

BEFORE THE PENNSYLVANIA PUBLIC UTILITY COMMISSION

Application of Legend Energy Advisors LLC, d/b/a Legend Energy Advisors, for approval to offer, render, furnish, or supply natural gas supply 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:

Legend Energy Advisors LLC
120 East 23rd Street
New York, NY 10010
www.Legendenergyadvisors.com
646-604-2788

- 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.

InCorp Services, Inc.
7208 Red Top Prad
Hummelstown, PA 17036
P: 800-246-2677 F: 800-246-2678

- 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.

Daniel Crosby, Managing Director
120 East 23rd Street
New York, NY 10010
P: 212-924-8525
F: 307-316-0406
E: dcrosby@legendea.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.

Not using an attorney

- 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 (2 REQUIRED)** responsible for addressing customer complaints. These persons will ordinarily be the initial point(s) of contact for resolving complaints filed with the Applicant, the Natural Gas 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 NGSS.

Brendan Boyle, Director of Account Management
120 East 23rd Street
New York, NY 10010
P: 646-604-2788
F: 307-316-0406
E: bboyle@legendea.com

Bill Cannon, Director of Northeast Markets
120 East 23rd Street
New York, NY 10010
P: 203-858-8392
F: 307-316-0406
E: bcannon@legendea.com

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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.

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.

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.

No Affiliates

- 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.

No predecessors

4. OPERATIONS

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

Definitions

- Supplier – an entity which provides natural gas supply services to retail gas customers utilizing the jurisdictional facilities of an natural gas distribution company
- Broker/Marketer - an entity that acts as an intermediary in the sale and purchase of natural gas but does not take title to the natural gas.

- The Applicant is presently doing business in Pennsylvania as a
- natural gas interstate pipeline
 - municipality providing service outside its municipal limits
 - local gas distribution company
 - retail supplier of natural gas services in the Commonwealth
 - a natural gas producer
 - a broker/marketer engaged in the business of supplying natural gas 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:

- Supplier or Aggregator of natural gas services
- Municipal supplier of natural gas services
- Cooperative supplier of natural gas services
- Broker/Marketer engaged in the business of supplying natural gas services
 - Check here to verify that your organization will not be taking title to the natural gas nor will you be making payments for customers.
- Other (Describe):

c. **PROPOSED SERVICES:** Describe in detail the natural gas supply services which the Applicant proposes to offer.

Legend Energy Advisors intends to provide energy services related to natural gas in purchasing strategies, measuring efficiency, and enhancing sustainability.

d. **PROPOSED SERVICE AREA:** Check the box of each Natural Gas Distribution Company for which the Applicant proposes to provide service.

- | | |
|--|--|
| <input checked="" type="checkbox"/> Columbia | <input checked="" type="checkbox"/> Philadelphia Gas Works |
| <input checked="" type="checkbox"/> National Fuel Gas | <input checked="" type="checkbox"/> UGI Central Penn |
| <input checked="" type="checkbox"/> PECO | <input checked="" type="checkbox"/> UGI Penn natural |
| <input checked="" type="checkbox"/> Peoples Gas – Equitable Div. | <input checked="" type="checkbox"/> UGI Utilities |
| <input checked="" type="checkbox"/> Peoples Natural Gas | <input type="checkbox"/> Valley Energy |
| <input checked="" type="checkbox"/> Peoples TWP | <input type="checkbox"/> All of the above |

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

- Residential Customers
- Small Commercial Customers - (Less than 6,000 Mcf annually)
- Residential and Small Commercial as Mixed Meter **ONLY (CANNOT BE TAKEN WITH RESIDENTIAL AND/OR SMALL COMMERCIAL ABOVE)**
- Large Commercial Customers - (6,000 Mcf or more annually)
- Industrial Customers
- Governmental Customers
- All of above (Except Mixed Meter)
- Other (Describe):

f. **START DATE:** Provide the approximate date the Applicant proposes to actively market within the Commonwealth.

December 1st 2015

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.

Not applicable

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

Not applicable

- 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.

No Actions

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

Not Applicable

6. PROOF OF SERVICE

Required of ALL Applicants regardless of operating as a supplier, broker, marketer, or aggregator.
(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

Bureau of Investigation & Enforcement
Pennsylvania Public Utility Commission
Commonwealth Keystone Building
400 North Street, 2 West
Harrisburg, PA 17120

b.) **NGDCs:** 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 Natural Gas 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 NGDC is as follows.

<p>Columbia Gas of PA, Inc. Thomas C. Heckathorn 200 Civic Center Drive Columbus, OH 43215 PH: 614.460.4996 FAX: 614.460.6442 theckathorn@nisource.com</p>	
<p>Peoples Natural Gas – Equitable Division Lynda Petrichevich 225 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: Lynda.w.petrichevich@peoples-gas.com</p>	<p>National Fuel Gas Distribution Corp. David D. Wolford 6363 Main Street Williamsville, NY 14221 PH: 716.857.7483 FAX: 716.857.7479 e-mail: wolfordd@natfuel.com</p>
<p>The Peoples Natural Gas Company Lynda Petrichevich 225 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: Lynda.w.petrichevich@peoples-gas.com</p>	<p>PECO Carlos Thillet, Manager, Gas Supply and Transportation 2301 Market Street, S9-2 Philadelphia, PA 19103 PH: 215.841.6452 Email: carlos.thillet@exeloncorp.com</p>
<p>Peoples TWP LLC (Formerly T. W. Phillips) Lynda Petrichevich 225 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: Lynda.w.petrichevich@peoples-gas.com</p>	<p>Philadelphia Gas Works Nicholas LaPergola 800 West Montgomery Avenue Philadelphia, PA 19122 PH: 215.684.6278 email: nicholas.lapergola@pgworks.com</p>
<p>UGI Central Penn David Lahoff 2525 N. 12th Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3520 Email: dlahoff@ugi.com</p>	<p>UGI David Lahoff 2525 N. 12th Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3520 Email: dlahoff@ugi.com</p>
<p>Valley Energy Inc. Robert Crocker 523 South Keystone Avenue Sayre, PA 18840-0340 PH: 570.888-9664 FAX: 570.888.6199 email: bobc@ctenterprises.org</p>	<p>UGI Penn Natural David Lahoff 2525 N. 12th Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3520 Email: dlahoff@ugi.com</p>

7. FINANCIAL FITNESS

a. **BONDING:** In accordance with 66 Pa. C.S. Section 2208(c), no natural gas supplier license shall be issued or remain in force unless the applicant or holder furnishes a bond or other security in a form and amount to ensure the financial responsibility of the natural gas supplier. The criteria used to determine the amount and form of such bond or other security shall be set by each NGDC. Provide documentation that the applicant has met the security requirement of each NGDC by submitting the letters sent by the NGDCs stating what bonding amounts they require.

