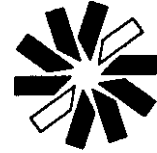


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Energy Solutions**

Analyze · Simplify · Implement



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PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

VIA FedEx

Rosemary Chiavetta, Secretary
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 Docket No. A-2017-2629492**

Dear Secretary,

Enclosed please find Aurora Energy Advisors, LLC's answers to the Data Request issued by Jeff McCracken on October 25, 2017. All electronic copies have been submitted to Jeff via-email and deemed satisfactory. Attached are Confidential and Public copies of the answers.

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

Respectfully Submitted,

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

On behalf of Aurora Energy Advisors, LLC

Docket No. A-2017-2629492
Aurora Energy Advisors, LLC
Data Requests

1. Reference Application, Section 1.c, Regulatory Contact – Applicant failed to provide a complete address for the regulatory contact. Please provide an updated application page with the appropriate corrections.
2. Reference Application, Section 2.b, Formation Documents – Applicant failed to provide limited liability company formation documentation. Please provide the missing documentation.
3. Reference Application, Section 4.a, Present Operations – Applicant did not indicate that it is currently doing business in PA as a licensed Electric Generation Supplier. Please file an updated Application page with the requested information, including the Docket No.
4. Reference Application, Section 7.b, Financial Fitness – Applicant did not provide sufficient documentation to demonstrate financial fitness. Please provide financial fitness documentation that may include two consecutive years of income tax filings, three consecutive months of bank statements, etc. Clearly mark confidential documents as such.
5. Reference Application, Section 8.a, Technical Fitness – Applicant failed to provide licenses for the 12 states in which it operates, as well as Washington, D.C. Please provide the missing documentation.
6. Reference Application, Section 8.e, Technical Fitness – Applicant failed to provide detailed professional resumes of its chief officers, to include detailed descriptions on all experience and activities including date ranges. Please provide the missing documentation.
7. Reference Application, Section 11, Affidavits – The Affidavits submitted are missing non-expired notary stamps. These Affidavits are intended to be legally binding documents, so they must be correct in their entirety. Please resubmit the Application Affidavit and the Operations Affidavit.

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PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

Answer to Data Request # 1 and #3

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NOV 20 2017

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

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, 22nd Floor
Philadelphia, PA 19102
(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

- 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

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

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 Ingberman
President and Partner
3848 Nostrand Avenue, Brooklyn NY 11235
(212)742-0414
mIngberman@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 is wholly owned by MISB Holdings, LLC. MISB Holdings, LLC is not a jurisdictional Utility and does not do business in Pennsylvania.

**MISB Holdings, LLC
3848 Nostrand Avenue
Brooklyn, NY 11235**

- 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.

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
- X Other. (Identify the nature of service being rendered)

Aurora Energy Advisors, LLC is currently licensed as an Electric Broker. Docket Number: A-2017-2613121

OR

☐ The Applicant is not presently doing business in Pennsylvania.

b. APPLICANT'S PROPOSED OPERATIONS: The Applicant proposes to operate as a:

- ☐ Supplier or Aggregator of natural gas services
- ☐ Municipal supplier of natural gas services
- ☐ Cooperative supplier of natural gas services
- 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.

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

Answer to Data Request # 2

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PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

CT-07

070511000 405

New York State
Department of State
Division of Corporations, State Records
and Uniform Commercial Code
41 State Street
Albany, NY 12231
www.dos.state.ny.us

ARTICLES OF ORGANIZATION

OF

AURORA ENERGY ADVISORS, LLC

(Insert name of Limited Liability Company)

Under Section 203 of the Limited Liability Company Law

FIRST: The name of the limited liability company is **AURORA ENERGY ADVISORS, LLC.**

SECOND: The county within this state in which the office of the limited liability company is to be located: **New York.**

THIRD: The Secretary of State is designated as agent of the limited liability company upon whom process against it may be served. The post office address within or without this state to which the Secretary of State shall mail a copy of any process against the limited liability company served upon him or her is: **SILVERMAN SCLAR SHIN & BYRNE, PLLC, 381 Park Avenue South, Suite 1601, New York, New York 10016.**

Barbara J. Zimmerman
(Signature of Organizer)

Barbara J. Zimmerman, Organizer
(Print or Type Name of Organizer)

Dated: April 30, 2007
New York, New York

CT-07

070511000

405

ARTICLES OF ORGANIZATION

OF

AURORA ENERGY ADVISORS, LLC

(Insert name of Limited Liability Company)

Under Section 203 of the Limited Liability Company Law

00:11:18 11:11:18

Filed by:

Barbara J. Zimmerman, Paralegal
SILVERMAN SCLAR SHIN & BYRNE, PLLC
381 Park Avenue South
Suite 1601
New York, New York 10016
Cst ref # 691455265

ice
STATE OF NEW YORK
DEPARTMENT OF STATE
FILED MAY 11 2007
TAX \$
BY: OX

DRAWDOWN

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2007 MAY 10 PM 4:08
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State of New York)
Department of State) ss:

I hereby certify that the annexed copy has been compared with the original document in the custody of the Secretary of State and that the same is a true copy of said original.

Witness my hand and seal of the Department of State on

May 11, 2007



A handwritten signature in black ink, appearing to read "D. J. [unclear]", written over a horizontal line.

Special Deputy Secretary of State

N. Y. S. DEPARTMENT OF STATE
DIVISION OF CORPORATIONS AND STATE RECORDS

ALBANY, NY 12231-0001

FILING RECEIPT

ENTITY NAME: AURORA ENERGY ADVISORS, LLC

DOCUMENT TYPE: ARTICLES OF ORGANIZATION (DOM LLC)

COUNTY: NEWY

SERVICE COMPANY: CT CORPORATION SYSTEM - 07

SERVICE CODE: 07 *

FILED: 05/11/2007 DURATION: ***** CASH#: 070511000432 FILM #: 070511000405

ADDRESS FOR PROCESS

EXIST DATE

SILVERMAN SCLAR SHIN & BYRNE, PLLC
381 PARK AVENUE SUITE 1601
NEW YORK, NY 10016

05/11/2007

REGISTERED AGENT

FILER	FILERS	260.00	PAYMENTS	260.00
	FILING	200.00	CASH	0.00
	TAX	0.00	CHECK	0.00
	CERT	0.00	CHARGE	0.00
BARBARA J. ZIMMERMAN, PARALEGAL	COPIES	10.00	DRAWDOWN	260.00
SILVERMAN SCLAR SHIN & BYRNE, PLLC	HANDLING	50.00	OPAL	0.00
381 PARK AVENUE SOUTH SUITE 1601			REFUND	0.00
NEW YORK, NY 10016				

6916552CS

DOS-1025 (11/89)

Answer to Data Request # 4

CONFIDENTIAL- Information has been removed

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PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

