

BEFORE THE PENNSYLVANIA PUBLIC UTILITY COMMISSION

Application of Aspen Energy Corporation, d/b/a Aspen Energy Corporation,
for approval to offer, render, furnish, or supply natural gas supply services as a(n) Broker/Marketer 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:

Aspen Energy Corporation
4789 Rings Road Suite 100
Dublin OH 43017
Phone: 614-884-5300
www.aspenenergy.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.

Registered Agents Inc.
1150 First Ave., STE 511
King of Prussia, Pennsylvania 19406
Montgomery County
Phone - 888-681-9777
Fax - 888-679-8222

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MAY 25 2018

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

- 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.

Jason Heinmiller, Operations Manager
4789 Rings Road Suite 100
Dublin OH 43017
Phone: 614-884-5300 ext 215
jheinmiller@aspenenergy.com
Fax: 614-336-8362

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

Not using an attorney.

- e. **CONTACTS FOR CONSUMER SERVICE AND COMPLAINTS:** Provide the name, title, address, telephone number, fax number, and e-mail **OF THE PERSON AND AN ALTERNATE PERSON (2 REQUIRED)** responsible for addressing customer complaints. These persons will ordinarily be the initial point(s) of contact for resolving complaints filed with the Applicant, the Natural Gas Distribution Company, the Pennsylvania Public Utility Commission, or other agencies. The main contact's information will be listed on the Commission website list of licensed NGSs.

Main Contact

Jonathan Peele, President
4789 Rings Road Suite 100
Dublin OH 43017
Phone: 614-884-5300 ext 216
jpeelee@aspenenergy.com
Fax: 614-336-8362

Alternate Contact

Jason Heinmiller, Operations Manager
4789 Rings Road Suite 100
Dublin OH 43017
Phone: 614-884-5300 ext 215
jheinmiller@aspenenergy.com
Fax: 614-336-8362

2. BUSINESS ENTITY FILINGS AND REGISTRATION

- a. **FICTITIOUS NAME:** *(Select appropriate statement and provide supporting documentation as listed.)*

The Applicant will be using a fictitious name or doing business as ("d/b/a")

Provide a copy of the Applicant's filing with Pennsylvania's Department of State Pursuant to 54 Pa. C.S. §311.

Or

The Applicant will not be using a fictitious name.

- b. **BUSINESS ENTITY AND DEPARTMENT OF STATE FILINGS:**

(Select appropriate statement and provide supporting documentation. As well, understand that Domestic means being formed within Pennsylvania and foreign means being formed outside Pennsylvania.)

The Applicant is a sole proprietor.

- If the Applicant is located outside the Commonwealth, provide proof of compliance with 15 Pa. C.S. §4124 relating to Department of State filing requirements.

Or

The Applicant is a:

- domestic general partnership (*)
- domestic limited partnership (15 Pa. C.S. §8511)
- foreign general or limited partnership (15 Pa. C.S. §4124)
- domestic limited liability partnership (15 Pa. C.S. §8201)
- foreign limited liability general partnership (15 Pa. C.S. §8211)
- foreign limited liability limited partnership (15 Pa. C.S. §8211)

- Provide proof of compliance with appropriate Department of State filing requirements as indicated above.
- Give name, d/b/a, and address of partners. If any partner is not an individual, identify the business nature of the partner entity and identify its partners or officers.
- Provide the state in which the business is organized/formed and provide a copy of the Applicant's charter documentation.
- * If a corporate partner in the Applicant's domestic partnership is not domiciled in Pennsylvania, attach a copy of the Applicant's Department of State filing pursuant to 15 Pa. C.S. §4124.

or

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)
- 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. *SEE Document A*
- Provide the state in which the business is incorporated/organized/formed and provide a copy of the Applicant's charter documentation. See Attached Document A
- Give name and address of officers.
-
- Jonathan Peele, President Chris Peele, Secretary
- 4789 Rings Rd Suite 100 8935 Dunn Court
- Powell, OH 43065 Dublin, OH 43017

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.

Applicant does not have any affiliates.

- b. **PREDECESSORS:** Identify the predecessor(s) of the Applicant and provide the name(s) under which the Applicant has operated within the preceding five (5) years, including address, web address, and telephone number, if applicable. If the Applicant does not have any predecessors that have done business, explicitly state so.

Applicant does not have any predecessors.

4. OPERATIONS

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

Definitions

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

- The Applicant is presently doing business in Pennsylvania as a

- natural gas interstate pipeline
- municipality providing service outside its municipal limits
- local gas distribution company
- retail supplier of natural gas services in the Commonwealth
- a natural gas producer
- a broker/marketer engaged in the business of supplying natural gas services
- Other. (Identify the nature of service being rendered)

or

- The Applicant is not presently doing business in Pennsylvania.

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

- Supplier or Aggregator of natural gas services
- Municipal supplier of natural gas services
- Cooperative supplier of natural gas services
- Broker/Marketer engaged in the business of supplying natural gas services

Check here to verify that your organization will not be taking title to the natural gas nor will you be making payments for customers.

- Other (Describe):

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

Aspen Energy will be calling on Pennsylvania companies to sell natural gas services on behalf of certified suppliers. We will be selling over the phone and face to face appointments. We will be utilizing our staff of twenty-four Energy Consultants to obtain business. Aspen Energy does not provide billing statements and does not take title to natural gas.

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 |
| <input type="checkbox"/> 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 | X All of the above |

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

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

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

June 15, 2018

5. COMPLIANCE

a. **CRIMINAL/CIVIL PROCEEDINGS:** State specifically whether the Applicant, an affiliate, a predecessor of either, or a person identified in this Application, has been or is currently the defendant of a criminal or civil proceeding within the last five (5) years.

Identify all such proceedings (active or closed), by name, subject and citation; whether before an administrative body or in a judicial forum. If the Applicant has no proceedings to list, explicitly state such.

Applicant has no criminal proceedings.

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

N/A

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

Applicant has no actions or complaints to list.

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

6. PROOF OF SERVICE

Required of ALL Applicants regardless of operating as a supplier, broker, marketer, or aggregator.
(Example Certificate of Service is attached at Appendix C)

- a.) **STATUTORY AGENCIES:** Pursuant to Section 5.14 of the Commission's Regulations, 52 Pa. Code §5.14, provide proof of service of a signed and verified Application with attachments on the following:

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

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

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

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

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

- b.) **NGDCs:** Pursuant to Sections 1.57 and 1.58 of the Commission's Regulations, 52 Pa. Code §§1.57 and 1.58, provide Proof of Service of the Application and attachments upon each of the Natural Gas Distribution Companies the Applicant proposed to provide service in. Upon review of the Application, further notice may be required pursuant to Section 5.14 of the Commission's Regulations, 52 Pa. Code §5.14. Contact information for each NGDC is as follows.

