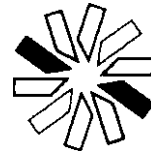


**Customized  
Energy Solutions**



**VIA FedEx**

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

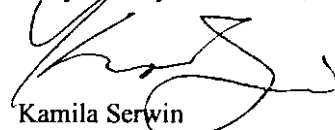
Re: **Aurora Energy Advisors, LLC Application for Certification as a Pennsylvania Natural Gas Broker**

Dear Secretary,

As requested, the previously missing information is provided in this submission. I have confirmed with the bureau that all that was required was the signature from the initial cover letter.

Please contact the undersigned with questions or concerns regarding this submission.

Respectfully Submitted,



Kamila Serwin  
Customized Energy Solutions, Ltd.  
Email: [kserwin@ces-ltd.com](mailto:kserwin@ces-ltd.com)  
Phone: 215-964-6237

On behalf of Aurora Energy Advisors, LLC

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**VIA FedEx**

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

Re: **Aurora Energy Advisors, LLC Application for Certification as a Pennsylvania Natural Gas Broker**

Dear Secretary,

Enclosed please find Aurora Energy Advisors, LLC's completed, original and signed Application for License to Broker Natural Gas in the State of Pennsylvania, including a certified check for the \$350.00 filing fee (check #2968040). As stipulated enclosed please find one original and a CD containing one electronic copy of the application.

Aurora Energy Advisors, LLC Requests that the Commission grant Attachment C of this application confidential/ proprietary status. The attachments contain competitively sensitive information that Aurora Energy Advisors, LLC does not disclose on any of its public reporting. Aurora Energy Advisors, LLC has marked Attachment C as "CONFIDENTIAL" and enclosed "REDACTED" copies in the submission. Thank you for your consideration of this application.

Please contact the undersigned with questions or concerns regarding this submission.

Respectfully Submitted,

Kamila Serwin  
Customized Energy Solutions, Ltd.  
Email: [kserwin@ces-ltd.com](mailto:kserwin@ces-ltd.com)  
Phone: 215-964-6237

On behalf of Aurora Energy Advisors, LLC

## BEFORE THE PENNSYLVANIA PUBLIC UTILITY COMMISSION

Application of Aurora Energy Advisors, LLC, d/b/a \_\_\_\_\_, for approval to offer, render, furnish, or supply natural gas supply services as a(n) Broker 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:

**Aurora Energy Advisors, LLC**  
3848 Nostrand Avenue, Brooklyn NY 11235  
(212)742-0414  
www.aeadvisorsllc.com

- 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.

**Vcorp Services, LLC**  
314 North 12th Street, Suite 100  
Philadelphia, PA 19107  
1-845-425-0077

- 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.

**Kamila Serwin**  
Senior Compliance Analyst  
1528 Walnut Street, 22<sup>nd</sup> Floor  
(215)964-6237  
kserwin@ces-ltd.com

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

**Mr. David Brecher, Esq.**  
Davis & Gilbert LLP  
1740 Broadway  
New York, NY 10019  
(212) 468-4859

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- 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.

- 1) **Mitchell Ingerman**  
President and Partner  
3848 Nostrand Avenue, Brooklyn NY 11235  
(877) 695-1062  
mingerman@aeadvisorsllc.com
- 2) **Melissa Jimenez**  
Vice President  
3848 Nostrand Avenue, Brooklyn NY 11235  
(877) 695-1062  
mjimenez@aeadvisorsllc.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**

X 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

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X 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)
- X 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 Attachment A**

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

***Aurora Energy Advisors, LLC is a limited liability formed in New York on May 11, 2007 for the purposes of providing energy consulting services. Please See Attachment A***

- Give name and address of officers.

**Mitchell Ingerman**  
**President and Partner**  
**3848 Nostrand Avenue, Brooklyn NY 11235**  
**(212)742-0414**  
**mingerman@aeadvisorsllc.com**

### 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.

**Aurora Energy Advisors, LLC does not have any affiliates currently doing business**

- 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.

**Aurora Energy Advisors, LLC does not have any predecessors that have done business.**

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### 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**

X 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
- X Broker/Marketer engaged in the business of supplying natural gas services
  - X 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.

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

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

- ☐ Columbia
- ☐ National Fuel Gas
- X PECO
- ☐ Peoples Gas – Equitable Div.
- ☐ Peoples Natural Gas
- ☐ Peoples Gas Company

- ☐ Philadelphia Gas Works
- ☐ UGI Central Penn
- ☐ UGI Penn natural
- ☐ UGI Utilities
- ☐ Valley Energy
- ☐ All of the above

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

- X Residential Customers
- X 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)**
- X Large Commercial Customers - (6,000 Mcf or more annually)
- X Industrial Customers
- X 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.

