

## BEFORE THE PENNSYLVANIA PUBLIC UTILITY COMMISSION

Application of Legend Energy Advisors, LLC., for approval to offer, render, furnish, or supply electricity or electric generation services as a(n) broker to the public in the Commonwealth of Pennsylvania (Pennsylvania).

To the Pennsylvania Public Utility Commission:

### 1. IDENTIFICATION AND CONTACT INFORMATION

- a. **IDENTITY OF THE APPLICANT:** Provide name (*including any fictitious name or d/b/a*), primary address, web address, and telephone number of Applicant:

Legend Energy Advisors LLC  
1 Pennsylvania Plaza, Suite 6184  
New York, NY 10119  
www.LegendEA.com 212-924-8525

- 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.

InCorp Services, Inc.  
7208 Red Top Road  
Hummelstown, PA 17036 Ph: 800-246-2677

- 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.

Dan Crosby - Founder 212-924-8525  
1 Pennsylvania Plaza, Suite 6184, New York, NY 10119  
dcrosby@LegendEA.com phone:212-924-8525 fax:307-316-0406

- 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: (Required of ALL Applicants)** 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 Electric 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 EGSs.

Dan Crosby - Founder  
1 Pennsylvania Plaza, Suite 6184, New York, NY 10119  
dcrosby@legendea.com phone:212-924-8525  
fax:307-316-0406

Alternate: Andria Christensen - Project Manager  
281-310-5884  
achristensen@legendea.com

## 2. BUSINESS ENTITY FILINGS AND REGISTRATION

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

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

Provide a copy of the Applicant’s filing with Pennsylvania’s Department of State pursuant to 54 Pa. C.S. §311, Form PA-953.

**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**

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

### 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.

No 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.

No Predecessors

## 4. OPERATIONS

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

Definitions

- Supplier – an entity that sells electricity to end-use customers utilizing the jurisdictional transmission and distribution facilities of an EDC.
- Aggregator - an entity that purchases electric energy and takes title to electric energy as an intermediary for sale to retail customers.
- Broker/Marketer - an entity that acts as an intermediary in the sale and purchase of electric energy but does not take title to electric energy.

The Applicant is presently doing business in Pennsylvania as a

- municipal electric corporation
- electric cooperative
- local gas distribution company
- provider of electric generation, transmission or distribution services
- broker/marketer engaged in the business of supplying electricity 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 *(may check multiple):*

- Generator of electricity
- Supplier of electricity
- Aggregator engaged in the business of supplying electricity
- Broker/Marketer engaged in the business of supplying electricity services
  - Check here to verify that your organization will not be taking title to the electricity nor will you be making payments for customers.
- Electric Cooperative and supplier of electric power
- Other (Describe):

c. **PROPOSED SERVICES:** Describe in detail the electric services or the electric generation services which the Applicant proposes to offer.

Legend Energy Advisors provides energy services related to electricity in purchasing strategies, efficiency measures and sustainability.

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

- Citizens' Electric
- Duquesne Light
- Met-Ed
- PECO
- Penelec
- Penn Power

- Pike
- PPL
- UGI Utilities
- Wellsboro
- West Penn

Entire Commonwealth of PA

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

- Residential Customers
- Small Commercial Customers - (25 kW and Under)
- Residential and Small Commercial as Mixed Meter ONLY **(CANNOT BE TAKEN WITH RESIDENTIAL AND/OR SMALL COMMERCIAL ABOVE)**
- Large Commercial Customers - (Over 25 kW)
- Industrial Customers
- Governmental Customers
- All of above (Except Mixed Meter)
- Other (Describe):

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

April 01, 2021

## 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.

No 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, 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.

No Actions

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

N/A

## 6. PROOF OF SERVICE

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

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

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

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

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

Department of Revenue  
Bureau of Compliance  
PO Box 281230  
Harrisburg, PA 17128-1230

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

- b. **EDCs:** 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 Electric 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 EDC is as follows.

**Pike County Light & Power Company:**  
Vice President – Energy Supply  
Corning Natural Gas Holding Corporation  
330 West William Street  
Corning, NY 14830

**West Penn:**  
Legal Department  
West Penn Power d/b/a Allegheny Power  
800 Cabin Hill Drive  
Greensburg, PA 15601-1689

**PECO:**  
Manager Energy Acquisition  
PECO Energy Company  
2301 Market Street  
Philadelphia, PA 19101-8699

**Duquesne Light:**  
Regulatory Affairs  
Duquesne Light Company  
411 Seventh Street, MD 16-4  
Pittsburgh, PA 15219

**PPL:**  
Office of General Counsel  
Attn: Kimberly A. Klock  
PPL  
Two North Ninth Street (GENTW3)  
Allentown, PA 18101-1179

**Met-Ed, Penelec, and Penn Power:**

Legal Department  
First Energy  
2800 Pottsville Pike  
Reading PA, 19612

**UGI:**

UGI Utilities, Inc.  
Attn: Rates Dept. – Choice Coordinator  
1 UGI Drive  
Denver, PA 17517

**Citizens' Electric Company:**

Citizens' Electric Company  
Attn: EGS Coordination  
1775 Industrial Boulevard  
Lewisburg, PA 17837

**Wellsboro Electric Company:**

Wellsboro Electric Company  
Attn: EGS Coordination  
33 Austin Street  
P. O. Box 138  
Wellsboro, PA 16901

**7. FINANCIAL FITNESS**

- a. **BONDING:** In accordance with 66 Pa. C.S. Section 2809(c)(1)(i), the Applicant is required to file a bond or other instrument to ensure its financial responsibilities and obligations as an EGS. Therefore, the Applicant is...

- Furnishing the **ORIGINAL** of an initial bond, letter of credit or proof of bonding to the Commission in the amount of \$250,000.
- Furnishing the **ORIGINAL** of another initial security for Commission approval, to ensure financial responsibility, such as a parental guarantee, in the amount of \$250,000.
- For Marketers and Brokers** - Filing for a modification to the \$250,000 requirement and furnishing the **ORIGINAL** of an initial bond, letter of credit or proof of bonding to the Commission in the amount of \$10,000. Applicant is required to provide information supporting an amount less than \$250,000. Such supporting information must include indication that the Applicant will not take title to electricity and will not pay electricity bills on behalf of its customers. Further details for modification may be described as well.

**CRITICAL BONDING NOTES:**

Applicant is required to maintain a bond or other financial instrument the entire time it maintains an EGS license with the Commonwealth of Pennsylvania. If Applicant's security instrument is not continuous, Applicant **MUST** submit a Rider, Amendment, or Continuation Certificate annually based on the expiration date of its security instrument.

At least sixty days (60) prior to the security instrument's expiration date, Applicant should contact Stephen Jakab at [sjakab@pa.gov](mailto:sjakab@pa.gov) to determine the appropriate bonding amount based on a percentage of Applicant's gross receipts resulting from the sale of generated electricity consumed in Pennsylvania. Once the amount has been determined, Applicant should overnight the updated security instrument(s) at least thirty (30) days prior to the expiration date to ensure adequate time for staff review and approval of the security instrument(s).