| | |
|--|--|
| <p>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</p> | |
| <p>Peoples Natural Gas – Equitable Division Lynda Petrichevich 375 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: Lynda.w.petrichevich@peoples-gas.com</p> | <p>National Fuel Gas Distribution Corp. David D. Wolford 6363 Main Street Williamsville, NY 14221 PH: 716.857.7483 FAX: 716.857.7479 e-mail: wolfordd@natfuel.com</p> |
| <p>The Peoples Natural Gas Company Lynda Petrichevich 375 North Shore Drive</p> | <p>PECO Carlos Thillet, Manager, Gas Supply and Transportation</p> |

| | |
|--|--|
| Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: Lynda.w.petrachevich@peoples-gas.com | 2301 Market Street, S9-2 Philadelphia, PA 19103 PH: 215.841.6452 Email: carlos.thillet@exeloncorp.com |
| Peoples Gas Company Lynda Petrichevich 375 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: Lynda.w.petrachevich@peoples-gas.com | Philadelphia Gas Works Nicholas LaPergola 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. Ed Rogers 523 South Keystone Avenue Sayre, PA 18840-0340 PH: 570.888-9664 FAX: 570.888.6199 email: erogers@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 |

7. FINANCIAL FITNESS

- a. **BONDING:** In accordance with 66 Pa. C.S. Section 2208(c), no natural gas supplier license shall be issued or remain in force unless the applicant or holder furnishes a bond or other security in a form and amount to ensure the financial responsibility of the natural gas supplier. The criteria used to determine the amount and form of such bond or other security shall be set by each NGDC. Provide documentation that the applicant has met the security requirement of each NGDC by submitting the letters sent by the NGDCs stating what bonding amounts they require.
- b. **FINANCIAL RECORDS, STATEMENTS, AND RATINGS:** Applicant must provide sufficient information to demonstrate financial fitness commensurate with the service proposed to be provided. Examples of such information which may be submitted include the following:
- Actual (or proposed) organizational structure including parent, affiliated or subsidiary companies.
 - Published Applicant or parent company financial and credit information (i.e. 10Q or 10K). (SEC/EDGAR web addresses are sufficient)
 - Applicant's accounting statements, including balance sheet and income statements for the past two years.
 - Evidence of Applicant's credit rating. Applicant may provide a copy of its Dun and Bradstreet Credit Report and Robert Morris and Associates financial form, evidence of Moody's, S&P, or Fitch ratings, and/or other independent financial service reports. *SEE DOCUMENT 10*

- A description of the types and amounts of insurance carried by Applicant which are specifically intended to provide for or support its financial fitness to perform its obligations as a licensee.
- Audited financial statements exhibiting accounts over a minimum two year period.
- Bank account statement, tax returns from the previous two years, or any other information that demonstrates Applicant's financial fitness.

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

Not applicable.

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

Commissions paid directly from contracted Energy Supply Company.

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.

Jason Heinmiller, Operations Manager
 Aspen Energy Corporation
 4789 Rings Road Suite 100
 Dublin OH 43017
 Phone: 614-884-5300 ext 215
 jheinmiller@aspenenergy.com
 Fax: 614-336-8362

f. **TAXATION:** Complete the TAX CERTIFICATION STATEMENT attached as Appendix D to this application.

All sections of the Tax Certification Statement must be completed. Absence (submitting N/A) of any of the TAX identifications numbers (items 7A through 7C) shall be accompanied by supporting documentation or an explanation validating the absence of such information.

Items 7A and 7C on the Tax Certification Statement are designated by the Pennsylvania Department of Revenue. Item 7B on the Tax Certification Statement is designated by the Internal Revenue Service.

8. TECHNICAL FITNESS:

To ensure that the present quality and availability of service provided by natural gas distribution companies does not deteriorate, the Applicant shall provide sufficient information to demonstrate technical fitness commensurate with the service proposed to be provided.

a. EXPERIENCE, PLAN, STRUCTURE: such information may include:

- Applicant's previous experience in the natural gas industry. **See Attached Document B**
- Summary and proof of licenses as a supplier of natural gas services in other states or jurisdictions. **See Attached Document C**
- Type of customers and number of customers Applicant currently serves in other jurisdictions.
- Staffing structure and numbers as well as employee training commitments.
- Business plans for operations within the Commonwealth.
- Any other information appropriate to ensure the technical capabilities of the Applicant.

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

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

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

- Yes
- No

If yes, will the Applicant be using verification procedures?

- Yes
- No

If yes, describe the Applicant's verification procedures.

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

All Aspen Energy staff are W2'ed employees that work out of our Dublin, Ohio office. We employ intelligent consultants with strong moral character, an excellent work ethic and a desire to improve themselves. We value our team members and treat them with respect, providing an environment where diverse individuals can develop and are expected to perform to their full potential. We train all our employees in house.

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

Jonathan Peele, President (See Attached Document B)

Christopher Peele, Secretary

9. DISCLOSURE STATEMENT:

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

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

- Natural gas should be priced in clearly stated terms to the extent possible. Common definitions should be used. All consumer contracts or sales agreements should be written in plain language with any exclusions, exceptions, add-ons, package offers, limited time offers or other deadlines prominently communicated. Penalties and procedures for ending contracts should be clearly communicated.

10. VERIFICATIONS, ACKNOWLEDGEMENTS, AND AGREEMENTS

- a. **STANDARDS OF CONDUCT AND DISCLOSURE:** As a condition of receiving a license, Applicant agrees to conform to any Uniform Standards of Conduct and Disclosure as set forth by the Commission. Further, the Applicant agrees that it must comply with and ensure that its employees, agents, representatives, and independent contractors comply with the standards of conduct and disclosure set out in Commission regulations at 52 Pa. Code § 62.114.

X AGREED

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

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

X AGREED

c. **TRANSFER OF LICENSE:** The Applicant understands that if it plans to transfer its license to another entity, it is required to request authority from the Commission for permission prior to transferring the license. See 66 Pa. C.S. § 2208(d). Transferee will be required to file the appropriate licensing application.

X AGREED

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

X ACKNOWLEDGED

e. **FURTHER DEVELOPMENTS:** Applicant is under a continuing obligation to amend its application if substantial changes occur to the information upon which the Commission relied in approving the original filing. See 52 Pa. Code § 62.105.

X AGREED

f. **FALSIFICATION:** The Applicant understands that the making of false statement(s) herein may be grounds for denying the Application or, if later discovered, for revoking any authority granted pursuant to the Application. This Application is subject to 18 Pa. C.S. §§4903 and 4904, relating to perjury and falsification in official matters.

X AGREED

g. **NOTIFICATION OF CHANGE:** If your answer to any of these items changes during the pendency of your application or if the information relative to any item herein changes while you are operating within the Commonwealth of Pennsylvania, you are under a duty to so inform the Commission, within thirty (30) days, as to the specifics of any changes which have a significant impact on the conduct of business in Pennsylvania. See 52 Pa. Code § 62.105.

X AGREED

h. **CEASING OF OPERATIONS:** Applicant is also required to officially notify the Commission if it plans to cease doing business in Pennsylvania, 90 days prior to ceasing operations.

X AGREED

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

PAYMENT ENCLOSED

11. NEWSPAPER PUBLICATIONS

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

Notice of filing of this Application must be published in newspapers of general circulation covering each county in which the applicant intends to provide service. The newspapers in which proof of publication are required is dependent on the service territories the applicant is proposing to serve.