Answer to Data Request # 5

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PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

List of Licenses

California- Services provided do no necessitate a broker license or broker license not required

Connecticut- Services provided do no necessitate a broker license or broker license not required

Illinois- License #17-0262 (ABC)

Maryland- License #IR-3923 (ELECTRIC) and License #IR-3924 (GAS)

Massachusetts- License # EB-415 (ELECTRIC) and License # RA-183 (GAS)

Michigan- Services provided do no necessitate a broker license or broker license not required

New Jersey- License # EA-0395 (ELECTRIC)

New York- Services provided do no necessitate a broker license or broker license not required

Ohio- License # 16-566G(1) (GAS) and License # 17-1163E(1) (ELECTRIC)

Pennsylvania- License # A-2017-2613121 (ELECTRIC)

Rhode Island- Services provided do no necessitate a broker license or broker license not required

D.C.- Services provided do no necessitate a broker license or broker license not required

STATE OF ILLINOIS

ILLINOIS COMMERCE COMMISSION

Aurora Energy Advisors, LLC	:	
	:	
Application for Licensure of	:	17-0262
Agents, Brokers, and Consultants	:	
under Section 16-115C of the	:	
Public Utilities Act.	:	

ORDER

By the Commission:

I. INTRODUCTION

On May 30, 2017, Aurora Energy Advisors, LLC ("Applicant") filed a verified application with the Illinois Commerce Commission ("Commission") requesting a certificate of service authority to operate as an agent, broker, or consultant ("ABC") in Illinois pursuant to Section 16-115C of the Public Utilities Act ("Act"), 220 ILCS 5/1-101 et seq., and 83 Ill. Adm. Code 454, "Licensure of Retail Electric Agents, Brokers and Consultants" ("Part 454"). Applicant requests authority to offer services as an ABC for the procurement or sale of retail electricity supply for third parties in the State of Illinois. Since all of the information to grant the requested relief was contained in the Application, the Hearing was waived.

II. REQUIREMENTS FOR ALL APPLICANTS UNDER SECTION 16-115C OF THE ACT

Applicant is a business organized under the laws of New York and authorized to transact business in Illinois. Applicant has certified that it will comply with all applicable regulations; that it will comply with informational and reporting requirements established by Commission rule; that it will comply with informational and reporting requirements pursuant to Section 16-115C of the Act; and that it will comply with all other applicable laws, regulations, terms, and conditions required to the extent they have application to the services being offered by an ABC. Applicant has agreed to ensure that any person who acts on its behalf will comply with all applicable sections of Part 454. Applicant agrees that it will remain in compliance with the provisions of the Act and Part 454, and will ensure that authorizations received from customers, and all other applicable records are retained for a period of not less than three calendar years after the calendar year in which they were created. Applicant has agreed to adopt and follow rules and procedures to preserve the confidentiality of its customers' data. The Applicant has also attested that no complaints have been filed against it for its provision of services in the electric or gas industry in the jurisdictions where it provides or is seeking to provide services.

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

Applicant is required by Section 454.60 to demonstrate that it meets the managerial qualifications necessary to provide services as an ABC. Applicant must further provide an organizational chart that indicates the position of persons which satisfy the managerial qualification. Applicant has demonstrated that it meets the managerial qualifications set forth in Section 454.60 through Attachment B to the Application. Attachment B to the Application contains a corporate organizational chart and identifies the occupational background information of the persons being used to meet the requirements of Section 454.60(a). Attachment B contains occupational background information on the person or persons being used to meet the requirements of Section 454.60(a).

Applicant is required by Section 454.70 to demonstrate that it meets the technical qualifications necessary to provide services as an ABC. Applicant has demonstrated that it meets the technical qualifications set forth in Section 454.70 with the information provided in Attachment C. Attachment C contains occupational background information on the person or persons being used to meet the requirements of Section 454.70(a).

Pursuant to the requirements of Section 454.80 of Part 454, Applicant provided a surety bond in the amount of \$5,000 issued by a qualifying surety authorized to transact business in Illinois. Applicant further agrees to comply with the Code of Conduct for ABCs contained in Section 454.90.

IV. COMMISSION CONCLUSION AND CERTIFICATE OF SERVICE AUTHORITY

The Commission has reviewed the application and attachments provided by Applicant regarding the technical, managerial, and financial requirements and all other requirements of the Act and Part 454 and finds that the Applicant sufficiently demonstrates compliance with the requirements. The Commission concludes, therefore, that Applicant's request for a certificate of service authority to operate as an ABC in Illinois should be granted and should include the following authority:

CERTIFICATE OF SERVICE AUTHORITY

IT IS CERTIFIED that Aurora Energy Advisors, LLC is granted service authority to operate as an agent, broker, or consultant for the procurement or sale of retail electricity supply for third parties in the State of Illinois.

V. FINDINGS AND ORDERING PARAGRAPHS

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

- (1) Aurora Energy Advisors, LLC, a business organized under the laws of New York and authorized to transact business in Illinois, seeks a certificate of service authority to operate as an ABC under Section 16-115C of the Act;
- (2) the Commission has jurisdiction over the party hereto and the subject matter hereof;
- (3) the recitals of fact and conclusions reached in the prefatory portion of this Order are supported by the record and are hereby adopted as findings of fact;
- (4) Aurora Energy Advisors, LLC has demonstrated that it possesses sufficient financial, managerial, and technical resources and abilities to provide services as an ABC for the procurement or sale of retail electricity supply to third parties in the State of Illinois;
- (5) Aurora Energy Advisors, LLC has complied with Section 16-115C of the Act and Part 454; and
- (6) Aurora Energy Advisors, LLC should be granted a certificate of service authority to operate as an ABC as specified in this Order.

IT IS THEREFORE ORDERED by the Illinois Commerce Commission that Aurora Energy Advisors, LLC is hereby granted a Certificate of Service Authority authorizing it to operate as an agent, broker, or consultant; said Certificate of Service Authority shall read as that set forth in Section IV of this Order.

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

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

By Order of the Commission this 12th day of July, 2017.

(SIGNED) BRIEN SHEAHAN

Chairman



Chris Christie
Governor

Kim Guadagno
Lt. Governor

STATE OF NEW JERSEY
Board of Public Utilities
44 South Clinton Avenue, 3rd Floor, Suite 314
Post Office Box 350
Trenton, New Jersey 08625-0350
www.nj.gov/bpu/

Irene Kim Asbury
Secretary of the Board
(609) 292-1599

November 30, 2016

Mitchell Ingerman
President
Aurora Energy Services, LLC
P.O. Box 341017
Brooklyn, NY 11234

Re: **Energy Agent Initial Registration**
Docket No. EE16060588L

Dear Mr. Ingerman:

In accordance with the Electric Discount and Energy Competition Act of 1999, N.J.S.A. 48:3-49 et seq., at its November 30, 2016 Agenda meeting, the New Jersey Board of Public Utilities voted to issue a **REGISTRATION** as an Energy Agent to Aurora Energy Advisors, LLC. Your registration number is EA-0395.

