

5. COMPLIANCE

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

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

The applicant has not been a defendant in a criminal case or civil proceeding within the past five (5) years.

- b. **SUMMARY:** If applicable; provide a statement as to the resolution or present status of any such proceedings listed above.  
NOT APPLICABLE

- c. **CUSTOMER/REGULATORY/PROSECUTORY ACTIONS:** Identify all formal or escalated actions or complaints, in the Commonwealth of Pennsylvania or any state, 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.

- d. **SUMMARY:** If applicable; provide a statement as to the resolution or present status of any actions listed above.  
NOT APPLICABLE

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SEP 25 2020

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

I, Paul Errigo, 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).

Thank you,

A handwritten signature in black ink, appearing to be 'Paul Errigo', written in a cursive style.

Paul Errigo  
President

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SEP 25 2020

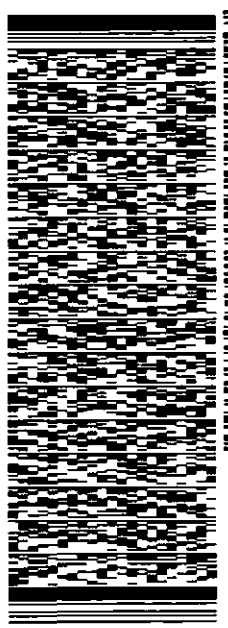
PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

ORIGIN ID: NESA (800) 292-0909  
LICENSEL OGI, LLC  
DAVID YOUNT  
140 GRAND STREET  
SUITE 300  
WHITE PLAINS, NY 10601  
UNITED STATES US

SHIP DATE: 25SEP20  
ACTWT: 0.101 LB  
CAD: 103000896/NET4280  
BILL SENDER

TO PENNSYLVANIA PUBLIC UTILITY COMMISS  
KEYSTONE BUILDING  
400 NORTH STREET  
2ND FLOOR ROOM N201  
HARRISBURG PA 17120  
(800) 692-7380  
REF GOLD STAR  
DEPT  
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PA-US 17120  
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