Template versions of a continuous bond, fixed-term bond, continuous letter of credit, and parental guarantee are attached at Appendix E, F, G, & H, respectively. Applicant's security must follow language from these examples, and must include the unmodified language outlined in Appendix D. Any deviation from these examples must be identified in the application and may not be acceptable to the Commission.



**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.

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

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

Legend Energy Advisors is compensated for Advisory and Brokerage services in two ways- Either through direct payments from the clients for Energy Advisory services or through fees embedded into the price of the electricity supply we help our clients purchase. Under the embedded fee structure, our fees are assessed by the retail electric supplier on electricity invoices and subsequently paid to Legend from the supplier. For clients that choose the embedded fee structure, our fees are always disclosed.

**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.

Dan Crosby - Founder 21-924-8525 1 Penn Plaza  
Suite 6184  
New York, NY 10119  
dcrosby@legendea.com Fax: 307-316-3633

**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.*

TAX ID: 46-5455492

## 8. TECHNICAL FITNESS:

To ensure that the present quality and availability of service provided by electric utilities 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 electricity industry.
- Summary and proof of licenses as a supplier of electric services in other states or jurisdictions.
- Type of customers and number of customers Applicant currently serves in other jurisdictions.
- Staffing structure and numbers as well as employee training commitments.
- Business plans for operations within the Commonwealth.
- Documentation of membership in PJM, ECAR, MAAC, other regional reliability councils, or any other membership or certification that is deemed appropriate to justify competency to operate as an EGS within the Commonwealth.
- Any other information appropriate to ensure the technical capabilities of the Applicant.

See Attachment A

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

- Internal – Applicant will use its own internal resources/employees for marketing
- External EGS – Applicant will contract with a PUC **LICENSED EGS** broker/marketer
- Affiliate – Applicant will use a **NON-EGS** affiliate marketing company and or individuals.
- External Third-Party – Applicant will contract with a **NON-EGS** third party marketing company and or individuals
- 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.

Legend Energy Advisors ensures all marketing is performed in an ethical manner by following strict guidelines on what clients and potential clients are told. Legend never holds itself out to be a representative or an affiliate of any utility or retail supplier. Legend never claims it is being compensated by retail suppliers and not by clients. Legend ensures all employees that will represent the company in a marketing capacity are thoroughly trained to ensure subject matter competence and are aware of what not to do. In order to retain better control over the marketing process, Legend does not work with subcontractors and only full-time employees market the company's services.

- 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.

See Attachment B

- f. **FERC FILING:** Applicant has:

- Filed an Application with the Federal Energy Regulatory Commission to be a Power Marketer.
- Received approval from FERC to be a Power Marketer at Docket or Case Number \_\_\_\_\_.
- Not applicable

## 9. DISCLOSURE STATEMENTS:

**Disclosure Statements:** If proposing to serve Residential and/or Small Commercial (under 25 kW) Customers, provide a Residential and/or Small Commercial disclosure statement. A sample disclosure statement is provided as Appendix J to this Application.

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

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

## 10. VERIFICATIONS, ACKNOWLEDGEMENTS, AND AGREEMENTS

- a. **PJM LOAD SERVING ENTITY REQUIREMENT:** As a prospective EGS, the applicant understands that those EGSs which provide retail electric supply service (i.e. takes title to electricity) must provide either:

- proof of registration as a PJM Load Serving Entity (LSE), or
- proof of a contractual arrangement with a registered PJM LSE that facilitates the retail electricity services of the EGS.

The Applicant understands that compliance with this requirement must be filed within 120 days of the Applicant receiving a license. As well, the Applicant understands that compliance with this requirement may be filed with this instant application.

*(Select only one of the following)*

- AGREED - Applicant has included compliance with this requirement in the instant application, labeled in correspondence with this section (10).
- AGREED - Applicant will provide compliance with this requirement within 120 days of receiving its license
- ACKNOWLEDGED - Applicant is not proposing to provide retail electric supply service at this time, and therefore is not presently obligated to provide such information

**b. 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 § 54.43, as well as any future amendments.

AGREED

**c. REPORTING REQUIREMENTS:** Applicant agrees to provide the following information to the Commission or the Department of Revenue, as appropriate:

- Retail Electricity Choice Activity Reports: The regulations at 52 Pa. Code §§ 54.201--54.204 require that all active EGSs report sales activity information. An EGS will file an annual report reporting for customer groups defined by annual usage. Reports must be filed using the appropriate report form that may be obtained from the PUC's Secretary's Bureau or the forms officer, or may be down-loaded from the PUC's internet web site.
- Reports of Gross Receipts: Applicant shall report its Pennsylvania intrastate gross receipts to the Commission on a quarterly and year to date basis no later than 30 days following the end of the quarter.
- The Treasurer or other appropriate officer of Applicant shall transmit to the Department of Revenue by March 15, an annual report, and under oath or affirmation, of the amount of gross receipts received by Applicant during the prior calendar year.
- Net Metering Reports: Applicant shall be responsible to report any Net Metering per the Standards on [http://www.puc.pa.gov/consumer\\_info/electricity/alternative\\_energy.aspx](http://www.puc.pa.gov/consumer_info/electricity/alternative_energy.aspx). Scroll down to the Net Metering Standards Section.
- Applicant shall report to the Commission the percentages of total electricity supplied by each fuel source on an annual basis per 52 Pa. Code § 54.39(d).
- Applicant will be required to meet periodic reporting requirements as may be issued by the Commission to fulfill the Commission's duty under Chapter 28 pertaining to reliability and to inform the Governor and Legislature of the progress of the transition to a fully competitive electric market.

AGREED

d. **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. Section 2809(D). Transferee will be required to file the appropriate licensing application.

AGREED

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

ACKNOWLEDGED

f. **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 § 54.34.

AGREED

g. **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.

AGREED

h. **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 twenty (20) days, as to the specifics of any changes which have a significant impact on the conduct of business in Pennsylvania. See 52 Pa. Code § 54.34.

AGREED

i. **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.

AGREED

j. **Electronic Data Interchange:** The Applicant acknowledges the Electronic Data Interchange (EDI) requirements and the relevant contacts for each EDC, as listed at Appendix M.

AGREED

k. **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. AFFIDAVITS

**Must be notarized before filing.**

- a. **APPLICATION AFFIDAVIT:** Complete and submit with your filing an officially notarized Application Affidavit stating that all the information submitted in this application is truthful and correct. An example copy of this Affidavit can be found at Appendix A.
- b. **OPERATIONS AFFIDAVIT:** Provide an officially notarized affidavit stating that you will adhere to the reliability protocols of the North American Electric Reliability Council, the appropriate regional reliability council(s), and the Commission, and that you agree to comply with the operational requirements of the control area(s) within which you provide retail service. An example copy of this Affidavit can be found at Appendix B.

