

PUCO USE ONLY - Version 1.07		
Date Received	Renewal Certification Number	ORIGINAL AGG Case Number
		13 - 2342 - GA-AGG

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-16 - 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 Aspen Energy Corporation
Address 9550 Dublin Road Suite C Powell, OH 43065
Telephone No. 614-884-5300 Web site Address www.aspenenergy.com
Current PUCO Certificate No. 14-355G (1) Effective Dates January 4, 2014 through January 4, 2016

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

Name Aspen Energy
Address 9550 Dublin Road Suite C Powell OH 43065
Web site Address www.aspenenergy.com Telephone No. 614-884-5300

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

Aspen Energy

A-5 Contact person for regulatory or emergency matters:

Name Jason Heinmiller Title Operations Manager
Business Address 9550 Dublin Road Suite C Powell OH 43065
Telephone No. 614-884-5300 Fax No. 614-336-8362 Email Address jheinmiller@aspenenergy.com

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

Technician AW Date Processed 11/24/15 (CRNGS Broker/Aggregator Renewal)

Page 1 of 7

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2015 NOV 24 AM 10:57
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A-6 Contact person for Commission Staff use in investigating customer complaints:

Name Jason Heinmiller

Title Operations Manager

Business address 9550 Dublin Road Suite C Powell OH 43065

Telephone No. 614-884-5300

Fax No. 614-336-8362

Email Address jheinmiller@aspenenergy.com

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

Customer service address 9550 Dublin Road Suite C Powell OH 43065

Toll-Free Telephone No. 800-926-0046

Fax No. 614-336-8362

Email Address information@aspenenergy.com

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

Name Jason Heinmiller

Title Operations Manager

Business address 9550 Dublin Road Suite C Powell OH 43065

Telephone No. 614-884-5300

Fax No. 614-336-8362

Email Address jheinmiller@aspenenergy.com

A-9 Applicant's federal employer identification number 31-1718170

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 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 checked="" 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 checked="" 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 checked="" type="checkbox"/> Residential	Beginning Date of Service	11/2000	End Date
<input checked="" type="checkbox"/> Small Commercial	Beginning Date of Service	11/2000	End Date
<input checked="" type="checkbox"/> Large Commercial	Beginning Date of Service	11/2000	End Date
<input checked="" type="checkbox"/> Industrial	Beginning Date of Service	11/2000	End Date

☒ **Dominion East Ohio**

<input checked="" type="checkbox"/> Residential	Beginning Date of Service	11/2000	End Date
<input checked="" type="checkbox"/> Small Commercial	Beginning Date of Service	11/2000	End Date
<input checked="" type="checkbox"/> Large Commercial	Beginning Date of Service	11/2000	End Date
<input checked="" type="checkbox"/> Industrial	Beginning Date of Service	11/2000	End Date

☒ **Duke Energy Ohio**

<input checked="" type="checkbox"/> Residential	Beginning Date of Service	11/2000	End Date
<input checked="" type="checkbox"/> Small Commercial	Beginning Date of Service	11/2000	End Date
<input checked="" type="checkbox"/> Large Commercial	Beginning Date of Service	11/2000	End Date
<input checked="" type="checkbox"/> Industrial	Beginning Date of Service	11/2000	End Date

☒ **Vectren Energy Delivery of Ohio**

<input checked="" type="checkbox"/> Residential	Beginning Date of Service	11/2000	End Date
<input checked="" type="checkbox"/> Small Commercial	Beginning Date of Service	11/2000	End Date
<input checked="" type="checkbox"/> Large Commercial	Beginning Date of Service	11/2000	End Date
<input checked="" type="checkbox"/> Industrial	Beginning Date of Service	11/2000	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
<input type="checkbox"/>	Dominion East Ohio	Intended Start Date
<input type="checkbox"/>	Duke Energy Ohio	Intended Start Date
<input type="checkbox"/>	Vectren Energy Delivery of Ohio	Intended Start Date

