

Secretary of the Commission  
Keystone Building, 400 North Street  
2nd Floor, Room N201  
Harrisburg, PA 17120

Dear Commission,

Please be advised that Alternative Utility Services, Inc. is applying to become a licensed natural gas supplier in the Commonwealth of Pennsylvania. The following shall serve as our completed application with the Pennsylvania Public Utility Commission pursuant to 52 Pa. Code § 62.104.

**RECEIVED**

OCT 24 2013

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

Sincerely,

Alternative Utility Services, Inc.

Corporate Office  
PO Box 250  
Lake Geneva, WI 53147  
800.392.4287

**AUSenergy.com**



Secretary of the Commission  
Keystone Building, 400 North Street  
2<sup>nd</sup> Floor, Room N201  
Harrisburg, PA 17120

Re: Certification Application of Alternative Utility Services, Inc. to become a Competitive Retail Natural Gas Supply Services Provider.

October 18<sup>th</sup>, 2013

Dear Commission,

Applicant Alternative Utility Services, Inc., hereinafter "Applicant", pursuant to 52 Pa. Code § 62.103 requests that "Attachment E : 2012 Verified Financial Statements" pertaining to question 17 of the Commission's Natural Gas Suppliers Licensing Application be deemed confidential and privileged and protected through Protective Order. This question seeks information and records which Applicant considers confidential and which are maintained as confidential by the Applicant. Public disclosure of this information could be potentially harmful to the Applicant's competitive position as a natural gas broker. Applicant requests that the Protective Order be effective for the duration of the license issued. Thank you for your anticipated cooperation.

RECEIVED

OCT 24 2013

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

Sincerely,

A handwritten signature in cursive script that reads "Fritz Kreiss".

Fritz Kreiss  
President, Alternative Utility Services, Inc.

Corporate Office  
PO Box 250  
Lake Geneva, WI 53147  
800.392.4287

AUSenergy.com

**Acknowledgment**

State of Wisconsin  
County of Walworth

On October 18<sup>th</sup>, 2013 before me, Jenna Buehre, notary, personally appeared Fritz Kreiss, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Witness my hand and official seal.

Signature: Jenna Buehre

My commission expires 7/15/17

JENNA BUEHRE  
Notary Public  
State of Wisconsin

**RECEIVED**

OCT 24 2013

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

Corporate Office  
PO Box 250  
Lake Geneva, WI 53147  
800.392.4287

**AUSenergy.com**

# BEFORE THE PENNSYLVANIA PUBLIC UTILITY COMMISSION

Application of Alternative Utility Services, Inc., d/b/a AUS, for approval to offer, render, furnish, or as a(n) Broker/Marketer engaged in the business of supplying natural gas services to the public in the Commonwealth of Pennsylvania.

To the Pennsylvania Public Utility Commission:

1. **IDENTITY OF THE APPLICANT:** The name, address, telephone number, and FAX number of the Applicant are:

**Name: Alternative Utility Services, Inc.**

**Address: 750 Veterans Pkwy Suite 104  
PO Box 250  
Lake Geneva, WI 53147**

**Phone: 262-248-0930**

**Fax: 262-248-9005**

Please identify any predecessor(s) of the Applicant and provide other names under which the Applicant has operated within the preceding five (5) years, including name, address, and telephone number.

N/A

2. a. **CONTACT PERSON:** The name, title, address, telephone number, and FAX number of the person to whom questions about this Application should be addressed are:

**Fritz Kreiss  
President  
750 Veterans Pkwy Suite 104  
PO Box 250  
Lake Geneva, WI 53147  
262-248-0930  
F: 262-248-9005**

**RECEIVED**

**OCT 24 2013**

**PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU**

- b. **CONTACT PERSON-PENNSYLVANIA EMERGENCY MANAGEMENT AGENCY:** The name, title, address telephone number and FAX number of the person with whom contact should be made by PEMA:

**Fritz Kreiss  
President  
750 Veterans Pkwy Suite 104  
PO Box 250  
Lake Geneva, WI 53147  
262-248-0930  
F: 262-248-9005**

- 3.a. **ATTORNEY:** If applicable, the name, address, telephone number, and FAX number of the Applicant's attorney are:

**Hubbard Business Council  
222 N. LaSalle St., Ste. 300  
Chicago, IL 60601  
312-704-3624**

b. **REGISTERED AGENT:** If the Applicant does not maintain a principal office in the Commonwealth, the required name, address, telephone number and FAX number of the Applicant's Registered Agent in the Commonwealth are:

**Corporate Creations Network**  
**1001 State Street 1400**  
**Erie, PA 16501**  
**814-209-0328**  
**F: 773-935-4020**

4. **FICTITIOUS NAME:** (select and complete appropriate statement)

The Applicant will be using a fictitious name or doing business as ("d/b/a"):

Attach to the Application a copy of the Applicant's filing with the Commonwealth's Department of State pursuant to 54 Pa. C.S. §311, Form PA-953.

