

**THE LEGACY ENERGY GROUP, LLC**

32 WATERLOO STREET  
WARRENTON, VIRGINIA 20186

MICHAEL L. R. HOUSLEY  
PRESIDENT

TELEPHONE (540) 351-0981  
TELECOPIER (540) 351-0984

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PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

September 1, 2010

Pennsylvania Public Utility Commission  
James J. McNulty, Secretary  
2 Keystone Building – Room N201  
Harrisburg PA 17120

Dear Secretary McNulty:

Please accept the enclosed Broker/Marketer Electric Application. It is my sincere wish that you will find the application fully in compliance with the Pennsylvania Public Utility Commission's requirements.

Please contact me on phone number 540-351-0981 if you have any questions or need any additional information.

Very Best Regards,

For THE LEGACY ENERGY GROUP, LLC

Mike Stumpo  
Director, Energy Management Services

/Attachment

- Original Broker/Marketer Electric Application and associated attachments, to include:
- Application Fee - check in the amount of \$350
- \$10,000 Security Bond
- (3) Copies of Broker/Marketer Electric Application
- Electronic version of Broker/Marketer Electric Application

# BEFORE THE PENNSYLVANIA PUBLIC UTILITY COMMISSION

Application of The Legacy Energy Group, LLC, d/b/a Legacy Energy, for approval to offer, render, furnish, or supply electricity or electric generation services as a(n) [as specified in item #8 below] to the public in the Commonwealth of Pennsylvania.

To the Pennsylvania Public Utility Commission:

1. **IDENTITY OF THE APPLICANT:** The name, address, telephone number, and FAX number of the Applicant are:
- The Legacy Energy Group, LLC
  - 32 Waterloo Street - 3rd Floor
  - Warrenton VA 20186
  - Phone: 540-351-0981
  - FAX: 540-351-0984

Please identify any predecessor(s) of the Applicant and provide other names under which the Applicant has operated within the preceding five (5) years, including name, address, and telephone number.

N/A

2. a. **CONTACT PERSON:** The name, title, address, telephone number, and FAX number of the person to whom questions about this Application should be addressed are:
- Mike Stumpo, Director, Energy Management Services
  - 32 Waterloo Street, Warrenton VA 20186
  - Phone: 540-351-0981 FAX: 540-351-0984
- b. **CONTACT PERSON-PENNSYLVANIA EMERGENCY MANAGEMENT AGENCY:** The name, title, address telephone number and FAX number of the person with whom contact should be made by PEMA:
- Michael Housley, President
  - 32 Waterloo Street, Warrenton VA 20186
  - Phone: 540-351-0981 FAX: 540-351-0984

- 3.a. **ATTORNEY:** If applicable, the name, address, telephone number, and FAX number of the Applicant's attorney are:

N/A

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- b. REGISTERED AGENT: If the Applicant does not maintain a principal office in the Commonwealth, the required name, address, telephone number and FAX number of the Applicant's Registered Agent in the Commonwealth are:

National Registered Agents, Inc. - County of Dauphin

4. FICTITIOUS NAME: (select and complete appropriate statement)

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

Attach to the Application a copy of the Applicant's filing with the Commonwealth's Department of State pursuant to 54 Pa. C.S. §311, Form PA-953.

or

- The Applicant will not be using a fictitious name.

5. BUSINESS ENTITY AND DEPARTMENT OF STATE FILINGS: (select and complete appropriate statement)

- 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.

- \* 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 (none)  
 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 \_\_\_\_\_

Provide proof of compliance with appropriate Department of State filing requirements as indicated above. Additionally, provide a copy of the Applicant's Articles of Incorporation.

See Exhibit A - PA Proof of Compliance, and Exhibit B - Articles of Incorporation

Give name and address of officers.

See Exhibit C - List of Partners

The Applicant is incorporated in the state of Kentucky.

6. **AFFILIATES AND PREDECESSORS WITHIN PENNSYLVANIA:** (select and complete appropriate statement)

Affiliate(s) of the Applicant doing business in Pennsylvania are:

Affiliated Power Purchasers International, LLC

Give name and address of the affiliate(s) and state whether the affiliate(s) are jurisdictional public utilities.

Affiliated Power Purchasers International, LLC  
224 Philip Morris Drive  
Suite 402  
Salisbury MD 21804

- If the Applicant or an affiliate has a predecessor who has done business within Pennsylvania, give name and address of the predecessor(s) and state whether the predecessor(s) were jurisdictional public utilities.

**or**

- The Applicant has no affiliates doing business in Pennsylvania or predecessors which have done business in Pennsylvania.

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

- The Applicant is presently doing business in Pennsylvania as a
- vertically-integrated provider of generation, transmission, and distribution services.
  - municipal electric corporation providing service outside its municipal limits.
  - electric cooperative
  - local gas distribution company
  - nonintegrated provider of electric generation, transmission or distribution services.
  - Other. (Identify the nature of service being rendered.)

Energy management consulting.

**or**

- The Applicant is not presently doing business in Pennsylvania.

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

- Generator and supplier of electric power.
- Municipal generator and supplier of electric power.
- Electric Cooperative and supplier of electric power
- Broker/Marketer engaged in the business of supplying electricity.
- Aggregator engaged in the business of supplying electricity
- Other (Describe):

9. **PROPOSED SERVICES:** Generally describe the electric services or the electric generation services which the Applicant proposes to offer.

Electric procurement consulting, electric broker services, electric conservation consulting, green energy consulting and procurement, energy efficiency.

10. **SERVICE AREA:** Generally describe the geographic area in which Applicant proposes to offer services.

All geographic areas of Pennsylvania.

11. **CUSTOMERS:** Applicant proposes to initially provide services to:

- Residential Customers
- Commercial Customers - (25 kW and Under)
- Commercial Customers - (Over 25 kW)
- Industrial Customers
- Governmental Customers
- All of above
- Other (Describe):

12. **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

13. **START DATE:** The Applicant proposes to begin delivering services on see below (approximate date).

Applicant is currently providing energy management and broker services in Pennsylvania.

14. **NOTICE:** Pursuant to Section 5.14 of the Commission's Regulations, 52 Pa. Code §5.14, serve a copy of the signed and verified Application with attachments on the following:

Irwin A. Popowsky  
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

William R. Lloyd, Jr.  
Commerce Building, Suite 1102  
Small Business Advocate  
300 North Second Street  
Harrisburg, PA 17101

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

Any of the following Electric Distribution Companies through whose transmission and distribution facilities the applicant intends to supply customers:

Frank M. Nadolny, General  
Manager of Regulatory Affairs Unit  
**Duquesne Light Company**  
411 Seventh Street  
P.O. Box 1930  
Pittsburgh, PA 15230-1930

John P. Litz, Division Controller  
**UGI Utilities, Inc.**  
**Electric Division**  
400 Stewart Road  
P.O. Box 3200  
Hanover Industrial Estates  
Wilkes-Barre, PA 18773-3200

(Metropolitan Edison Company or Pennsylvania Electric Company)

Blaine W. Uplinger, Jr., Director of Governmental and  
Regulatory Affairs

**FirstEnergy**  
100 APC Building  
800 North third Street  
Harrisburg, PA 17102-2025

Paul E. Russell, Associate  
General Counsel  
**PPL**  
Two North Ninth Street  
Allentown, PA 18108-1179

Carlo L. Ciabattoni, Manage Energy Acquisition

**PECO Energy Company**  
2301 Market Street  
Philadelphia, PA 19101-8699  
215.841.4210  
[carlo.ciabattoni@exeloncorp.com](mailto:carlo.ciabattoni@exeloncorp.com)

Stephen L. Feld, Attorney  
**Pennsylvania Power Company**  
**First Energy Corporation**  
76 South Main Street  
Akron, OH 44308

John L. Munsch, Attorney  
**Allegheny Power**  
800 Cabin Hill Drive  
Greensburg, PA 15601-1689

Pursuant to Sections 1.57 and 1.58 of the Commission's Regulations, 52 Pa. Code §§1.57 and 1.58, attach Proof of Service of the Application and attachments upon the above named parties. 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.

