

FILE



Public Utilities
Commission

PUCO USE ONLY - Version 1.08		
Date Received	Renewal Certification Number	ORIGINAL AGG Case Number
		11-5473-GA-AGG

43

RENEWAL CERTIFICATION APPLICATION COMPETITIVE RETAIL NATURAL GAS BROKERS/AGGREGATORS

Please type or print all required information. Identify all attachments with an exhibit label and title (*Example: Exhibit A-15 - Company History*). All attachments should bear the legal name of the Applicant. Applicants should file completed applications and all related correspondence with the Public Utilities Commission of Ohio, Docketing Division, 180 East Broad Street, Columbus, Ohio 43215-3793.

This PDF form is designed so that you may directly input information onto the form. You may also download the form by saving it to your local disk.

SECTION A - APPLICANT INFORMATION AND SERVICES

A-1 Applicant intends to renew its certificate as: (check all that apply)

☒ Retail Natural Gas Aggregator ☒ Retail Natural Gas Broker

A-2 Applicant information:

Legal Name Alternative Utility Services, Inc.
Address 750 Veterans Pkwy Suite 104 Lake Geneva, WI 53147
Telephone No. 262 248 0930 Web site Address ausenergy.com
Current PUCO Certificate No. 15-230G(3) Effective Dates November 6, 2015 through November 6, 2017

A-3 Applicant information under which applicant will do business in Ohio:

Name Alternative Utility Services, Inc.
Address 50 West Broad St. Suite 1330, Columbus, OH 43215
Web site Address ausenergy.com Telephone No. 262 248.0930

A-4 List all names under which the applicant does business in North America:

Alternative Utility Services, Inc. AUS

A-5 Contact person for regulatory or emergency matters:

Name Fritz Kreiss Title President
Business Address 750 Veterans Parkway Suite 104 Lake Geneva, WI 53147
Telephone No. 262-248-0930 Fax No. 262-248-9005 Email Address info@ausenergy.com

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 Date Processed 09/28/17

A-6 Contact person for Commission Staff use in investigating customer complaints:

Name Fritz Kreiss Title President
Business address 750 Veterans Parkway Suite 104 Lake Geneva, WI 53147
Telephone No. 262-248-0930 Fax No. 262-248-9005 Email Address info@ausenergy.com

A-7 Applicant's address and toll-free number for customer service and complaints

Customer service address 750 Veterans Parkway Suite 104 Lake Geneva, WI 53147
Toll-Free Telephone No. 800-392-4287 Fax No. 877-525-8634 Email Address info@ausenergy.com

A-8 Provide "Proof of an Ohio Office and Employee," in accordance with Section 4929.22 of the Ohio Revised Code, by listing name, Ohio office address, telephone number, and Web site address of the designated Ohio Employee

Name Corporate Service Company Title Registered Agent
Business address 50 West Broad St. Suite 1330, Columbus, OH 43215
Telephone No. 262-248-0930 Fax No. 262-248-9005 Email Address info@ausenergy.com

A-9 Applicant's federal employer identification number 36-3882904

A-10 Applicant's form of ownership: (Check one)

☐ Sole Proprietorship ☐ Partnership
☐ Limited Liability Partnership (LLP) ☐ Limited Liability Company (LLC)
☒ Corporation ☐ Other

A-11 (Check all that apply) Identify each natural gas company service area in which the applicant is currently providing service or intends to provide service, including identification of each customer class that the applicant is currently serving or intends to serve, for example: *residential, small commercial, and/or large commercial/industrial (mercantile) customers*. (A mercantile customer, as defined in Section 4929.01(L)(1) of the Ohio Revised Code, means a customer that consumes, other than for residential use, more than 500,000 cubic feet of natural gas per year at a single location within the state or consumes natural gas, other than for residential use, as part of an undertaking having more than three locations within or outside of this state. In accordance with Section 4929.01(L)(2) of the Ohio Revised Code, "Mercantile customer" excludes a not-for-profit customer that consumes, other than for residential use, more than 500,000 cubic feet of natural gas per year at a single location within this state or consumes natural gas, other than for residential use, as part of an undertaking having more than three locations within or outside this state that has filed the necessary declaration with the Public Utilities Commission.)

<input checked="" type="checkbox"/> Columbia Gas of Ohio	<input type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/> Dominion East Ohio	<input type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/> Duke Energy Ohio	<input type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial
<input checked="" type="checkbox"/> Vectren Energy Delivery of Ohio	<input type="checkbox"/> Residential	<input checked="" type="checkbox"/> Small Commercial	<input checked="" type="checkbox"/> Large Commercial / Industrial

A-12 If applicant or an affiliated interest previously participated in any of Ohio's Natural Gas Choice Programs, for each service area and customer class, provide approximate start date(s) and/or end date(s) that the applicant began delivering and/or ended services.

☐ Columbia Gas of Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

☐ Dominion East Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

☐ Duke Energy Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

☐ Vectren Energy Delivery of Ohio

<input type="checkbox"/> Residential	Beginning Date of Service	End Date
<input type="checkbox"/> Small Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Large Commercial	Beginning Date of Service	End Date
<input type="checkbox"/> Industrial	Beginning Date of Service	End Date

A-13 If not currently participating in any of Ohio's four Natural Gas Choice Programs, provide the approximate start date that the applicant proposes to begin delivering services:

AUS will not be participating in the choice program nor will we take title to any energy

<input type="checkbox"/>	Columbia Gas of Ohio	Intended Start Date
<input type="checkbox"/>	Dominion East Ohio	Intended Start Date
<input type="checkbox"/>	Duke Energy Ohio	Intended Start Date
<input type="checkbox"/>	Vectren Energy Delivery of Ohio	Intended Start Date

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

- A-14 Exhibit A-14 "Principal Officers, Directors & Partners,"** provide the names, titles, addresses and telephone numbers of the applicant's principal officers, directors, partners, or other similar officials.
- A-15 Exhibit A-15 "Company History,"** provide a concise description of the applicant's company history and principal business interests.
- A-16 Exhibit A-16 "Articles of Incorporation and Bylaws,"** provide the articles of incorporation filed with the state or jurisdiction in which the applicant is incorporated and any amendments thereto, *only if the contents of the originally filed documents changed since the initial application.*
- A-17 Exhibit A-17 "Secretary of State,"** provide evidence that the applicant is still currently registered with the Ohio Secretary of the State.

SECTION B - APPLICANT MANAGERIAL CAPABILITY AND EXPERIENCE

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED

- B-1 Exhibit B-1 "Jurisdictions of Operation,"** provide a current list of all jurisdictions in which the applicant or any affiliated interest of the applicant is, at the date of filing the application, certified, licensed, registered, or otherwise authorized to provide retail natural gas service, or retail/wholesale electric services.
- B-2 Exhibit B-2 "Experience & Plans,"** provide a current description of the applicant's experience and plan for contracting with customers, providing contracted services, providing billing statements, and responding to customer inquiries and complaints in accordance with Commission rules adopted pursuant to Section 4929.22 of the Revised Code and contained in Chapter 4901:1-29 of the Ohio Administrative Code.
- B-3 Exhibit B-3 "Summary of Experience,"** provide a concise and current summary of the applicant's experience in providing the service(s) for which it is seeking renewed certification (e.g., number and types of customers served, utility service areas, volume of gas supplied, etc.).
- B-4 Exhibit B-4 "Disclosure of Liabilities and Investigations,"** provide a description of all existing, pending or past rulings, judgments, contingent liabilities, revocations of authority, regulatory investigations, or any other matter that could adversely impact the applicant's financial or operational

status or ability to provide the services for which it is seeking renewed certification since applicant last filed for certification.

- B-5 Exhibit B-5 "Disclosure of Consumer Protection Violations,"** disclose whether the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant has been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws since applicant last filed for certification.

☒ No ☐ Yes

If Yes, provide a separate attachment labeled as Exhibit B-5 "Disclosure of Consumer Protection Violations," detailing such violation(s) and providing all relevant documents.

- B-6 Exhibit B-6 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation,"** disclose whether the applicant or a predecessor of the applicant has had any certification, license, or application to provide retail natural gas or retail/wholesale electric service denied, curtailed, suspended, or revoked, or whether the applicant or predecessor has been terminated from any of Ohio's Natural Gas Choice programs, or been in default for failure to deliver natural gas since applicant last filed for certification.

☒ No ☐ Yes

If Yes, provide a separate attachment, labeled as Exhibit B-6 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation," detailing such action(s) and providing all relevant documents.

SECTION C - APPLICANT FINANCIAL CAPABILITY AND EXPERIENCE

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED

- C-1 Exhibit C-1 "Annual Reports,"** provide the two most recent Annual Reports to Shareholders. If applicant does not have annual reports, the applicant should provide similar information, labeled as Exhibit C-1, or indicate that Exhibit C-1 is not applicable and why.
(This is generally only applicable to publicly traded companies who publish annual reports.)
- C-2 Exhibit C-2 "SEC Filings,"** provide the most recent 10-K/8-K Filings with the SEC. If applicant does not have such filings, it may submit those of its parent company. If the applicant does not have such filings, then the applicant may indicate in Exhibit C-2 whether the applicant is not required to file with the SEC and why.
- C-3 Exhibit C-3 "Financial Statements,"** provide copies of the applicant's two most recent years of audited financial statements (balance sheet, income statement, and cash flow statement). If audited financial statements are not available, provide officer certified financial statements. If the applicant has not been in business long enough to satisfy this requirement, it shall file audited or officer certified financial statements covering the life of the business. If the applicant does not have a balance sheet, income statement, and cash flow statement, the applicant may provide a copy of its two most recent years of tax returns (with social security numbers and account numbers redacted).

C-4 Exhibit C-4 “Financial Arrangements,” provide copies of the applicant's financial arrangements to satisfy collateral requirements to conduct retail electric/gas business activity (e.g., parental or third party guarantees, contractual arrangements, credit agreements, etc.,).

Renewal applicants can fulfill the requirements of Exhibit C-4 by providing a current statement from an Ohio local distribution utility (LDU) that shows that the applicant meets the LDU's collateral requirements.

First time applicants or applicants whose certificate has expired as well as renewal applicants can meet the requirement by one of the following methods:

1. The applicant itself stating that it is investment grade rated by Moody's, Standard & Poor's or Fitch and provide evidence of rating from the rating agencies.
2. Have a parent company or third party that is investment grade rated by Moody's, Standard & Poor's or Fitch guarantee the financial obligations of the applicant to the LDU(s).
3. Have a parent company or third party that is not investment grade rated by Moody's, Standard & Poor's or Fitch but has substantial financial wherewithal in the opinion of the Staff reviewer to guarantee the financial obligations of the applicant to the LDU(s). The guarantor company's financials must be included in the application if the applicant is relying on this option.
4. Posting a Letter of Credit with the LDU(s) as the beneficiary.