## 12. 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 EDC. For example, an applicant that wants to operate in Penn Power 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
Citizens' Electric						X	
Duquesne				X			
Met Ed		X	X		X		
PECO			X				
Penelec	X	X			X	X	X
Penn Power	X			X			
Pike					X		
PPL		X	X		X	X	
UGI					X		
Wellsboro						X	
West Penn		X		X		X	X
Entire Commonwealth	X	X	X	X	X	X	X

*(Example Publications are provided at Appendices K and L)*

**13. SIGNATURE**

Applicant: Andria Christensen

By: Andria Christensen

Title: Project Manager

**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 are complete.

**Applicant:** Legend Energy Advisors

Applicant's Use	X	Signature	
	X	Filing Fee (CERTIFIED CHECK OR MONEY ORDER ONLY)	
	X	Application Affidavit	
	X	Operations Affidavit	
	X	Proof of Publication	
	X	Bond, Letter of Credit, or Parental/Affiliate Guarantee	
	X	Tax Certification Statement	
	X	Commonwealth Department of State Verification	
	X	Certificate of Service	

PUC Secretary's Bureau Use

Appendix A

APPLICATION AFFIDAVIT

[Commonwealth/State] of Texas :

: ss.

County of Harris :

Legend Energy Advisors, Affiant, being duly [sworn/affirmed] according to law, deposes and says that:

[He/she is the Founder (Office of Affiant) of Legend Energy Advisors (Name of Applicant);]

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

That the Applicant herein Legend Energy Advisors has the burden of producing information and supporting documentation demonstrating its technical and financial fitness to be licensed as an electric generation supplier pursuant to 66 Pa. C.S. § 2809 (B).

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

That the Applicant herein Legend Energy Advisors 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 Legend Energy Advisors 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.

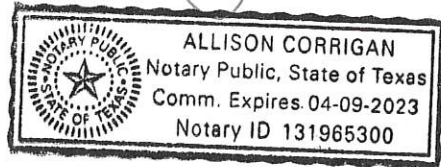
That the facts above set forth are true and correct to the best of his/her knowledge, information, and belief, and that he/she expects said Applicant to be able to prove the same at hearing.

[Handwritten Signature]  
Signature of Affiant

Sworn and subscribed before me this 17 day of March, 2021.

[Handwritten Signature]  
Signature of official administering oath

My commission expires 4/9/2023





**Appendix B**

**OPERATIONS AFFIDAVIT**

[Commonwealth/State] of Texas :

: **SS.**

County of Harris :

Legend Energy Advisors, Affiant, being duly [sworn/affirmed] according to law, deposes and says that:

[He/she is the Founder (Office of Affiant) of Legend Energy Advisors (Name of Applicant);]

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

That Legend Energy Advisors, 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 Legend Energy Advisors, the Applicant herein, asserts that [he/she/it] possesses the requisite technical, managerial, and financial fitness to render electric 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 Legend Energy Advisors, 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 28 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 Gross Receipts and power 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).

As provided by 66 Pa. C.S. §2810 (C)(6)(iv), 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 Legend Energy Advisors, the Applicant herein, acknowledges that it has a statutory obligation to conform with 66 Pa. C.S. §506, §2807 (C), §2807(D)(2), §2809(B) 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 Bureau of Public Liaison 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.



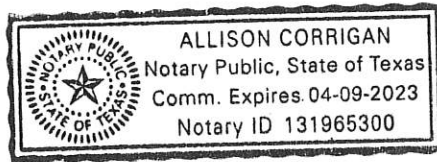
Signature of Affiant

Sworn and subscribed before me this 17 day of March, 2021.



Signature of official administering oath

My commission expires 4/9/2021.



## Appendix C

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

### Example CERTIFICATE OF SERVICE

On this the 15th day of March, 2021 I certify that a true and correct copy of the foregoing application form for licensing within the Commonwealth of Pennsylvania as an Electric Generation 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:

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

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

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

Department of Revenue  
Bureau of Compliance  
PO Box 281230  
Harrisburg, PA 17128-1230

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

Vice President – Energy Supply  
Corning Natural Gas Holding Corporation  
330 West William Street  
Corning, NY 14830

Legal Department  
West Penn Power d/b/a Allegheny Power  
800 Cabin Hill Drive  
Greensburg, PA 15601-1689

Manager Energy Acquisition  
PECO Energy Company  
2301 Market Street  
Philadelphia, PA 19101-8699

Regulatory Affairs  
Duquesne Light Company  
411 Seventh Street, MD 16-4  
Pittsburgh, PA 15219


Office of General Counsel  
Attn: Kimberly A. Klock  
PPL  
Two North Ninth Street (GENTW3)  
Allentown, PA 18101-1179

Legal Department  
First Energy  
2800 Pottsville Pike  
Reading PA, 19612

UGI Utilities, Inc.  
Attn: Rates Dept. – Choice Coordinator  
1 UGI Drive  
Denver, PA 17517

Citizens' Electric Company  
Attn: EGS Coordination  
1775 Industrial Boulevard  
Lewisburg, PA 17837

Wellsboro Electric Company  
Attn: EGS Coordination  
33 Austin Street  
P. O. Box 138  
Wellsboro, PA 16901

  
Dan Crosby, Founder, Legend Energy  
Advisors LLC.

## Appendix M

### Electronic Data Interchange and Internet Requirements

Prior to doing business in an EDC service territory, all EGS suppliers, and any broker/marketers that wish to use the Electronic Data Interchange (EDI), must meet the EDI certification requirements of the EDC. Certification is a testing process using the Commission approved Internet protocol. To initiate this process, the EGS is encouraged to contact the EDC as early as possible after filing an application for a license with the Commission, since certification may require as many as four months to complete and customer service contract dates may not commence prior to certification. EDC requirements of new suppliers may be found on the respective EDC home web page. Pennsylvania's industry stakeholder group the Electronic Data Exchange Working Group (EDEWG) develops and maintains the EDI transactions and related business practices, which are found on the Pa. PUC website at [http://www.puc.pa.gov/filing\\_resources/issues\\_laws\\_regulations/electronic\\_data\\_exchange.aspx](http://www.puc.pa.gov/filing_resources/issues_laws_regulations/electronic_data_exchange.aspx). The EDEWG meets telephonically the first Thursday of each month at 2:00pm ET to discuss EDI change control requests and other issues.

