



COMMONWEALTH OF PENNSYLVANIA  
PENNSYLVANIA PUBLIC UTILITY COMMISSION  
400 NORTH STREET, HARRISBURG, PA 17120

IN REPLY PLEASE  
REFER TO OUR FILE

April 10, 2018

Docket No. A-2018-3000917

Utility Code: 1120835

**CERTIFIED**

JOHN KIM PRESIDENT  
GLOBAL ENERGY E&G LLC  
5 PENN PLAZA 23<sup>RD</sup> FL  
NEW YORK NY 10001

RE: Electric Generation Supplier License Application

Dear Mr. Kim:

On April 4, 2018, Global Energy E&G LLC's application for an Electric Generation Supplier license was accepted for filing and docketed with the Public Utility Commission. The application was incomplete. In order for us to complete our analysis of your application, the Energy Industry Group requires answers to the attached question(s).

Please be advised that you are directed to forward the requested information to the Commission within **30** days of receipt of this letter. Failure to respond may result in the application being denied. As well, if Global Energy E&G LLC has decided to withdraw its application, please reply notifying the Commission of such a decision.

Please forward the information to the Secretary of the Commission at the address listed below. When submitting documents, all documents requiring notary stamps must have original signatures. Please note that some responses may be e-filed to your case, <http://www.puc.pa.gov/efiling/default.aspx>. A list of document types allowed to be e-filed can be found at <http://www.puc.pa.gov/efiling/DocTypes.aspx>.

Rosemary Chiavetta, Secretary  
Pennsylvania Public Utility Commission  
400 North Street  
Harrisburg, PA 17120

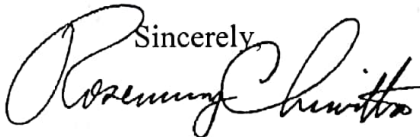
**Your answers should be verified per 52 Pa Code § 1.36.** Accordingly, you must provide the following statement with your responses:

I, \_\_\_\_\_, 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).

The blank should be filled in with the name of the appropriate company representative, and the signature of that representative should follow the statement.

Please direct any questions to Stephen Jakab, Bureau of Technical Utility Services, at [sjakab@pa.gov](mailto:sjakab@pa.gov) (preferred) or (717) 783-6174.

Sincerely,  


Rosemary Chiavetta  
Secretary

Enclosure

Docket No. A-2018-3000917  
Global Energy E&G LLC  
Data Requests

1. Reference Application, Section 1.a, Identity of Applicant – The Applicant stated throughout the Application that the name of the applicant is Global Energy LLC d/b/a Global Energy E&G LLC. This is not consistent with the Pennsylvania Department of State filing which shows the company’s name as Global Energy E&G LLC. Please either provide a corrected application page or submit a letter stating that the application contains numerous typographical errors and stating the correct name of the applicant consistent with the Pennsylvania Department of State. See attached email
2. Reference Application, Section 2.a, Fictitious Name – The Applicant failed to provide a fictitious name registration. Please provide the missing documentation. See attached email
3. Reference Application, Section 2.b, Business Entity Filings and Registration – The Applicant’s Articles of Organization states that Global Energy LLC was created in May 17, 2004, but the Applicant’s Financial Statements state that Global Energy LLC began operations in July 1, 2014. Please clarify. See attached
4. Reference Application, Section 7.a, Financial Fitness – The Applicant’s financial security states the name of the applicant is Global Energy LLC d/b/a Global Energy E&G LLC. This is not consistent with the Pennsylvania Department of State filing which shows the company’s name as Global Energy E&G LLC. Please provide an updated financial security stating the Applicant’s name as Global Energy E&G LLC. See attached email
5. Reference Application, Section 7.f, Taxation – The Applicant’s Tax Certification Statement states the name of the applicant as Global Energy LLC. This is not consistent with the Pennsylvania Department of State filing which shows the company’s name as Global Energy E&G LLC. Please provide an updated Tax Certification Statement stating the Applicant’s name as Global Energy E&G LLC. See attached email
6. Reference Application, Section 7.e, Financial Fitness – Applicant failed to provide a Primary address for its custodian of accounting records. Please provide an updated application page with the appropriate corrections. See attached
7. Reference Application, Section 8.a, Technical Fitness – Applicant failed to provide licenses for Massachusetts, Maryland, New Jersey, Rhode Island, and New York. Please provide the missing documentation. See attached
8. Reference Application, Section 11, Affidavits – The Applicant’s Affidavits state the name of the applicant is Global Energy LLC. This is not consistent with the Pennsylvania Department of State filing which shows the company’s name as

