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PA P.U.C.  
SECRETARY'S BUREAU

December 5, 2016

Pennsylvania Public Utility Commission Secretary  
400 North Street, Keystone Building  
Harrisburg, PA 17120

Dear Secretary:

Please accept the attached application for approval to offer, render, furnish, or supply electricity or electricity generation services as a broker/marketer to the public in the Commonwealth of Pennsylvania.

Enclosed you will find one complete original hard copy, an electronic version on CD-ROM, a separate envelope containing confidential information, along with a certified check in the amount of \$350 payable to the Commonwealth of Pennsylvania for the filing fee.

Please feel free to contact me directly regarding this application and any other necessary communication during the review process and thank you in advance for your attention to this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "R. Felton", with a horizontal line extending to the right.

Richard W. Felton, President  
Susquehanna Energy Advisors, Inc.  
20 S. Broad Street  
Lititz, PA, 17543  
Office – 717-568-8955  
Email: [susquehannaenergy@aol.com](mailto:susquehannaenergy@aol.com)

CC:

Bureau of Investigation & Enforcement, PA PUC  
Office of Consumer Advocate  
Small Business Advocate  
Dir. Of CES, Orange and Rockland Company  
Regulatory Affairs, Duquesne Light Co.  
Legal Department, First Energy  
Citizens' Electric Company

Office of Attorney General  
Commonwealth of PA, Dept. of Revenue  
Mgr. Energy Acquisition, PECO  
West Penn Power d/b/a Allegheny Power  
Legal Department, PPL  
UGI Utilities, Inc. – Choice Coordinator  
Wellsboro Electric Company

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Version Revised 07/01/16

PA P.U.C.  
SECRETARY OF REVENUE  
**BEFORE THE PENNSYLVANIA PUBLIC UTILITY COMMISSION**

Application of Susquehanna Energy Advisors, Inc., for approval to offer, render, furnish, or supply electricity or electric generation services as a broker/marketer to the public in the Commonwealth of 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:

**Susquehanna Energy Advisors, Inc.**  
**20 S. Broad Street**  
**Lititz, PA 17543**  
[www.susquehanna-energy.com](http://www.susquehanna-energy.com)  
**717-568-8955**

- 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.

**Not applicable**

- 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.

**Richard W. Felton, President**  
**20 S. Broad Street**  
**Lititz, PA 17543**  
**O- 717-568-8955**  
**F- 866-519-6195**  
**susquehannaenergy@aol.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.

**The Applicant is not using an attorney.**

- e. **CONTACTS FOR CONSUMER SERVICE AND COMPLAINTS: (Required of ALL Applicants)** 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 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.

- 1. Richard W. Felton, President**  
**20 S. Broad Street, Lititz, PA 17543**  
**Office – 717-568-8955**  
**Fax – 866-519-6195**

susquehannaenergy@aol.com

2. No alternate. Mr. Felton is the sole employee of Susquehanna Energy Advisors, Inc.

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.

**Please see Exhibit A**

**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.

**Please see Exhibit B**

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

**Please see Exhibit C**

- Give name and address of officers.

**Richard W. Felton, President  
20 S. Broad Street  
Lititz, PA 17543**

### **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.

**The Applicant does not have any 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.

**The Applicant does not have any predecessors.**

#### 4. OPERATIONS

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

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.

- 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
  - broker/marketer engaged in the business of supplying electricity 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
  - Check here to verify that your organization will not be taking title to the electricity nor will you be making payments for customers.
- Electric Cooperative and supplier of electric power
- Other (Describe):

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

1. **Assist clients with procurement of electricity from retail electricity suppliers licensed in Pennsylvania.**
2. **Review of client's energy billing from utility and energy supplier.**

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

- |   |   |
|---|---|
| <input type="checkbox"/> Citizens' Electric | <input type="checkbox"/> Pike                                 |
| <input type="checkbox"/> Duquesne Light     | <input type="checkbox"/> PPL                                  |
| <input type="checkbox"/> Met-Ed             | <input type="checkbox"/> UGI Utilities                        |
| <input type="checkbox"/> PECO               | <input type="checkbox"/> Wellsboro                            |
| <input type="checkbox"/> Penelec            | <input type="checkbox"/> West Penn                            |
| <input type="checkbox"/> Penn Power         |   |
|   | <input checked="" type="checkbox"/> Entire Commonwealth of PA |

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

- Residential Customers
- Small Commercial Customers - (25 kW and Under)
- Residential and Small Commercial as Mixed Meter **ONLY (CANNOT BE TAKEN WITH RESIDENTIAL AND/OR SMALL COMMERCIAL ABOVE)**
- Large Commercial Customers - (Over 25 kW)
- Industrial Customers
- Governmental Customers
- All of above (Except Mixed Meter)
- Other (Describe):

**Applicant will not be providing services to Residential or Mixed Meter customers.**

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

**Applicant plans to actively market services when approved and licensed by the Commonwealth of Pennsylvania.**

## 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.

**The Applicant has no proceedings to list.**

- 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.