To keep current with Pennsylvania EDI practices and policies, a newly licensed EGS is strongly encouraged to participate in the EDEWG by contacting the following:

#### PA EDEWG EDI Contacts

Entity Name	Contact Name	Telephone	Email	Preference
PA PUC	Jeff McCracken	717-783-6163	<a href="mailto:jmccracken@pa.gov">jmccracken@pa.gov</a>	Email
PA PUC	Lee Yalcin	717-787-6723	<a href="mailto:lyalcin@pa.gov">lyalcin@pa.gov</a>	Email
PA EDEWG EDC Co-Chair	Ernie Mathie	330-384-5757	<a href="mailto:mathiee@firstenergycorp.com">mathiee@firstenergycorp.com</a>	Email
PA EDEWG ESP Co-Chair	Monica Neibert	781-347-9039	<a href="mailto:mneibert@energyservicesgroup.net">mneibert@energyservicesgroup.net</a>	Email
PA EDEWG Secretary & Regional EDI Change Control Manager	Brandon Siegel	412-817-8004	<a href="mailto:brandon.siegel@intelometry.com">brandon.siegel@intelometry.com</a>	Email

#### PA EDC EDI Contacts

Company Name	Contact Name	Telephone	Email	Preference
Citizens' Electric	John Kelchner	570-524-2231	<a href="mailto:kelchnerj@citizenselectric.com">kelchnerj@citizenselectric.com</a>	Email
	Chrissy DeLoughrey	781-347-9022	<a href="mailto:Implementation@EnergyServicesGroup.net">Implementation@EnergyServicesGroup.net</a>	Email
Duquesne Light Co	Supplier Service Center	412-393-6282	<a href="mailto:DLC_SSC@duqlight.com">DLC_SSC@duqlight.com</a>	Email
FirstEnergy - Metropolitan Edison Co, Pennsylvania Electric, Penn Power, JCP&L, WPP & Potomac Edison	Supplier Support	330-761-4348	<a href="mailto:SupplierSupport@firstenergycorp.com">SupplierSupport@firstenergycorp.com</a>	Email
PECO	Electric & Gas Choice Hotline	215-841-3700	<a href="mailto:egc@exeloncorp.com">egc@exeloncorp.com</a>	Email
PPL Electric Utilities	Supplier Support	610-774-6396	<a href="mailto:PPLUtilitiesSupplier@pplweb.com">PPLUtilitiesSupplier@pplweb.com</a>	Email
	EDI Team	610-774-5757	<a href="mailto:EDIUtilAdm@pplweb.com">EDIUtilAdm@pplweb.com</a>	Email
UGI Utilities Inc.	EDI Technical Support	610-736-5784	<a href="mailto:edi@ugi.com">edi@ugi.com</a>	Email
Wellsboro Electric	Danette Kerestes	570-724-3516	<a href="mailto:danettek@ctenterprises.org">danettek@ctenterprises.org</a>	Email
	Chrissy DeLoughrey	781-347-9022	<a href="mailto:Implementation@EnergyServicesGroup.net">Implementation@EnergyServicesGroup.net</a>	Email

PROOF OF PUBLICATION  
In  
THE ERIE TIMES-NEWS  
COMBINATION EDITION

Legend Energy Advisors  
1 Penn Plaza, Ste. 6184  
New York NY 10119

REFERENCE: 82286 92608  
PUC Notice

STATE OF PENNSYLVANIA)  
COUNTY OF ERIE ) SS:

Debra McGraw, 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, a true and correct copy of which is attached, 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: 09/11/14

TOTAL COST: \$409.00 AD SPACE: 0 Lines

FILED ON: 09/11/14

**PENNSYLVANIA PUBLIC UTILITY COMMISSION**  
**NOTICE**  
Applications of Legend Energy Advisors LLC For Approval To Offer Electric Generation and Natural Gas Services As A Broker Engaged In The Business Of Supplying Electricity & Natural Gas, To The Public In The Commonwealth Of Pennsylvania.  
Legend Energy Advisors LLC will be filing applications with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electric generation and natural gas services as a broker/marketer engaged in the business of supplying electricity and natural gas. Legend Energy Advisors proposes to sell electricity, natural gas and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation & Natural Gas Customer Choice and Competition Act.  
The PUC may consider these applications without a hearing. Protests directed to the technical or financial fitness of Legend Energy Advisors 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 Legend Energy Advisors LLC's at the address listed below.  
1 Penn Plaza, Suite 6184, New York, NY 10119  
Phone 212-924-8525 Fax 307-316-0406

Sworn to and subscribed before me this 14th day of September 2014

Affiant: Debra McGraw

NOTARY: Barbara J Moore

COMMONWEALTH OF PENNSYLVANIA  
Notarial Seal  
Barbara J. Moore, Notary Public  
City of Erie, Erie County  
My Commission Expires March 23, 2015  
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

The Patriot-News Co.  
2020 Technology Pkwy  
Suite 300  
Mechanicsburg, PA 17050  
Inquiries - 717-255-8213

The Patriot-News  
Now you know

LEGEND ENERGY ADVISORS  
1 PENN PLAZA SUITE 6184

NEW YORK NY 10119

THE PATRIOT NEWS  
THE SUNDAY PATRIOT NEWS

Proof of Publication

Under Act No. 587, Approved May 16, 1929  
Commonwealth of Pennsylvania, County of Dauphin} ss

Marianne Miller, being duly sworn according to law, deposes and says:

That she is the Assistant Controller of The Patriot News Co., a corporation organized and existing under the laws of the Commonwealth of Pennsylvania, with its principal office and place of business at 2020 Technology Pkwy, Suite 300, in the Township of Hampden, County of Cumberland, State of Pennsylvania, owner and publisher of The Patriot-News and The Sunday Patriot-News newspapers of general circulation, printed and published at 1900 Patriot Drive, in the City, County and State aforesaid; that The Patriot-News and The Sunday Patriot-News were established March 4th, 1854, and September 18th, 1949, respectively, and all have been continuously published ever since;

That the printed notice or publication which is securely attached hereto is exactly as printed and published in their regular daily and/or Sunday/ Community Weekly editions which appeared on the date(s) indicated below. That neither she nor said Company is interested in the subject matter of said printed notice or advertising, and that all of the allegations of this statement as to the time, place and character of publication are true; and

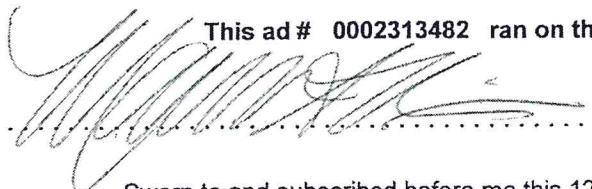
That she has personal knowledge of the facts aforesaid and is duly authorized and empowered to verify this statement on behalf of The Patriot-News Co. aforesaid by virtue and pursuant to a resolution unanimously passed and adopted severally by the stockholders and board of directors of the said Company and subsequently duly recorded in the office for the Recording of Deeds in and for said County of Dauphin in Miscellaneous Book "M", Volume 14, Page 317.