See Exhibit D - Proof of Service of Application

15. **TAXATION:** Complete the TAX CERTIFICATION STATEMENT attached as Appendix B to this application.

See Appendix B - Tax Certification Statement

16. **COMPLIANCE:** State specifically whether the Applicant, an affiliate, a predecessor of either, or a person identified in this Application has been convicted of a crime involving fraud or similar activity. Identify all proceedings, by name, subject and citation, dealing with business operations, in the last five (5) years, whether before an administrative body or in a judicial forum, in which the Applicant, an affiliate, a predecessor of either, or a person identified herein has been a defendant or a respondent. Provide a statement as to the resolution or present status of any such proceedings.

The applicant has not been convicted of a crime involving fraud or similar activity. The applicant has not been a defendant or a respondent in any proceeding in the last five (5) years.

17. **STANDARDS, BILLING PRACTICES, TERMS AND CONDITIONS OF PROVIDING SERVICE AND CONSUMER EDUCATION:** 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.

a. **Contacts for Consumer Service and Complaints:** Provide the name, title, address, telephone number and FAX number of the person and an alternate person responsible for addressing customer complaints. These persons will ordinarily be the initial point(s) of contact for resolving complaints filed with Applicant, the Electric Distribution Company, the Pennsylvania Public Utility Commission or other agencies.

Michael Housley, President, 32 Waterloo Street, Warrenton VA 20186, Ph: 540-351-0981 FAX: 540-351-0984

Mike Stumpo, Dir., En. Mgmt. Svcs., 32 Waterloo Street, Warrenton VA 20186, Ph: 540-351-0981 FAX: 540-351-0984

b. Provide a copy of all standard forms or contracts that you use, or propose to use, for service provided to residential customers.

Applicant will not be serving residential customers.

c. If proposing to serve Residential and/or Small Commercial (under 25 kW) customers, provide a disclosure statement. A sample disclosure statement is provided as Appendix C to this Application.

Applicant is not an electric generation supplier.

18. **BONDING:** In accordance with 66 PA. C.S. Section 2809(C) (1)(I), the Applicant is:

Furnishing a copy of initial bond, letter of credit or proof of bonding to the Commission in the amount of \$250,000.

Furnishing proof of other initial security for Commission approval, to ensure financial responsibility.

Filing for a modification to the \$250,000 and furnishing a copy of an initial bond, letter of credit or proof of bonding to the Commission for the amount of \$ 10,000.00. Applicant is required to provide information supporting an amount less than \$250,000.

At the conclusion of Applicant's first year of operation it is the intention of the Commission to tie security bonds to a percentage of Applicant's gross receipts resulting from the sale of generated electricity consumed in Pennsylvania. The amount of the security bond will be reviewed and adjusted on an annual basis.

The applicant requests that the Bond be reduced to \$10,000 because we are not an electric generation supplier. We are applying to provide Broker and Marketer services only.

See Exhibit H - Security Bond

19. **FINANCIAL FITNESS:**

A. Applicant shall 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:

Please see Exhibit E - Income Statement and Balance Sheet

- Actual (or proposed) organizational structure including parent, affiliated or subsidiary companies.

- Published parent company financial and credit information.

- Applicant's balance sheet and income statement for the most recent fiscal year. Published financial information such as 10K's and 10Q's may be provided, if available.

- 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 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
- Such other information that demonstrates Applicant's financial fitness.

B. Applicant must provide the following information:

- Identify Applicant's chief officers including names and their professional resumes.  
Please see Exhibit F - Chief Officer Professional Resumes
- Provide the name, title, address, telephone number and FAX number of Applicant's custodian for its accounting records.  
Michael Housley, President, 32 Waterloo Street, Warrenton VA 20186

Phone: 540-351-0981 FAX: 540-351-0984

20. **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. Examples of such information which may be submitted include the following:

- The identity of the Applicant's officers directly responsible for operations, including names and their professional resumes.

A. Applicant is applying for license to provide Broker and Marketer services only. Please see Exhibit F - Chief Officers Professional Resumes

- Proposed staffing and employee training commitments  
Please see 20. A. above.
- Business plans  
Please see 20. A. above.
- Documentation of membership in ECAR, MAAC or other regional reliability councils shall be submitted if applicable to the scope and nature of the applicant's proposed services.  
Please see 20. A. above.
- An 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.  
Please see 20. A. above.

21. **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.  
Applicant acknowledges Transfer Of License requirements.

22. **ASSESSMENT:** The Applicant acknowledges that Title 66, Chapter 5, Section 510 grants to the Commission the right to make assessments to recover regulatory expenses and that as a supplier of electricity or an electric generation supplier it will be assessed under that section of the Pennsylvania Code. The Applicant also acknowledges that the continuation of its license as a supplier of electricity or an electric generation supplier will be dependent upon the payment of all prior years assessments.  
Applicant acknowledges that it will be liable for assessments imposed by the Commission at such time as the Commission may invoke said requirements upon Brokers/Marketers.

23. **UNIFORM 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. Applicant agrees to conform to Commission-mandated Uniform Standards of Conduct.

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

- a. 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. Applicant acknowledges that it will report its gross receipts on a quarterly basis.
- b. 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.

Applicant acknowledges that it will transmit an annual report of its gross receipts to the Treasurer.

- c. Applicant shall report to the Commission the following information on an annual basis:

- the percentages of total electricity supplied by each fuel source

Applicant acknowledges that it will report its % of total electricity supplied by fuel source annually.

**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.**

Applicant acknowledges that it is required to meet periodic reporting requirements as may be issued by the Commission.

- 25. **FURTHER DEVELOPMENTS:** Applicant is under a continuing obligation to amend its application if substantial changes occur in the information upon which the Commission relied in approving the original filing.

Applicant acknowledges that it is under a continuing obligation to amend its application if substantial changes occur in the information provided to the Commission.

- 26. **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.

Applicant acknowledges that making false statement(s) herein may be ground for denying its Application or, if later discovered, for revoking any authority granted pursuant to the Application.

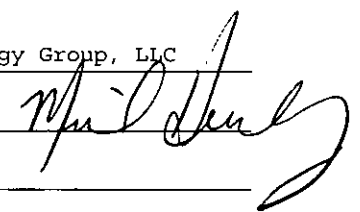
- 27. **FEE:** The Applicant has enclosed the required initial licensing fee of \$350.00 payable to the Commonwealth of Pennsylvania.

Please see Exhibit G - Initial Licensing Fee

Applicant: The Legacy Energy Group, LLC

By: Michael Housley

Title: President



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SECRETARY'S BUREAU

[Commonwealth/State] of Virginia :

SS.

County of Fauquier :

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

[He/she is the President (Office of Affiant) of The Legacy Energy Group, LLC (Name of Applicant);]

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

The Legacy Energy

That Group, LLC, 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.

The Legacy Energy

That Group, LLC, 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.

The Legacy Energy

That Group, LLC, 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.

The Legacy Energy

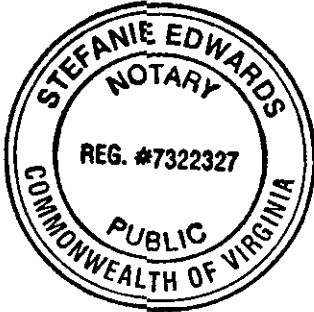
That Group, LLC, the Applicant herein, acknowledges that it has a statutory obligation to conform with 66 Pa. C.S. §506, §2807 (C), §2807(D)(2), §2809(B) and the standards and billing practices of 52 PA. Code Chapter 56.