**The Applicant has no actions or complaints to list.**

- 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:

**Please see Appendix C**

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

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

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

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

Office of the Small Business Advocate  
Commerce Building, Suite 202  
300 North Second Street  
Harrisburg, PA 17101

- 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.

**Please see Appendix C**

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

**West Penn:**  
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

**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** of an initial bond, letter of credit or proof of bonding to the Commission in the amount of \$250,000.
- Furnishing the **ORIGINAL** of another initial security for Commission approval, to ensure financial responsibility, such as a parental guarantee, in the amount of \$250,000.
- For Marketers and Brokers** - Filing for a modification to the \$250,000 requirement and furnishing the **ORIGINAL** 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.

Please see Appendix D

### **CRITICAL BONDING NOTES:**

Applicant is required to maintain a bond or other financial instrument the entire time it maintains an EGS license with the Commonwealth of Pennsylvania. If Applicant's security instrument is not continuous, Applicant **MUST** submit a Rider, Amendment, or Continuation Certificate annually based on the expiration date of its security instrument.

Sixty days (60) prior to the security instrument's expiration date, Applicant should contact Stephen Jakab at [sjakab@pa.gov](mailto:sjakab@pa.gov) to determine the appropriate bonding amount based on a percentage of Applicant's gross receipts resulting from the sale of generated electricity consumed in Pennsylvania. Once the amount has been determined, Applicant should overnight the updated security instrument(s) at least thirty (30) days prior to the expiration date to ensure adequate time for staff review and approval of the security instrument(s).

Example version of a bond, letter of credit, and parental guarantee are attached at Appendix D, E, & F, respectively. 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:

- 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.

**Please note that the applicant is a new entity and does not have financial statements. I have provided bank statements in Exhibit D.**

**Please see Exhibit D (Confidential Information)**

**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.

**Not applicable**

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

**Applicant's fee will be paid by the retail energy provider.**

**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.

**Richard W. Felton, President  
20 S Broad Street  
Lititz, PA 17543  
O – 717-568-8955  
F – 866-519-6195  
susquehannaenergy@aol.com**

**f. TAXATION:** Complete the TAX CERTIFICATION STATEMENT attached as Appendix G 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:

- 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.

**Please see Exhibit E**

**b. 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):

**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.

**As the sole employee of the Applicant, Richard W. Felton has extensive experience with both a regulated utility and a retail energy marketer. He will use best practices learned over a long career in the industry and ensure that any marketing activity is carried out in an ethical manner.**

- 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.

**Please see Exhibit E**

- f. **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 \_\_\_\_\_.
- Not applicable

## 9. DISCLOSURE STATEMENTS:

**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 H 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.

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

## 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, as well as any future amendments.

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 downloaded 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.
- Net Metering Reports: Applicant shall be responsible to report any Net Metering per the Standards on [http://www.puc.pa.gov/consumer\\_info/electricity/alternative\\_energy.aspx](http://www.puc.pa.gov/consumer_info/electricity/alternative_energy.aspx). Scroll down to the Net Metering Standards Section.
- Applicant shall report to the Commission the percentages of total electricity supplied by each fuel source on an annual basis per 52 Pa. Code § 54.39(d).
- 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. **ANNUAL FEES:** The Public Utility Code authorizes the PUC to collect an annual fee of \$350 from suppliers, brokers, marketers, and aggregators selling electricity in the Commonwealth of PA, and an annual supplemental fee based on annual gross intrastate revenues, applicable to suppliers only.

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 K.

AGREED

k. **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

**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 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

**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. 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 EDC. For example, an applicant that wants to operate in Penn Power would need to run ads in both The Erie Times-News and the Pittsburgh Post-Gazette. If the applicant is proposing to serve the entire Commonwealth, please file proof of publication in all seven newspapers.

The only acceptable verification of this requirement is with Notarized Proofs of Publication, which may be requested from each newspaper and must be supplied with this 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.