PUBLICATION COPY

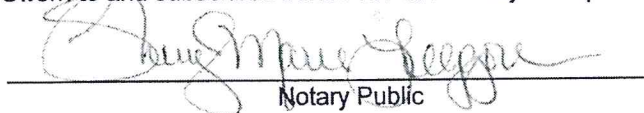
This ad # 0002313482 ran on the dates shown below:

September 11, 2014

PENNSYLVANIA  
PUBLIC UTILITY COMMISSION  
NOTICE  
Applications of Legend Energy  
Advisors LLC For Approval To Offer  
Electric Generation and Natural Gas  
Services As A Broker Engaged In The  
Business Of Supplying Electricity &  
Natural Gas, To The Public In The  
Commonwealth Of Pennsylvania.  
Legend Energy Advisors LLC will be  
filing applications with the  
Pennsylvania Public  
Utility Commission ("PUC") for a  
license to supply electricity or electric  
generation and natural gas services as a  
broker/marketer engaged in the  
business of supplying electricity and  
natural gas. Legend Energy Advisors  
proposes to sell electricity, natural gas  
and related services throughout all of  
Pennsylvania under the provisions of the  
new Electricity Generation & Natural  
Gas Customer Choice and Competition  
Act.  
The PUC may consider these  
applications without a hearing. Protests  
directed to the technical or financial  
fitness of Legend Energy Advisors 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 Legend Energy Advisors  
LLC's at the address listed below.  
1 Penn Plaza, Suite 6184, New York,  
NY 10119  
Phone 212-924-8525 Fax 307-316-0406



Sworn to and subscribed before me this 12 day of September, 2014 A.D.

  
Notary Public

COMMONWEALTH OF PENNSYLVANIA  
NOTARIAL SEAL  
Sheryl Marie Leggore, Notary Public  
Hampden Twp., Cumberland County  
My Commission Expires July 16, 2018  
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

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

STATE OF PENNSYLVANIA  
COUNTY OF PHILADELPHIA

Florence Devlin 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:

September 11, 2014

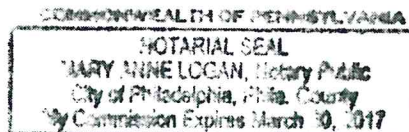
Affiant further deposes and says that she is an employee of the publisher of said newspaper and has been authorized to verify the foregoing statement and that she is not interested in the subject matter of the aforesaid notice of publication, and that all allegations in the foregoing statement as to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



Sworn to and subscribed before me this 11th day of  
September, 2014.

  
Notary Public

My Commission Expires:



Copy of Notice of Publication

PENNSYLVANIA  
PUBLIC UTILITY COMMISSION NOTICE  
Applications of Legend Energy Advisors LLC For Approval To Offer Electric Generation and Natural Gas Services As A Broker Engaged In The Business Of Supplying Electricity & Natural Gas. To The Public In The Commonwealth Of Pennsylvania.  
Legend Energy Advisors LLC will be filing applications with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electric generation and natural gas services as a broker/marketer engaged in the business of supplying electricity and natural gas. Legend Energy Advisors proposes to sell electricity, natural gas and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation & Natural Gas Customer Choice and Competition Act. The PUC may consider these applications without a hearing. Protests directed to the technical or financial fitness of Legend Energy Advisors 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 Legend Energy Advisors LLC's at the address listed below.  
1 Penn Plaza, Suite 6184, New York, NY 10119  
Phone 212-924-8525 Fax 307-316-0408

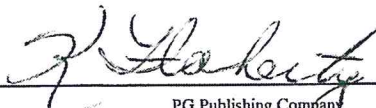
**Proof of Publication of Notice in Pittsburgh Post-Gazette**

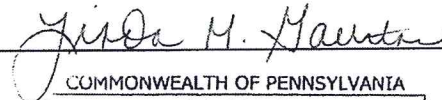
Under Act No 587, Approved May 16, 1929, PL 1784, as last amended by Act No 409 of September 29, 1951

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:

**11 of September, 2014**

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.

  
\_\_\_\_\_  
PG Publishing Company  
Sworn to and subscribed before me this day of:  
September 11, 2014

  
\_\_\_\_\_  
COMMONWEALTH OF PENNSYLVANIA  
Notarial Seal  
Linda M. Gaertner, Notary Public  
City of Pittsburgh, Allegheny County  
My Commission Expires Jan. 31, 2015  
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

**STATEMENT OF ADVERTISING COSTS**  
Legend Energy Advisors  
1 Penn Plaza, Suite 6184  
Attn: Daniel Crosby, LEED AP  
New York NY 10119

To PG Publishing Company

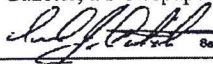
Total ----- \$405.00

**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  
34 Boulevard of the Allies  
PITTSBURGH, PA 15222  
Phone 412-263-1338

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

By  \_\_\_\_\_  
Samuel J. Arbutina

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**

Applications of Legend Energy Advisors LLC For Approval To Offer Electric Generation and Natural Gas Services As A Broker Engaged In The Business Of Supplying Electricity & Natural Gas, To The Public In The Commonwealth Of Pennsylvania.

Legend Energy Advisors LLC will be filing applications with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electric generation and natural gas services as a broker/marketer engaged in the business of supplying electricity and natural gas. Legend Energy Advisors proposes to sell electricity, natural gas and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation & Natural Gas Customer Choice and Competition Act.

The PUC may consider these applications without a hearing. Protests directed to the technical or financial fitness of Legend Energy Advisors 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 Legend Energy Advisors LLC's at the address listed below.

1 Penn Plaza, Suite 6184, New York, NY 10119, Phone 212-924-8525, Fax 307-316-0406



PROOF OF PUBLICATION 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 Company, 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:

September 11, 2014

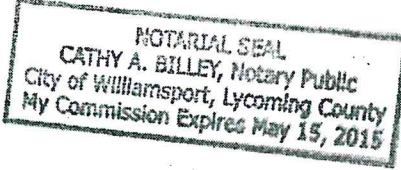
Affiant further deposes that he is an officer daily authorized by the Sun-Gazette Company, publisher of the Williamsport Sun-Gazette, to verify the foregoing statement under oath and also declares that affiant is not interested in the subject matter of the aforesaid notice of publication and that the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

PENNSYLVANIA PUBLIC UTILITY COMMISSION NOTICE  
Applications of Legend Energy Advisors LLC For Approval To Offer Electric Generation and Natural Gas Services As A Broker Engaged In The Business Of Supplying Electricity & Natural Gas, To The Public In The Commonwealth Of Pennsylvania.  
Legend Energy Advisors LLC will be filing applications with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electric generation and natural gas services as a broker/marketer engaged in the business of supplying electricity and natural gas. Legend Energy Advisors proposes to sell electricity, natural gas and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation & Natural Gas Customer Choice and Competition Act.  
The PUC may consider these applications without a hearing. Protests directed to the technical or financial fitness of Legend Energy Advisors may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3285, Harrisburg, PA 17105-3285. You should send copies of any protest to Legend Energy Advisors LLC's at the address listed below.  
1 Penn Plaza, Suite 6184,  
New York, NY 10119  
Phone 212-924-8525  
Fax 307-316-0406

Bernard A. Oravec

SUN-GAZETTE COMPANY

Sworn to and subscribed before me  
the 12<sup>th</sup> day of September 2014  
Cathy A. Billey  
Notary Public



STATEMENT OF ADVERTISING COSTS

To the Sun-Gazette Company, Dr.:  
For publishing the notice attached  
hereto on the above state dates.....\$ 196.56  
Probated same.....\$  
Total.....\$ 196.56