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

- A-14 Exhibit A-14 "Principal Officers, Directors & Partners,"** provide the names, titles, addresses and telephone numbers of the applicant's principal officers, directors, partners, or other similar officials.
- A-15 Exhibit A-15 "Corporate Structure,"** provide a description of the applicant's corporate structure, including a graphical depiction of such structure, and a list of all affiliate and subsidiary companies that supply retail or wholesale natural gas or electricity to customers in North America.
- A-16 Exhibit A-16 "Company History,"** provide a concise description of the applicant's company history and principal business interests.
- A-17 Exhibit A-17 "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-18 Exhibit A-18 "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.
- 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.
- C-4 Exhibit C-4 "Financial Arrangements,"** provide copies of the applicant's current financial arrangements to conduct competitive retail natural gas service (CRNGS) as a business activity (e.g., guarantees, bank commitments, contractual arrangements, credit agreements, etc.)
- C-5 Exhibit C-5 "Forecasted Financial Statements,"** provide two years of forecasted financial statements (balance sheet, income statement, and cash flow statement) for the applicant's CRNGS operation, along with a list of assumptions, and the name, address, email address, and telephone number of the preparer.

- 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, 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.
- 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.
- 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 since applicant last filed for certification.
- C-9 Exhibit C-9 "Merger Information,"** provide a statement describing any dissolution or merger or acquisition of the applicant since applicant last filed for certification.

SECTION D – APPLICANT TECHNICAL CAPABILITY

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

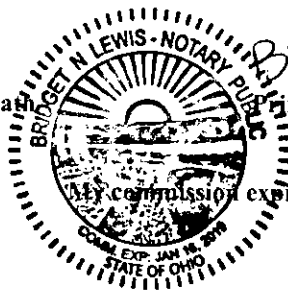
- D-1 Exhibit D-1 "Operations,"** provide a current written description of the operational nature of the applicant's business functions.
- D-2 Exhibit D-2 "Operations Expertise,"** given the operational nature of the applicant's business, provide evidence of the applicant's current experience and technical 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] President

Sworn and subscribed before me this 19th day of November Month 2015 Year

[Handwritten Signature]
Signature of official administering oath



[Handwritten Signature] - Notary
Print Name and Title

Jan. 16, 2019



The Public Utilities Commission of Ohio

Competitive Retail Natural Gas Service
Affidavit Form
(Version 1.07)

In the Matter of the Application of)

Aspen Energy Corporation)

for a Certificate or Renewal Certificate to Provide)

Competitive Retail Natural Gas Service in Ohio.)

Case No. 09 - 838 -GA-AGG

County of Delaware

State of Ohio

Jonathan Peele

[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

[Signature] President

Sworn and subscribed before me this

19th

day of

November

Month

2015

Year

[Signature]

Signature of Notary Public Ministering Oath

Bridget N. Lewis - Notary

Print Name and Title



My commission expires on

Jan. 16, 2019



Principal Officers, Directors and Partners

President: Jonathan Peele

9550 Dublin Rd Suite C

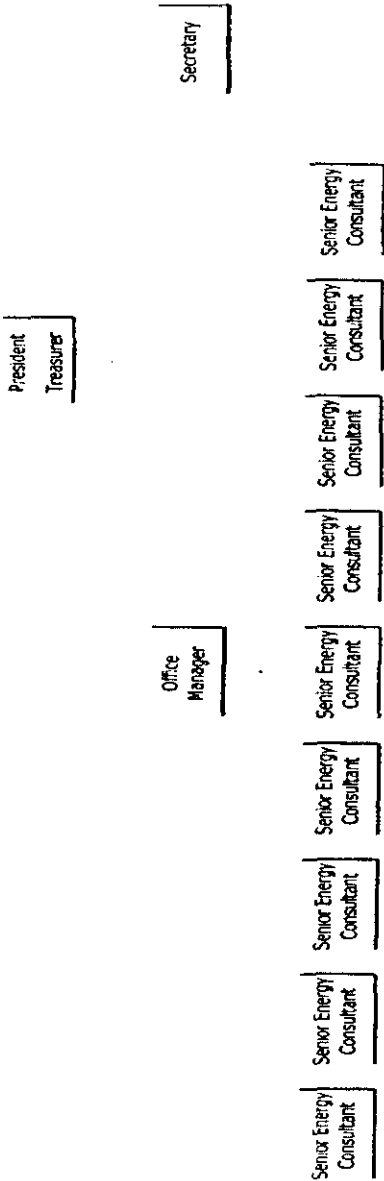
Powell OH 43065

614-884-5300

Exhibit A-15 Corporate Structure



Aspen Energy Corp.
9550 Dublin Rd., Suite C
Powell, Ohio 43065



Established in 2000, Aspen Energy is one of the Midwest's oldest Energy Consulting Firms. Customers have relied on Aspen Energy to deliver competitive pricing, innovative product offerings and personalized customer service.