Global Energy E&G LLC. Please resubmit an updated Application Affidavit and Operations Affidavit. See attached email

9. Reference Application, Section 12, Notarized Proofs – Applicant failed to provide a notarized proof of publication for Harrisburg Patriot News. Please provide the notarized proofs of publication for the above newspaper. See attached

## Theresa Bitterman

---

**From:** Jakab, Stephen <sjakab@pa.gov>  
**Sent:** Friday, April 20, 2018 1:36 PM  
**To:** Theresa Bitterman  
**Cc:** Ingrid Fernandez; Shayna Desai  
**Subject:** RE: Global Energy LLC d/b/a Global Energy E&G LLC

Good Afternoon,

I have been informed by our legal department that, *in this instance*, the “Global Energy LLC d/b/a Global Energy E&G LLC” listed on the Application, Bond, Affidavits, Tax Certification Statement, etc. is acceptable.

Thank you for your cooperation.

**Stephen Jakab | Financial Analyst**

Pennsylvania Public Utility Commission  
Bureau of Technical Utility Services  
End of line...

[Click Here](#)-Electric Generation Supplier (EGS): [FAQs](#), [Checklists](#), [Required Forms](#), [comprehensive Financial Security Info](#), et al.

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**From:** Theresa Bitterman <TBitterman@LicenseLogix.com>  
**Sent:** Thursday, April 19, 2018 1:57 PM  
**To:** Jakab, Stephen <sjakab@pa.gov>  
**Cc:** Ingrid Fernandez <IFernandez@LicenseLogix.com>; Shayna Desai <sdesai@licenselogix.com>  
**Subject:** RE: Global Energy LLC d/b/a Global Energy E&G LLC

Hi Stephen,

Thank you for taking the time to speak with me this afternoon. I look forward to hearing from you after you have had the opportunity to review the fictitious name issue with your supervisors further.

If there is anything we can do to be of assistance please do not hesitate to contact us.

Best,  
Theresa

•••

licenselogix

**Theresa Bitterman** | Senior Account Manager  
[TBitterman@licenselogix.com](mailto:TBitterman@licenselogix.com) | [www.licenselogix.com](http://www.licenselogix.com)

140 Grand St, Suite 300 | White Plains, NY 10601  
Office: 800.292.0909 x 409 | Fax: 212.672.1105



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**From:** Jakab, Stephen <sjakab@pa.gov>  
**Sent:** Thursday, April 19, 2018 1:39 PM  
**To:** Theresa Bitterman <[TBitterman@LicenseLogix.com](mailto:TBitterman@LicenseLogix.com)>

Cc: Ingrid Fernandez <[IFernandez@LicenseLogix.com](mailto:IFernandez@LicenseLogix.com)>

Subject: RE: Global Energy LLC d/b/a Global Energy E&G LLC

Sure. 717-783-6174

Thank you for your cooperation.

**Stephen Jakab | Financial Analyst**

Pennsylvania Public Utility Commission

Bureau of Technical Utility Services

End of line...

[Click Here](#)-Electric Generation Supplier (EGS): [FAQs](#), [Checklists](#), [Required Forms](#), [comprehensive Financial Security Info](#), et al.

---

**From:** Theresa Bitterman <[TBitterman@LicenseLogix.com](mailto:TBitterman@LicenseLogix.com)>

**Sent:** Thursday, April 19, 2018 1:37 PM

**To:** Jakab, Stephen <[sjakab@pa.gov](mailto:sjakab@pa.gov)>

**Cc:** Ingrid Fernandez <[IFernandez@LicenseLogix.com](mailto:IFernandez@LicenseLogix.com)>

**Subject:** RE: Global Energy LLC d/b/a Global Energy E&G LLC

Good Afternoon Stephen,

Thank you for getting back to me. Would you have availability to discuss the application this afternoon?