LISHER'S RECEIPT FOR ADVERTISING COSTS

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

SUN-GAZETTE COMPANY

BY Bernard A. Oravec

The Scranton Times (Under act P.L. 877 No 160. July 9,1976)  
Commonwealth of Pennsylvania, County of Lackawanna

LEGEND ENERGY ADVISORS  
DANIEL CROSBY  
1 PENN PLAZA, SUITE 6184 NEW YORK NY 10119

Account # 597540  
Order # 81537804  
Ad Price: 178.90

LEGAL NOTICE PENNSYLVANIA  
Gina Krushinski

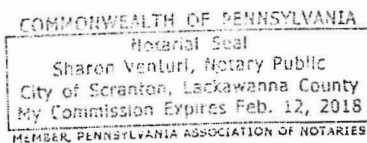
Being duly sworn according to law deposes and says that (s)he is Billing clerk for The Scranton Times, owner and publisher of The Scranton Times, a newspaper of general circulation, established in 1870, published in the city of Scranton, county and state aforesaid, and that the printed notice or publication hereto attached is exactly as printed in the regular editions of the said newspaper on the following dates:

09/10/2014

Affiant further deposes and says that neither the affiant nor The Scranton Times is interested in the subject matter of the aforesaid notice or advertisement and that all allegations in the foregoing statement as time, place and character or publication are true Gina Krushinski

Sworn and subscribed to before me  
this 10th day of September A.D., 2014

Sharon Venturi  
(Notary Public)



**LEGAL NOTICE**  
**PENNSYLVANIA PUBLIC UTILITY COMMISSION NOTICE**  
Applications of Legend Energy Advisors LLC For Approval To Offer Electric Generation and Natural Gas Services As A Broker Engaged In The Business Of Supplying Electricity & Natural Gas, To The Public In The Commonwealth Of Pennsylvania.  
Legend Energy Advisors LLC will be filing applications with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electric generation and natural gas services as a broker/marketer engaged in the business of supplying electricity and natural gas. Legend Energy Advisors proposes to sell electricity, natural gas and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation & Natural Gas Customer Choice and Competition Act.  
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1 Penn Plaza, Suite 6184,  
New York, NY 10119  
Phone 212-924-8525 Fax 307-316-0406

COMMONWEALTH OF PENNSYLVANIA }  
 County of Cambria } SS

**PENNSYLVANIA PUBLIC UTILITY COMMISSION  
 NOTICE**  
 Applications of Legend Energy Advisors LLC For Approval To Offer Electric Generation and Natural Gas Services As A Broker Engaged In The Business Of Supplying Electricity & Natural Gas, To The Public In The Commonwealth Of Pennsylvania.  
 Legend Energy Advisors LLC will be filing applications with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electric generation and natural gas services as a broker/marketer engaged in the business of supplying electricity and natural gas. Legend Energy Advisors proposes to sell electricity, natural gas and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation & Natural Gas Customer Choice and Competition Act.  
 The PUC may consider these applications without a hearing. Protests directed to the technical or financial fitness of Legend Energy Advisors 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 Legend Energy Advisors LLC's at the address listed below.  
 1 Penn Plaza, Suite 6184, New York, NY 10119  
 Phone 212-924-8525 Fax 307-316-0406

On this 15th day of September A.D. 2014, 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 Classified Advertising Manager 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,

published continuously at Johnstown Pa. in the County of Cambria, and Commonwealth of Pennsylvania and that the annexed is a true copy of a notice in the above matter published in said publication in the regular issues of The Johnstown Tribune-Democrat, Johnstown, PA, on September 10, 2014; and that the Affiant is not interested in the subject matter of said notice or advertising and that all of the allegations as to time, place and character of said publication are true.

*Christine Marhefka*

**STATEMENT OF ADVERTISING COSTS**

Sworn and Subscribed before me this 15th day of September, 2014.

*[Signature]*

0.00 Lines @ \$2.50 per line	0.00
5 Inches @ \$25.00 per inch	125.00
Notary Fee	5.00
Clerical Fee	2.50
<b>Total Cost</b>	<b>132.50</b>

COMMONWEALTH OF PENNSYLVANIA  
 Notarial Seal  
 Vivian Ohs, Notary Public  
 City of Johnstown, Cambria County  
 My Commission Expires Dec. 6, 2016  
 MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

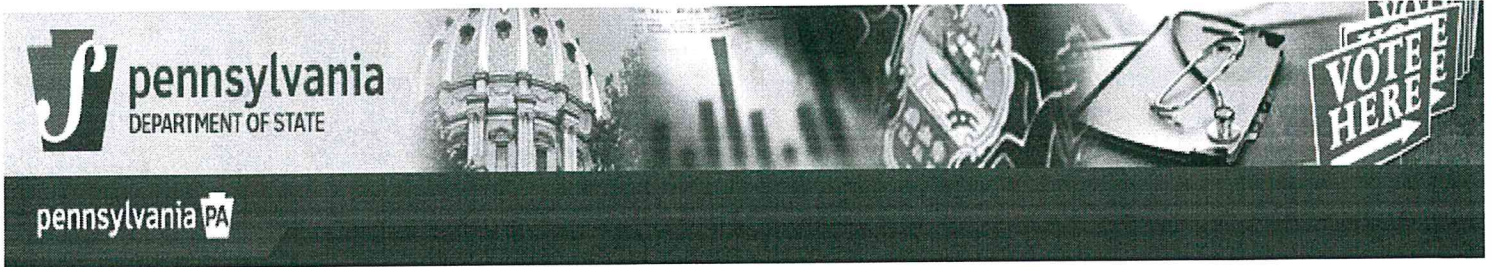
To The Tribune-Democrat, Johnstown, PA  
 For publishing the notice or publication attached hereto on the above stated dates.

**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 \_\_\_\_\_



## Corporations

Online Services | Corporations | Forms | Contact Corporations | Business Services

- Search
- By Business Name
- By Business Entity ID
- Verify
- Verify Certification
- Online Orders
- Register for Online Orders
- Order Subsistence Certificate
- Order Certified Documents
- Order Business List
- My Images
- Search for Images

### Business Entity Filing History

**Date:** 5/14/2015 (Select the link above to view the Business Entity's Filing History)

### Business Name History

Name	Name Type
Legend Energy Advisors LLC	Current Name

### Limited Liability Company - Foreign - Information

**Entity Number:** 4308297  
**Status:** Active  
**Entity Creation Date:** 10/14/2014  
**State of Business.:** WY  
**Registered Office Address:** % Incorp Services Inc  
 PA  
 Dauphin  
**Mailing Address:** No Address

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 Privacy Policy | Security Policy

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF CORPORATIONS AND CHARITABLE ORGANIZATIONS  
401 NORTH STREET, ROOM 206  
P.O. BOX 8722  
HARRISBURG, PA 17105-8722  
WWW.CORPORATIONS.STATE.PA.US/CORP

Legend Energy Advisors LLC

THE BUREAU OF CORPORATIONS AND CHARITABLE ORGANIZATIONS IS HAPPY TO SEND YOU YOUR FILED DOCUMENT. THE BUREAU IS HERE TO SERVE YOU AND WANTS TO THANK YOU FOR DOING BUSINESS IN PENNSYLVANIA.