Our staff of experience professionals has over 20 years of direct participation with residential and commercial customers.

Our company services a broad base of residential, small business, commercial and industrial customers located across the United States in deregulated energy markets. Our staff of professional consultants assists any and all types of customers in understanding deregulated energy markets and works with them to realize significant cost savings on their natural gas or electricity bills.

Our company maintains solid relationships with top executives of many large, publicly traded retail energy companies, resulting in the ability to obtain fast quotes, accurate market analyses and competitive pricing.

Aspen Energy's goal is to provide its customers with top quality energy cost savings, contract negotiation, bill auditing, detailed maker analysis and superior customer service.

VISION

To be the most highly regarded energy consulting firm in the United State, with a driving focus on best-in-class sales and service.

VALUES

Customers: We value our customers and treat them with respect, providing friendly, courteous, knowledgeable and prompt service at all touch points. We seek—and are driven by—our customers' feedback.

Integrity: We operate with integrity, obeying all laws and adhering to a stringent code of business conduct. We exercise the highest standards of business ethics in all our transactions and relationships.

Performance: We provide invaluable service and consultation to our customers through market awareness, industry knowledge and efficient and effective contract negotiations. We strive to raise our performance to exceed customer expectations.

Teamwork: We partner with one another—respecting new viewpoints, building trust, enhancing communications, and sharing best practices to deliver exceptional energy consulting products and services. We work only with the most creditable alternative energy suppliers in the industry, which share our vision and honesty and integrity.

People: We employ intelligent consultants with strong moral character, an excellent work ethic and a desire to improve themselves. We value our team members and treat them with respect, providing an environment where diverse individuals can develop and are expected to perform to their full potential.

Exhibit A-17 Articles of Incorporation and Bylaws



Aspen Energy Corp.

9550 Dublin Rd., Suite C
Powell, Ohio 43065

No changes to originally filed documents.

Exhibits page 4



See Next page



Jon Husted Ohio Secretary

[Jon Husted & the Office](#) | [Elections & Voting](#) | [Campaign Finance](#) | [Legislation & Ballot Issues](#) | [Businesses](#) | [Records](#) | [Media Center](#) | [Publications](#)

Business Filing Portal

your BUS

INESS begins here

[Print this report](#)

Corporation Details

Corporation Details		
Entity Number	1159778	
Business Name	ASPEN ENERGY CORPORATION	
Filing Type	CORPORATION FOR PROFIT	
Status	Active	
Original Filing Date	06/02/2000	
Expiry Date		
Location: DELAWARE	County: DELAWARE	State:
Agent / Registrant Information		
JONATHAN D. PEELE 9550 DUBLIN ROAD SUITE C POWELL, OH 43065 Effective Date: 06/02/2000 Contact Status: Active		
Incorporator Information		
JONATHAN D. PEELE		
Filings		
Filing Type	Date of Filing	Document Number/Image
DOMESTIC ARTICLES/FOR PROFIT	06/02/2000	200015800191
DOMESTIC AGENT ADDRESS CHANGE	10/10/2001	200128400742
DOMESTIC AGENT ADDRESS CHANGE	06/10/2009	200916100918
DOMESTIC/AMENDMENT TO ARTICLES	06/27/2014	201417800958

Exhibits page 6



Aspen Energy Corp
9550 Dublin Rd., Suite C
Powell, Ohio 43065

DATE:	DOCUMENT ID	DESCRIPTION	FILING	EXPED	PENALTY	CERT	COPY
06/11/2009	200916100918	DOMESTIC AGENT ADDRESS CHANGE (AGA)	25.00	.00	.00	.00	.00

Receipt

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

ASPEN ENERGY CORP.
9550 DUBLIN RD
SUITE C
POWELL, OH 43065

STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Jennifer Brunner

1159778

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

ASPEN ENERGY CORPORATION

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

Document(s)
DOMESTIC AGENT ADDRESS CHANGE

Document No(s):
200916100918



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 10th day of June, A.D. 2009.

Ohio Secretary of State

Exhibits page 7



Prescribed by **J. Kenneth Blackwel**

Please obtain fee amount and mailing instructions from the Forms Inventory List (using the 3 digit form # located at the bottom of this form). To obtain the Forms Inventory List or for assistance, please

call Customer Service:

Central Ohio: (614)-466-3910 Toll Free: 1-877-SOS-FILE (1-877-767-3453)



Aspen Energy Corp.