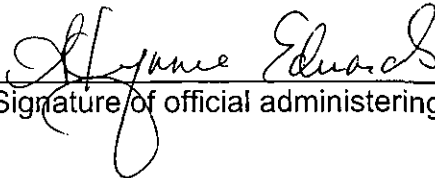
That the Applicant agrees to provide all consumer education materials and information in a timely manner as requested by the Bureau of Public Liaison or other Commission bureaus. Materials and information requested may be analyzed by the Commission to meet obligations under applicable sections of the 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 30 day of August, 2010.



  
\_\_\_\_\_  
Signature of official administering oath

My commission expires 12/31/2014.

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SECRETARY'S BUREAU

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[Commonwealth/State] of Virginia :

PA PUBLIC UTILITY COMMISSION  
ss. SECRETARY'S BUREAU

County of Fauquier :

Michael Housley, Affiant, being duly [sworn/affirmed] according to law, deposes and says that:  
The Legacy Energy

[He/she is the President (Office of Affiant) of Group, LLC (Name of Applicant);]

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

The Legacy Energy

That Group, LLC, the Applicant herein certifies that it has caused the notice of the filing of its electric generation license application to be published in the following newspapers on

(to be determined) :

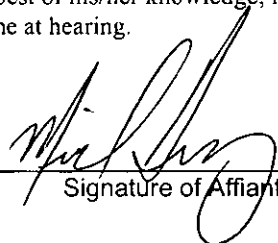
(date)

A copy of the notice as it appeared in each of the above newspapers is attached. Noted on each copy is the newspaper section (name, number or letter), if applicable, and the page number on which the notice appeared.

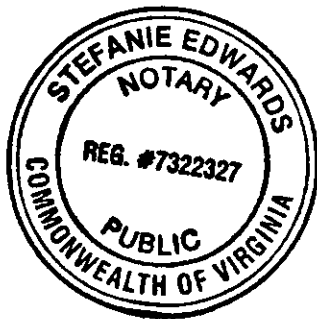
The Legacy Energy

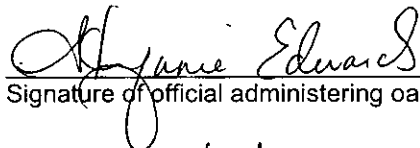
That Group, LLC, the Applicant will submit to the Commission the proof of publication from each newspaper in which notice of the application filing was published as soon as it is available.

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 30 day of August, 2010.



  
\_\_\_\_\_  
Signature of official administering oath

My commission expires 12/31/2014.

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PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

[Commonwealth/State] of Virginia :

ss.

County of Fauquier :

Michael Housley, Affiant, being duly [sworn/affirmed] according to law, deposes and says that:  
The Legacy Energy

[He/she is the President (Office of Affiant) of Group, LLC (Name of Applicant);]

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

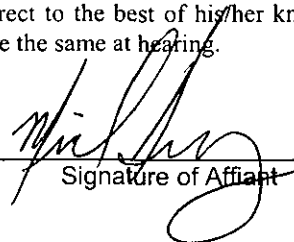
That the Applicant herein Group, LLC has the burden of producing information and supporting documentation demonstrating its technical and financial fitness to be licensed as an electric generation supplier pursuant to 66 Pa. C.S. § 2809 (B).

The Legacy Energy  
That the Applicant herein Group, LLC has answered the questions on the application correctly, truthfully, and completely and provided supporting documentation as required.  
The Legacy Energy

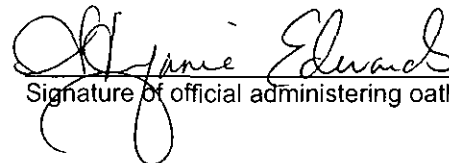
The Legacy Energy  
That the Applicant herein Group, LLC acknowledges that it is under a duty to update information provided in answer to questions on this application and contained in supporting documents.

The Legacy Energy  
That the Applicant herein Group, LLC 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.

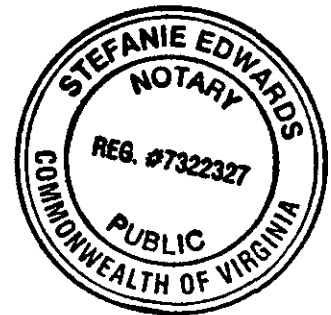
That the facts above set forth are true and correct to the best of his/her knowledge, information, and belief, and that he/she expects said Applicant to be able to prove the same at hearing.

  
\_\_\_\_\_  
Signature of Affiant

Sworn and subscribed before me this 30<sup>th</sup> day of August, 2010.

  
\_\_\_\_\_  
Signature of official administering oath

My commission expires 12/31/2014.



**APPENDIX A**

**License Item Number 18, Page 7**

Page 1 of 2

**Electric Generation Supplier License Bonds**

Bonds submitted in order to satisfy the licensing process must comply with the following:

The bond in the amount of \$250,000 should name the Pennsylvania Public Utility Commission as the obligee or beneficiary, and should contain the following language:

This bond is written in accordance with Section 2809(c)(1)(i) of the Public Utility Code, 66 Pa. C.S. § 2809(c)(1)(i), to assure compliance with applicable provisions of the Public Utility Code, 66 Pa. C.S. §§101, et seq., and the rules and regulations of the Pennsylvania Public Utility Commission by the Principle as a licensed electric generation supplier; to ensure the payment of Gross Receipts Tax as required by Section 2810 of the Public Utility Code, 66 Pa. C.S. § 2810; and to ensure the supply of electricity at retail in accordance with contracts, agreements or arrangements. Payment of claims shall have the following priority: (i) The Commonwealth; (ii) Electric Distribution Companies for the reimbursement of Gross Receipts Tax; and (iii) Private individuals. Proceeds of the bond may not be used to pay any penalties or fines levied against the Principal for violations of the law, or for payment of any other tax obligations owed to the Commonwealth.

The original and two copies of the bond must be submitted to the Office of the Secretary, Pa. Public Utility Commission, P.O. Box 3265, Harrisburg, PA 17105-3265. An approved copy of the bond will be returned with a letter acknowledging receipt of the bond. The entry date of the Commission's Order will be the effective date for the license.

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SECRETARY'S BUREAU

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APPENDIX A

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(Sample Bond, License Item Number 18, Page 8)

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

XYZ INSURANCE COMPANY  
License Bond

Bond Number: \_\_\_\_\_

KNOW ALL MEN BY THESE PRESENTS that APPLICANT NAME as Principal, and XYZ Insurance Company of CITY, STATE, as Surety, are firmly bound unto Pennsylvania Public Utility Commission, as obligee, in the penal sum of two hundred fifty thousand dollars (\$250,000), lawful money of the United States of America for the payment of which, well and truly to be made, we bind ourselves, our heirs, executors and administrators, successors and assigns, jointly, severally, and firmly by these presents.

SIGNED, SEALED AND DATED THIS day of Month, Year

THE CONDITION OF THIS OBLIGATION IS SUCH, that Whereas the Principal has made application for a license to the Obligee to offer, render, furnish or supply electricity or electric generation services to the public.

NOW THEREFORE, the condition of this obligation is such that the Principal must act in accordance with Section 2809(c)(1)(i) of the Public Utility Code, 66 Pa. C.S. 2809(c)(1)(i), to assure compliance with applicable provisions of the Public Utility Code, 66 Pa. C.S. 101, et seq. and the rules and regulation of the Pennsylvania Public Utility Commission by the Principal as a licensed electric generation supplier; to ensure the payment of Gross Receipts Tax as required by Section 2810 of the Public Utility Code, 66 Pa. C.S. 2810; and to ensure the supply of electricity at retail in accordance with contracts, agreements or arrangement. Payment of claims shall have the following priority: (I) The Commonwealth of Pennsylvania; (II) Electric Distribution Companies for the reimbursement of Gross Receipts Tax; and (III) Private Individuals. Proceeds of the bond may not be used to pay any penalties or fines levied against the Principal for violations of the law, or for the payment of any other tax obligations owed to the Commonwealth of Pennsylvania.