IF YOU HAVE ANY QUESTIONS PERTAINING TO THE BUREAU, PLEASE VISIT OUR WEB SITE LOCATED AT WWW.CORPORATIONS.STATE.PA.US/CORP OR PLEASE CALL OUR MAIN INFORMATION TELEPHONE NUMBER (717)787-1057. FOR ADDITIONAL INFORMATION REGARDING BUSINESS AND / OR UCC FILINGS, PLEASE VISIT OUR ONLINE "SEARCHABLE DATABASE" LOCATED ON OUR WEB SITE.

ENTITY NUMBER: 4308297

Crosby, Daniel  
1 Penn Plaza, Suite 6184  
New York, NY 10119

Entity #: 4308297  
Date Filed: 10/14/2014  
Carol Aichele  
Secretary of the Commonwealth

**PENNSYLVANIA DEPARTMENT OF STATE  
CORPORATION BUREAU**

**Application for Registration - Foreign  
(15 Pa.C.S.)**

- Registered Limited Liability General Partnership (§ 8211)
- Registered Limited Liability Limited Partnership (§ 8211)
- Limited Partnership (§ 8582)
- Limited Liability Company (§ 8981)

Name <b>Daniel Crosby</b>		
Address <b>1 Penn Plaza, Suite 6184</b>		
City <b>New York City</b>	State <b>NY</b>	Zip Code <b>10119</b>

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

Commonwealth of Pennsylvania  
Application for Registration 3 Page(s)

Fee: \$250



In compliance with the requirements of the applicable provisions (relating to registration), the undersigned, desiring to register to do business in this Commonwealth, hereby states that:

1. The name of the limited liability company/limited liability partnership/limited partnership in the jurisdiction in which it is formed:  
**Legend Energy Advisors LLC**

2. The name under which the limited liability company/limited liability partnership/limited partnership proposes to register and do business in this Commonwealth is:  
**Legend Energy Advisors LLC**

3. The name of the jurisdiction under the laws of which it was organized and the date of its formation:  
Jurisdiction: **Wyoming** Date of Formation: **April 23, 2014**

4. The (a) address of its initial 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
(b) Name of Commercial Registered Office Provider <b>InCorp Services, Inc.</b>				County <b>Dauphin County</b>

Dept. of State  
SEP 24 2014

2014 NOV -5 PM 2: 14  
PA. DEPT. OF STATE

5. Check and complete one of the following:

The address of the office required to be maintained by it in the jurisdiction of its organization by the laws of that jurisdiction is:

1712 Pioneer Ave, Suite 312	Chéyenne	Wyoming	82001
Number and street	City	State	Zip

It is not required by the laws of its jurisdiction of organization to maintain an office therein and the address of its principal office is:

Number and street	City	State	Zip
-------------------	------	-------	-----

6. ~~For Restricted Professional Limited Liability Company Only. Strike out if inapplicable. The company is a restricted professional company organized to render the following professional service(s):~~

Limited Liability Partnership and Limited Partnership: Complete paragraphs 7 and 8

7. The name and business address of each general partner.

Name	Business Address

8. The address of the office at which is kept a list of the names and addresses of the limited partners and their capital contribution is:

Number and street	City	State	Zip	County
The registered partnership hereby undertakes to keep those records until its registration to do business in the Commonwealth is canceled or withdrawn.				

IN TESTIMONY WHEREOF, the undersigned has caused this Application for Registration to be signed by a duly authorized officer/member or manager thereof this

20 day of SEPT., 2014.

LEGEND ENERGY ADVISORS LLC  
Name of Partnership/Company

Daniel C. [Signature]  
Signature

MANAGING DIRECTOR  
Title

## ATTACHMENT A

### Technical Competence

Legend Energy Advisors was formed on April 23, 2014 as a Wyoming Limited Liability Company. We have been conducting business since then with commercial and industrial customer in New York and Texas. We have obtained licenses in the states of Ohio, New Jersey, and Massachusetts, and began doing business in those states once the licenses were granted.

Our company provides energy consulting to commercial and industrial end users of electricity and natural gas. We assist these customers in energy procurement, as well as demand management, sustainability and efficiency projects, and data management. We look forward to expanding our services so that customers in Pennsylvania can receive the same high level of advisory services. Our website outlines our full suite of services: [www.LegendEnergyAdvisors.com](http://www.LegendEnergyAdvisors.com).

The principle of the company, Daniel Crosby, has been in the retail energy business for almost 10 years and has managed the national and international energy portfolios of Fortune 500 companies. He has a degree in Mechanical Engineering and a background in commercial construction and upstream oil and gas before entering the retail energy space. His career has afforded a deep understanding of the energy business from drilling, generation and exploration to demand side energy usage at customer facilities. He has helped companies tap interstate pipelines, establish wholesale power, nominate and balance pipeline gas as well as develop complicated hedging strategies in various domestic and international energy markets.

Our Director of Account Management, Brendan Boyle, has 9 years of experience in the deregulated energy markets, including the State of Pennsylvania. He spent six years as the Pricing and Operations Manager for a Brokerage Firm that was (and remains) licensed (license # A-2009-2132890). He spent three years as a Sales Manager for a licensed electric and natural gas supplier (A-110025).

The company is affiliated with several energy providers, which cover the Pennsylvania electric and natural gas markets. We have several current customers with facilities across the country, and they are eager for Legend Energy Advisors to obtain the necessary licensing so that we can serve their locations in Pennsylvania.

Legend Energy Advisors will be offering Energy Brokerage services to new customers in the Pennsylvania market for both power and electricity purchasing.



Attachment A



Chris Christie  
Governor

Kim Guadagno  
Lt. Governor

**STATE OF NEW JERSEY**  
**Board of Public Utilities**  
44 South Clinton Avenue, 9<sup>th</sup> Floor  
Post Office Box 350  
Trenton, New Jersey 08625-0350  
[www.nj.gov/bpu/](http://www.nj.gov/bpu/)

Kristi Izzo  
Secretary to the Board  
(609) 292-1599

November 21, 2014

Daniel Crosby, Managing Director  
Legend Energy Advisors LLC  
1 Penn Plaza, Suite 6184  
New York, NY 10119

Re: **Energy Agent Initial Registration**  
Dkt. No. EE14060568L

Dear Mr. Crosby:

In accordance with the Electric Discount and Energy Competition Act of 1999, N.J.S.A. 48:3-49 et seq., at its November 21, 2014 Agenda meeting, the New Jersey Board of Public Utilities voted to issue a **REGISTRATION** as an Energy Agent to Legend Energy Advisors LLC. Your registration number is EA-0303.

The enclosed registration is effective November 21, 2014 and expires on November 20, 2015. This registration and the rights thereunder are **Non-Transferable**.

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

If you have any questions, please contact Anna Procopio at (609) 292-1681.

Sincerely,

A handwritten signature in black ink that reads "Kristi Izzo".