The enclosed registration is effective November 30, 2016 and expires on November 29, 2017. This registration and the rights thereunder are Non-Transferable.

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

If you have any questions, please contact Valencia Hunt at (609) 292-0637.

Sincerely,

Irene Kim Asbury
Secretary of the Board

IKA/vch
Encl.(s)

State of New Jersey



Board of Public Utilities

44 South Clinton Avenue, 3rd Floor, Suite 314, P.O. Box 350, Trenton, New Jersey 08625-0350

HEREBY REGISTERS

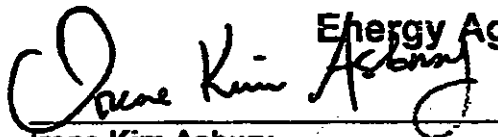
Aurora Energy Advisors, LLC

4022 Avenue U

Brooklyn, New York 11234

To conduct business in the State of New Jersey as an

Energy Agent

A handwritten signature in cursive script that reads "Irene Kim Asbury".

Irene Kim Asbury
Secretary of the Board

Registration No. EA-0395

Effective Date: November 30, 2016

Expiration Date: November 29, 2017



THE COMMONWEALTH OF MASSACHUSETTS
DEPARTMENT OF PUBLIC UTILITIES

CHARLES D. BAKER
GOVERNOR

KARYN E. POLITO
LIEUTENANT GOVERNOR

MATTHEW A. BEATON
SECRETARY OF ENERGY
AND ENVIRONMENTAL AFFAIRS

ONE SOUTH STATION
BOSTON, MA 02110
(617) 305-3500

ANGELA M. O'CONNOR
CHAIRMAN

ROBERT E. HAYDEN
COMMISSIONER

CECILE M. FRASER
COMMISSIONER

July 25, 2017

Mitchell Ingerman
Aurora Energy Advisors, LLC
3848 Nostrand Avenue
Brooklyn, NY 11235

Mr. Egger,

The Department of Public Utilities has reviewed Aurora Energy Advisors, LLC's ("Aurora Energy") application for a Gas Retail Agent license to serve commercial and industrial customers in the Commonwealth of Massachusetts. I am pleased to inform you that the application has been approved. Aurora Energy's license number is RA-183.

As a condition of maintaining its license, Aurora Energy must file updated information within 30 days of any material change in the information required by 220 C.M.R. § 14.04(2), and must comply with all relevant requirements of G.L. c. 164 and the regulations thereunder, including 220 C.M.R. §§ 12.00, 14.00 et seq. If you decide to request renewal of Aurora Energy's license next year, please submit a renewal application at least 30 days prior to the expiration of this license.



Sincerely,


Mark D. Marini, Secretary



The Commonwealth of Massachusetts

DEPARTMENT OF PUBLIC UTILITIES
ONE SOUTH STATION, 5TH FLOOR
BOSTON, MA 02110
617-305-3500

Gas Retail Agent License Application for New Applicants Pursuant to 220 C.M.R. § 14.00 et seq.

REQUIRES ANNUAL FEE and ANNUAL RENEWAL

Please submit an original, two copies, and an electronic copy on CD-ROM formatted for Microsoft Word to the address above along with a \$100.00 annual fee.

1. GENERAL BUSINESS INFORMATION

1. Legal Name of Applicant: **Aurora Energy Advisors, LLC**

Doing business as (D/B/A): n/a

2. Business Address:

**3848 Nostrand Avenue
Brooklyn, NY 11235**

3. If a corporation, association, or partnership: **Limited liability company**

(a) Organized under the laws of which state: **New York**

(b) Date of organization: **2011**

(c) Attach a copy of the articles of incorporation, association, partnership agreement or other document regarding legal organization. **Please see Attachment A.**

(d) Please, attach a copy of the by-laws. **Aurora Energy Advisors, LLC, as a limited liability company, does not have by-laws.**

4. Name, Title, and Business Address of all Officers and Directors, Partners, or other similar Officials:

**Mitchell Ingerman
President and Partner
3848 Nostrand Avenue
Brooklyn, NY 11235**

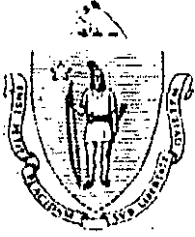
5. Name, Title, Toll-Free Telephone Number, and Email Address of Customer Service Contact Person:

Mitchell Ingerman
Name

President and Partner
Title

3848 Nostrand Avenue, Brooklyn, NY 11235
Address

APPROVED
DATE: <u>7/24/2017</u>
<u>Angela H. Coleman</u>
<u>Robert E. Hays</u>
<u>Leah M. Fawcett</u>
COMMISSIONERS, D.P.U.



**THE COMMONWEALTH OF MASSACHUSETTS
DEPARTMENT OF PUBLIC UTILITIES**

CHARLES D. BAKER
GOVERNOR

KARYN E. POLITO
LIEUTENANT GOVERNOR

MATTHEW A. BEATON
SECRETARY OF ENERGY
AND ENVIRONMENTAL AFFAIRS

**ONE SOUTH STATION
BOSTON, MA 02110
(617) 305-3500**

ANGELA M. O'CONNOR
CHAIRMAN

ROBERT E. HAYDEN
COMMISSIONER

CECILE M. FRASER
COMMISSIONER

July 25, 2017

Mitchell Ingerman
President
Aurora Energy Advisors, LLC
3848 Nostrand Avenue
Brooklyn, New York 11235

RE: Electricity Broker License Application

Dear Mr. Ingerman,

The Department of Public Utilities ("Department") has reviewed the application of Aurora Energy Advisors, LLC ("Aurora Energy" or "Company") for an Electricity Broker license in the Commonwealth of Massachusetts, and is pleased to inform you that the Department has approved the application. Aurora Energy's license number is **EB-415**.

Consistent with the information provided in Aurora Energy's application, the activities the Company is licensed to provide are limited to electricity broker services to commercial and industrial customers. If, at a later date, the Company seeks to provide electricity broker services to residential customers, it must first seek and obtain Department approval when renewing its license.

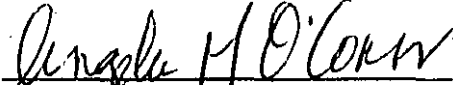
As a condition of maintaining this license, Aurora Energy must comply with all relevant requirements of G.L. c. 164 and the regulations promulgated thereunder, including 220 C.M.R. §§ 11.00, 12.00 et seq. In addition, within 30 days of any material change in the information required by 220 C.M.R. § 11.05(2), the Company must file updated

Mr. Mitchell Ingerman, President
Aurora Energy Advisors, LLC

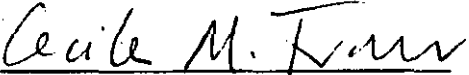
Page 2

information with the Department. If Aurora Energy requests a renewal of its license next year, please submit the renewal application no later than **July 1, 2018**.