**Upon Approval of Application.**

## 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.

**Aurora Energy Advisors, LLC and any person(s) identified in this application have not been or are currently the defendant of a criminal or civil proceeding within the last five (5) years.**

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

n/a



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

**Aurora Energy Advisors, LLC and any person(s) identified in this application do not have any formal or escalated actions or complaints filed with or by a customer, regulatory agency, or prosecutor agency for the prior five (5) years to report.**

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

## 6. PROOF OF SERVICE

**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 202  
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.

<b>Columbia Gas of PA, Inc.</b> Michele Caddell 290 W. Nationwide Blvd. Columbus, OH 43215 PH: 614.460.6841 FAX: 614.460.8447 e-mail: mcaddell@nisource.com	
<b>Peoples Natural Gas – Equitable Division</b>	<b>National Fuel Gas Distribution Corp.</b>

<p>Lynda Petricevich 225 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: <a href="mailto:Lynda.w.petricevich@peoples-gas.com">Lynda.w.petricevich@peoples-gas.com</a></p>	<p>David D. Wolford 6363 Main Street Williamsville, NY 14221 PH: 716.857.7483 FAX: 716.857.7479 e-mail: <a href="mailto:wolfordd@natfuel.com">wolfordd@natfuel.com</a></p>
<p><b>The Peoples Natural Gas Company</b> Lynda Petricevich 225 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: <a href="mailto:Lynda.w.petricevich@peoples-gas.com">Lynda.w.petricevich@peoples-gas.com</a></p>	<p><b>PECO</b> Carlos Thillet, Manager, Gas Supply and Transportation 2301 Market Street, S9-2 Philadelphia, PA 19103 PH: 215.841.6452 Email: <a href="mailto:carlos.thillet@exeloncorp.com">carlos.thillet@exeloncorp.com</a></p>
<p><b>Peoples Gas Company</b> Lynda Petricevich 225 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: <a href="mailto:Lynda.w.petricevich@peoples-gas.com">Lynda.w.petricevich@peoples-gas.com</a></p>	<p><b>Philadelphia Gas Works</b> Nicholas LaPergola 800 West Montgomery Avenue Philadelphia, PA 19122 PH: 215.684.6278 email: <a href="mailto:nicholas.lapergola@pgworks.com">nicholas.lapergola@pgworks.com</a></p>
<p><b>UGI Central Penn</b> David Lahoff 2525 N. 12<sup>th</sup> Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3520 Email: <a href="mailto:dlahoff@ugi.com">dlahoff@ugi.com</a></p>	<p><b>UGI</b> David Lahoff 2525 N. 12<sup>th</sup> Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3520 Email: <a href="mailto:dlahoff@ugi.com">dlahoff@ugi.com</a></p>
<p><b>Valley Energy Inc.</b> Ed Rogers 523 South Keystone Avenue Sayre, PA 18840-0340 PH: 570.888-9664 FAX: 570.888.6199 email: <a href="mailto:erogers@ctenterprises.org">erogers@ctenterprises.org</a></p>	<p><b>UGI Penn Natural</b> David Lahoff 2525 N. 12<sup>th</sup> Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3520 Email: <a href="mailto:dlahoff@ugi.com">dlahoff@ugi.com</a></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.

**Please See Attachment B- Letter from Exelon**

- 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.

**Please See Attachment C**

- 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.

**Please See Attachment C**

- 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.

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

**Aurora, in agreement with client, will request that an adder fee be made a part of the contract supply price. The contracted ESCO will then serve as a conduit for that fee by remitting the collected fee to Aurora on a monthly basis.**

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.

**Miriam Weintraub  
510 Monmouth Ave., Suite 501  
Lakewood, NJ 08701  
(848) 251-4143  
office@mwgroupnj.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.

**Aurora Energy Advisors, LLC has been providing energy management and consulting services to clients since 2011, including brokerage of electricity and natural gas services in twelve states and the District of Columbia. Aurora's experience includes energy cost management, budgeting & reporting to optimize energy investments, energy supply procurement (including renewable energy), portfolio analysis to create customized strategies for reducing and controlling energy costs, performing energy audits to assist in obtaining government and utility grants and low-interest loans, third-party management support, and local law compliance. Aurora seeks to bring this depth of experience to its operations as a certified retail natural gas broker in Pennsylvania.**

- 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  
X 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.

**Aurora works on a referral basis only, Aurora does not "cold call" potential clients. Aurora does not employ marketing firms, call centers, outside salesman, or take ads in publication.**

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 Attachment D

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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.

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

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CLERK'S BUREAU

**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.

X      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 30<sup>th</sup> following the end of the calendar year per 52 Pa. Code § 62.110.