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:

- 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. **SUPPLIER FUNDING METHOD:** If Applicant is operating as anything other than **Broker/Marketer only**, explain how Applicant will fund its operations. Provide all credit agreements, lines of credit, etc., and elaborate on how much is available on each item.

We are operating strictly as a broker. Not applicable.

d. **BROKER PAYMENT STRUCTURE:** If applicant is a broker/marketer, explain how your organization will be collecting your fees.

We will be collecting fees directly from our customers as consulting fees, or we will be paid a per unit fee by the natural gas supplier. It will be the customer's decision how we will receive these payments.

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

Daniel Crosby, Managing Director
120 East 23rd Street
New York, NY 10010
P: 212-924-8525
F: 307-316-0406
E: dcrosby@legendea.com

- f. **TAXATION:** Complete the TAX CERTIFICATION STATEMENT attached as Appendix D 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 natural gas distribution companies 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:

- Applicant's previous experience in the natural gas industry.
- Summary and proof of licenses as a supplier of natural gas 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.
- Any other information appropriate to ensure the technical capabilities of the Applicant.

- b. **PROPOSED MARKETING METHOD** (check all that apply)

- Internal – Applicant will use its own internal resources/employees for marketing
- External NGS – Applicant will contract with a **PUC LICENSED NGS**
- Affiliate – Applicant will use a **NON-NGS affiliate that is a nontraditional marketer and/or marketing services consultant**
- External Third-Party – Applicant will contract with a **NON-NGS third party nontraditional marketer and/or non-selling marketer**
- Other (Describe):

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

- Yes
- No

If yes, will the Applicant be using verification procedures?

- Yes
- No

If yes, describe the Applicant's verification procedures.

d. **OVERSIGHT OF MARKETING:** Explain all methods Applicant will use to ensure all marketing is performed in an ethical manner, for both employees and subcontractors.

Legend Energy Advisors will use existing relationships and customer referrals to market our services to new customers.

e. **OFFICERS:** Identify Applicant's chief officers, and include the professional resumes for any officers directly responsible for operations. All resumes should include date ranges and job descriptions containing actual work experience.

Daniel Crosby, Managing Director
Resume Attached

9. **DISCLOSURE STATEMENT:**

(Not applicable for an applicant applying for a license exclusively as a broker/marketer.)

DISCLOSURE STATEMENTS: If proposing to serve Residential and/or Small Commercial (less than 6,000 Mcf annually) Customers, provide a Residential and/or Small Commercial disclosure statement. A sample disclosure statement is provided as Appendix E to this Application.

- Natural gas 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. **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 § 62.114.

AGREED

- b. **REPORTING REQUIREMENTS:** Applicant agrees to provide the following information to the Commission:

- **Reports of Gross Receipts:** Applicant shall file an annual report with the Commission on an annual basis no later than April 30th following the end of the calendar year per 52 Pa. Code § 62.110.

AGREED

- c. **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. § 2208(d). Transferee will be required to file the appropriate licensing application.

AGREED

- d. **ANNUAL FEES:** The Public Utility Code authorizes the PUC to collect an annual fee of \$350 from suppliers, brokers, marketers, and aggregators selling natural gas in the Commonwealth of PA, and a supplemental fee based on annual gross intrastate revenues, applicable to suppliers only.

ACKNOWLEDGED

- e. **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 § 62.105.

AGREED

- f. **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

- g. 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 thirty (30) days, as to the specifics of any changes which have a significant impact on the conduct of business in Pennsylvania. See 52 Pa. Code § 62.105.

AGREED

- h. 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

- i. FILING FEE:** The Applicant has enclosed or paid the required, non-refundable filing fee by **CERTIFIED CHECK OR MONEY ORDER** in the amount of \$350.00 payable to the Commonwealth of Pennsylvania. The Commission does not accept corporate or personal checks for filing fees.

PAYMENT ENCLOSED

11. AFFIDAVITS
(All affidavits must be notarized before filing.)

- 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 Public Utility Code of Pennsylvania and applicable federal and state laws. An example copy of this Affidavit can be found at Appendix B.

12. NEWSPAPER PUBLICATIONS

Required of ALL Applicants regardless of operating as a supplier, broker, marketer, or aggregator.

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 Natural Gas Suppliers looking to do business in Pennsylvania.

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

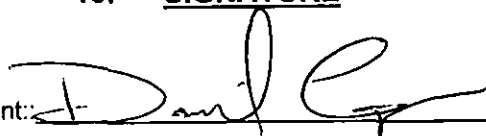
Please file with the Commission the Certification of Publication, along with a Photostatic copy of the notice to complete the notice requirements.

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.

	Erie Times-News	Harrisburg Patriot-News	Philadelphia Daily News	Pittsburgh Post-Gazette	Scranton Times-Tribune	Williamsport Sun-Gazette	Johnstown Tribune-Democrat
Columbia Gas	X	X		X		X	X
Equitable Gas	X			X			
National Fuel Gas				X			
PECO			X				
Peoples Natural Gas	X			X			X
Peoples TWP LLC				X			
Philadelphia Gas Works			X				
UGI		X	X		X		
UGI Central Penn	X	X	X	X	X	X	X
UGI Penn Natural		X			X	X	
Valley Energy					X	X	
Entire Commonwealth	X	X	X	X	X	X	X

(Example Publications are provided at Appendices F and G)

13. SIGNATURE

Applicant: 

By: Daniel Crosby

Title: Managing Director

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 is complete.

Applicant: Legend Energy Advisors

	Signature	
x	Filing Fee (ONLY CERTIFIED CHECK OR MONEY ORDER)	
x	Application Affidavit	
x	Operations Affidavit	
x	Proof of Publication	
x	Tax Certification Statement	
x	Commonwealth Department of State Verification	
x	Certificate of Service	

Applicant's Use

PUC Secretary's Bureau Use

Appendix A

APPLICATION AFFIDAVIT

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PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

[Commonwealth/State] of New York :

ss.

