



Your Energy & Telecom Experts

18-468-GA-R66

March 14, 2018

Public Utilities Commission of Ohio
Docketing Division
180 East Broad Street
Columbus, OH 43215-3793

Re: Natural Gas Broker Application

Dear Sir/Madam:

Pursuant to PUCO rules and regulations, Cost Control Associates, Inc. (CCA), is providing an application for certification as a broker for the sale of natural gas to the public.

If you have any questions, please contact me directly at 518-824-0311 or via email at Dave.Sadlocha@CostControlAssociates.com.

Sincerely,

Dave Sadlocha
Senior Vice-President

Attachments

RECEIVED-DOCKETING DIV

2018 MAR 19 PM 2:50

PUCO

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Public Utilities Commission

PUCO USE ONLY -- Version 1.08 May 2016		
Date Received	Case Number	Certification Number
	18-468-GA-AGG	

INITIAL 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 be certified as: (check all that apply)

☐ Retail Natural Gas Aggregator ☒ Retail Natural Gas Broker

A-2 Applicant information:

Legal Name COST CONTROL ASSOCIATES, INC.
Address 310 BAY ROAD, QUEENSBURY, NY 12804
Telephone No. 518-798-4437 Web site Address COSTCONTROLASSOCIATES.COM

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

Name COST CONTROL ASSOCIATES, INC.
Address 310 BAY ROAD, QUEENSBURY, NY 12804
Web site Address COSTCONTROLASSOCIATES.COM Telephone No. 518-798-4437

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

COST CONTROL ASSOCIATES, INC.

A-5 Contact person for regulatory or emergency matters:

Name KHALIL CHOUKEIR Title ENERGY PROCUREMENT ANALYSIS
Business Address 310 BAY ROAD, QUEENSBURY, NY 12804
Telephone No. 518-798-4437 Fax No. 518-798-1735 Email Address KHALIL.CHOUKEIR@COSTCONT

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

Name KHALIL CHOUKEIR Title ENERGY PROCUREMENT ANALYST
Business address 310 BAY ROAD, QUEENSBURY, NY 12804
Telephone No. 518-798-4437 Fax No. 518-798-1735 Email Address KHALIL.CHOUKEIR@COSTCO

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

Customer service address 310 BAY ROAD, QUEENSBURY, NY 12804
Toll-Free Telephone No. 800-836-3787 Fax No. 518-798-1735 Email Address KHALIL.CHOUKEIR@COSTCO

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 INCORP SERVICES INC. Title REGISTERED AGENT
Business address 9435 WATERSTONE BLVD., SUITE 140, CINCINNATI, OH 45249
Telephone No. 800-246-2677 Fax No. 702-866-2689 Email Address nancy.arenas@incorp.com

A-9 Applicant's federal employer identification number 161597018

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

- | | |
|--|--|
| <input type="checkbox"/> Sole Proprietorship | <input type="checkbox"/> Partnership |
| <input type="checkbox"/> Limited Liability Partnership (LLP) | <input type="checkbox"/> Limited Liability Company (LLC) |
| <input checked="" type="checkbox"/> Corporation | <input type="checkbox"/> 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 checked="" type="checkbox"/>	Residential	<input checked="" type="checkbox"/>	Small Commercial	<input checked="" type="checkbox"/>	Large Commercial / Industrial
<input checked="" type="checkbox"/>	Dominion East Ohio	<input checked="" type="checkbox"/>	Residential	<input type="checkbox"/>	Small Commercial	<input checked="" type="checkbox"/>	Large Commercial / Industrial
<input checked="" type="checkbox"/>	Duke Energy Ohio	<input checked="" type="checkbox"/>	Residential	<input checked="" type="checkbox"/>	Small Commercial	<input type="checkbox"/>	Large Commercial / Industrial
<input checked="" type="checkbox"/>	Vectren Energy Delivery of Ohio	<input checked="" 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:

<input checked="" type="checkbox"/>	Columbia Gas of Ohio	Intended Start Date	4-1-18
<input checked="" type="checkbox"/>	Dominion East Ohio	Intended Start Date	4-1-18
<input checked="" type="checkbox"/>	Duke Energy Ohio	Intended Start Date	4-1-18
<input checked="" type="checkbox"/>	Vectren Energy Delivery of Ohio	Intended Start Date	4-1-18

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,"** if applicable, provide the articles of incorporation filed with the state or jurisdiction in which the applicant is incorporated and any amendments thereto.
- A-17 **Exhibit A-17 "Secretary of State,"** provide evidence that the applicant is 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 to be certified to provide (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 it is seeking to be certified to provide.

- 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 within the past five years.

☒ 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.

☒ 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 the applicant does not produce annual reports, the applicant should 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. An applicant may submit a current link to the filings or provide them in paper form. If the applicant does not have such filings, then the applicant may indicate in Exhibit C-2 that 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 current 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 Experion, 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

[Handwritten Signature] VICE-PRESIDENT

Sworn and subscribed before me this

13th

day of

March

Month

2018

Year

Signature of official administering oath

[Handwritten Signature]

Print Name and Title

JANIS L PORTER
NOTARY PUBLIC-STATE OF NEW YORK
No. 01PO6217113
Qualified in Warren County
My Commission Expires February 08, 2022

Notary
Seal

My commission expires on



The Public Utilities Commission of Ohio

Competitive Retail Natural Gas Service
Affidavit Form
(Version 1.07)

In the Matter of the Application of

COST CONTROL ASSOCIATES, INC.

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

Case No. [] -GA-AGG

County of WARREN

State of NEW YORK

DAVE SADLOCHA

[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

CT J. Sadlocha, VICE-PRESIDENT

Sworn and subscribed before me this

13th

day of

March

Month

2018

Year

Janis L. Porter

Signature of Official Administering Oath

Print Name and Title

JANIS L PORTER

NOTARY PUBLIC-STATE OF NEW YORK

No. 01PO6217113

Qualified in Warren County

My Commission Expires February 08, 2022

My commission expires on

Notary
Seal

SECTION A

EXHIBITS

COST CONTROL ASSOCIATES, INC.

EXHIBIT A-14 "PRINCIPAL OFFICERS, DIRECTORS & PARTNERS"

KEITH LAAKE, PRESIDENT, TREASURER, AND DIRECTOR, 310 BAY ROAD, QUEENSBURY, NY 12801, 518-798-4437

DAVE SADLOCHA, VICE PRESIDENT, SECRETARY, AND DIRECTOR, 310 BAY ROAD, QUEENSBURY, NY 12801, 518-798-4437

JUDITH EBERIUS, DIRECTOR, 310 BAY ROAD, QUEENSBURY, NY 12801, 518-798-4437

COST CONTROL ASSOCIATES, INC.