NOW THEREFORE, if the Principal shall, during the period commencing on the aforesaid date, faithfully observe and honestly comply with such rules, regulations and statutes that are applicable to an electric generation supplier licensed in Pennsylvania and fulfills its obligation to pay the Gross Receipts Tax to the Commonwealth, and to deliver electricity at retail in accordance with contracts, agreements and arrangements, require the execution of this bond, then this obligation shall become void and of no effect.

PROVIDED, the Surety may terminate its future liability under this Bond sixty (60) days after furnishing written notice of such intention to terminate. This termination shall not affect the liability of the Surety and the Principal for any liability incurred by the Principal prior to the effective date of such termination. Any claim under this bond must be instituted within three (3) months of the effective date of termination.

THIS BOND WILL EXPIRE Month Day, Year, but may be continued by continuation certificate signed by Principal and XYZ. XYZ may at any time terminate its liability by giving sixty (60) days written notice of the Obligee, and XYZ shall not be liable for any default after such sixty-day notice period, except for defaults occurring prior thereto.

Signed, sealed and dated Month Day, Year.

\_\_\_\_\_  
Principal

\_\_\_\_\_  
Surety

COUNTERSIGNED BY

\_\_\_\_\_  
Registered Agent

By \_\_\_\_\_  
Attorney-in-Fact



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APPENDIX B

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

COMMONWEALTH OF  
PENNSYLVANIA  
PUBLIC UTILITY COMMISSION

TAX CERTIFICATION  
STATEMENT

A completed Tax Certification Statement must accompany all applications for new licenses, renewals or transfers. Failure to provide the requested information and/or any outstanding state income, corporation, and sales (including failure to file or register) will cause your application to be rejected. If additional space is needed, please use white 8 1/2" x 11" paper. Type or print all information requested.

1. CORPORATE OR APPLICANT NAME The Legacy Energy Group, LLC	2. BUSINESS PHONE NO. ( 540 ) 351-0981 CONTACT PERSON(S) FOR TAX ACCOUNTS: Michael Housley
--	---

3. TRADE/FICTITIOUS NAME (IF ANY)

4. LICENSED ADDRESS (STREET, RURAL ROUTE, P.O. BOX NO.) (POST OFFICE) STATE (ZIP)  
32 Waterloo Street, 3rd Floor, Warrenton VA 20186

5. TYPE OF ENTITY  SOLE PROPRIETOR  PARTNERSHIP  CORPORATION

8. LIST OWNER(S), GENERAL PARTNERS, OR CORPORATE OFFICER(S)

NAME (PRINT) Michael Housley	SOCIAL SECURITY NUMBER (OPTIONAL)  _ _ _ _  -  _ _ _ _  -  _ _ _ _ _
---------------------------------	---

NAME (PRINT) Delbert Roberts	SOCIAL SECURITY NUMBER (OPTIONAL)  _ _ _ _  -  _ _ _ _  -  _ _ _ _ _
---------------------------------	---

NAME (PRINT) Thomas Ihrig	SOCIAL SECURITY NUMBER (OPTIONAL)  _ _ _ _  -  _ _ _ _  -  _ _ _ _ _
------------------------------	---

NAME (PRINT)	SOCIAL SECURITY NUMBER (OPTIONAL)  _ _ _ _  -  _ _ _ _  -  _ _ _ _ _
--------------	---

NAME (PRINT)	SOCIAL SECURITY NUMBER (OPTIONAL)  _ _ _ _  -  _ _ _ _  -  _ _ _ _ _
--------------	---

9. LIST THE FOLLOWING STATE TAX IDENTIFICATION NUMBERS. (ALL ITEMS: A, B, AND C MUST BE COMPLETED).

<b>A. SALES TAX LICENSE (8 DIGITS)</b>	APPLICATION PENDING <input type="checkbox"/> N/A <input checked="" type="checkbox"/>	<b>C. CORPORATE BOX NUMBER (7 DIGITS)</b>	APPLICATION PENDING <input type="checkbox"/> N/A <input type="checkbox"/>
_ _  -  _ _ _ _ _  -  _ _		2   7   7   4     2   2   6	

<b>B. EMPLOYER ID (EIN) (9 DIGITS)</b>	APPLICATION PENDING <input type="checkbox"/> N/A <input type="checkbox"/>
5   4   -   1   9   4   7   8   0   8	

10. Do you have PA employees either resident or non-resident?  YES  NO

11. Do you own any assets or have an office in PA?  YES  NO

NAME AND PHONE NUMBER OF PERSON(S) RESPONSIBLE FOR FILING TAX RETURNS

Victoria D. Buster PA SALES AND USE TAX 502-882-4465 PHONE	Victoria D. Buster EMPLOYER TAXES 502-882-4465 PHONE	Victoria D. Buster CORPORATE TAXES 502-882-4465 PHONE
---	---	--

Telephone inquiries about this form may be directed to the Pennsylvania Department of Revenue at the following numbers: (717) 772-2673, TDD# (717) 772-2252 (Hearing Impaired Only)

## Appendix C

### Sample Disclosure Statement Format for Electric Generation Suppliers

This is an agreement for electric generation service, between EGS name and customer's name and full address

#### Background

- We at EGS's name are licensed by the Pennsylvania Public Utility Commission to offer and supply electric generation services in Pennsylvania. Our PUC license number is A-110XXX.
- We set the generation prices and charges that you pay. The Public Utility Commission regulates distribution prices and services. The Federal Energy Regulatory Commission regulates transmission prices and services.
- If you ask us, we can bill you directly for our service.
- Right of Recision - You may cancel this agreement at any time before midnight of the third business day after receiving this disclosure.

#### Definitions

- Generation Charge - Charge for production of electricity.
- Transmission Charge - Charge for moving high voltage electricity from a generation facility to the distribution lines of an electric distribution company.
- Nonbasic Charges - *Define each nonbasic service being offered.*

#### Terms of Service

1. (a) **Basic Service Prices** - *Itemize Basic Services you are billing for and their prices.*

You will pay EGS rate per kWh for electric generation service.

*Suppliers are to include any variable pricing conditions and limits, if charging a variable rate.*

You will pay EGS rate per kWh for electric transmission service.

*Suppliers are to include transmission service prices if billed.*

- (b) **Nonbasic Service Prices** - *Itemize Nonbasic Services you are offering and their prices.*

2. **Length of Agreement**

You will buy your electricity generation service for the above street address from EGS's name beginning date through date of expiration, if any.

3. **Special Terms and Conditions** - *List and explain all that apply.*

Sign-up bonuses  
Add-ons  
Limited time offers  
Other Sales Promotions  
Exclusions

4. **Special Services** - *Provide explanation of price, terms and conditions, including advanced metering deployment, if applicable.*

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5. **Penalties, Fees and Exceptions** - List any that apply including a late payment charge. The print size for this section must be larger than the print in the rest of the agreement.

6. **Cancellation Provisions** - This category may consist of both customer initiated cancellation provisions and supplier initiated cancellation provisions.

7. **Renewal Provision** - If this is a fixed term agreement with automatic renewal, explain the procedure here.

8. **Agreement Expiration/Change in Terms**

If you have a fixed term agreement with us and it is approaching the expiration date or if we propose to change our terms of service, we will send you written notice in each of our last three bills or in separate mailings before either the expiration date or the effective date of the changes. We will explain your options in these three advance notices.

9. **Dispute Procedures**

Contact us with any questions concerning our terms of service. You may call the PUC if you are not satisfied after discussing your terms with us.

