

FILE

Ohio**Public Utilities
Commission****PUCO USE ONLY - Version 4.08**

| Date Received | Renewal Certification Number | ORIGINAL AGG Case Number |
|---------------|------------------------------|--------------------------|
| | | 18-468 - GA-AGG |

18-468-GA-AGG

46

RENEWAL CERTIFICATION APPLICATION

COMPETITIVE RETAIL NATURAL GAS BROKERS/AGGREGATORS

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

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

SECTION A - APPLICANT INFORMATION AND SERVICES

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

☒ Retail Natural Gas Aggregator ☐ Retail Natural Gas Broker

A-2 Applicant information:

Legal Name Cost Control Associates, Inc.

Address 310 Bay Road Queensbury, NY 12804

Telephone No. 5187984437

Web site Address www.costcontrolassociates.com

Current PUCO Certificate No. 18-656G

Effective Dates 4/19/18 - 4/19/20

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 www.costcontrolassociates.com

Telephone No. 5187984437

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 Keith Laake

Title President

Business Address 310 Bay Road Queensbury, NY 12804

Telephone No. 5187974437

Fax No. 5187981735

Email Address keith.laake@costcontrolassociates.com

This is to certify that the images appearing are an accurate and complete reproduction of a case file document delivered in the regular course of business. Technical Date Processed 5/5/20

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

Name Allison Levin

Title VP

Business address 310 Bay Road Queensbury, NY 12804

Telephone No. 5187974437

Fax No. 5187971735

Email Address allison.levin@costcontrolassociati

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. 8008363787

Fax No. 5187974437

Email Address allison.levin@costcontrolass

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

Business address 9435 Waterstone Road, Suite 140 Cincinnati, OH 45249

Telephone No. 8002462677

Fax No.

Email Address www.incorp.com

A-9 Applicant's federal employer identification number 161597018

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

☐ Sole Proprietorship

☐ Partnership

☐ Limited Liability Partnership (LLP)

☐ Limited Liability Company (LLC)

☒ Corporation

☐ Other

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

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

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

☒ Columbia Gas of Ohio

| | | | | |
|--|---------------------------|---------|----------|--|
| <input type="checkbox"/> Residential | Beginning Date of Service | | End Date | |
| <input checked="" type="checkbox"/> Small Commercial | Beginning Date of Service | 4/18/18 | End Date | |
| <input checked="" type="checkbox"/> Large Commercial | Beginning Date of Service | 4/18/18 | End Date | |
| <input checked="" type="checkbox"/> Industrial | Beginning Date of Service | 4/18/18 | End Date | |

☒ Dominion East Ohio

| | | | | |
|--|---------------------------|---------|----------|--|
| <input type="checkbox"/> Residential | Beginning Date of Service | | End Date | |
| <input checked="" type="checkbox"/> Small Commercial | Beginning Date of Service | 4/18/18 | End Date | |
| <input checked="" type="checkbox"/> Large Commercial | Beginning Date of Service | 4/18/18 | End Date | |
| <input checked="" type="checkbox"/> Industrial | Beginning Date of Service | 4/18/18 | End Date | |

☒ Duke Energy Ohio

| | | | | |
|--|---------------------------|---------|----------|--|
| <input type="checkbox"/> Residential | Beginning Date of Service | | End Date | |
| <input checked="" type="checkbox"/> Small Commercial | Beginning Date of Service | 4/18/18 | End Date | |
| <input checked="" type="checkbox"/> Large Commercial | Beginning Date of Service | 4/18/18 | End Date | |
| <input checked="" type="checkbox"/> Industrial | Beginning Date of Service | 4/18/18 | End Date | |

☒ Vectren Energy Delivery of Ohio

| | | | | |
|--|---------------------------|---------|----------|--|
| <input type="checkbox"/> Residential | Beginning Date of Service | | End Date | |
| <input checked="" type="checkbox"/> Small Commercial | Beginning Date of Service | 4/18/18 | End Date | |
| <input checked="" type="checkbox"/> Large Commercial | Beginning Date of Service | 4/18/18 | End Date | |
| <input checked="" type="checkbox"/> Industrial | Beginning Date of Service | 4/18/18 | 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 type="checkbox"/> | Columbia Gas of Ohio | Intended Start Date | N/A |
| <input type="checkbox"/> | Dominion East Ohio | Intended Start Date | N/A |
| <input type="checkbox"/> | Duke Energy Ohio | Intended Start Date | N/A |
| <input type="checkbox"/> | Vectren Energy Delivery of Ohio | Intended Start Date | N/A |