The chart below dictates which newspapers are necessary for each NGDC. For example, an applicant that wants to operate in Peoples – Equitable would need to run ads in both The Erie Times-News and the Pittsburgh Post-Gazette. If the applicant is proposing to serve the entire Commonwealth, please file proof of publication in all seven newspapers.

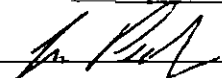
The only acceptable verification of this requirement is with Notarized Proofs of Publication, which may be requested from each newspaper and must be supplied with this application. Applicants do not need a docket number in their publication. Docket numbers will be issued when all criteria on the item 14 checklist (see below) are satisfied.

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

(Example Publications are provided at Appendices F and G)

12. SIGNATURE

Applicant: Aspen Energy Corporation

By:  _____

Title: President

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PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

14. CHECKLIST

For the applicant's convenience, please use the following checklist to ensure all relevant sections are complete. The Commission Secretary's Bureau will not accept an application unless each of the following sections is complete.

Applicant: Aspen Energy Corporation

| | | | |
|-----------------|---|---|--|
| Applicant's Use | ✓ | Signature | |
| | ✓ | Filing Fee (ONLY CERTIFIED CHECK OR MONEY ORDER) | |
| | ✓ | Application Affidavit | |
| | ✓ | Operations Affidavit | |
| | ✓ | Proof of Publication | |
| | ✓ | Tax Certification Statement | |
| | ✓ | Commonwealth Department of State Verification | |
| | ✓ | Certificate of Service | |

PUC Secretary's Bureau Use

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 MAY 25 2018
 PA PUBLIC UTILITY COMMISSION
 SECRETARY'S BUREAU

COMMONWEALTH OF PENNSYLVANIA }
 County of Cambria } SS

**PENNSYLVANIA
 PUBLIC UTILITY COMMISSION
 NOTICE**

Application of Aspen Energy Corporation For Approval To Offer, Render, or Furnish Natural Gas Services as a Supplier, Aggregator, or Marketer/Broker Engaged In The Business Of Supplying Natural Gas Supply Services, To The Public In The Commonwealth Of Pennsylvania.

Aspen Energy Corporation will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to provide natural gas supply services as (1) a supplier or aggregator of natural gas, and (2) a broker/marketer engaged in the business of providing natural gas services. Aspen Energy Corporation proposes to sell natural gas and related services in Columbia Gas, National Fuel Gas, PECO, Peoples - Equitable, Peoples Natural Gas, Peoples Gas Company, Philadelphia Gas Works, UGI, UGI Central Penn, UGI Penn Natural, Valley Energy under the provisions of the new Natural Gas Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Aspen Energy Corporation may be filed within 15 days of the date of this notice with the Secretary of the PUC, 400 North Street, Harrisburg, PA 17120. You should send copies of any protest to Aspen Energy Corporation, 4789 Rings Road Suite 100, Dublin OH, 43017, Phone: 614-884-5300, Fax: 614-336-8362

published
 that the a
 of The Jo
 the subject
 said publication are true.

ty of Cambria, and Commonwealth of Pennsylvania and e matter published in said publication in the regular issues .. on May 9, 2018; and that the Affiant is not interested in at all of the allegations as to time, place and character of

On this 16th day of May A.D. 2018, before me, the subscriber, a Notary Public in and for said County and State, personally appeared Christine Marhefka, who being duly sworn according to law, deposes and says as Sales Manager / Major Accounts of the Tribune-Democrat, Johnstown, PA, a newspaper of general circulation as defined by the "Newspaper Advertising Act", a merger September 8, 1952, of the Johnstown Tribune, established December 7, 1853; and of the Johnstown Democrat, established March 5, 1863.

Christine Marhefka

STATEMENT OF ADVERTISING COSTS

Signed and sworn to before me on
 16th day of May, 2018,
 by Christine Marhefka making the statement.

Christine Marhefka

| | | |
|-------------------|------------------|---------------|
| 0.00 Lines @ | \$2.50 per line | 0.00 |
| 6 Inches @ | \$25.00 per inch | 150.00 |
| Notary Fee | | 5.00 |
| Clerical Fee | | 2.50 |
| Total Cost | | 157.50 |

Commonwealth of Pennsylvania - Notary Seal
 Vivian Ohs, Notary Public
 Cambria County
 My commission expires December 6, 2020
 Commission number 1123017
 Member, Pennsylvania Association of Notaries

To The Tribune-Democrat, Johnstown, PA
 For publishing the notice or publication
 attached hereto on the above stated dates.

PUBLISHER'S RECEIPT FOR ADVERTISING COSTS

_____ for publisher of _____
 a newspaper of general circulation, hereby acknowledges receipt of the aforesaid
 and publication costs and certifies that the same has been duly paid.

 (Name of Newspaper)

By _____

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MAY 25 2018

PA PUBLIC UTILITY COMMISSION
 SECRETARY'S BUREAU



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 05/15/2018

Principal Clerk of the Publisher

Sworn to and subscribed before me this 16th day of May 2018

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**

Application of **Aspen Energy Corporation** For Approval To Offer, Render, or Furnish Natural Gas Services as a Supplier, Aggregator, or Marketer/Broker Engaged in The Business Of Supplying Natural Gas Supply Services, To The Public In The Commonwealth Of Pennsylvania.

Aspen Energy Corporation will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to provide natural gas supply services as (1) a supplier or aggregator of natural gas, and (2) a broker/marketer engaged in the business of providing natural gas services. Aspen Energy Corporation proposes to sell natural gas and related services in Columbia Gas, National Fuel Gas, PECO, Peoples - Equitable, Peoples Natural Gas, Peoples Gas Company, Philadelphia Gas Works, UGI, UGI Central Penn, UGI Penn Natural, Valley Energy under the provisions of the new Natural Gas Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Aspen Energy Corporation may be filed within 15 days of the date of this notice with the Secretary of the PUC, 400 North Street, Harrisburg, PA 17120. You should send copies of any protest to Aspen Energy Corporation, 4789 Rings Road Suite 100, Dublin OH 43017, Phone: 614-884-5300, Fax: 614-336-8362

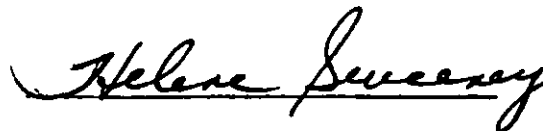
Proof of Publication in The Philadelphia Daily News
Under Act. No 587, Approved May 16, 1929

STATE OF PENNSYLVANIA
COUNTY OF PHILADELPHIA

Helene Sweeney being duly sworn, deposes and says that **The Philadelphia Daily News** is a newspaper published daily, except Sunday, at Philadelphia, Pennsylvania, and was established in said city in 1925, since which date said newspaper has been regularly issued in said County, and that a copy of the printed notice of publication is attached hereto exactly as the same was printed and published in the regular editions and issues of the said newspaper on the following dates:

May 10, 2018

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

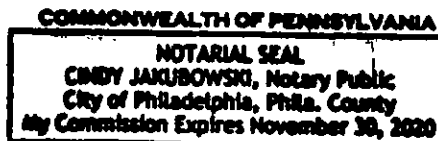


Sworn to and subscribed before me this 10th day of
May, 2018.