9550 Dublin Rd., Suite C
Powell, Ohio 43065

ARTICLES OF INCORPORATION

(Under Chapter 1701 of the Ohio Revised Code)

Profit Corporation

The undersigned, desiring to form a corporation, for profit, under Sections 1701.01 et seq. of the Ohio Revised Code, do hereby state the following:

FIRST. The name of said corporation shall be:

Aspen Energy Corporation

SECOND. The place in Ohio where its principal office is to be located is

Delaware, Delaware County, Ohio
(city, village or township)

THIRD. The purpose(s) for which this corporation is formed is:

Aspen Energy Corp. will sell energy services to commercial, industrial and
residential customers. Aspen Energy Corp. will be acting as a consultant for
the entire company.

FOURTH. The number of shares which the corporation is authorized to have outstanding is: 850

(Please state whether shares are common or preferred, and their par value, if any. Shares will be recorded as common with no par value unless otherwise indicated.)

IN WITNESS WHEREOF, we have hereunto subscribed our names, on 5/24/00
(date)

Signature: [Signature], Incorporator
Name: Jonathan D. Biele

Signature: _____, Incorporator
Name: _____

Signature: _____, Incorporator
Name: _____

Exhibits page 8



Prescribed by **J. Kenneth Blackwell**



Aspen Energy Corp.
9550 Dublin Rd., Suite C
Powell, Ohio 43065

Please obtain fee amount and mailing instructions from the Forms Inventory List (using the 3 digit form # located at the bottom of this form). To obtain the Forms Inventory List or for assistance, please call Customer Service:
Central Ohio: (614)-466-3910 Toll Free: 1-877-SOS-FILE (1-877-767-3453)

ORIGINAL APPOINTMENT OF STATUTORY AGENT

The undersigned, being at least a majority of the incorporators of Aspen Energy Corporation
hereby appoint Jonathan D. Poole, to be statutory agent upon whom any process, notice or
demand required or permitted by statute to be served upon the corporation may be served. The complete address of the agent is:
4202 Kinslake Road
(street name and number P.O. Boxes are not acceptable)
Delaware, Ohio 43015
(city, village or township) (zip code)

Signature: _____
Name: Jonathan D. Poole

Signature: _____
Name: _____

Signature: _____
Name: _____

ACCEPTANCE OF APPOINTMENT

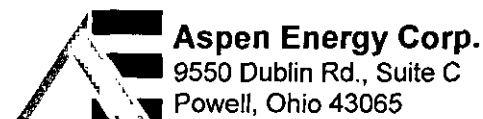
The undersigned, Jonathan D. Poole, named herein as the statutory agent for,
Aspen Energy Corporation, hereby acknowledges and accepts the
appointment of statutory agent for said corporation.

Signature: Jonathan D. Poole
Statutory Agent

Exhibits page 9
~~one~~

DATE DOCUMENT NO DESCRIPTION
1. 6/9/2000 200015800191 ARF DOMESTIC ARTICLES/FOR PROFIT

FILING	EXPED	PENALTY	CERT	COPY
85.00	10.00	0.00	0.00	0.00
TOTAL	85.00	10.00	0.00	0.00



Return To:
JONATHAN PEELE
4202 KLONDIKE RD
DELAWARE, OH 43015-0000

-----cut along the dotted line-----



The State of Ohio
Certificate

Secretary of State - J. Kenneth Blackwell

1159778

It is hereby certified that the Secretary of State of Ohio has custody of the business records for ASPEN ENERGY CORPORATION and that said business records show the filing and recording of:

Document(s)
DOMESTIC ARTICLES/FOR PROFIT

Document No(s):
200015800191

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 2nd day of
June, A.D. 2000

J. Kenneth Blackwell
J. Kenneth Blackwell
Secretary of State

Exhibits page 10



Aspen Energy is providing retail electric services in Ohio.

Aspen Energy will be calling on Ohio customers to sell electricity on behalf of certified suppliers.

We will be selling over the phone and face to face appointments. We will be utilizing our staff of Senior Energy Consultants to obtain business. We do not provide any billing statements. All customer inquiries and complaints will be immediately rectified by Jonathan Peele.

Exhibit B-3 Summary of Experience

Aspen Energy has been marketing natural gas services for nine years. We ju

Aspen Energy has been marketing natural gas services for nine years. We just started marketing electric to the First Energy and Duke Energy markets August of 2009. We plan on providing our electric customers with the same exceptional service we provide our gas customers. We are currently serving 20 commercial/industrial customers behind Ohio Ed, Toledo Ed, Illuminating Co, and Duke Energy. Our current total load is 75,000 mwh/yr.