**Please see Exhibit F**

	Erie Times-News	Harrisburg Patriot-News	Philadelphia Daily News	Pittsburgh Post-Gazette	Scranton Times-Tribune	Williamsport Sun-Gazette	Johnstown Tribune-Democrat
Citizens' Electric						X	
Duquesne				X			
Met Ed		X	X		X		
PECO			X				
Penelec	X	X			X	X	X
Penn Power	X			X			
Pike					X		
PPL		X	X		X	X	
UGI					X		
Wellsboro						X	
West Penn		X		X		X	X
Entire Commonwealth	X	X	X	X	X	X	X

*(Example Publications are provided at Appendices I and J)*

**13. SIGNATURE**

RECEIVED

Applicant: **Susquehanna Energy Advisors, Inc.** 2016 DEC -6 AM 9: 56

By: *R. W. F.*

Title: **President**

PA P.U.C.  
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: Susquehanna Energy Advisors, Inc.**

	<b>Signature</b>	
	<b>Filing Fee (CERTIFIED CHECK OR MONEY ORDER ONLY)</b>	
	<b>Application Affidavit</b>	
	<b>Operations Affidavit</b>	
	<b>Proof of Publication</b>	
	<b>Bond or Letter of Credit</b>	
	<b>Tax Certification Statement</b>	
	<b>Commonwealth Department of State Verification</b>	
	<b>Certificate of Service</b>	

Applicant's Use

PUC Secretary's Bureau Use



Appendix A

APPLICATION AFFIDAVIT

RECEIVED

2016 DEC -6 AM 9:56

Commonwealth of Pennsylvania

PA P.U.C.  
SECRETARY'S BUREAU

County of Lancaster

Richard W. Felton, Affiant, being duly [sworn/affirmed] according to law, deposes and says that: He is the President of Susquehanna Energy Advisors, Inc.; That he is authorized to and does make this affidavit for said Applicant;

That the Applicant herein Susquehanna Energy Advisors Inc. 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. § 2809 (B).

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

That the Applicant herein Susquehanna Energy Advisors, Inc. 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 Susquehanna Energy Advisors, Inc. 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.

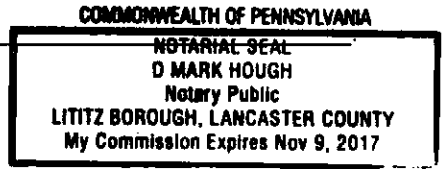
That the facts above set forth are true and correct to the best of his/her knowledge, information, and belief, and that he/she expects said Applicant to be able to prove the same at hearing.

Richard W. Felton  
Signature of Affiant

Sworn and subscribed before me this 5 day of December, 2016.

[Signature]  
Signature of official administering oath

My commission expires



**Appendix B**

**OPERATIONS AFFIDAVIT**

RECEIVED

2016 DEC -6 AM 9: 56

Commonwealth of Pennsylvania:

PA P.U.C.  
SECRETARY'S BUREAU  
SS.

County of Lancaster :

Richard W. Felton, Affiant, being duly [sworn/affirmed] according to law, deposes and says that:

He is the President of Susquehanna Energy Advisors, Inc.;

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

That Susquehanna Energy Advisors, Inc., the Applicant herein, acknowledges that Susquehanna Energy Advisors, Inc. 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 Susquehanna Energy Advisors, Inc., the Applicant herein, asserts that it possesses the requisite technical, managerial, and financial fitness to render electric 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 Susquehanna Energy Advisors, Inc., 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.

**Appendix B (Continued)**

That Susquehanna Energy Advisors, Inc., 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 to the best of his knowledge, information, and belief.

R. W. F.  
Signature of Affiant

Sworn and subscribed before me this 5 day of December, 2016.

[Signature]  
Signature of official administering oath

My commission expires \_\_\_\_\_.

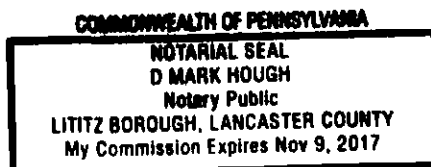


Exhibit A  
1 of 3

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.PA.GOV

RECEIVED  
2016 DEC -6 AM 9: 57  
PA P.U.C.  
SECRETARY'S BUREAU

Richard Felton  
20 S Broad St  
Lititz PA 17543

Susquehanna Energy Advisors

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

IF YOU HAVE ANY QUESTIONS PERTAINING TO THE BUREAU, PLEASE VISIT OUR WEBSITE AT [www.dos.pa.gov/BusinessCharities](http://www.dos.pa.gov/BusinessCharities) OR YOU MAY CONTACT US BY TELEPHONE AT (717)787-1057. INFORMATION REGARDING BUSINESS AND UCC FILINGS CAN BE FOUND ON OUR SEARCHABLE DATABASE AT [www.corporations.pa.gov/Search/CorpSearch](http://www.corporations.pa.gov/Search/CorpSearch) .