County of New York :

Daniel Crosby, Affiant, being duly [sworn/affirmed] according to law, deposes and says that:

[He/she is the Managing Director (Office of Affiant) of Legend Energy Advisors (Name of Applicant);]

[That he/she is authorized to and does make this affidavit for said Applicant;]

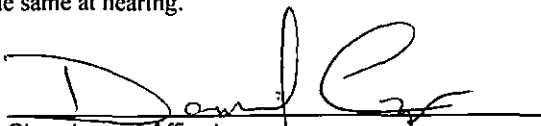
That the Applicant herein Legend Energy Advisors has the burden of producing information and supporting documentation demonstrating its technical and financial fitness to be licensed as a natural gas supplier pursuant to 66 Pa. C.S. § 2208 (c)(1).

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

That the Applicant herein Legend Energy Advisors 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 Legend Energy Advisors 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/her knowledge, information, and belief, and that he/she expects said Applicant to be able to prove the same at hearing.

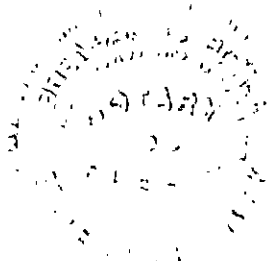

Signature of Affiant

Sworn and subscribed before me this 17th day of November, 2015.


Signature of official administering oath

BRENDAN J. BOYLE
Notary Public, State of New York
No. 01B06331362
Qualified in New York County
~~Commission Expires October 15, 2019~~

My commission expires _____



Appendix B

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PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

OPERATIONS AFFIDAVIT

[Commonwealth/State] of New York :

SS.

County of New York :

Daniel Crosby, Affiant, being duly [sworn/affirmed] according to law,
deposes and says that:

[He/she is the Managing Director (Office of Affiant) of Legend Energy Advisors
(Name of Applicant);]

[That he/she is authorized to and does make this affidavit for said Applicant;]

That Legend Energy Advisors, the Applicant herein, acknowledges that [Applicant] 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 Legend Energy Advisors, the Applicant herein, asserts that [he/she/it] possesses the requisite technical, managerial, and financial fitness to render natural gas supply 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 Legend Energy Advisors 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 22 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 natural gas 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).

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.

Appendix B (Continued)

That Legend Energy Advisors, the Applicant herein, acknowledges that it has a statutory obligation to conform with 66 Pa. C.S. §506 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 Office of Communications 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

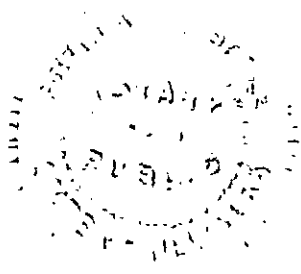
Sworn and subscribed before me this 17th day of November, 2015.



Signature of official administering oath

BRENDAN J. BOYLE
Notary Public, State of New York
No. 01BO6331362
Qualified in New York County
Commission Expires October 15, 2019

My commission expires _____



PROOF OF PUBLICATION
In
THE ERIE TIMES-NEWS
COMBINATION EDITION

Legend Energy Advisors
1 Penn Plaza, Ste. 6184
New York NY 10119

REFERENCE: 82286 92608
PUC Notice

STATE OF PENNSYLVANIA)
COUNTY OF ERIE) SS:

Debra McGraw, being duly sworn, deposes and says that: (1) he/she is a designated agent of the Times Publishing Company (TPC) to execute Proofs of Publication on behalf of the TPC; (2) the TPC, whose principal place of business is at 205 W. 12th Street, Erie, Pennsylvania, owns and publishes the Erie Times-News, established October 2, 2000, a daily newspaper of general circulation, and published at Erie, Erie County Pennsylvania; (3) the subject notice or advertisement, a true and correct copy of which is attached, was published in the regular edition(s) of said newspaper on the date(s) referred to below. Affiant further deposes that he/she is duly authorized by the TPC, owner and 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 foregoing statement as to time, place and character of publication are true.

PUBLISHED ON: 09/11/14

TOTAL COST: \$409.00 AD SPACE: 0 Lines

FILED ON: 09/11/14

RECEIVED

NOV 20 2015

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

PENNSYLVANIA PUBLIC UTILITY COMMISSION
NOTICE

Applications of Legend Energy Advisors LLC for Approval To Offer Electric Generation and Natural Gas Services As A Broker Engaged In The Business Of Supplying Electricity & Natural Gas To The Public In The Commonwealth Of Pennsylvania. Legend Energy Advisors LLC will be filing applications with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electric generation and natural gas services as a broker/marketer engaged in the business of supplying electricity and natural gas. Legend Energy Advisors proposes to sell electricity, natural gas and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation & Natural Gas Customer Choice and Competition Act.

The PUC may consider these applications without a hearing. Protests directed to the technical or financial fitness of Legend Energy Advisors 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 Legend Energy Advisors LLC's at the address listed below.

1 Penn Plaza, Suite 6184, New York, NY 10119
Phone 212-824-8525 Fax 307-316-0406

Sworn to and subscribed before me this 14th day of September 2014

Affiant: Debra McGraw

NOTARY: Barbara J. Moore

COMMONWEALTH OF PENNSYLVANIA
Notarial Seal
Barbara J. Moore, Notary Public
City of Erie, Erie County
My Commission Expires March 23, 2016
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

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

The Patriot-News
Now you know

LEGEND ENERGY ADVISORS
1 PENN PLAZA SUITE 6184

NEW YORK NY 10119

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

Marianne Miller, being duly sworn according to law, deposes and says:

That she is the Assistant Controller 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

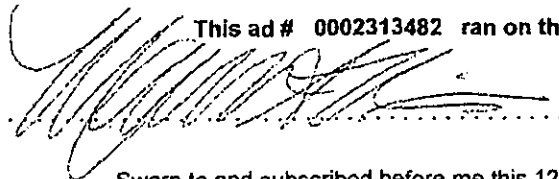
That she has personal knowledge of the facts aforesaid and is duly authorized and empowered to verify this statement on behalf of The Patriot-News Co. aforesaid by virtue and pursuant to a resolution unanimously passed and adopted severally by the stockholders and board of directors of the said Company 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.