Notary Public

My Commission Expires:



Copy of Notice of Publication

**PENNSYLVANIA
PUBLIC UTILITY COMMISSION
NOTICE**
Application of **Aspen Energy Corporation** For Approval To Offer, Render, or Furnish Natural Gas Services as a Supplier, Aggregator, or Marketer/Broker Engaged in The Business Of Supplying Natural Gas Supply Services, To The Public in The Commonwealth Of Pennsylvania. **Aspen Energy Corporation** will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to provide natural gas supply services as (1) a supplier or aggregator of natural gas, and (2) a broker/marketer engaged in the business of providing natural gas services. **Aspen Energy Corporation** proposes to sell natural gas and related services in Columbia Gas, National Fuel Gas, PECO, Peoples - Equitable, Peoples Natural Gas, Peoples Gas Company, Philadelphia Gas Works, UGI, UGI Central Penn, UGI Penn Natural, Valley Energy under the provisions of the new Natural Gas Choice and Competition Act. The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of **Aspen Energy Corporation** may be filed within 15 days of the date of this notice with the Secretary of the PUC, 400 North Street, Harrisburg, PA 17120. You should send copies of any protest to **Aspen Energy Corporation**, 4789 Rings Road Suite 100, Dublin OH 43017, Phone: 614-884-5300, Fax: 614-338-8362.

PROOF OF PUBLICATION
In
THE ERIE TIMES-NEWS
COMBINATION EDITION

ASPEN ENERGY CORPORATION
4789 Rings Road Suite 100
Dublin OH 43017

REFERENCE: 102123 314483
PUC Notice

STATE OF PENNSYLVANIA)
COUNTY OF ERIE) SS:

Brenda L. Learn, being duly sworn, deposes and says that: (1) he/she is a designated agent of the Times Publishing Company (TPC) to execute Proofs of Publication on behalf of the TPC; (2) the TPC, whose principal place of business is at 205 W. 12th Street, Erie, Pennsylvania, owns and publishes the Erie Times-News, established October 2, 2000, a daily newspaper of general circulation, and published at Erie, Erie County Pennsylvania; (3) the subject notice or advertisement, was published in the regular edition(s) of said newspaper on the date(s) referred to below. Affiant further deposes that he/she is duly authorized by the TPC, owner and publisher of the Erie Times-News, to verify the foregoing statement under oath, and affiant is not interested in the subject matter of the aforesaid notice or advertisement, and that all allegations in the foregoing statement as to time, place and character of publication are true.

PUBLISHED ON: 05/10/18

TOTAL COST: \$476.00 AD SPACE: 0 Lines

FILED ON: 05/10/18

**PENNSYLVANIA PUBLIC UTILITY COMMISSION
NOTICE**

Application of Aspen Energy Corporation For Approval To Offer, Render, or Furnish Natural Gas Services as a Supplier, Aggregator, or Marketer/Broker Engaged In The Business Of Supplying Natural Gas Supply Services, To The Public In The Commonwealth Of Pennsylvania.

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EP 314483

Sworn to and subscribed before me this 10th day of May 2018

Affiant: Brenda L. Learn

NOTARY: Barbara J. Moore

COMMONWEALTH OF PENNSYLVANIA

NOTARIAL SEAL

Barbara J. Moore, Notary Public
City of Erie, Erie County

My Commission Expires March 23, 2020

MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

Proof of Publication of Notice in Pittsburgh Post-Gazette

Under Act No 587, Approved May 16, 1929, PL 1784, as last amended by Act No 409 of September 29, 1951

Commonwealth of Pennsylvania, County of Allegheny, ss K. Flaherty, being duly sworn, deposes and says that the Pittsburgh Post-Gazette, a newspaper of general circulation published in the City of Pittsburgh, County and Commonwealth aforesaid, was established in 1993 by the merging of the Pittsburgh Post-Gazette and Sun-Telegraph and The Pittsburgh Press and the Pittsburgh Post-Gazette and Sun-Telegraph was established in 1960 and the Pittsburgh Post-Gazette was established in 1927 by the merging of the Pittsburgh Gazette established in 1786 and the Pittsburgh Post, established in 1842, since which date the said Pittsburgh Post-Gazette has been regularly issued in said County and that a copy of said printed notice or publication is attached hereto exactly as the same was printed and published in the _____ regular _____ editions and issues of the said Pittsburgh Post-Gazette a newspaper of general circulation on the following dates. viz:

09 of May, 2018

Affiant further deposes that he/she is an agent for the PG Publishing Company, a corporation and publisher of the Pittsburgh Post-Gazette, that, as such agent, affiant is duly authorized to verify the foregoing statement under oath, that affiant is not interested in the subject matter of the afore said notice or publication, and that all allegations in the foregoing statement as to time, place and character of publication are true.

K. Flaherty

PG Publishing Company

Sworn to and subscribed before me this day of:
May 09, 2018

Elizabeth R. Chmura

Commonwealth of Pennsylvania - Notary Seal
Elizabeth R. Chmura, Notary Public
Allegheny County
My commission expires February 8, 2022
Commission number 1326781
Member, Pennsylvania Association of Notaries

STATEMENT OF ADVERTISING COSTS
ASPEN ENERGY CORP.
4789 RINGS RD STE 100
ATTN: SANDRA JACKSON
DUBLIN OH 43017-1513

To PG Publishing Company

Total ----- \$441.75

Publisher's Receipt for Advertising Costs

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

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

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

By *Samuel J. Arbulin*
_____ Samuel J. Arbulin

I hereby certify that the foregoing is the original Proof of Publication and receipt for the Advertising costs in the subject matter of said notice.

COPY OF NOTICE OR PUBLICATION

PENNSYLVANIA PUBLIC UTILITY COMMISSION NOTICE
Application of Aspen Energy Corporation For Approval To Offer, Render, or Furnish Natural Gas Services as a Supplier, Aggregator, or Marketer/Broker Engaged In The Business Of Supplying Natural Gas Supply Services. To The Public In The Commonwealth Of Pennsylvania.
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The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Aspen Energy Corporation may be filed within 15 days of the date of this notice with the Secretary of the PUC, 400 North Street, Harrisburg, PA 17120. You should send copies of any protest to Aspen Energy Corporation, 4789 Rings Road Suite 100, Dublin OH 43017, Phone: 614-884-5300, Fax: 614-336-8362

PROOF OF PUBLICATON OF NOTICE IN THE WILLIAMSPORT
SUN-GAZETTE UNDER ACT NO. 587, APPROVED MAY 16, 1929

STATE OF PENNSYLVANIA

COUNTY OF LYCOMING

SS:

Bernard A. Oravec, Publisher of the Sun-Gazette LLC publishers of the Williamsport Sun-Gazette, successor to the Williamsport Sun and the Gazette & Bulletin, both daily newspapers of general circulation, published at 252 West Fourth Street, Williamsport, Pennsylvania, being duly sworn, deposes and says that the Williamsport sun was established in 1870 and the Gazette & Bulletin was established in 1801, since which dates said successor, the Williamsport Sun-Gazette, has been regularly issued and published in the County of Lycoming aforesaid, and that a copy of the printed notice is attached hereto exactly as the same was printed and published in the regular editions of said Williamsport Sun-Gazette on the following dates, viz:

May 10, 2018

Affiant further deposes that he is an officer daily authorized by the Sun-Gazette LLC, publisher of the Williamsport Sun-Gazette, to verify the foregoing statement under oath and declare that affiant is not interested in the subject matter of the aforesaid notice of publication, and that all the allegations in the foregoing statement as to time, place and character of publication are true.

