.
November 1, 2011

5. COMPLIANCE

- a. **CRIMINAL/CIVIL PROCEEDINGS:** State specifically whether the Applicant, an affiliate, a predecessor of either, or a person identified in this Application, has been or is currently the defendant of a criminal or civil proceeding within the last five (5) years.

Identify all such proceedings (active or closed), by name, subject and citation; whether before an administrative body or in a judicial forum. If the Applicant has no proceedings to list, explicitly state such.

Plymouth Rock Energy, LLC has not been and is not currently the defendant of a criminal or civil proceeding, within the last five (5) years.

- b. **SUMMARY:** If applicable; provide a statement as to the resolution or present status of any such proceedings listed above.

n/a

- c. **CUSTOMER/REGULATORY/PROSECUTORY ACTIONS:** Identify all formal or escalated actions or complaints filed with or by a customer, regulatory agency, or prosecutory agency against the Applicant, an affiliate, a predecessor of either, or a person identified in this Application, for the prior five (5) years, including but not limited to customers, Utility Commissions, and Consumer Protection Agencies such as the Offices of Attorney General. If the Applicant has no actions or complaints to list, explicitly state such.

Plymouth Rock Energy, LLC does not have any formal or escalated actions or complaints filed against them by any customers, regulatory agencies, or prosecutory agencies for the prior five (5) years.

- d. **SUMMARY:** If applicable; provide a statement as to the resolution or present status of any actions listed above.

n/a

6. PROOF OF SERVICE

(Example Certificate of Service is attached at Appendix C)

- a.) **STATUTORY AGENCIES:** Pursuant to Section 5.14 of the Commission's Regulations, 52 Pa. Code §5.14, provide proof of service of a signed and verified Application with attachments on the following:

Office of Consumer Advocate
5th Floor, Forum Place
555 Walnut Street
Harrisburg, PA 17120

Office of the Attorney General
Bureau of Consumer Protection
Strawberry Square, 14th Floor
Harrisburg, PA 17120

Office of the Small Business Advocate
Commerce Building, Suite 1102
300 North Second Street
Harrisburg, PA 17101

Commonwealth of Pennsylvania
Department of Revenue
Bureau of Compliance
Harrisburg, PA 17128-0946

- b.) **EDCs:** Pursuant to Sections 1.57 and 1.58 of the Commission's Regulations, 52 Pa. Code §§1.57 and 1.58, provide Proof of Service of the Application and attachments upon each of the Electric Distribution Companies the Applicant proposed to provide service in. Upon review of the Application, further notice may be required pursuant to Section 5.14 of the Commission's Regulations, 52 Pa. Code §5.14. Contact information for each EDC is as follows.

Allegheny Power:
Legal Department
West Penn Power d/b/a Allegheny Power
800 Cabin Hill Drive
Greensburg, PA 15601-1689

PECO:
Manager Energy Acquisition
PECO Energy Company
2301 Market Street
Philadelphia, PA 19101-8699

Duquesne Light:
Regulatory Affairs
Duquesne Light Company
411 Seventh Street, MD 16-4
Pittsburgh, PA 15219

PPL:
Legal Department
Attn: Paul Russell
PPL
Two North Ninth Street
Allentown, PA 18108-1179

Met-Ed, Penelec, and Penn Power:
Legal Department
First Energy
2800 Pottsville Pike
Reading PA, 19612

UGI:
UGI Utilities, Inc.
Attn: Rates Dept. – Choice Coordinator
2525 N. 12th Street, Suite 360
Post Office Box 12677
Reading, Pa 19612-2677

Citizens' Electric Company:
Citizens' Electric Company
Attn: EGS Coordination
1775 Industrial Boulevard
Lewisburg, PA 17837

Pike County Light & Power Company:
Director of Customer Energy Services
Orange and Rockland Company
390 West Route 59
Spring Valley, NY 10977-5300

Wellsboro Electric Company:
Wellsboro Electric Company
Attn: EGS Coordination
33 Austin Street
P. O. Box 138
Wellsboro, PA 16901

7. FINANCIAL FITNESS

a. **BONDING:** In accordance with 66 Pa. C.S. Section 2809(c)(1)(i), the Applicant is required to file a bond or other instrument to ensure its financial responsibilities and obligations as an EGS. Therefore, the Applicant is...

- Furnishing the **original** (along with copies) of an initial bond, letter of credit or proof of bonding to the Commission in the amount of \$250,000.
- Furnishing the **original** (along with copies) of another initial security for Commission approval, to ensure financial responsibility.
- Filing for a modification to the \$250,000 requirement and furnishing the **original** (along with copies) of an initial bond, letter of credit or proof of bonding to the Commission in the amount of \$10,000. Applicant is required to provide information supporting an amount less than \$250,000. Such supporting information must include indication that the Applicant will not take title to electricity and will not pay electricity bills on behalf of its customers. Further details for modification may be described as well.
 - *At the conclusion of Applicant's first year of operation it is the intention of the Commission to tie security bonds to a percentage of Applicant's gross receipts resulting from the sale of generated electricity consumed in Pennsylvania. The amount of the security bond will be reviewed and adjusted on an annual basis.*
 - *Example version of a bond and letter of credit are attached at Appendix D & E, Applicant's security must follow language from these examples.*
 - *Any deviation from these examples must be identified in the application and may not be acceptable to the Commission.*

b. **FINANCIAL RECORDS, STATEMENTS, AND RATINGS:** Applicant must provide sufficient information to demonstrate financial fitness commensurate with the service proposed to be provided. Examples of such information which may be submitted include the following: Please see Attachment 2

- Actual (or proposed) organizational structure including parent, affiliated or subsidiary companies.
- Published Applicant or parent company financial and credit information (i.e. 10Q or 10K). (SEC/EDGAR web addresses are sufficient)
- Applicant's accounting statements, including balance sheet and income statements for the past two years.
- Evidence of Applicant's credit rating. Applicant may provide a copy of its Dun and Bradstreet Credit Report and Robert Morris and Associates financial form, evidence of Moody's, S&P, or Fitch ratings, and/or other independent financial service reports.
- A description of the types and amounts of insurance carried by Applicant which are specifically intended to provide for or support its financial fitness to perform its obligations as a licensee.
- Audited financial statements exhibiting accounts over a minimum two year period.
- Bank account statement, tax returns from the previous two years, or any other information that demonstrates Applicant's financial fitness.

c. **ACCOUNTING RECORDS CUSTODIAN:** Provide the name, title, address, telephone number, FAX number, and e-mail address of Applicant's custodian for its accounting records.

Shyam Persaud, Vice President of Finance, Plymouth Rock Energy, LLC

1074 Broadway

Phone: 513-634-2153

Fax: 718-852-8628

Woodmere, NY 11598

Email: spersaud@plymouthenergy.com

d. **TAXATION:** Complete the TAX CERTIFICATION STATEMENT attached as Appendix F to this application.

All sections of the Tax Certification Statement must be completed. Absence (submitting N/A) of any of the TAX identifications numbers (items 7A through 7C) shall be accompanied by supporting documentation or an explanation validating the absence of such information.

Items 7A and 7C on the Tax Certification Statement are designated by the Pennsylvania Department of Revenue. Item 7B on the Tax Certification Statement is designated by the Internal Revenue Service.

8. TECHNICAL FITNESS:

To ensure that the present quality and availability of service provided by electric utilities does not deteriorate, the Applicant shall provide sufficient information to demonstrate technical fitness commensurate with the service proposed to be provided.

a.) **EXPERIENCE, PLAN, STRUCTURE:** such information may include: please see Attachment 3

- Applicant's previous experience in the electricity industry.
- Summary and proof of licenses as a supplier of electric services in other states or jurisdictions.
- Type of customers and number of customers Applicant currently serves in other jurisdictions.
- Staffing structure and numbers as well as employee training commitments.
- Business plans for operations within the Commonwealth.
- Documentation of membership in PJM, ECAR, MAAC, other regional reliability councils, or any other membership or certification that is deemed appropriate to justify competency to operate as an EGS within the Commonwealth.
- Any other information appropriate to ensure the technical capabilities of the Applicant.

b.) **OFFICERS:** Identify Applicant's chief officers including names and their professional resumes.
Also included in Attachment 3

c.) **FERC FILING:** Applicant has:

- Filed an Application with the Federal Energy Regulatory Commission to be a Power Marketer.
- Received approval from FERC to be a Power Marketer at Docket or Case Number ER10-1470-000
- Not applicable

9. DISCLOSURE STATEMENT:

- a. **Disclosure Statements:** If proposing to serve Residential and/or Small Commercial (under 25 kW) customers, provide a Residential and/or Small Commercial disclosure statement. A sample disclosure statement is provided as Appendix G to this Application.
- Electricity should be priced in clearly stated terms to the extent possible. Common definitions should be used. All consumer contracts or sales agreements should be written in plain language with any exclusions, exceptions, add-ons, package offers, limited time offers or other deadlines prominently communicated. Penalties and procedures for ending contracts should be clearly communicated.