PUBLICATION COPY

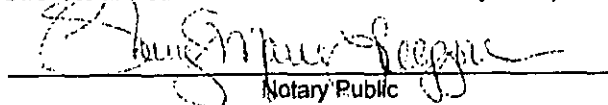
This ad # 0002313482 ran on the dates shown below:

September 11, 2014

PENNSYLVANIA
PUBLIC UTILITY COMMISSION
NOTICE
Applications of Legend Energy
Advisors LLC For Approval To Offer
Electric Generation and Natural Gas
Services As A Broker Engaged In The
Business Of Supplying Electricity &
Natural Gas To The Public In The
Commonwealth Of Pennsylvania.
Legend Energy Advisors LLC will be
filing applications with the
Pennsylvania Public
Utility Commission ("PUC") for a
license to supply electricity or electric
generation and natural gas services as a
broker/marketer engaged in the
business of supplying electricity and
natural gas. Legend Energy Advisors
proposes to sell electricity, natural gas
and related services throughout all of
Pennsylvania under the provisions of the
new Electricity Generation & Natural
Gas Customer Choice and Competition
Act.
The PUC may consider these
applications without a hearing. Protests
directed to the technical or financial
fitness of Legend Energy Advisors 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 Legend Energy Advisors
LLC's at the address listed below.
1 Penn Plaza, Suite 6184, New York,
NY 10119
Phone 212-674-8325 Fax 307-316-0406



Sworn to and subscribed before me this 12 day of September, 2014 A.D.


Notary Public

COMMONWEALTH OF PENNSYLVANIA
NOTARIAL SEAL
Sheryl Maria Leggore, Notary Public
Hampden Twp., Cumberland County
My Commission Expires July 16, 2018
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

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

STATE OF PENNSYLVANIA
COUNTY OF PHILADELPHIA

Florence Devlin 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 11, 2014

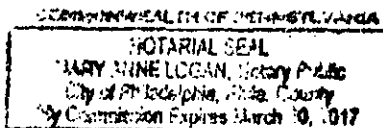
Affiant further deposes and says that she is an employee of the publisher of said newspaper and has been authorized to verify the foregoing statement and that she is not interested in the subject matter of the aforesaid notice of publication, and that all allegations in the foregoing statement as to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



Sworn to and subscribed before me this 11th day of
September, 2014.


Notary Public

My Commission Expires:



Copy of Notice of Publication

PENNSYLVANIA
PUBLIC UTILITY COMMISSION NOTICE
Applications of Legend Energy Advisors, LLC
For Approval To Offer Electric Generation and
Natural Gas Services As A Broker, Engaged In
The Business Of Supplying Electricity & Natural
Gas To The Public In The Commonwealth Of
Pennsylvania.
Legend Energy Advisors LLC will be filing ap-
plications with the Pennsylvania Public Utility
Commission ("PUC") for a license to supply
electricity of electric generation and natural gas
services as a broker/market, engaged in the
business of supplying electricity and natural
gas. Legend Energy Advisors proposes to sell
electricity, natural gas and related services
throughout all of Pennsylvania under the provi-
sions of the new Electricity Generation & Natu-
ral Gas Customer Choice and Competition Act.
The PUC may consider these applications with-
out a hearing. Protests directed to the technical
or financial fitness of Legend Energy Advisors
may be filed within 15 days of the date of the
notice with the Secretary of the PUC, P.O. Box
3265, Harrisburg, PA 17105-3265. You should
send copies of any protest to Legend Energy
Advisors LLC at the address listed below.
1 Penn Plaza, Suite 6184, New York, NY 10119
Phone 212-924-6526 Fax 307-316-0408

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:

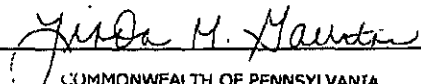
11 of September, 2014

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.



PG Publishing Company

Sworn to and subscribed before me this day of:
September 11, 2014



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

Legend Energy Advisors
1 Penn Plaza, Suite 6184
Attn: Daniel Crosby, LEED AP
New York NY 10119

To PG Publishing Company

Total ----- \$405.00

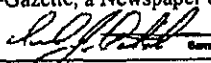
Publisher's Receipt for Advertising Costs

PG PUBLISHING COMPANY, publisher of the Pittsburgh Post-Gazette, a newspaper of general circulation, hereby acknowledges receipt of the aforesaid advertising and publication costs and certifies that the same have been fully paid.

Office
34 Boulevard of the Allies
PITTSBURGH, PA 15222
Phone 412-263-1338

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

By _____


Daniel J. Aronson

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.

COPY OF NOTICE OR PUBLICATION

PENNSYLVANIA PUBLIC UTILITY COMMISSION NOTICE

Applications of Legend Energy Advisors LLC For Approval To Offer Electric Generation and Natural Gas Services As A Broker Engaged In The Business Of Supplying Electricity & Natural Gas, To The Public In The Commonwealth Of Pennsylvania.

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

The PUC may consider these applications without a hearing. Protests directed to the technical or financial fitness of Legend Energy Advisors 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 Legend Energy Advisors LLC's at the address listed below.

1 Penn Plaza, Suite 6184, New York, NY 10119, Phone 212-924-8525, Fax 307-316-0406

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:

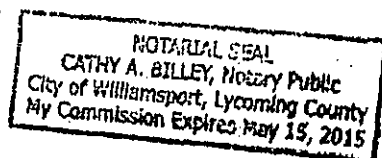
Bernard A. Oravec Publisher of the Sun-Gazette Company, publishers of the Williamsport, Sun-Gazette, successor to the Williamsport Sun and the Gazette & Bulletin, both daily newspapers of general circulation, published at 252 West Fourth Street, Williamsport, Pennsylvania, being duly sworn, deposes and 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 11, 2014

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 the conditions in the foregoing statement as to time, place and character of publication are true.

PENNSYLVANIA
PUBLIC UTILITY
COMMISSION
NOTICE:
Applications of Legend Energy Advisors LLC For Approval To Offer Electric Generation and Natural Gas Services As A Broker Engaged In The Business Of Supplying Electricity & Natural Gas To The Public In The Commonwealth Of Pennsylvania.
Legend Energy Advisors LLC will be filing applications with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity, or electric generation, and natural gas services as a broker/marketor engaged in the business of supplying electricity and natural gas. Legend Energy Advisors proposes to sell electricity, natural gas and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation & Natural Gas Customer Choice and Competition Act.
The PUC may consider these applications without a hearing. Protests directed to the technical or financial fitness of Legend Energy Advisors may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3285, Harrisburg, PA 17105-3285. You should send copies of any protest to Legend Energy Advisors' LLC's at the address listed below.
1 Penn Plaza, Suite 8184,
New York, NY 10119
Phone 212-824-8525
Fax 307-316-0408

Bernard A. Oravec
SUN-GAZETTE COMPANY
Sworn to and subscribed before me
the 12th day of September, 2014
Cathy A. Billey
Notary Public



STATEMENT OF ADVERTISING COSTS

To the Sun-Gazette Company, Dr.:
For publishing the notice attached
hereto on the above state dates.....\$196.56
Probated same.....\$
Total.....\$196.56

PUBLISHER'S RECEIPT FOR ADVERTISING COSTS

THE SUN- NY hereby acknowledges receipt of the aforesaid advertising and publication costs and certifies that the same have been fully paid.

