

NC

FILE

Ohio

**Public Utilities
Commission**

PUCO USE ONLY		
Date Received	Case Number	Version
	19-143D-EL-AGG	May 2016

19-143D-EL-AGG

**INITIAL CERTIFICATION APPLICATION FOR ELECTRIC
AGGREGATORS/ POWER BROKERS**

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit A-12 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 input information directly onto the form.
You may also download the form, by saving it to your local disk, for later use.

A. APPLICANT INFORMATION

A-1 Applicant intends to be certified as: (check all that apply)

☒ Power Broker ☒ Aggregator

A-2 Applicant's legal name, address, telephone number and web site address

Legal Name Upstream Renewable LLC
Address 1621 Central Ave, Cheyenne, WY 82001
Telephone # (318) 628-6946 Web site address (if any) _____

A-3 List name, address, telephone number and web site address under which Applicant will do business in Ohio

Legal Name Upstream Renewable LLC
Address 6545 Market Ave N, Ste 100, North Canton, OH 44721
Telephone # (614) 628-6946 Web site address (if any) _____

A-4 List all names under which the applicant does business in North America
Upstream Renewable LLC

A-5 Contact person for regulatory or emergency matters

Name Kayla Bredar
Title Managing Member

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 mm Date Processed 07/03/19

RECEIVED-COMPTON DIV
2019 JUL -3 AM 10:30
PUCO

Business address 1201 Cambridge Ct, Marion, IL 62959

Telephone # (618) 771-6149

Fax #

E-mail address

kaylab@laketreenergy.com

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

Name Kayla Breder

Title Managing Member

Business address 1201 Cambridge Ct, Marion, IL 62959

Telephone # (618) 771-6149

Fax #

E-mail address

kaylab@laketreenergy.com

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

Customer Service address Engle Resources, 1990 Poast Oak Blvd, Ste 1900m Houston, TX 77056

Toll-free Telephone # (888) 232-6208

Fax #

E-mail address

custserv@na.engle.com

A-8 Applicant's federal employer identification number # 842182877

A-9 Applicant's form of ownership (check one)

☐ Sole Proprietorship

☐ Partnership

☐ Limited Liability Partnership (LLP)

☐ Limited Liability Company (LLC)

☐ Corporation

☐ Other

A-10 (Check all that apply) Identify each electric distribution utility certified territory in which the applicant intends to provide service, including identification of each customer class that the applicant intends to serve, for example, residential, small commercial, mercantile commercial, and industrial. (A mercantile customer, as defined in (A) (19) of Section 4928.01 of the Revised Code, is a commercial customer who consumes more than 700,000 kWh/year or is part of a national account in one or more states).

First Energy

☐ Ohio Edison

☐ Toledo Edison

☐ Cleveland Electric Illuminating

Duke Energy

Monongahela Power

American Electric Power

☐ Ohio Power

☐ Columbus Southern Power

Dayton Power and Light

☐ Residential

☐ Residential

☐ Residential

☐ Residential

☐ Residential

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☐ Industrial

☐ Industrial

☐ Industrial

- A-11 Provide the approximate start date that the applicant proposes to begin delivering services
January 1, 2020

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:

- A-12 **Exhibit A-12 "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-13 **Exhibit A-13 "Company History."** provide a concise description of the applicant's company history and principal business interests.
- A-14 **Exhibit A-14 "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-15 **Exhibit A-15 "Secretary of State,"** provide evidence that the applicant has registered with the Ohio Secretary of the State.

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 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 or wholesale electric services including aggregation services.
- B-2 **Exhibit B-2 "Experience & Plans,"** provide a 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 4928.10 of the Revised Code.

B-3 **Exhibit B-3 "Summary of Experience."** provide a concise summary of the applicant's experience in providing aggregation service(s) including contracting with customers to combine electric load and representing customers in the purchase of retail electric services. (e.g. number and types of customers served, utility service areas, amount of load, etc.).

B-4 **Exhibit B-4 "Disclosure of Liabilities and Investigations."** provide a description of all 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.