By Order of the Department,


Angela M. O'Connor, Chairman


Robert E. Hayden, Commissioner


Cecile M. Fraser, Commissioner



COMMISSIONERS

W. KEVIN HUGHES
CHAIRMAN

HAROLD D. WILLIAMS
MICHAEL T. RICHARD
ANTHONY O'DONNELL

STATE OF MARYLAND



PUBLIC SERVICE COMMISSION

#7, 8/2/17 AM; ML# 215806
License Reference No.: IR-3924

August 2, 2017

Kamila Serwin
Customized Energy Solutions, Ltd.
1528 Walnut Street, 22nd Floor
Philadelphia, PA 19102

Dear Ms. Serwin:

On June 22, 2017, Aurora Energy Advisors LLC ("Company") filed an Application for a License Supply Natural Gas or Natural Gas Supply Services under COMAR 20.54. The Company proposes to provide natural gas supplier services in Maryland for residential, commercial and industrial customers as described in the application.

After considering this matter at the August 2, 2017 Administrative Meeting, the Commission granted the Company a license to supply natural gas or natural gas supply services in Maryland (License Reference Number IR-3924). The license granted by the Commission under this Letter Order is limited solely to natural gas supplier broker and for the customer classes and service territories recommended by Staff. Additionally, the Company is directed to provide marketing and training materials specific to its Maryland operations to the Commission Staff and the Office of People's Counsel 30 days prior to utilization of the materials in Maryland.

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

By Direction of the Commission,

/s/ David J. Collins

David J. Collins
Executive Secretary

DJC/st

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

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

410-767-8000

Toll Free: 1-800-492-0474

FAX: 410-333-6495

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

Website: www.psc.state.md.us

COMMISSIONERS

W. KEVIN HUGHES
CHAIRMAN

HAROLD D. WILLIAMS
MICHAEL T. RICHARD
ANTHONY O'DONNELL

STATE OF MARYLAND



PUBLIC SERVICE COMMISSION

#6, 8/2/17 AM; ML# 215799

License Reference No.: IR-3923

August 2, 2017

Kamila Serwin
Customized Energy Solutions, Ltd.
1528 Walnut Street, 22nd Floor
Philadelphia, PA 19102

Dear Ms. Serwin:

On June 22, 2017, Aurora Energy Advisors LLC ("Company") filed an Application for a License to Supply Electricity or Electric Generation Services in Maryland under COMAR 20.51. The Company proposes to provide electricity supplier services in Maryland for residential, commercial and industrial customers as described in the application.

After considering this matter at the August 2, 2017 Administrative Meeting, the Commission granted the Company a license to supply electricity or electric generation services in Maryland (License Reference Number IR-3923). The license granted by the Commission under this Letter Order is limited solely to electricity supplier broker services for all customer classes and service territories applied for and recommended by Staff. Additionally, the Company is directed to provide marketing and training materials specific to its Maryland operations to the Commission Staff and the Office of People's Counsel 30 days prior to utilization of the materials in Maryland.

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

By Direction of the Commission,

/s/ David J. Collins

David J. Collins
Executive Secretary

DJC/st

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

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

410-767-8000

Toll Free: 1-800-492-0474

FAX: 410-333-6495

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

Website: www.psc.state.md.us

Ohio

Public Utilities
Commission

John Kasich, Governor
Asim Z. Haque, Chairman

Commissioners
Lynn Staby
M. Beth Trombald
Thomas W. Johnson

FILE

PUBLIC UTILITIES COMMISSION OF OHIO

Revised

Certified as a Competitive Retail Electric Service Provider

Certificate Number:

17-1163E (1)

Issued Pursuant to Case Number(s):

16-2331-EL-AGG

A certificate as a Competitive Retail Electric Service Provider is hereby granted to, **Aurora Energy Advisors, LLC** whose office or principal place of business is located at 3848 Nostrand Avenue, Brooklyn NY 11235 to provide power broker services within the State of Ohio effective January 08, 2017.

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

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

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

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

Dated: January 25, 2017

By Order of

PUBLIC UTILITIES COMMISSION OF OHIO



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

Certificate Expires: January 08, 2019

This is to certify that the images appearing are an accurate and complete reproduction of a case file document delivered in the regular course of business.
Technician IN Date Processed JAN 23 2017

CRES AUTOMATIC CASE ACTION FORM

Date: **1-24-17**

Case Number: **16-2331-EL-AGG**

Company Name and Company Name d/b/a: **Aurora Energy Advisors, LLC**

Company Address: **3848 Nostrand Avenue**

Company City/State/Zip: **Brooklyn NY 11235**

Regulatory Contact: **Mitchell Ingerman**

Phone: **212-742-0414**

Email: **mingerman@aeadvisorsllc.com**

Address: **3848 Nostrand Avenue**

City/State/Zip: **Brooklyn NY 11235**

☐ Renewal

Action Needed:

☐ Issue Certificate Number to:

Effective Date of Certificate:

Certificate Expires:

☐ Renew Certificate Number from:

to:

Effective Date of Certificate:

Certificate Expires:

☒ Certified To Provide the Following Services:

☐ Retail Generation

☐ Aggregation

☐ Power Marketer

☒ Power Broker

☐ Governmental Aggregation

☒ Revise Certificate Number: **17-1163E (1)** to (check all applicable):

☐ Reflect name change from: to

☒ Reflect address change from: **4022 Avenue U, Brooklyn NY 11234**
to **3848 Nostrand Avenue, Brooklyn NY 11235**

☐ Correct Administrative Error:

☐ Reflect Change of Ownership to:

☐ Cancel Certificate Number:

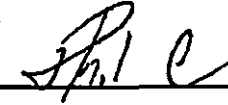
☐ Protect Un-redacted copies until:

☐ Close Case File, Case Withdrawn at Applicant's Request

☐ Close Case File

CASE NUMBER: 16-2331-EL-AGG
CASE DESCRIPTION: Aurora Energy Advisors, LLC
DATE OF SERVICE: 1/24/2017
DOCUMENT SIGNED ON: 1/24/17

Sign Here: _____

**APPLICANT****PARTY OF RECORD****ATTORNEY**

AURORA ENERGY ADVISORS LLC
MITCHELL INGERMAN
3848 NOSTRAND AVENUE
BROOKLYN, NY 11235
Phone: 212-742-0414
Email: MINGERMANN@AEADVISORSLLC.COM