ENTITY NUMBER : 6405785

Entity# : 6405785  
Date Filed : 05/16/2016  
Pedro A. Cortés  
Secretary of the Commonwealth

Exhibit A  
2 of 3

**PENNSYLVANIA DEPARTMENT OF STATE  
BUREAU OF CORPORATIONS AND CHARITABLE ORGANIZATIONS**

**Application for Registration of Fictitious Name  
54 Pa.C.S. § 311**

Name		
Richard William Felton		
Address		
20 S Broad St.		
City	State	Zip Code
Lititz	PA	17543

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



TML160524JM1574

Fee: \$70.00

In compliance with the requirements of 54 Pa.C.S. § 311 (relating to registration), the undersigned entity(les) desiring to register a fictitious name under 54 Pa.C.S. Ch. 3 (relating to fictitious names), hereby state(s) that:

1. The fictitious name is:  
Susquehanna Energy Advisors

2. A brief statement of the character or nature of the business or other activity to be carried on under or through the fictitious name is:  
Energy Broker/Consultant

3. The address, including number and street, if any, of the principal place of business (P.O. Box alone is not acceptable):

20 S. Broad Street,	Lititz	PA	17543	Lancaster
Number and street	City	State	Zip	County

4. The name and address, including number and street, if any, of each individual interested in the business is:

Name	Number and Street	City	State	Zip
Richard W Felton	20 S. Broad Street	Lititz	PA	17543
		Lancaster	PA	17543
		United States		

2016 MAY 23 6:58 AM  
PA DEPT OF STATE

**Exhibit A**

DSCB: 54-311-2

**3 of 3**

5. Each entity, other than an individual, interested in such business is (are):

Name	Form of Organization	Organizing Jurisdiction
Principal Office Address		
PA Registered Office, if any		

6. The applicant is familiar with the provisions of 54 Pa.C.S. § 332 (relating to effect of registration) and understands that filing under the Fictitious Names Act does not create any exclusive or other right in the fictitious name.

7. (Optional): The name(s) of the agent(s), if any, any one of whom is authorized to execute amendments to, withdrawals from or cancellation of this registration in behalf of all then existing parties to the registration, is (are):

Richard W. Felton

IN TESTIMONY WHEREOF, the undersigned has caused this Application for Registration of Fictitious Name to be executed this

16th day of May, 2016

Richard W Felton  
Individual Signature

Susquehanna Energy Advisors  
Entity Name

Richard W. Felton  
Signature

Principal  
Title

RECEIVED

COMMONWEALTH OF PENNSYLVANIA

DEPARTMENT OF STATE

07/27/2016

2016 DEC -6 AM 9: 57

PA P.U.C.  
SECRETARY'S BUREAU

TO ALL WHOM THESE PRESENTS SHALL COME, GREETING:

I DO HEREBY CERTIFY THAT,

Susquehanna Energy Advisors, Inc.

is duly registered as a Pennsylvania Business Corporation under the laws of the Commonwealth of Pennsylvania and remains subsisting so far as the records of this office show, as of the date herein.

I DO FURTHER CERTIFY THAT this Subsistence Certificate shall not imply that all fees, taxes and penalties owed to the Commonwealth of Pennsylvania are paid.



IN TESTIMONY WHEREOF, I have hereunto set my hand and caused the Seal of the Secretary's Office to be affixed, the day and year above written

*Pedro A. Contes*

Secretary of the Commonwealth

Certification Number: TML160726JF0273-1

Verify this certificate online at <http://www.corporations.pa.gov/orders/verify.aspx>

RECEIVED


Entity# : 6418725  
Date Filed : 06/14/2016  
Pedro A. Cortés  
Secretary of the Commonwealth

Exhibit C  
1 of 2

2016 DEC -6 AM 9: 57

PA P.U.C.