10. VERIFICATIONS, ACKNOWLEDGEMENTS, AND AGREEMENTS

- a. **PJM LOAD SERVING ENTITY REQUIREMENT:** As a prospective EGS, the applicant understands that those EGSs which provide retail electric supply service (i.e. takes title to electricity) must provide either:
- proof of registration as a PJM Load Serving Entity (LSE), or
 - proof of a contractual arrangement with a registered PJM LSE that facilitates the retail electricity services of the EGS.

The Applicant understands that compliance with this requirement must be filed within 120 days of the Applicant receiving a license. As well, the Applicant understands that compliance with this requirement may be filed with this instant application.

(Select only one of the following)

- AGREED** - Applicant has included compliance with this requirement in the instant application, labeled in correspondence with this section (10).
- AGREED** - Applicant will provide compliance with this requirement within 120 days of receiving its license
- ACKNOWLEDGED** - Applicant is not proposing to provide retail electric supply service at this time, and therefore is not presently obligated to provide such information

- b. **STANDARDS OF CONDUCT AND DISCLOSURE:** As a condition of receiving a license, Applicant agrees to conform to any Uniform Standards of Conduct and Disclosure as set forth by the Commission. Further, the Applicant agrees that it must comply with and ensure that its employees, agents, representatives, and independent contractors comply with the standards of conduct and disclosure set out in Commission regulations at 52 Pa. Code § 54.43.

- AGREED**

c. **REPORTING REQUIREMENTS:** Applicant agrees to provide the following information to the Commission or the Department of Revenue, as appropriate:

- Retail Electricity Choice Activity Reports: The regulations at 52 Pa. Code §§ 54.201--54.204 require that all active EGSs report sales activity information. An EGS will file an annual report reporting for customer groups defined by annual usage. Reports must be filed using the appropriate report form that may be obtained from the PUC's Secretary's Bureau or the forms officer, or may be down-loaded from the PUC's internet web site.
- Reports of Gross Receipts: Applicant shall report its Pennsylvania intrastate gross receipts to the Commission on a quarterly and year to date basis no later than 30 days following the end of the quarter.
- The Treasurer or other appropriate officer of Applicant shall transmit to the Department of Revenue by March 15, an annual report, and under oath or affirmation, of the amount of gross receipts received by Applicant during the prior calendar year.
- Applicant shall report to the Commission the percentages of total electricity supplied by each fuel source on an annual basis:
- Applicant will be required to meet periodic reporting requirements as may be issued by the Commission to fulfill the Commission's duty under Chapter 28 pertaining to reliability and to inform the Governor and Legislature of the progress of the transition to a fully competitive electric market.

AGREED

d. **TRANSFER OF LICENSE:** The Applicant understands that if it plans to transfer its license to another entity, it is required to request authority from the Commission for permission prior to transferring the license. See 66 Pa. C.S. Section 2809(D). Transferee will be required to file the appropriate licensing application.

AGREED

e. **ASSESSMENT:** The Commission does not presently assess Electric Generation Suppliers for the purposes of recovery of regulatory expenses; see *PPL Energyplus, LLC v. Commonwealth*, 800 A.2d 360 (Pa. Cmwlth. 2002).

ACKNOWLEDGED

f. **FURTHER DEVELOPMENTS:** Applicant is under a continuing obligation to amend its application if substantial changes occur to the information upon which the Commission relied in approving the original filing. See 52 Pa. Code § 54.34.

AGREED

- g. **FALSIFICATION:** The Applicant understands that the making of false statement(s) herein may be grounds for denying the Application or, if later discovered, for revoking any authority granted pursuant to the Application. This Application is subject to 18 Pa. C.S. §§4903 and 4904, relating to perjury and falsification in official matters.

AGREED

- h. **NOTIFICATION OF CHANGE:** If your answer to any of these items changes during the pendency of your application or if the information relative to any item herein changes while you are operating within the Commonwealth of Pennsylvania, you are under a duty to so inform the Commission, within twenty (20) days, as to the specifics of any changes which have a significant impact on the conduct of business in Pennsylvania. See 52 Pa. Code § 54.34.

AGREED

- i. **CEASING OF OPERATIONS:** Applicant is also required to officially notify the Commission if it plans to cease doing business in Pennsylvania, 90 days prior to ceasing operations.

AGREED

- j. **Electronic Data Interchange:** The Applicant acknowledges the Electronic Data Interchange (EDI) requirements and the relevant contacts for each EDC, as listed at appendix J.

AGREED

- k. **FEE:** The Applicant has enclosed or paid the required initial licensing fee of \$350.00 payable to the Commonwealth of Pennsylvania.

PAYMENT ENCLOSED

11. AFFIDAVITS

- a.) **APPLICATION AFFIDAVIT:** Complete and submit with your filing an officially notarized Application Affidavit stating that all the information submitted in this application is truthful and correct. An example copy of this Affidavit can be found at Appendix A.
- b.) **OPERATIONS AFFIDAVIT:** Provide an officially notarized affidavit stating that you will adhere to the reliability protocols of the North American Electric Reliability Council, the appropriate regional reliability council(s), and the Commission, and that you agree to comply with the operational requirements of the control area(s) within which you provide retail service. An example copy of this Affidavit can be found at Appendix B.

12. NEWSPAPER PUBLICATIONS

Notice of filing of this Application must be published in newspapers of general circulation covering each county in which the applicant intends to provide service. Below is a list of newspapers which cover the publication requirements for Electric Generation Suppliers looking to do business in Pennsylvania.

The newspapers in which proof of publication is required is dependent on the service territories the applicant is proposing to serve. The chart below dictates which newspapers are necessary for each EDC. If the applicant is proposing to serve the entire Commonwealth, please file proof of publication in all seven newspapers.

Please file with the Commission the Certification of Publication, along with a photostatic copy of the notice to complete the notice requirements.

Proof of newspaper publications must be filed with the initial application. Applicants **do not** need a docket number in their publication. Docket numbers will be issued when all criteria on the item 14 checklist (see below) are satisfied.

	<u>Duquesne</u>	<u>Met Ed</u>	<u>PECO</u>	<u>Penelec</u>	<u>Penn Power</u>	<u>PPL</u>	<u>UGI</u>	<u>West Penn</u>	<u>Entire Commonwealth</u>
Philadelphia Daily News		X	X			X			X
Harrisburg Patriot-News		X		X		X		X	X
Scranton Times Tribune		X		X		X	X		X
Williamsport Sun Gazette				X		X		X	X
Johnstown Tribune Democrat				X				X	X
Erie Times-News				X	X				X
Pittsburgh Post-Gazette	X				X			X	X

(Example Publication is provided at Appendix H)

13. SIGNATURE

Applicant: Plymouth Rock Energy
 By: [Signature]
 Title: Managing Member

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PA PUBLIC UTILITY COMMISSION
 SECRETARY'S BUREAU

14. CHECKLIST

For the applicant's convenience, please use the following checklist to ensure all relevant sections are complete. The Commission Secretary's Bureau will not accept an application unless each of the following sections are complete.

Applicant: Plymouth Rock Energy, LLC

Applicant's Use	✓	Signature	
	✓	Filing Fee	
	✓	Application Affidavit	
	✓	Operations Affidavit	
	✓	Proof of Publication	
	✓	Bond or Letter of Credit	
	✓	Tax Certification Statement	
	✓	Commonwealth Department of State Verification	
	✓	Certificate of Service	

PUC Secretary's Bureau Use

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SECRETARY'S BUREAU

APPLICATION AFFIDAVIT

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PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

Commonwealth of : Pennsylvania
: ss.
County of : Philadelphia

Plymouth Rock Energy, LLC, Affiant, being duly affirmed according to law, deposes and says that: He is the President of Plymouth Rock Energy, LLC;

That he is authorized to and does make this affidavit for said Applicant;

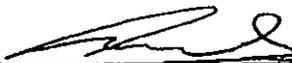
That the Applicant herein Adam Sokol has the burden of producing information and supporting documentation demonstrating its technical and financial fitness to be licensed as an electric generation supplier pursuant to 66 Pa. C.S. §2209(B).

That the Applicant herein Adam Sokol has answered the questions on the application correctly, truthfully, and completely and provided supporting documentation as required.

That the Applicant herein Adam Sokol acknowledges that it is under a duty to update information provided in answer to questions on this application and contained in supporting documents.

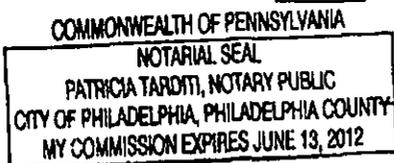
That the Applicant herein Adam Sokol acknowledges that it is under a duty to supplement information provided in answer to questions on this application and contained in supporting documents as requested by the Commission.