NONE

ATTORNEY**PARTY OF RECORD****ATTORNEY**

none

*Bryers, Kira S Miss
Customized Energy Solutions Ltd.
1528 Walnut Street
22nd Floor
Philadelphia, PA 19102
Phone: (267) 238-4785
Fax: (215) 875-9490
Email: kbryers@ces-ltd.com

The Public Utilities Commission of Ohio

Ohio Competitive Retail Natural Gas Aggregator/Broker Certificate

Issued pursuant to Case Number(s):

16-2286-GA-AGG

Is

Ohio Competitive Retail Natural Gas Aggregator/Broker Certificate Number:

16-566G (1)

Granted to:

Aurora Energy Advisors, LLC

Whose office or principal place of business is located at:

4022 Avenue U, Brooklyn, NY 11234

And is hereby certified to provide:

Retail Natural Gas Aggregator/Broker Services

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

Certification Effective:

December 30, 2016 through December 30, 2018

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

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

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

Witness the seal of the Commission affixed at Columbus, Ohio

Dated: **January 3, 2015**

By Order of

The Public Utilities Commission of Ohio

Barcy F. McNeal

Barcy F. McNeal, Secretary

Tanowa M. Troupe, Acting Secretary

Felecia D. Burdett, Acting Secretary

Form No. CRNGS/AGGB-06

This is to certify that the images appearing are an accurate and complete reproduction of a case file document delivered in the regular course of business.
Technician SMA Date Processed JAN 03 2017

CRNGS AUTOMATIC CASE ACTION FORM

Date: December 30, 2016

Case Number: 16-2286-GA-AGG

Company Name and Company Name d/b/a: Aurora Energy Advisors, LLC

Company Address: 4022 Avenue U

Company City/State/Zip: Brooklyn, NY 11234

Regulatory Contact: Mitchell Ingerman

Regulatory Email: mingerman@aeadvisorsllc.com

Regulatory Phone: 212-742-0414

☐ Renewal

Action Needed:

☒ Issue Certificate Number: 16-566G (1) to: Aurora Energy Advisors, LLC

Effective Date of Certificate: 12/30/2016 Certificate Expires: 12/30/2018

☐ Renew Certificate Number from: to:

Effective Date of Certificate: Certificate Expires:

☒ Certified To Provide the Following Services:

- ☐ Retail Natural Gas Aggregator
- ☒ Retail Natural Gas Broker
- ☐ Retail Natural Gas Supplier
- ☐ Natural Gas Governmental Aggregator

☐ Revise Certificate Number: to (check all applicable):

- ☐ Reflect name change from: to
- ☐ Reflect address change from: to
- ☐ Correct Administrative Error:
- ☐ Reflect Change of Ownership to:

☐ Cancel Certificate No.

☐ Protect Un-redacted copies until

☐ Close Case File, Case Withdrawn at Applicant's Request

☐ Close Case File

CASE NUMBER: 16-2286-GA-AGG
CASE DESCRIPTION: Aurora Energy Advisors
DATE OF SERVICE: 1/3/2017
DOCUMENT SIGNED ON: 12 / 30 / 16

Sign Here: Ann

	APPLICANT	ATTORNEY
PARTY OF RECORD		
AURORA ENERGY ADVISORS LLC	NONE	
MITCHELL INGERMAN		
4022 AVENUE U		
BROOKLYN, NY 11234		
Phone: 212-742-0414		
Email: MINGERMAN@AEADVISORSLLC.COM		

	ATTORNEY	ATTORNEY
PARTY OF RECORD		
none		
	*Bryers, Kira S Miss	
	Customized Energy Solutions Ltd.	
	1528 Walnut Street	
	22nd Floor	
	Philadelphia, PA 19102	
	Phone: (267) 238-4785	
	Fax: (215) 875-9490	
	Email: kbryers@ces-ltd.com	

**PENNSYLVANIA
PUBLIC UTILITY COMMISSION
Harrisburg, PA 17120**

Public Meeting held September 21, 2017

Commissioners Present:

Gladys M. Brown, Chairman
Andrew G. Place, Vice Chairman
David W. Sweet
John F. Coleman, Jr.

Application of Aurora Energy Advisors, LLC for
Approval to Offer, Render, Furnish or Supply
Electricity or Electric Generation Services as a
Broker/Marketer of Retail Electric Power

Docket Number:
A-2017-2613121

ORDER

BY THE COMMISSION:

On July 11, 2017, the Commission accepted Aurora Energy Advisors, LLC's (Aurora), Utility Code 1120037, application seeking to become a licensed electric generation supplier (EGS) in the electric distribution company service territory of PECO Energy Company in the Commonwealth of Pennsylvania. The application was filed pursuant to the Commission's regulations at 52 Pa. Code §§54.31-54.43, which became effective on August 8, 1998, and which were established under Section 2809 of the Public Utility Code, 66 Pa. C.S. §2809.

§2809 provides in pertinent part that:

License Requirement.--No person or corporation,
including municipal corporations which choose to provide

service outside their municipal limits except to the extent provided prior to the effective date of this chapter, brokers and marketers, aggregators and other entities, shall engage in the business of an electric generation supplier in this Commonwealth unless the person or corporation holds a license issued by the Commission. 66 Pa. C.S. §2809.

An electric generation supplier is defined as:

A person or corporation, including municipal corporations which choose to provide service outside their municipal limits except to the extent provided prior to the effective date of this chapter, brokers and marketers, aggregators or any other entities, that sells to end-use customers electricity or related services utilizing the jurisdictional transmission or distribution facilities of an electric distribution company, or that purchases, brokers, arranges or markets electricity or related services for sale to end-use customers utilizing the jurisdictional transmission and distribution facilities of an electric distribution company. 66 Pa. C.S. §2803.

Aurora is a foreign limited liability company, formed in the State of New York as of May 11, 2007, and registered to do business in the Commonwealth of Pennsylvania on March 15, 2017. Aurora proposes to act as a broker/marketer of retail electric power to residential, small commercial (25 kW and under demand), large commercial (over 25 kW demand), industrial, and governmental customers.

Regarding the financial and technical requirements of the license application, Aurora has submitted financial statements for 2015 and 2016 and a credit report. Aurora has also supplied extensive résumé data for its chief officers. We find that sufficient information has been provided by Aurora to demonstrate its financial and technical fitness in order to be licensed as a broker/marketer of retail electric power in the Commonwealth of Pennsylvania.

Since Aurora will be providing electric generation supplier services to residential customers it is required to comply with, and be governed by, applicable Chapter 56

residential service regulations as set forth in the Commission Order *Guidelines for Maintaining Customer Service at the Same Level of Quality Pursuant to 66 Pa.*

C.S. §2807(d), and Assuring Conformance with 52 Pa. Code Chapter 56 Pursuant to 66 Pa. C.S. §2809(e) and (f), at Docket No. M-00960890 F0011, Order entered July 11, 1997.