EXHIBIT A-15 "COMPANY HISTORY"

Cost Control Associates has helped clients better manage and reduce energy costs for 26 years. We serve Fortune 500 clients such as Bank of America, Sprint, JC Penney, Wal-Mart, T-Mobile and many more. As industry experts, our team has extensive experience in energy procurement services, rate and tariff analysis, utility bill auditing, exception/variance reporting and resolution, and budgeting and forecasting.

COST CONTROL ASSOCIATES, INC.

EXHIBIT A-16 "ARTICLES OF INCORPORATION AND BYLAWS"

Attached.

State of New York
Department of State } ss:

I hereby certify, that the Certificate of Incorporation of COST CONTROL ASSOCIATES, INC. was filed on 12/06/2000, with perpetual duration, and that a diligent examination has been made of the Corporate index for documents filed with this Department for a certificate, order, or record of a dissolution, and upon such examination, no such certificate, order or record has been found, and that so far as indicated by the records of this Department, such corporation is an existing corporation.



*WITNESS my hand and the official seal
of the Department of State at the City of
Albany, this 23rd day of January two
thousand and eighteen.*

A handwritten signature in black ink, appearing to read "B. Fitzgerald", with a long, sweeping horizontal line extending to the right.

Brendan W. Fitzgerald
Executive Deputy Secretary of State

CERTIFICATE OF INCORPORATION
OF
COST CONTROL ASSOCIATES, INC.

Under §402 of the Business Corporation Law

Section 1. NAME

The name of the corporation is COST CONTROL ASSOCIATES, INC.

Section 2. PURPOSES

The purpose for which it is formed is to engage in any lawful act or activity for which corporations may be organized under the New York Business Corporation Law, but not to engage in any act or activity requiring the consent or approval of any state official, department, board, agency or other body without such consent or approval first being obtained.

Section 3. OFFICE

The office of the corporation is located in the County of Warren, State of New York.

Section 4. AUTHORIZED SHARES

The aggregate number of shares which the corporation shall have the authority to issue is 200 shares, which shares are to be without par value.

Section 5. AGENT FOR PROCESS

The Secretary of State of the State of New York is designated as the agent of the corporation upon whom process against it may be served, and the post office address to which the Secretary of State shall mail a copy of such process served upon him/her is 28 Bonner Drive, Queensbury, New York 12804.

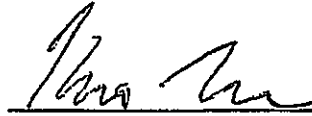
Section 6. LIMITATION OF DIRECTOR LIABILITY

A director of the corporation shall not be held personally liable to the corporation or its shareholders for damages for any breach of duty as a director. The personal liability of a director shall not be eliminated if a judgment or other final adjudication adverse to the director establishes that (i) his acts or omissions were in bad faith or involved intentional misconduct or a knowing violation of law, or (ii) he personally gained in fact a financial profit or other advantage to which he was not legally entitled, or (iii) his acts violated §719 of the New York Business Corporation Law.

Section 7. INCORPORATOR

The subscriber is over the age of eighteen years.

Dated: December 4, 2000



Keith Laake, Incorporator
28 Bonner Drive
Queensbury, New York 12804

BYLAWS of
COST CONTROL ASSOCIATES, INC.

ARTICLE I - SHAREHOLDERS

1. Annual Meeting.

The annual meeting of the shareholders for the election of directors and for the transaction of such other business as may properly come before such meeting shall be held on such date as may be designated by the Board of Directors.

2. Special Meetings.

Special meetings of the shareholders may be called at any time by the President or by the Board of Directors, and shall be called by the President or the Secretary at the request in writing of the holders of a majority of the shares of stock issued and outstanding. Any such request by shareholders shall state the purpose or purposes of the proposed meeting. Business transacted at any special meeting of shareholders shall be limited to the purposes stated in the notice of the meeting.

3. Place of Meetings.

Meetings of shareholders shall be held at such place, within or without the State of New York, as may be fixed by the Board of Directors. If no place is so fixed, such meetings shall be held at the principal office of the corporation in the State of New York.

4. Notice of Meetings.

Written notice of each meeting of shareholders shall state the purpose or purposes for which the meeting is called, the place, date and hour of the meeting and, unless it is the annual meeting, shall indicate that it is being issued by or at the direction of the person or persons calling the meeting. Notice shall be given personally or by mail to each shareholder entitled to vote at such meeting, not less than ten nor more than fifty days before the date of the meeting. If action is proposed to be taken that would entitle shareholders to payment for their shares, the notice shall include a statement of that purpose and to that effect. If given by mail, the notice is given when deposited in the United States mail, with postage thereon prepaid, directed to the shareholder at the of the shareholder address as it appears on the record of shareholders, or, if the shareholder shall have filed with the Secretary a written request that notices to be mailed to some other address, then directed to the shareholder at such other address.

5. Waiver of Notice.

Notice of meeting need not be given to any shareholder who submits a signed waiver of notice, in person or by proxy, whether before or after the meeting. The attendance of any shareholder at a meeting, in person or by proxy, without protesting prior to the conclusion of the meeting the lack of notice of such meeting shall constitute a waiver of notice by the shareholder.

6. Quorum.

The holders of a majority of the shares entitled to vote thereat shall constitute a quorum at a meeting of shareholders for the transaction of any business, provided that when a specified item of business is required to be voted on by a class or series, voting as a class, the holders of a majority of the shares of such class or series shall constitute a quorum for the transaction of such specified item of business.

When a quorum is once present to organize a meeting, it is not broken by subsequent withdrawal of any shareholders.

The shareholders present may adjourn the meeting by a majority of votes cast despite the absence of a quorum.

7. Proxies.

Every shareholder entitled to vote at a meeting of shareholders or to express consent or dissent without a meeting may authorize another person or persons to act by proxy.

Every proxy must be signed by the shareholder or the shareholder's attorney-in-fact. No proxy shall be valid after expiration of eleven months from the date thereof unless otherwise provided in the proxy. Every proxy shall be revocable at the pleasure of the shareholder executing it, except as otherwise provided by law.

The authority of a holder of a proxy to act shall not be revoked by the incompetence or death of the shareholder who executed the proxy unless, before the authority is exercised, written notice of any adjudication of such incompetence or of such death is received by the Secretary or any Assistant Secretary.

8. Qualification of Voters.

Every shareholder of record shall be entitled at every meeting of shareholders to

one vote for every share standing in the shareholder's name on the record of shareholders, unless otherwise provided in the certificate of incorporation.