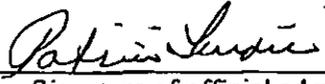
That the facts above set forth are true and correct to the best of his knowledge, information, and belief, and that he expects said Applicant to be able to prove the same at hearing.



Signature of Affiant

Sworn and subscribed before me this 22nd day of September, 2011.





Signature of official administering oath

My commission expires

OPERATIONS AFFIDAVIT

RECEIVED

SEP 22 2011

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

Commonwealth of : Pennsylvania
: ss.
County of : Philadelphia

Plymouth Rock Energy, LLC Affiant, being duly sworn according to law, deposes and says that: He is the President of Plymouth Rock Energy, LLC; That he is authorized to and does make this affidavit for said Applicant;

That Plymouth Rock Energy, LLC the Applicant herein, acknowledges that Plymouth Rock Energy, LLC may have obligations pursuant to this Application consistent with the Public Utility Code of the Commonwealth of Pennsylvania, Title 66 of the Pennsylvania Consolidated Statutes; or with other applicable statutes or regulations including Emergency Orders which may be issued verbally or in writing during any emergency situations that may unexpectedly develop from time to time in the course of doing business in Pennsylvania.

That Plymouth Rock Energy, LLC the Applicant herein, asserts that he possesses the requisite technical, managerial, and financial fitness to render electrical service within the Commonwealth of Pennsylvania and that the Applicant will abide by all applicable federal and state laws and regulations and by the decisions of the Pennsylvania Public Utility Commission.

That Plymouth Rock Energy, LLC the Applicant herein, certifies to the Commission that it is subject to, will pay, and in the past has paid, the full amount of taxes imposed by Articles II and XI of the Act of March 4, 1971 (P.L. 6, No. 2), known as the Tax Reform Act of 1971 and any tax imposed by Chapter 28 of Title 66. The Applicant acknowledges that failure to pay such taxes or otherwise comply with the taxation requirements of Chapter 28, shall be cause for the Commission to revoke the license of the Applicant. The Applicant acknowledges that it shall report to the Commission its jurisdictional Gross Receipts and power sales for ultimate consumption, for the previous year or as otherwise required by the Commission. The Applicant also acknowledges that it is subject to 66 Pa. C.S. §506 (relating to the inspection of facilities and records).

As provided by 66 Pa. C.S. §2810 (C)(6)(iv), Applicant, by filing of this application waives confidentiality with respect to its state tax information in the possession of the Department of Revenue, regardless of the source of the information, and shall consent to the Department of Revenue providing that information to the Pennsylvania Public Utility Commission

That Plymouth Rock Energy, LLC the Applicant herein, acknowledges that it has a statutory obligation to conform with 66 Pa. C.S. §506, §2807 (C), §2807(D)(2), §2809(B) and the standards and billing practices of 52 PA. Code Chapter 56.

That the Applicant agrees to provide all consumer education materials and information in a timely manner as requested by the Bureau of Public Liaison or other Commission bureaus. Materials and information requested may be analyzed by the Commission to meet obligations under applicable sections of the law.

That the facts above set forth are true and correct/true and correct to the best of his/her knowledge, information, and belief.



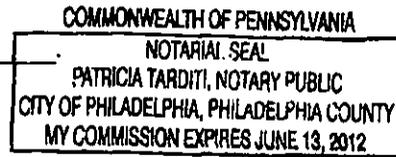
Signature of Affiant

Sworn and subscribed before me this 27th day of July, 2011.



Signature of official administering oath

My commission expires _____



RECEIVED

SEP 22 2011

Appendix F

COMMONWEALTH OF PENNSYLVANIA PUBLIC UTILITY COMMISSION

TAX CERTIFICATION STATEMENT

PA PUBLIC UTILITY COMMISSION SECRETARY'S BUREAU

A completed Tax Certification Statement must accompany all applications for new licenses, renewals or transfers. Failure to provide the requested information and/or any outstanding state income, corporation, and sales (including failure to file or register) will cause your application to be rejected. If additional space is needed, please use white 8 1/2" x 11" paper. Type or print all information requested.

1. CORPORATE OR APPLICANT NAME: Plymouth Rock Energy, LLC
2. BUSINESS PHONE NO. (866) 539-6450 CONTACT PERSON(S) FOR TAX ACCOUNTS:
3. TRADE/FICTITIOUS NAME (IF ANY): n/a
4. LICENSED ADDRESS (STREET, RURAL ROUTE, P.O. BOX NO.) (POST OFFICE) STATE (ZIP): 1074 Broadway, Woodmere, NY 11598
5. TYPE OF ENTITY: [X] LLC [] SOLE PROPRIETOR [] PARTNERSHIP [] CORPORATION [] OTHER (Describe...)

Table with 2 columns: NAME (PRINT) and SOCIAL SECURITY NUMBER (OPTIONAL). Rows include Adam Sokol, David Sokol, Samuel Ritter, and Shyam Perbaud.

7. LIST THE FOLLOWING STATE & FEDERAL TAX IDENTIFICATION NUMBERS (ALL ITEMS A, B, & C MUST BE COMPLETED)
A. SALES TAX LICENSE (8 DIGITS): 01-08843-4
B. EMPLOYER ID (EIN) (9 DIGITS): 57-1212547
C. CORPORATE BOX NUMBER (7 DIGITS): 6007726

8. Do you have PA employees, resident or non-resident? [] YES [X] NO
9. Do you own any assets or have an office in PA? [] YES [X] NO

Table with 3 columns: NAME AND PHONE NUMBER OF PERSON(S) RESPONSIBLE FOR FILING TAX RETURNS. Rows for Andy Sookram (PA SALES AND USE TAX, EMPLOYER TAXES, CORPORATE TAXES).

Telephone inquiries about this form may be directed to the Pennsylvania Department of Revenue at the following numbers: (717) 772-2673, TDD# (717) 772-2252 (Hearing Impaired Only)

Residential/Small Bus. Under 25kW Disclosure Statement for Electric Generation Suppliers

This is an agreement for electric generation service, between Plymouth Rock Energy, LLC and [customer's name] located at [customer's address].

Background

- We at Plymouth Rock Energy, LLC are licensed by the Pennsylvania Public Utility Commission to offer and supply electric generation services in Pennsylvania. Our PUC license number is _A-110XXX.
- We set the generation prices and charges that you pay. The Public Utility Commission regulates distribution prices and services. The Federal Energy Regulatory Commission regulates transmission prices and services.
- You will receive a single bill from Plymouth Rock Energy, LLC that will contain [insert distribution utility name] charges and Plymouth Rock Energy, LLC charges.
- Right of Recision - You may cancel this agreement at any time before midnight of the third business day after receiving this disclosure.

Definitions

- Generation Charge - Charge for production of electricity.
- Transmission Charge - Charge for moving high voltage electricity from a generation facility to the distribution lines of an electric distribution company.
- Nonbasic Charges – [TO BE INSERTED ON A CUSTOMER-BY-CUSTOMER BASIS, DEFINE EACH NONBASIC SERVICE BEING OFFERED].

Terms of Service

1. (a) Basic Service Prices -

- You will pay a variable rate for electric generation service. The rate will be calculated as a pass through of the wholesale costs of electric generation service. Specifically, the Energy, Losses, Congestion, Capacity, Transmission, and other Ancillary Service charges from the suppliers PJM billing statement will be charged to the customer based on the customer's usage.
- You will pay [EGS rate to be determined at start of contract] per kWh for electric transmission service.
- The rate will include Transmission Charges and Estimated Total State Taxes, including the Gross Receipts Tax, but excluding the applicable state and local Sales Taxes.

(b) Nonbasic Service Prices - Itemize Nonbasic Services you are offering and their prices.

2. Length of Agreement

- You will buy your electricity generation service for the above street address from Plymouth Rock Energy, LLC beginning on a [date set by your electric distribution company (EDC)] and will continue for [insert time frame].

3. Special Terms and Conditions - List and explain all that apply.

[TO BE INSERTED ON A CUSTOMER-BY-CUSTOMER BASIS].

Sign-up bonuses
Add-ons
Limited time offers
Other Sales Promotions
Exclusions

4. Special Services - Provide explanation of price, terms and conditions, including advanced metering deployment, if applicable.

[TO BE INSERTED ON A CUSTOMER-BY-CUSTOMER BASIS].

5. Penalties, Fees and Exceptions - List any that apply including a late payment charge. The print size for this section must be larger than the print in the rest of the agreement.

[TO BE INSERTED ON A CUSTOMER-BY-CUSTOMER BASIS].

6. Cancellation Provisions - This category may consist of both customer initiated cancellation provisions and supplier initiated cancellation provisions.

[TO BE INSERTED ON A CUSTOMER-BY-CUSTOMER BASIS].

7. Renewal Provision - If this is a fixed term agreement with automatic renewal, explain the procedure here.
[TO BE INSERTED ON A CUSTOMER-BY-CUSTOMER BASIS].

