



# Public Utilities Commission

Original AGG Case Number	Version
12 - 618 -EL-AGG	May 2016

## RENEWAL APPLICATION FOR ELECTRIC AGGREGATORS/POWER BROKERS

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit C-10 Corporate Structure). All attachments should bear the legal name of the Applicant. Applicants should file completed applications and all related correspondence with the Public Utilities Commission of Ohio, Docketing Division; 180 East Broad Street, Columbus, Ohio 43215-3793.

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

### A. RENEWAL INFORMATION

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

☒ Power Broker ☒ Aggregator

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

Legal Name RESOURCE ENERGY SYSTEMS, LLC  
Address 4 HIGH RIDGE PARK, SUITE 202, STAMFORD, CT 06905  
PUCO Certificate # and Date Certified 12-478e MARCH 16, 2018  
Telephone # (201) 937-4210 Web site address (if any) WWW.RESOURCEENERGY.COM

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

Legal Name RESOURCE ENERGY SYSTEMS, LLC  
Address 4 HIGH RIDGE PARK, SUITE 202, STAMFORD, CT 06905  
Telephone # (201) 937-4210 Web site address (if any) WWW.RESOURCEENERGY.COM

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

NOT APPLICABLE

#### A-5 Contact person for regulatory or emergency matters

Name RICHARD PLUTZER  
Title EXECUTIVE VP, CFO AND SECRETARY  
Business address 4 HIGH RIDGE PARK, SUITE 202, STAMFORD, CT 06905  
Telephone # (201) 937-4210 Fax # (203) 724-4275  
E-mail address WWW.RESOURCEENERGY.CO

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

Name RICHARD PLUTZER  
Title EXECUTIVE VP, CFO AND SECRETARY  
Business address 4 HIGH RIDGE PARK, SUITE 202, STAMFORD, CT 06905  
Telephone # (201) 937-4210 Fax # (203) 724-4275  
E-mail address RPLUTZER@RESOURCEENERGY.COM

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

Customer Service address 4 HIGH RIDGE PARK, SUITE 202, STAMFORD, CT 06905  
Toll-free Telephone # (855) 300-4113 Fax # (203) 724-4275  
E-mail address RPLUTZER@RESOURCEENERGY.COM

**A-8 Applicant's federal employer identification number # 20-8603536**

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

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

**PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:**

**A-10 Exhibit A -10 "Principal Officers, Directors & Partners" provide the names, titles, addresses and telephone numbers of the applicant's principal officers, directors, partners, or other similar officials.**

**B. APPLICANT MANAGERIAL CAPABILITY AND EXPERIENCE**

**PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:**

**B-1 Exhibit B-1 "Jurisdictions of Operation," provide a list of all jurisdictions in which the applicant or any affiliated interest of the applicant is, at the date of filing the application, certified, licensed, registered, or otherwise authorized to provide retail or wholesale electric services including aggregation services.**

**B-2 Exhibit B-2 "Experience & Plans," provide a description of the applicant's experience and plan for contracting with customers, providing contracted services, providing billing statements, and responding to customer inquiries and complaints in accordance with Commission rules adopted pursuant to Section 4928.10 of the Revised Code.**

**B-3** **Exhibit B-3 "Disclosure of Liabilities and Investigations,"** provide a description of all existing, pending or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or any other matter that could adversely impact the applicant's financial or operational status or ability to provide the services it is seeking to be certified to provide.

**B-4** Disclose whether the applicant, a predecessor of the applicant, or any principal officer of the applicant have ever been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years.

☒ No ☐ Yes

If yes, provide a separate attachment labeled as **Exhibit B-4 "Disclosure of Consumer Protection Violations"** detailing such violation(s) and providing all relevant documents.

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

☒ No ☐ Yes

If yes, provide a separate attachment labeled as **Exhibit B-5 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation"** detailing such action(s) and providing all relevant documents.

## **C. FINANCIAL CAPABILITY AND EXPERIENCE**

**PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:**

**C-1** **Exhibit C-1 "Annual Reports,"** provide the two most recent Annual Reports to Shareholders. If applicant does not have annual reports, the applicant should provide similar information in Exhibit C-1 or indicate that Exhibit C-1 is not applicable and why. (This is generally only applicable to publicly traded companies who publish annual reports.)