Thus, we deem it appropriate to reiterate certain items with respect to Chapter 56 of our regulations. Chapter 56 (52 Pa Code Chapter 56) is applicable to residential accounts. An electric generation supplier cannot physically disconnect a residential customer from the electricity grid; therefore, the rules relating to residential service termination are not applicable to electric generation suppliers. An electric generation supplier may seek to terminate its generation service through an appropriate written notice to the customer and the distribution company. The residential customer can then attempt to repair their relationship with the supplier, seek a new supplier, or return to utility service at default service rates in accordance with the utility's obligations under Section 2807(e), 66 Pa. C.S. §2807(e). The customer would only be disconnected from the electricity grid pursuant to appropriate regulations if the customer failed to meet its obligations to the utility or the electric generation supplier that has been designated by the Commission as the provider of last resort.

Additionally, we specifically note that the licensee must comply with, and ensure that its employees, agents, representatives and independent contractors comply with the standards of conduct and disclosure for licensees set out in Commission regulations at 52 Pa. Code §54.43 that were enacted to protect consumers of this Commonwealth. These standards include, *inter alia*, the provision of timely and accurate information about the services offered by the licensee, the practice of nondiscrimination in service in regard to race, color, religion, national origin, marital status, etc., the safeguarding of a consumer's personal information, and compliance with applicable state and federal consumer protection laws. We further note that the licensee and its agents must comply with the Commission's sales and marketing regulations at 52 Pa. Code §111.1, et seq. applicable to residential customers. Among other things, these regulations require the licensee and its agents to

provide accurate information about products and services being offered and prohibit a licensee and its agents from engaging in misleading or deceptive conduct and from making false or misleading representations. Also, we take this opportunity to remind the licensee of its agreement to abide by, and to ensure that its employees, representatives, agents and independent contractors abide by all applicable federal and state laws, and Commission regulations, procedures and orders, 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.

Aurora did not provide a \$250,000 bond as required by the license application; however, it did provide a bond in the amount of \$10,000 and requests that the Commission reduce its security requirement from \$250,000 to \$10,000. In support of this request, Aurora explains that it will not be collecting any gross receipts from its customers, paying customer bills or taking title to electricity. Its services include analyzing client electricity loads and negotiating the purchase of electricity for its clients.

The Commission believes that the reasoning on which Aurora bases its request for a bond reduction from \$250,000 to \$10,000 is similar to that offered by the other EGSs that have successfully petitioned the Commission for a bonding level of \$10,000. Two of the EGSs are Co-eXprise, Inc. (Co-eX), at Docket No. A-110166, whose request was granted January 20, 2006, and Premier Solutions (Premier), at Docket No. A-110170, whose request was granted July 26, 2006. In the case of Co-eX, the company explained that, as a consultant, it will provide its customers with an evaluation and selection process from which to select the best positioned licensed electricity supplier/generator and award business. In the case of Premier, the company explained that it requested an EGS license to become EDI certified with the utilities, in order to be able to efficiently and effectively obtain electricity usage information for the customers to whom it provides consulting services. Premier intended to utilize the information to help its customers reduce their overall spending for electricity. Premier also stated that it will not take title to power.

The Commission believes that Aurora operates in a similar manner and therefore should be granted similar relief and be permitted to provide a bond or other approved security in the reduced amount of \$10,000. However, Aurora's bonding level is contingent upon the company's business model as described in this Order. If Aurora takes title to generation supply for its customers, and/or charges customers directly for that generation supply, a \$10,000 level of bonding may not be appropriate. Therefore, we will direct Aurora to notify the Commission 45 days prior to a change in its business model, whereby Aurora takes title to generation supply and/or bills its customers directly for that generation supply. This will provide the Commission with an opportunity to review and adjust Aurora's approved bonding level prior to Aurora implementing those changes.

Aurora has provided proofs of publication in the Pennsylvania newspapers and proofs of service to the interested parties as required by the Commission.

As of September 12, 2017, no protests have been filed.

We find that the applicant:

1. Is fit, willing and able to properly perform the service proposed in conformance with applicable provisions of the Public Utility Code and lawful Commission orders and regulations.
2. Has agreed to lawfully abide by all Commission regulations, procedures and orders, 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.

3. That the proposed service, to the extent authorized by the license, will be consistent with the public interest and the policy declared in the Electricity Generation Customer Choice and Competition Act.

Upon full consideration of all matters of record, we find that approval of this application is necessary and proper for the service, accommodation and convenience of the public; **THEREFORE,**

IT IS ORDERED:

1. That the application of Aurora Energy Advisors, LLC is hereby approved, consistent with this Order.
2. That Aurora Energy Advisors, LLC's request for a reduction in the bond level from \$250,000 to \$10,000 is hereby granted.
3. That the security amount of \$10,000 shall remain in effect for Aurora Energy Advisors, LLC as long as Aurora Energy Advisors, LLC does not make a change to its business model in Pennsylvania, whereby it would take title to generation supply and/or bill its customers directly for generation supply.
4. That a license be issued authorizing Aurora Energy Advisors, LLC to begin to offer, render, furnish or supply electricity or electric generation services as a broker/marketer to residential, small commercial (25 kW and under demand), large commercial (over 25 kW demand), industrial, and governmental customers in the electric distribution company service territory of PECO Energy Company in the Commonwealth of Pennsylvania.

5. That if Aurora Energy Advisors, LLC proposes to change its business model as described in Ordering Paragraph No. 3, it must notify the Commission at least 45 days prior to the changes. With the notice, the Company must provide an update to the nature and scope of business information that was required by 52 Pa. Code § 54.40(c) to justify the modification granted in Ordering Paragraph No. 3. This will provide the Commission the opportunity to review Aurora Energy Advisors, LLC's bonding level and adjust as appropriate, prior to Aurora Energy Advisors, LLC implementing the proposed changes to its business model.

6. That if Aurora Energy Advisors, LLC changes its business model without providing to the Commission the notice and information required in Ordering Paragraph No. 5, then the reduced bonding level permitted by Ordering Paragraph No. 2 shall cease effective with the date of the change in the business model. The level of bonding effective at that time shall be \$250,000 or the level required by 52 Pa. Code § 54.40, whichever is greater.

7. That this proceeding at Docket No. A-2017-2613121 be closed.

BY THE COMMISSION,



Rosemary Chiavetta
Secretary

(SEAL)

ORDER ADOPTED: September 21, 2017

ORDER ENTERED September 21, 2017

Answer to Data Request # 6

RECEIVED

NOV 20 2017

**PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU**

Mitchell Ingerman

121 Bassett Avenue
Brooklyn, New York 11234
212-742-0414
917-301-6093
mitchellingerman@yahoo.com

EXPERIENCE:

2007 – Present

Aurora Energy Advisors, LLC

President

- Founded a full service energy consulting firm serving the real estate community.
- Services include energy analysis and procurement, demand response and conservation programs, budgeting and monitoring, general and strategic consulting.