X      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.

X      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.

X      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.

X      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.

X      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.

X      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.

X      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.

X **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.

## 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 NGDC. For example, an applicant that wants to operate in Peoples – Equitable 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.

	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
National Fuel Gas				X			
PECO			X				
Peoples - Equitable	X			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)

**SIGNATURE**

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Applicant: Aurora Energy Advisors LLC

By: Mitchell Logerman

Title: President

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SECRETARY'S BUREAU

OCT 13 2017

PA PUBLIC UTILITY COMMISSION



## 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:** \_\_\_\_\_

Applicant's Use		<b>Signature</b>		PUC Secretary's Bureau Use
		<b>Filing Fee (ONLY CERTIFIED CHECK OR MONEY ORDER)</b>		
		<b>Application Affidavit</b>		
		<b>Operations Affidavit</b>		
		<b>Proof of Publication</b>		
		<b>Tax Certification Statement</b>		
		<b>Commonwealth Department of State Verification</b>		
		<b>Certificate of Service</b>		

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

**STATE OF PENNSYLVANIA  
COUNTY OF PHILADELPHIA**

Helene Sweeney 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:

January 23, 2017

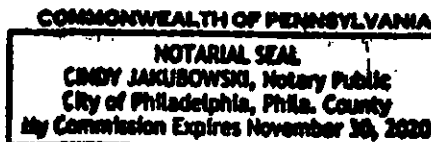
Affiant further deposes and says that she is an employee of the publisher of said newspaper and has been authorized to verify the foregoing statement and that she is not interested in the subject matter of the aforesaid notice of publication, and that all allegations in the foregoing statement as to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



Sworn to and subscribed before me this 23rd day of January, 2017.

  
Notary Public

My Commission Expires:



**Copy of Notice of Publication**

**PENNSYLVANIA  
PUBLIC UTILITY COMMISSION  
NOTICE**

Applications of Aurora Energy Advisors, LLC For Approval To Offer, Render, or Furnish Services as a Marketer/Broker, Engaged In The Business Of Supplying Natural Gas Supply Services and Electricity Supply or Electric Generation Services, To The Public In The Commonwealth Of Pennsylvania.

Aurora Energy Advisors, LLC will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to provide natural gas brokerage services as a broker/marketer engaged in the business of providing natural gas services. Aurora Energy Advisors, LLC will also be filing an application with the PUC for a license to brokerage electricity or electric generation services as a broker/marketer engaged in the business of brokering electricity. Aurora Energy Advisors, LLC proposes to broker electricity, natural gas, and related services in PECO under the provisions of the new Natural Gas Choice and Competition Act and 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 Aurora Energy Advisors, LLC may be filed within 15 days of the date of this notice with the Secretary of the PUC, 400 North Street, Harrisburg, PA 17120. You should send copies of any protest to Aurora Energy Advisors, LLC's attorney at the address listed below.

By and through Counsel: Mr. David Brocher, Esq.  
Davis & Gilbert LLP  
1740 Broadway  
New York, NY 10019  
212-469-4859

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Appendix A

APPLICATION AFFIDAVIT

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[Commonwealth/State] of New York :

SS.

County of Kings :

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

[He/she is the President (Office of Affiant) of Aurora Energy Advisors, LLC (Name of Applicant);]

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


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

That the Applicant herein Aurora Energy Advisors, LLC 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 Aurora Energy Advisors, LLC 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 12 day of May, 2017.

MARY K. BURNS  
Notary Public, State of New York  
No. 01BU6132520  
Qualified in Kings County  
Commission Expires 8-29-2017

  
\_\_\_\_\_  
Signature of official administering oath

My commission expires 8-29-17

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Appendix B

OCT 13 2017

OPERATIONS AFFIDAVIT

PAYMENT OF TAXES ON GAS SALES  
BY THE PUBLIC UTILITY COMMISSION

[Commonwealth/State] of New York :

SS.

County of Kings :

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

[He/she is the President (Office of Affiant) of Aurora Energy Advisors, LLC  
(Name of Applicant);]

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

That Aurora Energy Advisors, LLC, 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 Aurora Energy Advisors, LLC, 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 Aurora Energy Advisors, LLC, the Applicant herein, certifies to the Commission that it is subject to, will pay, and in the past has paid, the full amount of taxes imposed by Articles II and XI of the Act of March 4, 1971 (P.L. 6, No. 2), known as the Tax Reform Act of 1971 and any tax imposed by Chapter 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 Aurora Energy Advisors, LLC, 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.