8. Agreement Expiration/Change in Terms

If you have a fixed term agreement with Plymouth Rock Energy, LLC and it is approaching the expiration date or if Plymouth Rock Energy, LLC propose to change our terms of service, we will send advance written notice in each of the last two bills or in separate mailings between 45 and 90 days before either of the effective date of the changes. We will explain your options in these two advance notices.

9. Dispute Procedures

Contact us with any questions concerning our terms of service. You may call the PUC if you are not satisfied after discussing your terms with Plymouth Rock Energy, LLC.

10. Contact Information

Generation Supplier Name:	<u>Plymouth Rock Energy, LLC</u>
Address:	<u>1074 Broadway, Woodmere, N, 11598</u>
Phone Number:	<u>267-507-1236</u>
Internet Address:	<u>www.plymouthrockenergy.com</u>
Electric Distribution Company Name:	<u>[Insert]</u>
Provider of Last Resort Name:	<u>[Insert]</u>
Address:	<u>[Insert]</u>
Phone Number:	<u>[Insert]</u>
Public Utility Commission (PUC) Address:	<u>P.O. Box 3265 Harrisburg, PA 17105-3265</u>
Electric Competition Hotline Number:	<u>1-800-692-7380</u>
Universal Service Program Name:	<u>[Insert]</u>
Phone Number:	<u>[Insert]</u>

Appendix H

**PENNSYLVANIA PUBLIC UTILITY COMMISSION
NOTICE**

Application of **Plymouth Rock Energy, LLC** For Approval To Offer Electricity As A Marketer/Broker Engaged In The Business Of Supplying Electricity To The Public In The Commonwealth Of Pennsylvania.

Plymouth Rock Energy, LLC will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electric generation services as a broker/marketer engaged in the business of supplying electricity. **Plymouth Rock Energy, LLC** proposes to sell electricity and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation Customer Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of **Plymouth Rock Energy, LLC** may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Plymouth Rock Energy's attorney at the address listed below.

By and through Counsel:

Usher Fogel

557 Central Avenue, Suite 4A, Cedarhurst, NY 11516

Phone: 516-374-8400 x308 FAX: 516-374-2600

RECEIVED

SEP 22 2011

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

PROOF OF PUBLICATION OF NOTICE IN THE WILLIAMSPORT SUN-GAZETTE UNDER ACT NO. 587, APPROVED MAY 16, 1929

STATE OF PENNSYLVANIA
COUNTY OF LYCOMING

SS:

Bernard A. Oravec Publisher of the Sun-Gazette Company, publishers of the Williamsport, Sun-Gazette, successor to the Williamsport Sun and the Gazette & Bulletin, both daily newspapers of general circulation, published at 252 West Fourth Street, Williamsport, Pennsylvania, being duly sworn, deposes and says that the Williamsport Sun was established in 1870 and the Gazette & Bulletin was established in 1801, since which dates said successor, the Williamsport Sun-Gazette, has been regularly issued and published in the County of Lycoming aforesaid, and that a copy of the printed notice is attached hereto exactly as the same was printed and published in the regular editions of said Williamsport Sun-Gazette on the following dates, viz:

September 5, 2011

Affiant further deposes that he is an officer daily authorized by the Sun-Gazette Company, publisher of the Williamsport Sun-Gazette, to verify the foregoing statement under oath and also declares that affiant is not interested in the subject matter of the aforesaid notice of publication, and that all the allegations in the foregoing statement as to time, place and character of publication are true.

PENNSYLVANIA PUBLIC UTILITY COMMISSION NOTICE
Application of Plymouth Rock Energy, LLC For Approval To Offer Electricity As-A Marketer/Broker Engaged In The Business Of Supplying Electricity To The Public In The Commonwealth Of Pennsylvania.
Plymouth Rock Energy, LLC will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity as a broker/marketer engaged in the business of supplying electricity. Plymouth Rock Energy, LLC proposes to sell electricity and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation Customer Choice and Competition Act.
The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Plymouth Rock Energy, LLC may be filed within 15 days of the date of the notice with the Secretary of the PUC, P.O. Box 3200, Harrisburg, PA 17105-3200. You should send copies of any protest to Plymouth Rock Energy's attorney at the address listed below.

By and through Counsel:
Usher Fogel
557 Central Avenue,
Suite 4A,
Cedarhurst, NY 11516
Ph: 516-374-8400 x308
FAX: 516-374-2600

THE SUN-G
and certifies

USHER'S RECEIPT FOR ADVERTISING COSTS
I hereby acknowledges receipt of the aforesaid advertising and publication costs been fully paid.

Bernard A. Oravec
SUN-GAZETTE COMPANY
Sworn to and subscribed before me
the 6th day of September 2011
Cathy A. Billey
Notary Public

NOTARIAL SEAL
CATHY A. BILLEY, Notary Public
City of Williamsport, Lycoming County
My Commission Expires May 15, 2015

STATEMENT OF ADVERTISING COSTS

To the Sun-Gazette Company, Dr.:
For publishing the notice attached
hereto on the above state dates.....\$ 709.56
Probated same.....\$
Total.....\$ 709.56

SUN-GAZETTE COMPANY

BY Bernard A. Oravec

The Patriot-News Co.
2020 Technology Pkwy
Suite 300
Mechanicsburg, PA 17050
Inquiries - 717-255-8213

The Patriot-News
Now you know

CUSTOMIZED ENERGY SOLUTIONS
1528 WALNUT ST., 22ND FLOOR
ATTN: CAITLIN JOYCE

PHILADELPHIA PA 19102

THE PATRIOT NEWS
THE SUNDAY PATRIOT NEWS

Proof of Publication

Under Act No. 587, Approved May 16, 1929
Commonwealth of Pennsylvania, County of Dauphin) ss

Holly Blain, being duly sworn according to law, deposes and says:

That she is a Staff Accountant of The Patriot News Co., a corporation organized and existing under the laws of the Commonwealth of Pennsylvania, with its principal office and place of business at 2020 Technology Pkwy, Suite 300, in the Township of Hampden, County of Cumberland, State of Pennsylvania, owner and publisher of The Patriot-News and The Sunday Patriot-News newspapers of general circulation, printed and published at 1900 Patriot Drive, in the City, County and State aforesaid; that The Patriot-News and The Sunday Patriot-News were established March 4th, 1854, and September 18th, 1949, respectively, and all have been continuously published ever since;

That the printed notice or publication which is securely attached hereto is exactly as printed and published in their regular daily and/or Sunday/ Community Weekly editions which appeared on the date(s) indicated below. That neither she nor said Company is interested in the subject matter of said printed notice or advertising, and that all of the allegations of this statement as to the time, place and character of publication are true; and

That she has personal knowledge of the facts aforesaid and is duly authorized and empowered to verify this statement on behalf of The Patriot-News Co. aforesaid by virtue and pursuant to a resolution unanimously passed and adopted severally by the stockholders and board of directors of the said Company and subsequently duly recorded in the office for the Recording of Deeds in and for said County of Dauphin in Miscellaneous Book "M", Volume 14, Page 317.

This ad # 0002167025 ran on the dates shown below:

September 06, 2011

Holly Blain

Sworn to and subscribed before me this 13 day of September, 2011 A.D.

Sherril L. Kisner

Notary Public

COMMONWEALTH OF PENNSYLVANIA

Notarial Seal

Sherril L. Kisner, Notary Public
Lower Paxton Twp., Dauphin County
My Commission Expires Nov. 26, 2011

Member, Pennsylvania Association of Notaries

PENNSYLVANIA PUBLIC UTILITY
COMMISSION
NOTICE

Application of Plymouth Rock Energy, LLC For Approval To Offer Electricity As A Marketer/Broker Engaged In The Business Of Supplying Electricity To The Public In The Commonwealth Of Pennsylvania.

Plymouth Rock Energy, LLC will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electric generation services as a broker/marketer engaged in the business of supplying electricity. Plymouth Rock Energy, LLC proposes to sell electricity and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation Customer Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of

Plymouth Rock Energy, LLC may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Plymouth Rock Energy's attorney at the address listed below.

By and through Counsel:

Usher Fogel
557 Central Avenue, Suite 4A,
Cedarhurst, NY 11516
Phone: 516-374-8400 x308
FAX: 516-374-2600

COMMONWEALTH OF PENNSYLVANIA }
 County of Cambria } SS

**PENNSYLVANIA PUBLIC UTILITY COMMISSION
 NOTICE**

Application of Plymouth Rock Energy, LLC For Approval To Offer Electricity As A Marketer/Broker Engaged In The Business Of Supplying Electricity To The Public In The Commonwealth Of Pennsylvania.

Plymouth Rock Energy, LLC will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity as a broker/marketer engaged in the business of supplying electricity. Plymouth Rock Energy, LLC proposes to sell electricity and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation Customer Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Plymouth Rock Energy, LLC may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Plymouth Rock Energy's attorney at the address listed below.