Exhibit B-4 Disclosure of Liabilities and Investigations

Aspen Energy has no existing, pending, or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or matters that could adversely impact our financial or operational status or ability to provide the service it is seeking to be certified to provide.



Aspen Energy Corp.
9550 Dublin Rd., Suite C
Powell, Ohio 43065

Exhibit C-1 Annual Reports

Aspen Energy does not have an annual report. This is not a publically traded company.

Exhibit C-2 SEC Filing

Aspen Energy does not have 10-K/8-K filings with the SEC. This is not a publically traded company.



Aspen Energy Corp.
9550 Dublin Rd., Suite C
Powell, Ohio 43065

Exhibit C-3 Financial Statements

All financial statements prepared by Jonathan Peele, President of Aspen Energy Corp.

Signed


Jonathan Peele, President

Aspen Energy Corp
9550 Dublin Rd Suite C
Powell OH 43065

CONFIDENTIAL

Exhibits page 17

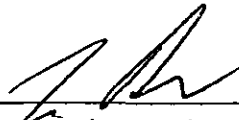
Exhibit C-4 Financial Arrangements

N/A – Aspen Energy does not take title to power.

Exhibit C-5 Forecasted Financial Statements

All forecasted financial statements prepared by Jonathan Peele, President of Aspen Energy Corp.

Signed


Jonathan Peele, President

CONFIDENTIAL

Aspen Energy Corp
9550 Dublin Rd Suite C
Powell OH 43065

Exhibit C-6 Credit Rating



Aspen Energy Corp.

9550 Dublin Rd., Suite C
Powell, Ohio 43065

N/A – Aspen Energy does not subscribe to large credit rating agencies.

Exhibits page 40



Aspen Energy Corp.
9550 Dublin Rd., Suite C
Powell, Ohio 43065

Exhibit C-7 Credit Report

See next page

Exhibits page 41



Aspen Energy Corp.
9550 Dublin Rd., Suite C
Powell, Ohio 43065

Experian Business Credit

ProfilePlusSM Report

as of: 07/06/15 16:26 ET

Aspen Energy Corp

Address: 9550 Dublin Rd Ste C
Powell, OH 43065-7436
United States

Phone: 614-884-5300

Website: aspenenergy.com

Experian BIN: 865314216

Family Linkage:

Ultimate Parent Aspen Energy Corp
9550 Dublin Rd Ste C
Powell, OH

Branches / Alternative Locations Aspen Energy Corp
3055 N High St
Columbus, OH United States

Key Personnel:

Jonathan D Peele

SIC Code:

1711-Plumbing, Heating & A/C
Contractors

NAICS Code:

7389-Business Services, Nec
238220-Plumbing, Heating, And Air-
Conditioning Contractors
541990-All Other Professional,
Scientific, And Technical
Services
425120-Wholesale Trade Agents And
Brokers

Business Type:

Corporation

Experian File Established:

June 2002

Experian Years on File:

13 Years

Years in Business:

57 Years

Total Employees:

5

Sales:

\$873,000

Payment Tradelines (see charts, detail):

2

Business Inquiries (see summary):

1

UCC Filings:

0

This location does not yet have an estimated Days
Beyond Terms (DBT), or a Payment Trend Indicator. This
is often the result of too few Payment Tradelines.

✓ Businesses Scoring Worse:

90%

✓ Bankruptcies:

0

✓ Liens:

0

✓ Judgments Filed:

0

✓ Collections:

0

Credit Summary

Credit Ranking Score: 91

High
Risk



Low
Risk

The objective of the Credit Ranking Score is to predict payment behavior. High Risk means that there is a significant probability of delinquent payment. Low Risk means that there is a good probability of on-time payment.

Key Score Factors:

- Number of recently active commercial accounts.
- Ratio of total bal to total high bal across all comm accts.
- Length of time on experian's file.

Recommended Action: Low Risk

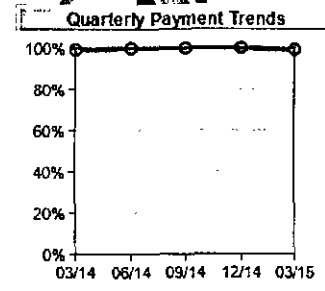
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Payment Summary



Aspen Energy Corp.
9550 Dublin Rd., Suite C
Powell, Ohio 43065

Insufficient information to produce
Monthly Payment Trends
chart.