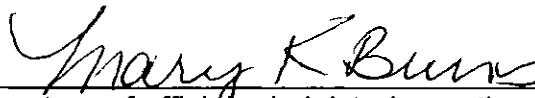
That the facts above set forth are true and correct/true and correct to the best of his/her knowledge, information, and belief.



Signature of Affiant

Sworn and subscribed before me this 12 day of May, 2017.

MARY K. BURNS  
Notary Public, State of New York  
No. 01BU6132520  
Qualified in Kings County  
Commission Expires 8-29-2017

  
Signature of official administering oath

My commission expires 8-29-17.

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### Appendix C

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

#### Example CERTIFICATE OF SERVICE

On this the 4<sup>th</sup> day of August 2017, 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:

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 202 300 North Second Street Harrisburg, PA 17101	Commonwealth of Pennsylvania Department of Revenue Bureau of Compliance Harrisburg, PA 17128-0946
<b>Columbia Gas of PA, Inc.</b> Michele Caddell 290 W. Nationwide Blvd. Columbus, OH 43215 PH: 614.460.6841 FAX: 614.460.8447 e-mail: <a href="mailto:mcaddell@nisource.com">mcaddell@nisource.com</a>	Bureau of Investigation & Enforcement Pennsylvania Public Utility Commission Commonwealth Keystone Building 400 North Street, 2 West Harrisburg, PA 17120
<b>Peoples Natural Gas – Equitable Division</b> Lynda Petricevich 225 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: <a href="mailto:Lynda.w.petricevich@peoples-gas.com">Lynda.w.petricevich@peoples-gas.com</a>	<b>National Fuel Gas Distribution Corp.</b> David D. Wolford 6363 Main Street Williamsville, NY 14221 PH: 716.857.7483 FAX: 716.857.7479 e-mail: <a href="mailto:wolfordd@natfuel.com">wolfordd@natfuel.com</a>
<b>The Peoples Natural Gas Company</b> Lynda Petricevich 225 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: <a href="mailto:Lynda.w.petricevich@peoples-gas.com">Lynda.w.petricevich@peoples-gas.com</a>	<b>PECO</b> Carlos Thillet, Manager, Gas Supply and Transportation 2301 Market Street, S9-2 Philadelphia, PA 19103 PH: 215.841.6452 Email: <a href="mailto:carlos.thillet@exeloncorp.com">carlos.thillet@exeloncorp.com</a>
<b>Peoples TWP LLC (Formerly T. W. Phillips)</b> Lynda Petricevich	<b>Philadelphia Gas Works</b> Nicholas LaPergola

225 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: <a href="mailto:Lynda.w.petrachevich@peoples-gas.com">Lynda.w.petrachevich@peoples-gas.com</a>	800 West Montgomery Avenue Philadelphia, PA 19122 PH: 215.684.6278 email: <a href="mailto:nicholas.lapergola@pgworks.com">nicholas.lapergola@pgworks.com</a>
<b>UGI Central Penn</b> David Lahoff 2525 N. 12 <sup>th</sup> Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3520 Email: <a href="mailto:dlahoff@ugi.com">dlahoff@ugi.com</a>	<b>UGI</b> David Lahoff 2525 N. 12 <sup>th</sup> Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3520 Email: <a href="mailto:dlahoff@ugi.com">dlahoff@ugi.com</a>
<b>Valley Energy Inc.</b> Robert Crocker 523 South Keystone Avenue Sayre, PA 18840-0340 PH: 570.888-9664 FAX: 570.888.6199 email: <a href="mailto:bobc@ctenterprises.org">bobc@ctenterprises.org</a>	<b>UGI Penn Natural</b> David Lahoff 2525 N. 12 <sup>th</sup> Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3520 Email: <a href="mailto:dlahoff@ugi.com">dlahoff@ugi.com</a>



Mitchell Ingerman, President, Aurora Energy Advisors, LLC

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State of New York  
Department of State } ss:

I hereby certify, that AURORA ENERGY ADVISORS, LLC a NEW YORK Limited Liability Company filed Articles of Organization pursuant to the Limited Liability Company Law on 05/11/2007, and that the Limited Liability Company is existing so far as shown by the records of the Department.

The Biennial Statement is past due.



\*\*\*

Witness my hand and the official seal  
of the Department of State at the City  
of Albany, this 09th day of June  
two thousand and sixteen.

*Anthony Giardina*

Anthony Giardina  
Executive Deputy Secretary of State

201606100301 • 37

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PENNSYLVANIA DEPARTMENT OF STATE  
BUREAU OF CORPORATIONS AND CHARITABLE ORGANIZATIONS

Document will be returned to the name and address entered below.