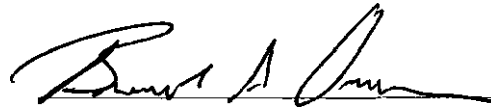
**PENNSYLVANIA
PUBLIC UTILITY
COMMISSION
NOTICE**

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Central Penn, UGI Penn Natural, Valley Energy under the provisions of the new Natural Gas Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Aspen Energy Corporation may be filed within 15 days of the date of this notice with the Secretary of the PUC, 400 North Street, Harrisburg, PA 17120. You should send copies of any protest to Aspen Energy Corporation, 4789 Rings Road Suite 100, Dublin OH 43017. Phone: 614-884-5300. Fax: 614-336-8362



SUN-GAZETTE LLC

Sworn to and subscribed before me

The 10th day of May 2018


COMMONWEALTH OF PENNSYLVANIA

Notary Public

NOTARIAL SEAL
BETH A MILLER
Notary Public
CITY OF WILLIAMSPORT, LYCOMING COUNTY
My Commission Expires Apr 18, 2020

STATEMENT OF ADVERTISING COSTS

To the Sun-Gazette LLC, Dr.:

For publishing the notice attached

Hereto on the above state dates.....\$245.68

Probated same.....\$

Total.....\$245.68

PUBLISHER'S RECEIPT FOR ADVERTISING COSTS

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

SUN-GAZETTE LLC

BY Bernard A. Oravec

Appendix A

APPLICATION AFFIDAVIT

[Commonwealth/State] of Ohio :

: ss.

County of Franklin :

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

[He/she is the President (Office of Affiant) of Aspen Energy Corporation (Name of Applicant);]

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

That the Applicant herein Aspen Energy Corporation has the burden of producing information and supporting

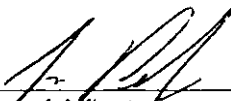
documentation demonstrating its technical and financial fitness to be licensed as an natural gas supplier pursuant to 66 Pa. C.S. § 2208 (c)(1).

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

That the Applicant herein Aspen Energy Corporation 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 Aspen Energy Corporation 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 11 day of May, 2018.



Signature of official administering oath

My commission expires 2-15-2022.

RECEIVED

MAY 25 2018

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

RECEIVED

MAY 25 2018

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

Appendix B

OPERATIONS AFFIDAVIT

[Commonwealth/State] of Ohio :

: ss.

County of Franklin :

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

[He/she is the President (Office of Affiant) of Aspen Energy Corporation (Name of Applicant);]

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

That Aspen Energy Corporation, 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 Aspen Energy Corporation, 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 Aspen Energy Corporation, 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 Aspen Energy Corporation, 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 11 day of May, 2018.



Signature of official administering oath

My commission expires 2-15-2022.

Document A pg 1

Entity #: 3981964
Date Filed: 09/14/2010
Basil L. Merenda, Acting Secretary
Acting Secretary of the Commonwealth

PENNSYLVANIA DEPARTMENT OF STATE
CORPORATION BUREAU

Application for Certificate of Authority
(15 Pa.C.S.)

- Foreign Business Corporation (§ 4124)
- Foreign Nonprofit Corporation (§ 6124)

| | | |
|------------------------------------|----------------------|--------------------------|
| Name Jonathan Pele | | |
| Address 9550 Dublin Road | | |
| City Powell | State Ohio | Zip Code 43065 |

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

Commonwealth of Pennsylvania
CERTIFICATE OF AUTHORITY 3 Page(s)

Fee: \$250



In compliance with the requirements of the applicable provisions of 15 Pa.C.S. (relating to corporations and unincorporated associations), the undersigned, hereby states that:

1. The name of the corporation is:
Aspen Energy Corporation

2. Complete only when the corporation must adopt a corporate designator for use in Pennsylvania.
The name which the corporation adopts for use in this Commonwealth is:

3. If the name set forth in paragraph 1 or 2 is not available for use in this Commonwealth, complete the following:
The fictitious name which the corporation adopts for use in transacting business in this Commonwealth is:

The corporation shall do business in Pennsylvania only under such fictitious name pursuant to the attached resolution of the board of directors under the applicable provisions of 15 Pa.C.S. (relating to corporations and unincorporated associations) and the attached form DSCB:54-311 (Application for Registration of Fictitious Name).

4. The name of the jurisdiction under the laws of which the corporation is incorporated is: **Ohio**

5. The address of its principal office under the laws of the jurisdiction in which it is incorporated is:

| | | | |
|----------------------------------|---------------|-------------|--------------|
| 9550 Dublin Road, Suite C | Powell | Ohio | 43065 |
| Number and street | City | State | Zip |

PA DEPT. OF STATE

SEP 14 2010

PA DEPT. OF STATE

SEP 27 2010

RECEIVED

MAY 25 2018

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

DSCB:15-4124/6124-2

6. The (a) address of this corporation's proposed registered office in this Commonwealth or (b) name of its commercial registered office provider and the county of venue is:

| (a) Number and street | City | State | Zip | County |
|-----------------------|-----------|-------|-------|----------|
| 13791 Main Street | Etchewden | PA | 17224 | Franklin |

(b) Name of Commercial Registered Office Provider _____ County _____
c/o: _____

7. Check one of the following:

Business Corporation: The corporation is a corporation incorporated for a purpose or purposes involving pecuniary profit, incidental or otherwise.

Nonprofit Corporation: The corporation is a corporation incorporated for a purpose or purposes not involving pecuniary profit, incidental or otherwise.

IN TESTIMONY WHEREOF, the undersigned corporation has caused this Application for Certificate of Authority to be signed by a duly authorized officer thereof this 9 day of Sept. 2010.