Best,  
Theresa

• • •

licenselogix

**Theresa Bitterman** | Senior Account Manager

[TBitterman@licenselogix.com](mailto:TBitterman@licenselogix.com) | [www.licenselogix.com](http://www.licenselogix.com)

140 Grand St, Suite 300 | White Plains, NY 10601

Office: 800.292.0909 x 409 | Fax: 212.672.1105



---

**From:** Jakab, Stephen <[sjakab@pa.gov](mailto:sjakab@pa.gov)>

**Sent:** Thursday, April 19, 2018 1:36 PM

**To:** Theresa Bitterman <[TBitterman@LicenseLogix.com](mailto:TBitterman@LicenseLogix.com)>

**Subject:** Global Energy LLC d/b/a Global Energy E&G LLC

Good Afternoon,

I understand you have some questions regarding Global Energy LLC d/b/a Global Energy E&G LLC.

Thank you for your cooperation.

**Stephen Jakab | Financial Analyst**

Pennsylvania Public Utility Commission

Bureau of Technical Utility Services

End of line...

[Click Here](#)-Electric Generation Supplier (EGS): [FAQs](#), [Checklists](#), [Required Forms](#), [comprehensive Financial Security Info](#), et al.





## GLOBAL ENERGY LLC

5 Penn Plaza, 23<sup>rd</sup> Floor  
New York, NY 10001

1-800-385-7893

F 718-408-4923

4/30/2018

I, John Kim, 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).

DocuSigned by:

*John Kim*

52D52BAD4F6E47C...

John Kim, President  
Global Energy, LLC d/b/a Global Energy E&G LLC

YOUR PARTNER IN ENERGY

GlobalEnergyllc.net





GLOBAL ENERGY LLC

5 Penn Plaza, 23<sup>rd</sup> Floor  
New York, NY 10001  
1-800-385-7893  
F 718-408-4923

To whom it may concern,

The date on Global Energy, LLC's 2015 audited financial statements was incorrectly recorded as July 1, 2014. It should have been recorded as May 17, 2004, the founding date of Global Energy, LLC.

John Kim,

A handwritten signature in black ink that reads "John Kim".

President, Global Energy, LLC  
(718) 303-9630  
[jkim@globalenergyllc.net](mailto:jkim@globalenergyllc.net)

---

**GLOBAL ENERGY, LLC**  
**FINANCIAL STATEMENTS**  
**DECEMBER 31, 2015**

**GLOBAL ENERGY, LLC**  
**DECEMBER 31, 2015**

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## Independent Auditors' Report

To the Members of  
Global Energy, LLC.  
Forest Hills, NY

We have audited the accompanying financial statements of Global Energy, LLC. as of December 31, 2015, which comprise the statement of financial position, and the related statement of operations and changes in members' equity, and cash flows for the year then ended, and the related notes of the financial statements.

### Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

### Auditor's Responsibility

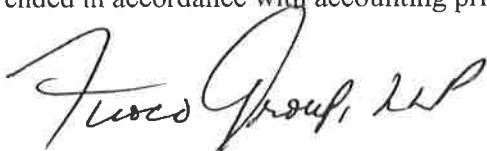
Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

### Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Global Energy, LLC. as of December 31, 2015, and the results of its operations and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.



New York, NY  
August 5, 2016

**GLOBAL ENERGY LLC**  
**STATEMENT OF FINANCIAL POSITION**  
**DECEMBER 31, 2015**

	<b>2015</b>
<b>ASSETS</b>	
Current Assets	
Cash	\$ 210,441
Accounts receivable	708,562
Due from Big Apple Energy LLC	242,045
Total current assets	1,161,048
Other Assets	
Security deposits	7,105
Total assets	\$ 1,168,153
<b>LIABILITIES AND MEMBERS' EQUITY</b>	
Current Liabilities	
Accounts payable and accrued expenses	\$ 18,449
Sales tax payable	63,945
Total current liabilities	82,394
Non-Current Liabilities	
Members' promissory notes payable	400,000
Total liabilities	482,394
Members' equity	685,759
Total liabilities and members' equity	\$ 1,168,153

See accompanying notes to the financial statements and independent auditor's report

**GLOBAL ENERGY LLC**  
**STATEMENT OF OPERATIONS AND CHANGES IN MEMBERS' EQUITY**  
**FOR THE YEAR ENDED DECEMBER 31, 2015**