Kamila Serwin

Name

1528 Walnut Street, 22nd Floor

Address

Phialdelphia

PA

19102

City

State

Zip Code

Foreign Registration Statement

DSCB: 15-412

(rev. 2/2017)



412

Read all instructions prior to completing. This form may be submitted online at <https://www.corporations.pa.gov>.

Fee: \$250

In compliance with the requirements of the applicable provisions of 15 Pa.C.S. § 412 (relating to foreign registration statement), the undersigned foreign association hereby states that:

1. The type of association is (check only one):

- ☐ Business Corporation      ☐ Limited Partnership      ☐ Business Trust  
☐ Nonprofit Corporation      ☐ Limited Liability (General) Partnership      ☐ Professional Association  
☒ Limited Liability Company      ☐ Limited Liability Limited Partnership

2. The full and proper name of the foreign association as registered in its jurisdiction of formation is:

Aurora Energy Advisors, LLC

2A. If the name in 2 does not contain a required designator **or** if the name in 2 is not available for use in the Commonwealth, the alternate name under which the association is registering in this Commonwealth is:

3. The jurisdiction of formation: NY

4. The street and mailing address of the association's principal office.

3848 Nostrand Avenue,      Brooklyn      NY      11235

Number and street

City

State

Zip

4A. The street and mailing address of the office, if any, required to be maintained by the law of the association's jurisdiction of formation in that jurisdiction:

3848 Nostrand Avenue,      Brooklyn      NY      11235

Number and street

City

State

Zip

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

Kamila Serwin  
1528 Walnut Street 22nd Floor  
Philadelphia PA 19102

Aurora Energy Advisors, LLC

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 : 6525071



An Exelon Company

OCT 13 2017

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HARRISBURG, PA

March 30, 2017

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Aurora Energy Advisors, LLC  
3848 Nostrand Avenue  
Brooklyn NY 11235

Re: Bonding Requirements

PECO is aware that Aurora Energy Advisors, LLC, Inc. has applied for a license to provide brokering and consulting services to commercial and industrial customers on the distribution system of PECO.

In making such an application, Aurora Energy Advisors, LLC, Inc. could be required to provide to PECO a bond or other acceptable financial security in an amount that PECO determines to be appropriate. Aurora Energy Advisors, LLC, Inc. has indicated that it intends to provide only brokering and consulting services to commercial and industrial customers will not take title to any delivered natural gas; nor will accept any customer payments or deposits. Therefore, PECO has determined at this time that Aurora Energy Advisors, LLC, Inc. does not need a bond or other financial security requirement, since they are not directly engaging in business with PECO and only providing brokering or consulting services to PECO customers. However, if the services provided by Aurora Energy Advisors, LLC, Inc. or the creditworthiness requirement for PECO's exposure to Aurora Energy Advisors, LLC, Inc. changes in the future, PECO reserves the right to require Aurora Energy Advisors, LLC, Inc. to provide a bond or other financial security instrument.

If you should have any questions regarding this matter, please contact Chris Sauerbaum at 215-841-6422 or myself at 215-841-6452.

Respectfully submitted,

*Carlos P. Thillet*

Carlos P. Thillet  
Manager, Gas Supply and Transportation  
2301 Market St S9-1  
Philadelphia, Pa 19103

Aurora Energy Advisors  
Year End 2015  
Cash Basis

Actual  
2015

Ordinary Income/Expense

Income

Fee Income  
Retainer Income  
In Process  
Benchmarking  
En-Power Group  
Total Income

Expense

Advertising and Promotion  
Automobile Expense  
Auto Insurance  
Lease  
Parking  
Gas  
Tolls  
Other auto expense  
Bank Service Charges  
Charity  
Computer Software  
Dues and Subscriptions  
Employer Taxes  
Filing Fee - LLC  
Gifts and promotions  
Gross Payroll  
Commissions - Tom Gowers  
Insurance Expense  
Health  
Life and Disability Insurance  
Professional Liability  
Worker's Compensation  
Insurance Expense - Other  
Internet Expenses  
Legal  
Meals and Entertainment  
Office Equipment Lease  
Office Supplies  
Office lunch  
Office Supplies - Other  
Postage and Delivery  
Printing and Reproduction  
Professional Fees  
Bookkeeping  
Referral Fee  
Tax Preparation  
Real Estate Conference  
Rent Expense  
Repairs and Maintenance  
Office Cleaning  
Snow Removal  
Trash Removal  
Window Cleaning  
Repairs and Maintenance  
Security

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2015

Telephone Expense  
Broadvox  
Conference Calls  
Phone System  
Wireless

Travel Expense  
Utilities

Electricity  
Gas

Total Expense

Net Ordinary Income  
Other Income/Expense  
Other Income  
Miscellaneous

Total Other Income

Net Other Income

Net Income

NYC UBT taxes

Contingencies

Net Income (after taxes)