Kristi Izzo  
Secretary of the Board

KI/alp  
Encl.(s)

# State of New Jersey



## Board of Public Utilities

44 South Clinton Avenue, P.O. Box 350, Trenton, New Jersey 08625-0350

### HEREBY REGISTERS

#### Legend Energy Advisors LLC

1712 Pioneer Avenue  
Suite 321  
Cheyenne, Wyoming 82001

To conduct business in the State of New Jersey as an

#### Energy Agent

  
\_\_\_\_\_  
Kristi Izzo

Secretary to the Board

Registration No. EA-0303  
Effective Date: November 21, 2014  
Expiration Date: November 20, 2015



Attachment A

NEW JERSEY DEPARTMENT OF THE TREASURY  
DIVISION OF REVENUE AND ENTERPRISE SERVICES

**CERTIFICATE OF REGISTRATION**

**LEGEND ENERGY ADVISORS LLC**

0400656019

The above-named FOREIGN LIMITED LIABILITY COMPANY was duly filed in accordance with New Jersey state law on 05/01/2014 and was assigned identification number 0400656019. Following are the articles that constitute its original certificate.

**1. Name:**

LEGEND ENERGY ADVISORS LLC

**2. Registered Agent:**

INCorp SERVICES INC.

**3. Registered Office:**

208 WEST STATE ST  
TRENTON, NJ 08608 1002

**4. Business Purpose:**

ENERGY AGENT

**5. Incorporated Under the Laws of:**

WYOMING on 04/23/2014

**6. Effective Date of this Filing is:**

05/01/2014

**7. Date FLC intends to start business activity in NJ:**

05/15/2014

**8. Main Business Address:**

1712 PIONEER AVE STE.321  
CHEYENNE, WY 82001

**Signatures:**

DANIEL CROSBY

AUTHORIZED REPRESENTATIVE



*IN TESTIMONY WHEREOF, I have  
hereunto set my hand and affixed my  
Official Seal at Trenton, this  
1st day of May, 2014*

*Andrew P Sidamon-Eristoff  
State Treasurer*

Certification# 132098951

Verify this certificate at

[https://www1.state.nj.us/TYTR\\_StandingCert/JSP/Verify\\_Cert.jsp](https://www1.state.nj.us/TYTR_StandingCert/JSP/Verify_Cert.jsp)

Attachment A

FILE

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

Issued pursuant to Case Number(s):  
**14-1093-GA-AGG**

is  
Ohio Competitive Retail Natural Gas Aggregator/Broker Certificate Number:  
**14-370G(1)**

Granted to:  
**Legend Energy Advisors, LLC**

Whose office or principal place of business is located at:  
**1712 Pioneer Avenue, Suite 321, Cheyenne, WY 82001**

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

Certification Effective:  
**July 17, 2014 through July 17, 2016**

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: **July 16, 2014**

By Order of  
The Public Utilities Commission of Ohio

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

Form No. CRNGS/AGG/B-06

This is to certify that the images appearing are an accurate and complete reproduction of a case file document delivered in the regular course of business.  
Technician Ann Date Processed 7/16/14

FILE

Attachment A

**Ohio**

**Public Utilities  
Commission**

John Kasich, Governor  
Thomas W. Johnson, Chairman

Commissioners  
Steven D. Lesser  
Asim Z. Haque  
Lynn Slaby  
M. Beth Trombold

## PUBLIC UTILITIES COMMISSION OF OHIO

*Certified as a Competitive Retail Electric Service Provider*

Certificate Number:

**14-846E (1)**

Issued Pursuant to Case Number(s):

**14-1092-EL-AGG**

A certificate as a Competitive Retail Electric Service Provider is hereby granted to, **Legend Energy Advisors LLC** whose office or principal place of business is located at **1712 Pioneer Ave., Ste. 321, Cheyenne, WY 82001** to provide **aggregation and power broker** services within the State of Ohio effective **July 17, 2014**.

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

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

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

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

Dated: **July 21, 2014**

By Order of

PUBLIC UTILITIES COMMISSION OF OHIO



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

Certificate Expires: **July 17, 2016**

This is to certify that the images appearing are an accurate and complete reproduction of a case file document delivered in the regular course of business.  
Technician And Date Processed 7/21/14

# Attachment A

COMMISSIONERS

W. KEVIN HUGHES  
CHAIRMAN

HAROLD D. WILLIAMS  
LAWRENCE BRENNER  
ANNE E. HOSKINS

STATE OF MARYLAND



## PUBLIC SERVICE COMMISSION

**#20, 6/17/15 AM; ML# 168548**  
**License Reference No.: IR-3523**

June 17, 2015

Daniel James Crosby  
Managing Director  
Legend Energy Advisors, LLC  
25 Highland Park  
Dallas, TX 75205

Dear Mr. Crosby:

On May 18, 2015, Legend Energy Advisors, LLC ("Company") filed an Application for a License to Supply Electricity or Electric Generation Services in Maryland under COMAR 20.51. The Company proposes to provide electricity supplier services in Maryland for commercial and industrial customers as described in the application.

After considering this matter at the June 17, 2015 Administrative Meeting, the Commission granted the Company a license to supply electricity or electric generation services in Maryland (License Reference Number IR-3523). The license granted by the Commission under this Letter Order is limited solely to electricity supplier broker services for the customer classes and service territories applied for and recommended by Staff. Additionally, the Company is directed to provide marketing and training materials specific to its Maryland operations to the Commission Staff 30 days prior to commencing operations in Maryland.

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

By Direction of the Commission,

*/s/ David J. Collins*

David J. Collins  
Executive Secretary

DJC/st

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

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

410-767-8000

Toll Free: 1-800-492-0474

FAX: 410-333-6495

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

Website: [www.psc.state.md.us](http://www.psc.state.md.us)



ATTACHMENT B

February 2008 – May 2009

**NewFund Capital  
Acquisitions/Business Development**

Dallas, TX

- Evaluate Oil and Gas Investment Opportunities
- Research well production, growth probabilities, ownership rights, and operator contracts
- Perform financial due diligence on potential energy investments
- Evaluated Alternative oil and gas investments (disposal wells, service companies, etc)
- Oversee outside Engineering for development projects
- Create Budgets and Schedules for development projects
- Won and oversaw \$4M+ in competitive government development contracts

June 2001- 2008

**DSDC Developers  
General Partner**

Nashville, TN

- Created a residential and commercial contracting company while in college
- Took on investors after graduation and transitioned to development
- Performed market research and found potential development properties
- Performed financial analysis for potential projects
- Responsible for overall P/L of the Company
- Negotiated bidding, contracts and payments by sub-contractors and vendors
- Managed day to day operations as well as future direction of the company

**CERTIFICATIONS**

- LEED Accredited Professional

**ACTIVITIES/PERSONAL INTEREST**

- Carpentry and Furniture Design
- Mountaineering (Summits of McKinley/Rainier/Shasta)
- Backpacking/ Fly fishing
- Mentoring program for high school students in the Bronx

**REFERENCE**

Available upon Request