9. Record Date.

For the purpose of determining the shareholders entitled to notice of or to vote at any meeting of shareholders or any adjournment thereof, or to express consent to or dissent from any proposal without a meeting, or for the purpose of determining shareholders entitled to receive payment of any dividend or the allotment of any rights, or for the purpose of any other action, the Board of Directors may fix in advance a date as the record date for such determination of shareholders. Such date shall not be more than fifty nor less than ten days before the date of such meeting, nor more than fifty days prior to any other action.

10. Vote of Shareholders.

Except as otherwise required by law or by the certificate of incorporation, directors shall be elected by a plurality of the votes cast at a meeting of shareholders by the holders of shares entitled to vote in the election.

Whenever any corporate action, other than the election of directors is to be taken by vote of the shareholders, it shall, except as otherwise required by law or by the certificate of incorporation, be authorized by a majority of the votes cast at a meeting of shareholders by the holders of shares entitled to vote thereon.

11. Action by Written Consent of Shareholders.

Whenever shareholders are required or permitted to take any action by vote, such action may be taken without a meeting by a written consent setting forth the action so taken and signed by the holders of all outstanding shares entitled to vote thereon. Consent of a shareholder may be sent by telex, telegram or similar method if promptly confirmed by mail. Written consent thus given by the holders of all outstanding shares entitled to vote shall have the same effect as a unanimous vote of shareholders.

ARTICLE II - DIRECTORS

1. Board of Directors.

The business of the corporation shall be managed under the direction of its Board of Directors, each of whom shall be at least eighteen years of age.

2. Number of Directors.

The number of directors shall be set by resolution of the shareholders.

3. Election and Term.

The directors of the corporation shall be elected annually at the annual meeting of the shareholders. Each director shall hold office until the next annual meeting, and until a successor has been elected and qualified, or until the director's prior resignation or removal.

4. Resignation.

A director may resign by delivering written notice thereof or mailing said notice by certified mail to the President or the Secretary of the corporation. Unless otherwise specified in the notice, the resignation shall take effect upon receipt by such officer and acceptance of the resignation shall not be necessary.

5. Removal.

Any one or more of the directors may be removed for cause by action of the Board of Directors. Any or all of the directors may be removed with or without cause by a vote of shareholders.

6. Newly Created Directorships and Vacancies.

Newly created directorships resulting from an increase in the number of directors and vacancies occurring in the board for any reason except the removal of directors by the shareholders may be filled by a vote of the majority of the directors then in office, although less than a quorum exists, unless otherwise provided in the certificate of incorporation. Vacancies occurring by reason of the removal of directors by the shareholders shall be filled by a vote of the shareholders. A director elected to fill a vacancy caused by a resignation, death or removal shall hold office until the next meeting

of shareholders at which the election of directors is in the regular order of business, and until a successor has been elected and qualified.

7. Meetings of the Board.

An annual meeting of the Board of Directors shall be held in each year as soon as practicable after the annual meeting of shareholders. Regular meetings of the Board shall be held at such times as may be fixed by the Board. Special meetings of the Board may be held at any time whenever called by the President or any two directors.

8. Place of Meetings.

Meetings of the Board of Directors shall be held at such places within or without the State of New York as may be fixed by the Board for annual and regular meetings and in the notice of meeting for special meetings. If no place is so fixed, meetings of the Board shall be held at the principal office of the corporation.

9. Notice of Meetings.

No notice need be given of annual or regular meetings of the Board of Directors. Notice of each special meeting of the Board shall be given to each director personally at least three days prior to the meeting, or by mail at least eight days prior to the meeting. Notice of a meeting of the Board of Directors need not be given to any director who submits a signed waiver of notice whether before or after the meeting, or who attends the meeting without protesting, prior thereto or at its commencement, the lack of notice.

10. Quorum.

Unless otherwise provided in the certificate of incorporation, a majority of the entire Board shall constitute a quorum for the transaction of business or of any specified item of business.

11. Action of the Board.

Unless otherwise provided by law or in the certificate of incorporation, or these bylaws, the vote of a majority of the directors present at a meeting at the time of such vote, if a quorum is then present, shall be the act of the Board.

12. Adjournment of Meetings.

A majority of the directors present, whether or not a quorum is present, may adjourn any meeting to another time and place. Notice of any adjournment of a meeting

to another time or place shall be given in the manner described in this article to the directors who are not present at the time of the adjournment and, unless such time and place are announced at the meeting, to the other directors.

13. Committees.

The Board of Directors by resolution adopted by a majority of the entire Board may designate from among its members an executive committee and other committees. Each such committee shall serve at the pleasure of the Board.

14. Unanimous Action by Directors in Writing.

Any action required or permitted to be taken by the Board or any committee thereof may be taken without a meeting if all members of the Board or the committee consent in writing to the adoption of a resolution authorizing the action. The resolution and the written consents thereto by the members of the Board or committee shall be filed with the minutes of the proceedings of the Board or committee.

15. Participation by Conference Telephone.

Any one or more members of the Board of Directors or any committee thereof may participate in a meeting of such board or committee by means of conference telephone or similar communications equipment allowing all persons participating in the meeting to hear each other at the same time. Participation by such means shall constitute presence in person at a meeting.

16. Compensation.

No compensation shall be paid to directors as such for their services, but by resolution of the Board, a fixed sum and expenses for actual attendance at each regular or special meeting of the Board may be authorized. Nothing contained herein shall be construed to preclude any director from serving the corporation in any other capacity and receiving compensation therefore.

ARTICLE III - OFFICERS

1. Offices, Election, Security.

Unless otherwise provided in the certificate of incorporation, the Board of Directors may elect or appoint a President, one or more Vice Presidents, a Secretary and

a Treasurer, and such other officers as it may determine, who shall have such duties, powers and functions as hereinafter provided. Any two or more offices may be held by the same person. The Board may require any officer, agent or employee to give security for the faithful performance of their duties.

2. Term of Office.

All officers shall be elected or appointed to hold office until the meeting of the Board of Directors following the next succeeding annual meeting of shareholders. Each officer shall hold office for the term for which elected or appointed and until a successor has been elected or appointed and qualified.

3. Salaries.

The salaries of all officers of the corporation shall be fixed by the Board of Directors.

4. Resignation, Removal, Vacancies.

Any officer may resign at any time by delivering written notice thereof to the Board of Directors or by mailing said notice by certified mail to the President or Secretary of the corporation. Such resignation shall take effect at the time specified therein, and unless otherwise specified therein, no acceptance of such resignation shall be necessary to make it effective. Any officer elected or appointed by the Board of Directors may be removed by the Board with or without cause. Any vacancy occurring in any office of the corporation by reason of death, resignation, removal or otherwise may be filled for the unexpired portion of the term by the Board of Directors.