10. **Contact Information**

Generation Supplier Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Phone Number: \_\_\_\_\_

Internet Address: \_\_\_\_\_

Electric Distribution Company Name: \_\_\_\_\_

Provider of Last Resort Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Phone Number: \_\_\_\_\_

Public Utility Commission (PUC)

Address: P.O. Box 3265 Harrisburg, PA 17105-3265

Electric Competition Hotline Number: 1-888-782-3228

Universal Service Program Name: \_\_\_\_\_

Phone Number: \_\_\_\_\_

APPENDIX D  
EXAMPLE FORM OF NOTICE

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PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

PENNSYLVANIA  
PUBLIC UTILITY COMMISSION  
NOTICE

*Application of The Legacy Energy Group, LLC (d/b/a "Legacy Energy") For Approval To Offer, Render, Furnish Or Supply Electricity Or Electric Generation Services As A Marketer/Broker Engaged In The Business Of Supplying electricity To The Public In The Commonwealth Of Pennsylvania, Docket No. A-11XXXX.*

On September 1, 2010, Legacy Energy filed an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electric generation services as a broker/marketer engaged in the business of supplying electricity. Legacy Energy proposes to sell electricity and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation Customer Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Legacy Energy 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 the applicant at the address listed below. Please include the PUC's "docket number" on any correspondence, which is A-11XXXX.

**The Legacy Energy Group, LLC**

32 Waterloo Street

3<sup>rd</sup> Floor

Warrenton VA 20186

Phone: 540-351-0981

FAX: 540-351-0984

## APPENDIX E

### Electronic Data Interchange & Internet Requirements

Prior to doing business in an EDC service territory it is required that an EGS successfully test the appropriate EDI transactions. To initiate the testing process, an EGS must contact the PA EDC contact person designated on the EDI Testing Contacts zip file, which is located on the Pa. PUC website ([http://puc.paonline.com/electric/EDI/cdewg\\_download.asp](http://puc.paonline.com/electric/EDI/cdewg_download.asp).) Using the approved internet protocols, the EDI testing contacts list contact list is also provided for any EDC that may want to initiate contact with an EGS. To have your contact information added or updated, please send an email to [kawall@greenmountain.com](mailto:kawall@greenmountain.com).

#### Electric Distribution Companies (EDC):

Company Name	Contact Name	Telephone	Email	Pref.
Allegheny Power	Jim Mazanek	(724) 838-6014	<a href="mailto:jmazanek@alleghenypower.com">jmazanek@alleghenypower.com</a>	Email
Duquesne Light Co.	Dervel Reed	(412) 393-6301	<a href="mailto:D.A.Reed@dlc.dqe.com">D. A. Reed@dlc.dqe.com</a>	None
GPU Energy	Pete Byrne	(610) 375-5942	<a href="mailto:Pbyrne@gpu.com">Pbyrne@gpu.com</a>	None
PECO Energy	Hotline	(215) 841-5799	<a href="mailto:Choice.EDI@peco-energy.com">Choice.EDI@peco-energy.com</a>	None
Penn Power Co.	Stephanie Gibson	(724) 656-4311	<a href="mailto:Gibsons@firstenergycorp.com">Gibsons@firstenergycorp.com</a>	None
PP&L Inc.	Kim Wall	(610) 774-4850	<a href="mailto:Kawall@papl.com">Kawall@papl.com</a>	Email
UGI Utilities Inc.	Eric Sorber	(570) 830-1286	<a href="mailto:Esorber@ugi.com">Esorber@ugi.com</a>	Email
All Pennsylvania Rural Electric Cooperatives	Bob Truetken	(314) 922-9158 x1543	<a href="mailto:Bobtr@cadp.org">Bobtr@cadp.org</a>	Phone

#### Electric Generation Suppliers (EGS):

Company Name	Contact Name	Telephone	Email	Pref.
American Cooperative Services	Linda Johnson	(717) 901-4406	<a href="mailto:Linda.Johnson@prea.com">Linda.Johnson@prea.com</a>	Phone
American Energy	David Butsack	(610) 372-8500	<a href="mailto:Dave.kel@cwix.com">Dave.kel@cwix.com</a>	Email
Bruin Energy d/b/a The Mack Services Group	David McCorry	(610) 644-0562	<a href="mailto:macksergrp@msn.com">macksergrp@msn.com</a>	None
Columbia Energy Services	Tracy Myer	(703) 561-6385	<a href="mailto:Tmyer@columbiaenergygroup.com">Tmyer@columbiaenergygroup.com</a>	Email
CMS Marketing, Svcs & Trading	Aaron Martin	(517) 768-2063	<a href="mailto:Amartin@cmsenergy.com">Amartin@cmsenergy.com</a>	None
Con Edison Solutions	Bill Hunsicker	(610) 926-7155	<a href="mailto:Bhunsick@sctcorp.com">Bhunsick@sctcorp.com</a>	Email
Conectiv	Russell Coultriss	(800) 397-2001	<a href="mailto:Russell@accessedi.com">Russell@accessedi.com</a>	Email
Constellation Energy Source	Sam Schmidt	(410) 468-3528	<a href="mailto:EDI@cesource.com">EDI@cesource.com</a>	Email
DTE-CoEnergy	David Tyl	(313) 235-9055	<a href="mailto:Tyl@dteenergy.com">Tyl@dteenergy.com</a>	Email
DTE Edison America	Merle Glasgow	(615) 371-5199	<a href="mailto:Merle.Glasgow@stercomm.com">Merle.Glasgow@stercomm.com</a>	None
Edison Source	Jon Silva	(562) 463-3000	<a href="mailto:jsilva@edisonenterprises.com">jsilva@edisonenterprises.com</a>	None
Enron Energy Services	Allyson Hafner	(614) 761-7160	<a href="mailto:Ahafner@ees.enron.com">Ahafner@ees.enron.com</a>	None
Exelon Energy	Joyce Walsh	(610) 645-1423	<a href="mailto:jwalsh@peco-energy.com">jwalsh@peco-energy.com</a>	Email
First Energy Services	Winston Stein	(281) 342-2646	<a href="mailto:Bswa@attmail.com">Bswa@attmail.com</a>	Phone
GPU Advanced Resources	Gary Gokhman	(610) 856-5831	<a href="mailto:Ggokhman@gpu.com">Ggokhman@gpu.com</a>	Email
Green Mountain Energy	Jamie Barras	(802) 846-6120	<a href="mailto:Barras@greenmountain.com">Barras@greenmountain.com</a>	Email
New Energy Ventures	Dan Griffiths	(215) 563-9290 x226	<a href="mailto:dgriffiths@newenergy.com">dgriffiths@newenergy.com</a>	None
NorAm Energy Management	Nick Waters	(713) 207-1376	<a href="mailto:Nwaters@noram.com">Nwaters@noram.com</a>	Email
PacifiCorp Power Marketing	Jeff Ponsness	(503) 813-5143	<a href="mailto:Jeff.Ponsness@pacificorp.com">Jeff.Ponsness@pacificorp.com</a>	Email
Penn Power Energy	Winston Stein	(281) 342-2646	<a href="mailto:Bswa@attmail.com">Bswa@attmail.com</a>	Phone
PG Energy PowerPlus	Jeff Besecker	(570) 829-8698	<a href="mailto:Besecker@pg-energy.com">Besecker@pg-energy.com</a>	Email
PP&L EnergyPlus	Kim Wall	(610) 774-4850	<a href="mailto:Kawall@papl.com">Kawall@papl.com</a>	Email
PSEG Energy Technologies	Douglas Nicholls	(732) 744-2155	<a href="mailto:Douglas.Nicholls@pseg.com">Douglas.Nicholls@pseg.com</a>	Phone
Statoil Energy Inc	Keith Mills	(703) 317-2643	<a href="mailto:Kmills@statoilenergy.com">Kmills@statoilenergy.com</a>	Email
Strategic Energy Limited	Jim Thomas	(412) 394-5650	<a href="mailto:jthomas@sel.com">jthomas@sel.com</a>	Email
UGI Energy Services, Inc.	Sal Franco	(610) 373-7999 x118	<a href="mailto:Electricenrollment@gasmark.com">Electricenrollment@gasmark.com</a>	None

Pennsylvania's Electronic Data Exchange Working Group (EDEWG) EDI transactions and related business practices can be found on the Pa. PUC website ([http://puc.paonline.com/electric/EDI/cdewg\\_download.asp](http://puc.paonline.com/electric/EDI/cdewg_download.asp)). In addition, in order

to keep up with changes in the standards, it is advised that each company have one representative on the edtwg email listserv. To subscribe to the edtwg listserv, send an email with your full name, company name, mailing address, telephone number, fax number and email address to [subscribe-edtwg@ls.eei.org](mailto:subscribe-edtwg@ls.eei.org) with a copy to Annunciata Marino ([marino@puc.state.pa.us](mailto:marino@puc.state.pa.us)).