PENNSYLVANIA DEPARTMENT OF STATE SECRETARY'S BUREAU  
BUREAU OF CORPORATIONS AND CHARITABLE ORGANIZATIONS

<input type="checkbox"/> Return document by mail to:	<b>Articles of Incorporation - For Profit</b> DSCB:15-1306/2102/2303/2702/2903/3101/3303/7102  TCO160615JF0138
Name <u>Legalzoom.com, Inc.</u>	
Address <u>PennCorp Servicegroup, Inc. 33684</u>	
City <u>Counter Pick Up</u> Zip Code _____	
<input type="checkbox"/> Return document by email to: _____	

Read all instructions prior to completing. This form may be \_\_\_\_\_

Fee: \$125

- Check only one:
- |   |  |   |
|---|--|---|
| <input checked="" type="checkbox"/> Business-stock (§ 1306) | <input type="checkbox"/> Management (§ 2703)   | <input type="checkbox"/> Benefit (§ 3303)     |
| <input type="checkbox"/> Business-nonstock (§ 2102)         | <input type="checkbox"/> Professional (§ 2903) | <input type="checkbox"/> Cooperative (§ 7102) |
| <input type="checkbox"/> Business-statutory close (§ 2303)  | <input type="checkbox"/> Insurance (§ 3101)    |   |

In compliance with the requirements of the applicable provisions (relating to corporations and unincorporated associations), the undersigned, desiring to incorporate a corporation for profit, hereby states that:

1. The name of the corporation (*corporate designator required, i.e., "corporation," "incorporated," "limited," "company," or any abbreviation thereof. "Professional corporation" or "P.C." permitted for professional corporations*):

Susquehanna Energy Advisors, Inc.

2. Complete part (a) or (b) - not both:

(a) The address of this corporation's proposed registered office in this Commonwealth is: (*post office box alone is not acceptable*)

Number and Street	City	State	Zip	County
-------------------	------	-------	-----	--------

(b) The name of this corporation's commercial registered office provider and the county of venue is:

c/o: United States Corporation Agents, Inc., County of Lehigh

Name of Commercial Registered Office Provider	County
---	--------

3. The corporation is incorporated under the provisions of the Business Corporation Law of 1988.

4. Check and complete one:

The corporation is organized on a nonstock basis.

The corporation is organized on a stock share basis and the aggregate number of shares authorized is:

1,000

2016 JUN 14 PM 3: 59

PA. DEPT. OF STATE



Exhibit C

2 of 2

DSCB:15-1306/2102/2303/2702/2903/3101/3303/7102-2

5. The name and address, including number and street, if any, of each incorporator (all incorporators must sign below):

Name Address  
Cheyenne Moseley, Legalzoom.com, Inc. 9900 Spectrum Drive, Austin, TX 78717

6. The specified future effective date, if any: \_\_\_\_\_  
month/day/year hour, if any

7. Additional provisions of the articles, if any, attach an 8 1/4 by 11 sheet.

8. ~~Statutory class corporation only: Neither the corporation nor any shareholder shall make an offering of any of its shares or any class that would constitute a "public offering" within the meaning of the Securities Act of 1933 (15 U.S.C. § 77a et seq.)~~

9. *For Cooperative Corporation Only.*

~~Check and complete one.  
The corporation is a cooperative corporation and the common bond of membership among its members is \_\_\_\_\_  
The corporation is a cooperative corporation and the common bond of membership among its shareholders is \_\_\_\_\_~~

10. *Benefit corporations only:* This corporation shall have the purpose of creating general public benefit.

~~Strike out inapplicable. This corporation shall have the purpose of creating the enumerated specific public benefit(s): \_\_\_\_\_~~

IN TESTIMONY WHEREOF, the incorporator(s) has/have signed these Articles of Incorporation this

14  day of 6  2016

  
Cheyenne Moseley, Incorporator, Legalzoom.com, Inc.

Signature

Signature

RECEIVED

2016 DEC -6 AM 9: 57

PA P.U.C.  
SECRETARY'S BUREAU

**Exhibit E (1 of 2)**

**Technical Fitness**

Relevant Operational Experience of Principal Officer

Richard W. Felton, MBA, Principal

Mr. Felton has over 27 years of energy industry experience and is the founder, principal and sole employee of Susquehanna Energy Advisors, Inc.

**Career Experience**

Experience with Chesapeake Utilities Corporation

Hired – September 1989

Staff Accountant (1989 to 1992) - Responsibilities included general ledger accounting duties for both the Delaware and Maryland Divisions of the LDC as well as Eastern Shore Natural Gas Company.

Director of Human Resources (1992 to 1995) – Responsible for the corporation's employee benefits and compensation plans. Developed and maintained employee policy handbook. Developed and maintained drug and alcohol misuse policy including oversight over random drug testing.

Energy Products and Services Manager (1995 to 2004) – Managed key commercial and industrial accounts as well as the interruptible customers for both the Delaware and Maryland Divisions. Managed the company's transportation program and was the primary contact for third party suppliers participating in the company's transportation program.

