

FILE



Public Utilities Commission

PUCO USE ONLY - Version 1.08		
Date Received	Renewal Certification Number	ORIGINAL AGG Case Number
		15 - 0427 - GA-AGG 486

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

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PUCO

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 Sustainable Energy Services, Inc.
Address 24700 Center Ridge Road, Suite 390, Westlake OH 44145
Telephone No. 440-773-5044 Web site Address sustainable-energy-services.com
Current PUCO Certificate No. 15-427G (2) Effective Dates April 11, 2017 to April 11, 2019

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

Name Sustainable Energy Services, Inc.
Address 24700 Center Ridge Road, Suite 390, Westlake OH 44145
Web site Address sustainable-energy-services.com Telephone No. 440-773-5044

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

Sustainable Energy Services, Inc.
Growth Dynamics Corp.

A-5 Contact person for regulatory or emergency matters:

Name Thomas Sherman Title President
Business Address 24700 Center Ridge Road, Suite 390, Westlake OH 44145
Telephone No. 440-773-5044 Fax No. 888-508-9657 Email Address tom@sustainable-energy-services.com

It is to certify that the enclosed document is a true and correct copy of the original document as filed with the PUCO. This document is delivered in electronic format and may be printed or reproduced without charge. Date Processed 3/18/19 Technician [Signature]

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

Name Laura Sherman Title CEO
Business address 24700 Center Ridge Road, Suite 390, Westlake OH 44145
Telephone No. 440-665-9491 Fax No. 888-508-9657 Email Address laura@sustainable-energy-services.com

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

Customer service address 24700 Center Ridge Road, Suite 390, Westlake OH 44145
Toll-Free Telephone No. 440-665-9491 Fax No. 888-508-9657 Email Address laura@sustainable-energy-services.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 Thomas Sherman Title President
Business address 24700 Center Ridge Road, Suite 390, Westlake OH 44145
Telephone No. 440-773-5044 Fax No. 888-508-9657 Email Address tom@sustainable-energy-services.com

A-9 Applicant's federal employer identification number 46-1895521

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

<input type="checkbox"/> Sole Proprietorship	<input type="checkbox"/> Partnership
<input type="checkbox"/> Limited Liability Partnership (LLP)	<input type="checkbox"/> Limited Liability Company (LLC)
<input checked="" type="checkbox"/> Corporation	<input type="checkbox"/> Other

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

<input checked="" type="checkbox"/> Columbia Gas of Ohio	<input 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 4/11/2015	End Date
<input checked="" type="checkbox"/> Large Commercial	Beginning Date of Service 4/11/2015	End Date
<input checked="" type="checkbox"/> Industrial	Beginning Date of Service 4/11/2015	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 4/11/2015	End Date
<input checked="" type="checkbox"/> Large Commercial	Beginning Date of Service 4/11/2015	End Date
<input checked="" type="checkbox"/> Industrial	Beginning Date of Service 4/11/2015	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 4/11/2015	End Date
<input checked="" type="checkbox"/> Large Commercial	Beginning Date of Service 4/11/2015	End Date
<input checked="" type="checkbox"/> Industrial	Beginning Date of Service 4/11/2015	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 4/11/2015	End Date
<input checked="" type="checkbox"/> Large Commercial	Beginning Date of Service 4/11/2015	End Date
<input checked="" type="checkbox"/> Industrial	Beginning Date of Service 4/11/2015	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 "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 Experion, Dun and Bradstreet, or a similar organization. An applicant that provides an investment grade credit rating for Exhibit C-6 may enter “N/A” for Exhibit C-7.

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

SECTION D – APPLICANT TECHNICAL CAPABILITY

PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED.

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

Applicant Signature and Title

[Handwritten Signature] President

Sworn and subscribed before me this

15 day of March

Month

2019 Year

Signature of official administering oath

[Handwritten Signature]

Print Name and Title

William D Kirkwood Jr Notary

My commission expires on

11-27-2022



WILLIAM D KIRKWOOD JR
Notary Public, State of Ohio
My Comm. Expires Nov. 27, 2022
Recorded in Cuyahoga County



The Public Utilities Commission of Ohio

Competitive Retail Natural Gas Service
Affidavit Form
(Version 1.07)

In the Matter of the Application of)

Sustainable Energy Services, Inc.)
for a Certificate or Renewal Certificate to Provide)
Competitive Retail Natural Gas Service in Ohio.)