**C-2** **Exhibit C-2 "SEC Filings,"** provide the most recent 10-K/8-K Filings with the SEC. If the applicant does not have such filings, it may submit those of its parent company. An applicant may submit a current link to the filings or provide them in paper form. If the applicant does not have such filings, then the applicant may indicate in Exhibit C-2 that the applicant is not required to file with the SEC and why.

**C-3 Exhibit C-3 “Financial Statements,”** provide copies of the applicant’s two most recent years of audited financial statements (balance sheet, income statement, and cash flow statement). If audited financial statements are not available, provide officer certified financial statements. If the applicant has not been in business long enough to satisfy this requirement, it shall file audited or officer certified financial statements covering the life of the business. If the applicant does not have a balance sheet, income statement, and cash flow statement, the applicant may provide a copy of its two most recent years of tax returns (with social security numbers and account numbers redacted).

**C-4 Exhibit C-4 “Financial Arrangements,”** provide copies of the applicant's financial arrangements to conduct CRES as a business activity (e.g., guarantees, bank commitments, contractual arrangements, credit agreements, etc.).

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

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

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

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




- C-5 **Exhibit C-5 "Forecasted Financial Statements,"** provide two years of forecasted income statements for the applicant's **ELECTRIC related business activities in the state of Ohio Only**, along with a list of assumptions, and the name, address, email address, and telephone number of the preparer. The forecasts should be in an annualized format for the two years succeeding the Application year.
- C-6 **Exhibit C-6 "Credit Rating,"** provide a statement disclosing the applicant's credit rating as reported by two of the following organizations: Duff & Phelps, 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 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.



Signature of Applicant & Title

Sworn and subscribed before me this 19<sup>th</sup> day of February, 2020  
Month Year

 **PAUL LY**  
**NOTARY PUBLIC**  
MY COMMISSION EXPIRES OCT. 31, 2023 RICHARD PLUTZER  
Signature of official administering oath Print Name and Title

My commission expires on \_\_\_\_\_

# **AFFIDAVIT**

State of CONNECTICUT :  
County of FAIRFIELD :

ss: STAMFORD

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

He/She is the EXEC VP, CFO & SECRETARY (Office of Affiant) of RESOURCE ENERGY SYSTEMS, LLC (Name of Applicant); That he/she is authorized to and does make this affidavit for said Applicant,

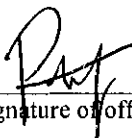
1. The Applicant herein, attests under penalty of false statement that all statements made in the application for certification renewal are true and complete and that it will amend its application while the application is pending if any substantial changes occur regarding the information provided in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

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

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

  
\_\_\_\_\_  
Signature of Affiant & Title

Sworn and subscribed before me this 19<sup>th</sup> day of February 2020  
Month Year

  
\_\_\_\_\_  
Signature of official administering oath

**PAUL LY**  
**NOTARY PUBLIC**  
MY COMMISSION EXPIRES OCT. 31, 2023

RICHARD PLUTZER  
Print Name and Title

My commission expires on \_\_\_\_\_

## Resource Energy Systems, LLC

### Exhibit A-10 – Principal Officers, Directors, and Partners

List of principal officers, directors, partners of Resource Energy Systems, LLC are as follows (there are no directors):

Steven Schlussel – President, Manager and Member

4 High Ridge Park, Suite 202

Stamford, CT 06905

203-883-9310

Richard Plutzer – CFO, Executive VP, Secretary, Manager and Member

4 High Ridge Park, Suite 202

Stamford, CT 06905

201-937-4210

Scott Reinstein – Chief Executive Officer, Chief Operating Officer, Manager and Member

4 High Ridge Park, Suite 202

Stamford, CT 06905

203-883-9310



## Resource Energy Systems, LLC

### Exhibit B-1 Jurisdiction of Operations

#### Electric:

Connecticut

Delaware

District of Columbia

Hawaii

Illinois

Maine

Maryland

Massachusetts

New Hampshire

New Jersey

Ohio

Oregon

Pennsylvania

Rhode Island

Texas

Virginia

Exhibit B-2 Experience and Plans

The company intends to use its large network of relationships within the commercial real estate industry to offer energy procurement services with regard to electricity without taking title to the power. Under no circumstances will the company take title to any commodity whatsoever.