If the applicant is not taking title to the electricity or natural gas, enter “N/A” in Exhibit C-4. An N/A response is only applicable for applicants seeking to be certified as an aggregator or broker.

C-5 Exhibit C-5 “Forecasted Financial Statements,” provide two years of forecasted income statements for the applicant's **NATURAL GAS related business activities in the state of Ohio Only**, along with a list of assumptions, and the name, address, email address, and telephone number of the preparer. The forecasts should be in an annualized format for the two years succeeding the Application year.

C-6 Exhibit C-6 “Credit Rating,” provide a statement disclosing the applicant's current credit rating as reported by two of the following organizations: Duff & Phelps, Fitch IBCA, Moody's Investors Service, Standard & Poor's, or a similar organization. In instances where an applicant does not have its own credit ratings, it may substitute the credit ratings of a parent or an affiliate organization, provided the applicant submits a statement signed by a principal officer of the applicant's parent or affiliate organization that guarantees the obligations of the applicant. If an applicant or its parent does not have such a credit rating, enter “N/A” in Exhibit C-6.

C-7 Exhibit C-7 “Credit Report,” provide a copy of the applicant's current credit report from Experian, Dun and Bradstreet, or a similar organization. An applicant that provides an investment grade credit rating for Exhibit C-6 may enter “N/A” for Exhibit C-7.

- C-8 Exhibit C-8 "Bankruptcy Information,"** provide a list and description of any reorganizations, protection from creditors or any other form of bankruptcy filings made by the applicant, a parent or affiliate organization that guarantees the obligations of the applicant or any officer of the applicant in the current year or within the two most recent years preceding the application.
- C-9 Exhibit C-9 "Merger Information,"** provide a statement describing any dissolution or merger or acquisition of the applicant within the two most recent years preceding the application.
- C-10 Exhibit C-10 "Corporate Structure,"** provide a description of the applicant's corporate structure, not an internal organizational chart, including a graphical depiction of such structure, and a list of all affiliate and subsidiary companies that supply retail or wholesale electricity or natural gas to customers in North America. If the applicant is a stand-alone entity, then no graphical depiction is required and applicant may respond by stating that they are a stand-alone entity with no affiliate or subsidiary companies.

SECTION D – APPLICANT TECHNICAL CAPABILITY

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

- D-1 Exhibit D-1 "Operations,"** provide a current written description of the operational nature of the applicant's business functions.
- D-2 Exhibit D-2 "Operations Expertise,"** given the operational nature of the applicant's business, provide evidence of the applicant's current experience and technical expertise in performing such operations.
- D-3 Exhibit D-3 "Key Technical Personnel,"** provide the names, titles, email addresses, telephone numbers, and background of key personnel involved in the operational aspects of the applicant's current business.

Applicant Signature and Title

J. J. Kreis

President

Sworn and subscribed before me this 26th

day of September

Month 2017

Year

Jenna Buehre

Jenna Buehre, Notary Public

Signature of official administering oath

Print Name and Title

JENNA BUEHRE
Notary Public
State of Wisconsin

My commission expires on July 15th 2020



The Public Utilities Commission of Ohio

Competitive Retail Natural Gas Service Affidavit Form (Version 1.07)

In the Matter of the Application of)

Alternative Utility Services, Inc.)

for a Certificate or Renewal Certificate to Provide)
Competitive Retail Natural Gas Service in Ohio.)

Case No. 11 - 5473 -GA-AGG

County of Walworth

State of WI

Fritz Kreiss

[Affiant], being duly sworn/affirmed, hereby states that:

- (1) The information provided within the certification or certification renewal application and supporting information is complete, true, and accurate to the best knowledge of affiant.
- (2) The applicant will timely file an annual report of its intrastate gross receipts and sales of hundred cubic feet of natural gas pursuant to Sections 4905.10(A), 4911.18(A), and 4929.23(B), Ohio Revised Code.
- (3) The applicant will timely pay any assessment made pursuant to Section 4905.10 or Section 4911.18(A), Ohio Revised Code.
- (4) Applicant will comply with all applicable rules and orders adopted by the Public Utilities Commission of Ohio pursuant to Title 49, Ohio Revised Code.
- (5) Applicant will cooperate with the Public Utilities Commission of Ohio and its staff in the investigation of any consumer complaint regarding any service offered or provided by the applicant.
- (6) Applicant will comply with Section 4929.21, Ohio Revised Code, regarding consent to the jurisdiction of the Ohio courts and the service of process.
- (7) Applicant will inform the Public Utilities Commission of Ohio of any material change to the information supplied in the certification or certification renewal application within 30 days of such material change, including any change in contact person for regulatory or emergency purposes or contact person for Staff use in investigating customer complaints.
- (8) Affiant further sayeth naught.

Affiant Signature & Title

Fritz Kreiss, President

Sworn and subscribed before me this 26th day of September Month 2017 Year

Jenna Buehre

Signature of Official Administering Oath

Jenna Buehre, Notary Public

Print Name and Title

JENNA BUEHRE
Notary Public
State of Wisconsin

My commission expires on July 15th, 2020

Exhibit A-14 "Principal Officers, Directors, & Partners"

Fritz Kreiss
President
750 Veterans Pkwy Suite 104
PO Box 250
Lake Geneva, WI 53147
262-248-0948
F: 262-248-9005
fritzkr@communitygreenenergy.com

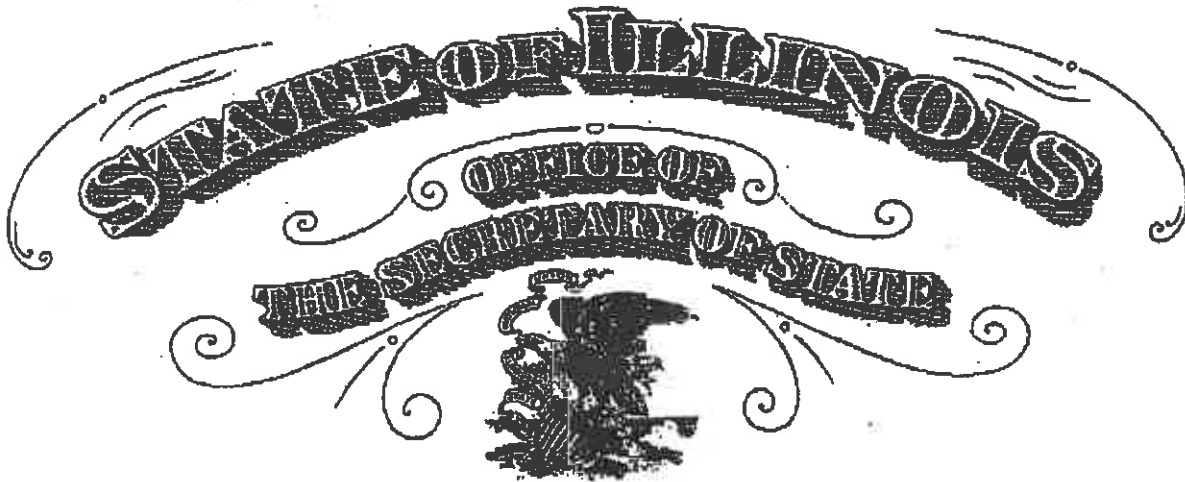
Catherine McQueen
Vice President - Secretary
750 Veterans Pkwy Suite 104
PO Box 250
Lake Geneva, WI 53147
262-248-0948
F: 262-248-9005
Catherine@theadmincenter.com

Exhibit A-15 "Company History,"

We first established Alternative Utility Services, Inc. (AUS) in 1993 as a vendor for commercial Combined Heat and Power (CHP) systems; promoting and installing. Since that time, we've expanded into the fields of energy management, energy brokering and utility consulting, while working primarily in the deregulated natural gas and electric markets.

File Number

5729-795-6



To all to whom these Presents Shall Come, Greeting:

I, Jesse White, Secretary of State of the State of Illinois, do hereby certify that I am the keeper of the records of the Department of Business Services. I certify that

THE FOREGOING AND HERETO ATTACHED IS A TRUE
AND CORRECT COPY, CONSISTING OF 8 PAGES, AS TAKEN FROM THE ORIGINAL
ON FILE IN THIS OFFICE FOR ALTERNATIVE UTILITY SERVICES, INC..*****



In Testimony Whereof, I hereto set
my hand and cause to be affixed the Great Seal of
the State of Illinois, this 15TH
day of JULY A.D. 2011

Jesse White

SECRETARY OF STATE



Whereas, ARTICLES OF INCORPORATION OF
ALTERNATIVE UTILITY SERVICES OF IL, INC.
INCORPORATED UNDER THE LAWS OF THE STATE OF ILLINOIS HAVE BEEN
FILED IN THE OFFICE OF THE SECRETARY OF STATE AS PROVIDED BY THE
BUSINESS CORPORATION ACT OF ILLINOIS, IN FORCE JULY 1, A.D. 1984.

*Now Therefore, I, George H. Ryan, Secretary of State of the
State of Illinois, by virtue of the powers vested in me by law, do
hereby issue this certificate and attach hereto a copy of the
Application of the aforesaid corporation.*

In Testimony Whereof, I hereto set my hand and cause to
be affixed the Great Seal of the State of Illinois,
at the City of Springfield, this 3RD
day of MAY A.D. 1993 and
of the Independence of the United States
the two hundred and 17TH.



George H. Ryan
SECRETARY OF STATE

PAID

MAY 3 1993

Form

BCA-2.10

ARTICLES OF INCORPORATION

(Rev. Jan. 1991)

George H. Ryan
Secretary of State
Department of Business Services
Springfield, IL 62758
Telephone (217) 782-8881

Payment must be made by certified check, cashier's check, Illinois attorney's check, Illinois C.P.A.'s check or money order, payable to "Secretary of State."

FILED

MAY 3 1993

GEORGE H. RYAN
SECRETARY OF STATE

SUBMIT IN DUPLICATE!

This space for use by
Secretary of State

Date 5-3-93

Franchise Tax \$ 25.00

Filing Fee \$ 75.00

Approved: *[Signature]* \$100.00

1. CORPORATE NAME: Alternative Utility Services of IL, Inc.

(The corporate name must contain the word "corporation", "company," "incorporated," "limited" or an abbreviation thereof.)

2. Initial Registered Agent: Catherine McQueen

First Name

Middle Initial

Last Name

Initial Registered Office:

2699

Walters Ave

Number

Street

Suite #

Northbrook

60062

Cook

City

Zip Code

County

3. Purpose or purposes for which the corporation is organized:
(If not sufficient space to cover this point, add one or more sheets of this size.)