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

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

SECTION B - APPLICANT MANAGERIAL CAPABILITY AND EXPERIENCE

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED

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

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

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

☒ No ☐ Yes

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

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

☒ No ☐ Yes

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

SECTION C - APPLICANT FINANCIAL CAPABILITY AND EXPERIENCE

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED

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

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

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

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

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

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

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

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

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

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

SECTION D – APPLICANT TECHNICAL CAPABILITY

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

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

Applicant Signature and Title

The Mr. President

Sworn and subscribed before me this

4

day of

May

Month

2020

Year

Dana Sastre

Signature of official administering oath

Dana Sastre, Notary Public

Print Name and Title

My commission expires on

5/14/2022

DANA SASTRE
NOTARY PUBLIC-STATE OF NEW YORK
No. 01SA6375138
Qualified in Warren County
My Commission Expires 05-14-2023



The Public Utilities Commission of Ohio

Competitive Retail Natural Gas Service
Affidavit Form
(Version 1.07)

In the Matter of the Application of)

[Redacted])

for a Certificate or Renewal Certificate to Provide)

Competitive Retail Natural Gas Service in Ohio.)

Case No. [Redacted]-[Redacted]-GA-AGG

County of [Redacted]

State of [Redacted]

[Redacted]

[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

John M. President

Sworn and subscribed before me this

4

day of

May

Month

2020

Year

Dana Sastre

Signature of Official Administering Oath

Dana Sastre, Notary Public

Print Name and Title

DANA SASTRE
NOTARY PUBLIC-STATE OF NEW YORK
No. 01SA6375138
Qualified in Warren County
My Commission Expires 05-14-2022

My commission expires on

5/14/2022

COST CONTROL ASSOCIATES

EXHIBIT A-14 – OFFICERS AND DIRECTORS

| | | |
|--|------------------------------------|--------------|
| Keith Laake, President/ Director | 310 Bay Rd., Queensbury, NY 12804 | 518-798-4437 |
| Sharon Laake/ Treasurer/Director | 310 Bay Rd., Queensbury, NY 12804 | 518-798-4437 |
| Judith Eberius, Director | 310 Bay Rd., Queensbury, NY 12804 | 518-798-4437 |
| Allison Levin, VP/ Secretary/ Director | 310 Bay Road, Queensbury, NY 12804 | 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 28 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"

There have been no changes to our articles of incorporation or bylaws since our last filing.

COST CONTROL ASSOCIATES, INC.

EXHIBIT A-17 "SECRETARY OF STATE"

Attached.

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

I, Frank LaRose, do hereby certify that I am the duly elected, qualified and present acting Secretary of State for the State of Ohio, and as such have custody of the records of Ohio and Foreign business entities; that said records show COST CONTROL ASSOCIATES, INC., a New York corporation, having qualified to do business within the State of Ohio on February 5, 2018 under License No. 4134883 is currently in GOOD STANDING upon the records of this office.



*Witness my hand and the seal of the
Secretary of State at Columbus, Ohio
this 4th day of May, A.D. 2020.*

A handwritten signature in cursive script, appearing to read "Frank LaRose".

Ohio Secretary of State

Validation Number: 202012502802

Cost Control Associates, Inc.

Exhibit B-1 – Jurisdictions of Operations

| <u>Gas</u> | <u>Electric</u> |
|------------|-----------------|
| MA | DE |
| NH | IL |
| OH | MA |
| PA | ME |
| | NH |
| | OH |
| | PA |
| | RI |
| | TX |
| | NJ |

COST CONTROL ASSOCIATES, INC.

Exhibit B-2, Experience & Plans

As a certified broker, CCA relies on certified/licensed suppliers for supply services, contracting, billing, customer service, and other obligations related to the supply of energy.

Cost Control Associates addresses issues via an Oversight Committee. The sole purpose of this Committee is to monitor and measure the business relationship between the parties, establish direction and priorities for the relationship, and act as a final decision board for any escalated problems or disputes which require a forum for resolution.

Cost Control Associates, Inc.

Exhibit B-3

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

None

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 publicly traded.

COST CONTROL ASSOCIATES, INC.