5. President.

The President shall be the chief executive officer of the corporation; shall preside at all meetings of the shareholders and of the Board of Directors; shall have the management of the business of the corporation and shall see that all orders and resolutions of the Board are carried into effect; and, in general, shall perform all duties incident to the office of president of a corporation, and such other duties as, from time to time, may be assigned by the Board of Directors or as may be provided by law.

6. Vice President.

The Vice President, at the request of the President or during the President's absence or inability to act, shall perform the duties of the President, and when so acting,

shall have the powers of the President. The Vice President shall have such other powers and perform such other duties as may be assigned by the Board of Directors or the President or as may be provided by law.

7. Secretary.

The Secretary shall attend all meetings of the Board of Directors and of the shareholders and record all proceedings in a book to be kept for that purpose; shall see that all notices are duly given to shareholders and directors in accordance with the provisions of these bylaws or as required by law; shall be the custodian of the records of the corporation; shall keep the seal of the corporation and affix it to any document when authorized by the Board of Directors; and, in general, shall perform all duties incident to the office of secretary of a corporation, and such other duties as, from time to time, may be assigned by the Board of Directors or the President or as may be provided by law.

8. Treasurer.

The Treasurer shall have charge of and be responsible for all funds, securities, receipts and disbursements of the corporation and shall deposit or cause to be deposited, in the name of the corporation, all monies or other valuable effects in such banks, trust companies or other depositories as shall, from time to time, be selected by or under the authority of the Board of Directors; shall keep or cause to be kept full and accurate records of all receipts and disbursements in books of the corporation and shall render to the President and to the Board of Directors, whenever requested, an account of the financial condition of the corporation; and, in general, shall perform all the duties incident to the office of treasurer of a corporation, and such other duties as may be assigned by the Board of Directors or the President or as may be provided by law.

9. Other Officers.

The other officers of the corporation, if any, shall have such authority and perform such duties in the management of the corporation as may be prescribed by the Board of Directors, and, to the extent not to prescribed, as generally pertain to their respective offices, subject to the control of the Board of Directors.

ARTICLE IV - CERTIFICATES FOR SHARES

1. Shares of the Corporation.

The shares of the corporation shall be represented by certificates, in such form as the Board of Directors may prescribe, signed by the President or Vice President and the

Secretary or the Treasurer of the corporation, and may be sealed with the seal of the corporation or a facsimile thereof. Each certificate shall state upon the face thereof: (1) that the corporation is formed under the laws of the State of New York; (2) the name of the person or persons to whom issued; and (3) the number and class of shares and the designation of the series, if any, which such certificate represents. The certificates shall be numbered and entered in the books of the corporation as they are issued.

2. Transfers of Shares.

Shares of the corporation shall be transferable on the record of shareholders upon presentation to the corporation or a transfer agent of the corporation of a certificate or certificates representing the shares requested to be transferred, with proper endorsement on the certificate, or on a separate accompanying document, together with such evidence of the payment of transfer taxes and compliance with such other provisions of law as the corporation or its transfer agent may require.

3. Lost or Destroyed Certificates.

The corporation may issue a new certificate for shares in place of any certificate theretofore issued by it, alleged to have been lost or destroyed, and the Board of Directors may require: (1) proof of loss or destruction; (2) delivery of a bond indemnifying the corporation against any claim that may be made against it on account of the alleged loss or destruction of any such certificate or the issuance of any such new certificate; (3) payment of the expenses of the corporation incurred in connection with the issuance of the new certificate; and (4) compliance with such other reasonable requirements as may be imposed.

ARTICLE V - GENERAL PROVISIONS

1. Office.

The principal office of the corporation shall be in the County of Warren and State of New York. The corporation may also have offices at such other places within or without the State of New York as the Board of Directors may, from time to time, determine or the business of the corporation may require.

2. Corporate Seal.

The seal of the corporation shall be circular in form and bear the name of the corporation, the year of its organization and the words "Corporate Seal, New York". A

seal may be used by causing it or a facsimile thereof to be impressed or affixed or reproduced or otherwise.

3. Fiscal Year.

The fiscal year of the corporation shall begin the first day of January in each year.

4. Dividends.

Dividends on the outstanding shares of stock of the corporation, subject to the provisions of the certificate of incorporation, if any, may be declared in such amounts and at such time or times as the Board of Directors may determine. Dividends may be paid in cash, bonds, property or in shares of stock subject to the provisions of the certificate of incorporation. Before payment of any dividend there may be set aside out of any funds of the corporation available for dividends such sum or sums as the Board of Directors, from time to time, in its absolute discretion, deems proper as a reserve fund to meet contingencies, or for equalizing dividends, or for repairing or maintaining any property of the corporation, or for such other purposes as the Board of Directors shall deem conducive to the interests of the corporation, and the Board of Directors may modify or abolish any such reserve.

5. Indemnification.

Any person made or threatened to be made a party to any action or proceeding, whether civil or criminal, by reason of the fact that the person, their testator or intestate is or was a director or officer of the corporation or serves or served any other corporation in any capacity at the request of the corporation shall be indemnified by the corporation, and the corporation may advance any related expenses, to the full extent permitted by law.

6. Reimbursement of Disallowed Items.

Any payments of salary or other compensation made to an officer, director or employee of the corporation which are disallowed as a business deduction to the corporation by the Internal Revenue Service, or the income tax bureau of any state, shall be reimbursed by such officer, director or employee to the corporation to the full extent of such disallowance. It shall be the duty of the Board of Directors to enforce reimbursement of each such amount disallowed. Reimbursement of such disallowed expenses shall constitute a condition of employment for all officers, directors and employees.

7. Amendments.

The bylaws of the corporation may be adopted, amended or repealed by vote of the holders of the shares at the time entitled to vote in the election of any directors. Bylaws may also be adopted, amended or repealed by the Board of Directors by the vote of all of the directors present at a meeting of the Board at which a quorum is present, but any bylaw adopted by the Board may be amended or repealed by the shareholders entitled to vote thereon as herein above provided.

If any bylaw regulating an impending election of directors is adopted, amended or repealed by the Board of Directors, there shall be set forth in the notice of the next meeting of shareholders for the election of directors, the bylaw so adopted, amended or repealed, together with a concise statement of the changes made.

COST CONTROL ASSOCIATES, INC.

EXHIBIT A-17 "SECRETARY OF STATE"

Attached.

201804500622

DATE:	DOCUMENT ID	DESCRIPTION	FILING	EXPED	PENALTY	CERT	COPY
02/14/2018	201804500622	FOREIGN LICENSE/FOR-PROFIT (FLF)	99.00	.00	.00	.00	.00

Receipt

This is not a bill. Please do not remit payment.