**Exhibit A**  
**Pennsylvania Proof of Compliance**

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PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

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

The Legacy Energy Group, LLC

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

IF YOU HAVE ANY QUESTIONS PERTAINING TO THE CORPORATION 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: 3892032

Stumpo, Mike  
32 Waterloo Street  
Warrenton, VA 20186



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>Mike Stumpo</b>		
Address <b>32 Waterloo Street</b>		
City <b>Warrenton</b>	State <b>VA</b>	Zip Code <b>20186</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 to be registered is:  
The Legacy Energy Group, LLC

2. (If the name set forth in paragraph 1 is not available for use in this Commonwealth, complete the following):  
The name under which the limited liability company/limited liability partnership/limited partnership proposes to register and do business in this Commonwealth is:  
\_\_\_\_\_

3. The name of the jurisdiction under the laws of which it was organized and the date of its formation:  
Jurisdiction: Kentucky Date of Formation: 6/11/1999

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 <u>National Registered Agents, Inc.</u>				County <u>County of Dauphin</u>

PA DEPT. OF STATE  
JUL 06 2009



**Exhibit B**  
**Articles of Incorporation**

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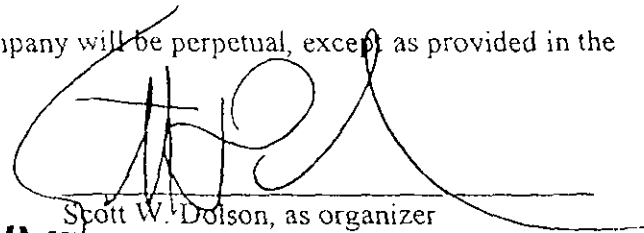
PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

ARTICLES OF ORGANIZATION  
FOR  
THE LEGACY ENERGY GROUP, LLC

RECEIVED & FILED  
46.00  
JUN 11 11 59 AM '99  
JOHN W. BROWN III  
SECRETARY OF STATE  
COMMONWEALTH OF KENTUCKY

The undersigned person forms a Kentucky limited liability company pursuant to the Kentucky Limited Liability Company Act (the "Act"), KRS Chapter 275, as follows:

1. The name of the limited liability company (the "Company") shall be The Legacy Energy Group, LLC
2. The street address of the Company's initial registered office shall be 400 West Market Street, 32nd Floor, Louisville, Kentucky 40202-3363. The name of the Company's initial registered agent at that office shall be BTH Inc.
3. The mailing address of the initial principal office of the Company shall be 32 Waterloo Street, Warrenton, Virginia 20186.
4. The Company is to be managed by one or more managers. The Company shall have a Board of Directors which shall serve as the Company's "manager" as that term is contemplated in the Act. The Company's Board of Directors shall act through the Company's duly authorized officers.
5. The existence of the Company will be perpetual, except as provided in the Company's Operating Agreement.

  
Scott W. Dolson, as organizer

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FILED IN OFFICE

14  
JUN 11 1999

Bobbie Holsclaw, Clerk  
By ESM D.C.

**Exhibit C  
List of Partners**

Name:	Title:	Address:
Michael Housley	President	32 Waterloo Street, Warrenton VA 20186
Delbert Roberts	Senior Vice President	32 Waterloo Street, Warrenton VA 20186
Thomas Ihrig	Vice President	32 Waterloo Street, Warrenton VA 20186

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**Exhibit D**  
**Proof of Service of Application**

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SECRETARY'S BUREAU



Shipment Receipt  
Address Information

**Ship to:**

John Munsch  
Allegheny Power

800 CABIN HILL DR

GREENSBURG, PA

15601-1650

US

(724) 837-3000

**Ship from:**

Cassie Scott  
THE LEGACY ENERGY  
GROUP

32 WATERLOO STREET

3RD FLOOR

WARRENTON, VA

20186

US

5403510981

**Shipping Information**

Tracking number: 793873896138

Ship date: 09/01/2010

Estimated shipping charges: 10.48

**Package Information**

Service type: FedEx Express Saver

Package type: FedEx Envelope

Number of packages: 1

Total weight: 1LBS

Declared value: 0.00USD

Special Services:

Pickup/Drop-off: Drop off package at FedEx location

**Billing Information**

Bill transportation to: Sender

Your reference:

P.O. no.:

Invoice no.:

Department no.:

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SECRETARY'S BUREAU

Thank you for shipping online with FedEx ShipManager at fedex.com.

**Please Note**

FedEx will not be responsible for any claim in excess of \$100 per package, whether the result of loss, damage, delay, non-delivery, misdelivery, or misinformation, unless you declare a higher value, pay an additional charge, document your actual loss and file a timely claim. Limitations found in the current FedEx Service Guide apply. Your right to recover from FedEx for any loss, including intrinsic value of the package, loss of sales, income interest, profit, attorney's fees, costs, and other forms of damage whether direct, incidental, consequential, or special is limited to the greater of \$100 or the authorized declared value. Recovery cannot exceed actual documented loss. Maximum for items of extraordinary value is \$500, e.g., jewelry, precious metals, negotiable instruments and other items listed in our Service Guide. Written claims must be filed within strict time limits; Consult the applicable FedEx Service Guide for details. The estimated shipping charge may be different than the actual charges for your shipment. Differences may occur based on actual weight, dimensions, and other factors. Consult the applicable [FedEx Service Guide](#) or the FedEx Rate Sheets for details on how shipping charges are calculated.



Shipment Receipt  
Address Information

<b>Ship to:</b>	<b>Ship from:</b>
Carlo Ciabattoni	Cassie Scott
PECO Energy Company	THE LEGACY ENERGY GROUP
2301 MARKET ST	32 WATERLOO STREET
	3RD FLOOR
PHILADELPHIA, PA	WARRENTON, VA
19103-1338	20186
US	US
2158414210	5403510981

**Shipping Information**

Tracking number: 796205726480  
Ship date: 09/01/2010  
Estimated shipping charges: 10.48

**Package Information**

Service type: FedEx Express Saver  
Package type: FedEx Envelope  
Number of packages: 1  
Total weight: 1LBS  
Declared value: 0.00USD  
Special Services:  
Pickup/Drop-off: Drop off package at FedEx location

**Billing Information**

Bill transportation to: Sender  
Your reference:  
P.O. no.:  
Invoice no.:  
Department no.:

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SECRETARY'S BUREAU

Thank you for shipping online with FedEx ShipManager at fedex.com.

**Please Note**

FedEx will not be responsible for any claim in excess of \$100 per package, whether the result of loss, damage, delay, non-delivery, misdelivery, or misinformation, unless you declare a higher value, pay an additional charge, document your actual loss and file a timely claim. Limitations found in the current FedEx Service Guide apply. Your right to recover from FedEx for any loss, including intrinsic value of the package, loss of sales, income interest, profit, attorney's fees, costs, and other forms of damage whether direct, incidental, consequential, or special is limited to the greater of \$100 or the authorized declared value. Recovery cannot exceed actual documented loss. Maximum for items of extraordinary value is \$500, e.g., jewelry, precious metals, negotiable instruments and other items listed in our Service Guide. Written claims must be filed within strict time limits. Consult the applicable FedEx Service Guide for details. The estimated shipping charge may be different than the actual charges for your shipment. Differences may occur based on actual weight, dimensions, and other factors. Consult the applicable [FedEx Service Guide](#) or the FedEx Rate Sheets for details on how shipping charges are calculated.