SUN-GAZETTE COMPANY

BY Bernard A. Oravec

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

LEGEND ENERGY ADVISORS
DANIEL CROSBY
1 PENN PLAZA, SUITE 6184 NEW YORK NY 10119

Account # 597540
Order # 81537804
Ad Price: 178.90

LEGAL NOTICE PENNSYLVANIA

Gina Krushinski

Being duly sworn according to law deposes and says that (s)he 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:

09/10/2014

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 10th day of September A.D., 2014

Sharon Venturi
(Notary Public)

COMMONWEALTH OF PENNSYLVANIA
Notarial Seal
Sharon Venturi, Notary Public
City of Scranton, Lackawanna County
My Commission Expires Feb. 12, 2018
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

LEGAL NOTICE

PENNSYLVANIA PUBLIC UTILITY
COMMISSION NOTICE

Applications of Legend Energy Advisors LLC For Approval To Offer Electric Generation and Natural Gas Services As A Broker Engaged In The Business Of Supplying Electricity & Natural Gas To The Public In The Commonwealth Of Pennsylvania.

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

The PUC may consider those applications without a hearing. Protests directed to the technical or financial fitness of Legend Energy Advisors 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 Legend Energy Advisors LLC's at the address listed below.

1 Penn Plaza, Suite 6184,
New York, NY 10119
Phone 212-924-8525 Fax 307-318-0406

COMMONWEALTH OF PENNSYLVANIA }
 County of Cambria } SS

PENNSYLVANIA PUBLIC UTILITY COMMISSION
 NOTICE

Applications of Legend Energy Advisors LLC For Approval To Offer Electric Generation and Natural Gas Services As A Broker Engaged In The Business Of Supplying Electricity & Natural Gas To The Public In The Commonwealth Of Pennsylvania.

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

The PUC may consider these applications without a hearing. Protests directed to the technical or financial fitness of Legend Energy Advisors 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 Legend Energy Advisors LLC at the address listed below.

1 Penn Plaza, Suite 6184, New York, NY 10119
 Phone 212-824-8525 Fax 307-316-0408

On this 15th day of September A.D. 2014, before me, the subscriber, a Notary Public in and for said County and State, personally appeared Christine Marhefka, who being duly sworn according to law, deposes and says as Classified Advertising Manager of the Tribune-Democrat, Johnstown, PA, a newspaper of general circulation as defined by the "Newspaper Advertising Act", a merger September 8, 1952, of the Johnstown Tribune, established December 7, 1853; and of the Johnstown Democrat, established March 5, 1863,

published continuously at Johnstown Pa. in the County of Cambria, and Commonwealth of Pennsylvania and that the annexed is a true copy of a notice in the above matter published in said publication in the regular issues of The Johnstown Tribune-Democrat, Johnstown, PA, on September 10, 2014; 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 15th day of September, 2014.

[Signature]

0.00 Lines @	\$2.50 per line	0.00
5 Inches @	\$25.00 per inch	125.00
Notary Fee		5.00
Clerical Fee		2.50
Total Cost		132.50

COMMONWEALTH OF PENNSYLVANIA
 Notarial Seal
 Vivian Ohs, Notary Public
 City of Johnstown, Cambria County
 My Commission Expires Dec. 6, 2016
 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 _____



Corporations

[Online Services](#) | [Corporations](#) | [Forms](#) | [Contact Corporations](#) | [Business Services](#)

- Search
- By Business Name
- By Business Entity ID
- Verify
- Verify Certification
- Online Orders
- Register for Online Orders
- Order Subsistence Certificate
- Order Certified Documents
- Order Business List
- My Images
- Search for Images

Business Entity Filing History

Date: 5/14/2015 (Select the link above to view the Business Entity's Filing History)

Business Name History

Name	Name Type
Legend Energy Advisors LLC	Current Name

Limited Liability Company - Foreign - Information

Entity Number: 4308297
Status: Active
Entity Creation Date: 10/14/2014
State of Business.: WY
Registered Office Address: % Incorp Services Inc
 PA
 Dauphin
Mailing Address: No Address

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[Privacy Policy](#) | [Security Policy](#)

COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF STATE
BUREAU OF CORPORATIONS AND CHARITABLE ORGANIZATIONS
401 NORTH STREET, ROOM 206
P.O. BOX 8722
HARRISBURG, PA 17105-8722
WWW.CORPORATIONS.STATE.PA.US/CORP

Legend Energy Advisors LLC

THE BUREAU OF CORPORATIONS AND CHARITABLE ORGANIZATIONS IS HAPPY TO SEND YOU YOUR FILED DOCUMENT. THE BUREAU IS HERE TO SERVE YOU AND WANTS TO THANK YOU FOR DOING BUSINESS IN PENNSYLVANIA.

IF YOU HAVE ANY QUESTIONS PERTAINING TO THE BUREAU, PLEASE VISIT OUR WEB SITE LOCATED AT WWW.CORPORATIONS.STATE.PA.US/CORP OR PLEASE CALL OUR MAIN INFORMATION TELEPHONE NUMBER (717)787-1057. FOR ADDITIONAL INFORMATION REGARDING BUSINESS AND / OR UCC FILINGS, PLEASE VISIT OUR ONLINE "SEARCHABLE DATABASE" LOCATED ON OUR WEB SITE.

ENTITY NUMBER: 4308297

Crosby, Daniel
1 Penn Plaza, Suite 6184
New York, NY 10119

Entity #: 4308287
Date Filed: 10/14/2014
Carol Aichele
Secretary of the Commonwealth

PENNSYLVANIA DEPARTMENT OF STATE
CORPORATION BUREAU

Application for Registration - Foreign
(15 Pa.C.S.)

- Registered Limited Liability General Partnership (§ 8211)
 Registered Limited Liability Limited Partnership (§ 8211)
 Limited Partnership (§ 8582)
 Limited Liability Company (§ 8981)

Name Daniel Crosby		
Address 1 Penn Plaza, Suite 6184		
City New York City	State NY	Zip Code 10119

Document will be returned to the name and address you enter to the left.