	<b>2015</b>
<b>NET SALES</b>	\$ 5,631,965
<b>COST OF SALES</b>	4,402,092
Gross profit	1,229,873
<b>OPERATING EXPENSES</b>	
Salaries and wages	226,733
Professional Fees	76,464
General Administrative expense	65,424
Rent	18,600
Marketing and advertising	8,463
Total operating expenses	395,684
Income from operations	834,189
<b>OTHER INCOME AND EXPENSES</b>	
Interest expense	(61,054)
<b>NET INCOME</b>	773,135
<b>MEMBERS' EQUITY - JANUARY 1</b>	(87,376)
<b>MEMBERS' EQUITY - DECEMBER 31</b>	\$ 685,759

See accompanying notes to the financial statements and independent auditor's report

**GLOBAL ENERGY LLC**  
**STATEMENT OF CASH FLOW**  
**FOR THE YEAR ENDED DECEMBER 31, 2015**

	<b>2015</b>
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>	
Net Income	\$ 773,135
Adjustments to reconcile net income to net cash provided by operating activities:	
Changes in operating activities	
(Increase) decrease in operating assets:	
Accounts receivable	(130,761)
Security deposits	(7,181)
Prepaid expenses	60,704
Due from Big Apple Energy LLC	(148,289)
Decrease in operating liabilities:	
Accounts payable and accrued expenses	(142,618)
Sales tax payable	(7,868)
Net cash provided by operating activities	397,122
 <b>CASH FLOWS FROM FINANCING ACTIVITIES</b>	
Proceeds from members' promissory notes payable	200,000
Repayment to members' promissory notes payable	(450,000)
Net cash used in financing activities	(250,000)
Net increase in cash and cash equivalents	147,122
 <b>CASH AT BEGINNING OF YEAR</b>	63,318
 <b>CASH AT END OF YEAR</b>	\$ 210,441

See accompanying notes to the financial statements and independent auditor's report

**GLOBAL ENERGY, LLC**  
**NOTES TO FINANCIAL STATEMENTS**

**NOTE 1 – NATURE OF ORGANIZATION**

Global Energy, LLC (the Company) is a limited liability company organized in the State of New York. The company is an ESCO (Energy Service Company) serving the New York State National Grid Market with Natural Gas for residential and commercial use. The company began operations in May 17, 2004; it is located in Forest Hills, New York.

**NOTE 2 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

*Basis of accounting* - The financial statements of the Company have been prepared on an accrual basis of accounting, recognizing income when earned and expenses when incurred.

*Cash and cash equivalents* - For financial statement purposes, the Company considers all highly liquid investments purchased with an original maturity of three months or less when purchased to be cash equivalents.

*Revenues* - The Company derives revenue from selling natural gas to KeySpan and Con Edison at a variable rate per therm. Revenue is recognized when delivery is made. The Company also record revenues for electricity and gas provided but unbilled at the end of each month. Rates include provisions to adjust billings for fluctuations in fuel and purchased power costs and cost of gas. Revenues are adjusted for difference between actual costs subject to reconciliation and the amounts billed in current rates.

*Accounts Receivable and Allowance for Doubtful Accounts* - Accounts receivable consist of billings provided by KeySpan and Con Edison. The provision for bad debts is determined by analysis of each open account taking into consideration several pertinent factors to determine whether the account is collectable or not. The allowance for bad debts is based upon periodic review of accounts over 90 days old, combined with several other collection process factors.

*Income taxes* - As a limited liability company, the members have elected be a treated as a partnership for federal and state income tax purposes. As such, no provision or credit has been made in the accompanying consolidated financial statements for federal or state income taxes since the members allocable share of the Company's taxable income or loss are reportable on their income tax returns.

The Company has adopted the recognition requirements for uncertain income tax positions as required by generally accepted accounting principles, with no cumulative effect adjustment required. Income tax benefits are recognized for income tax positions taken or expected to be taken in a tax return, only when it is determined that the income tax position will more-likely-than-not be sustained upon examination by taxing authorities. The Company has analyzed tax positions taken for filing with the Internal Revenue Service and all state jurisdictions where it operates. The Company believes that income tax filing positions will be sustained upon examination and does not anticipate any adjustments that would result in a material adverse affect on the Company's financial condition, results of operations or cash flows. Accordingly, the Company has not recorded any reserves, or related accruals for interest and penalties for uncertain income tax positions.

The Company is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress.

*Use of estimates* - The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.



**GLOBAL ENERGY, LLC**  
**NOTES TO FINANCIAL STATEMENTS**

**NOTE 2 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)**

*Advertising Costs* - The Company expenses advertising costs as they are incurred.