Provide wholesale utility services to companies and the transaction of any or all lawful business for which corporations can be incorporated under the IL Business Corporation Act. (4)

4. Paragraph 1: Authorized Shares, Issued Shares and Consideration Received:

Class	Par Value per Share	Number of Shares Authorized	Number of Shares Proposed to be Issued	Consideration to be Received Therefor
Common	\$ 0	15,000,000	6,550,000	\$ 1,000

Paragraph 2: The preferences, qualifications, limitations, restrictions and special or relative rights in respect of the shares of each class are:
(If not sufficient space to cover this point, add one or more sheets of this size.)

None

(over)

5. OPTIONAL: (a) Number of directors constituting the initial board of directors of the corporation: one
(b) Names and addresses of the persons who are to serve as directors until the first annual meeting of shareholders or until their successors are elected and qualify:

Name	Residential Address
<u>Catherine McQueen</u>	<u>730 Hinman Ave #2E Evanston IL 60202</u>

6. OPTIONAL: (a) It is estimated that the value of all property to be owned by the corporation for the following year wherever located will be: \$ _____
(b) It is estimated that the value of the property to be located within the State of Illinois during the following year will be: \$ _____
(c) It is estimated that the gross amount of business that will be transacted by the corporation during the following year will be: \$ _____
(d) It is estimated that the gross amount of business that will be transacted from places of business in the State of Illinois during the following year will be: \$ _____

7. OPTIONAL: **OTHER PROVISIONS**

Attach a separate sheet of this size for any other provision to be included in the Articles of Incorporation, e.g., authorizing preemptive rights, denying cumulative voting, regulating internal affairs, voting majority requirements, fixing a duration other than perpetual, etc.

B. **NAME(S) & ADDRESS(ES) OF INCORPORATOR(S)**

The undersigned incorporator(s) hereby declare(s), under penalties of perjury, that the statements made in the foregoing Articles of Incorporation are true.

Dated April 12, 1993.

Signature and Name
<u>Catherine McQueen</u>
<u>Catherine McQueen</u>
(Type or Print Name)

2. _____
Signature
(Type or Print Name)

3. _____
Signature
(Type or Print Name)

Address
<u>730 Hinman Ave #2E</u>
<u>EVANSTON IL 60202</u>
City/Town State Zip Code

2. _____
Street
City/Town State Zip Code

3. _____
Street
City/Town State Zip Code

(Signatures must be in ink on original document. Carbon copy, photocopy or rubber stamp signatures may only be used on conformed copies.)
NOTE: If a corporation acts as incorporator, the name of the corporation and the state of incorporation shall be shown and the execution shall be by its President or Vice President and verified by him, and attested by its Secretary or Assistant Secretary.

FEE SCHEDULE

- The initial franchise tax is assessed at the rate of 15/100 of 1 percent (\$1.50 per \$1,000) on the paid-in capital represented in this state, with a minimum of \$25.
- The filing fee is \$75.
- The minimum total due (franchise tax + filing fee) is \$100.
(Applies when the Consideration to be Received as set forth in Item 4 does not exceed \$16,667)
- The Department of Business Services in Springfield will provide assistance in calculating the total fees if necessary.

Illinois Secretary of State
Department of Business Services

Springfield, IL 62756
Telephone (217) 782-9522
782-9523

Form **BCA-10.30**
(Rev. Jan. 1999)

ARTICLES OF AMENDMENT

Jesse White
Secretary of State
Department of Business Services
Springfield, IL 62756
Telephone (217) 782-1832

Remit payment in check or money
order, payable to "Secretary of State."

The filing fee for restated articles of
amendment - \$100.00

<http://www.sos.state.il.us>

FILED

FEB 6 - 2003

JESSE WHITE
SECRETARY OF STATE



CP0847113

File # 57297956

SUBMIT IN DUPLICATE

This space for use by
Secretary of State

Date 2.6.03
Franchise Tax \$
Filing Fee* \$25.00
Penalty \$
Approved: *WJH*

1. CORPORATE NAME: Alternative Utility Services of Illinois, Inc. (Note 1)

2. MANNER OF ADOPTION OF AMENDMENT:

The following amendment of the Articles of Incorporation was adopted on January 23,
2003 in the manner indicated below. ("X" one box only)
(Month & Day)
(Year)

- ☐ By a majority of the incorporators, provided no directors were named in the articles of incorporation and no directors have been elected; (Note 2)
- ☐ By a majority of the board of directors, in accordance with Section 10.10, the corporation having issued no shares as of the time of adoption of this amendment; (Note 2)
- ☐ By a majority of the board of directors, in accordance with Section 10.15, shares having been issued but shareholder action not being required for the adoption of the amendment; (Note 3)
- ☐ By the shareholders, in accordance with Section 10.20, a resolution of the board of directors having been duly adopted and submitted to the shareholders. At a meeting of shareholders, not less than the minimum number of votes required by statute and by the articles of incorporation were voted in favor of the amendment; (Note 4)
- ☒ By the shareholders, in accordance with Sections 10.20 and 7.10, a resolution of the board of directors having been duly adopted and submitted to the shareholders. A consent in writing has been signed by shareholders having not less than the minimum number of votes required by statute and by the articles of incorporation. Shareholders who have not consented in writing have been given notice in accordance with Section 7.10; (Notes 4 & 5)
- ☐ By the shareholders, in accordance with Sections 10.20 and 7.10, a resolution of the board of directors having been duly adopted and submitted to the shareholders. A consent in writing has been signed by all the shareholders entitled to vote on this amendment. (Note 5)

3. TEXT OF AMENDMENT:

- a. When amendment effects a name change, insert the new corporate name below. Use Page 2 for all other amendments.

Article 1: The name of the corporation is:

Alternative Utility Services, Inc. *WJH*

(NEW NAME)

PAID
FEB 07 2003

DEPARTMENT OF
BUSINESS SERVICES

All changes other than name, include on page 2
(over)

Text of Amendment

- b. *(If amendment affects the corporate purpose, the amended purpose is required to be set forth in its entirety. If there is not sufficient space to do so, add one or more sheets of this size.)*

No Change.

4. The manner, if not set forth in Article 3b, in which any exchange, reclassification or cancellation of issued shares, or a reduction of the number of authorized shares of any class below the number of issued shares of that class, provided for or effected by this amendment, is as follows: (If not applicable, insert "No change")

No Change.

5. (a) The manner, if not set forth in Article 3b, in which said amendment effects a change in the amount of paid-in capital (Paid-in capital replaces the terms Stated Capital and Paid-in Surplus and is equal to the total of these accounts) is as follows: (If not applicable, insert "No change")

No Change.

(b) The amount of paid-in capital (Paid-in Capital replaces the terms Stated Capital and Paid-in Surplus and is equal to the total of these accounts) as changed by this amendment is as follows: (If not applicable, insert "No change")

	Before Amendment	After Amendment
Paid-in Capital	\$ _____	\$ _____

(Complete either Item 6 or 7 below. All signatures must be in **BLACK INK**.)

6. The undersigned corporation has caused this statement to be signed by its duly authorized officers, each of whom affirms, under penalties of perjury, that the facts stated herein are true.

Dated JAN-25th, 2003
(Month & Day) (Year)

attested by Catherine McQueen
(Signature of Secretary or Assistant Secretary)
Catherine McQueen, Secretary
(Type or Print Name and Title)

Alternative Utility Services of IL, Inc.

(Exact Name of Corporation at date of execution)

by Fritz A. Kreiss
(Signature of President or Vice President)
Fritz A. Kreiss, President

(Type or Print Name and Title)

7. If amendment is authorized pursuant to Section 10.10 by the incorporators, the incorporators must sign below, and type or print name and title.

OR

If amendment is authorized by the directors pursuant to Section 10.10 and there are no officers, then a majority of the directors or such directors as may be designated by the board, must sign below, and type or print name and title.

The undersigned affirms, under the penalties of perjury, that the facts stated herein are true.

Dated _____
(Month & Day) (Year)

FORM BCA 5.10/5.20 (rev. Dec. 2003)

STATEMENT OF CHANGE OF
REGISTERED AGENT AND/OR
REGISTERED OFFICE
Business Corporation Act

Jesse White, Secretary of State
Department of Business Services
Springfield, IL 62756
Telephone (217) 782-3847
www.cyberdriveillinois.com

Filed: 10/14/2004

Remit payment in the form of a
check or money order payable
to the Secretary of State.

Jesse White Secretary of State

File # D 5729-795-6 Filing Fee: \$25.00 Approved: EM
Submit in duplicate Type or Print clearly in black ink Do not write above this line

1. CORPORATE NAME: Alternative Utility Services, Inc.



2. STATE OR COUNTRY OF INCORPORATION: Illinois

3. Name and address of the registered agent and registered office as they appear on the records of the office of the Secretary of State (before change):

Registered Agent	<u>Fritz A. Kreiss</u>		
	First Name	Middle Name	Last Name
Registered Office	<u>2699 Walters Avenue</u>		
	Number	Street	Suite No. (A P.O. Box alone is not acceptable)
	<u>Northbrook, IL</u>	<u>60062</u>	<u>Cook</u>
	City	ZIP Code	County

4. Name and address of the registered agent and registered office shall be (after all changes herein reported):

Registered Agent	<u>G. William Hubbard II</u>		
	First Name	Middle Name	Last Name
Registered Office	<u>222 North LaSalle Street - Suite 300</u>		
	Number	Street	Suite No. (A P.O. Box alone is not acceptable)
	<u>Chicago, IL</u>	<u>60601</u>	<u>Cook</u>
	City	ZIP Code	County

5. The address of the registered office and the address of the business office of the registered agent, as changed, will be identical.

6. The above change was authorized by: ("X" one box only)
- a. ☐ By resolution duly adopted by the board of directors.
- b. ☒ By action of the registered agent.

(Note 5)

(Note 6)

SEE REVERSE SIDE FOR SIGNATURE(S).

7. (If authorized by the board of directors, sign here. See Note 5)

The undersigned corporation has caused this statement to be signed by a duly authorized officer who affirms, under penalties of perjury, that the facts stated herein are true.

Dated 10-6, 2004 Alternative Utility Services, Inc.
(Month & Day) (Year) (Exact Name of Corporation)
[Signature]
(Any Authorized Officer's Signature)
Eric A. Kreiss, President
(Type or Print Name and Title)

(If change of registered office by registered agent, sign here. See Note 6)

The undersigned, under penalties of perjury, affirms that the facts stated herein are true.

Dated _____, _____, _____
(Month & Day) (Year) (Signature of Registered Agent of Record)

(Type or print name. If the registered agent is a corporation, type or print the name and title of the officer who is signing on its behalf.)