By and through Counsel:

Usher Fogel
 557 Central Avenue, Suite 4A, Cedarhurst, NY 11516
 Phone: 516-374-8400 x308 FAX: 516-374-2600

published in _____ of Cambria, and Commonwealth of Pennsylvania and that the author of said notice or advertising is _____ matter published in said publication in the regular issues of The Johnstown Tribune on September 3, 2011; and that the Affiant is not interested in the subject matter of said notice or advertising and that all of the allegations as to time, place and character of said publication are true.

Christine Marhefka

STATEMENT OF ADVERTISING COSTS

Sworn and Subscribed before me this 6th day of September, 2011.

[Signature]

0.00 Lines @ \$2.50 per line	0.00
5.5 Inches @ \$25.00 per inch	137.50
Notary Fee	5.00
Clerical Fee	2.50
Total Cost	145.00

COMMONWEALTH OF PENNSYLVANIA

Notarial Seal
 Vivian Ohs, Notary Public
 City of Johnstown, Cambria County
 My Commission Expires Dec. 8, 2012
 Member, Pennsylvania Association of Notaries

To The Tribune-Democrat, Johnstown, PA
 For publishing the notice or publication
 attached hereto on the above stated dates.

PUBLISHER'S RECEIPT FOR ADVERTISING COSTS

_____ for publisher of _____
 a newspaper of general circulation, hereby acknowledges receipt of the aforesaid
 and publication costs and certifies that the same has been duly paid.

 (Name of Newspaper)

By _____

The Scranton Times (Under act P.L. 877 No 160. July 9, 1976)
Commonwealth of Pennsylvania, County of Lackawanna

CAITLIN JOYCE CUSTOMIZED ENERGY SOLUTIONS
1528 WALNUT ST 22ND FLR
PHILADELPHIA PA 19102

Account # 534352
Order # 80694139
Ad Price: 177.90

Gina Krushinski

Being duly sworn according to law deposes and says that she is Billing clerk for The Scranton Times, owner and publisher of The Scranton Times, a newspaper of general circulation, established in 1870, published in the city of Scranton, county and state aforesaid, and that the printed notice or publication hereto attached is exactly as printed in the regular editions of the said newspaper on the following dates:

09/03/2011

Affiant further deposes and says that neither the affiant nor The Scranton Times is interested in the subject matter of the aforesaid notice or advertisement and that all allegations in the foregoing statement as time, place and character or publication are true Gina Krushinski

Sworn and subscribed to before me
this 6th day of September A.D., 2011

Sharon Venturi
(Notary Public)

COMMONWEALTH OF PENNSYLVANIA

Notarial Seal
Sharon Venturi, Notary Public
City of Scranton, Lackawanna County
My Commission Expires Feb. 12, 2014
Member, Pennsylvania Association of Notaries

LEGAL NOTICE

PENNSYLVANIA PUBLIC
UTILITY COMMISSION

Application of Plymouth Rock Energy, LLC For Approval To Offer Electricity As A Marketer/Broker Engaged In The Business Of Supplying Electricity To The Public In The Commonwealth Of Pennsylvania. Plymouth Rock Energy, LLC will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity as a broker/marketer engaged in the business of supplying electricity. Plymouth Rock Energy, LLC proposes to sell electricity and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation Customer Choice and Competition Act. The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Plymouth Rock Energy, LLC may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Plymouth Rock Energy's attorney at the address listed below.
By and through Counsel:
Usher Fogel
657 Central Avenue, Suite 4A,
Cedarhurst, NY 11516
Phone: 516-374-6400 x308
FAX: 516-374-2600

Proof of Publication in The Philadelphia Daily News
Under Act. No 587, Approved May 16, 1929

STATE OF PENNSYLVANIA
COUNTY OF PHILADELPHIA

Anna Dickerson being duly sworn, deposes and says that **The Philadelphia Daily News** is a newspaper published daily, except Sunday, at Philadelphia, Pennsylvania, and was established in said city in 1925, since which date said newspaper has been regularly issued in said County, and that a copy of the printed notice of publication is attached hereto exactly as the same was printed and published in the regular editions and issues of the said newspaper on the following dates:

September 15, 2011

Affiant further deposes and says that she is an employee of the publisher of said newspaper and has been authorized to verify the foregoing statement and that she is not interested in the subject matter of the aforesaid notice of publication, and that all allegations in the foregoing statement as to time, place and character of publication are true.

Anna Dickerson

Sworn to and subscribed before me this 15th day of
September, 2011.

Mary Anne Logan
Notary Public

My Commission Expires:

NOTARIAL SEAL
Mary Anne Logan, Notary Public
City of Philadelphia, Phila. County
My Commission Expires March 30, 2013

Copy of Notice of Publication

PENNSYLVANIA PUBLIC UTILITY COMMISSION
NOTICE

Application of Plymouth Rock Energy, LLC For Approval To Offer Electricity As A Marketer/ Broker Engaged In The Business Of Supplying Electricity To The Public In The Commonwealth Of Pennsylvania.

Plymouth Rock Energy, LLC will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity as a broker/marketer engaged in the business of supplying electricity. Plymouth Rock Energy, LLC proposes to sell electricity and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation Customer Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Plymouth Rock Energy, LLC may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Plymouth Rock Energy's attorney at the address listed below.

By and through Counsel:
Usher Fegat

557 Central Avenue, Suite 4A,
Cedarhurst, NY 11516

Phone: 516-374-8400 x308 FAX: 516-374-2800

OATH of PUBLICATION
In
THE ERIE TIMES-NEWS
COMBINATION EDITION

CUSTOMIZED ENERGY SOLUTIONS
1528 WALNUT ST FL 22ND
PHILADELPHIA PA 19102

REFERENCE: L0005307
2008860 PUC NOTICE

STATE OF PENNSYLVANIA)
COUNTY OF ERIE) SS:

Rosanne Cheeseman being duly sworn, deposes and says that she is the Publisher of the Times Publishing Company, which publishes: the Erie Times-News, established October 2, 2000, a daily newspaper of general circulation, successor, by consolidation, of the Morning News, established January 1957, and the Erie Daily Times, established April 1888, daily newspapers of general circulation and published at Erie, Erie County, Pennsylvania, and that the notice of which the attached is a copy published, in the regular editions of said newspaper of the dates referred to below. Affiant further deposes that she is duly authorized by the TIMES PUBLISHING COMPANY, publisher of The Erie Times-News to verify the foregoing statement under oath, and affiant is not interested in the subject matter of the aforesaid notice or advertisement, and that all allegations in the forgoing statement as to time, place and character of publication are true.

PUBLISHED ON: 09/08

TOTAL COST: 294.00 AD SPACE: 7.000 INCH
FILED ON: 09/08/11

PENNSYLVANIA PUBLIC UTILITY COMMISSION NOTICE
Application of Plymouth Rock Energy, LLC For Approval To Offer Electricity As A Marketer/ Broker Engaged In The Business Of Supplying Electricity To The Public In The Commonwealth Of Pennsylvania.
Plymouth Rock Energy, LLC will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity as a broker/marketer engaged in the business of supplying electricity. Plymouth Rock Energy, LLC proposes to sell electricity and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation Customer Choice and Competition Act.
The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Plymouth Rock Energy, LLC may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Plymouth Rock Energy's attorney at the address listed below.
By and through Counsel:
Usher Fogel
557 Central Avenue, Suite 4A, Cedarhurst, NY 11516
Phone: 516-374-8400 x308 FAX: 516-374-2600

Sworn to and subscribed before me this 8 day of September 2011. Affiant: Rosanne Cheeseman

NOTARY: Laurène A. Daugherty

COMMONWEALTH OF PENNSYLVANIA
Notarial Seal
Laurène A. Daugherty, Notary Public
City of Erie, Erie County
My Commission Expires Nov. 5, 2013
Member Pennsylvania Association of Notaries

Proof of Publication of Notice in Pittsburgh Post-Gazette

Under Act No 587, Approved May 16, 1929, PL 1784, as last amended by Act No 409 of September 29, 1951

Commonwealth of Pennsylvania, County of Allegheny, ss K. Flaherty, being duly sworn, deposes and says that the Pittsburgh Post-Gazette, a newspaper of general circulation published in the City of Pittsburgh, County and Commonwealth aforesaid, was established in 1993 by the merging of the Pittsburgh Post-Gazette and Sun-Telegraph and The Pittsburgh Press and the Pittsburgh Post-Gazette and Sun-Telegraph was established in 1960 and the Pittsburgh Post-Gazette was established in 1927 by the merging of the Pittsburgh Gazette established in 1786 and the Pittsburgh Post, established in 1842, since which date the said Pittsburgh Post-Gazette has been regularly issued in said County and that a copy of said printed notice or publication is attached hereto exactly as the same was printed and published in the _____ regular _____ editions and issues of the said Pittsburgh Post-Gazette a newspaper of general circulation on the following dates, viz:

06 of September, 2011

Affiant further deposes that he/she is an agent for the PG Publishing Company, a corporation and publisher of the Pittsburgh Post-Gazette, that, as such agent, affiant is duly authorized to verify the foregoing statement under oath, that affiant is not interested in the subject matter of the afore said notice or publication, and that all allegations in the foregoing statement as to time, place and character of publication are true.