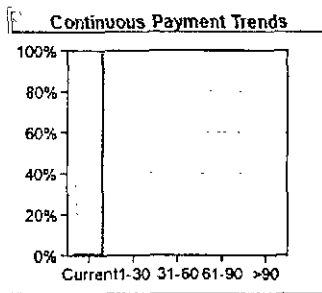


*Percentage of on-time payments by quarter.

Insufficient information to produce
Monthly Payment Trends
table.

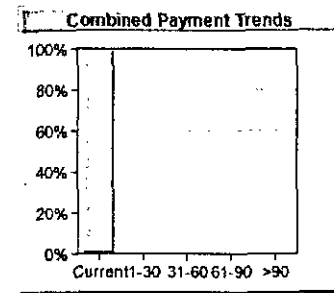
Quarterly Payment Trends - Recent Activity

Date	Balance	Current	Up to 30 DBT	31-60 DBT	61-90 DBT	>90 DBT
03/14	\$3,200	99%	1%	0%	0%	0%
06/14	\$800	100%	0%	0%	0%	0%
09/14	\$3,000	100%	0%	0%	0%	0%
12/14	\$4,500	100%	0%	0%	0%	0%
03/15	\$4,100	99%	1%	0%	0%	0%



*Continuous distribution with DBT.
Number of Accounts: 1
Present Balance: \$7,900
Highest Balance: \$12,100

Insufficient information to produce
Newly Reported Payment Trends
chart.



*Combined distribution with DBT.
Number of Accounts: 1
Present Balance: \$7,900
Highest Balance: \$12,100

Number of Accounts: 0
Present Balance: \$0
Highest Balance: \$0

Trade Payment Information

Trade Payment Experiences

Supplier Category	Reported Date	Activity Date	Payment Terms	Recent High Credit	Balance	Current	Up to 30 DBT	31-60 DBT	61-90 DBT	>90 DBT	Comments
Warehouse	06/15	06/15	Credit	\$12,100	\$7,900	100%					

Additional Payment Experiences

Supplier Category	Reported Date	Activity Date	Payment Terms	Recent High Credit	Balance	Current	Up to 30 DBT	31-60 DBT	61-90 DBT	>90 DBT	Comments
Cred Card	06/15	05/15	Revolve	\$27,700	\$6,000	100%					

Inquiries

Summary of Inquiries

Supplier Category	07/15	06/15	05/15	04/15	03/15	02/15	01/15	12/14	11/14
Bank	0	0	0	0	0	1	0	0	0
Totals	0	0	0	0	0	1	0	0	0

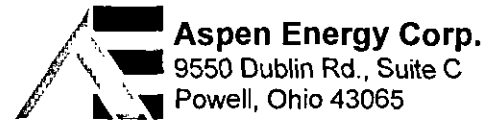
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Exhibit C-8 Bankruptcy Information

Aspen Energy has no reorganizations, protection from creditors or any other form of bankruptcy filings.

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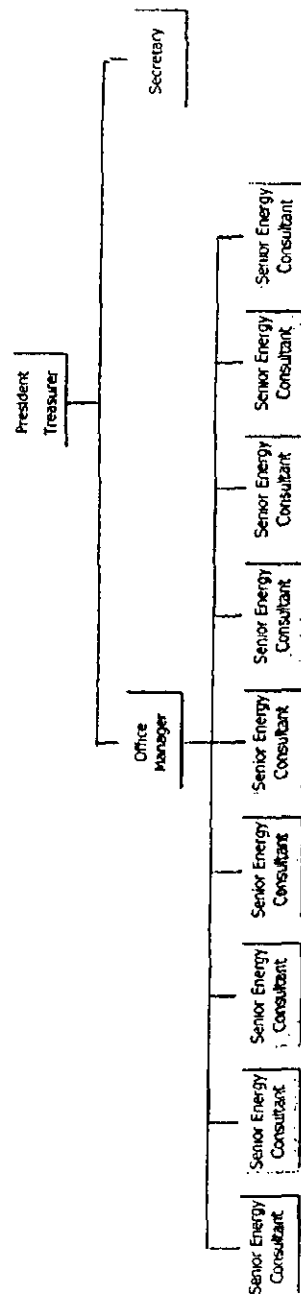
Exhibit C-9 Merger Information

None

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Exhibit D-1 Operations

Our company serves a broad base of residential, small business, commercial and industrial customers located across the United States in deregulated energy markets. Our staff of Senior Energy Consultants assists any and all types of customers in understanding deregulated energy markets and works with them to realize significant cost savings on their natural gas or electric bills.