COST CONTROL ASSOC., INC.
SHARON LAAKE
310 BAY ROAD
QUEENSBURY, NY 12804

**STATE OF OHIO
CERTIFICATE**

Ohio Secretary of State, Jon Husted
4134883

It is hereby certified that the Secretary of State of Ohio has custody of the business records for

COST CONTROL ASSOCIATES, INC.

and, that said business records show the filing and recording of:

Document(s)
FOREIGN LICENSE/FOR-PROFIT

Document No(s):
201804500622

Effective Date: 02/05/2018

Authorization to transact business in Ohio is hereby given, until surrender, expiration or cancellation of this license.



United States of America
State of Ohio
Office of the Secretary of State

Witness my hand and the seal of the
Secretary of State at Columbus, Ohio
this 14th day of February, A.D. 2018.

Jon Husted

Ohio Secretary of State

SECTION B

EXHIBITS

COST CONTROL ASSOCIATES, INC.

EXHIBIT B-1 "JURISDICTIONS OF OPERATIONS"

Cost Control Associates is not currently certified or otherwise authorized to provide retail or wholesale electric or natural gas services in any state. Cost Control Associates performs exclusively as a consultant or broker.

COST CONTROL ASSOCIATES, INC.

EXHIBIT B-2 "EXPERIENCE & PLANS"

As a certified broker, CCA will be relying on certified/licensed suppliers for supply services, contracting, billing, customer service, and other obligations related to the supply of natural gas.

COST CONTROL ASSOCIATES, INC.

EXHIBIT B-3 "SUMMARY OF EXPERIENCE"

CCA will not be performing as an aggregator but strictly as a certified broker. CCA has performed all facets of energy consulting services since 1991. We have performed our services in all 50 states, including acting as an energy consultant in procurement activities.

COST CONTROL ASSOCIATES, INC.

EXHIBIT B-4 "DISCLOSURE OF LIABILITIES AND INVESTIGATIONS"

CCA has no existing, pending or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or any other matter that could adversely impact this application of the performance of our services.

SECTION C

EXHIBITS

COST CONTROL ASSOCIATES, INC.

EXHIBIT C1 – “Annual Reports”

N/A. Annual reports are not prepared as CCA is organized as an S-Corp, has one shareholder, and is not publically traded.

COST CONTROL ASSOCIATES, INC.

EXHIBIT C2 – “SEC Filings”

N/A. SEC filings are not required as CCA is organized as an S-Corp with 100 outstanding shares, and is not publically traded.

COST CONTROL ASSOCIATES, INC.

EXHIBIT C3 – “Financial Statements”

See attached.

Cost Control Associates, Inc.
Exhibit C-3 "Financial Statements"

Balance Sheet--Tax (Cash) Basis

	<u>12/31/2017</u>	<u>12/31/2016</u>
ASSETS		
Current Assets		
Checking/Savings		
Checking - NBT Bank	(4,274)	24,974
Savings - NBT Bank	62,919	10,985
Total Checking/Savings	<u>58,645</u>	<u>35,959</u>
Other Current Assets		
Notes Receivable-Keith L		68,180
Petty Cash Fund	45	45
Total Other Current Assets	<u>45</u>	<u>68,225</u>
Total Current Assets	<u>58,690</u>	<u>104,184</u>
Fixed Assets		
Computers	63,499	60,233
Furniture and Equipment	69,729	69,729
Land Improvements	29,200	29,200
Leasehold Improvements	16,078	12,128
Software	163,238	162,695
xAccumulated Depreciation	(325,171)	(314,485)
Total Fixed Assets	<u>16,573</u>	<u>19,499</u>
Other Assets		
Deposits	32	32
Total Other Assets	<u>32</u>	<u>32</u>
TOTAL ASSETS	<u>75,295</u>	<u>123,716</u>
LIABILITIES & EQUITY		
Liabilities		
Current Liabilities		
Credit Cards	1,673	1,141
Total Credit Cards	<u>1,673</u>	<u>1,141</u>
Other Current Liabilities		
Accrued Retirement Plan Contrib	22,000	
Line of Credit-NBT Bank		20,000
Tenant Security Deposit	1,375	1,375
Total Other Current Liabilities	<u>23,375</u>	<u>21,375</u>
Total Current Liabilities	<u>25,048</u>	<u>22,516</u>
Total Liabilities	<u>25,048</u>	<u>22,516</u>
Equity		
Capital Stock	500	500
Capital Stock Add'l Paid In	26,270	26,270
Retained Earnings	141,493	134,429

Shareholder Distributions

(118,016)

(60,000)

Total Equity

50,247

101,199

TOTAL LIABILITIES & EQUITY

75,295

123,716

Cost Control Associates, Inc.
Exhibit C-3 "Financial Statements"

Income Statement--Tax (Cash) Basis

	<u>12/31/2017</u>	<u>12/31/2016</u>
INCOME		
Fee Income	2,246,089	1,883,807
Fees Received from Others	55,573	54,543
Pmts for Bill Processing/Other	(984,493)	(963,771)
Total Net Fee Revenue	1,317,169	974,579
Rental Income	19,320	18,750
Total Income	1,336,489	993,329
EXPENSE		
Human Resources	959,085	665,572
Marketing	47,733	58,965
Occupancy	56,819	58,428
Office Expense	46,445	26,326
Other Operating	76,390	71,601
Travel	68,079	55,421
Total Expense	1,254,551	936,313
Net Ordinary Income	81,938	57,016
Other Income	369	655
Other Expense	15,244	12,184
Net Other Income	(14,875)	(11,529)
Net Income	67,064	45,487

COST CONTROL ASSOCIATES, INC.

EXHIBIT C4 – “Financial Arrangements”

N/A. CCA is only seeking certification as an energy broker.

COST CONTROL ASSOCIATES, INC.

EXHIBIT C5 – “Forecasted Financial Statements”

See attached.

COST CONTROL ASSOCIATES, INC.

Forecasted Energy Procurement Services Income and Expense for Ohio

	<u>2018</u>	<u>2019</u>	<u>2020</u>
Income:			
Harbor Freight	12,317	12,317	12,317
EW Scripps	5,122	5,122	5,122
Park National - Electric	0	4,000	25,934
Park National - Gas	3,167	6,334	6,334
Other	2,000	10,000	20,000
Total Income	<u>22,606</u>	<u>37,773</u>	<u>69,707</u>
Expenses:			
Wages and Fringe Benefits - 10% of Tot	5,500	6,000	6,500
Other Expenses	2,000	2,200	2,400
Total Expenses	<u>7,500</u>	<u>8,200</u>	<u>8,900</u>
Operating Income - OH	<u><u>15,106</u></u>	<u><u>29,573</u></u>	<u><u>60,807</u></u>

COST CONTROL ASSOCIATES, INC.