*Derivate liabilities* – The Company enter into derivative financial instruments as part of the marketing and hedging activities. These financial instruments are generally accounted for under the mark-to-market method, which results in the recognition in earnings of unrealized gains and losses from changes in the fair value of the derivatives. The Company utilize forward contracts to mitigate risk associated with the marketing and trading activity as well as for proprietary trading within defined risk guideline.

**NOTE 3 – FAIR VALUE**

Derivatives are generally recorded at fair value and shown as Derivative Assets or Liabilities. Contracts we typically classify as derivative instruments include power, natural gas, oil and certain coal forwards, futures, options and swaps, and foreign currency exchange contracts.

The Company manages its mark-to-market (MTM) risk on a portfolio basis based upon the delivery period of its contracts and the individual components of the risks within each contract. Accordingly, the Company records and manages the energy purchase and sale obligations under its contracts in separate components based on the commodity (e.g. electricity or natural gas), the product (e.g. electricity for delivery during peak or off-peak hours), the delivery location (e.g. by region), the risk profile (e.g. forward or option), and the delivery period (e.g. by month and year).

The Company has established a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value in three broad levels. The fair value hierarchy gives the highest priority to quoted prices (unadjusted) in active markets for identical assets or liabilities (Level 1) and the lowest priority to unobservable inputs (Level 3).

**NOTE 4 – CONCENTRATION OF CREDIT RISK**

The Company's financial instruments consist of cash and accounts receivable. The Company maintains cash balances at a financial institution. Cash accounts are insured per institution by the Federal Deposit Insurance Corporation. At December 31, 2015, the Company's deposits were not in excess of insured limits.

**NOTE 5 – CONCENTRATION OF ENERGY SUPPLIERS**

The Company's revenue was earned using the client data base and services of two vendors; KeySpan and Con Ed. In the event the vendor's terminated service, Company's ability to continue as a going concern would be greatly diminished.

**GLOBAL ENERGY, LLC**  
**NOTES TO FINANCIAL STATEMENTS**

**NOTE 6 – MEMBERS’ PROMISSORY NOTES PAYABLE**

Members’ promissory notes payable consists of the following at December 31, 2015:

	<u>2015</u>
Promissory notes payable to John Kim, managing director, which bears interest at a fixed rate of 10% and requires monthly payment of interest through maturity of 2024	\$ 200,000
Promissory note Payable to Renata Weis, member, which bears interest at a fixed rate of 10% and requires monthly payment of interest through maturity of 2024	<u>200,000</u>
Promissory notes payable	<u>\$ 400,000</u>

**NOTE 7 – SUBSEQUENT EVENTS**

On April 6, 2016, Company has entered into a promissory note agreement with Alex Weiss, a member. The terms are \$100,000 principal, maturity date of July 6, 2018 at 6.0% per annum, with monthly payments of principal and interest starting on May 6, 2016.

The Company has evaluated subsequent events through August 5, 2016, the date which the financial statements were issued.

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

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

See Exhibit E

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.

N/A

d. **BROKER PAYMENT STRUCTURE:** If applicant is a broker/marketer, explain how your organization will be collecting your fees.  
Global Energy, LLC will be collecting fees directly from the suppliers it works with on a pre-determined per kWh or per term basis. Payments will typically be residual and paid out over the life of a contract term, but also may be paid in a lump-sum at the outset of a new supply contract.

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.

Danny Stanton, CPA

5 Penn Plz  
23rd Floor  
New York, NY 10001

914-286-6901 | danny@stantonandleone.com

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

See Exhibit F

Global Energy LLC dba Global Energy E&G LLC

RE: NY license copy

Please note NY does not issue a license.



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

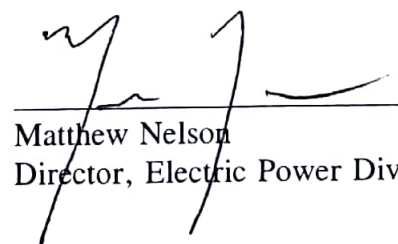
January 26, 2018

John Kim, President  
Global Energy Direct  
5 Penn Plaza, 23rd floor  
New York, NY 10001

Dear Mr. Kim,

The Department of Public Utilities ("Department") has reviewed your application for renewal of your **Electricity Broker License, EB-339**, and is pleased to inform you that your application for renewal has been approved.