Regional Sales Manager (2004 to May, 2006) – In addition to the duties performed as the Energy Products and Services Manager, this position also had the oversight of the residential and commercial sales personnel for both the Delaware and Maryland LDCs.

Experience with WGL Energy Services, Inc. (Formerly Washington Gas Energy Services, Inc.)

Hired – May 2006

Account Manager - Responsible for business development, contract negotiation, electricity and natural gas pricing recommendations, and responding to broker and consultant pricing requests.

Retired from WGL Energy Services, Inc. on August 5<sup>th</sup>, 2016.

Experience with Susquehanna Energy Advisors, Inc.

August 2016 to Present

Richard W. Felton is the founder, principal and sole employee of Susquehanna Energy Advisors, Inc. (SEA). SEA is a new business incorporated in the State of Pennsylvania on June 14<sup>th</sup>, 2016.

When a license to broker electricity is granted in the Commonwealth of Pennsylvania, Mr. Felton intends to offer the following services:

1. Energy Procurement – Susquehanna Energy Advisors, Inc. (SEA) will work with multiple licensed electricity suppliers and independently evaluate their offers to make sure our clients get the best price

## **Exhibit E (2 of 2)**

and contract terms. SEA will also evaluate each client's particular situation to ensure the best recommendation for pricing products and terms.

2. **Market Intelligence** –SEA will monitor the energy markets on a daily basis and inform clients when pricing opportunities arise.

3. **Billing Review** – SEA will review client's utility and supplier billing to ensure the proper rates are being billed.

5. **Energy Budgeting Assistance** – SEA will track monthly usage and costs and can help clients prepare for future energy costs.

### **Education**

Wilmington University, Dover, Delaware – MBA, Management

Richard Stockton University, Pomona, New Jersey – BS, Accounting



The Patriot News

LEGAL AFFIDAVIT

AD#: 0007925697

Commonwealth of Pennsylvania,) ss  
County of Cumberland)

Victoria Soto being duly sworn, deposes that he/she is principal clerk of PA Media Group; that The Patriot News is a public newspaper published in the city of Mechanicsburg, with general circulation in Cumberland and Dauphin and surrounding counties, and this notice is an accurate and true copy of this notice as printed in said newspaper, was printed and published in the regular edition and issue of said newspaper on the following date(s):

The Patriot News 11/17/2016

Principal Clerk of the Publisher

Sworn to and subscribed before me this 29th day of November 2016

  
Notary Public

COMMONWEALTH OF PENNSYLVANIA  
Notarial Seal  
Donna M. Maldonado, Notary Public  
Susquehanna Twp., Dauphin County  
My Commission Expires Nov. 5, 2017  
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

Pennsylvania Public Utility  
Commission Notice

Application of Susquehanna Energy  
Advisors, Inc. ("SEA") for approval to  
offer, render, furnish or supply  
electricity or electricity generation  
services as a marketer/broker engaged  
in the business of supplying electricity  
to the public in the Commonwealth of  
Pennsylvania.

SEA will be filing an application with  
the Pennsylvania Public Utility  
Commission ("PUC") for a license to  
supply electricity or electricity services  
as a marketer/broker engaged in the  
business of supplying electricity. SEA  
proposes to sell electricity and related  
services throughout the Commonwealth  
of Pennsylvania under the provisions of  
the 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 SEA may be filed within 15  
days 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 Richard W. Felton, 20 S.  
Broad St., Lititz, PA 17543.

RECEIVED  
2016 DEC -6 AM 9:58  
PA P.U.C.  
SECRETARY'S BUREAU

**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 P. Reed, 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:

**17 of November, 2016**

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.

*P. Reed*

PG Publishing Company

Sworn to and subscribed before me this day of:  
November 17, 2016

*Linda M. Gaertner*

COMMONWEALTH OF PENNSYLVANIA  
NOTARIAL SEAL  
Linda M. Gaertner, Notary Public  
City of Pittsburgh, Allegheny County  
My Commission Expires Jan. 31, 2019  
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

**STATEMENT OF ADVERTISING COSTS**  
Susquehanna Energy Advisors, Inc  
20 S. Broad St.  
Attn: Richard W. Felton  
LITITZ PA 17543

To PG Publishing Company

Total ----- \$322.50

**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  
2201 Sweeney Drive  
CLINTON, PA 15026  
Phone 412-263-1338

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

By *Samuel J. Arbutine* Samuel J. Arbutine

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  
Application of Susquehanna Energy Advisors, Inc. ("SEA") for approval to offer, render, furnish or supply electricity or electricity generation services as a marketer/broker engaged in the business of supplying electricity to the public in the Commonwealth of Pennsylvania.