COPY OF NOTICE OR PUBLICATION

**PENNSYLVANIA
PUBLIC UTILITY
COMMISSION
NOTICE**

Application of Plymouth Rock Energy, LLC For Approval To Offer Electricity As A Marketer/Broker Engaged In The Business Of Supplying Electricity To The Public In The Commonwealth Of Pennsylvania.

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The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Plymouth Rock Energy, LLC may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Plymouth Rock Energy's attorney at the address listed below.

K. Flaherty
PG Publishing Company

Sworn to and subscribed before me this day of:
September 06, 2011

Linda M. Gaertner
COMMONWEALTH OF PENNSYLVANIA

Notarial Seal
Linda M. Gaertner, Notary Public
City of Pittsburgh, Allegheny County
My Commission Expires Jan. 31, 2015
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

STATEMENT OF ADVERTISING COSTS
Customized Energy Solutions
1528 WALNUT ST FL 22
ATTN: CAITLIN JOYCE
PHILADELPHIA PA 19102-3614

To PG Publishing Company

Total ----- \$560.00

Publisher's Receipt for Advertising Costs

NY, publisher of the Pittsburgh Post-Gazette, a newspaper of general circulation, of the aforesaid advertising and publication costs and certifies that the same have

PG PUBLI
hereby ack
been fully
Of
34 Boulevard
PITTSBURG
Phone 412

By and through
Counsel:
Usher Fogel
557 Central Avenue,
Suite 4A
Cedarhurst, NY
11516
Phone:
516-374-8400 x308
FAX:
516-374-2600

PG Publishing Company, a Corporation, Publisher of
Pittsburgh Post-Gazette, a Newspaper of General Circulation

By Maria Jurek

I hereby certify that the foregoing is the original Proof of Publication and receipt for the Advertising costs in the subject matter of said notice.

Attachment 1:

Articles of Incorporation Filing Receipt

Articles of Incorporation

Pennsylvania Business Registration

Certificate of Good Standing

List of Officers

FILING RECEIPT

=====

ENTITY NAME: PLYMOUTH ROCK ENERGY, LLC

DOCUMENT TYPE: ARTICLES OF ORGANIZATION (DOM LLC)

COUNTY: KING

SERVICE COMPANY: BUSINESS FILINGS INCORPORATED

SERVICE CODE: M9 *

=====

FILED:09/02/2004 DURATION:12/31/2044 CASH#:040902000031 FILM #:040902000031

ADDRESS FOR PROCESS

EXIST DATE

DAVID SOKOL
165 REMSEN STREET
BROOKLYN, NY 11201

09/02/2004

REGISTERED AGENT

DAVID SOKOL
165 REMSEN STREET
BROOKLYN, NY 11201



=====

FILER	FEE	AMOUNT	PAYMENTS	AMOUNT
BUSINESS FILINGS INCORPORATED	FILING	200.00	CASH	0.00
8025 EXCELSIOR DR., SUITE 200	TAX	0.00	CHECK	0.00
MADISON, WI 53717	CERT	0.00	CHARGE	0.00
	COPIES	10.00	DRAWDOWN	235.00
	HANDLING	25.00	BILLED	0.00
			REFUND	0.00

F040902000031

**ARTICLES OF ORGANIZATION
OF
PLYMOUTH ROCK ENERGY, LLC**

Under Section 203 of the Limited Liability Company Law:

FIRST: The name of the limited liability company is: **PLYMOUTH ROCK ENERGY, LLC**

SECOND: The office of the limited liability company is to be located in the city of Brooklyn, county of Kings, state of New York.

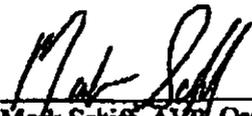
THIRD: The latest date on which the limited liability company is to dissolve is: 12/31/2044.

FOURTH: The secretary of state is designated as the agent of the limited liability Company upon whom process against it may be served. The post office Address within or without of this state to which the secretary of state shall mail a copy of any process against the limited liability company served upon him or her is: David Sokol, 165 Remsen Street, Brooklyn, New York 11201.

FIFTH: The name and street address within this state of the registered agent of the Registered agent of the limited liability company upon whom and at which process against the limited liability company can be served is: David Sokol, 165 Remsen Street, Brooklyn, New York 11201. Located in the county of Kings.

SIXTH: The limited liability company is to be managed by 1 or more Members.

IN WITNESS WHEREOF, this certificate has been subscribed this 1st day of September, 2004 by the undersigned who affirms that the statements made herein are true under the penalties of perjury.


Mark Schiff, AVE, Organizer
Business Filings Incorporated
8025 Excelsior Dr., Suite 200
Madison, WI 53717

F 040902000 031

CERTIFICATE OF ORGANIZATION OF PLYMOUTH ROCK ENERGY, LLC

040902000

yc

STATE OF NEW YORK
DEPARTMENT OF STATE
FILED

SEP -2 2004

TAX \$ _____
BY: *[Signature]*

NAME AND ADDRESS OF FILER
Drawdown Acct. - #M9
Business Filings Incorporated
8025 Excelsior Dr., Suite 200
Madison WI 53717

[Signature]

2004 SEP -2 AM 8:00
FILED

2

031

040902000

BUREAU OF CORPORATION TAXES
PO BOX 280705
HARRISBURG PA 17128-0705



PLYMOUTH ROCK ENERGY L
1074 BROADWAY
WOODMERE NY 11595

NOTICE #:..... 01088434
DATE OF NOTICE:..... 05/02/2011
ACCOUNT ID:..... 6007-726
FISCAL YEAR END:..... DEC
FEDERAL EIN #:..... PA-9546106
INCORPORATION DATE:.. 03/31/2011
TAXES SUBJECT:..... EF

FOREIGN FRANCHISE
LOANS
CORPORATE NET INCOME

Dear Taxpayer,

Welcome to Pennsylvania's business community. The Department of Revenue has been advised that you are authorized to conduct business in Pennsylvania.

The above Corporate Account ID number has been assigned to your business for tax reporting purposes. Please reference this number on all correspondence with the department. The taxes you are required to report annually are also listed. Carefully review this information and make sure your name, address and other tax information is complete and accurate.

If no federal employer identification number (EIN) is indicated above, please provide this number as soon as it is available to you from the federal government. Write the federal EIN in the top right-hand corner in the blank space and return this letter to us.

If there are changes or additions to be made regarding your account, make the appropriate adjustments on a copy of this letter and return it promptly to:

PA DEPARTMENT OF REVENUE
PO BOX 280705
HARRISBURG PA 17128-0705

PLEASE NOTE: Section 601 of the Tax Reform Code of 1971 includes limited liability companies and business trusts in the definition of a corporation for capital-stock/foreign franchise tax purposes, regardless of how an entity files with the Internal Revenue Service (IRS). Under Section 401, any entity that elects to file as a corporation with the IRS is subject to corporate net income tax. In the case of limited liability companies and business trusts, this determination will be made upon review of the PA Corporation Tax Report.

Pay particular attention to the month your business or fiscal year ends for the following reasons:

- For most taxes, the annual report must be filed within 105 days after the close of the tax year.
- For capital stock/foreign franchise, corporate net income and mutual thrift taxes, the first quarterly estimated payments are due within 75 days following the incorporation/authority date.
- A federal sub-chapter S corporation desiring not to be taxed as a PA S corporation is required to file form REV-976 on or before the due date or extended due date of the first tax period for which it is to be in effect. REV-976 is available at www.revenue.state.pa.us.

Over ...

Payments of \$20,000 or more must be remitted electronically. Register online through the department's e-Services Center at www.revenue.state.pa.us to send tax payments to the department online using e-TIDES.

Tax reports must be filed timely each year, even if your first year in business is less than 12 months long, and regardless of the extent of business activity. You are legally obligated to pay timely and file all appropriate tax returns until you formally dissolve your corporate charter, file an out of existence affidavit or cancel a license or authorization. Failure to maintain a current filing status may result in penalties and liens.

The Department of Revenue appreciates your cooperation and wishes your business much success in Pennsylvania. If you have any questions, visit our Online Customer Service Center at www.revenue.state.pa.us or call the Taxpayer Service & Information Center at 717-787-1064.

Sincerely,

PA Department of Revenue
Bureau of Corporation Taxes

PLYMOUTH ROCK ENERGY
1074 BROADWAY,
WOODMERE NY 11598

Enclosed is the information you requested. Your payment of \$50.00 is hereby acknowledged.