Commonwealth of Pennsylvania
Application for Registration 3 Page(s)



Fee: \$250

In compliance with the requirements of the applicable provisions (relating to registration), the undersigned, desiring to register to do business in this Commonwealth, hereby states that:

1. The name of the limited liability company/limited liability partnership/limited partnership in the jurisdiction in which it is formed:
Legend Energy Advisors LLC

2. The name under which the limited liability company/limited liability partnership/limited partnership proposes to register and do business in this Commonwealth is:
Legend Energy Advisors LLC

3. The name of the jurisdiction under the laws of which it was organized and the date of its formation:
Jurisdiction: Wyoming Date of Formation: April 23, 2014

4. The (a) address of its initial registered office in this Commonwealth or (b) name of its commercial registered office provider and the county of venue is:

(a) Number and street	City	State	Zip	County
(b) Name of Commercial Registered Office Provider <u>InCorp Services, Inc.</u>				County <u>Dauphin County</u>

Dept. of State
SEP 24 2014

RECEIVED

NOV 20 2015

2014 NOV -5 PM 2: 14
PA DEPT. OF STATE

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

3. Check and complete one of the following:

The address of the office required to be maintained by it in the jurisdiction of its organization by the laws of that jurisdiction is:

1712 Pioneer Ave, Suite 312	Cheyenne	Wyoming	82001
Number and street	City	State	Zip

It is not required by the laws of its jurisdiction of organization to maintain an office therein and the address of its principal office is:

Number and street	City	State	Zip

6. ~~For Restricted Professional Limited Liability Company Only. Strike out if inapplicable. The company is a restricted professional company organized to render the following professional service(s):~~

Limited Liability Partnerships and Limited Partnerships: Complete paragraphs 7 and 8

7. The name and business address of each general partner.

Name	Business Address

8. The address of the office at which is kept a list of the names and addresses of the limited partners and their capital contribution is:

Number and street	City	State	Zip	County

The registered partnership hereby undertakes to keep those records until its registration to do business in the Commonwealth is canceled or withdrawn.

IN TESTIMONY WHEREOF, the undersigned has caused this Application for Registration to be signed by a duly authorized officer/member or manager thereof this

20 day of SEPT., 2014

LEGEND ENERGY ADVISORS LLC
Name of Partnership/Company

Daniel C. [Signature]
Signature

MANAGING DIRECTOR
Title

ATTACHMENT A

Technical Competence

Legend Energy Advisors was formed on April 23, 2014 as a Wyoming Limited Liability Company. We have been conducting business since then with commercial and industrial customer in New York and Texas. We have obtained licenses in the states of Ohio, New Jersey, and Massachusetts, and began doing business in those states once the licenses were granted.

Our company provides energy consulting to commercial and industrial end users of electricity and natural gas. We assist these customers in energy procurement, as well as demand management, sustainability and efficiency projects, and data management. We look forward to expanding our services so that customers in Pennsylvania can receive the same high level of advisory services. Our website outlines our full suite of services: www.LegendEnergyAdvisors.com.

The principle of the company, Daniel Crosby, has been in the retail energy business for almost 10 years and has managed the national and international energy portfolios of Fortune 500 companies. He has a degree in Mechanical Engineering and a background in commercial construction and upstream oil and gas before entering the retail energy space. His career has afforded a deep understanding of the energy business from drilling, generation and exploration to demand side energy usage at customer facilities. He has helped companies tap interstate pipelines, establish wholesale power, nominate and balance pipeline gas as well as develop complicated hedging strategies in various domestic and international energy markets.

Our Director of Account Management, Brendan Boyle, has 9 years of experience in the deregulated energy markets, including the State of Pennsylvania. He spent six years as the Pricing and Operations Manager for a Brokerage Firm that was (and remains) licensed (license # A-2009-2132890). He spent three years as a Sales Manager for a licensed electric and natural gas supplier (A-110025).

The company is affiliated with several energy providers, which cover the Pennsylvania electric and natural gas markets. We have several current customers with facilities across the country, and they are eager for Legend Energy Advisors to obtain the necessary licensing so that we can serve their locations in Pennsylvania.

Legend Energy Advisors will be offering Energy Brokerage services to new customers in the Pennsylvania market for both power and electricity purchasing.

RECEIVED

NOV 20 2015

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

Attachment A



Chris Christie
Governor

Kim Guadagno
Lt. Governor

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

Kristi Izzo
Secretary to the Board
(609) 292-1599

November 21, 2014

Daniel Crosby, Managing Director
Legend Energy Advisors LLC
1 Penn Plaza, Suite 6184
New York, NY 10119

RECEIVED

NOV 20 2015

Re: **Energy Agent Initial Registration**
Dkt. No. EE14060568L

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

Dear Mr. Crosby:

In accordance with the Electric Discount and Energy Competition Act of 1999, N.J.S.A. 48:3-49 et seq., at its November 21, 2014 Agenda meeting, the New Jersey Board of Public Utilities voted to issue a **REGISTRATION** as an Energy Agent to Legend Energy Advisors LLC. Your registration number is EA-0303.

The enclosed registration is effective November 21, 2014 and expires on November 20, 2015. This registration 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,

A handwritten signature in black ink that reads "Kristi Izzo".

Kristi Izzo
Secretary of the Board

KI/alp
Encl.(s)

Attachment A

State of New Jersey



Board of Public Utilities

44 South Clinton Avenue, P.O. Box 350, Trenton, New Jersey 08625-0350

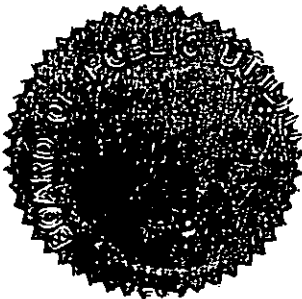
HEREBY REGISTERS

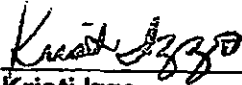
Legend Energy Advisors LLC

1712 Pioneer Avenue
Suite 321
Cheyenne, Wyoming 82001

To conduct business in the State of New Jersey as an

Energy Agent





Kristi Izzo
Secretary to the Board

Registration No. EA-0303
Effective Date: November 21, 2014
Expiration Date: November 20, 2015

Attachment A

NEW JERSEY DEPARTMENT OF THE TREASURY
DIVISION OF REVENUE AND ENTERPRISE SERVICES

CERTIFICATE OF REGISTRATION

LEGEND ENERGY ADVISORS LLC

0400656019

The above-named FOREIGN LIMITED LIABILITY COMPANY was duly filed in accordance with New Jersey state law on 05/01/2014 and was assigned identification number 0400656019. Following are the articles that constitute its original certificate.