NOTES

1. The registered office may, but need not be the same as the principal office of the corporation. However, the registered office and the office address of the registered agent must be the same.
2. The registered office must include a street or road address; a post office box number alone is not acceptable.
3. A corporation cannot act as its own registered agent.
4. If the registered office is changed from one county to another, then the corporation must file with the recorder of deeds of the new county a certified copy of the articles of incorporation and a certified copy of the statement of change of registered office. Such certified copies may be obtained ONLY from the Secretary of State.
5. Any change of registered agent must be by resolution adopted by the board of directors. This statement must then be signed by a duly authorized officer.
6. The registered agent may report a change of the registered office of the corporation for which he or she is registered agent. When the agent reports such a change, this statement must be signed by the registered agent. If a corporation is acting as the registered agent, a duly authorized officer of such corporation must sign this statement.

UNITED STATES OF AMERICA
STATE OF OHIO
OFFICE OF THE SECRETARY OF STATE

I, Jon Husted, do hereby certify that I am the duly elected, qualified and present acting Secretary of State for the State of Ohio, and as such have custody of the records of Ohio and Foreign business entities; that said records show ALTERNATIVE UTILITY SERVICES INC., an Illinois corporation, having qualified to do business within the State of Ohio on July 5, 2011 under License No. 2032329 is currently in GOOD STANDING upon the records of this office.



Witness my hand and the seal of the Secretary of State at Columbus, Ohio this 26th day of September, A.D. 2017.

A handwritten signature in cursive script that reads "Jon Husted".

Ohio Secretary of State

Validation Number: 201726900750

Exhibit B-1 “Jurisdictions of Operation,”

State	Licensed?	Operations
AR	Not Required	Currently doing business as a broker not taking title to the energy
CT	Not Required	Aggregator not engaged in the purchase or resale of electric generation services
DC	Yes	Currently doing business as an electricity supplier, not taking title to the electricity under docket number: EA 2014-20-5
DE	Yes	Currently doing business as an electricity broker, not taking title to the electricity under PSC docket number 14-0233
FL	Not Required	Currently doing business as a broker not taking title to the energy
GA	Not Required	Currently doing business as a broker not taking title to the energy
IL	Yes	Licensed under docket # 09-0574
IN	Not Required	Currently doing business as a broker not taking title to the energy
MA	Yes	Competitive Electric Broker license number EB-250
MD	Yes	Licensed to supply electric generation services under license Ref # IR-2579
ME	Yes	Licensed to operate as a competitive electricity provider furnishing aggregator/broker services under Docket ID # 2011 - 312
MI	Not Required	Broker not engaged in the selling of electricity to customers
NJ	Yes	Licensed as an Energy Agent, Private Aggregator, and Consultant under Registration # EA – 0123, PA – 0094 and EC - 0073
NY	Not Required	Currently doing business as energy broker and aggregator
OK	Not Required	Currently doing business as broker
OH	Yes	Licensed as a Competitive Retail Electric Service Provider and Natural Gas Aggregator/Broker under Certificate No. 11-387E (2) and 11-230G (2)
PA	Yes	Licensed as an electric generation supplier under Docket A-2011-2261520; Licensed as a broker/aggregator under docket A-2013-2393189
RI	Not Required	Broker not engaged in the purchase or resale of electric generation services

Exhibit B-2 "Experience & Plans,"

Section 4929.22 of the Revised Code applies to an applicant seeking the title of retail natural gas supplier or governmental aggregator, and although the applicant falls under the definition of "Retail natural gas supplier" which includes a marketer, broker, or aggregator, applicant feels that as a broker/aggregator who does not take title to the gas, the requirements set forth in this section do not apply:

A) Contract disclosure. (B) Service qualification and termination. (C) Minimum content of customer bills. (D) Disconnection and service termination, including requirements with respect to master-metered buildings. (E) Minimum service quality, safety, and reliability. (F) Customer information.

Applicant plans on negotiating competitive pricing and contracts for clients, which may include requesting contracts from providers, and sending on said contracts to the client for execution. At no point will the applicant assume legal responsibility for the client. During the pricing process, applicant agrees to disclose all aspects of each providers pricing and present said pricing in a clear and non-discriminatory way.

Billing statements will be provided and distributed by the gas provider and not by applicant. Applicant will be available Monday through Friday 8:30 am CST to 5:00 pm CST to respond to customer inquiries and complaints at the 800 number listed on the application.

Applicant will not be acting as an agent for the client and will not be involved with termination, disconnections, or any change in service. This will be handled by the actual supplier of the gas.

Exhibit B-3 "Summary of Experience,"

Applicant is currently providing service for natural gas customers in the majority of all deregulated utilities where they are licensed. A small snapshot of the number and contracted load size (in therms) of contracted customers is below:

Clients	Incumbent	State	Contract Volume
11	Pacific Gas & Electric (PG&E)	California	796,838
7	Southern California Gas Company (SoCal)	California	384,853
5	San Diego Gas & Electric Co (SDG&E)	California	211,615
50	Xcel Energy dba Public Service Company of Colorado (PSCo)	Colorado	3,830,847
1	Connecticut Natural Gas Corporation	Connecticut	437,136
1	Washington Gas (Washington Gas Light Co) of DC	District of Columbia	126,516
15	TECO Peoples Gas	Florida	811,682
4	Atlanta Gas Light Company	Georgia	73,864
141	Nicor Gas	Illinois	12,297,725
159	Peoples Gas Light and Coke Company	Illinois	25,018,415
27	North Shore Gas Company	Illinois	929,192
148	Northern Indiana Public Service Company (NIPSCO)	Indiana	7,800,434
1	Atmos Energy of Kansas	Kansas	380,409
3	Columbia Gas	Kentucky	894,150
4	National Grid	Massachusetts	681,364
12	Consumers Energy Company	Michigan	1,480,327
11	MichCon (Michigan Consolidated Gas Co.)	Michigan	2,511,282
6	SEMCO Energy Gas Company:	Michigan	425,002
1	Michigan Gas Utilities Corporation	Michigan	241,641
2	Elizabethtown Gas Company	New Jersey	728,824
24	Public Service Electric and Gas Company (PSE&G)	New Jersey	1275348
5	New Jersey Natural Gas Company	New Jersey	62,977
13	South Jersey Gas Company	New Jersey	79,507
1	New Mexico Gas Company (NMGC)	New Mexico	15,482
3	Consolidated Edison Co of New York (Con Edison)	New York	n/a
1	Piedmont Natural Gas	North Carolina	570000
7	Dominion East Ohio dba The East Ohio Gas Company	Ohio	1,002,471
1	Vectren Energy Delivery of Ohio Inc	Ohio	359,772
4	Duke Energy Ohio	Ohio	26,190
2	Oklahoma Natural Gas Company (ONG)	Oklahoma	966,108
3	UGI Gas Services	Pennsylvania	n/a
1	Equitable Gas Company of Pennsylvania	Pennsylvania	71,100
1	Philadelphia Gas Works	Pennsylvania	51,960
1	National Fuel Gas Distribution Corporation	Pennsylvania	53,730
1	National Grid Gas of Rhode Island	Rhode Island	228,256
4	Centerpoint Energy	Texas	847,648
3	Texas Gas Service	Texas	97,500
21	WE Energies	Wisconsin	3,355,361

Exhibit B-4 "Disclosure of Liabilities and Investigations,"

There has been no such existing, pending or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or any other matter that could adversely impact the applicant's financial or operational status or ability to provide the services it is seeking to be certified to provide.

Exhibit C-1 “Annual Reports,”

Applicant is a privately held company with no shareholders and therefore does not have annual reports to submit.

Exhibit C-2 “SEC Filings,”

Applicant is a privately held company with assets less than \$10 million and is not required to file with the SEC.

Exhibit C-3 "Financial Statements,"

**ALTERNATIVE UTILITY SERVICES, INC.
LAKE GENEVA, WI**

**COMPILED
FINANCIAL STATEMENT**

DECEMBER 31, 2015

**COMPILED
INTERIM FINANCIAL STATEMENT
JUNE 30, 2016**

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Carlson & Associates CPAs, Inc.

Certified Public Accountants

INDEPENDENT ACCOUNTANT'S COMPILATION REPORT

To Management:
Alternative Utility Services, Inc.
Lake Geneva, WI

We have compiled the accompanying statements of assets, liabilities, and equity – modified cash basis of Alternative Utility Services, Inc (an Illinois corporation operating in Wisconsin) as of December 31, 2015 and June 30, 2016, and the related statements of revenues and expenses – modified cash basis for the year ended and the interim period of January 1, 2016 through June 30, 2016, and for determining that the modified cash basis of accounting is an acceptable financial reporting framework. We have performed a compilation engagement in accordance with Statements on Standards for Accounting and Review Services promulgated by the Accounting and Review Services Committee of the AICPA. . We did not audit or review the accompanying financial statements nor were we required to perform any procedures to verify the accuracy or completeness of the information provided by management. Accordingly, we do not express an opinion, a conclusion, nor provide any assurance on these financial statements.

The financial statements are prepared in accordance with the modified cash basis of accounting, which is a basis of accounting other than accounting principles generally accepted in the United States of America.

Management has elected to omit substantially all of the disclosures ordinarily included in financial statements prepared in accordance with the modified cash basis of accounting. If the omitted disclosures and statement of cash flows were included in the financial statements, they might influence the user's conclusions about the Company's assets, liabilities, equity, revenues, and expenses. Accordingly, the financial statements are not designed for those who are not informed about such matters.


CARLSON & ASSOCIATES CPAs, INC.