I hereby certify the the above is true



Mitchell Ingerman  
President  
Aurora Energy Advisors, LLC



REDACTED

Aurora Energy Advisors  
Cash Basis

Actual  
2016

Ordinary Income/Expense

Income

Fee Income  
Retainer Income  
In Process  
Benchmarking  
En-Power Group  
Steven Winter Group

Total Income

Expense

Advertising and Promotion  
Automobile Expense  
    Auto Insurance  
    Lease  
    Parking  
    Gas  
    Tolls  
    Other auto expense  
Bank Service Charges  
Charity  
Computer Software  
Dues and Subscriptions  
Employer Taxes  
Filing Fee - LLC  
Gifts and promotions  
Gross Payroll  
Salary - Tom Gowers  
Commissions - Tom Gowers  
Insurance Expense  
    Health  
    Life and Disability Insurance  
    Professional Liability  
    Worker's Compensation  
    Insurance Expense - Other  
Internet Expenses  
Legal  
Meals and Entertainment  
Office Equipment Lease  
Office Supplies  
    Office lunch  
    Office Supplies - Other  
Postage and Delivery  
Printing and Reproduction  
Professional Fees  
    Bookkeeping  
    Referral Fee  
    SWA Referral Fee  
    Tax Preparation  
Real Estate Conference  
Rent Expense - 4022 Ave U  
Rent Expense - 3848 Nostrand  
Repairs and Maintenance  
    Office Cleaning  
    Snow Removal  
    Trash Removal  
    Window Cleaning

REDACTED

2016

Repairs and Maintenance  
Security  
Telephone Expense  
Broadvox  
Conference Calls  
Phone System  
Wireless  
Travel Expense  
Utilities  
Electricity  
Gas  
Total Expense

Net Ordinary Income  
Other Income/Expense  
Other Income  
Miscellaneous  
Total Other Income  
Net Other Income  
Net Income

NYC UBT taxes (paid via MISB)  
Contingencies  
New Office Set Up  
Licensing

Net Income (after taxes)

I hereby certify the the above is true and correct.

  
Mitchell Ingerman  
President  
Aurora Energy Advisors, LLC

## Aurora Energy Advisors LLC

## PROFIT AND LOSS

January - June, 2017

	TOTAL
<b>INCOME</b>	
Benchmarking Fee	
Engineering Fee Income	
Fee Income	
LL84 Income	
Miscellaneous Income	
Retainer Income	
<b>Total Income</b>	
<b>GROSS PROFIT</b>	
<b>EXPENSES</b>	
60000 Advertising and Promotion	
60200 Automobile Expense	
Auto Insurance	
Gas	
Lease	
Parking	
Tolls	
<b>Total 60200 Automobile Expense</b>	
60400 Bank Service Charges	
62500 Dues and Subscriptions	
63300 Insurance Expense	
63310 General Liability Insurance	
63330 Disability Insurance	
63360 Worker's Compensation	
Health	
Burns Shannon	
Giglio Christopher	
Kopel, Dustin	
Pisman Aleksandr	
Sean Stettin	
Weitz, Joseph	
<b>Total Health</b>	
<b>Total 63300 Insurance Expense</b>	
64300 Meals and Entertainment	
Meals	
<b>Total 64300 Meals and Entertainment</b>	
64900 Office Expense	
De Minimus Aquisition	
Office Equipment Lease	
Office lunch	
Supplies	
<b>Total 64900 Office Expense</b>	
66500 Postage and Delivery	



P.O. Box

**Total 66500 Postage and Delivery**

66700 Professional Fees

Accounting

Bookkeeping

Consulting

Payroll Fees

**Total 66700 Professional Fees**

67100 Rent Expense

67200 Repairs and Maintenance

Office Cleaning

Repairs

Security

**Total 67200 Repairs and Maintenance**

68100 Telephone Expense

Land Line

Avaya Phone System

Ringcentral

**Total Land Line**

Wireless

Cell Phone

**Total Wireless****Total 68100 Telephone Expense**

68400 Travel Expense

Taxi

**Total 68400 Travel Expense**

68600 Utilities

Electricity

Gas

**Total 68600 Utilities**

Computer &amp; Internet expenses

61700 Internet Expenses

Cablevision

Constant Contact

Rackspace

Verizon

**Total 61700 Internet Expenses**

Computer expenses

Computer Software

Website Expense

**Total Computer expenses****Total Computer & Internet expenses**

Conference

Gifts and promotions

Interest Expense

Licenses and Fees

Licensing

Payroll Expenses

REDACTED	TOTAL
60001 Gross Payroll	
69000 Gross Employer Taxes	
Total Payroll Expenses	
UBT Tax	
Total Expenses	
NET OPERATING INCOME	
OTHER INCOME	
Credit Card Rewards	
Total Other Income	
OTHER EXPENSES	
80000 Ask My Accountant	
Charity	
<del>Reconciliation Discrepancies</del> Petty Cash	
Total Other Expenses	
NET OTHER INCOME	
NET INCOME	

I hereby certify that the above is true and correct.



