



NEW JERSEY BOARD OF PUBLIC UTILITIES

**44 South Clinton Avenue
9th Floor, P.O. Box 350
Trenton, New Jersey 08625-0350**

**ENERGY AGENT, PRIVATE AGGREGATOR, and/or ENERGY CONSULTANT
INITIAL REGISTRATION APPLICATION**

Before completing this form, please refer to the instructions located on the BPU website. Please type or print all answers. Do not leave any questions unanswered. If a question is not applicable or the answer is none, please type or print "N/A" only when instructed.

1. a) Legal Name of Applicant: AEC Energy, LLC

b) D/B/A or Trade Name: ("N/A" if not applicable) _____

2. a) Principal Business Address:
1 Metrotech N, Brooklyn, NY, 11201

b) Business Telephone Number: (347) 799.1685

3. Website address: www.advancedenergycap.com

4. a) Type of Application being applied for: (circle one)

Energy Agent Private Aggregator Both

b) If Energy Agent, is this also an application for the category of Energy Consultant?

Yes No

5. Type of Ownership: (circle one)

Corporation Partnership Sole Proprietor

Limited Partnership Limited Liability Company

6. In the past five years, is or has the applicant or any of the key operating personnel, officers, directors, partners, owners, or listed stockholders now or has ever been under investigation in New Jersey, or any other state, or federal jurisdiction in connection with the sale or delivery of electricity or natural gas?

Yes No

If yes, attach a schedule giving details regarding the status of the investigation, (including but not limited to pending negotiations, pending hearings, pending decisions, or closed with settlements and approvals/decisions) and provide final dispositions, including court orders, regulatory orders and approved settlements in addition to the official filed petition or complaint initiating the investigation. Please mark the attachments as "BPU Internal Use Only".

7. In the past five years, has the applicant or any of the key operating personnel, officers, directors, partners, owners, or listed stockholders ever been arrested or convicted of any offense, crime, misdemeanor, or disorderly persons charge in New Jersey or any other state, or by the federal government (excluding motor vehicle violations)?

Yes No

If yes, attach a schedule giving details regarding the status of the charges, (including but not limited to pending negotiations, pending hearings, pending decisions, or closed with settlement and approvals/decisions) and provide final dispositions, including court orders, regulatory orders and approved settlements in addition to the official filed documentation leading up to the charges. Please mark the attachments as "BPU Internal Use Only".

8. In the past five years, has the applicant or any of the key operating personnel, officers, directors, partners, owners, or listed stockholders ever had a license, or right to engage in any business or profession, revoked, denied, suspended, or restrained by any agency of New Jersey or any other state, or by the federal government in connection with the sale or delivery of electricity or natural gas?

Yes No

If yes, attach a schedule giving details regarding the status of the matter, (including but not limited to pending negotiations, pending hearings, pending decisions, or closed with settlements and approvals/decisions) and provide final dispositions, including court orders, regulatory orders and approved settlements in addition to the official documents leading to the matter. Please mark the attachments as "BPU Internal Use Only".

9. In the past five years, has the applicant or any of the key operating personnel, officers, directors, partners, owners, or listed stockholders of your organization ever been subject to any disciplinary proceeding in connection with a license or right to engage in any business or profession in New Jersey, any other state, or by the federal government in connection with the sale or delivery of electricity or natural gas?

Yes No

If yes, attach a schedule giving details and provide relevant documents. Please mark the attachments as "BPU Internal Use Only".

10. In the past five years, has the applicant or any of the key operating personnel, officers, directors, partners, owners or listed stockholders ever filed a petition in bankruptcy or reorganization or been affiliated with any entity that has filed a petition in bankruptcy or reorganization in connection with the sale or delivery of electricity or natural gas?

Yes No

If yes, give particulars on a separate schedule containing date of bankruptcy or reorganization proceedings, copy of petition in bankruptcy and copy of discharge, if applicable. Please mark the attachments as "BPU Internal Use Only".

11. In the past five years, has the applicant or any of the key operating personnel, officers, directors, partners, owners or listed stockholders ever been investigated or involved as a defendant in any regulatory proceeding?

Yes

No

If yes, give particulars on a separate schedule containing date of such investigation or litigation, regulatory body or authority initiating such proceeding and resolution. Please mark the attachments as "BPU Internal Use Only".

For Energy Consultants only (items 12 through 14):

12. If already registered with the Board as an Energy Agent, provide registration number: _____

13. Provide the required New Jersey office address:

All BPU Regulatory Correspondences are received at this address.

(Note: The aforementioned regulatory correspondences include all license certificates and approval letters.)

2 Mount Court

Oakhurst, NJ, 07755

14. Attach the original perfected surety bond in the minimum amount of \$10,000.
The required language for the bond can be found in the instructions to this application.