The company's role will be that of essentially a broker and it will attempt to match the needs of the many commercial real estate companies (with a particular emphasis on owners of shopping malls) it knows and has worked with over the last few decades with the largest energy suppliers in the nation.

Our management team's decades of experience with commercial real estate operations, including many years working with the heads of operations for various real estate companies, will enable us to analyze such companies' specific energy needs, help them to design plans to meet their needs and objectives, and work with them to procure energy for their properties.

Our management team is available 24/7 to meet customers' needs. The company will be able to deal personally with any questions, complaints or other issues raised in connection with the services to be offered by the company to its customers.

**Resource Energy Systems, LLC**

Exhibit B-3 Disclosure of Liabilities and Investigations

Not applicable

## Resource Energy Systems, LLC

### Exhibit C-1 Annual Reports

The company does not issue or have annual reports. As a small, privately-held limited liability company with only eight members, three of whom are involved in day-to-day business operations, periodic financial statements (income statement and balance sheet) are prepared and distributed to its members. However, no other reports are prepared for the members.

## **Resource Energy Systems, LLC**

### Exhibit C-2 SEC Filing

The company is a small, privately held limited liability company and, as a result, is not required to make any SEC filings or any state securities filings.

## Resource Energy Systems, LLC

### Exhibit C-3 Financial Statements

The company does not have audited financial statements as it is not required to by any individual, entity or governmental agency. The company has no debt.

The financial statements are to be filed under seal.

Attached are financial statements for 2018 and 2019 and notarized officer certification.



## Resource Energy Systems, LLC

### Exhibit C-4 Financial Arrangements

The company will not take title to power or any other commodity. As a result, this requirement is not applicable to the company.

Exhibit C-5 Forecasted Financial Statements

The company will not take title to power or any other commodity.

Please see attached financial forecasts for the years 2020 and 2021.

Exhibit C-6 Credit Rating

The company will not take title to any commodity, and it will simply serve as a broker between the energy supplier and energy user. As a result, this requirement is not applicable to the company. The company has no parent company or affiliated companies.

Exhibit C-7 Credit Report

The company will not take title to power or any other commodity and is not rated by any credit agency or entity.

# RESOURCE ENERGY SYSTEMS, LLC

DUNS: 95-667-5677

## Business Information Report

### Company Information

4 High Ridge Park  
Stamford, CT 06905

This is a **single location** location.

**Telephone** (203) 569-6257

**Stock Symbol:** NA

**Year Started** 2007

**Employees** 50

### Financial Statement

**Sales** NA

**Net Worth** NA

**History:** NA

**Financial Condition:** NA

**Financing:** NA

**SIC:** 8741

**Line of Business:** Energy management svcs

### Corporate Family:

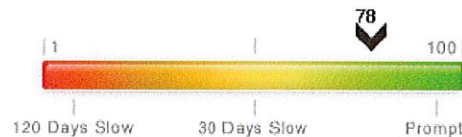
This business is a single location of the corporate family.

## Scores

### PAYDEX®

**78** ▼

3 days beyond terms



Based on up to 24 months of trade.

### D&B PAYDEX® Key

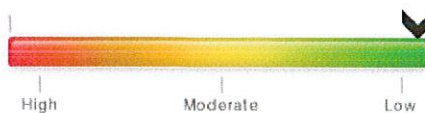
- High risk of late payment  
(average 30 to 120 days beyond terms)
- Medium risk of late payment  
(average 30 days or less beyond terms)
- Low risk of late payment  
(average prompt to 30+ days sooner)

### Credit Limit Recommendation

Risk Category  
**Low**

Conservative Credit Limit  
**\$40k**

Aggressive Credit Limit  
**\$90k**



Rating  
**1R3**

Number of employees: **1R** indicates 10 or more employees  
Composite Credit Appraisal: **3** is fair

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 08/31/2010

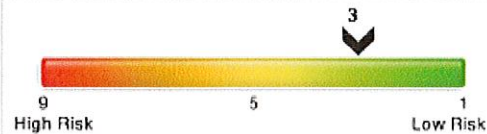
D&B Rating	Date Applied
1R3	2014-07-10
2R3	2011-11-22
--	2010-08-31