Case No. 15 - 427G -GA-AGG

County of Cuyahoga
State of Ohio

Thomas Sherman

[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

Thomas Sherman President

Sworn and subscribed before me this

15

day of

March

Month

2019

Year

William D Kirkwood Jr

William D Kirkwood Jr

Signature of Official Administering Oath

Print Name and Title

WILLIAM D KIRKWOOD JR
Notary Public, State of Ohio
My Comm. Expires Nov. 27, 2022
Recorded in Cuyahoga County

My commission expires on

11-27-2022



Sustainable Energy Services, Inc.

SECTION A – APPLICANT INFORMATION AND SERVICES

Exhibit A-14 “Principle Officers, Directors, & Partners”

There are only two officers who are also the only directors.

Thomas Sherman, President, 440-773-5044
Laura Sherman, CEO, 440-665-9491
24700 Center Ridge Road, Suite 390
Westlake, OH 44145
Tom@sustainable-energy-services.com
Laura@sustainable-energy-services.com

Exhibit A-15 “Company History”

Sustainable Energy Services, Inc. (SES) was founded by Thomas Sherman in January 2013 as an energy efficiency company focused on the non-residential market. In 2014, energy purchasing was added as a service. SES currently provides ASHRAE Level I, II and III energy audits, energy purchasing and other related services, i.e. energy project management, measurement and verification, and retro-commissioning. The company currently serves industrial (30%), commercial (30%), educational (20%) and municipal (20%) customers.

Exhibit A-16 “Articles of Incorporation and Bylaws”

See Article of Incorporation attached.

Exhibit A-17 “Secretary of State”

SES is incorporated in Ohio. See attached.



DATE 02/06/2013	DOCUMENT ID 201303601362	DESCRIPTION DOMESTIC FOR PROFIT CORP - ARTICLES (ARF)	FILING 125.00	EXPED .00	PENALTY	CERT .00	COPY .00
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Receipt

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

KUHNS & ASSOCIATES
9700 ROCKSIDE ROAD - #350
CLEVELAND, OH 44125

STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Jon Husted**2171182**

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

SUSTAINABLE ENERGY SERVICES, INC.

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

Document(s):

DOMESTIC FOR PROFIT CORP - ARTICLES

Document No(s):

201303601362

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 4th day of February, A.D.
2013.

Ohio Secretary of State

Prescribed by **J. Kenneth Blackwell**

Ohio Secretary of State

Central Ohio: (614) 466-3910

Toll Free: 1-877-SOS-FILE (1-877-767-3453)

www.state.oh.us/sos

e-mail: busserv@sos.state.oh.us

Expedite this Form: (Select One)	
<input type="radio"/> Yes	PO Box 1390 Columbus, OH 43216 *** Requires an additional fee of \$100 ***
<input checked="" type="radio"/> No	PO Box 670 Columbus, OH 43216

INITIAL ARTICLES OF INCORPORATION

(For Domestic Profit or Non-Profit)

Filing Fee \$125.00

RECEIVED

FEB 04 2013

SECRETARY OF STATE

THE UNDERSIGNED HEREBY STATES THE FOLLOWING:

(CHECK ONLY ONE (1) BOX)

(1) <input checked="" type="checkbox"/> Articles of Incorporation Profit (113-ARF) ORC 1701	(2) <input type="checkbox"/> Articles of Incorporation Non-Profit (114-ARN) ORC 1702	(3) <input type="checkbox"/> Articles of Incorporation Professional (170-ARP) Profession _____ ORC 1785
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Complete the general information in this section for the box checked above.

FIRST: Name of Corporation	<u>Sustainable Energy Services, Inc.</u>	
SECOND: Location	<u>Bay Village</u> (City)	<u>Cuyahoga</u> (County)
Effective Date (Optional)	Date specified can be no more than 90 days after date of filing. If a date is specified, the date must be a date on or after the date of filing. (mm/dd/yyyy)	
<input type="checkbox"/> Check here if additional provisions are attached		

Complete the information in this section if box (2) or (3) is checked. Completing this section is optional if box (1) is checked.

THIRD: Purpose for which corporation is formed
<u>Provide energy audits and any other legal business sales and services.</u>

Complete the information in this section if box (1) or (3) is checked.

FOURTH: The number of shares which the corporation is authorized to have outstanding (Please state if shares are common or preferred and their par value if any)	<u>1,500</u> (No. of Shares)	<u>Common</u> (Type)	<u>None</u> (Par Value)
(Refer to instructions if needed)			

Completing the information in this section is optional

FIFTH: The following are the names and addresses of the individuals who are to serve as initial Directors.

Thomas J. Sherman
(Name)
 367 Walmar Drive
(Street) NOTE: P.O. Box Addresses are NOT acceptable.

Bay Village OH 44140
(City) (State) (Zip Code)

(Name)

(Street) NOTE: P.O. Box Addresses are NOT acceptable.