SEA will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electricity services as a marketer/broker engaged in the business of supplying electricity. SEA proposes to sell electricity and related services throughout the Commonwealth of Pennsylvania under the provisions of the 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 SEA may be filed within 15 days 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 Richard W. Felton, 20 S. Broad St., Lititz, PA 17543.

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

SUSQUEHANNA ENERGY ADVISORS INC  
RICH FELTON, PRINCIPAL  
20 S BROAD ST LITITZ PA 17543

Account # 620828  
Order # 82014637  
Ad Price: 160.15

LEGAL NOTICE PENNSYLVANI

Gina Krushinski

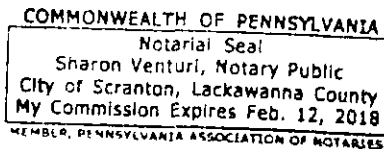
Being duly sworn according to law deposes and says that (s)he is Billing clerk for The Scranton Times, owner and publisher of The Scranton Times, a newspaper of general circulation, established in 1870, published in the city of Scranton, county and state aforesaid, and that the printed notice or publication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

11/17/2016

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 17th day of November A.D., 2016

Sharon Venturi  
(Notary Public)



LEGAL NOTICE

Pennsylvania Public Utility  
Commission Notice

Application of Susquehanna Energy Advisors, Inc. ("SEA") for approval to offer, render, furnish or supply electricity or electricity generation services as a marketer/broker engaged in the business of supplying electricity to the public in the Commonwealth of Pennsylvania.

SEA will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electricity services as a marketer/broker engaged in the business of supplying electricity. SEA proposes to sell electricity and related services throughout the Commonwealth of Pennsylvania under the provisions of the 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 SEA may be filed within 15 days 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 Richard W. Felton, 20 S. Broad St., Lititz, PA 17543.

PROOF OF PUBLICATION  
In  
THE ERIE TIMES-NEWS  
COMBINATION EDITION

Susquehanna Energy Advisors, Inc.  
20 S. Broad St  
Lititz PA 17543

REFERENCE: 92067 236326  
PUC Notice

STATE OF PENNSYLVANIA)  
COUNTY OF ERIE ) SS:

Brenda L. Learn, 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, 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: 11/18/16

TOTAL COST: \$409.00 AD SPACE: 0 Lines

FILED ON: 11/18/16

**Pennsylvania Public Utility Commission Notice**  
Application of Susquehanna Energy Advisors, Inc. ("SEA") for approval to offer, render, furnish or supply electricity or electricity generation services as a marketer/broker engaged in the business of supplying electricity to the public in the Commonwealth of Pennsylvania.  
SEA will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electricity services as a marketer/broker engaged in the business of supplying electricity. SEA proposes to sell electricity and related services throughout the Commonwealth of Pennsylvania under the provisions of the 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 SEA may be filed within 15 days 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 Richard W. Felton, 20 S. Broad St., Lititz, PA 17543.

Sworn to and subscribed before me this 18th day of November 2016

Affiant: Brenda L. Learn

NOTARY: Barbara J. Moore

COMMONWEALTH OF PENNSYLVANIA  
NOTARIAL SEAL  
Barbara J. Moore, Notary Public  
City of Erie, Erie County  
My Commission Expires March 23, 2020  
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

COMMONWEALTH OF PENNSYLVANIA }  
County of Cambria } SS

**PENNSYLVANIA PUBLIC UTILITY  
COMMISSION NOTICE**

Application of Susquehanna Energy Advisors, Inc. ("SEA") for approval to offer, render, furnish or supply electricity or electricity generation services as a marketer/broker engaged in the business of supplying electricity to the public in the Commonwealth of Pennsylvania.

SEA will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electricity services as a marketer/broker engaged in the business of supplying electricity. SEA proposes to sell electricity and related services throughout the Commonwealth of Pennsylvania under the provisions of the 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 SEA may be filed within 15 days 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 Richard W. Felton, 20 S. Broad St., Lititz, PA 17543.

On this 17th day of November A.D. 2016, 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 the 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 issue The Johnstown Tribune-Democrat, Johnstown, PA, on November 17, 2016; 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.