Exhibit C-2, SEC Filings

Cost Control Associates is a privately held company and therefore not required to file with the SEC.

COST CONTROL ASSOCIATES, INC.

EXHIBIT C3 – “Financials Statements”

See attached.

05/01/20

Cost Control Associates, Inc.

Exhibit C-3, Financial Stmts

Profit & Loss

January 2018 through December 2019

| | Jan - Dec 18 | Jan - Dec 19 |
|---------------------------------|---------------|--------------|
| Ordinary Income/Expense | | |
| Income | | |
| Net Fee Revenue | | |
| <i>Fee Income</i> | 2,519,886.54 | 1,907,709.23 |
| Fees Rec'd - Energy Procurement | 2,865.81 | 1,819.04 |
| Fees Received from Others | 64,054.58 | 57,192.64 |
| Pmts for Bill Processing/Other | -1,162,729.86 | -597,859.87 |
| Total Net Fee Revenue | 1,423,877.07 | 1,368,861.04 |
| Rental Income | 19,920.00 | 19,920.00 |
| Total Income | 1,443,797.07 | 1,388,781.04 |
| Gross Profit | 1,443,797.07 | 1,388,781.04 |
| Expense | | |
| HUMAN RESOURCES | | |
| AFLAC Benefits | 362.58 | -386.56 |
| Dental-Vision Insurance | 9.90 | 68.67 |
| Disability Insurance-NY | 189.44 | 134.47 |
| Education | 6,562.02 | 523.78 |
| FICA Tax | 56,457.76 | 50,447.97 |
| FSA Account | 0.00 | 400.00 |
| Gross Payroll | 789,265.82 | 712,532.20 |
| Gross Payroll - Purch Vacation | -4,757.63 | -7,441.90 |
| Health Insurance-Employee Part | -8.54 | 56.41 |
| Health Insurance-Employer Part | 40,858.90 | 42,661.35 |
| Life Insurance | 637.72 | 735.31 |
| NYS PFL | 316.23 | 104.75 |
| Retirement Plan | 20,685.58 | 19,065.92 |
| Sales Commissions-Agents | 17,694.13 | 8,948.59 |
| Unemployment Tax-Federal | 588.00 | 661.11 |
| Unemployment Tax-IL | 0.00 | 0.00 |
| Unemployment Tax-NY | 4,972.79 | 7,675.70 |
| Workers Comp | 3,872.00 | 2,451.00 |
| Total HUMAN RESOURCES | 937,706.70 | 838,638.77 |
| Marketing | | |
| Advertising & Sponsorship | 20,966.21 | 9,741.13 |
| Outside Services-Marketing | 14,247.07 | 16,417.29 |
| Print Materials & Supplies-Mrkt | 2,000.00 | 2,967.10 |
| Trade Shows & Conferences | 10,046.28 | 25,889.29 |
| Total Marketing | 47,259.56 | 55,014.81 |
| OCCUPANCY | | |
| Property Taxes | 9,878.16 | 9,829.15 |
| Rent | 39,600.00 | 39,600.00 |
| Utilities | 8,555.07 | 7,023.07 |
| Total OCCUPANCY | 58,033.23 | 56,452.22 |
| OFFICE EXPENSE | | |
| Office Supplies | 17,918.64 | 11,468.29 |

Cost Control Associates, Inc.

Profit & Loss

January 2018 through December 2019

| | Jan - Dec 18 | Jan - Dec 19 |
|---------------------------------------|---------------------|---------------------|
| Postage & Freight | 4,501.13 | 1,944.44 |
| Repairs & Maintenance | 25,048.73 | 20,477.46 |
| Telephone | 11,346.40 | 10,144.96 |
| Total OFFICE EXPENSE | 58,814.90 | 44,035.15 |
| OTHER OPERATING EXPENSES | | |
| Donations | 250.00 | 1,975.00 |
| Dues | 2,109.00 | 1,854.00 |
| Insurance | 15,331.42 | 14,834.05 |
| Legal & Professional | 31,497.59 | 21,880.51 |
| Outside Services | 71,740.40 | 45,544.58 |
| Publications & Information | 4,636.61 | 4,679.45 |
| State Income Tax Payments | 1,025.00 | 5,826.50 |
| Total OTHER OPERATING EXPENSES | 126,590.02 | 96,594.09 |
| TRAVEL EXPENSE | | |
| Meals & Entertainment-50% Limit | 9,333.42 | 7,653.31 |
| Travel-Other | 53,936.15 | 48,177.14 |
| Total TRAVEL EXPENSE | 63,269.57 | 55,830.45 |
| Total Expense | 1,291,673.98 | 1,146,565.49 |
| Net Ordinary Income | 152,123.09 | 242,215.55 |
| Other Income/Expense | | |
| Other Income | | |
| Interest Income | 55.58 | 83.85 |
| Total Other Income | 55.58 | 83.85 |
| Other Expense | | |
| Depreciation Expense | 9,211.73 | 52,811.37 |
| Interest Expense | 18.97 | 40.28 |
| Total Other Expense | 9,230.70 | 52,851.65 |
| Net Other Income | -9,175.12 | -52,767.80 |
| Net Income | 142,947.97 | 189,447.75 |