1985 – 2007

Lefrak Organization, Inc.

Senior Vice President of Asset Management, Administration and Treasurer

- Initiated and created an asset management function for a portfolio of \$5 billion in residential and commercial real estate. Coordinated efforts of property management, financial reporting, and leasing to achieve senior level management of asset value and bottom line.
- Responsible for all aspects of the treasury function including cash management, reporting, investments, bookkeeping, accounts payable, accounts receivable, collections.
- Supervision of Human Resources, Payroll, and Office Services for an organization of 1,200 employees. Developed the human resource function which eliminated high employee turnover, lawsuits, and recruitment fees.
- Originated and managed the property accounting and budgeting functions for over 150 properties resulting in significant improvement to cash flow.
- Oversight and procurement responsibility for energy and water consumption in excess of \$60 million per annum. Initiated and implemented strategies resulting in \$14 million in cost reductions.
- Handle all real estate tax assessment functions including certiorari and pre-assessment filings. In general, properties enjoy low taxes relative to income, size and neighborhood.
- Developed function to review all market rents on a semi-annual basis for a portfolio of 24,000 residential apartments. Directed a program to ensure that apartments are brought up to market rent upon vacancy in a rent stabilized environment.
- Responsible for the risk management function including all aspects of insurance policy procurement and review as well as insurance claims management. Established an off shore captive insurance company.
- Direct supervision of 45 employees.

EDUCATION:

1977 - 1981

Pace University

Bachelor of Business Administration in Public Accounting

Sean Stettin
917-626-7828
seannstettin@gmail.com

OBJECTIVE: To obtain a position in the financial sector that will draw upon my leadership abilities, achievements, and analytical skills, while at the same time provide a valuable professional experience within a challenging environment.

EDUCATION

State University of New York at Binghamton School of Management
Bachelor of Science – Double Concentration: Finance/Global Management
Overall GPA: 3.6 Major GPA: 3.7

May 2009

SAT: 1340 (Math – 710 Verbal – 630)

HONORS

- Sigma Alpha Epsilon - Nationally recognized as most outstanding President out of 275 chapters 2008
- School of Management Dean's List Spring 2008, Fall 2008
- Applebee's Employee of the Month February 2010

PROFESSIONAL EXPERIENCE

Aurora Energy Advisors, LLC, Brooklyn, NY

February 2011 - Present

Senior Energy Analyst

Aurora Energy Advisors is a full service energy management consulting firm that advises clients on best energy purchasing strategies for their portfolio of buildings. As a senior analyst I manage portfolios for clients with large holdings, monitoring their energy use and costs, conducting RFPs and analysis which lead to contracts that suit their requirements.

- Conduct several sophisticated RFPs monthly and negotiate price and contract terms with Energy Service Companies in deregulated markets in the United States and Canada.
- Monitor utility tariffs, Federal & State energy regulations, commodity markets, ISO updates
- Review energy costs and develop a comprehensive management strategy tailored to specific needs
- Ongoing correspondence with clients providing monthly & quarterly updates on contract performance
- Quarterly variance reporting comparing actual energy use and cost to budgeted projections
- Maintain extensive Microsoft Excel and Access based databases
- Review and critique engineering proposals with regard to cost saving claims

GoodwinWorldwide, New York, NY

September 2010 to August 2011

Intern to FullContactEvents.com

GoodwinWorldwide is the parent company of www.FullContactEvents.com and other start up businesses, operating out of New York. As an intern to www.FullContactEvents.com I was responsible for assisting with the creation of and administering the web-based database, as well as the documenting of processes in narrative form.

- Assist creators by parallel processing testing and development
 - Test data integrity and upload data
 - Give special attention to inherent risks and how to mitigate them using controls
 - Provide feedback on user interface forms
 - Track tasks for outsourced developers
- Document the process and execute the utilization of metatags for search engine optimization
- Edit static content pages on ftp server for the asp website
- Utilize Excel pivot tables to maintain contact list

Wyden & Kennedy Advertising Agency, New York, NY

March 2008 to August 2008

Ambassador to Strategic Planning Department

Wyden & Kennedy is a full service, creatively driven advertising agency based in Portland, Oregon. As an ambassador to their strategic planning department I was responsible for helping my contact identify and utilize college trends to assist in advertising campaigns.

- Assisted marketing team with valuable research which led to successful, targeted Old Spice Campaigns

- Conducted several interviews and surveys with college students to learn market preferences
- Utilized PowerPoint presentations and advanced functions in Excel, such as Pivot Tables, vlookups, and if statements, in order to organize and analyze data used for marketing modeling

Applebee's Services Inc., New York, NY

December 2009 to March 2011,

Senior Server

Summer 2007, Summer 2008

Applebee's is the largest casual dining chain in the world founded by Bill and TJ Palmer. As a senior server I was responsible for ensuring all guests dine in a friendly, welcoming neighborhood environment, and enjoy their Applebee's experience.

- Execute hundreds of sales per week utilizing suggestive selling to win numerous sales contests
- Assist management with additional needs beyond the job requirement
 - Act as supervisor during busy shifts dealing with complaints and other guest/ employee issues
 - Assist with financial and inventory reconciliations
- Promoted three times and received awards for excellent guest service, reliability, and initiative

ACTIVITIES

Leadership Activities:

- Elected as Secretary of Sigma Alpha Epsilon Alumni Association
- Elected to 4 terms as President of Sigma Alpha Epsilon Fraternity
- Initiated, organized, and headed fund raiser for Amyotrophic Lateral Sclerosis (Lou Gehrig's disease) Foundation
- Organized and hosted a Province Convention of Sigma Alpha Epsilon
- Orchestra Manager for three theater performances at Binghamton University
- President of ARISTA society at Midwood High School

Volunteer Activities:

- First Responder Course for shelter relief with American Red Cross
- United Way "Care for Community" Telethon
- Campus Cleanup at Binghamton University
- Special Olympics in Binghamton

Joseph Weitz

145-11 Neponsit Avenue, Rockaway Park, NY 11694 | 917.626.4937 | weitzjoseph@gmail.com

WORK EXPERIENCE

AURORA ENERGY ADVISORS, LLC

New York, NY

Director of Energy Management

December 2010 – Present

- Craft, propose, and implement energy procurement and hedging strategies for 100+ real estate management firms across the country
- Liaise with generators and utilities to supply and deliver \$2B worth of electricity, gas, and oil per year
- Prepare market research of historical trends and future outlook for various commodities and regions.
- Collaborate with Mayor's Office of Sustainability towards Local Law 84 compliance
- Responsible for single largest LL84 submission each year since inception
- Responsible for the daily work flow of up to 10 team members; coordinated training and provided mentoring

Aurora Energy Advisors LLC

Brooklyn, NY

Internship

January 2009 – December 2010

- Created initial client database to track energy contract expirations
- Produce workbook templates for analysis and client presentations
- Reviewed, corrected, and approved Utility invoices for all clients
- Maintained ongoing price tariff schedules

EDUCATION

CUNY Brooklyn College

Brooklyn, NY

Bachelor of Science–Double Major in Economics & Finance, Summa Cum Laude Graduation: December 2010

Answer to Data Request # 7

RECEIVED

NOV 20 2017

**PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU**

Appendix A

APPLICATION AFFIDAVIT

RECEIVED

[Commonwealth/State] of New York :

NOV 20 2017

ss.