As a condition of maintaining this license, you must file updated information within 30 days of any material or organic change in the information required by 220 CMR 11.05(2), and you must comply with all relevant requirements of G.L. c. 164 and the regulations promulgated thereunder, including 220 CMR 11.00, 12.00. Consistent with the information included with Global Energy Direct'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 at the time of renewal of its license. If you decide to request renewal of your license next year, please submit the renewal application no later than **November 1, 2018**. The renewal application is available at: <https://www.mass.gov/information-for-competitive-suppliers-and-electricity-brokers>.

  
Matthew Nelson  
Director, Electric Power Division

FAX: (617) 345-9101  
[www.mass.gov/dpu](http://www.mass.gov/dpu)



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

January 22, 2018

John Kim  
Global Energy, LLC  
5 Penn Plaza, 23<sup>rd</sup> Floor  
New York, NY 10001

Mr. Kim,

The Department of Public Utilities has reviewed Global Energy LLC's ("Global Energy") application renewal of its 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. Global Energy's license number is RA-144.

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

Sincerely,

A handwritten signature in black ink that reads "George Yiankos".

---

George Yiankos, Director, Gas Division

**Privileged, confidential, protected communication, for the intended recipient only**

FAX: (617) 345-9101  
[www.mass.gov/dpu](http://www.mass.gov/dpu)

PAULA M. CARMODY  
PEOPLE'S COUNSEL

THERESA V. CZARSKI  
DEPUTY PEOPLE'S COUNSEL

STATE OF MARYLAND



OFFICE OF PEOPLE'S COUNSEL

6 Saint Paul Street, Suite 2102  
Baltimore, Maryland 21202  
(410) 767-8150 (800) 207-4055  
FAX (410) 333-3616  
[WWW.OPC.STATE.MD.US](http://WWW.OPC.STATE.MD.US)

ASSISTANT PEOPLE'S COUNSEL

WILLIAM F. FIELDS  
PETER SAAR  
GARY L. ALEXANDER  
RONALD HERZFELD  
GREGORY T. SIMMONS  
JOSEPH G. CLEAVER  
MOLLY G. KNOLL

October 15, 2013

David J. Collins, Executive Secretary  
Maryland Public Service Commission  
6 St. Paul Street, 16<sup>th</sup> Floor  
Baltimore, Maryland 21202

**Re: Global Energy, LLC filed, on August 22, 2013, an  
Application for a License to Supply Electricity or  
Electric Generation Services in Maryland. ([ML# 149212](#))  
October 16, 2013 Administrative Meeting**

Dear Mr. Collins:

The Maryland Office of People's Counsel ("OPC") has reviewed the application of Global Energy, LLC for a license to supply electricity or Electric Generation Services in Maryland filed with the Commission on August 22, 2013. It is a New York based company, with several years of experience in brokering electricity to commercial consumers in focused marketing to several groups. There is no record of complaints from consumers concerning its operations in New York, upon OPC's review of the New York Public Service Commission for electricity or gas services. There is no licensing requirement for an Electricity Supply Company or ESCO in the State of New York.

John Kim, President of Global Energy, confirmed that any website inquiry would be followed up with a call and discussion, and if acceptable, an enrollment process conducted personally with the execution of a signed contract. Mr. Kim indicated that the company does not market to residential consumers, but will provide service incidental to its commercial business relationships.

OPC does not have an objection, if the Commission determines to issue this company a license to supply electricity or electric generation services.

Respectfully submitted,

*/electronic signature/*

Peter Saar

Assistant People's Counsel

PS/bl

cc: W. Kevin Hughes, Chairman  
Harold D. Williams, Commissioner  
Lawrence Brenner, Commissioner  
Kelly Speakes-Backman, Commissioner  
Anne E. Hoskins, Commissioner  
Leslie M. Romine, Staff Counsel  
William Linzey, PSC Regulatory Economist  
John Kim, President, Global Energy, LLC



PAULA M. CARMODY  
PEOPLE'S COUNSEL

THERESA V. CZARSKI  
DEPUTY PEOPLE'S COUNSEL

STATE OF MARYLAND



OFFICE OF PEOPLE'S COUNSEL

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Baltimore, Maryland 21202  
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[WWW.OPC.STATE.MD.US](http://WWW.OPC.STATE.MD.US)

ASSISTANT PEOPLE'S COUNSEL

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PETER SAAR  
GARY L. ALEXANDER  
RONALD HERZFELD  
GREGORY T. SIMMONS  
JOSEPH G. CLEAVER  
MOLLY G. KNOLL