05/01/20

Cost Control Associates, Inc.
Balance Sheet--Tax (Cash) Basis
As of December 31, 2019

| | Dec 31, 18 | Dec 31, 19 |
|---------------------------------------|-------------------|-------------------|
| ASSETS | | |
| Current Assets | | |
| Checking/Savings | | |
| Checking - NBT Bank | 18,630.29 | 84,428.94 |
| Checking Account - Dyson | 0.00 | 384,161.61 |
| Savings - NBT Bank | 152,120.03 | 229,630.48 |
| xCash Reserved for Customers | 0.00 | -384,161.61 |
| Total Checking/Savings | 170,750.32 | 314,059.42 |
| Other Current Assets | | |
| Accounts Rec-Employees | 0.00 | 358.22 |
| Petty Cash Fund | 45.00 | 45.00 |
| Total Other Current Assets | 45.00 | 403.22 |
| Total Current Assets | 170,795.32 | 314,462.64 |
| Fixed Assets | | |
| Computers | 66,918.09 | 70,382.68 |
| Furniture and Equipment | 67,493.44 | 67,312.61 |
| Land Improvements | 29,200.00 | 29,200.00 |
| Leasehold Improvements | 16,077.53 | 17,944.56 |
| Software | 163,237.73 | 180,853.21 |
| xAccumulated Depreciation | -329,120.80 | -354,586.18 |
| Total Fixed Assets | 13,805.99 | 11,106.88 |
| Other Assets | | |
| Deposits | 32.00 | 32.00 |
| Total Other Assets | 32.00 | 32.00 |
| TOTAL ASSETS | 184,633.31 | 325,601.52 |
| LIABILITIES & EQUITY | | |
| Liabilities | | |
| Current Liabilities | | |
| Credit Cards | | |
| AMEX - Keith - #2005 | 1,918.68 | 0.00 |
| VISA-MBNA-Allison #8294 | 56.31 | 38.50 |
| VISA-MBNA-Janis # 5345 | 0.00 | 38.50 |
| VISA-MBNA-Jason #8377 | 0.00 | 70.00 |
| VISA-MBNA-Lisa # 3766 | 0.00 | 5.88 |
| VISA-MBNA-Sharon #1276 | 472.11 | 133.75 |
| VISA-MBNA-Valerie #7683 | 215.98 | 1,516.91 |
| Total Credit Cards | 2,663.08 | 1,803.54 |
| Other Current Liabilities | | |
| Accrued Retirement Plan Contrib | 20,500.00 | 19,000.00 |
| Tenant Security Deposit | 1,375.00 | 1,375.00 |
| Total Other Current Liabilities | 21,875.00 | 20,375.00 |
| Total Current Liabilities | 24,538.08 | 22,178.54 |
| Total Liabilities | 24,538.08 | 22,178.54 |
| Equity | | |
| Capital Stock | 500.00 | 500.00 |
| Capital Stock Add'l Paid In | 26,270.05 | 26,270.05 |
| Retained Earnings | 23,477.21 | 133,325.18 |
| Shareholder Distributions | -33,100.00 | -46,120.00 |
| Net Income | 142,947.97 | 189,447.75 |
| Total Equity | 160,095.23 | 303,422.98 |
| TOTAL LIABILITIES & EQUITY | 184,633.31 | 325,601.52 |

COST CONTROL ASSOCIATES, INC.

EXHIBIT C4 – “Financial Arrangements”

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

COST CONTROL ASSOCIATES, INC.