B-5 Disclose whether the applicant, a predecessor of the applicant, or any principal officer of the applicant have ever 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 Disclose whether the applicant or a predecessor of the applicant has had any certification, license, or application to provide retail or wholesale electric service including aggregation service denied, curtailed, suspended, revoked, or cancelled within the past two years.

☐ 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.

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 in 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 the 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 financial 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 **ELECTRIC** 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 credit rating as reported by two of the following organizations: Duff & Phelps, Dun and Bradstreet Information Services, Fitch IBCA, Moody's Investors Service, Standard & Poors, 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 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 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.

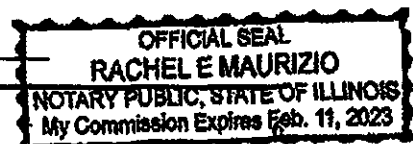
Rachel E. Maurizio Managing member
Signature of Applicant & Title

Sworn and subscribed before me this 2nd day of July, 2019
Month Year

Rachel E. Maurizio
Signature of official administering oath

Rachel E. Maurizio
Print Name and Title

My commission expires on Feb 11, 2023



AFFIDAVIT

State of Illinois :

Marion ss.
(Town)

County of Williamson

Kayla Bredar

Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/She is the Managing member (Office of Affiant) of Upstream Renewable LLC (Name of Applicant);

That he/she is authorized to and does make this affidavit for said Applicant,

1. The Applicant herein, attests under penalty of false statement that all statements made in the application for certification are true and complete and that it will amend its application while the application is pending if any substantial changes occur regarding the information provided in the application.
2. The Applicant herein, attests it will timely file an annual report with the Public Utilities Commission of Ohio of its intrastate gross receipts, gross earnings, and sales of kilowatt-hours of electricity pursuant to Division (A) of Section 4905.10, Division (A) of Section 4911.18, and Division (F) of Section 4928.06 of the Revised Code.
3. The Applicant herein, attests that it will timely pay any assessments made pursuant to Sections 4905.10, 4911.18, or Division F of Section 4928.06 of the Revised Code.
4. The Applicant herein, attests that it will comply with all Public Utilities Commission of Ohio rules or orders as adopted pursuant to Chapter 4928 of the Revised Code.
5. The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, and its Staff on any utility matter including the investigation of any consumer complaint regarding any service offered or provided by the Applicant.
6. The Applicant herein, attests that it will fully comply with Section 4928.09 of the Revised Code regarding consent to the jurisdiction of Ohio Courts and the service of process.
7. The Applicant herein, attests that it will comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
8. The Applicant herein, attests that it will use its best efforts to verify that any entity with whom it has a contractual relationship to purchase power is in compliance with all applicable licensing requirements of the Federal Energy Regulatory Commission and the Public Utilities Commission of Ohio.
9. The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, the electric distribution companies, the regional transmission entities, and other electric suppliers in the event of an emergency condition that may jeopardize the safety and reliability of the electric service in accordance with the emergency plans and other procedures as may be determined appropriate by the Commission.
10. If applicable to the service(s) the Applicant will provide, the Applicant herein, attests that it will adhere to the reliability standards of (1) the North American Electric Reliability Council (NERC), (2) the appropriate regional reliability council(s), and (3) the Public Utilities Commission of Ohio. (Only applicable if pertains to the services the Applicant is offering)

11. The Applicant herein, attests that it will inform the Commission of any material change to the information supplied in the application within 30 days of such material change, including any change in contact person for regulatory purposes or contact person for Staff use in investigating customer complaints.

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

John Brader, managing member
Signature of Affiant & Title

Sworn and subscribed before me this 2nd day of July, 2019
Month Year

Rachel E. Maurizio
Signature of official administering oath

Rachel E. Maurizio
Print Name and Title

My commission expires on Feb 11, 2023



Exhibit A-12"Principal Officers, Directors & Partners"

Kayla Bredar
Managing Member
1201 Cambridge Court
Marion, Illinois 62959
618-771-6149

Travis Loyd
Managing Member
45 Commercial Drive
P.O. Box 1308
Vienna, Illinois 62995
618-528-6946

Exhibit A-19**"Company History"**

Upstream Renewables LLC was established on June 19, 2019 to participate in the procurement or sale of retail electricity and gas supply of third parties.