If the name on the enclosed document(s) does not match exactly with the name of the entity you requested, this office does not have a record of the exact name you requested. The document(s) provided appear(s) to be of sufficient similarity to be the entity requested.

201109010090 101

State of New York
Department of State } ss:

I hereby certify, that PLYMOUTH ROCK ENERGY, LLC a NEW YORK Limited Liability Company filed Articles of Organization pursuant to the Limited Liability Company Law on 09/02/2004, and that the Limited Liability Company is existing so far as shown by the records of the Department.



*WITNESS my hand and the official seal
of the Department of State at the City of
Albany, this 31st day of August two
thousand and eleven.*

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

First Deputy Secretary of State

Plymouth Rock Energy, LLC

List of Officers

Officers:

Adam Sokol, President

1074 Broadway

Woodmere, NY 11598

asokol@plymouthenergy.com

Phone: 516-634-2152

Fax: 718-852-8628

Sam (Samuel) Ritter, COO

1074 Broadway

Woodmere, NY 11598

sritter@plymouthenergy.com

Phone: 516-734-0408

Fax: 718-852-8628

David Sokol, Vice President

1074 Broadway

Woodmere, NY 11598

dsokol@plymouthenergy.com

Phone: 516-634-2151

Fax: 718-852-8628

Shyam Persaud, VP of Finance

1074 Broadway

Woodmere, NY 11598

spersaud@plymouthenergy.com

Phone: 516-634-2501

Fax: 718-852-8628

Mendy Sokol, Chairman

1074 Broadway

Woodmere, NY 11598

msokol@plymouthenergy.com

Phone: 516-634-2153

Fax: 718-852-8628

Attachment 2:

Organizational Structure

Audited Financials 2008/2009

Audited Financials 2009/2010

Attachment 3:

PJM New Member Notice

NYISO Member Acceptance

New York Department of Public Service ESCO Certification

New Jersey Gas and Electric Supplier Licenses

Resumes from Samuel Ritter and Shyam Persaud

List of Officers

PJM Interconnection, L.L.C.
New Members
February 14, 2011 to June 1, 2011

Company Name	Effective Date
Border Energy Electric Services, Inc.	6/1/2011
People's Power & Gas, LLC	5/26/2011
Scylla Energy LLC	5/12/2011
Aspen Merchant Energy, LP	5/5/2011
Enserco Energy, Inc.	5/2/2011
SMART Papers Holdings, LLC	5/2/2011
Blue Pilot Energy, LLC	4/29/2011
Amerigreen Energy, Inc.	4/26/2011
Cobalt Capital Partners, LLC	4/26/2011
Heateron Energy, LLC	4/26/2011
Twin Eagle Resource Management, LLC	4/26/2011
Keil & Sons, Inc. dba Systrum Energy	4/15/2011
Energy Exchange International, LLC	4/5/2011
Highland North LLC	4/5/2011
Monterey MA, LLC	3/30/2011
Monterey MAF, LLC	3/30/2011
Santanna Energy Services	3/30/2011
Strategic Transmission LLC	3/30/2011
Bruce Power Inc.	3/28/2011
Evraz Claymont Steel	3/28/2011
Midwest Energy Trading East LLC	3/28/2011
Northport USA, LLC	3/28/2011
KeyTex Energy Solutions LLC	3/25/2011
Atlantic Grid Operations A, LLC	3/23/2011
Balance Power Systems, LLC	3/21/2011
AP Gas & Electric (IL), LLC	3/18/2011
AP Gas & Electric (MD), LLC	3/18/2011
AP Gas & Electric (NJ), LLC	3/18/2011
Traditum Group LLC	3/14/2011
XO Energy MA, LP	3/10/2011
XO Energy MA2, LP	3/10/2011
HIKO Energy, LLC	3/9/2011
Middlesex County Utilities Authority	3/9/2011
West Deptford Energy, LLC	3/9/2011
Duke Energy Kentucky, Inc.	3/4/2011
Plymouth Rock Energy, LLC	3/4/2011
Raiden Commodities LP	3/4/2011
Dynasty Power Inc	3/1/2011
Great American Power, LLC	3/1/2011
Paulding Wind Farm II LLC	2/25/2011
Central Transmission, LLC	2/23/2011
Northeast Transmission Development, LLC	2/23/2011
Duke Energy Commercial Asset Management, INC	2/16/2011
Town of Berlin, Maryland	2/16/2011
U.S. Energy Partners dba PAETEC Energy Marketing	2/16/2011

July 23, 2010

Plymouth Rock Energy LLC
165 Remson Street
Brooklyn, NY 11201
Attn: Adam Sokol

Dear Mr. Sokol:

Your application to become a customer of the New York Independent System Operator has been approved. You are now able to fully participate in the New York electric energy markets in accordance with the Tariffs under which you have elected to take service.

We look forward to providing the services needed to ensure reliable operation of the New York bulk transmission system and to facilitate an open, fair, and effective competitive electricity wholesale marketplace.

If we can be of assistance to you in your participation in this marketplace, please contact us at (518) 356-6060 or via e-mail at market_services@nyiso.com. Also, we invite you to become familiar with our web site www.nyiso.com. It contains important information about the NYISO with links to the OASIS/MIS, billing data, NYISO Manuals, contact information, a calendar of events, training schedules, and other market information.

Regards,



Roger Kirkpatrick,
Manager, Customer Support & Training

**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



STATE OF NEW JERSEY
Board of Public Utilities
Two Gateway Center – Suite 801
Newark, NJ 07102
www.nj.gov/bpu/

Chris Christie
Governor

Kim Guadagno
Lt. Governor

Kristi Izzo
Secretary of the Board
Tel. # (973) 648-3426

May 16, 2011

Usher Fogel, Esq.
557 Central Avenue, Suite 4A
Cedarhurst, New York 11516

Re: **Electric Power and Natural Gas Supplier Initial Licenses**
Dkt. Nos. EE11040244L & GE11010009L

Dear Mr. Fogel:

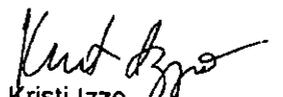
In accordance with the Electric Discount and Energy Competition Act of 1999, N.J.S.A. 48:3-49 et seq., at its May 16, 2011 Agenda meeting, the New Jersey Board of Public Utilities voted to issue a **License** as an Electric Power Supplier and renew the Natural Gas License to Plymouth Rock Energy, LLC. Your license numbers are ESL-0102 and GSL-0038 respectively.

The enclosed License is effective May 16, 2011 and expires on May 15, 2012. This license 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 registrant. Registrants shall comply with all applicable law, 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 Anna Procopio at (609) 292-1681.

Sincerely,


Kristi Izzo
Secretary of the Board

KI/atp
Encl.(s)

State of New Jersey



Board of Public Utilities

Two Gateway Center – Suite 801, Newark, New Jersey 07102

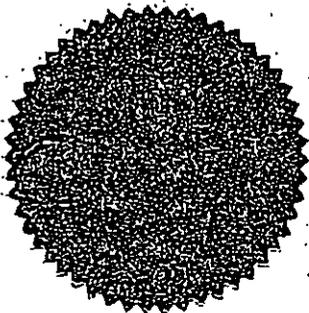
HEREBY REGISTERS

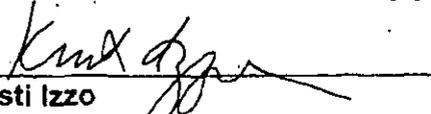
Plymouth Rock Energy, LLC

338 Maitland Avenue
Teaneck, New Jersey 07666

To conduct business in the State of New Jersey as a

Gas Supplier




Kristi Izzo
Secretary of the Board

Registration No. GSL-0038
Effective Date: May 16, 2011
Expiration Date: May 15, 2012

State of New Jersey



Board of Public Utilities

Two Gateway Center – Suite 801, Newark, New Jersey 07102

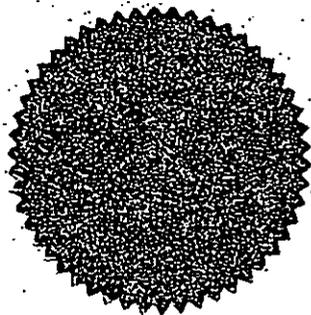
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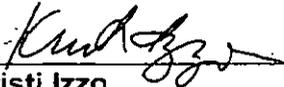
Plymouth Rock Energy, LLC

338 Maitland Avenue
Teaneck, New Jersey 07666

To conduct business in the State of New Jersey as an

Electric Power Supplier





Kristi Izzo
Secretary of the Board

Registration No: ESL-0102
Effective Date: May 16, 2011
Expiration Date: May 15, 2012

Samuel N. Ritter

264 Van Nostrand Avenue, Englewood, New Jersey 07631

p: 917-715-9711

e: samuelritter@gmail.com

Education: Columbia University, Fu Foundation School of Engineering, New York, NY
Master of Science, December 2002, Operations Research Engineering – GPA: 3.61
Yeshiva University, Yeshiva College, New York, NY
Bachelor of Arts, January 2000, Major: Physics, Minor: Mathematics

Passed the SOA/CAS Actuary Exam I - May 2003

Work Experience:

Plymouth Rock Energy
Chief Operating Officer

Woodmere, New York
January 2011 - Present

As a member of the executive team, involved in the day to day management and growth of a New York based natural gas and electricity ESCO.