Lake Geneva, WI
July 21, 2016

ALTERNATIVE UTILITY SERVICES, INC
STATEMENTS OF ASSETS, LIABILITIES, AND EQUITY - MODIFIED CASH BASIS
As of December 31, 2015 and Six Months Ended June 30, 2016

	<u>December 31, 2015</u>	<u>June 30, 2016</u>
<u>ASSETS</u>		
CURRENT ASSETS		
Checking	\$ 53,755	\$ 150,183
DWOLLA	-	36,957
Money Market	109,558	285,684
Note Receivable	10,000	10,000
PJM Credit	463	463
Prepaid Expenses	40,050	-
Prepaid Utilities	1,476	-
Total Current Assets	<u>215,302</u>	<u>483,287</u>
FIXED ASSETS		
Fixed Assets	483,576	485,956
Less: Accumulated Depreciation	<u>(106,795)</u>	<u>(126,944)</u>
Total Fixed Assets	<u>376,781</u>	<u>359,012</u>
OTHER ASSETS		
Security Deposits	<u>1,200</u>	<u>1,200</u>
TOTAL ASSETS	<u>\$ 593,283</u>	<u>\$ 843,499</u>
<u>LIABILITIES</u>		
CURRENT LIABILITIES		
Credit Cards	\$ 4,162	\$ 6,279
Total Current Liabilities	<u>4,162</u>	<u>6,279</u>
LONG TERM LIABILITIES		
Community Green Energy Loan	15,228	65
KMV Loan	144,647	100,453
Shareholder Loan	<u>8,007</u>	<u>8,007</u>
Total Long Term Liabilities	<u>167,882</u>	<u>108,525</u>
TOTAL LIABILITIES	<u>172,044</u>	<u>114,804</u>
<u>STOCKHOLDER'S EQUITY</u>		
STOCKHOLDER'S EQUITY		
Common Stock	40,072	40,072
Retained Earnings	134,740	399,166
Treasury Stock	(18,000)	(28,500)
Net Income	<u>264,427</u>	<u>317,957</u>
Total Stockholder's Equity	<u>421,239</u>	<u>728,695</u>
TOTAL LIABILITIES AND STOCKHOLDER'S EQUITY	<u>\$ 593,283</u>	<u>\$ 843,499</u>

ALTERNATIVE UTILITY SERVICES, INC
 STATEMENTS OF REVENUES, EXPENSES - MODIFIED CASH BASIS
 For Year End December 31, 2015 and Six Months Ended June 30, 2016

	<u>December 31, 2015</u>	<u>June 30, 2016</u>
REVENUES		
Sales	\$ 2,071,427	\$ 1,316,335
Commissions	21,640	7,415
Other Income	30	34
	<u>2,093,097</u>	<u>1,323,784</u>
Net Revenues		
	<u>2,093,097</u>	<u>1,323,784</u>
 COST OF GOODS SOLD		
Outside Services	<u>871,867</u>	<u>552,533</u>
 GROSS PROFIT	 <u>\$ 1,221,230</u>	 <u>\$ 771,251</u>

ALTERNATIVE UTILITY SERVICES, INC
STATEMENTS OF REVENUES, EXPENSES - MODIFIED CASH BASIS
For Year End December 31, 2015 and Six Months Ended June 30, 2016

	<u>December 31, 2015</u>	<u>June 30, 2016</u>
EXPENSES		
Advertising & Marketing	\$ 21,665	\$ 6,954
Bank Service Charges	785	1,433
Bond Renewal	1,000	800
Building	2,042	320
Depreciation	22,885	20,148
Donation	200	150
Dues and Subscriptions	6,403	3,165
Insurance	8,879	-
Legal Fees	3,720	-
Maintenance	4,490	2,907
Marketing	19,813	6,582
Miscellaneous Expenses	46	-
Monthly Assessment Dues	5,220	4,688
Office	16,793	10,240
Payroll Expenses	594,320	282,515
Postage and Shipping	1,411	494
Registration	569	412
Rent	36,942	23,314
Taxes and Licenses	10,706	11,881
Technical Services	110,531	28,213
Temporary Labor	46,066	25,496
Training & Recruitment	3,727	3,896
Travel and Entertainment	19,231	6,614
Utilities	19,224	12,945
Total Expenses	<u>956,668</u>	<u>453,167</u>
NET ORDINARY INCOME	264,562	318,084
OTHER INCOME (EXPENSE)		
Interest Income	202	64
Other Expense	(337)	(191)
Total Other Income (Expense)	<u>(135)</u>	<u>(127)</u>
NET INCOME	<u>\$ 264,427</u>	<u>\$ 317,957</u>

**ALTERNATIVE UTILITY SERVICES, INC.
LAKE GENEVA, WI**

COMPILED FINANCIAL STATEMENTS

DECEMBER 31, 2016

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Carlson & Associates CPAs, Inc.

Certified Public Accountants

INDEPENDENT ACCOUNTANT'S COMPILATION REPORT

To Management:
Alternative Utility Services, Inc.
Lake Geneva, WI

We have compiled the accompanying statements of assets, liabilities, and equity – modified cash basis of Alternative Utility Services, Inc (an Illinois corporation operating in Wisconsin) as of December 31, 2016, and the related statements of revenues and expenses – modified cash basis for the year ended and for determining that the modified cash basis of accounting is an acceptable financial reporting framework. We have performed a compilation engagement in accordance with Statements on Standards for Accounting and Review Services promulgated by the Accounting and Review Services Committee of the AICPA. . We did not audit or review the accompanying financial statements nor were we required to perform any procedures to verify the accuracy or completeness of the information provided by management. Accordingly, we do not express an opinion, a conclusion, nor provide any assurance on these financial statements.

The financial statements are prepared in accordance with the modified cash basis of accounting, which is a basis of accounting other than accounting principles generally accepted in the United States of America.

Management has elected to omit substantially all of the disclosures ordinarily included in financial statements prepared in accordance with the modified cash basis of accounting. If the omitted disclosures and statement of cash flows were included in the financial statements, they might influence the user's conclusions about the Company's assets, liabilities, equity, revenues, and expenses. Accordingly, the financial statements are not designed for those who are not informed about such matters.


CARLSON & ASSOCIATES CPAs, INC.

Lake Geneva, WI
March 22, 2017

924 Williams Street Lake Geneva, WI 53147
Telephone: 262-249-2400 Fax: 262-249-1500
Web-site: www.carlson-cpas.com

ALTERNATIVE UTILITY SERVICES, INC
STATEMENT OF ASSETS, LIABILITIES, AND EQUITY - MODIFIED CASH BASIS
As of December 31, 2016

ASSETS

CURRENT ASSETS

Checking Account	\$ 22,668
Money Market Account	260,826
Note Receivable	10,000
Prepaid Federal Taxes	3,280
Prepaid Utilities	2,179
Undeposited Funds	16,778
Total Current Assets	<u>315,731</u>

FIXED ASSETS

Fixed Assets	487,375
Less: Accumulated Depreciation	<u>(146,786)</u>
Total Fixed Assets	<u>340,589</u>

OTHER ASSETS

Security Deposits	<u>1,200</u>
-------------------	--------------

TOTAL ASSETS **\$ 657,520**

LIABILITIES

CURRENT LIABILITIES

Credit Cards	\$ 3,796
Due from Green Leaf Inn	<u>64</u>
Total Current Liabilities	<u>3,860</u>

LONG TERM LIABILITIES

KMV Loan	68,885
Shareholder Loan	<u>8,006</u>
Total Long Term Liabilities	<u>76,891</u>

TOTAL LIABILITIES **80,751**

STOCKHOLDER'S EQUITY

STOCKHOLDER'S EQUITY

Common Stock	40,072
Retained Earnings	370,666
Net Income	<u>166,031</u>
Total Stockholder's Equity	<u>576,769</u>

**TOTAL LIABILITIES
AND STOCKHOLDER'S EQUITY** **\$ 657,520**

ALTERNATIVE UTILITY SERVICES, INC
STATEMENT OF REVENUES, EXPENSES, AND RETAINED EARNINGS -MODIFIED CASH BASIS
For Year End December 31, 2016

REVENUES

Sales	\$ 2,224,922
Commissions	7,215
Other Income	<u>85</u>
Net Revenues	<u>2,232,222</u>

COST OF GOODS SOLD

Cost of Good Sold	677
Outside Services	<u>1,070,085</u>
Total Cost of Goods Sold	<u>1,070,762</u>

GROSS PROFIT

\$ 1,161,460

ALTERNATIVE UTILITY SERVICES, INC
STATEMENT OF REVENUES, EXPENSES, AND RETAINED EARNINGS -MODIFIED CASH BASIS
For Year End December 31, 2016

EXPENSES

Advertising & Marketing	\$ 36,853
Automobile Expense	761
Bank Service Charges	1,675
Bond Renewal	1,200
Building	469
Depreciation	39,990
Donation	250
Dues and Subscriptions	8,247
Insurance	8,806
Lease Payments	14,375
Legal Fees	3,400
Maintenance	4,754
Office	22,920
Payroll Expenses	639,233
Postage and Shipping	2,660
Registration	2,448
Rent	38,064
Sales Tax Expense	748
Taxes and Licenses	14,594
Technical Services	62,985
Temporary Labor	39,332
Training & Recruitment	6,134
Travel and Entertainment	16,416
Utilities	28,104
Total Expenses	<u>994,418</u>

NET ORDINARY INCOME **167,042**

OTHER INCOME (EXPENSE)

Interest Income	247
Other Income	21
Federal Tax Expense	(979)
Other Expense	(300)
Total Other Income (Expense)	<u>(1,011)</u>

NET INCOME **166,031**

BEGINNING RETAINED EARNINGS

370,666

ENDING RETAINED EARNINGS

\$ 536,697

Exhibit C-4 “Financial Arrangements,”

n/a

Exhibit C-5 “Forecasted Financial Statements,”

**ALTERNATIVE UTILITY SERVICES, INC.
LAKE GENEVA, WI**

FORECASTED FINANCIAL STATEMENTS

**FOR THE TWO YEARS ENDING
DECEMBER 31, 2018, AND 2019**

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Carlson & Associates CPAs, Inc.

Certified Public Accountants

To Management:
Alternative Utility Services, Inc.
Lake Geneva, WI

We have compiled the accompanying forecasted statements of assets, liabilities, and equity – modified cash basis of Alternative Utility Services, Inc (a C-Corporation) for the next two years, December 31, 2018, and 2019, and the related statements of revenues, expenses, and retained earnings – modified cash basis for the periods then ending in accordance with attestation standards established by the American Institute of Certified Public Accountants.

A compilation is limited to presenting in the form of forecast information that is the representation of management and does not include evaluation of the support for the assumptions underlying the forecast. We have not examined the forecasts and, accordingly, do not express an opinion or any other form of assurance on the accompanying statements or assumptions. Furthermore, there will usually be differences between the forecasted and actual results, because events and circumstances frequently do not occur as expected, and those differences may be material. We have no responsibility to update this report for events and circumstances occurring after the date of this report.


CARLSON & ASSOCIATES CPAs, INC.