(City) (State) (Zip Code)

(Name)

(Street) NOTE: P.O. Box Addresses are NOT acceptable.

(City) (State) (Zip Code)

REQUIRED
 Must be authenticated
 (signed) by an authorized
 representative
 (See Instructions)


 Authorized Representative

Thomas J. Sherman
(Print Name)
 367 Walmar Drive
 Bay Village, OH 44140

1/29/13
 Date

 Authorized Representative


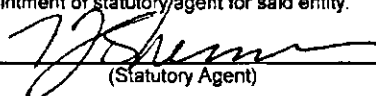
(Print Name)

 Date

 Authorized Representative

(Print Name)

 Date

Complete the information in this section if box (1) (2) or (3) is checked.	
ORIGINAL APPOINTMENT OF STATUTORY AGENT	
The undersigned, being at least a majority of the incorporators of <u>Sustainable Energy Services, Inc.</u> hereby appoint the following 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	
<u>Thomas J. Sherman</u> (Name)	
<u>367 Walmar Dr.</u> (Street)	NOTE: P.O. Box Addresses are NOT acceptable.
<u>Bay Village</u> , <u>Ohio</u> (City)	<u>44140</u> (Zip Code)
Must be authenticated by an authorized representative	<div> Authorized Representative</div> <div><u>1/29/13</u> Date</div>
	<div><div></div> Authorized Representative</div> <div><div></div> Date</div>
	<div><div></div> Authorized Representative</div> <div><div></div> Date</div>
ACCEPTANCE OF APPOINTMENT	
The Undersigned,	<u>Thomas J. Sherman</u> , named herein as the
Statutory agent for,	<u>Sustainable Energy Services, Inc.</u>
, hereby acknowledges and accepts the appointment of statutory agent for said entity.	
Signature:	<div> (Statutory Agent)</div>

SECTION B – APPLICANT MANAGERIAL CAPABILITY AND EXPERIENCE

Exhibit B-1 “Jurisdiction of Operation”

SES currently serves businesses throughout the U.S. as required by its customers. SES is currently licensed or certified to provide retail natural gas services in Ohio. It is also certified or licensed to provide retail electric services in Ohio, Illinois, Pennsylvania and Maryland.

Exhibit B-2 “Experience & Plans”

SES offers natural gas and electric brokering services to its customers in addition to its current energy auditing and related demand-side services. Thomas Sherman, who is a Certified Energy Manager (CEM), Certified Energy Auditor (CEA) and Certified Demand Side Manager (CDSM), spent four (4) years in the energy consulting practice at FirstEnergy Corporation and was one of the founders of PCX Energy Services, LLC, a full service demand side energy efficiency firm. So Mr. Sherman understands energy markets very well.

Laura Sherman, who joined SES in 2014, came from another prominent Ohio based energy consulting company, and is a Certified Energy Procurement Professional (CEP). She has ten (10) years of experience as a power and natural gas broker serving customers in the industrial, commercial, municipal and K-12 markets in all deregulated states. During the past eight (8) years, she has personally developed an energy portfolio consisting of 300 million kWh of power and 260,000 MCF of natural gas.

SES plans to enter into energy supplier agreements with most, if not all of the approved natural gas suppliers in Ohio so that competitive RFP's can be used to help customers determine the most appropriate natural gas supply contracts for their businesses. Invoicing for natural gas will be provided by the supplier directly to the customer. The only invoicing SES will be providing its customers is from work specifically connected to its current demand side consulting practice. All customer complaints will be handled directly by Laura and Thomas Sherman. Their personal cell phone numbers are provided to every customer. Most of the service requirements per Section 4928.10 pertain to utilities and suppliers, not consultants. However, SES will work diligently to help resolve any complaints between a customer and a supplier.

Exhibit B-3 “Summary of Experience”

Thomas Sherman gained his experience in retail power markets and service during his tenure at FirstEnergy Corporation. Customers were typically Fortune 500 commercial and industrial companies as well as smaller regional customers with more the 50 locations in the U.S. Laura Sherman leads the energy procurement services of our company after a similar role in another Ohio based energy consulting company.

SES will not be providing aggregation services or taking title to any energy. Activities will be limited to gathering energy portfolio data from customers and providing same to energy suppliers for competitive bidding of power. Ms. Sherman is expert in energy supply contracts and has helped many customers lower their price for power while successfully navigating supplier contracts to secure the most favorable terms. Ms. Sherman currently serves over 300 customers who use over 900,000 MCF. These include customers in all Ohio natural gas utility service areas including Dominion East Ohio, Columbia Gas,

Sustainable Energy Services, Inc.