Exhibit A-14**"Articles of Incorporation and Bylaws"**



Wyoming Secretary of State
2020 Carey Avenue
Suite 700
Cheyenne, WY 82002-0020
Ph. 307-777-7311

For Office Use Only

WY Secretary of State
FILED: Jun 19 2019 11:15AM
Original ID: 2019-000862050

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Limited Liability Company Articles of Organization

I. The name of the limited liability company is:

Upstream Renewable LLC

II. The name and physical address of the registered agent of the limited liability company is:

Wyoming Registered Agent
1621 Central Ave
Cheyenne, WY 82001

III. The mailing address of the limited liability company is:

1621 Central Ave
Cheyenne, WY 82001

IV. The principal office address of the limited liability company is:

1621 Central Ave
Cheyenne, WY 82001

V. The organizer of the limited liability company is:

Wyoming Registered Agent
1621 Central Ave, Cheyenne, WY, 82001

Signature:

Rose Garcia

Date: 08/19/2019

Print Name:

Rose Garcia

Title:

Assistant Secretary

Email:

info@wyomingregisteredagent.com

Daytime Phone #:

(307) 637-5151



Wyoming Secretary of State
2020 Carey Avenue
Suite 700
Cheyenne, WY 82002-0020
Ph. 307-777-7311

- ☒ I am the person whose signature appears on the filing; that I am authorized to file these documents on behalf of the business entity to which they pertain; and that the information I am submitting is true and correct to the best of my knowledge.
- ☒ I am filing in accordance with the provisions of the Wyoming Limited Liability Company Act, (W.S. 17-28-101 through 17-28-1105) and Registered Offices and Agents Act (W.S. 17-28-101 through 17-28-111).
- ☒ I understand that the information submitted electronically by me will be used to generate Articles of Organization that will be filed with the Wyoming Secretary of State.
- ☒ I intend and agree that the electronic submission of the information set forth herein constitutes my signature for this filing.
- ☒ I have conducted the appropriate name searches to ensure compliance with W.S. 17-16-401.

Notice Regarding False Filings: Filing a false document could result in criminal penalty and prosecution pursuant to W.S. 6-5-308.

W.S. 6-5-308. Penalty for filing false document.

(a) A person commits a felony punishable by imprisonment for not more than two (2) years, a fine of not more than two thousand dollars (\$2,000.00), or both, if he files with the secretary of state and willfully or knowingly:

- (i) Falsifies, conceals or covers up by any trick, scheme or device a material fact;
- (ii) Makes any materially false, fictitious or fraudulent statement or representation; or
- (iii) Makes or uses any false writing or document knowing the same to contain any materially false, fictitious or fraudulent statement or entry.

- ☒ I acknowledge having read W.S. 6-5-308.

Filer is: ☐ An Individual ☒ An Organization

The Wyoming Secretary of State requires a natural person to sign on behalf of a business entity acting as an incorporator or organizer. The following individual is signing on behalf of all Organizers or Incorporators.

Filer Information:

By submitting this form I agree and accept this electronic filing as legal submission of my Articles of Organization.

Signature: Rose Garcia
Print Name: Rose Garcia
Title: Assistant Secretary
Email: info@wyomingregisteredagent.com
Daytime Phone #: (307) 637-5151

Date: 06/19/2019



Wyoming Secretary of State
2020 Carey Avenue
Suite 700
Cheyenne, WY 82002-0020
Ph. 307-777-7311

Consent to Appointment by Registered Agent

Wyoming Registered Agent, whose registered office is located at 1621 Central Ave, Cheyenne, WY 82001, voluntarily consented to serve as the registered agent for Upstream Renewable LLC and has certified they are in compliance with the requirements of W.S. 17-28-101 through W.S. 17-28-111.