Lake Geneva, WI
July 31, 2017

924 Williams Street Lake Geneva, WI 53147
Telephone: 262-249-1400 Fax: 262-249-1500
Web-site: www.carlson-cpas.com

ALTERNATIVE UTILITY SERVICES, INC
FORECASTED STATEMENTS OF ASSETS, LIABILITIES, AND EQUITY - MODIFIED CASH BASIS
As of December 31, 2018, and 2019

<u>ASSETS</u>			
CURRENT ASSETS		<u>2018</u>	<u>2019</u>
Checking		\$ 518,874	\$ 300,275
Accounts Receivable		<u>15,633</u>	<u>10,000</u>
Total Current Assets		<u>534,507</u>	<u>310,275</u>
FIXED ASSETS			
Fixed Assets		215,363	487,375
Less: Accumulated Depreciation		<u>142,216</u>	<u>146,785</u>
Total Fixed Assets		<u>73,147</u>	<u>340,590</u>
OTHER ASSETS			
Payroll Exchange		8,500	-
Prepaid assets		-	5,460
Security Deposits		<u>1,200</u>	<u>1,200</u>
Total Other Assets		<u>9,700</u>	<u>6,660</u>
TOTAL ASSETS		<u>\$ 617,354</u>	<u>\$ 657,525</u>
<u>LIABILITIES</u>			
CURRENT LIABILITIES			
Accrued 401K		\$ 24,500	\$ 19,100
Accounts Payable		-	-
Total Current Liabilities		<u>24,500</u>	<u>19,100</u>
LONG TERM LIABILITIES			
Shareholder Loan		-	8,000
Total Long Term Liabilities		<u>-</u>	<u>8,000</u>
TOTAL LIABILITIES		<u>24,500</u>	<u>27,100</u>
<u>STOCKHOLDER'S EQUITY</u>			
STOCKHOLDER'S EQUITY			
Common Stock		40,072	40,072
Retained Earnings		477,288	552,782
Treasury Stock		-	(125,719)
Net Income		<u>75,494</u>	<u>163,290</u>
Total Stockholder's Equity		<u>592,854</u>	<u>630,425</u>
TOTAL LIABILITIES AND STOCKHOLDER'S EQUITY		<u>\$ 617,354</u>	<u>\$ 657,525</u>

ALTERNATIVE UTILITY SERVICES, INC
STATEMENTS OF FORECASTED REVENUES, EXPENSES, AND RETAINED EARNINGS -MODIFIED CASH BASIS
For Years Ending December 31, 2018, and 2019

REVENUES	<u>2018</u>	<u>2019</u>
Sales	\$ 1,848,000	\$ 2,231,900
Commissions	363,825	-
Refunds	3,465	3,800
Lease Income	2,888	3,200
	<hr/>	<hr/>
Net Revenues	2,218,178	2,238,900
	<hr/>	<hr/>
 COST OF GOODS SOLD		
Cost of Good Sold	35,090	39,250
Outside Services	941,325	1,070,000
	<hr/>	<hr/>
Total Cost of Goods Sold	976,415	1,109,250
	<hr/>	<hr/>
 GROSS PROFIT	 \$ 1,241,763	 \$ 1,129,650

ALTERNATIVE UTILITY SERVICES, INC
STATEMENTS OF FORECASTED REVENUES, EXPENSES, AND RETAINED EARNINGS -MODIFIED CASH BASIS
For Years Ending December 31, 2018, and 2019

EXPENSES		
Administration	\$ 817	\$ 850
ADP Total Source	816,750	639,230
Advertising	36,179	21,170
Bank Service Charges	762	1,675
Bond Renewal	908	1,200
Building Repairs	968	470
Depreciation	20,570	39,990
Donation	1,186	250
Dues and Subscriptions	16,335	8,250
Employee Reimbursements	121	135
Insurance	10,285	8,810
Lease Payments	303	340
Legal & Professional fees	18,150	3,400
Maintenance	9,680	4,750
Marketing Fees	4,840	15,700
Office	20,570	20,900
Outside Payroll Service	30,250	32,000
Postage and Shipping	1,452	2,660
Registration	2,904	2,400
Rent	14,520	38,100
Repairs	605	700
Taxes and Licenses	4,356	7,500
Technical Services	90,750	62,700
Training & Recruitment	2,541	6,150
Travel and Entertainment	16,939	16,200
Utilities	24,200	28,100
Total Expenses	<u>1,146,941</u>	<u>963,630</u>
NET ORDINARY INCOME	94,822	166,020
OTHER INCOME (EXPENSE)		
Other Income	1,452	270
Income Tax	(18,965)	(1,000)
Nondeductible Expense	<u>(1,815)</u>	<u>(2,000)</u>
NET INCOME	75,494	163,290
TREASURY STOCK		(106,619)
BEGINNING RETAINED EARNINGS	<u>477,288</u>	<u>552,782</u>
ENDING RETAINED EARNINGS	<u><u>\$ 552,782</u></u>	<u><u>\$ 609,453</u></u>

ALTERNATIVE UTILITY SERVICES, INC.
STATEMENTS OF FORECASTED CASH FLOWS
For the Next Two Years Ending December 31, 2018, and 2019

	<u>12/31/18</u>	<u>12/31/19</u>
CASH FLOWS FROM OPERATING ACTIVITIES		
Net Income (loss)	\$ 75,494	\$ 163,290
Adjustments to reconcile excess of revenues over expenses to net cash provided by operating activities		
Depreciation	20,570	39,990
(Increase) decrease in:		
Accounts Receivable	58,207	(5,633)
Inventory	-	-
Payroll Exchange	(1,000)	(8,500)
Increase (decrease) in:		
Accounts Payable	-	-
401K Payable	2,225	(24,500)
NET CASH PROVIDED (USED) BY OPERATING ACTIVITIES	<u>155,496</u>	<u>164,647</u>
 CASH FLOWS FROM INVESTING ACTIVITIES		
Fixed Asset purchases	<u>(6,273)</u>	<u>(391,246)</u>
NET CASH PROVIDED (USED) BY INVESTING ACTIVITIES	<u>(6,273)</u>	<u>(391,246)</u>
 CASH FLOWS FROM FINANCING ACTIVITIES		
Officer Loan	<u>(24,000)</u>	<u>8,000</u>
NET CASH PROVIDED (USED) BY FINANCING ACTIVITIES	<u>(24,000)</u>	<u>8,000</u>
 NET INCREASE (DECREASE) IN CASH	125,223	(218,599)
 CASH AT BEGINNING OF YEAR	<u>\$ 393,651</u>	<u>\$ 518,874</u>
ENDING CASH	<u><u>\$ 518,874</u></u>	<u><u>\$ 300,275</u></u>

ALTERNATIVE UTILITY SERVICES, INC. (AUS)
SUMMARY OF SIGNIFICANT FORECAST ASSUMPTIONS AND ACCOUNTING POLICIES

NOTE A – NATURE OF THE BUSINESS

AUS incorporated in the State of Illinois in 1993 and is currently based in Wisconsin. The primary purpose is to market utilities across the country. It grew out of a research and development group designing and building modular cogeneration units which burned natural gas and generated electricity onsite (now called distributed generation). AUS markets deregulated utilities across the country through independent agents and consultants. AUS reviews the client's needs and then source suppliers and pricing from multiple sources for the Agent to present.

NOTE B – NATURE OF THE FORECASTS

These financial forecasts present, to the best of management's knowledge and belief, the company's expected financial position, results of operations, and cash flows for the forecast periods. Accordingly, the forecasts reflect its judgment as of July 31, 2017, the date of these forecasts, of the expected conditions and its expected course of action. The assumptions disclosed herein are those that management believes are significant to the forecasts. There will usually be differences between the forecasted and actual results, because events and circumstances frequently do not occur as expected, and those differences may be material.

NOTE C – BASIS OF ACCOUNTING

The accompanying forecasts use the modified cash method of accounting that the Company intends to use for federal income tax and financial reporting purposes, which differs from generally accepted accounting principles.

NOTE D – NATURE OF OPERATIONS DURING THE FORECAST PERIOD

The company will gradually change its operation to the following:

1. Increase annual sales by expanding its current market
2. Increase marketing exposure by expanding the number of independent agents and consultants
3. Develop new sources of revenue by increasing the number of referral partners

NOTE E – SALES

The accompanying forecasts assume that sales will increase on an annual basis and takes into consideration the potential increase in demand for green energy. Contracts with energy suppliers and customers are entered into and renewed on an annual basis. These forecasted financials include commission income received from nationally-located suppliers for services provided to Ohio end-users and are reported as income in the State of Wisconsin.

NOTE F – FIXED ASSETS

The Company's fixed assets include equipment, office furniture and leasehold improvements. All assets reflected in the accompanying forecast are listed as book value. All assets reflected in these statements are depreciated using the straight-line method of depreciation.

NOTE G – DEBT

The accompanying forecast reflects a long term debt payable to the shareholder and is projected to be paid by the year ended December 31, 2019.

NOTE H – ACCRUED 401(K)

The accrued 401(k) liability reflected in the accompanying forecasts consist of an estimated amount due to the outside payroll and human resource company that provide all contracted services for the Company's operations.

NOTE I – EXPENSES


The following summarizes significant assumptions for forecasted expenses other than interest:

1. All salaries and related expenses are serviced by ADP Total Source (ADP). ADP is considered the employer and the Company is currently under contract with ADP.
2. All independent agents, referral partners and associates are paid a commission based upon a rate schedule of generated revenue.
3. The Company has contracted with an outside firm to provide technical support services.
4. The Company is anticipating an increase in advertising in order to generate additional revenues during 2018 and forecasted to decrease advertising in 2019.

Exhibit C-6 “Credit Rating,”

Applicant’s credit rating with D&B is 2R2. Applicant’s credit rating as reported with another company is unavailable but can be provided if necessary, and there is no substitute as a parent company or affiliate is unavailable. Please see detail of D&B credit report.

Exhibit C-7 "Credit Report,"



ATTN: National Business
Report Edited: June 26, 2011


Live Report: ALTERNATIVE UTILITY SERVICES, INC

CAI File # Number: 14-171-2149
Trade names: See trade names for this company.


D&B Address
Address: 750 Veterans Drive Ste 104
Lake Geneva, WI 53147
Phone: (262) 245-2880
Fax:

Location Type: Single location
Web: www.ausenergy.com


Company Summary

Trade Payments - Timeliness of Historical Payments
 When weighed by amount, payments to suppliers average generally within terms.



This assessment is based on D&B's 12 month PAYDEX Score.

Predictive Indicators - Risk of Payment Delinquency


This assessment is based on D&B's Commercial Credit Score.

Predictive Indicators - Risk of Financial Stress
 Low To Moderate risk of severe financial stress over the next 12 months.


This assessment is based on D&B's Financial Stress Score.

Predictive Indicators - Supplier Evaluation Risk
 Moderate risk of supplier experiencing severe financial stress over the next 12 months.


This assessment is based on D&B's Supplier Evaluation Risk Rating.

History & Operations
 This is a single location.
Mailing Address: PO Box 200
Address: Lake Geneva, WI 53147
Chief Executive: F. MICHAEL ARBES, PRESIDENT
Year Started: 1999
Employees: 9
SIC: 4812-10
Line of Business: Natural gas transmission; water supply utilities
NAICS: 481210
History Status: CLEAR

Predictive Indicators - Credit Capacity
D&B RATINGS: D40
Number of employees: 24 - indicates 1 to 3 employees.
Corporate credit approach: 2 - is good.
 This assessment is based on D&B's D&B Rating.

Public Filings

Company Filings

The following data includes both open and closed filings found in USPTO's database on this company.