Aspen Energy Corporation
Name of Corporation

[Signature]
Signature

President
Title

| | DATE | DOCUMENT NO | DESCRIPTION | FILING | EXPED | PENALTY | CERT | COPY |
|----|----------|--------------|----------------------------------|--------|-------|---------|------|------|
| 1. | 8/9/2000 | 200015800191 | ARF DOMESTIC ARTICLES/FOR PROFIT | 85.00 | 10.00 | 0.00 | 0.00 | 0.00 |
| | | | TOTAL | 85.00 | 10.00 | 0.00 | 0.00 | 0.00 |

Document A pg3

Return To:
 JONATHAN PEELE
 4202 KLONDIKE RD
 DELAWARE, OH 43015-0000

-----cut along the dotted line-----



The State of Ohio
 ❖ *Certificate* ❖

Secretary of State - J. Kenneth Blackwell

1159778

It is hereby certified that the Secretary of State of Ohio has custody of the business records for ASPEN ENERGY CORPORATION and that said business records show the filing and recording of:

Document(s)
 DOMESTIC ARTICLES/FOR PROFIT

Document No(s):
 200015800191

United States of America
 State of Ohio
 Office of the Secretary of State

Witness my hand and the seal of the Secretary
 of State at Columbus, Ohio, This 2nd day of
 June, A.D. 2000



J. Kenneth Blackwell
 J. Kenneth Blackwell
 Secretary of State



| DATE | DOCUMENT ID | DESCRIPTION | FILING | EXPED | PENALTY | CERT | COPY |
|------------|--------------|----------------------------|--------|-------|---------|------|------|
| 12/02/2015 | 201533503358 | AGENT ADDRESS CHANGE (AGA) | 25.00 | 0.00 | 0.00 | 0.00 | 0.00 |

Receipt

This is not a bill. Please do not remit payment.

CARLILE.PATCHEN & MURPHY LLP
ATTN A K VEATCH, ESQ
7650 RIVERS EDGE DR
COLUMBUS, OH 43235

**STATE OF OHIO
CERTIFICATE**

**Ohio Secretary of State, Jon Husted
1159778**

It is hereby certified that the Secretary of State of Ohio has custody of the business records for
ASPEN ENERGY CORPORATION

and, that said business records show the filing and recording of:

Document(s)

AGENT ADDRESS CHANGE

Document No(s):

201533503358

Effective Date: 11/30/2015



United States of America
State of Ohio
Office of the Secretary of State

Witness my hand and the seal of the
Secretary of State at Columbus, Ohio this
2nd day of December, A.D. 2015.

Jon Husted
Ohio Secretary of State



Form 521 Prescribed by:
JON HUSTED
OHIO SECRETARY OF STATE

Toll Free: (877) 805-FILE (877-767-3463)
Central Ohio: (614) 468-3919
www.OhioSecretaryofState.gov
hustedj@OhioSecretaryofState.gov
File online or for more information: www.OhioBusinessCenter.com

Mail this form to one of the following:

Regular Filing (non expedite)
P.O. Box 788
Columbus, OH 43216

Expedite Filing (Two business day processing time)
Requires an additional \$150.00
P.O. Box 5380
Columbus, OH 43218

2015 NOV 30 PM 3:54

Statutory Agent Update Filing Fee: \$25

(CHECK ONLY ONE(1) BOX)

(1) Subsequent Appointment of Agent

- Corp (165-AGS)
- LP (165-AGS)
- LLC (171-LSA)
- Business Trust (171-LSA)
- Real Estate Investment Trust (171-LSA)

(2) Change of Address of an Agent

- Corp (145-AGA)
- LP (145-AGA)
- LLC (144-LAD)
- Business Trust (144-LAD)
- Real Estate Investment Trust (144-LAD)

(3) Resignation of Agent

- Corp (165-AGR)
- LP (155-AGR)
- LLC (153-LAG)
- Partnership (153-LAG)
- Business Trust (153-LAG)
- Real Estate Investment Trust (153-LAG)

Name of Entity

Charter, License or Registration No.

Name of Current Agent

Complete the information in this section if box (1) is checked

Name and Address of New Agent

Name of Agent

Mailing Address

City

State

Zip Code

Complete the information in this section if box (1) is checked and business is an Ohio entity

ACCEPTANCE OF APPOINTMENT FOR DOMESTIC ENTITY'S AGENT

The Undersigned, [Name of Agent], named herein as the

statutory agent for [Name of Business Entity], hereby acknowledges

and accepts the appointment of statutory agent for said entity.

Signature: [Signature] Individual Agent's Signature/Signature on behalf of Business Serving as Agent

Complete the information in this section if box (2) is checked

New Address of Agent 4769 Rings Road, Suite 100 Mailing Address

Dublin City

OH State

43017 Zip Code

Complete the information in this section if box (3) is checked

The agent of record for the entity identified on page 1 resigns as statutory agent.

Current or last known address of the entity's principal office where a copy of this Resignation of Agent was sent as of the date of filing or prior to the date filed.

[Mailing Address]

[City]

[State]

[Zip Code]

By signing and submitting this form to the Ohio Secretary of State, the undersigned hereby certifies that he or she has the requisite authority to execute this document.

Required
Agent update must be signed by an authorized representative (see instructions for specific information).


Authorized Representative

By (if applicable)

If authorized representative is an individual, then they must sign in the "signature" box and print their name in the "Print Name" box.

Jonathan D. Peele
Print Name

If authorized representative is a business entity, not an individual, then please print the business name in the "signature" box, an authorized representative of the business entity must sign in the "By" box and print their name in the "Print Name" box.

Authorized Representative

By (if applicable)

Print Name

Document B pgl

JONATHAN D. PEELE

4789 Rings Road Suite 100

Dublin Ohio 43017

Work: 614-884-5300 ext. 216

Cell: 614-348-0023

SUMMARY:

Accomplished executive with extensive experience managing people and resources in sales, marketing, customer service, and operations for regional and national organizations. Dynamic sales management style has created marked improvement in revenue, market share, profits and customer satisfaction. Consistently ranked top sales manager in the country.

EDUCATION:

The Ohio State University (OSU); Columbus, OH
Human Ecology (3.2 GPA)

WORK EXPERIENCE:

Aspen Energy Corporation, Powell, OH
President (October 2000-Present)

Reliant Energy, Columbus, OH
Regional Manager (October 1996-October 2000)

Responsibilities

- Manage and oversee all sales and administrative processes for regional office
- Train sales staff and monitor performance results relative to established goals and objectives
- Implement energy management programs to commercial, industrial and institutional users through natural gas sales in deregulated markets
- Recommend changes to local business goals or business tactics and processes based on changes in business environment
- Establish annual budgets, control budgets and meet EBIT on a quarterly basis
- Report and document sales deal information for monitoring and management of sales obligations and performance results, tracking accounts for changes in customer needs, maintaining awareness of competitive environment
- Keep abreast of gas marketing trends and current pricing strategies, develop sales objectives for assigned territory providing creative input into product and service innovation; understand LDC tariffs
- Handle recruitment hiring and termination of employees

Accomplishments

- Opened the first retail office for Reliant Energy; remained most profitable office in the country since inception
- Built and developed the Ohio office to 5,829 commercial customers with \$4,938,525 of booked profit and little advertising support
- Most profitable office in sales and sales management for four consecutive years
- Remained third largest marketer behind Columbia Gas of Ohio with market share (confirmed by Columbia Gas of Ohio)
- Marketed behind Columbia Gas of Ohio, East Ohio Gas, Cincinnati Gas & Electric and West Ohio Gas Citygates

Document B pg2

Enron Energy Services, Columbus, Ohio
Sales Representative (January 1996-October 1996)