Shipment Receipt  
Address Information

<b>Ship to:</b>	<b>Ship from:</b>
Stephen Feld	Cassie Scott
First Energy Corp.	THE LEGACY ENERGY GROUP
76 S MAIN ST	32 WATERLOO STREET
	3RD FLOOR
AKRON, OH	WARRENTON, VA
44308-1812	20186
US	US
8006460400	5403510981

**Shipping Information**

Tracking number: 793873840694  
Ship date: 09/01/2010  
Estimated shipping charges: 10.54

**Package Information**

Service type: FedEx Express Saver  
Package type: FedEx Envelope  
Number of packages: 1  
Total weight: 1LBS  
Declared value: 0.00USD  
Special Services:  
Pickup/Drop-off: Drop off package at FedEx location

**Billing Information**

Bill transportation to: Sender  
Your reference:  
P.O. no.:  
Invoice no.:  
Department no.:

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SECRETARY'S BUREAU

Thank you for shipping online with Fedex ShipManager at fedex.com.

**Please Note**

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Shipment Receipt  
Address Information

**Ship to:**

Paul Russell  
PPL

2 N 9TH ST

ALLENTOWN, PA

18101-1139

US

800-523-9854

**Ship from:**

Cassie Scott  
THE LEGACY ENERGY  
GROUP

32 WATERLOO STREET

3RD FLOOR

WARRENTON, VA

20186

US

5403510981

**Shipping Information**

Tracking number: 793873826440

Ship date: 09/01/2010

Estimated shipping charges: 10.54

**Package Information**

Service type: FedEx Express Saver

Package type: FedEx Envelope

Number of packages: 1

Total weight: 1LBS

Declared value: 0.00USD

Special Services:

Pickup/Drop-off: Drop off package at FedEx location

**Billing Information**

Bill transportation to: Sender

Your reference:

P.O. no.:

Invoice no.:

Department no.:

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SECRETARY'S BUREAU

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Shipment Receipt  
Address Information

**Ship to:**

Blaine Uplinger  
Metropolitan Edison

800 N 3RD ST  
100 APC BUILDING  
HARRISBURG, PA  
17102-2025  
US  
8005457741

**Ship from:**

Cassie Scott  
THE LEGACY ENERGY  
GROUP  
32 WATERLOO STREET  
3RD FLOOR  
WARRENTON, VA  
20186  
US  
5403510981

**Shipping Information**

Tracking number: 793873804273  
Ship date: 09/01/2010  
Estimated shipping charges: 10.48

**Package Information**

Service type: FedEx Express Saver  
Package type: FedEx Envelope  
Number of packages: 1  
Total weight: 1LBS  
Declared value: 0.00USD  
Special Services:  
Pickup/Drop-off: Drop off package at FedEx location

**Billing Information**

Bill transportation to: Sender  
Your reference:  
P.O. no.:  
Invoice no.:  
Department no.:

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Shipment Receipt  
Address Information

<b>Ship to:</b>	<b>Ship from:</b>
John Litz	Cassie Scott
UGI Utilities	THE LEGACY ENERGY GROUP
400 STEWART RD	32 WATERLOO STREET
	3RD FLOOR
HANOVER TOWNSHIP, PA	WARRENTON, VA
18706-1457	20186
US	US
6103737999	5403510981

**Shipping Information**

Tracking number: 796205645174  
Ship date: 09/01/2010  
Estimated shipping charges: 10.54

**Package Information**

Service type: FedEx Express Saver  
Package type: FedEx Envelope  
Number of packages: 1  
Total weight: 1LBS  
Declared value: 0.00USD  
Special Services:  
Pickup/Drop-off: Drop off package at FedEx location

**Billing Information**

Bill transportation to: Sender  
Your reference: UGI Utilities, Inc.  
P.O. no.:  
Invoice no.:  
Department no.:

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SECRETARY'S BUREAU

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Shipment Receipt  
Address Information

<b>Ship to:</b>	<b>Ship from:</b>
Frank Nadolny	Cassie Scott
Duquesne Light Company	THE LEGACY ENERGY GROUP
411 7TH AVE	32 WATERLOO STREET
	3RD FLOOR
PITTSBURGH, PA	WARRENTON, VA
15219-1919	20186
US	US
4123936000	5403510981

**Shipping Information**

Tracking number: 793873751379  
Ship date: 09/01/2010  
Estimated shipping charges: 10.54

**Package Information**

Service type: FedEx Express Saver  
Package type: FedEx Envelope  
Number of packages: 1  
Total weight: 1LBS  
Declared value: 0.00USD  
Special Services:  
Pickup/Drop-off: Drop off package at FedEx location

**Billing Information**

Bill transportation to: Sender  
Your reference:  
P.O. no.:  
Invoice no.:  
Department no.:

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SECRETARY'S BUREAU

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Shipment Receipt  
Address Information

<b>Ship to:</b>	<b>Ship from:</b>
Bureau of Compliance	Cassie Scott
Dept of Revenue	THE LEGACY ENERGY GROUP
STRAWBERRY SQ FL 7	32 WATERLOO STREET
	3RD FLOOR
HARRISBURG, PA	WARRENTON, VA
17128-0001	20186
US	US
7177873847	5403510981

**Shipping Information**

Tracking number: 793873734891  
Ship date: 09/01/2010  
Estimated shipping charges: 10.48

**Package Information**

Service type: FedEx Express Saver  
Package type: FedEx Envelope  
Number of packages: 1  
Total weight: 1LBS  
Declared value: 0.00USD  
Special Services:  
Pickup/Drop-off: Drop off package at FedEx location

**Billing Information**

Bill transportation to: Sender  
Your reference:  
P.O. no.:  
Invoice no.:  
Department no.:

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Shipment Receipt  
Address Information

<b>Ship to:</b>	<b>Ship from:</b>
William Lloyd, Jr.	Cassie Scott
Small Business Advocate	THE LEGACY ENERGY GROUP
300 N 2ND ST	32 WATERLOO STREET
COMMERCE BUILDING,	3RD FLOOR
SUITE 1102	
HARRISBURG, PA	WARRENTON, VA
17101-1313	20186
US	US
7177832525	5403510981

**Shipping Information**

Tracking number: 793873712739

Ship date: 09/01/2010

Estimated shipping charges: 10.48

**Package Information**

Service type: FedEx Express Saver

Package type: FedEx Envelope

Number of packages: 1

Total weight: 1LBS

Declared value: 0.00USD

Special Services:

Pickup/Drop-off: Drop off package at FedEx location

**Billing Information**

Bill transportation to: Sender

Your reference: Commerce Building, Suite 1102

P.O. no.:

Invoice no.:

Department no.:

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Shipment Receipt  
Address Information

<b>Ship to:</b>	<b>Ship from:</b>
Bureau of Consumer Protection Office of the Attorney General STRAWBERRY SQ FL 14  HARRISBURG, PA 17120-0001 US 7177879707	Cassie Scott  THE LEGACY ENERGY GROUP 32 WATERLOO STREET 3RD FLOOR WARRENTON, VA 20186 US 5403510981

**Shipping Information**

Tracking number: 793873685400  
Ship date: 09/01/2010  
Estimated shipping charges: 10.48

**Package Information**

Service type: FedEx Express Saver  
Package type: FedEx Envelope  
Number of packages: 1  
Total weight: 1LBS  
Declared value: 0.00USD  
Special Services:  
Pickup/Drop-off: Drop off package at FedEx location

**Billing Information**

Bill transportation to: Sender  
Your reference: PA Electric Application  
P.O. no.:  
Invoice no.:  
Department no.:

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Shipment Receipt  
Address Information

<b>Ship to:</b>	<b>Ship from:</b>
Irwin A. Popowsky	Cassie Scott
Office of Consumer Advocate	THE LEGACY ENERGY GROUP
555 WALNUT ST	32 WATERLOO STREET
5TH FLOOR, FORUM PLACE	3RD FLOOR
HARRISBURG, PA	WARRENTON, VA
17101-1925	20186
US	US
7177835048	5403510981