Exhibit C-5, Forecasted Financial Statements

| | <u>2020</u> | <u>2021</u> |
|----------------------------|--------------|---------------|
| Income: | | |
| Commissions from Suppliers | 10,000 | 15,000 |
| Expenses: | | |
| Wages & Fringe Benefits | 1,000 | 1,250 |
| Other Expenses | 500 | 500 |
| Total Expenses | <u>1,500</u> | <u>1,750</u> |
| Operating Income - OH | <u>8,500</u> | <u>13,250</u> |

COST CONTROL ASSOCIATES, INC.

EXHIBIT C6 – “Credit Rating”

N/A

COST CONTROL ASSOCIATES, INC.

EXHIBIT C7 – “Credit Report”

See attached.

3/9/18

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

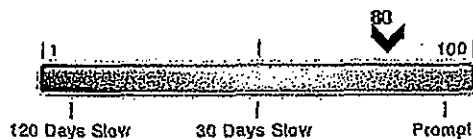
Corporate Family:

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

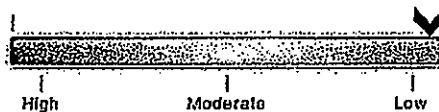
Risk Category
Low

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

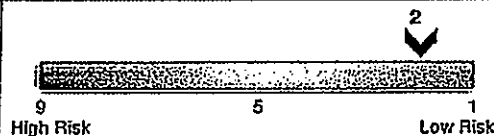
| D&B Rating | Date Applied |
|------------|--------------|
| 1R2 | 2017-10-16 |
| 1A2 | 2016-08-04 |
| 2A1 | 2015-07-17 |
| 1A1 | 2014-12-23 |
| 1A2 | 2014-12-05 |
| 1R3 | 2014-08-27 |
| 1R2 | 2008-01-18 |
| 1R3 | 2007-12-04 |
| 3A1 | 2006-05-02 |
| 1R2 | 2004-07-24 |

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

D&B Viability Rating

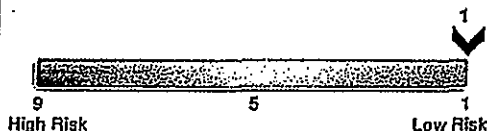
2

Viability Score



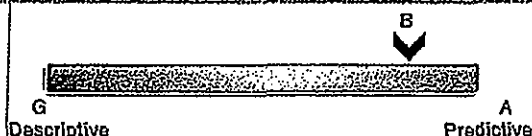
Compared to ALL US Businesses within the D&B Database:

- 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 : US CAN.

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 | Day Slow 30-60 | 61-90 | 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 communictns | 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&Bs 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/B (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 |

Payments Detail Key:  30 or more days beyond terms

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

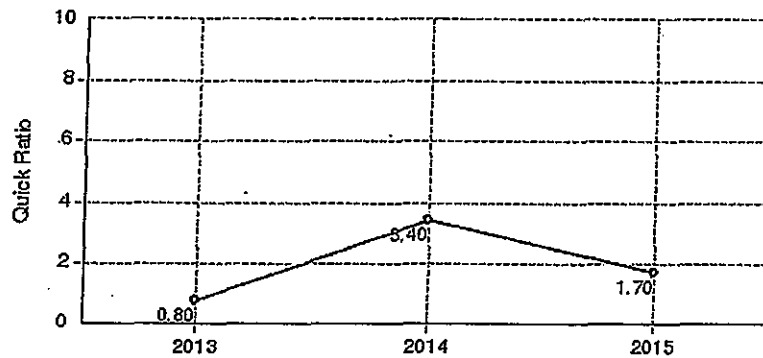
Payment experiences reflect how bills are met in relation to the terms granted. In some instances payment beyond terms can be the result of disputes over merchandise, skipped invoices etc.

Each experience shown is from a separate supplier. Updated trade experiences replace those previously reported.

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 | 600,635.00 | 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 | 20296 |
| 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.: 0605155469216
Filed With: SECRETARY OF STATE/UCC DIVISION, ALBANY, NY
Date Filed: 05/15/06
Latest Info Received: 06/01/06
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

Exhibit C-8 Bankruptcy Information

None

Exhibit C-9 Merger Information

None

Exhibit C-10 Corporate Structure

Cost Control Associates, Inc. is a stand alone entity with no affiliate or subsidiary companies.

COST CONTROL ASSOCIATES, INC.