1. Name:

LEGEND ENERGY ADVISORS LLC

2. Registered Agent:

INCorp SERVICES INC.

3. Registered Office:

208 WEST STATE ST
TRENTON, NJ 08608 1002

4. Business Purpose:

ENERGY AGENT

5. Incorporated Under the Laws of:

WYOMING on 04/23/2014

6. Effective Date of this Filing is:

05/01/2014

7. Date FLC intends to start business activity in NJ:

05/15/2014

8. Main Business Address:

1712 PIONEER AVE STE.321
CHEYENNE, WY 82001

Signatures:

DANIEL CROSBY

AUTHORIZED REPRESENTATIVE



Certification# 132098951

Verify this certificate at

https://www1.state.nj.us/TYTR_StandingCert/JSP/Verify_Cert.jsp

*IN TESTIMONY WHEREOF, I have
hereunto set my hand and affixed my
Official Seal at Trenton, this
1st day of May, 2014*

A handwritten signature in black ink, appearing to read "Andrew P. Sidamon-Eristoff".

Andrew P Sidamon-Eristoff
State Treasurer

Attachment A

FILE

The Public Utilities Commission of Ohio
Ohio Competitive Retail Natural Gas Aggregator/Broker Certificate

Issued pursuant to Case Number(s):

14-1093-GA-AGG

is

Ohio Competitive Retail Natural Gas Aggregator/Broker Certificate Number:

14-370G(1)

Granted to:

Legend Energy Advisors, LLC

Whose office or principal place of business is located at:
1712 Pioneer Avenue, Suite 321, Cheyenne, WY 82001

And is hereby certified to provide:

Retail Natural Gas Aggregator/Broker Services

within the state of Ohio, for a two-year period.

Certification Effective:

July 17, 2014 through July 17, 2016

The certification of Ohio competitive retail natural gas aggregators/brokers is governed by Chapter 4901:1-27 of the Ohio Administrative Code and section 4929.20 of the Ohio Revised Code.

This Certificate is revocable if all of the conditions set forth in the aforementioned case(s) as well as those under law, are not met.

Certified entity is subject to all rules and regulations of the commission, now existing or hereafter promulgated.

Witness the seal of the Commission affixed at Columbus, Ohio

Dated: **July 16, 2014**

By Order of
The Public Utilities Commission of Ohio



Barcy F. McNeal, Secretary

Tanowa M. Troupe, Acting Secretary

Felecia D. Burdett, Acting Secretary

Form No. CRNGS/AGG/B-06

This is to certify that the images appearing are an accurate and complete reproduction of a case file document delivered in the regular course of business.
Technician Ann Date Processed 7/16/14

John Kasich, Governor
Thomas W. Johnson, Chairman

Commissioners
Steven D. Lesser
Asim Z. Haque
Lynn Siaby
M. Beth Trombold

PUBLIC UTILITIES COMMISSION OF OHIO

Certified as a Competitive Retail Electric Service Provider

Certificate Number:

14-846E (1)

Issued Pursuant to Case Number(s):

14-1092-EL-AGG

A certificate as a Competitive Retail Electric Service Provider is hereby granted to, **Legend Energy Advisors LLC** whose office or principal place of business is located at 1712 Pioneer Ave., Ste. 321, Cheyenne, WY 82001 to provide aggregation and power broker services within the State of Ohio effective **July 17, 2014**.

The certification of competitive retail electric suppliers is governed by Section 4901:1-24-(01-13) of the Ohio Administrative Code, Section 4901:1-21-(01-15) of the Ohio Administrative Code, and Section 4928.08 of the Ohio Revised Code.

This Certificate is revocable if all of the conditions set forth in the aforementioned case(s) are not met.

Subject to all rules and regulations of the Commission, now existing or hereafter promulgated.

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

Dated: July 21, 2014

By Order of

PUBLIC UTILITIES COMMISSION OF OHIO



Barcy F. McNeal, Secretary
Tanowa M. Troupe, Acting Secretary
Felecia D. Burdett, Acting Secretary

Certificate Expires: July 17, 2016

This is to certify that the images appearing are an accurate and complete reproduction of a case file document delivered in the regular course of business.
Technician Ad Date Processed 7/21/14

Attachment A

COMMISSIONERS

W. KEVIN HUGHES
CHAIRMAN

HAROLD D. WILLIAMS
LAWRENCE BRENNER
ANNE E. HOSKINS

STATE OF MARYLAND



PUBLIC SERVICE COMMISSION

#20, 6/17/15 AM; ML# 168548
License Reference No.: IR-3523

June 17, 2015

Daniel James Crosby
Managing Director
Legend Energy Advisors, LLC
25 Highland Park
Dallas, TX 75205

Dear Mr. Crosby:

On May 18, 2015, Legend Energy Advisors, LLC ("Company") filed an Application for a License to Supply Electricity or Electric Generation Services in Maryland under COMAR 20.51. The Company proposes to provide electricity supplier services in Maryland for commercial and industrial customers as described in the application.

After considering this matter at the June 17, 2015 Administrative Meeting, the Commission granted the Company a license to supply electricity or electric generation services in Maryland (License Reference Number IR-3523). The license granted by the Commission under this Letter Order is limited solely to electricity supplier broker services for the customer classes and service territories applied for and recommended by Staff. Additionally, the Company is directed to provide marketing and training materials specific to its Maryland operations to the Commission Staff 30 days prior to commencing operations in Maryland.

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

By Direction of the Commission,

/s/ David J. Collins

David J. Collins
Executive Secretary

DJC/st

cc: Phil VanderHeyden, Electricity Division
Obi Linton, Director, External Relations

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

410-767-8000 • Toll Free: 1-800-492-0474 • FAX: 410-333-6495

MDRS: 1-800-735-2258 (TTY/Voice) • Website: www.psc.state.md.us

ATTACHMENT B

Daniel J. H. Crosby

danieljcroby@mac.com

25 Highland Park Village, Dallas, TX 75205

203.517.7553

EDUCATION

September 1997- August 2002 **Auburn University, College of Engineering** Auburn, AL

- Bachelor of Science in Mechanical Engineering
 - Minor in Business

WORK EXPERIENCE

April 2014-Present **Legend Energy Advisors** New York City, NY
Managing Director

- Built energy consulting business from ground up
- Leveraged deep industry contacts to quickly establish relationships with suppliers
- Built industrial client book in less than 30 days

September 2011-April 2014 **Atlas Commodities** New York City, NY
Managing Director