EXHIBIT C6 – “Credit Rating”

Most current credit rating id 1R2 from D&B.

COST CONTROL ASSOCIATES, INC.

EXHIBIT C7 – “Credit Report”

See attached.

Cost Control Associates, Inc. DUNS: 79-332-2470

Quick View Report

Company Information

310 Bay Rd
Queensbury, NY 12804

This is a single location location.

Website www.costcontrolassociates.com

Telephone (518) 798-4437

Chief Executive: DIRECTOR(S): THE OFFICER(S)

Stock Symbol: NA

Year Started 1991

Employees 12

Financial Statement

Date: 12/31/2015

Sales \$1,525,469

Net Worth \$638,503.00

History: NA

Financial Condition: profitable

Financing: SECURED

SIC: 8742

Line of Business: Management consulting services

Corporate Family:

This business is a single location of the corporate family.

Scores

PAYDEX®

80
ON TERMS



Based on up to 24 months of trade.

D&B PAYDEX® Key

High risk of late payment
(average 30 to 120 days beyond terms)

Medium risk of late payment
(average 30 days or less beyond terms)

Low risk of late payment
(average prompt to 30+ days sooner)

Credit Limit Recommendation

Risk Category
Low

Conservative Credit Limit
\$15k
Aggressive Credit Limit
\$30k



D&B Rating ®

Rating
1R2

Number of employees: 1R indicates 10 or more employees
Composite Credit Appraisal: 2 is good

The credit rating was assigned based on D&B's assessment of the company's financial ratios and its cash flow. For more information, see the D&B Rating Key.

Below is an overview of the company's rating history since 07/24/2004

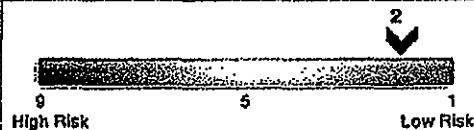
D&B Rating	Date Applied
1R2	2017-10-16
1A2	2016-08-04
2A1	2015-07-17
1A1	2014-12-23
1A2	2014-12-05
1R3	2014-08-27
1R2	2008-01-18
1R3	2007-12-04
3A1	2006-05-02
1R2	2004-07-24

The Summary Analysis section reflects information in D&B's file as of March 8, 2018

D&B Viability Rating

2

Viability Score

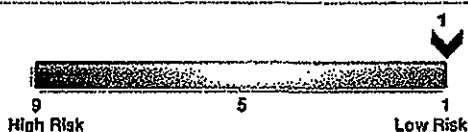


Compared to ALL US Businesses within the D&B Database:

- Level of Risk: Low Risk
- Businesses ranked 2 have a probability of becoming no longer viable: 2%
- Percentage of businesses ranked 2: 4%
- Across all US businesses, the average probability of becoming no longer viable: 14%

1

Portfolio Comparison

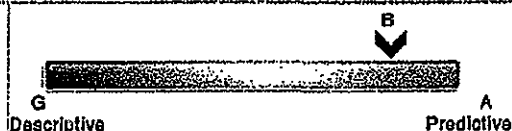


Compared to ALL US Businesses within the D&B Database:

- Model Segment: **Established Trade Payments**
- Level of Risk: **Low Risk**
- Businesses ranked 1 within this model segment have a probability of becoming no longer viable: **2%**
- Percentage of businesses ranked 1 within this model segment: **11%**
- Within this model segment, the average probability of becoming no longer viable: **5%**

B

Data Depth Indicator



Data Depth Indicator:

Rich Firmographics
Extensive Commercial Trading Activity
Basic Financial Attributes

G

Company Profile

Financial Data	Trade Payments	Company Size	Years in Business
Not Available	Available (3+Trade)	Large	Established

Compared to ALL US Businesses within the D&B Database:

- Financial Data: **Not Available**
- Trade Payments: **Available: 3+Trade**
- Company Size: **Large: Employees:50+ or Sales: \$500K+**
- Years in Business: **Established: 5+**

History & Operations

History

The following information was reported: 10/25/2016

Officer(s):

KEITH LAAKE, PRES
DAVE SADLOCHA, V PRES-SEC

DIRECTOR(s):

THE OFFICER(S)

The New York Secretary of State's business registrations file showed that Cost Control Associates, Inc. was registered as a Corporation on December 06, 2000.

Business started 1991 by Keith Laake. 100% of capital stock is owned by officers.

KEITH LAAKE born 1956. 1991-present active here. Prior to Cost Control Associates, Inc. Keith was CFO for Economy Dry Goods and he was Senior Manager in Ernst & Young. He earned his B.B.A from Wisconsin University.

DAVE SADLOCHA born 1947. 1995-present active here. 1990-1995 employed by Brooks Fashions, New York, NY. Dave earned his B.S in Accounting Accounting from the State University of New York at Binghamton.

Operations

10/25/2016

Description:

Provides management consulting services, specializing in public utilities (100%).

ADDITIONAL TELEPHONE NUMBER(S): Facsimile (Fax) 518 798-1735. Toll-Free 800 836-3787.

Has 100 account(s). Terms are Net 10 days. Sells to manufacturers, wholesale, non profit organizations, retail, commercial concerns and government. Territory : USCAN.

Nonseasonal.

Employees: 12 which includes officer(s) and 1 part-time.

Facilities: Owns 6,000 sq. ft. in a multi story frame building.

Location: Central business section on well traveled street.

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 to a company's operations than if we use the standard 4-digit code. The 4-digit SIC numbers link to the description on the Occupational Safety & Health Administration (OSHA) Web site. Links open in a new browser window.

8742 0405 Public utilities consultant

NAICS:

541611 Administrative Management and General Management Consulting Services

Payments

PAYDEX®

The D&B PAYDEX® is a unique, dollar weighted indicator of payment performance based on up to 8 payment experiences as reported to D&B by trade references.

3 Month PAYDEX®

80 ▲

When weighted by dollar amount, payments to suppliers average ON TERMS terms.

Based on payments collected over the last 3 months

24 Month PAYDEX®

80 ▲

When weighted by dollar amount, payments to suppliers average ON TERMS terms.

Based on payments collected over the last 24 months


When dollar amounts are not considered, then approximately 100 of the company's payments are within terms.