**Shipping Information**

Tracking number: 796205537644  
Ship date: 09/01/2010  
Estimated shipping charges: 10.48

**Package Information**

Service type: FedEx Express Saver  
Package type: FedEx Envelope  
Number of packages: 1  
Total weight: 1LBS  
Declared value: 0.00USD  
Special Services:  
Pickup/Drop-off: Drop off package at FedEx location

**Billing Information**

Bill transportation to: Sender  
Your reference: PA Electric Application  
P.O. no.:  
Invoice no.:  
Department no.:

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**Exhibit E**  
**Income Statement and Balance Sheet**

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**CONFIDENTIAL/PROPRIETARY  
MATERIAL FOLLOWS:**

**NO SCANNED IMAGE AVAILABLE**

**ACTUAL DOCUMENT IN  
CONFIDENTIAL FILE FOLDER**

**Exhibit F**  
**Chief Officers Professional Resumes**

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**Michael L. R. Housley**  
**President**  
**The Legacy Energy Group, LLC**

Michael Housley is the founder and President of The Legacy Energy Group, LLC (Legacy Energy), as well as a managing partner of Executive Energy Services, LLC. As President of Legacy Energy, Mr. Housley is responsible for managing Legacy's relationships with its key energy management clients and business partners. Mr. Housley is also responsible for planning and managing Legacy Energy's strategic growth in five primary business lines: energy procurement, risk management, information technology solutions, tariff analysis, and demand side management. Mr. Housley has negotiated venture capital/credit agreements, and expanded Legacy Energy's energy management business through an equity investment in Affiliated Power Purchasers International, LLC.

Mr. Housley has over twenty-three years of experience in the energy industry. Prior to founding Legacy Energy in 1998, Mr. Housley was Vice President of LG&E Energy Marketing (a subsidiary of Louisville Gas and Electric Company) where he managed its coal, natural gas, power, and risk management businesses in 23 states. Total revenues across the business lines under Mr. Housley's management exceeded \$300 million in 1997.

Mr. Housley received a Bachelor of Science in Chemical Engineering from North Carolina State University and his Masters Degree in Business Administration from Pacific Lutheran University in the state of Washington. Currently, Mr. Housley serves as the Power Marketing Representative on the Southeastern Electric Reliability Council ("SERC") Executive Committee. He is past Chairman of the Council of Industrial Boiler Owners' NOx Committee and is a frequent speaker at industry-sponsored seminars.

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**Delbert L. Roberts, Jr.**  
**Senior Vice President**  
**The Legacy Energy Group, LLC**

**PA PUBLIC UTILITY COMMISSION**  
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Delbert Roberts is a partner and Senior Vice President of The Legacy Energy Group, LLC (Legacy Energy). Since joining Legacy Energy in 1999, Mr. Roberts has been responsible for negotiating and executing company wholesale power and transmission contracts and establishing operations systems to support wholesale power sales and purchases; training Legacy Energy staff to use the operations systems to reliably execute marketing and trading transactions; marketing Legacy Energy's consulting services to independent power and utility power development companies, energy marketing firms, retail energy customers, control areas and e-commerce system development companies; securing marketing agreements with companies and municipalities owning distributed generation resources for Legacy Energy's wholesale marketing business; executing retail supplier sales agency agreements; managing customers' retail electricity tariff rate evaluations throughout the United States and Canada; coordinating electricity supply procurement for retail electricity customers in CAISO, ERCOT, PJM, NYISO and ISO-NE; and developing and maintaining operational functionality for achieving the company's objective of excellence in business relationships.

Mr. Roberts has over thirty years of energy industry experience. Prior to joining Legacy Energy, Mr. Roberts was the Southeastern Regional Marketing Executive for LG&E Energy Marketing (a subsidiary of Louisville Gas and Electric Company) for three years where he was responsible for developing contractual infrastructure and originating wholesale energy transactions in the Southeastern United States. Prior to working with LG&E, Mr. Roberts was the Superintendent of Electric System Control for the City of Tallahassee, Florida. He managed the control and operations division of Tallahassee's 600 MW electric generation, transmission and distribution system with 20 employees and an annual operating budget of over \$40 million. Mr. Roberts' responsibilities included management of electric transmission and distribution systems operations, electric generation commitment and dispatch, energy management, load management and geographical information systems operations, wholesale energy sales and purchase transactions, transmission services sales and purchases, utility training and safety programs, relay and communications operation and maintenance, power sale and purchase contracts administration, fuels management and procurement, and energy accounting for the municipal's energy adjustment calculation

Mr. Roberts is a past Chairman of the Florida Electric Power Coordinating Group, Inc.'s ("FCG") Operating Committee and a past independent power representative on the Southeastern Electric Reliability Council's ("SERC") Engineering Executive Committee.

**Thomas Ihrig**  
**Vice President**  
**The Legacy Energy Group, LLC**

Thomas Ihrig is the Vice President of The Legacy Energy Group, LLC (Legacy Energy). He is also Secretary of Executive Energy Services, LLC (Executive Energy), an operations partner with Legacy Energy. Mr. Ihrig's principal responsibilities are following regulatory framework across the nation, modeling local distribution companies' (LDCs) tariffs, maintaining supplier relationships with energy service providers (ESPs), and commodity risk management.

Mr. Ihrig has over twenty years of experience in the energy industry. In those twenty years, Mr. Ihrig has held positions of increasing responsibility working with commercial, industrial and municipal customers, both on the retail and wholesale level. Prior to joining Legacy Energy in August of 2000, Mr. Ihrig managed the gas and electric commodities for a number of nationwide clients of CMS Energy. Mr. Ihrig has extensive experience in the regulatory arena working with State Public Utility Commissions (PUCs) in their efforts to implement a viable competitive retail electric supply market. For the past ten years, Mr. Ihrig has analyzed the unbundling of the LDCs tariffs in those states with retail open access programs and modeled savings to determine opportunities for clients.

In 1988, Mr. Ihrig earned a Bachelor of Science degree in Mechanical Engineering from Ohio State University, and in 1996, he received his master of Business Administration degree from Central Michigan University.

**Exhibit G**  
**Initial Licensing Fee**

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**Exhibit H  
Security Bond**

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From: Origin ID: DGNA (540) 351-0981  
 Cassie Scott  
 THE LEGACY ENERGY GROUP  
 32 WATERLOO STREET  
 3RD FLOOR  
 WARRENTON, VA 20186



Ship Date: 02SEP10  
 ActWgt: 1.0 LB  
 CAD: 4674783/INET3060

## Delivery Address Bar Code

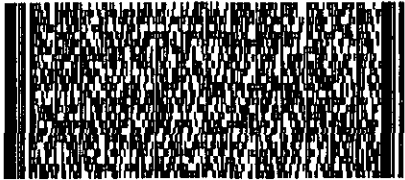


Ref #  
 Invoice #  
 PO #  
 Dept #

SHIP TO: (717) 787-8783 BILL SENDER  
**James J. McNulty, Secretary**  
**Pennsylvania Public Utility Commiss**  
**2 KEYSTONE BUILDING RM N201**  
**2 ND FOOR 2ND FOOR ROOM N201**  
**HARRISBURG, PA 17120**

TRK# 7962 0929 0561  
 (0201)

WED - 08 SEP A1  
 EXPRESS SAVER

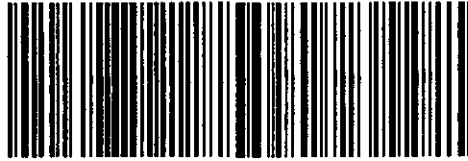


17120

PA-US

MDT

SH MDTA



660240228A24

## After printing this label:

1. Use the 'Print' button on this page to print your label to your laser or inkjet printer.
2. Fold the printed page along the horizontal line.
3. Place label in shipping pouch and affix it to your shipment so that the barcode portion of the label can be read and scanned.

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