Responsibilities

- Conducted daily customer visits through cold calling to promote and sell natural gas and related energy products
- Required an understanding of customer needs: product and service offerings, proposed benefits, as well as negotiating sales and preparing contract documentation for accepted sales proposals

Accomplishments

- Most profitable sales representative in Ohio each month
- Generated more market share than any other sales rep in Ohio

PaineWebber, Columbus, Ohio
Stock and Commodity Broker (1995-January 1996)

Merrill Lynch, Columbus, Ohio
Stock and Commodity Broker (1994-January 1995)

**OTHER
EXPERIENCE:**

- 1995 Paine Webber's three week sales training in New Jersey
- 1996 Enron's two week sales and product training
- 1996 "Gorilla Sales Training" seminar
- 1997 "Mastering The Art of Selling" seminar with Tom Hopkins
- 1997 "How To Gain, Train & Maintain A Dynamic Sales Force" seminar with Tom Hopkins
- 1999 "How To Upgrade Your Sales Force in Less Than 30 Days" by Dave Hiatt & Dave Kurlan

Document C

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

Issued pursuant to Case Number(s):
13-2342-GA-AGG

is
Ohio Competitive Retail Natural Gas Aggregator/Broker Certificate Number:
14-335G(3)

Granted to:
Aspen Energy Corporation

Whose office or principal place of business is located at:
4789 Rings Road, Suite 100, Dublin, OH 43017

And is hereby certified to provide:
Retail Natural Gas Aggregator/Broker Services
within the state of Ohio, for a two-year period.

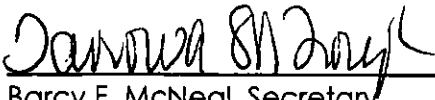
Certification Effective:
January 4, 2018 through January 4, 2020

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 8, 2018**

By Order of
The Public Utilities Commission of Ohio

Barcy F. McNeal, Secretary
Tanowa M. Troupe, Acting Secretary
Susan Patterson, Acting Secretary
Beverly Hoskinson, Acting Secretary

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1.800.700.2733

Sign Out

Selected Company: ASPEN ENERGY CORPORATION
D-U-N-S #: 01-720-7478

Overview

Business Summary

Company Name: ASPEN ENERGY CORPORATION
D-U-N-S #: 01-720-7478
DBA's: N/A
Address: 4789 Rings Rd # 100
City: Dublin
State: OH
Zip: 43017
Phone: 6148845300
Principal: JONATHAN PEELE
Year Started: 2000
Employs: 16 which includes officer(s).
SIC Code(s): 62210000 Commodity contracts brokers, dealers
NAICS Code(s): 523130 Commodity Contracts Dealing
Legal Structure: CORPORATION

Special Events

There have been no special events reported to D&B for this company.

History and Operations

Directors and Directors

Current Officers

| Name | Title |
|----------------|-----------|
| JONATHAN PEELE | PRESIDENT |

Current Directors

| Name |
|----------------|
| JONATHAN PEELE |

Company History

Engaged as a commodity contracts broker and dealer (100%).

Terms are on a commission basis. Sells to commercial concerns. Territory : Local.

Operations

Employees

16 which includes officer(s).

Facilities

Owens 4,800 sq. ft. on 2nd floor of a two story frame building.

Location

There is currently no location information listed in this company report.

U.S. Branch

There are currently no U.S. branches listed in this company report.

U.S. Subsidiary

There are currently no U.S. subsidiaries listed in this company report.

International Branch

There are currently no international branches listed in this company report.

International Subsidiary

There are currently no international subsidiaries listed in this company report.

Payments

Payment Summary

| | | Payments | | | Days Slow | | | |
|---------------------------------|-----------|-----------------|-----------------|------------|-----------|------|-------|-------|
| | | Count | Amount | Percentage | 0 | 1-30 | 31-60 | 61-90 |
| Top Industries | | | | | | | | |
| Nonclassified | 1 | \$20,000 | \$20,000 | 100% | 0 | 0 | 0 | 0 |
| Public finance | 1 | \$5,000 | \$5,000 | 100% | 0 | 0 | 0 | 0 |
| Mortgage banker | 1 | \$250 | \$250 | 100% | 0 | 0 | 0 | 0 |
| Electric services | 1 | \$50 | \$50 | 100% | 0 | 0 | 0 | 0 |
| Lithographic printing | 1 | \$50 | \$50 | 100% | 0 | 0 | 0 | 0 |
| Newspaper-print/publ | 1 | \$0 | \$0 | 0% | 0 | 0 | 0 | 0 |
| Other Categories | | | | | | | | |
| Cash experiences | 4 | \$350 | \$250 | | | | | |
| Unknown | 0 | \$0 | \$0 | | | | | |
| Unfavorable comments | 0 | \$0 | \$0 | | | | | |
| Placed for collections with D&B | 0 | \$0 | \$0 | | | | | |
| Other | 0 | N/A | \$0 | | | | | |
| Total in D&B's file | 10 | \$25,700 | \$20,000 | | | | | |

The highest Now Owes on file is \$20,000

The highest Past Due on file is \$0

There are 10 payment experience(s) in D&Bs file for the most recent 24 months, with 4 experience(s) reported during the last three month period.

Payment Details

Total (Last 24 Months): 10

| Payment Date | Payment Type | Amount | Days Past Due | Account Type | Term |
|--------------|--------------|----------|---------------|------------------|----------|
| 10/2017 | Ppt | \$20,000 | \$20,000 | \$0 | 1 mo |
| 10/2017 | Ppt | \$250 | \$50 | \$0 | 1 mo |
| 10/2017 | (003) | \$50 | -- | -- Cash account | 1 mo |
| 09/2017 | (004) | \$0 | \$0 | \$0 | 6-12 mos |
| 07/2017 | Ppt | \$50 | -- | -- | 1 mo |
| 01/2017 | (006) | \$250 | -- | -- Cash account | 6-12 mos |
| 11/2016 | (007) | \$0 | \$0 | \$0 Cash account | 6-12 mos |
| 10/2016 | (008) | \$50 | -- | -- Cash account | 1 mo |
| 09/2016 | Ppt | \$50 | \$0 | \$0 | 6-12 mos |
| 05/2016 | Ppt | \$5,000 | -- | -- | 1 mo |

Payments Detail Key: ■ 30 or more days beyond terms

Accounts are sometimes placed for collection even though the existence or amount of the debt is disputed.

Payment experiences reflect how bills are met in relation to the terms granted. In some instances payment beyond terms can be the result of disputes over merchandise, skipped invoices etc.

Each experience shown is from a separate supplier. Updated trade experiences replace those previously reported.