- High risk of late payment (average 30 to 120 days beyond terms)
- Medium risk of late payment (average 30 days or less beyond terms)
- Low risk of late payment (average prompt to 30+ days sooner)

Payments Summary

Total (Last 24 Months): 8

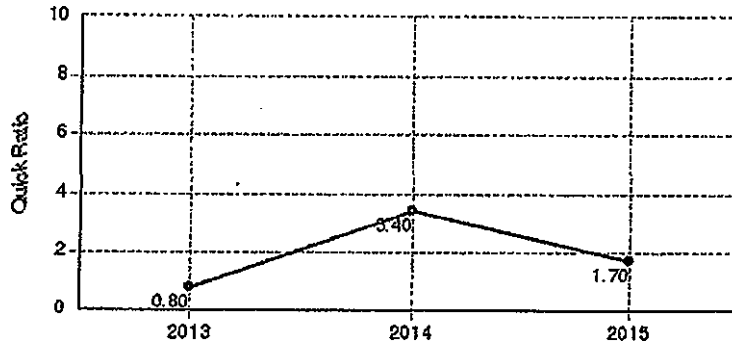
	Total Received	Total Dollar Amount	Largest High Credit Payment summary	Within Terms	31	Days Slow 30-80	81-90	90
Top Industries								
Electric services	2	\$750.00	\$500.00	100%	0	0	0	0
Misc business credit	2	\$750.00	\$250.00	100%	0	0	0	0
Telephone communics	1	\$0.00	\$0.00	0%	0	0	0	0
Other Categories								
Cash experiences	3	\$150	\$50	--	--	--	--	--
Unknown	0	\$0	\$0	--	--	--	--	--
Unfavorable comments	0	\$0	\$0	--	--	--	--	--
Placed for collections with D&B:	0	\$0	\$0	--	--	--	--	--
Other	0	N/A	\$0	--	--	--	--	--
Total in D&B's file	8	\$1,650	\$500	--	--	--	--	--
The highest Now Owes on file is \$500								
The highest Past Due on file is \$0								
There are 8 payment experience(s) in D&B's file for the most recent 24 months, with 3 experience(s) reported during the last three month period.								

Payments Details						
Total (Last 24 Months): 8						
Date	Paying Record	High Credit	Now Owes	Past Due	Selling Terms	Last sale w/ (Mo.)
02/2018	(001)	\$50	\$0	\$0	Cash account	1 mo
01/2018	Ppt	--	\$500	\$0	--	1 mo
01/2018	Ppt	\$250	\$0	\$0	--	1 mo
10/2017	(004)	\$50	--	--	Cash account	1 mo
04/2017	(005)	\$50	--	--	Cash account	4-5 mos
03/2017	Ppt	\$500	\$500	\$0	--	1 mo
03/2017	Ppt	\$250	\$100	\$0	--	1 mo
01/2017	Ppt	--	\$0	\$0	--	6-12 mos
<p>Payments Detail Key:  30 or more days beyond terms</p> <p>Accounts are sometimes placed for collection even though the existence or amount of the debt is disputed.</p> <p>Payment experiences reflect how bills are met in relation to the terms granted. In some instances payment beyond terms can be the result of disputes over merchandise, skipped invoices etc.</p> <p>Each experience shown is from a separate supplier. Updated trade experiences replace those previously reported.</p>						

Banking and Finance

Statement Update

Key Business Ratios from D&B



• This Company

Key Financial Comparisons

	2013(\$)	2014(\$)	2015(\$)
--	----------	----------	----------

This Company's Operating Results Year Over Year

NETSALES	1,059,045.00	1,171,348.00	1,525,469.00
GROSSPROFIT	1,059,045.00	1,171,348.00	898,862.00
NETPROFITAFTERTAX	13,844.00	198,423.00	898,862.00
DIVIDENDS/WITHDRAWALS	NA	NA	NA
WORKINGCAPITAL	562,615.00	684,111.00	540,925.00

This Company's Assets Year Over Year

CASH	167,705.00	71,945.00	1,349.00
ACCOUNTSRECEIVABLE	NA	901,047.00	928,558.00
NOTESRECEIVABLE	NA	NA	NA
INVENTORY	NA	NA	NA
OTHERCURRENTASSETS	600,835.00	NA	143,500.00
TOTALCURRENTASSETS	768,340.00	972,992.00	1,073,407.00
FIXEDASSETS	NA	121,550.00	97,578.00
OTHERNON-CURRENTASSETS	205,725.00	139,968.00	NA
TOTALASSETS	974,065.00	1,234,510.00	1,170,985.00

This Company's Liabilities Year Over Year

ACCOUNTSPAYABLE	NA	53,234.00	84,277.00
BANKLOAN	NA	NA	NA
NOTESPAYABLE	NA	NA	NA
OTHERCURRENTLIABILITIES	205,725.00	235,647.00	448,205.00
TOTALCURRENTLIABILITIES	205,725.00	288,881.00	532,482.00
OTHERLONGTERMLIABILITIES	24,565.00	53,431.00	NA
DEFERREDCREDIT	NA	NA	NA
NETWORTH	743,775.00	892,198.00	638,503.00
TOTALOFLIABILITIESANDNETWORTH	974,065.00	1,234,510.00	1,170,985.00

Assets(\$)		Liabilities(\$)	
Cash	1349	Accts Pay	84277
Accts Rec	928558	Bank Loan	20298
Other Curr Assets	143500	Accruals	426147
		Other Curr Liabs	1762
		Current Liabs	532,482.00
Current Assets	1,073,407.00	CAPITAL STOCK	500
Fixt & Equip	97578	ADDIT. PD.-IN CAP	512722
		RETAINED EARNINGS	125281
		Total Liabilities	1,170,985.00
Total Assets	1,170,985.00		

From JAN 01 2015 to DEC 31 2015 annual sales \$1,525,469; cost of goods sold \$626,607. Gross profit \$898,862. Operating Income \$898,862. Net income \$898,862.

Prepared from books without audit.

Explanations

Key Business Ratios

FISCAL 2015-12-31

(Industry Median is based on this number of firms: 17)

	This Company	Industry Median	Industry Quartile
Solvency			
Quick Ratio	1.7	1.6	2
Current Ratio	2.0	2.2	3
Current Liabilities to Net Worth	83.4	47.1	1
Current Liabilities to Inventory	NA	999.9	NA
Total Current	83.4	51.1	1
Fixed Assets to Net Worth	15.3	4.5	1
Efficiency			
Collection Period	222.2	53.1	1
Inventory Turn Over	NA	999.9	NA
Sales to NWC	2.8	10.6	4
Acct Pay to Sales	5.5	4.2	1
Profitability			
Return on Sales	58.9	2.0	1
Return on Assets	76.8	7.2	1
Return on NetWorth	140.8	16.8	1

Public Filings

Summary

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

Record Type	# of Records	Most Recent Filing Date
Bankruptcy Proceedings	0	-
Judgments	0	-
Liens	0	-
Suits	0	-
UCCs	6	01/11/17

The following Public Filing data is for information purposes only and is not the official record.
Certified copies can only be obtained from the official source.