**or**

The Applicant will not be using a fictitious name.

5. **BUSINESS ENTITY AND DEPARTMENT OF STATE FILINGS:** (select and complete appropriate statement)

The Applicant is a sole proprietor.

If the Applicant is located outside the Commonwealth, provide proof of compliance with 15 Pa. C.S. §4124 relating to Department of State filing requirements.

**or**

The Applicant is a:

- domestic general partnership (\*)
- domestic limited partnership (15 Pa. C.S. §8511)
- foreign general or limited partnership (15 Pa. C.S. §4124)
- domestic limited liability partnership (15 Pa. C.S. §8201)
- foreign limited liability general partnership (15 Pa. C.S. §8211)
- foreign limited liability limited partnership (15 Pa. C.S. §8211)

**Provide proof of compliance with appropriate Department of State filing requirements as indicated above.**

Give name, d/b/a, and address of partners. If any partner is not an individual, identify the business nature of the partner entity and identify its partners or officers.

- \* If a corporate partner in the Applicant's domestic partnership is not domiciled in Pennsylvania, attach a copy of the Applicant's Department of State filing pursuant to 15 Pa. C.S. §4124.

**or**

- The Applicant is a:
- domestic corporation (none)
  - foreign corporation (15 Pa. C.S. §4124)
  - domestic limited liability company (15 Pa. C.S. §8913)
  - foreign limited liability company (15 Pa. C.S. §8981)
  - Other \_\_\_\_\_

Provide proof of compliance with appropriate Department of State filing requirements as indicated above. Additionally, provide a copy of the Applicant's Articles of Incorporation.

**Proof of compliance with appropriate Department of State filing requirements is provided in Attachment A.**

**A Copy of the Applicants Articles of Incorporation is provided in Attachment B.**

Give name and address of officers.

**Fritz Kreiss  
President  
750 Veterans Pkwy Suite 104  
PO Box 250  
Lake Geneva, WI 53147  
262-248-0930  
F: 262-248-9005**

**Catherine McQueen  
Secretary  
750 Veterans Pkwy Suite 104  
PO Box 250  
Lake Geneva, WI 53147  
262-248-0930  
F: 262-248-9005**

The Applicant is incorporated in the state of Illinois.

6. **AFFILIATES AND PREDECESSORS WITHIN PENNSYLVANIA:** (select and complete appropriate statement)

- Affiliate(s) of the Applicant doing business in Pennsylvania are:

Give name and address of the affiliate(s) and state whether the affiliate(s) are jurisdictional public utilities.

- Does the Applicant have any affiliation with or ownership interest in:
- (a) any other Pennsylvania retail natural gas supplier licensee or licensee applicant,
  - (b) any other Pennsylvania retail licensed electric generation supplier or license applicant,
  - (c) any Pennsylvania natural gas producer and/or marketer,
  - (d) any natural gas wells or
  - (e) any local distribution companies (LDCs) in the Commonwealth

If the response to parts a, b, c, or d above is affirmative, provide a detailed description and explanation of the affiliation and/or ownership interest.

- Provide specific details concerning the affiliation and/or ownership interests involving:
- (a) any natural gas producer and/or marketers,
  - (b) any wholesale or retail supplier or marketer of natural gas, electricity, oil, propane or other energy sources.

- Provide the Pa PUC Docket Number if the applicant has ever applied:
- (a) for a Pennsylvania Natural Gas Supplier license, or

**Applicant has never applied for a Pennsylvania Natural Gas Supplier license.**

- (b) for a Pennsylvania Electric Generation Supplier license.

**Applicant is license as a Pennsylvania Electric Generation Supplier under Docket A-2001-2261520.**

- If the Applicant or an affiliate has a predecessor who has done business within Pennsylvania, give name and address of the predecessor(s) and state whether the predecessor(s) were jurisdictional public utilities.

**or**

- The Applicant has no affiliates doing business in Pennsylvania or predecessors which have done business in Pennsylvania.