Exhibit D-1, Operations

Cost Control Associates helps organizations get a firm grip on utility expense management. Since 1991 we have helped our clients better manage and reduce utility costs for energy (electricity, natural gas, propane and other fuel oils), water/sewer, waste removal, telecom and cellular costs.

More than 90 percent of the clients we serve have found they were paying too much for utilities. You may be, too. Our customized utility expense management solutions range from utility cost-cutting and procurement to budgeting and forecasting, bill pay, data management and analysis, and much more.

Our team of expert analysts averages 14 years' tenure at Cost Control Associates. They thoroughly understand the utilities industry and work regularly with your providers. Our clients tell us they appreciate our integrity, commitment to long term relationships and superior customer care.

COST CONTROL ASSOCIATES, INC.

Exhibit D-2, Operations Expertise

Our team of expert analysts averages 14 years' tenure at Cost Control Associates. They thoroughly understand the utilities industry and work regularly with your providers.

Since 1991 Cost Control Associates has helped clients save millions of dollars in energy costs through improved energy pricing and other cost optimization techniques. Our clients tell us they appreciate our integrity, commitment to long term relationships and superior customer care.

Our energy procurement team is experienced in multi-faceted business-to-business marketing, strategic account management, and financial and energy management. We have helped multi-site national and regional organizations reduce utility-related expenses while focusing on energy risk management, utility optimization and sustainability.

Because Cost Control Associates is not an energy supplier or marketer, we offer unbiased consultation and advice that is always in our clients' best interest.

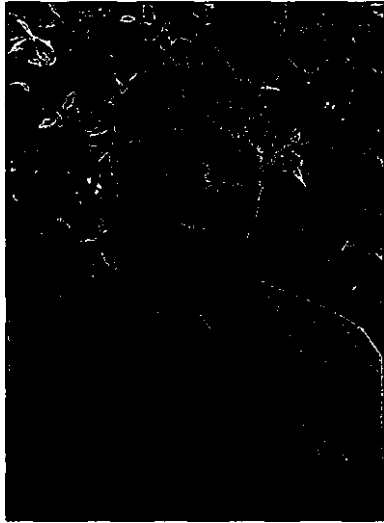
Cost Control Associates, Inc.

Exhibit D-3 – Key Technical Personnel

See attached

Joe Scicutella

Energy Procurement Analyst



Professional Experience

8 years

Education

B.S. Business Economics, State
University of New York College at
Oneonta

Job Responsibilities

Joe monitors and interprets electricity and natural gas market pricing and influences. Using his knowledge of deregulated energy markets, he develops buying strategies to optimize each client's energy needs. Joe works with a roster of competitive energy suppliers to obtain pricing, negotiate contracts and secure price savings for clients. He continuously improves the in-house analytical tools that facilitate the procurement process, ensuring that clients have the best resources at their disposal.

Joe also provides utility invoice analysis and review services to a variety of clients. He uses analytical reports to identify billing and rate errors, negotiate and secure refunds, recommend and implement cost reductions. He explores alternative cost-saving rate plans, makes recommendations and confirms correct implementation.

Professional Experience

- Analyst, Cost Control Associates, 1 year
- Customer Service Team Lead, Logistics services company, 3 years.
- Office Manager, Private healthcare practice, 5 years

Significant Accomplishments

- Joe hit the ground running when he arrived at Cost Control Associates and went straight to work supporting his coworkers with analysis work.
- Joe's outstanding customer service skills have already impressed clients. They love working with him.

Key Clients

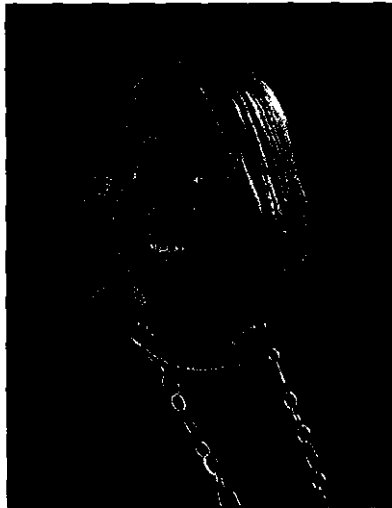
- Wawa
- Jako Enterprises
- ExteNet Systems
- Nationwide Insurance
- Park National Bank

In His Own Words

"I guess you could say that customer service is in my DNA. Working directly with clients is my favorite part of the job. It's great to save money for clients, but I also like taking care of them. My goal is to make sure they have all the information they need and to get it to them as fast as possible."