Judgments

We currently don't have enough data to display this section

Liens

We currently don't have enough data to display this section

Suits

We currently don't have enough data to display this section

UCC Filings

Collateral: All Assets and proceeds - All Account(s) and proceeds - All General Intangibles(s) and proceeds
Type: Original
Sec. Party: NBT BANK, NATIONAL ASSOCIATION, NORWICH, NY
Debtor: COST CONTROL ASSOCIATES, INC.
Filing No.: 1204045386799
Filed With: SECRETARY OF STATE/UCC DIVISION, ALBANY, NY
Date Filed: 04/04/12
Latest Info Received: 04/12/12

Type: Continuation
Sec. Party: NBT BANK, NATIONAL ASSOCIATION, NORWICH, NY
Debtor: COST CONTROL ASSOCIATES, INC.
Filing No.: 1701115042853
Filed With: SECRETARY OF STATE/UCC DIVISION, ALBANY, NY
Date Filed: 01/11/17
Latest Info Received: 02/10/17
Original Filing No.: 1204045386799
Original UCC Filed Date: 04/04/12

Type: Continuation
Sec. Party: GLENS FALLS NATIONAL BANK AND TRUST COMPANY, GLENS FALLS, NY
Debtor: LAAKE, KEITH D.
Filing No.: 0812036292127
Filed With: SECRETARY OF STATE/UCC DIVISION, ALBANY, NY
Date Filed: 12/03/08
Latest Info Received: 12/15/08

Original Filing No.: 99095967

Original UCC Filed Date: 05/13/99

Type: Continuation

Sec. Party: GLENS FALLS NATIONAL BANK AND TRUST COMPANY, GLENS
FALLS, NY

Debtor: COST CONTROL ASSOCIATES, INC.

Filing No.: 0703235314341

Filed With: SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

Date Filed: 03/23/07

Latest Info Received: 04/09/07

Original Filing No.: 02213476

Original UCC Filed Date: 09/18/02

Type: Continuation

Sec. Party: GLENS FALLS NATIONAL BANK AND TRUST COMPANY, GLENS
FALLS, NY

Debtor: COST CONTROL ASSOCIATES, INC.

Filing No.: 0605155489216

Filed With: SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

Date Filed: 05/15/06

Latest Info Received: 08/01/06

Original Filing No.: 01211282

Original UCC Filed Date: 10/31/01

Type: Original

Sec. Party: GLENS FALLS NATIONAL BANK AND TRUST COMPANY, GLENS
FALLS, NY

Debtor: COST CONTROL ASSOCIATES, INC.

Filing No.: 0602215169849

Filed With: SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

Date Filed: 02/21/06

Latest Info Received: 03/21/06

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

Government Activity

Summary

Borrower (Dir/Guar): NO

Administrative Debt: NO

Contractor: NO

Grantee: NO

Party excluded
from federal program(s): NO

Possible Candidate:

Labor Surplus Area: N/A

Small Business: YES (2018)

8(A) Firm: N/A

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

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

Special Events

10/16/2017

A Rating change has occurred on this company.

Corporate Linkage

Parent

Company Name

DUNS #

City, State

COST CONTROL ASSOCIATES, INC.

79-332-2470

QUEENSBURY, NEW YORK

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COST CONTROL ASSOCIATES, INC.

EXHIBIT C8 – “Bankruptcy Information”

CCA has never filed for bankruptcy.

COST CONTROL ASSOCIATES, INC.

EXHIBIT C9– “Merger Information”

CCA has never been a participant in any dissolution, merger, or acquisition activity.

COST CONTROL ASSOCIATES, INC.

EXHIBIT C10– “Corporate Structure”

CCA is a stand-alone organization with no affiliates or subsidiaries.

SECTION D

EXHIBITS

COST CONTROL ASSOCIATES, INC.

EXHIBIT D1– “Operations”

Cost Control Associates is an energy and telecom consulting company that provides invoice processing and payment, rate and tariff analysis, utility bill auditing, exception/variance reporting and resolution, and energy procurement.

COST CONTROL ASSOCIATES, INC.

EXHIBIT D2-- "Operations Expertise"

As noted elsewhere, Cost Control Associates has helped clients better manage and reduce energy costs for 26 years. We serve all types of businesses including Fortune 100 and 500 companies.

CCA will not be performing as an aggregator but strictly as a certified broker. CCA has performed all facets of energy consulting services since 1991. We have performed our services in all 50 states, including acting as an energy consultant in procurement activities.

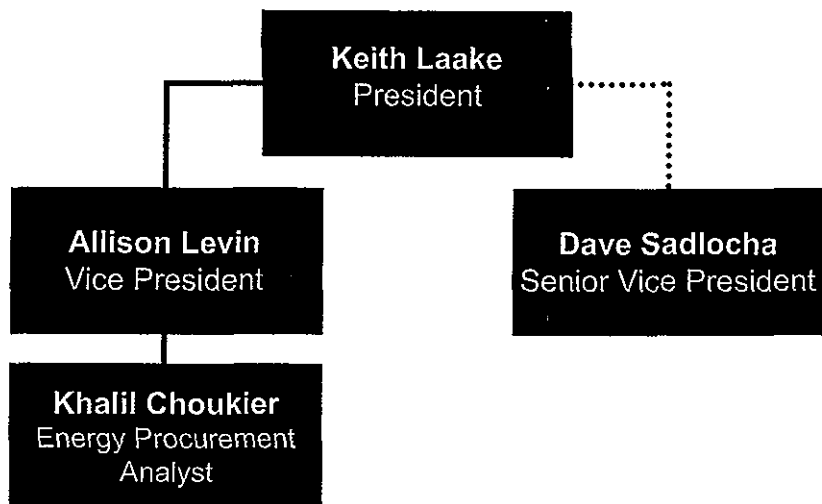
COST CONTROL ASSOCIATES, INC.

EXHIBIT D3– “Key Technical Personnel”

See attached.



ENERGY PROCUREMENT TEAM



RELEVANT BIOGRAPHICAL INFORMATION

Keith Laake
President

BBA Accounting, University of Wisconsin
Certified Public Accountant
26 years with Cost Control Associates
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20 years with Cost Control Associates
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Allison Levin
Vice President

MST, Mathematics, State University of New York at Plattsburgh
B.A. Mathematics, Boston University
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Khalil Choukier
Energy Procurement Analyst

BA Environmental Studies, Skidmore College
BS Sustainable Energy Management, New York College
of Environmental Science and Forestry
Newly hired: Begins May 29, 2018
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