

Docket Number A-2021-3026759

Legend Energy Advisors, LLC

The following pages are the response to Data Request received on August 5th, concerning the Electric Generation Supplier license, section 5.c Customer/Regulatory/Prosecutory Actions. Additionally, the forms also include a signed verification statement.

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.

Cancellation of prior EGS License (Docket No. A-2015-2497630) for financial security EGS regulation non-compliance.

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

Legend Energy Advisors, LLC is in the process currently of re-instating our license with this Application.

I, DAN CROSBY 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).

DAN CROSBY  3/9/21