- Built retail energy group for wholesale energy brokerage company
- Managed all day to day operations and employees for retail business unit
- Hired all employees in business unit and developed training procedures
- Implemented all internal systems ranging from CRM to telemetry platforms
- Lead sales team to \$1M in sales in less than 12 months

RECEIVED

NOV 20 2015

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

October 2009-September 2011 **Tradition Energy** Dallas, TX-Stamford, CT
Business Development - National Account Sales

- Acquired and managed \$100M in energy spend for National & Fortune 500 Clients
- Developed new business pipelines including partnerships with top 5 private equity firms, top 5 international accounting firms, and top 3 international engineering firms
- Assisted clients in development of capital energy projects including tapping interstate pipelines, power generation, demand response, high voltage transmission and substations
- Conducted financial analysis and made strategy recommendations for national and international clients across global energy portfolios including several nationally recognized internet companies
- Found strategic opportunities for national clients to utilize dynamics of different power markets to significantly increase value of capital projects

May 2009 – October 2009 **Pure Energy Solutions** Dallas, TX
Business Development - Industrial Accounts

- Brought technical knowledge of the power industry to start industrial accounts division
- Sourced over 300,000 MWh in 4 months
- Established a new energy sourcing relationship to service companies largest accounts
- Assisted other associates in the closing of more complex negotiations
- Designed Excel tracking for the major accounts group to track deal flow and leads
- Worked with ONCOR engineers on transformer design and install for new projects
- Created a Contractor division to capture projects at ground breaking

ATTACHMENT B

February 2008 – May 2009

**NewFund Capital
Acquisitions/Business Development**

Dallas, TX

- Evaluate Oil and Gas Investment Opportunities
- Research well production, growth probabilities, ownership rights, and operator contracts
- Perform financial due diligence on potential energy investments
- Evaluated Alternative oil and gas investments (disposal wells, service companies, etc)
- Oversee outside Engineering for development projects
- Create Budgets and Schedules for development projects
- Won and oversaw \$4M+ in competitive government development contracts

June 2001- 2008

**DSDC Developers
General Partner**

Nashville, TN

- Created a residential and commercial contracting company while in college
- Took on investors after graduation and transitioned to development
- Performed market research and found potential development properties
- Performed financial analysis for potential projects
- Responsible for overall P/L of the Company
- Negotiated bidding, contracts and payments by sub-contractors and vendors
- Managed day to day operations as well as future direction of the company

CERTIFICATIONS

- LEED Accredited Professional

ACTIVITIES/PERSONAL INTEREST

- Carpentry and Furniture Design
- Mountaineering (Summits of McKinley/Rainier/Shasta)
- Backpacking/ Fly fishing
- Mentoring program for high school students in the Bronx

REFERENCE

Available upon Request

Appendix C

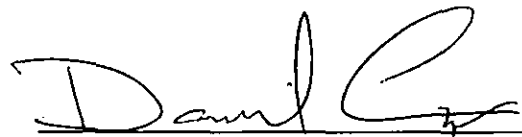
Required of ALL Applicants regardless of operating as a supplier, broker, marketer, or aggregator.

**Example
CERTIFICATE OF SERVICE**

On this the 17th day of November 2015, I certify that a true and correct copy of the foregoing application form for licensing within the Commonwealth of Pennsylvania as a Natural Gas Supplier and all **NON-CONFIDENTIAL** attachments have been served, as either a hardcopy or a searchable PDF version on a cd-rom, upon the following:

<p>Office of Consumer Advocate 5th Floor, Forum Place 555 Walnut Street Harrisburg, PA 17120</p>	<p>Office of the Attorney General Bureau of Consumer Protection Strawberry Square, 14th Floor Harrisburg, PA 17120</p>
<p>Office of the Small Business Advocate Commerce Building, Suite 1102 300 North Second Street Harrisburg, PA 17101</p>	<p>Commonwealth of Pennsylvania Department of Revenue Bureau of Compliance Harrisburg, PA 17128-0946</p>
<p>Columbia Gas of PA, Inc. Thomas C. Heckathorn 200 Civic Center Drive Columbus, OH 43215 PH: 614.460.4996 FAX: 614.460.6442 theckathorn@nisource.com</p>	<p align="center">RECEIVED NOV 20 2015 PA PUBLIC UTILITY COMMISSION SECRETARY'S BUREAU</p> <p>Bureau of Investigation & Enforcement Pennsylvania Public Utility Commission Commonwealth Keystone Building 400 North Street, 2 West Harrisburg, PA 17120</p>
<p>Peoples Natural Gas – Equitable Division Lynda Petricevich 225 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: Lynda.w.petricevich@peoples-gas.com</p>	<p>National Fuel Gas Distribution Corp. David D. Wolford 6363 Main Street Williamsville, NY 14221 PH: 716.857.7483 FAX: 716.857.7479 e-mail: wolfordd@natfuel.com</p>
<p>The Peoples Natural Gas Company Lynda Petricevich 225 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: Lynda.w.petricevich@peoples-gas.com</p>	<p>PECO Carlos Thillet, Manager, Gas Supply and Transportation 2301 Market Street, S9-2 Philadelphia, PA 19103 PH: 215.841.6452 Email: carlos.thillet@exeloncorp.com</p>
<p>Peoples TWP LLC (Formerly T. W. Phillips) Lynda Petricevich 225 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: Lynda.w.petricevich@peoples-gas.com</p>	<p>Philadelphia Gas Works Nicholas LaPergola 800 West Montgomery Avenue Philadelphia, PA 19122 PH: 215.684.6278 email: nicholas.lapergola@pgworks.com</p>

<p>UGI Central Penn David Lahoff 2525 N. 12th Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3520 Email: dlahoff@ugi.com</p>	<p>UGI David Lahoff 2525 N. 12th Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3520 Email: dlahoff@ugi.com</p>
<p>Valley Energy Inc. Robert Crocker 523 South Keystone Avenue Sayre, PA 18840-0340 PH: 570.888-9664 FAX: 570.888.6199 email: bobc@ctenterprises.org</p>	<p>UGI Penn Natural David Lahoff 2525 N. 12th Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3520 Email: dlahoff@ugi.com</p>



Daniel Crosby, Managing Director Legend Energy Advisors

P

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COMMERCIAL BASE PRICING

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DANIEL CROSBY
120 E 23RD ST
NEW YORK, NY 10010

0004

C000

SHIP TO: Pennsylvania Public Utility Commission
Secretary
400 Capitol Complex
Harrisburg PA 17120-0001



USPS TRACKING #



9405 5118 9956 3589 3007 45