Jason T. Heinmiller

226 Bluewing Ct. Columbus, Ohio 43235
 Tel: 614-732-6333; Email: jheinmiller@columbus.rr.com



Aspen Energy Corp.
 9550 Dublin Rd., Suite C
 Powell, Ohio 43065

Professional Profile

- Experienced operations manager whose previous positions has provided the background and experience to successfully manage any size organizations daily operations
- Solutions-driven professional with extensive experience in data analysis and designing/implementing technical solutions for some of the leading energy providers in the US

Areas of Expertise

- Operations Management
- Vendor/supplier relations
- Communication Skills
- Business Needs Assessment Design
- Project Management
- Business Analysis

Systems Experience and Proficiencies

- MS SQL Server Technologies
- MS Visual Studio
- MS Excel
- MS Word
- SAP R/3 4.6
- MS SQL Reporting Services
- MS Access
- MS Query
- SAP BW 3.0
- Visual Basic

Professional Experience**Aspen Energy Corporation Powell, Ohio**

March 2009 - Present

Operations Manager

- Manage the day-to-day operations of a natural gas and electricity sales office
- General accounting tasks to include payment of all associated bills, entering of daily expense receipts
- Responsible for daily HR functions to include payroll, new-hire paperwork, general HR questions, benefits coordination
- Track the overall health of the company with daily sales reports, cash-flow reports
- General IT maintenance
- First point-of-contact for all vendors, suppliers and sales representatives
- Maintain excellent working relationships with 8 natural gas and electricity providers
- Maintain the overall appearance of the office to promote a healthy working environment
- Track supplies inventory and maintain acceptable working levels
- Design, set-up, and train employees on new workflow processes
- Converted a paper based business to a digital office requiring the research and acquisition of new technologies, redesigning the initial contact to the final closure of all sales, training on the new processes

Direct Energy, Dublin, Ohio

Nov 2006 – Aug 2008

Senior Business Analyst

- Analyze and understand existing systems and suggest improvements
- Design and develop reports including monthly dashboard report as requested by the leadership team
- Lead technical and data contact for the transition of a gas portfolio tool involving interaction from resources in several different geographical locations
- Compose SQL queries, tables, joins, reports, string testing, user acceptance testing, extracts and loads
- Developed an interactive tool to provide monthly gas volume projections



Accenture Consulting, Columbus, Ohio

Procurement Analyst

- Create system use case plans and coordinate Procurement team testing efforts and tracking
- Participated in the design, test, implementation and support of an R/3 life cycle
- Resolve production errors and design permanent solutions related to MM processing
- Work with technical developers throughout the East coast to implement and perform user acceptance testing (UAT)
- Produce daily system metrics to ensure batch processing targets met
- Provide functional support to BW team for report design and test efforts
- Develop and distribute functional job aids, documentation for product manuals on new business processes

Reliant Resources, Houston, Texas

Sep 2003 – Dec 2004

Business Operations Analyst

- Analyze and suggest improvements to current business operation practices
- Design and develop reports for upper-management to track employee productivity, employee effectiveness, improvement areas, and monitor system efficiency

Chevron Texaco, Houston, Texas

Dec 2002 – Sep 2003

Stock Controller

- Aviation accountant responsible for the monthly reconciliation of 30 million gallons of Avgas at 15 national airports
- Analyze current business process and procedures and make amendments as needed to improve procedures as necessary

Reliant Resources, Inc., Houston, Texas

Feb 1999 – Dec 2002

Analyst

May 2002 – December 2002

- Reconciled over 6 million records
- Prepare and analyze weekly data for executive management reporting
- Developed and maintained a bill audit tool preventing over 500 thousand incorrect invoices, totaling over \$40 million from reaching customers
- Participate in the analysis and optimization of the process and procedures to improve the accuracy of billing and invoicing

Data Analyst

Apr 2001 – Apr 2002

- Lead a team of four developers in the gathering, design and construction of business unit requirements for end-user reporting
- Implemented SAP BW 2.1 throughout the full software development lifecycle (SDLC)
- Requirements gathering for finance, transaction management, and billing and invoicing business units used to design and build reports