I have obtained a signed and dated statement by the registered agent in which they voluntarily consent to appointment for this entity.

Signature: *Rose Garcia* Date: 08/19/2019
Print Name: Rose Garcia
Title: Assistant Secretary
Email: info@wyomingregisteredagent.com
Daytime Phone #: (307) 637-5151

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STATE OF WYOMING
Office of the Secretary of State

I, EDWARD A. BUCHANAN, Secretary of State of the State of Wyoming, do hereby certify that the filing requirements for the issuance of this certificate have been fulfilled.

CERTIFICATE OF ORGANIZATION

Upstream Renewable LLC

I have affixed hereto the Great Seal of the State of Wyoming and duly executed this official certificate at Cheyenne, Wyoming on this 19th day of June, 2019 at 11:15 AM.

Remainder intentionally left blank.



Filed Date: 06/19/2019


Secretary of State

Filed Online By:

Rose Garcia

on 06/19/2019

STATEMENT OF RELEASE

The undersigned, acting as the Assistant Secretary for Wyoming Registered Agent, the Organizer of Upstream Renewable LLC, a Wyoming Limited Liability Company (hereafter LLC) and authorized to implement this action hereby RESOLVES that:

WHEREAS: On the filing date of the LLC, Wyoming Registered Agent (hereafter "WRA") established its position as Organizer of the LLC.

WHEREAS: WRA has received and accepted an offer to purchase LLC.

THEREFORE, WRA sets forth and certifies the following representations to the purchaser of LLC:

1. WRA is the Organizer and the sole temporary Member of the LLC and is vested with the rights, authorities and powers to authorize the actions set forth herein.
2. The undersigned is granted the powers and authority by WRA to approve the sale of the LLC and endorse this Resolution.
3. WRA hereby acknowledges receipt of good and valuable consideration, the sufficiency of which is hereby acknowledged as full, complete and final payment for the purchase of LLC;

IN WITNESS WHEREOF, the undersigned has hereunto set her hand on the date so noted.

For Wyoming Registered Agent:

Signature: Rose Garcia
Rose Garcia

Title: Assistant Secretary

DATE: June 19, 2019

**Resolution Of ORGANIZER
TO APPOINT MANAGER for**

Upstream Renewable LLC

A Wyoming Limited Liability Company (hereafter "LLC")

The organizer of the above named LLC hereby appoints the following as Manager of the LLC:


Name

Travis Loyd

Address

**45 Commercial Drive PO Box 1308, Vienna, Illinois,
62995**

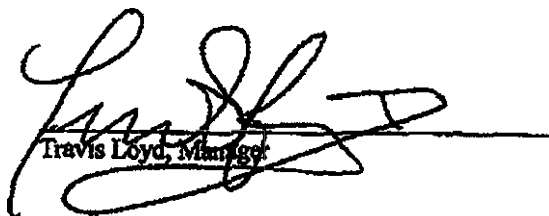
Adopted and resolved by the Organizer of the LLC this June 19, 2019.



**Rose Garcia, Assistant Secretary
Wyoming Registered Agent
Organizer**

ACCEPTANCE OF APPOINTMENT AS MANAGER**OF****Upstream Renewable LLC****A Wyoming Limited Liability Company (hereafter "LLC")**

I, Travis Loyd, having been appointed Manager of the LLC, do hereby accept said position effective as of the time of my appointment on this 19 day of June, 2019.



Travis Loyd, Manager

Exhibit A-15**"Secretary of State"**



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DATE	DOCUMENT ID	DESCRIPTION	FILING	EXPED	CERT	COPY
06/27/2019	201917701374	REGISTRATION OF FOREIGN FOR PROFIT LLC (LFP)	99.00	0.00	0.00	0.00

Receipt

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

FILINGS TEAM
6545 MARKET AVE. NORTH STE 100
NORTH CANTON, OH 44721

STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Frank LaRose
4352027

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

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

Document(s)

REGISTRATION OF FOREIGN FOR PROFIT LLC

Effective Date: 06/26/2019

Document No(s):

201917701374



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
27th day of June, A.D. 2019.