Mitchell Ingerman

President

Aucora Energy Advisors

## ABOUT AURORA'S FOUNDER



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

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

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

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**Name:** Joseph Weitz

**Title:** Director of Energy Management

**Started:** January 2009

**Bio:**

Born in Brooklyn, NY and graduated in 2010 from Brooklyn College with a double major in Economics and Finance. I began working at Aurora as an intern in 2009 leading to a full time position with the company in late 2010. As someone who joined Aurora fairly early on I had the opportunity to learn all aspects of energy management from an early age. Thankfully energy related industries are on the forefront of innovation and there will always be something left to learn and incorporate.

**Functions:**

- Annual Budgeting
- Procurement
- Local Law Compliance
- Client Relations
- Commodity Price Analysis
- Utility Rate Structure Analysis

**Name:** Sean Stettin

**Title:** Senior Energy Analyst

**Started:** February 2011

**Bio:**

From Brooklyn, NY graduated in 2009 from Binghamton University's School of Management with a Bachelor of Science in Finance and Global Management. After college became interested in green and alternative energy solutions and studied as a hobby. In 2011 joined the Aurora team which provided an opportunity to further expand knowledge of all things energy related.

**Functions:**

- Variance Reporting
- Procurement
- Supply Contract Negotiation
- Special Projects
- Utility Rate Structure Analysis
- Commodity Price Analysis
- Building Energy Cost Structure

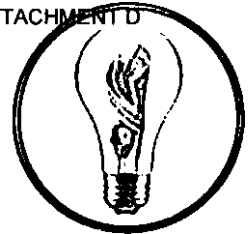
## AURORA'S MISSION STATEMENT

Aurora Energy Advisors, LLC is a full-service energy management and consulting firm specializing in sophisticated strategies designed to manage energy costs for real estate owners and property managers.

Aurora offers unique services that work in tandem to craft long-term, strategic energy plans suited to each client's unique portfolio. Aurora's approach to electricity, oil, and natural gas procurement employs innovative strategies, allowing maximum flexibility to adapt to ever-changing market conditions while still ensuring stability of cost and budgeting.

Aurora's role does not end when contracts are put into place. Most critically, Aurora continues to closely track energy markets for opportunities to improve clients' positions. We provide ongoing monitoring of utility invoices for errors, rate class adjustments, meter reads and latent problems within portfolio patterns.

Aurora is committed to aiding our clients in their pursuits of energy efficiency measures.



## Energy Cost Management

Aurora works as the energy manager for many of the largest real estate organizations throughout the country. Billing errors may occur due to metering problems, calculation mistakes or the improper application of rates, contract prices and taxes. Aurora Energy Advisors analyzes all historical and ongoing utility invoices to determine accuracy and adjusts any discrepancies prior to payment.

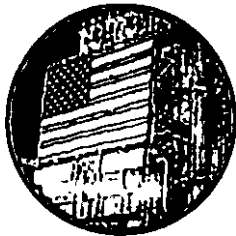
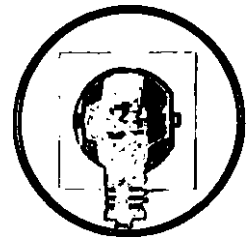


## Budgeting & Reporting

Whether you own one property or one thousand, establishing a budget for your energy costs and planning ahead is critical to the financial success of your company. Aurora will work with you to develop an accurate and comprehensive budget that optimizes your energy investments. Aurora also provides you with valuable data tracking, charting and reporting to ensure that you have the most up-to-date and accurate analysis at your fingertips.

## Renewable Energy Programs

Renewable energy sources—whether co-generation, solar, wind, or hydropower—have become increasingly important to property owners in recent years. At Aurora, we fully support this growing awareness and sensitivity to environmental issues, and we are able to procure green power supplies that meet your needs while still ensuring competitive market rates.



## Nationwide Energy Programs

Making the right decisions about energy usage and procurement becomes even more important when your business operates at a national scale. Aurora Energy Advisors takes pride in our unique ability to provide energy analysis and cost savings for the largest and most prominent real estate organizations nationwide. Our work has made a significant impact on the bottom line of real estate owners, developers, managers and large institutional REITs.