Allison Levin

Vice President



Professional Experience
21 years

Education
Boston University, B.A. in
Mathematics

State University of New York at
Plattsburgh, M.S.T. in Mathematics

Industry Certification
Certified Carbon Reduction
Manager (CRM)

Industry Affiliations
Association of Energy Engineers

Women in Communications &
Energy (WICE NY)

Job Responsibilities

Allison provides direct supervision and management to the analysis team and office personnel. She oversees energy and telecom/cellular bill analyses and manages client relationships for key accounts.

Allison assists the company president with strategic planning and other special projects. She also develops, reviews and evaluates procedural, training and marketing issues.

Professional Experience

- Vice President, 2 years
- Analysis Team Director, Cost Control Associates, 3 years
- Energy Services Manager, Cost Control Associates, 7 years
- Senior Analyst, Cost Control Associates, 8 years
- Analyst, Citizens Energy Corporation, 1 year

Significant Accomplishments

- Builds and sustains long term relationships with clients
- Proven expertise in budgeting and forecasting
- Designed and led implementation of our in-house client management/billing system
- Largest single cost saving of \$254,000 for Arizona county

Key Clients

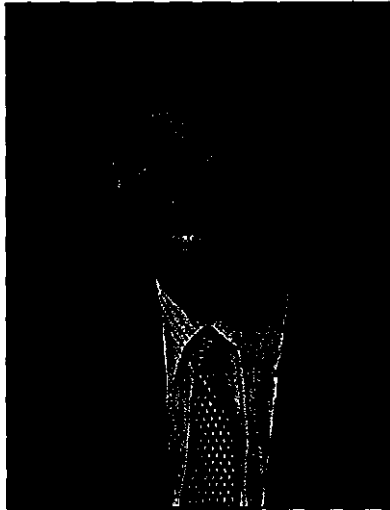
- JC Penney
- Kroger
- ADP
- Bank of America
- Walgreens

In Her Own Words

"The best part of my job is when a client says, 'You made my day!' That's what we are here for—to bring the solutions and answers that help our clients better manage their utility expenses. I'm glad we aren't one of those companies that makes clients wade through endless 800-number menus just to ask a simple question. At Cost Control Associates, a live person answers the phone. If you need information, we find it for you—when you need it rather than when we can get to it. Customer service is a top priority for us, and I'm proud of that."

Keith Laake

President



Professional Experience

28 years

Education

University of Wisconsin-Oshkosh,
B.B.A. Accounting

Seminars/Courses

How Energy and the Economy are
Inextricably Linked

A Look at Best Practices and New
Developments in Lighting

EEl National Accounts Workshop
2008-2019

Energy Policy and Its Impact on
Customers

Strategies for Managing
Energy Use

Touchstone Energy NET
Conference 2012-2018

Industry Affiliations

American Institute of CPAs

Certified Public Accountant

Job Responsibilities

Keith is responsible for strategic planning, marketing, sales and overall management of Cost Control Associates. He has developed systematic, successful programs to help clients reduce and better manage their costs related to energy, telecom and waste removal.

Keith prides himself and his firm on its honesty and integrity while putting clients and customer service at the top of the priority list. Because of his commitment to long term client relationships, Keith participates directly in engagements with the company's key accounts.

Professional Experience

- President, Cost Control Associates, 28 years
- CFO, Economy Dry Goods, Inc. (retail chain), 4 years
- Senior Manager, Ernst & Young, 8 years

Significant Accomplishments

- Transformed Cost Control Associates from a utility bill audit firm to a diversified energy/telecom consulting firm
- Directly participated in the acquisition and retention of key clients
- Assembled and trained one of the most experienced staffs in our consulting field
- Developed client-focused culture
- Attained client retention rate of >98%

Key Clients

- InvenTrust
- Bank of America
- The Home Depot
- YRC Worldwide
- Wawa

In His Own Words

"I enjoy working with organizations to help them better manage and reduce energy, waste removal and telecom costs. Cost Control Associates has experience in retail, banking, technology, healthcare, government, education and many other industries. Our innovative services and customer attentiveness make us a top choice for clients who seek a best-in-class solution. The average tenure of our analysts is 14 years, and our customers benefit by that depth of industry experience and commitment."