County of Kings :

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

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 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 17th day of November, 20 17.



Signature of official administering oath

My commission expires 8/1/2021

DOROTHY GIGLIO
NOTARY PUBLIC-STATE OF NEW YORK
No. 01G16131265
Qualified in Kings County
My Commission Expires August 01, 2021

Appendix B

OPERATIONS AFFIDAVIT

RECEIVED

NOV 20 2017

[Commonwealth/State] of New York :

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

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.

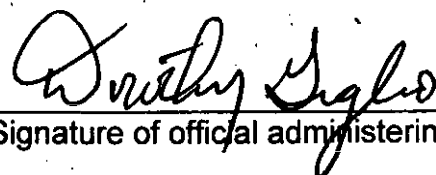
That the facts above set forth are true and correct/true and correct to the best of his/her knowledge, information, and belief.



Signature of Affiant

Sworn and subscribed before me this 7TH day of November, 2017.

DOROTHY GIGLIO
NOTARY PUBLIC-STATE OF NEW YORK
No. 01G16131255
Qualified in Kings County
My Commission Expires August 01, 2021



Signature of official administering oath

My commission expires 8/1/2021

Aurora Energy Advisors, LLC does not prepare stand alone audited financial statements or income tax filings, but is included in the financial statements and income tax filings of MISB Holding, LLC; it's ultimate parent company. Aurora Energy Advisors, LLC submits the following for consideration of the entity's financial fitness:

- MISB Holding, LLC's two consecutive years of Income tax filings and three consecutive months of bank statements.

State of New York :
: ss.

County of Kings :

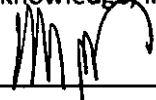
Mitchell Ingerman, being duly affirmed according to law, deposes and says that:

He is the President of Aurora Energy Advisors, LLC;

That MISB Holding, LLC is the ultimate Parent of Aurora Energy Advisors, LLC;

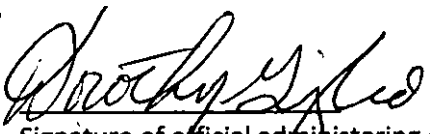
That MISB Holding, LLC files taxes and other financial information on behalf of Aurora Energy Advisors, LLC.

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



Signature

Sworn and subscribed before me this 9th day of Nov, 2017



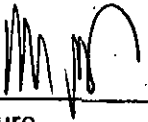
Signature of official administering oath

My Commission expires 8/1/2021

DOROTHY GIGLIO
NOTARY PUBLIC-STATE OF NEW YORK
No. 01G16131255
Qualified in Kings County
My Commission Expires August 01, 2021

Verification

I, Mitchell Ingerman, hereby state that the facts above set forth are true and correct to the best of my knowledge, information and belief, and that I expect to be able to prove the same at a hearing held in this matter. I understand that the statements herein are made subject to the penalties of 18 Pa. C.S. § 4904 (relating to unsworn falsification to authorities).



Signature

11/9/17

Date

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NOV 20 2017

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

RECEIVED

NOV 20 2017

Appendix C

PA PUBLIC UTILITY COMMISSION

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

SECRETARY'S BUREAU

**Example
CERTIFICATE OF SERVICE**

On this the 9th day of November 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
Columbia Gas of PA, Inc. Michele Caddell 290 W. Nationwide Blvd. Columbus, OH 43215 PH: 614.460.6841 FAX: 614.460.8447 e-mail: mcaddell@nisource.com	Bureau of Investigation & Enforcement Pennsylvania Public Utility Commission Commonwealth Keystone Building 400 North Street, 2 West Harrisburg, PA 17120
Peoples Natural Gas – Equitable Division Lynda Petricevich 225 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: Lynda.w.petricevich@peoples-gas.com	National Fuel Gas Distribution Corp. David D. Wolford 6363 Main Street Williamsville, NY 14221 PH: 716.857.7483 FAX: 716.857.7479 e-mail: wolfordd@natfuel.com
The Peoples Natural Gas Company Lynda Petricevich 225 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: Lynda.w.petricevich@peoples-gas.com	PECO Carlos Thillet, Manager, Gas Supply and Transportation 2301 Market Street, S9-2 Philadelphia, PA 19103 PH: 215.841.6452 Email: carlos.thillet@exeloncorp.com
Peoples TWP LLC (Formerly T. W. Phillips) Lynda Petricevich	Philadelphia Gas Works Nicholas LaPergola

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



Mitchell Ingeman, President, Aurora Energy Advisors, LLC

ORIGIN ID: MUVA (215) 875-9440
SHARON BARRA
CUSTOMIZED ENERGY SOLUTIONS
1528 WALNUT STREET, 22ND FLOOR

PHILADELPHIA, PA 19102
UNITED STATES US

SHIP DATE: 17NOV17
ACTWGT: 2.00 LB
CAD: 7872657/INET3920

BILL SENDER

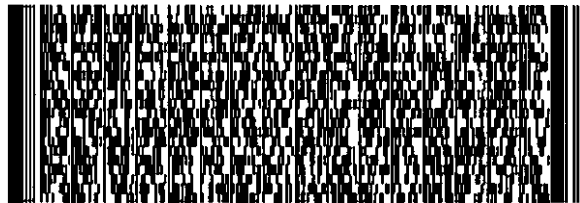
TO **ROSEMARY CHIAVETTA**
PENNSYLVANIA PUBLIC UTILITY COMMISS
400 NORTH STREET
KEYSTONE BUILDING
HARRISBURG PA 17120

(610) 999-0448

INV:
PO:

REF:

DEPT:



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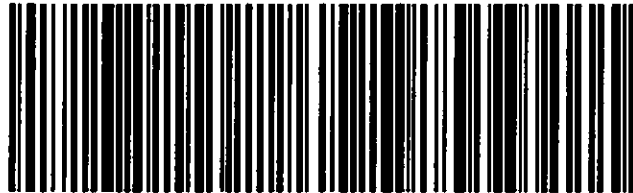
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MON - 20 NOV 3:00P
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K7 MDTA

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PA-US MDT



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