Record Type	Number of Records	Most Recent Filing Date
Applications	0	
Examinations	0	
USPTO	0	
State	0	
USDC	0	

The public record items contained herein may have been paid, terminated, updated or released prior to today's date.

Predictive Indicators

Company: [Show All USPTO](#) unless otherwise indicated 

Credit Capacity Summary

This credit rating was assigned relative to D&B's assessment of the company's creditworthiness. For more information, see the [D&B Rating Key](#).

D&B Rating: **2R2**

Number of employees: 25. Indicates: 1 to 9 employees
Composite credit appraisal: 2 is good

The 1R and 2R ratings categories reflect company size based on the total number of employees for the business. They are assigned to business lines that do not contain a rating Analysis statement. In 1R and 2R Ratings, the 2, 3, or 4 creditworthiness indicator is based on analysis by D&B of public filings, trade payments, business age and other relevant factors. 2 is the highest Composite Credit Appraisal a company not supplying D&B with current financial information can receive.

Below is an overview of the company's rating history since 07-02-1989.

D&B Rating	Date Applied
2R2	07-02-2000
1R2	07-02-1999

Number of Employees Total: 9

Payment Activity	(based on 11 experiences)
Average High Credit	50%
Highest Credit	2,500
Total Highest Credit	3,750

D&B Credit Limit Recommendation

Conservative credit limit	10,000
Aggressive credit limit	25,000
Risk category for this business:	LOW



This recommended Credit Limit is based on the company profile and on profiles of other companies with similarities in size, industry, and credit usage.

Risk is assessed using D&B's scoring methodology and is one factor used to create the recommended 2 limits. See Help for details.

Financial Stress Class Summary

The Financial Stress Score predicts the likelihood of a firm paying business without paying all creditors in full, or reorganization or obtaining relief from creditors under state Federal law over the next 12 months. Scores were calculated using a statistically valid model derived from D&B's extensive data file.

The Financial Stress Class of 2 for this company shows that firms with this class had a failure rate of 0.09% (9 per 10,000), which is lower than the average of businesses in D & B's database.

Financial Stress Class :



Moderate risk of severe financial stress, such as a bankruptcy, over the next 12 months.

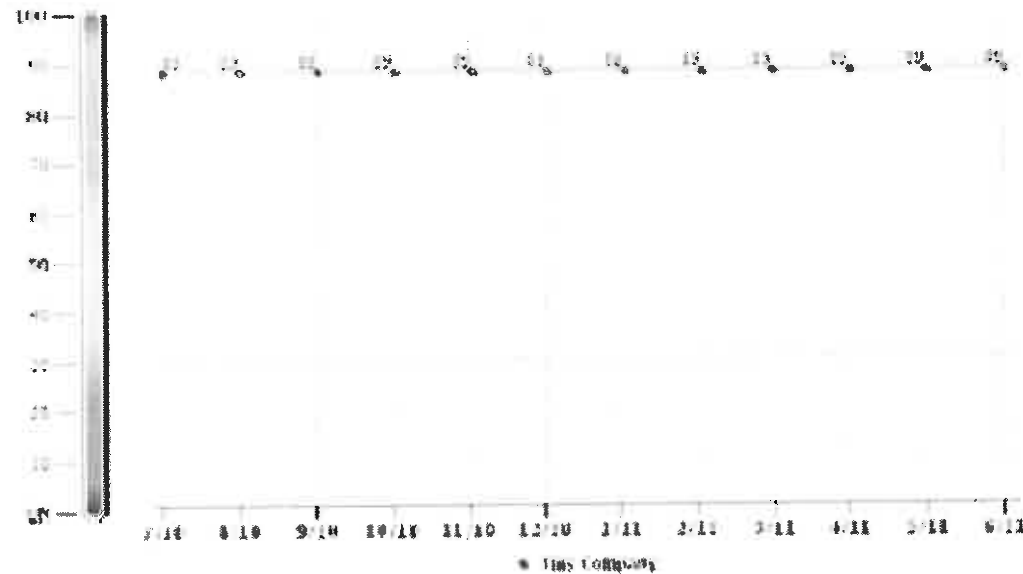
Probability of Failure

- Among Businesses with this Class: **0.09 %** (9 per 10,000)
- Financial Stress National Percentile: **89** (Highest Risk: 1; Lowest Risk: 100)
- Financial Stress Score: **1660** (Highest Risk: 1,001; Lowest Risk: 1,875)
- Average of Businesses in D&B's database: **0.48 %** (48 per 10,000)

The Financial Stress Class of this business is based on the following factors:

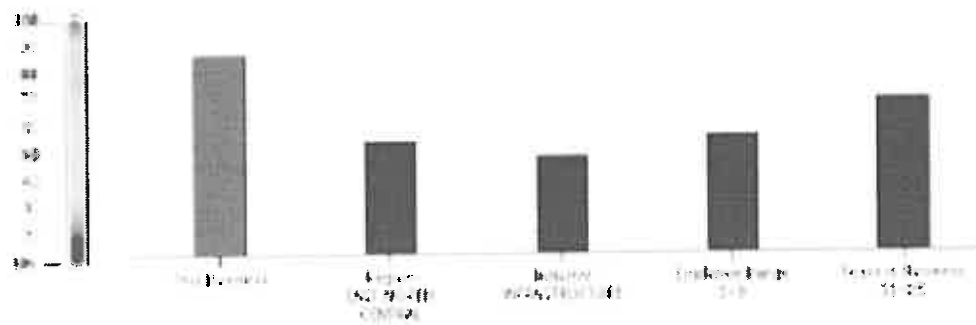
- Higher risk industry based on failure rates by industry.
- Higher risk state based on failure rates by state.

Financial Stress Percentile Trend:



Notes:

- The Financial Stress Class indicates that this firm shared some of the same business and financial characteristics of other companies with this classification. It does not mean the firm will necessarily experience financial stress.
- The Probability of Failure shows the percentage of firms in a given Class that discontinued operations over the past year with loss to creditors. The Probability of Failure - National Average represents the national failure rate and is provided for comparative purposes.
- The Financial Stress National Percentile reflects the relative ranking of a company among all scorable companies in D&B's file.
- The Financial Stress Score offers a more precise measure of the level of risk than the Class and Percentile. It is especially helpful to customers using a scoring approach to determining overall business performance.



Metric	National %
This Business	88
Region: EAST NORTH CENTRAL	50
Industry: INFRASTRUCTURE	43
Employee Range: 1-9	52
Years in Business: 11-25	66

This business has a Total Stress Percentile that shows:

- Lower risk than other companies in the same region.
- Lower risk than other companies in the same industry.
- Lower risk than other companies in the same employee size range.
- Lower risk than other companies with a comparable number of years in business.

Credit Score Summary

The Commercial Credit Score predicts the likelihood that a company will pay its bills in a severely delinquent manner (90 days or more past terms), obtain legal relief from creditors or cease operations without paying all creditors in full over the next 12 months. Scores are calculated using a statistically valid model derived from D&B's extensive data files. The Credit Score range of 1 to 100 shows that 6.0% of firms with this class paid one or more bills severely delinquent. Actual is lower than the average of businesses in D & B's database.

Credit Score Class

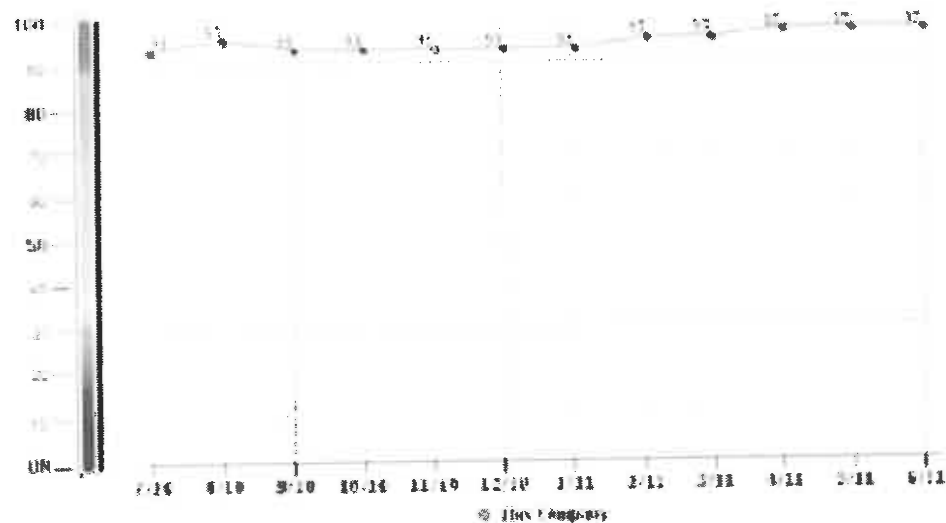


- Among Companies with this Credit Class: **8.00 %**
- Average compared to businesses in D&B's database: **25.60 %**
- Credit Score Percentile: **87** (Highest Risk: 1; Lowest Risk: 100)
- Credit Score: **650** (Highest Risk: 101; Lowest Risk: 670)

The Credit Score Class of this business is based on the following factors:

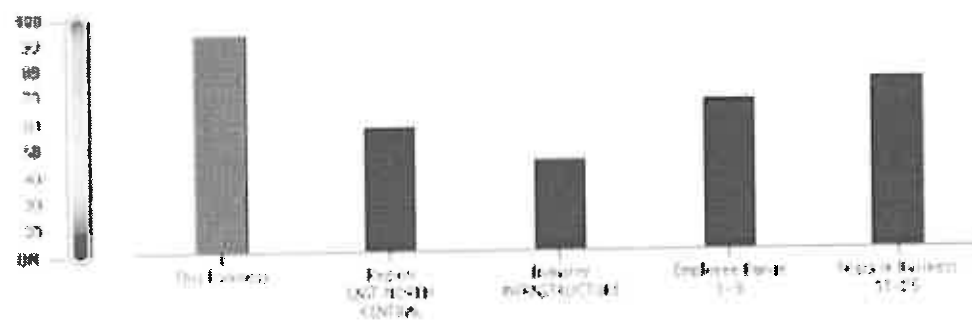
- Low number of satisfactory payments.
- General poor credit conditions.
- Low proportion of satisfactory payment experiences to total payment experiences.

Credit Score Class Percentile Trend



Notes:

- The Commercial Credit Score Risk Class indicates that this firm shared some of the same business and financial characteristics of other companies with this classification. It does not mean the firm will necessarily experience severe delinquency.
- The incidence of delinquency shows the percentage of firms in a given percentile that are likely to pay creditors in a severely delinquent manner. The average incidence of delinquency is based on businesses in D&B's database and is provided for comparative purposes.
- The Commercial Credit Score percentile reflects the relative ranking of a firm among all scorable companies in D&B's file.
- The Commercial Credit Score offers a more precise measure of the level of risk than the Risk Class and Percentile. It is especially helpful to customers using a scoring approach to determining overall business performance.