Finances

Key Financial Comparisons

| | 2016 | 2015 | 2014 |
|--|------|------|------------|
| This Company's Operating Results Year Over Year | | | |
| Net Sales | NA | NA | NA |
| Gross Profit | NA | NA | NA |
| Net Profit | NA | NA | NA |
| Dividends / Withdrawals | NA | NA | NA |
| Working Capital | NA | NA | 238,617.00 |
| This Company's Assets Year Over Year | | | |
| Cash | NA | NA | 25,277.00 |
| Accounts Receivable | NA | NA | 188,675.00 |
| Notes Receivable | NA | NA | NA |
| Inventories | NA | NA | 25,000.00 |

| | | | |
|-------------------|----|----|------------|
| Other Current | NA | NA | NA |
| Total Current | NA | NA | 238,952.00 |
| Fixed Assets | NA | NA | NA |
| Other Non Current | NA | NA | NA |
| Total Assets | NA | NA | 238,952.00 |

This Company's Liabilities Year Over Year

| | | | |
|---------------------------------|----|----|------------|
| Accounts Payable | NA | NA | NA |
| Bank Loan | NA | NA | NA |
| Notes Payable | NA | NA | NA |
| Other Current | NA | NA | 335.00 |
| Total Current | NA | NA | 335.00 |
| Long Term Debt | NA | NA | NA |
| Deferred Credit | NA | NA | NA |
| Net Worth | NA | NA | 238,617.00 |
| Total Liabilities And Net Worth | NA | NA | 238,952.00 |

Bankruptcy Status

Fiscal Consolidated Statement Dated

We currently do not have any recent financial statement on file for this business.

Key Business Ratios

INTERIM Jan. 16, 2002
 (Industry Median is based on this number of firms: 14)

Solvency

| | | | |
|----------------------------------|-------|-------|----|
| Quick Ratio | 638.7 | 1.2 | 1 |
| Current Ratio | 713.3 | 1.5 | 1 |
| Current Liabilities to Net Worth | 0.1 | 189.8 | 4 |
| Current Liabilities to Inventory | 1.3 | 171.8 | 4 |
| Total Current | 0.1 | 189.8 | 4 |
| Fixed Assets to Net Worth | NA | 11.6 | NA |

Efficiency

| | | | |
|---------------------|----|------|----|
| Collection Period | NA | 39.4 | NA |
| Inventory Turn Over | NA | 5.1 | NA |

| | | | |
|----------------------|----|------|----|
| Sales to NWC | NA | 18.4 | NA |
| Acct Pay to Sales | NA | 4.9 | NA |
| Profitability | | | |
| Return on Sales | NA | 2.0 | NA |
| Return on Assets | NA | 9.5 | NA |
| Return on NetWorth | NA | 31.0 | NA |

Public Filings

Summary

This following public filing data includes both open and closed filings found in D&B's database on this company. It is for informational purposes only and is not the official record. Certified copies can be obtained from the official source.

| | | |
|--------------------|---|-----|
| Government History | 1 | N/A |
|--------------------|---|-----|

Settlement

No judgments have been reported to D&B on this company.

No liens have been reported to D&B on this company.

No suits have been reported to D&B on this company.

No UCC Filings have been reported to D&B on this company.

No bankruptcies have been reported to D&B on this company.

Borrower(Dir/Guar): NO

Administrative Debt: NO

11/17/2017

Company Update - Dun & Bradstreet

| | |
|--|------------|
| Contractor: | NO |
| Grantee: | NO |
| Party excluded from federal program(s): | NO |
| Labor Surplus Area: | N/A |
| Small Business: | YES (2017) |
| 8(A) Firm: | N/A |



RECEIVED

Appendix C

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

MAY 25 2018

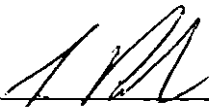
PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

Example
CERTIFICATE OF SERVICE

On this the 11 day of May 2018, I certify that a true and correct copy of the foregoing application form for licensing within the Commonwealth of Pennsylvania as a Natural Gas Supplier and all **NON-CONFIDENTIAL** attachments have been served, as either a hardcopy or a searchable PDF version on a cd-rom, upon the following:

| | |
|--|--|
| <p>Office of Consumer Advocate 5th Floor, Forum Place 555 Walnut Street Harrisburg, PA 17120</p> | <p>Office of the Attorney General Bureau of Consumer Protection Strawberry Square, 14th Floor Harrisburg, PA 17120</p> |
| <p>Office of the Small Business Advocate Commerce Building, Suite 202 300 North Second Street Harrisburg, PA 17101</p> | <p>Commonwealth of Pennsylvania Department of Revenue Bureau of Compliance Harrisburg, PA 17128-0946</p> |
| <p>Columbia Gas of PA, Inc. Michele Caddell 290 W. Nationwide Blvd. Columbus, OH 43215 PH: 614.460.6841 FAX: 614.460.8447 e-mail: mcaddell@nisource.com</p> | <p>Bureau of Investigation & Enforcement Pennsylvania Public Utility Commission Commonwealth Keystone Building 400 North Street, 2 West Harrisburg, PA 17120</p> |
| <p>Peoples Natural Gas – Equitable Division Lynda Petrichevich 375 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: Lynda.w.petrichevich@peoples-gas.com</p> | <p>National Fuel Gas Distribution Corp. David D. Wolford 6363 Main Street Williamsville, NY 14221 PH: 716.857.7483 FAX: 716.857.7479 e-mail: wolfordd@natfuel.com</p> |
| <p>The Peoples Natural Gas Company Lynda Petrichevich 375 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528 FAX: 412.208.6577 e-mail: Lynda.w.petrichevich@peoples-gas.com</p> | <p>PECO Carlos Thillet, Manager, Gas Supply and Transportation 2301 Market Street, S9-2 Philadelphia, PA 19103 PH: 215.841.6452 Email: carlos.thillet@exeloncorp.com</p> |
| <p>Peoples Gas Company Lynda Petrichevich 375 North Shore Drive Pittsburgh, PA 15212 PH: 412.208.6528</p> | <p>Philadelphia Gas Works Nicholas LaPergola 800 West Montgomery Avenue Philadelphia, PA 19122 PH: 215.684.6278</p> |

| | |
|--|--|
| <p>FAX: 412.208.6577 e-mail: Lynda.w.petricevich@peoples-gas.com</p> | <p>email: nicholas.lapergola@pgworks.com</p> |
| <p>UGI Central Penn David Lahoff 2525 N. 12th Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3520 Email: dlahoff@ugi.com</p> | <p>UGI David Lahoff 2525 N. 12th Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3520 Email: dlahoff@ugi.com</p> |
| <p>Valley Energy Inc. Ed Rogers 523 South Keystone Avenue Sayre, PA 18840-0340 PH: 570.888-9664 FAX: 570.888.6199 email: erogers@ctenterprises.org</p> | <p>UGI Penn Natural David Lahoff 2525 N. 12th Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3520 Email: dlahoff@ugi.com</p> |



Jonathan Peele, President Aspen Energy Corporation



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05/25/2018

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PRIORITY MAIL 2-DAY™

JONATHAN PEELE
ASPEN ENERGY CORPORATION
4789 RINGS RD
STE 100
DUBLIN OH 43017-1513

Expected Delivery Date: 05/29/18

0004

C000

SHIP
TO:

PENNSYLVANIA PUBLIC UTILITY COMMISSION
400 NORTH ST
HARRISBURG PA 17120-0211

USPS TRACKING #



9405 8036 9930 0642 4343 86

Electronic Rate Approved #038555749

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