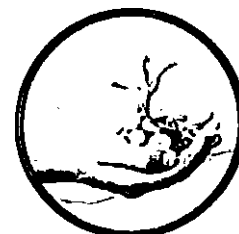


## Portfolio Analysis

As your energy manager, Aurora Energy Advisors works closely with your senior management team to achieve effective energy oversight. Based on a thorough analysis of your current energy portfolio, Aurora creates a customized strategy to reduce and control energy costs for each property. As part of our process, we utilize a database to monitor your energy results on a continuous basis and make ongoing strategic decisions.

## Energy Supply Procurement

Aurora Energy Advisors goes far beyond initial energy supply procurement. Our team is constantly searching for additional opportunities to ensure that clients' portfolios are in sync with the evolving marketplace. We employ a proprietary and transparent RFP process for energy supply procurement, ensuring that our clients will always pay the lowest possible energy costs.

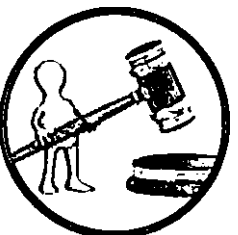
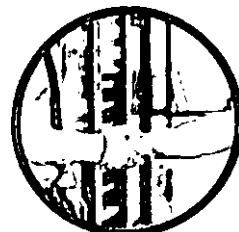


## Energy Audits

Having a comprehensive on-site energy audit is the first step in establishing an energy conservation plan. Aurora's industry-leading engineers give us sophisticated, accurate insights into potential areas of long-term energy conservation. With this information, Aurora Energy Advisors can assist you in obtaining government and utility grants as well as low-interest loans, which make the cost of improvements economical and realize a quick payback period. New York property owners can take advantage of Aurora's expertise in Weatherization grants and NYSERDA programs.

## Third-Party Management Support

It is essential for third-party management companies to remain on the cutting edge of energy issues on behalf of their clients in order to stay competitive in the marketplace. Through our relationships with leading third-party management organizations, Aurora provides energy management services to more than 1,000 co-op and condo buildings, ensuring that every individual building under third-party management receives the same high-level and sophisticated service.. Aurora is sensitive to the needs of both boards and managers, and understands the importance of maintaining strong trust between the two by working together with the managing agent.



## Local Law Compliance

Aurora Energy Advisors is the top energy management firm in New York City, specializing in Local Law Compliance for New York's Greener, Greater Buildings Plan. We can ensure your buildings are in compliance with:

**Local Law 84: ENERGY STAR Benchmarking** -- Buildings with more than 50,000 square-feet of space must submit annual reports of energy and water usage

**Local Law 85: New York City Energy Conservation Code (NYCECC)** -- Any renovation or alteration of a building must meet the most current energy code

**Local Law 87: Energy Audits and Retro-Commissioning** -- Buildings over 50,000 square-feet must undergo periodic energy audits and retro-commissioning measures to ensure efficient operation

**Local Law 88: Lighting Upgrades and Sub-metering** -- Large non-residential buildings must upgrade lighting to current standards and install sub-meters for each large tenant space to provide monthly usage statements

**NYC Clean Heat: Oil-to-Gas Conversions** -- Buildings must convert from No. 6 and 4 heavy heating oils to natural gas, No. 2, biodiesel or steam



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CUSTOMIZED ENERGY SOLUTIONS  
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UNITED STATES US

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ACTWGT: 1.00 LB  
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**400 NORTH STREET**  
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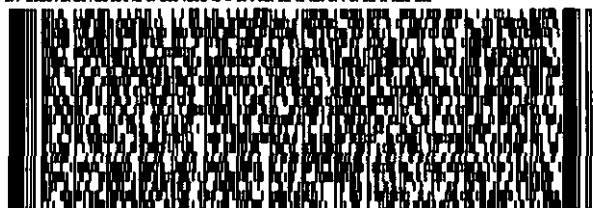
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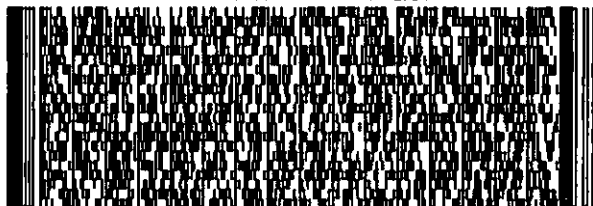
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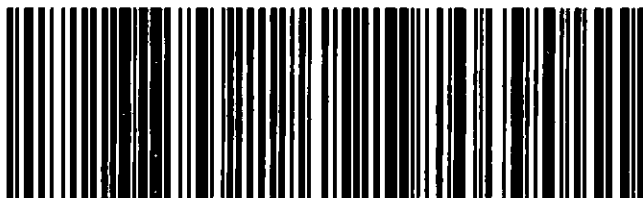
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