The Summary Analysis section reflects information in D&B's file as of February 27, 2018

## D&B Viability Rating

**3**

Viability Score

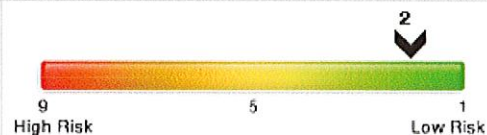


Compared to ALL US Businesses within the D&B Database:

- Level of Risk: **Low Risk**
- Businesses ranked 3 have a probability of becoming no longer viable: **3%**
- Percentage of businesses ranked 3: **15%**
- Across all US businesses, the average probability of becoming no longer viable: **14%**

**2**

Portfolio Comparison



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

- Model Segment: **Established Trade Payments**
- Level of Risk: **Low Risk**
- Businesses ranked 2 within this model segment have a probability of becoming no longer viable: **3%**
- Percentage of businesses ranked 2 within this model segment: **16%**
- Within this model segment, the average probability of becoming no longer viable: **5%**



C

## Data Depth Indicator

**Data Depth Indicator:**

Rich Firmographics  
 Extensive Commercial Trading Activity  
 No Financial Attributes

G

## Company Profile

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

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 &amp; Operations

## History

The following information was reported: **12/30/2017**

Officer(s):  
 RICHARD PLUTZER, MNG MBR

The Delaware Secretary of State's business registrations file showed that Resource Energy Systems, LLC was registered as a limited liability company on February 26, 2007.

Ownership information provided verbally by RICHARD PLUTZER, Mng Member, on Jul 02 2014.

Business started 2007 by Richard Plutzer.

RICHARD PLUTZER. 2007-present active here. Further antecedents were not available.

Business address has changed from 350 W Passaic St, Rochelle Park, NJ, 07662 to 1177 High Ridge Rd, Stamford, CT, 06905.

Business address has changed from 1177 High Ridge Rd, Stamford, CT, 06905 to 4 High Ridge Park, Stamford, CT, 06905.

## Operations

12/30/2017

Description:

Operates as a company providing management services, specializing in energy management (100%).

Has 12 account(s). Terms are check & commission basis. Sells to retailers & commercial real estate agencies.

Territory : United States.

**Employees:** 50 which includes partners.

**Facilities:** Leases 2,000 sq. ft. on 2nd floor of a 2 story concrete block building.

## SIC &amp; 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

numbers link to the description on the Occupational Safety & Health Administration (OSHA) web site. Links open in a new browser window.

8741 0000 Management services

**NAICS:**

561110 Office Administrative Services

## Payments

### PAYDEX® ®

#### Score Not Available

You must have three reported payment experiences, from at least two different vendors, to establish a PAYDEX® score. To ensure all of your payments are reflected in your credit file, add trade references to your report. Visit the Action Center to learn more.

### Payments Summary

Total (Last 24 Months): 13

	Total Received	Total Dollar Amount	Largest High Credit Payment summary	Within Terms	31	Days Slow		
						30-80	81-90	90
Top Industries								
Nonclassified	2	\$30,000.00	\$20,000.00	100%	0	0	0	0
Data processing svcs	1	\$2,500.00	\$2,500.00	50%	0	50	0	0
Misc business service	1	\$2,500.00	\$2,500.00	100%	0	0	0	0
Telephone communictns	1	\$250.00	\$250.00	100%	0	0	0	0
Reg misc coml sector	1	\$100.00	\$100.00	100%	0	0	0	0
Other Categories								
Cash experiences	7	\$2,000	\$1,000	--	--	--	--	--
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	13	\$37,350	\$20,000	--	--	--	--	--

The highest Now Owes on file is \$20,000

The highest Past Due on file is \$0

There are 13 payment experience(s) in D&Bs file for the most recent 24 months, with 2 experience(s) reported during the last three month period.