October 28, 2013

David J. Collins, Executive Secretary  
Maryland Public Service Commission  
6 St. Paul Street, 16<sup>th</sup> Floor  
Baltimore, Maryland 21202

**Re: Global Energy, LLC filed, on September 17, 2013, an  
Application for a License to Supply Natural Gas or Natural Gas  
Services in Maryland. (M.L. # 149642)  
October 30, 2013 Administrative Meeting**

Dear Mr. Collins:

The Maryland Office of People's Counsel ("OPC") has reviewed the application of Global Energy, LLC for a license to supply natural gas or natural gas services in Maryland filed with the Commission on September 17, 2013. It is a New York based company, with several years of experience in brokering electricity and natural gas supply to commercial consumers in focused marketing to several groups. There is no record of complaints from consumers concerning its operations in New York, upon OPC's review of the New York Public Service Commission for electricity or gas services. There is no licensing requirement for an Energy Supply Company or ESCO in the State of New York.

John Kim, President of Global Energy, confirmed that any website inquiry would be followed up with a call and discussion, and if acceptable, an enrollment process conducted personally with the execution of a signed contract. Mr. Kim indicated that the company does not market to residential consumers, but will provide service incidental to its commercial business relationships.

OPC does not have an objection, if the Commission determines to issue this company a license to supply electricity or electric generation services. If the company should decide to pursue residential consumers in Maryland in a more targeted manner, OPC would like an opportunity to review any marketing, sales and training materials that are associated with such additional marketing expansion at least 30 days in advance of their distribution to the public for review.

Respectfully submitted,

/electronic signature/

Peter Saar

Assistant People's Counsel

PS/bl

cc: W. Kevin Hughes, Chairman  
Harold D. Williams, Commissioner  
Lawrence Brenner, Commissioner  
Kelly Speakes-Backman, Commissioner  
Anne E. Hoskins, Commissioner  
Leslie M. Romine, Staff Counsel  
William Linzey, PSC Regulatory Economist  
John Kim, President, Global Energy, LLC



Phil Murphy  
Governor

Sheila Oliver  
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/](http://www.nj.gov/bpu/)

Aida Camacho-Welch  
Secretary of the Board  
(609) 292-1599

March 26, 2018

John Kim  
President  
Global Energy, LLC  
d/b/a Global Energy Electric & Gas  
5 Penn Plaza, 23<sup>rd</sup> Floor  
New York, NY 10001

Re: **Energy Agent, Private Aggregator and Energy Consultant Initial Registrations**  
Dkt. Nos. EE17080899L & GE17080900L

Dear Mr. Kim:

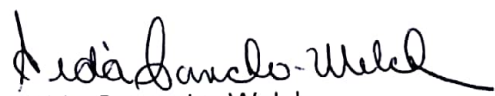
In accordance with the Electric Discount and Energy Competition Act of 1999, N.J.S.A. 48:3-49 et seq., at its March 26, 2018 Agenda meeting, the New Jersey Board of Public Utilities voted to issue **REGISTRATIONS** as an Energy Agent, Private Aggregator and Energy Consultant to Global Energy, LLC d/b/a Global Energy Electric & Gas. Your registration numbers are EA-0482, PA-0212 and EC-0159.

The enclosed registrations are effective March 26, 2018 and expire on March 25, 2019. These registrations 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,

  
Aida Camacho-Welch  
Secretary of the Board

ACW/vch  
Encl.(s)

# State of New Jersey



## Board of Public Utilities

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

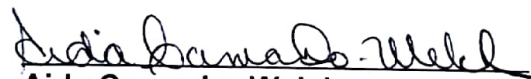
### HEREBY REGISTERS

**Global Energy, LLC**  
**d/b/a Global Energy Electric & Gas**  
76 Blanch Avenue  
Closter, New Jersey 07624

To conduct business in the State of New Jersey as an

### Energy Agent



  
Aida Camacho-Welch  
Secretary of the Board

Registration No. EA-0482  
Effective Date: March 26, 2018  
Expiration Date: March 25, 2019