Key Responsibilities include:

- Expansion and development of the electricity business within the current natural gas footprint as well as into neighboring territories.
- Expansion of the existing internal infrastructure within the departments of finance, risk, supply, technology and operations.
- Establish revenue and budget forecasts for the promotion of short term and long term, tactical and strategic planning expectations for the overall business

RBS Sempra Commodities
Natural Gas Trading & Marketing

Stamford, Connecticut
October 2009 – December 2010

Sat on the natural gas trading desk at RBS Sempra Commodities where I managed a book and position of customer flow business. Customer book consisted of retail energy service companies (ESCO's), power plants, municipalities and large industrial clients utilizing cash and forward physical and financial markets to manage their demand side needs.

- Active in physical and paper markets: NYMEX, basis, index in the Northeast, Southeast, Gulf and Midwest.
- Liaise between customers and regional market making desks/electronic exchanges.
- Assist with and create client relationships and improve operational work flow for the trading and marketing side of business.
- Analyze, review and respond to supply and AMA RFP's
- Strong knowledge and experience with the structured finance/supply/guarantee arrangement commonly found between high credit rated trading institutions and ESCO's

Senior Business Analyst

July 2008 – September 2009

Managed 3 enterprise-wide project implementation initiatives. Day-to-day tasks included business owner interviews and investigation, execution plan documentation, modification testing and end-user training

Management Information – Revenue Reporting

- Designed and implemented revenue capture and reporting business process within time and resource budget

Interest Rate and FX Risk

- Integrated non-trading book IR and FX exposure into risk and hedging reporting., IR and FX Forward curve validation

Deal Tracker Workflow

- Primary business analyst on corporate rollout of Deal Tracker application
- Liaise between end-users and development team on enhancements and functionality

GasLimit, Inc.
Co-Founder

Monsey, New York
May 2007 – July 2008

GasLimit was launched as a "proof of concept" looking to provide fuel price risk management services to small and medium size vehicle fleets. The company's niche was to perform as mass market counterparty for fuel consumers in need of medium to long term retail fuel price guarantees for budgeting and/or cash flow planning purposes. The resulting price risk would then be hedged by purchasing offsetting, financially settled, refined fuel products in bulk from energy traders and brokers similar to the deregulated retail natural gas and electricity model.

- Managed all aspects of the venture – fund raising, website design and development, counterparty/trading relationships, market risk, sales and marketing
- Market test results could not justify the continuation of the venture and entity was wound down in July 2008

Gateway Energy Services Corp (formerly Econnergy Energy Company)
Senior Director, Trading, Pricing and Risk

Suffern, New York
July 2003 – May 2007

Managed the Trading, Pricing and Risk Group for a retail aggregator of natural gas and power (ESCO). The company served 250,000 residential and small commercial customers across 7 states in the Northeast United States with approximately \$500 million in annual revenue. Key responsibilities included planning and execution for physical commodity, financial hedging, retail rate construction, risk management and general middle office management; reported directly to the CEO and CFO.

Trading and Supply Management Tasks

- Oversaw planning and performed execution of all physical and financial commodity purchasing

Risk Management Tasks

- Hedging responsibilities using swaps, futures, options and other derivatives to cover retail book of business
- Re-engineered work flow processes for the mitigation of operational risks

General Tasks

- Coordinated the development of reporting and pricing tools

Computer Skills:

Microsoft Office, SQL, DB Structures, Programming Logic, energy trading platforms.
Elementary knowledge of: VBA (Excel), JAVA & C++

Professional Skills:

Swaps, Options, Derivatives, Bond Pricing, Calculus, Statistics, Simulation, VaR
Utility and Retail Energy (ESCO) commodity price risk, some FAS133

Interests and Hobbies:

Traveling, Music, Snowboarding, Reading, Tennis

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

Innovative and Entrepreneurial Leadership ~ Business Development ~ Change Management

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
- Due Diligence
- Treasury
- Corporate / Operational Finance
- Process Improvement
- Business Development
- Change Management
- Mergers and Acquisitions
- Risk Management
- Sarbanes-Oxley (SOX) Requirement
- Employee Development
- Budgets and Forecasts
- System Technology Design & Implementation

CAREER ACCOMPLISHMENTS

- Partnered with the Board in providing analysis, 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 1 week, 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, Woodmere, NY

May 2011 –Present

Energy service provider of natural gas and electricity to residential, commercial and industrial customers.

Vice President of Finance

- Member of the executive team involved in the management 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 management of the company.

SHYAM PERSAUD

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

- Manages the Finance Department, developing and implementing financial management reports, analysis and models.
- Partnering with executive management and Board in developing strategies and executing on these strategies to achieve the overall business objectives.
- Partnering 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.
- In the process of implementing AX Project in Latin America.
- Converted accounting reporting standard from CGAAP 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.

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.

SHYAM PERSAUD

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
Leading retail bookseller with annual sales of \$4.8 billion

January 1990 - January 2000

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 – Merchandise 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.

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.

SHYAM PERSAUD

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)

Plymouth Rock Energy, LLC

List of Officers

Officers:

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Mendy Sokol, Chairman
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msokol@plymouthenergy.com
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Fax: 718-852-8628

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SEP 22 2011

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

CERTIFICATE OF SERVICE

On this the 21 day of September 2011, I certify that a true and correct copy of the foregoing application form for licensing within the Commonwealth of Pennsylvania as an Electric Generation Supplier and all attachments have been served upon the following:

Office of Consumer Advocate
5th Floor, Forum Place
555 Walnut Street
Harrisburg, PA 17120

Small Business Advocate
Commerce Building, Suite 1102
300 North Second Street
Harrisburg, PA 17101

Manager Energy Acquisition
PECO Energy Company
2301 Market Street
Philadelphia, PA 19101-8699

Regulatory Affairs
Duquesne Light Company
411 Seventh Street, MD 16-4
Pittsburgh, PA 15219

Allegheny Power
Legal Department
Wes Penn Power d/b/a Allegheny Power
800 Cabin Hill Drive
Greensburg, PA 15601-1689


Adam Sokol, President, Plymouth Rock Energy, LLC

Office of the Attorney General
Bureau of Consumer Protection
Strawberry Square, 14th Floor
Harrisburg, PA 17120

Commonwealth of Pennsylvania
Department of Revenue
Bureau of Compliance
Harrisburg, PA 17128-0946

Legal Department
Attn: Paul Russell
PPL
Two North Ninth Street
Allentown, PA 18108-1179

Legal Department
First Energy
2800 Pottsville Pike
Reading PA, 19612

RECEIVED

SEP 22 2011

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

From: (215) 875-9440
 Sharon Barra
 Customized Energy Solutions
 1528 Walnut Street, 22nd Floor
 Philadelphia, PA 19102

Origin ID: MUVA



Ship Date: 22SEP11
 ActWgt: 1.0 LB
 CAD: 7872057/NET3180

Delivery Address Bar Code

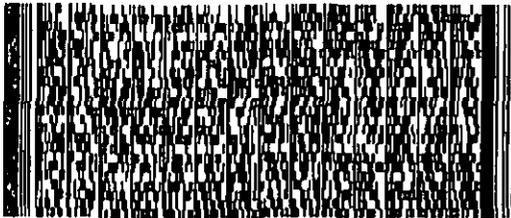


SHIP TO: (215) 875-9440 **BILL SENDER**
Pennsylvania Public Utility Commiss
Secretary
Keystone Building
2nd Floor, Room N201
HARRISBURG, PA 17120

Ref #
 Invoice #
 PO #
 Dept #

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From: (215) 875-9440
 Sharon Barra
 Customized Energy Solutions
 1528 Walnut Street, 22nd Floor

Philadelphia, PA 19102

Origin ID: MUVA



J12201209200325

Ship Date: 26NOV12
 ActWgt: 1.0 LB
 CAD: 7872057/NET3300

Delivery Address Bar Code



SHIP TO: (215) 875-9440

BILL SENDER

Pennsylvania Public Utility Commiss
Secretary
KEYSTONE BUILDING
2nd Floor Room N201
HARRISBURG, PA 17120

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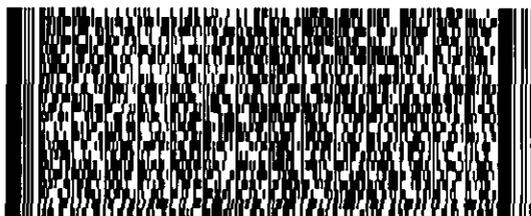
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