### Payments Details

Total (Last 24 Months): 13



Date	Paying Record	High Credit	Now Owes	Past Due	Selling Terms	Last sale w/f (Mo. )
01/2018	Ppt	\$20,000	\$20,000	\$0	--	1 mo
01/2018	Ppt	\$250	\$0	\$0	--	1 mo
10/2017	Ppt	\$10,000	\$0	\$0	--	6-12 mos
10/2017	(004)	\$1,000	\$0	\$0	Cash account	1 mo
08/2017	(005)	\$500	--	--	Cash account	1 mo
08/2017	(006)	\$50	--	--	Cash account	6-12 mos
07/2017	(007)	\$250	--	--	Cash account	1 mo
04/2017	(008)	\$50	--	--	Cash account	2-3 mos
03/2017	(009)	\$50	--	--	Cash account	1 mo
10/2016	(010)	\$100	--	--	--	1 mo
09/2016	(011)	\$100	--	--	Cash account	6-12 mos
05/2016	Ppt-Slow 60	\$2,500	\$0	\$0	--	2-3 mos
03/2016	Ppt	\$2,500	\$0	\$0	--	2-3 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

We currently do not have enough information to generate the graphs for the selected Key Business Ratio.

- [This Company](#)

#### Key Financial Comparisons

**This Company's Operating Results Year Over Year**

Net Sales	NA	NA	NA
Gross Profit	NA	NA	NA
Net Profit	NA	NA	NA
Dividends / Withdrawals	NA	NA	NA
Working Capital	NA	NA	NA

**This Company's Assets Year Over Year**

Cash	NA	NA	NA
Accounts Receivable	NA	NA	NA
Notes Receivable	NA	NA	NA
Inventories	NA	NA	NA
Other Current	NA	NA	NA
Total Current	NA	NA	NA
Fixed Assets	NA	NA	NA
Other Non Current	NA	NA	NA
Total Assets	NA	NA	NA

**This Company's Liabilities Year Over Year**

Accounts Payable	NA	NA	NA
Bank Loan	NA	NA	NA
Notes Payable	NA	NA	NA
Other Current Liabilities	NA	NA	NA
Total Current Liabilities	NA	NA	NA
Other Long Term and Short Term Liabilities	NA	NA	NA
Deferred Credit	NA	NA	NA
Net Worth	NA	NA	NA
Total Liabilities and Net Worth	NA	NA	NA



We currently do not have any recent financial statements on file for your business. Submitting financial statements can help improve your D&B scores. To submit a financial statement, please call customer service at 800-333-0505.

**Key Business Ratios**

	This Company	Industry Median	Industry Quartile
<b>Solvency</b>			
Quick Ratio	NA	NA	NA
Current Ratio	NA	NA	NA
Current Liabilities to Net Worth	NA	NA	NA
Current Liabilities to Inventory	NA	NA	NA
Total Current	NA	NA	NA
Fixed Assets to Net Worth	NA	NA	NA
<b>Efficiency</b>			
Collection Period	NA	NA	NA
Inventory Turn Over	NA	NA	NA
Sales to NWC	NA	NA	NA
Acct Pay to Sales	NA	NA	NA
<b>Profitability</b>			
Return on Sales	NA	NA	NA
Return on Assets	NA	NA	NA
Return on NetWorth	NA	NA	NA

## 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	0	-

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

## 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

**07/10/2014**

Business address has changed from 1177 High Ridge Rd, Stamford, CT, 06905 to 4 High Ridge Park, Stamford, CT, 06905.

## Corporate Linkage

### Parent

Company Name	DUNS #	City, State
RESOURCE ENERGY SYSTEMS, LLC	95-667-5677	STAMFORD, CONNECTICUT



Exhibit C-8 Bankruptcy Information

None of the provisions are applicable. There has been no bankruptcy, reorganization proceedings, any matters related to protection from creditors or any other items. None of the provisions of Exhibit C-8 are applicable to the company.

Exhibit C-9 Merger Information

There has been no dissolution or merger or acquisition of the company. None of the provisions in Exhibit C-9 are applicable to the company.

Exhibit C-10 – Corporate Structure

The company is a limited liability company. There are no affiliates, parent, or subsidiary companies. There are no affiliates, parent, or subsidiary companies. Resource Energy Systems, LLC has the following corporate structure: the C.E.O. and C.F.O. report to the President. The C.E.O. runs the day-to-day operations while the C.F.O. runs day-to-day finance-related functions.