Ohio Secretary of State

B. APPLICATION MANAGERIAL CAPABILITY AND EXPERIENCE**Exhibit B-1****"Jurisdictions of Operation"**

Lake Tree Energy LLC, Kayla Bredar, Managing Member, State of Illinois – Illinois Commerce Commission,
Agents, Brokers, and Consultants Docket Number 19-0043, February 22, 2019

Exhibit B-2**"Experience & Plans"**

Upstream Renewable LLC is a division of Econergy LLC, and benefits from their experience serving as the Program Manager of the Future Green Energy Consortium (FGEC). The FGEC is a non-profit organization founded by the Illinois Association of School Administrators, The Illinois Association of School Boards and the Illinois Association of School Business Officials, established to ensure that Illinois schools can enjoy the benefits of renewable energy. FGEC educates, coordinates and facilitates the contracting of energy supply, and the development of "behind-the-meter" onsite solar generation assets for individual school districts. In performance of our role as program manager, we directly contact member schools and ensure the contracting of energy supply, manage the relationships with our retail electricity supply partner, and other solar developers.

Upstream Renewable LLC will be working on behalf of Ohio Schools Council ("OSC"), Ohio School Board Association ("OSBA"), Ohio Association of School Business Officials ("OASBO") and the Buckeye Association of School Administrators ("BASA") collectively operating under the trade name "Power 4 Schools" ("P4S"). Upstream anticipates having direct contact with the members of Power4Schools, and other similar associations. Upstream Renewable LLC, through its relationship with Econergy LLC, has an exclusive supply agreement with ENGIE resources to provide electricity supply, billing statements, and responding to inquiries and complaints in accordance with consumer protection provisions of Ohio law.

Exhibit B-3**"Summary of Experience"**

Upstream Renewable LLC is a division of Econergy LLC, and benefits from their experience serving as the Program Manager of the Future Green Energy Consortium (FGEC). The FGEC is a non-profit organization founded by the Illinois Association of School Administrators, The Illinois Association of School Boards and the Illinois Association of School Business Officials, set up to ensure that Illinois schools can enjoy the benefits of renewable energy. FGEC educates, coordinates and facilitates the contracting of energy supply, and the development of "behind-the-meter" onsite solar generation assets for individual school districts.

In performance of our role as program manager, we directly contact member schools and ensure the contracting of energy supply, manage the relationships with our retail electricity supply partner, and solar developers. FGEC operates in both the Illinois portions of PJM and MISO service areas serving commercial customers with 43,000 mWh of load.

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

Not applicable to Upstream Renewable LLC.

No applicant or principal officer, nor their predecessors, have ever been convicted or held liable for fraud or violation of any consumer protection or antitrust laws within the past five years.

No applicant, nor their predecessor, has had any certification, license, or application to provide retail or wholesale electric service (including aggregation service) denied, curtailed, suspended, revoked, or cancelled.

C. APPLICANT FINANCIAL CAPABILITY AND EXPERIENCE**Exhibit C-1****"Annual Reports"**

Upstream Renewable LLC is a recently established, non-publicly traded company, therefore it is not required to file annual reports.

Exhibit C-2"SEC Filings"

Upstream Renewable LLC is not a publicly traded company and is not required to file with the SEC.

Exhibit C-4**"Financial Arrangements"**

Not applicable to Upstream Renewable LLC.

Exhibit C-6**"Credit Rating"**

Not applicable to Upstream Renewable LLC.

Exhibit C-8**"Bankruptcy Information"**

Not applicable to applicant or any managing member of Upstream Renewable LLC.

Exhibit C-9"Merger Information"

Not Applicable to Upstream Renewable LLC.

Exhibit C-10

"Corporate Structure"

Upstream Renewable LLC is a division of Enenergy LLC and can provide services based on the cooperative agreement with Engie Resources.