# State of New Jersey



## Board of Public Utilities

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

### HEREBY REGISTERS

**Global Energy, LLC**  
**d/b/a Global Energy Electric & Gas**  
76 Blanch Avenue  
Closter, New Jersey 07624

To conduct business in the State of New Jersey as a

### **Private Aggregator**



  
**Aida Camacho-Welch**  
Secretary of the Board

**Registration No.** PA-0212  
**Effective Date:** March 26, 2018  
**Expiration Date:** March 25, 2019

# State of New Jersey



## Board of Public Utilities

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

### HEREBY REGISTERS

**Global Energy, LLC**  
**d/b/a Global Energy Electric & Gas**  
76 Blanch Avenue  
Closter, New Jersey 07624

To conduct business in the State of New Jersey as an

### Energy Consultant



  
**Aida Camacho-Welch**  
Secretary of the Board

**Registration No.** EC-0159  
**Effective Date:** March 26, 2018  
**Expiration Date:** March 25, 2019



STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS

**DIVISION OF PUBLIC UTILITIES AND CARRIERS**

Thomas F. Ahern  
ADMINISTRATOR  
89 Jefferson Boulevard  
Warwick, R.I. 02888

OFFICE (401) 941-4500 x115  
FAX (401) 941-9207  
TDD (401) 941-4500

May 12, 2016

Kelly Konkus  
Client Fulfillment Assistant  
LicenseLogix  
140 Grand St, Suite 300  
White Plains, NY 10601

Re: Global Energy, LLC dba NYC Clean Energy's Application for Registration as a Non Regulated Power Producer pursuant to R.I.G.L. 39-1-27.1(c). Division Docket D-96-6 (D8)

Dear Ms. Konkus:

The Division of Public Utilities has reviewed Global Energy, LLC dba NYC Clean Energy's application for registration as a nonregulated power producer, pursuant to R.I.G.L. 39-1-27.1(c) and the Division's Rules Applicable to Nonregulated Power Producers. The application is complete as to the statutory requirements of 39-1-27.1(c), itemized in statute at (i) through (ix) and the Division's rules.

The Division accepts the registration application of Global Energy, LLC dba NYC Clean Energy as a nonregulated power producer. In conformance with the law, please note that the registration must be updated within ten days of any change to the information included in your application.

Very truly yours,

cc: Luly Massaro, Commission Clerk  
John Bell, Utility Analyst

PA Media Group  
2020 Technology Parkway  
Mechanicsburg, PA 17050



**The Patriot News**

**INVOICE**

INV#: 0008439874

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WHITE PLAINS, NY 10601

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Detroit, MI 48277-0571

Page 1 of 2

Date	Position	Description	P.O. Number	Ad Size	Costs
11/28/2017	Misc Legal Notice PA	PENNSYLVANIA PUBLIC UTILITY COMMISSION NOTICE Applications of		1 x 51 L	
				Affidavit Notary Fee - 11/28/2017	\$5.00
				Basic Ad Charge - 11/28/2017	\$239.57
				Total	\$244.57

FOR QUESTIONS CONCERNING THIS AFFIDAVIT, PLEASE CALL 717-255-8119





The Patriot News  
LEGAL AFFIDAVIT

AD#: 0008439874

Commonwealth of Pennsylvania,) ss  
County of Cumberland)

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

The Patriot News 11/28/2017

Principal Clerk of the Publisher

Sworn to and subscribed before me this 30th day of November 2017

Notary Public

Commonwealth of Pennsylvania - Notary Seal  
Donna M. Maldonado, Notary Public  
Dauphin County  
My commission expires November 5, 2021  
Commission number 1252842  
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

**PENNSYLVANIA  
PUBLIC UTILITY COMMISSION  
NOTICE**

Applications of **Global Energy, LLC dba Global Energy E&G 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.

**Global Energy, LLC dba Global Energy E&G LLC** will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to provide natural gas supply services as a broker/marketer engaged in the business of providing natural gas services. **Global Energy, LLC dba Global Energy E&G LLC** will also be filing an application with the PUC for a license to supply electricity or electric generation services as a broker/marketer engaged in the business of supplying electricity. **Global Energy, LLC dba Global Energy E&G LLC** proposes to sell electricity, natural gas, and related services throughout all of Pennsylvania 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 **Global Energy, LLC dba Global Energy E&G LLC** may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to **Global Energy, LLC dba Global Energy E&G LLC** attorney at the address listed below.

**Global Energy, LLC  
dba Global Energy E&G LLC  
5 Penn Plaza, 23RD Floor  
New York, New York 10001  
718-303-9630**