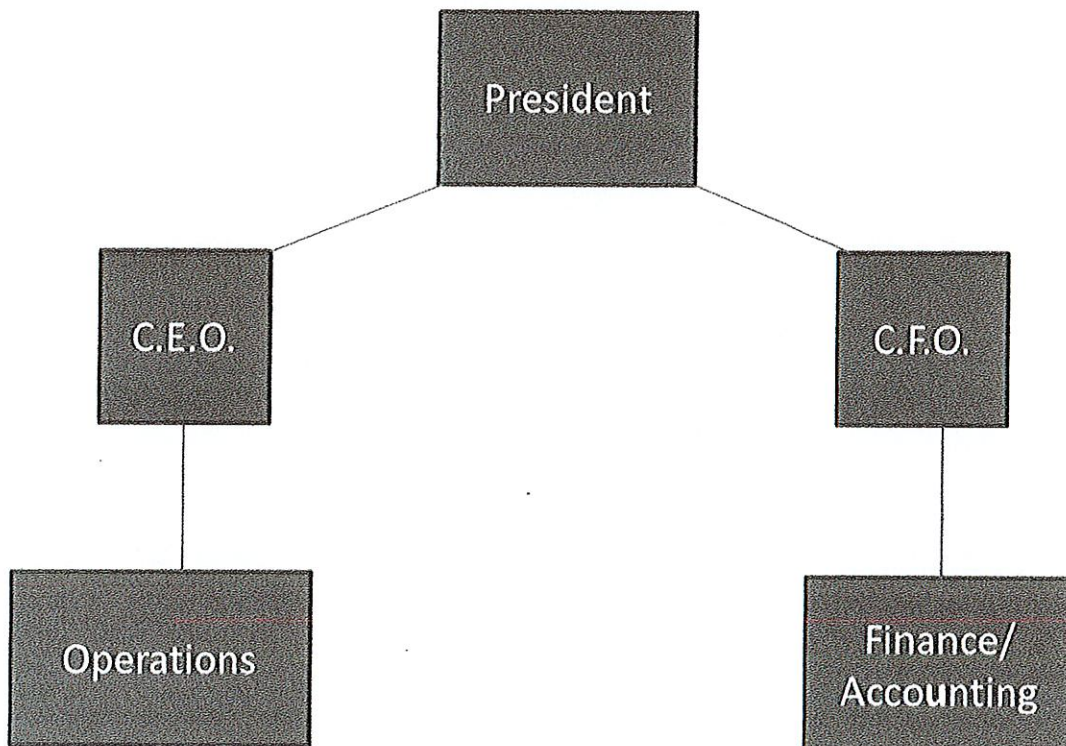


EXHIBIT C-3 NOTARIZED OFFICER CERTIFICATION

The undersigned being a duly elected Executive Vice President, Chief Financial Officer and Secretary of applicant Resource Energy Systems, LLC (the "Company") hereby certifies that the financial statements presented herein represent fairly the financial positions of the Company as of the dates stated therein.



Richard Plutzer

Executive Vice President, Chief Financial Officer and Secretary

STATE OF CONNECTICUT

SS: STAMFORD

COUNTY OF FAIRFIELD

On this 19<sup>th</sup> day of February, 2020 before me Paul Ly, the officer above Richard Plutzer personally appeared who acknowledged himself to be the Executive Vice President, Chief Financial Officer and Secretary of Resource Energy Systems, LLC, a limited liability company, and that he as such Executive Vice President, Chief Financial Officer and Secretary being authorized to execute the foregoing instrument for the purposes therein contained, by signing the name of the limited liability company by himself as Executive Vice President, Chief Financial Officer and Secretary.

In Witness Whereof I hereunto set my hand and seal.



**PAUL LY**  
**NOTARY PUBLIC**  
MY COMMISSION EXPIRES OCT. 31, 2023

Notary Public

**This foregoing document was electronically filed with the Public Utilities**

**Commission of Ohio Docketing Information System on**

**2/24/2020 10:14:20 AM**

**in**

**Case No(s). 12-0618-EL-AGG**

Summary: Text Resource Energy Systems, LLC Renewal Application electronically filed by  
Teresa Orahod on behalf of Dylan F. Borchers