Duke Energy Ohio, Eastern Natural Gas, Ohio Gas, Piedmont Gas, Vectren Energy Delivery and East Ohio Gas.

Exhibit B-4 “Disclosure of Liabilities and Investigations”

SES, Mr. Sherman and Ms. Sherman have no existing or prior rulings, judgments, contingent liabilities, and revocations of authority, regulatory investigations, or any other matter that could adversely impact this applicant’s financial or operational status or ability to provide the services it is seeking to be certified to provide.

Exhibit B-5 This section is not applicable. Neither Mr. Sherman nor Ms. Sherman have never been held liable for a violation of the public trust.

Exhibit B-6 This section is not applicable. Mr. Sherman and Ms. Sherman have never had a certification, license, or application denied, revoked, suspended, cancelled or curtailed.

SECTION C – APPLICANT FINANCIAL CAPABILITY AND EXPERIENCE

THIS SECTION IS PROPRIETARY AND CONFIDENTIAL

Exhibit C-1 “Annual Reports”

SES is a private company and does not produce Annual Reports.

Exhibit C-2 “SEC Filings”

This section is not applicable. Applicant is not required to file with the SEC.

Exhibit C-3 “Financial Statements”

Kuhn’s & Associates serve as SES’s Certified Public Accountants. They have compiled 2017 financial statements, which are included in this exhibit. The 2018 financial statements for SES have not as yet been compiled by our CPA. Therefore, we have included pro-forma financial statements in this exhibit.

Exhibit C-4 “Financial Arrangements”

“NA” SES intends to function as a power broker only, and therefore, it will not be necessary to secure the financial arrangements listed in this section.

Exhibit C-5 “Forecasted Financial Statements”

Forecasted financial statements are attached.

Exhibit C-6 “Credit Rating”

SES has contacted Dun & Bradstreet to inquire about its credit rating. Dun & Bradstreet informed us that we have no credit rating yet available because SES has not had enough purchases on credit. When SES was founded, all needed equipment was purchased with cash. This was done to prevent the accumulation of debt in a startup business that had no sales. In addition, since SES will be limiting its business to arranging deals between suppliers and customers, and therefore, not taking title to any energy supply, we wonder how relevant a credit rating would be. To date, SES has not used credit to make any of its purchases.

Exhibit C-7 “Credit Report”

SES’s Credit Report from Dun & Bradstreet is attached. The report is the D&B Credit Quick View Report because of the lack of established credit as mentioned in Exhibit C-6.

Exhibit C-8 “Bankruptcy Information”

SES, Mr. Sherman and Ms. Sherman have never filed for bankruptcy, reorganization or any form of protection from creditors.

Exhibit C-9 “Merger Information”

Sustainable Energy Services, Inc.

SES, Mr. Sherman and Ms. Sherman have not been party to any merger, acquisition or dissolution in the past five (5) years.

Exhibit C-10 “Corporate Structure”

SES is a stand-alone entity with no affiliate or subsidiary companies.

SECTION D – APPLICANT TECHNICAL CAPABILITY

Exhibit D-1 “Operations”

SES has a single office location with two employees. Sales are made by Ms. Sherman along with various associates who are subcontractors to SES and work from their respective offices. Mr. Sherman also works out of the SES office and uses subcontractors as required who work from their offices.

Exhibit D-2 “Operations Expertise”

Mr. Sherman has a BS in Physics and an MBA. He is also certified by the Association of Energy Engineers in energy management, energy auditing and demand side management. Mr. Sherman prior experience as an executive with FirstEnergy as well as senior roles in several other companies provides him with strong technical and operational experience.

Ms. Sherman has a BS in Interior Design and a BS in Marketing. She is also certified by the Association of Energy Engineers in energy procurement. Ms. Sherman has several years previous experience with a well-known energy broker and has many years in facility planning, which provides her with extensive operational experience.

Exhibit D-3 “Key Technical Personnel”

Thomas Sherman, President
tom@sustainable-energy-services.com
440-773-5044

Mr. Sherman has a BS in Physics and an MBA. He is also certified by the Association of Energy Engineers in energy management, energy auditing and demand side management. Mr. Sherman prior experience as an executive with FirstEnergy as well as senior roles in several other companies provides him with strong technical and operational experience.

Laura Sherman, CEO
laura@sustainable-energy-services.com
440-665-9491

Ms. Sherman has a BS in Interior Design and a BS in Marketing. She is also certified by the Association of Energy Engineers in energy procurement. Ms. Sherman has several years previous experience with a well-known energy broker and has many years in facility planning, which provides her with extensive operational experience.