Metric	National %
This Business	97
Region: EAST NORTH CENTRAL	90
Industry: INFRASTRUCTURE	40
Employee range: 1-9	66
Years in business: 11-25	76

This business has a Credit Score Percentile that shows:

Lower risk than other companies in this same region.

Lower risk than other companies in the same industry.

Lower risk than other companies in the same employee size range.

Lower risk than other companies with a comparable number of years in business.

Predictive Indicators - Supplier Evaluation Risk

Rating

Supplier Evaluation Risk Rating: 3



- Average Payments are on terms.
- Average Industry Payments are 2 days beyond terms.
- Under present management control 18 years.

Trade Payments

Currency: Shown in USD unless otherwise indicated

Payment Summary

There are 11 payment experiences in D&Bs file for the most recent 24 months, with 8 experiences reported during the last three month period.

The highest **Net Due** value is 500. The highest **Past Due** value is 0.

Below is an overview of the company's supplier reported payments, segmented by its supplier primary industries.

	Total Rec'd (B)	Total Amts	Largest High Credit	Within Terms (%)	Days Over +31 31-60 61-90 90+ (%)(%)
Top Industries					
Unclassified	2	2,500	2,500	100	0 0 0 0
Insurance agent	2	50	50	100	0 0 0 0
Radio/television equipment	1	750	750	100	0 0 0 0
Personal credit	1	250	250	100	0 0 0 0
Non-commercial equip.	1	100	100	100	0 0 0 0
Other electrical equip.	1	50	50	100	0 0 0 0
Other payment categories					
Corp. expenditures	0	0	0		
Equipment repair/transport	0	0	0		
Unrecoverable amounts	0	0	0		
Filed for collection:					
Not Paid	0	0	0		
Other	0	N/A	0		
Total in D&Bs file	11	3,750	2,500		

Accounts are sometimes placed for collection, even though the balance or amount of the debt is disputed.

Instances of issues can be result of dispute over merchandise, shipped invoices, etc.

Detailed payment history for this company

Date	Rating	Last Date
------	--------	-----------

Reported (monthly)	Paying Record	High Credit	Now Owe	Past Due	Terms	Within (months)
05/11	Wgt	250	0	0		4-5 mos
	Wgt	50	0	0		4-5 mos
	Wgt	0	0	0		6-12 mos
04/11	Wgt	2,500	500	0		1 mo
	Wgt	250	0	0		1 mo
	Wgt	50	0	0	N/A	1 mo
11/08	(0000)	0	0	0	Cash account	6-12 mos
09/10	Wgt	100	100	0		1 mo
05/10	Wgt	50	0	0		
04/10	(010) Cash own option	0	0	0		6-12 mos
11/08	(010) Cash own option	0	0	0		6-12 mos

Payments Details: ☒ 30 or more days beyond terms

Payment experiences reflect how bills are paid in relation to the terms granted. In some instances payment beyond terms can be the result of disputes over non-funded, disputed invoices, etc. Each experience shown is from a separate supplier. Updated trade experiences replace those previously reported.

Public Filings

Currency: [Show in USD unless otherwise indicated](#) 

Summary

A search of D&B's public records database indicated that no filings were found for ALTERNATIVE UTILITY SERVICES, INC at 250 Veterans Hwy Ste 114 - Lisle, Illinois - WI.

D&B's extensive database of public record information is updated daily to ensure timely reporting on changes and updates. It includes business filings such as liens, judgments, bankruptcies, UCC financing statements and business registrations from every state and the District of Columbia, as well as select filing jurisdictions Puerto Rico and the U.S. Virgin Islands.

D&B collects public records through a combination of court reporters, third parties and direct electronic links with federal and local authorities. Its database of U.S. business-related filings is now the largest of its kind.

Government Activity

Activity summary

Buyer's Certificate	NO
Administrative Code	NO
Contractor	NO
Grantee	NO
Party excluded from federal program(s)	NO

Possible sanctions for anti-terrorism program consideration

Lawful Source Area	N/A
Small Business	YES (2011)
SA/MIN	N/A

The details provided in the Government Activity section are as reported to D&B & Bradstreet by the federal government and other sources.

History & Operations

Currency: Shown in USD unless otherwise indicated

Company Overview

Company Name:	ALTERNATIVE UTILITY SERVICES, INC.
Street Address:	750 Veterans Pkwy Ste 104 Lake Geneva, IL 60147
Mailing Address:	PO Box 250 Lake Geneva, IL 60147
Phone:	262 248 6630
URL:	http://www.azurenergy.com
History:	Is peer
Percent management control:	10 years

SIC & NAICS

SIC:
Based on information in our file, D&B has assigned this company an extended 8 digit SIC. D&B's use of 8 digit SICs enables us to be more specific about a company's operations than if we use the standard 4 digit code.
The 4 digit SIC number and its description on the Occupational Safety & Health Administration (OSHA) Web site. Links open in a new browser window.
4922 - 0000 - Natural gas transmission
4900 - 0000 - Combination utilities, net
NAICS:

49220 Pipeline transportation of Natural Gas
21119 Other Electric Power Generation

Financials

Currency: Shown in USD unless otherwise indicated

Key Business Ratios

D & B has been unable to obtain sufficient financial information from this company to calculate business ratios. Our search of additional outside sources also found no information available on its financial performance.
To help you in this instance, ratios for other firms in the same industry are provided below to support your analysis of the company.

Based on this Number of Establishments

24

	Industry Norms Based On 26 Establishments		
	This Business	Industry Median	Industry Quartile
Profitability			
Return on Sales	UN	26.0	UN
Return on Net Worth	UN	12.7	UN
Short-Term Solvency			
Current Ratio	UN	0.8	UN
Quick Ratio	UN	0.5	UN
Efficiency			
Assets/Gales (%)	UN	352.9	UN
Sales / Net Working Capital	UN	16.1	UN
Utilization			
Total Liabilities / Net Worth (%)	UN	126.2	UN

History & Operations

Currency: Shown in USD unless otherwise indicated

Company Overview

Company Name:	ALTERNATIVE UTILITY SERVICES, INC.
Street Address:	750 Veterans Frewy Ste 104 Lake Geneva, IL 60147
Mailing Address:	PO Box 250 Lake Geneva, IL 60147
Phone:	262 248 5000
URL:	http://www.auservices.com
Industry:	Is clear
Recent management control:	18 years

SIC & NAICS

SIC:	Based on information in our file, D&B has assigned this company an extended 8-digit SIC. D&B's use of 8-digit SICs enables us to be more specific about a company's operations than if we use the standard 4-digit code. The 4-digit SIC number (in the description at the Occupational Safety & Health Administration (OSHA) Web site) links you to a new browser window.
4902	000 Natural gas transmission
4900	000 Computation utility, nec
8400	
490210	Pipeline Transportation of Natural Gas
221110	Other Electric Power Generation

Financials

Currency: Shown in USD unless otherwise indicated

Key Business Ratios

D & B has been unable to obtain sufficient financial information from this company to calculate business ratios. Our check of additional outside sources also found no information available on its financial performance.

To help you in this instance, ratios for other firms in the same industry are provided below to support your analysis of this business.

Based on this number of Establishments

25

	Industry Norms Based On 26 Establishments		
	This Business	Industry Median	Industry Quartile
Profitability			
Return on Sales	UN	25.0	UN
Return on Net Worth	UN	12.7	UN
Short-Term Solvency			
Current Ratio	UN	0.8	UN
Quick Ratio	UN	0.0	UN
Efficiency			
Assets/Sales (%)	UN	352.9	UN
Spent / Net Working Capital	UN	16.1	UN
Utilization			
Total Liabilities / Net Worth (%)	UN	126.2	UN

Exhibit C-8 “Bankruptcy Information,”

Applicant has never sought bankruptcy, so this information is unavailable.

Exhibit C-9 “Merger Information,”

No dissolution, merger, or acquisition has ever occurred, so this information is unavailable.

Exhibit D-1 “Operations,”

Alternative Utility Services, Inc. (AUS) is a nationwide energy and expense reduction consulting firm with services ranging from energy procurement, demand side management, with additional services including telecom, credit card processing, demand response, waste/recycling and water/sewer solutions. AUS does arrange for the retail sale of electricity, electric related services, gas supply or gas related services but does not take title to the electric or gas sold.

Exhibit D-2 “Operations Expertise,”

Managerial Background

Fritz A. Kreiss (president) has been in business since 1993 selling energy through sales agents throughout the US. In 1993, he founded Alternative Utility Services, Inc. (AUS) with his wife, Catherine McQueen. AUS was established to promote and install commercial Combined Heat and Power (CHP) systems, and marked the beginning of Fritz’s continuing commitment to renewable green energy and sustainable building practices. Since 1993 AUS has expanded into the fields of energy management, energy brokering and utility consulting, working primarily in the deregulated natural gas and electric markets. AUS currently has more than 1,000 accounts in more than a dozen states.

Technical Requirements

AUS has procured electricity since 2002 and natural gas since 1993.

Memberships and Certifications

- Member in Good Standing of The American Solar Energy Society
- Member in Good Standing of the Association of Energy Services Professionals
- Certified as a Senior Member of The Association of Energy Engineers
- Certified as an Energy Procurement Professional by The Association of Energy Engineers
- Senior Member of the Demand-Side Management Society (DSMS)
- Senior Member in the Cogeneration & Competitive Power Institute (CCPI) of The Association of Energy Engineers
- Charter Member of the Energy Services of Marketing (ESM) Society
- Professional Member of the Society of Energy Professionals International (SEPI)
- Certificate of Completion: Fundamentals of Buying & Selling Energy, August 2007 World Congress Center, Atlanta, GA
- Published in Common Interest magazine Vol 14/NO 3 – Lights, Action Savings and Sustainable Living.

Exhibit D-3 “Key Technical Personnel,”

Fritz Kreiss

President

750 Veterans Pkwy Suite 104

PO Box 250

Lake Geneva, WI 53147

262-248-0930

F: 262-248-9005

fritzkr@communitygreenenergy.com

Catherine McQueen

Vice President - Secretary

750 Veterans Pkwy Suite 104

PO Box 250

Lake Geneva, WI 53147

262-248-0930

F: 262-248-9005

Catherine@theadmincenter.com

This foregoing document was electronically filed with the Public Utilities

Commission of Ohio Docketing Information System on

9/28/2017 3:54:01 PM

in

Case No(s). 11-5473-GA-AGG

Summary: Application for renewal of Alternative Utility Services, Inc. for certification as a Retail Natural Gas Aggregator/Broker filed by F. Kreiss electronically filed by Docketing Staff on behalf of Docketing