National LDC Coordinator

Jul 2000 – Apr 2001

- Received and analyzed data files as well as enrolled and terminated natural gas customer accounts within 13 separate utilities in Georgia, Ohio, Massachusetts, New Jersey, and New York
- Transitioned over 10 thousand natural gas customer accounts from Reliant Energy to New Power, Inc., and the Amerada Hess corporation

Regional LDC Coordinator

Feb 1999 – Jul 2000

- Received and analyzed data files as well as enrolled and terminated natural gas customer accounts within 4 separate utilities in Ohio
- Designed several databases in Microsoft Access and Microsoft Excel to organize and track the status of natural gas customer accounts

Education

- The Ohio State University
- University of Phoenix

JONATHAN D. PEELE
9550 Dublin Road
Suite C
Powell, Ohio 43065
Work: 614-884-5300 ext. 216
Cell: 614-348-0023

SUMMARY: Accomplished executive with extensive experience managing people and resources in sales, marketing, customer service, and operations for regional and national organizations. Dynamic sales management style has created marked improvement in revenue, market share, profits and customer satisfaction. Consistently ranked top sales manager in the country.

EDUCATION: The Ohio State University (OSU); Columbus, OH
Human Ecology (3.2 GPA)

WORK EXPERIENCE: Aspen Energy Corporation, Powell, OH
President (October 2000-Present)

Reliant Energy, Columbus, OH
Regional Manager (October 1996-October 2000)

Responsibilities

- Manage and oversee all sales and administrative processes for regional office
- Train sales staff and monitor performance results relative to established goals and objectives
- Implement energy management programs to commercial, industrial and institutional users through natural gas sales in deregulated markets
- Recommend changes to local business goals or business tactics and processes based on changes in business environment
- Establish annual budgets, control budgets and meet EBIT on a quarterly basis
- Report and document sales deal information for monitoring and management of sales obligations and performance results, tracking accounts for changes in customer needs, maintaining awareness of competitive environment
- Keep abreast of gas marketing trends and current pricing strategies, develop sales objectives for assigned territory providing creative input into product and service innovation; understand LDC tariffs
- Handle recruitment hiring and termination of employees

Accomplishments

- Opened the first retail office for Reliant Energy; remained most profitable office in the country since inception
- Built and developed the Ohio office to 5,829 commercial customers with \$4,938,525 of booked profit and little advertising support
- Most profitable office in sales and sales management for four consecutive years
- Remained third largest marketer behind Columbia Gas of Ohio with market share (confirmed by Columbia Gas of Ohio)
- Marketed behind Columbia Gas of Ohio, East Ohio Gas, Cincinnati Gas & Electric and West Ohio Gas Citygates



Enron Energy Services, Columbus, Ohio
Sales Representative (January 1996-October 1996)

Responsibilities

- Conducted daily customer visits through cold calling to promote and sell natural gas and related energy products
- Required an understanding of customer needs; product and service offerings, proposed benefits, as well as negotiating sales and preparing contract documentation for accepted sales proposals

Accomplishments

- Most profitable sales representative in Ohio each month
- Generated more market share than any other sales rep in Ohio

PaineWebber, Columbus, Ohio
Stock and Commodity Broker (1995-January 1996)

Merrill Lynch, Columbus, Ohio
Stock and Commodity Broker (1994-January 1995)

**OTHER
EXPERIENCE:**

- 1995 Paine Webber's three week sales training in New Jersey
- 1996 Enron's two week sales and product training
- 1996 "Gorilla Sales Training" seminar
- 1997 "Mastering The Art of Selling" seminar with Tom Hopkins
- 1997 "How To Gain, Train & Maintain A Dynamic Sales Force" seminar with Tom Hopkins
- 1999 "How To Upgrade Your Sales Force in Less Than 30 Days" by Dave Hiatt & Dave Kurlan



Aspen Energy Corp.
9550 Dublin Rd., Suite C
Powell, Ohio 43065

Exhibit D-3 Key Technical Personnel

Jonathan Peele, President
Aspen Energy Corporation
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Powell , OH 43065
614-884-5300
jpeele@aspenenergy.com
See Exhibit D-2 for resume

Jason Heinmiller, Operations Manager
Aspen Energy Corporation
9550 Dublin Rd Suite C
Powell , OH 43065
614-884-5300
jheinmiller@aspenenergy.com
See Exhibit D-2 for resume