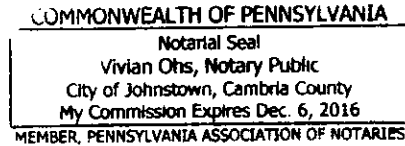
*Christine Marhefka*  
\_\_\_\_\_

**STATEMENT OF ADVERTISING COSTS**

Sworn and Subscribed before me this  
17th day of November 2016

4.5 inches @ \$26.389 per inch	\$118.75
Oath	5.00
Clerical Fee	2.50
<b>Total Cost</b>	<b>\$126.25</b>

*Vivian Ohs*  
\_\_\_\_\_  
(Notary Public)



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 \_\_\_\_\_



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:

November 18, 2016

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 Susquehanna Energy Advisors, Inc. ("SEA") for approval to offer, render, furnish or supply electricity or electricity generation services as a marketer/broker engaged in the business of supplying electricity to the public in the Commonwealth of Pennsylvania.

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

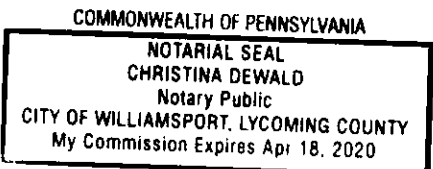
The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of SEA may be filed within 15 days of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Richard W. Felton, 20 S. Broad St., Lititz, PA 17543.

Bernard A. Oravec

SUN-GAZETTE COMPANY

Sworn to and subscribed before me  
the 18<sup>th</sup> day of November 2016  
Christina Dewald

Notary Public



STATEMENT OF ADVERTISING COSTS

To the Sun-Gazette Company, Dr.:  
For publishing the notice attached  
hereto on the above state dates.....\$ 171.<sup>08</sup>  
Probated same.....\$  
Total.....\$ 171.<sup>08</sup>

PUBLISHER'S RECEIPT FOR ADVERTISING COSTS

THE SUN-GAZETTE COMPANY 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

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

*STATE OF PENNSYLVANIA  
COUNTY OF PHILADELPHIA*

Cindy Jakubowski 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:

November 18, 2016

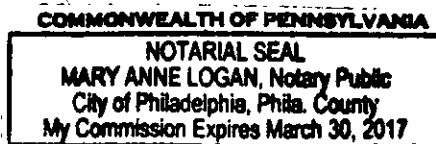
Affiant further deposes and says that she is an employee of the publisher of said newspaper and has been authorized to verify the foregoing statement and that she is not interested in the subject matter of the aforesaid notice of publication, and that all allegations in the foregoing statement as to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

*Cindy Jakubowski*

Sworn to and subscribed before me this 18<sup>th</sup> day of November, 2016.

*Mary Anne Logan*  
Notary Public

My Commission Expires:



**Copy of Notice of Publication**

**Pennsylvania Public Utility Commission Notice**  
Application of Susquehanna Energy Advisors, Inc. ("SEA") for approval to offer, render, furnish or supply electricity or electricity generation services as a marketer/broker engaged in the business of supplying electricity to the public in the Commonwealth of Pennsylvania.  
SEA will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electricity services as a marketer/broker engaged in the business of supplying electricity. SEA proposes to sell electricity and related services throughout the Commonwealth of Pennsylvania under the provisions of the 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 SEA may be filed within 15 days 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 Richard W. Felton, 20 S. Broad St., Litz, PA 17543.

Appendix C

CERTIFICATE OF SERVICE

On this the 2<sup>nd</sup> day of December 2016, 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 **NON-CONFIDENTIAL** attachments have been served, as either a hardcopy or a searchable PDF version on a cd-rom, upon the following:

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

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

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

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

Small Business Advocate  
Commerce Building, Suite 202  
300 North Second Street  
Harrisburg, PA 17101

Director of Customer Energy Services  
Orange and Rockland Company  
390 West Route 59  
Spring Valley, NY 10977-5300

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

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

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

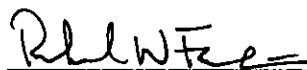
Legal Department  
First Energy  
2800 Pottsville Pike  
Reading PA, 19612

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  
Attn: EGS Coordination  
1775 Industrial Boulevard  
Lewisburg, PA 17837

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

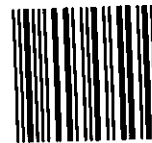
RECEIVED  
2016 DEC -6 AM 9:57  
PA P.U.C.  
SECRETARY'S BUREAU

  
Richard W. Felton, President, Susquehanna  
Energy Advisors, Inc.

**Susquehanna Energy Advisors**  
20 S Broad St  
Lititz PA 17543



1000



17120

U.S. POSTAGE  
PAID  
LITITZ, PA  
17543  
DEC 05, 18  
AMOUNT

**\$2.62**

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**Pennsylvania Public Utility  
Commission Secretary  
400 North Street, Keystone Building  
Harrisburg, PA 17120**