7. **APPLICANT'S PRESENT OPERATIONS:** (select and complete the appropriate statement)

- The Applicant is presently doing business in Pennsylvania as a
- natural gas interstate pipeline.
  - municipal providing service outside its municipal limits.
  - local gas distribution company
  - retail supplier of natural gas services in the Commonwealth
  - a natural gas producer
  - Other. (Identify the nature of service being rendered.)

**Providing electricity consulting services to businesses with multi-location and multi-state offices, some of which reside in Pennsylvania.**

**or**

The Applicant is not presently doing business in Pennsylvania.

8. **APPLICANT'S PROPOSED OPERATIONS:** The Applicant proposes to operate as a:

- supplier of natural gas services.
- Municipal supplier of natural gas services.
- Cooperative supplier of natural gas services.
- Broker/Marketer engaged in the business of supplying natural gas services.
- Aggregator engaged in the business of supplying natural gas services.
- Other (Describe):

9. **PROPOSED SERVICES:** Generally describe the natural gas services which the Applicant proposes to offer.

**Applicant proposes to do business as a broker/marketer that does not take title to the natural gas. Applicant has outside and internal sales reps who are contracted through Alternative Utility Services, Inc. These sales reps either have current clients that have multi-location offices that may reside in the state of Pennsylvania that they wish to pursue or may actively seek new clients in this state once licensed. Services may consist of bill review and alternative provider placement. Applicant will obtain quotes for competitive supply and present those findings to the client. Applicant will then help the client make an informed, educated decision about whether to switch service, or remain with the utility.**

10. **SERVICE AREA:** Provide each Natural Gas Distribution Company (NGDC) in which Applicant proposes to offer services.

**Valley Energy Inc.  
National Fuel Gas Distribution Corp.  
UGI Central Penn  
Peoples Natural Gas Company LLC  
Peoples TWP LLC  
UGI  
UGI Penn Natural  
Equitable Gas Company  
PECO  
Columbia Gas Of Pennsylvania Inc.  
Philadelphia Gas Works**

11. **CUSTOMERS:** Applicant proposes to initially provide services to:

- Residential Customers
- Commercial Customers - (Less than 6,000 Mcf annually)
- Commercial Customers - (6,000 Mcf or more annually)
- Industrial Customers
- Governmental Customers
- All of above
- Other (Describe):

12. **START DATE:** The Applicant proposes to begin delivering services on \_\_\_\_\_  
(approximate date).

**Immediately upon approval.**

13. **NOTICE:** Pursuant to Section 5.14 of the Commission's Regulations, 52 Pa. Code §5.14, serve a copy of the signed and verified Application with attachments on the following:

Irwin A. Popowsky  
Office of Consumer Advocate  
5th Floor, Forum Place  
555 Walnut Street  
Harrisburg, PA 17120-1921

Office of the Attorney General  
Bureau of Consumer Protection  
Strawberry Square, 14th Floor  
Harrisburg, PA 17120

William R. Lloyd, Jr.  
Commerce Building, Suite 1102  
Small Business Advocate  
300 North Second Street  
Harrisburg, PA 17101

Commonwealth of Pennsylvania  
Department of Revenue  
Bureau of Compliance  
Harrisburg, PA 17128-0946

Any of the following Natural Gas Distribution Companies through whose transmission and distribution facilities the applicant intends to supply customers:

<p><b>Valley Energy Inc.</b> Robert Crocker 523 South Keystone Avenue Sayre, PA 18840-0340 PH: 570.888-9664 FAX: 570.888.6199 email: <a href="mailto:rcrocker@ctenterprises.org">rcrocker@ctenterprises.org</a></p>	<p><b>National Fuel Gas Distribution Corp.</b> David D. Wolford 6363 Main Street Williamsville, NY 14221 PH: 716.857.7483 FAX: 716.857.7479 email: <a href="mailto:wolfordd@natfuel.com">wolfordd@natfuel.com</a></p>
<p><b>UGI Central Penn</b> David Beasten 2525 N. 12<sup>th</sup> Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3425 FAX: 610.796.3559</p>	<p><b>Peoples Natural Gas Company LLC</b> Lynda Petrichevich 375 North Shore Drive, Suite 600 Pittsburgh, PA 15212 email: <a href="mailto:Lynda.w.petrichevich@peoples-gas.com">Lynda.w.petrichevich@peoples-gas.com</a> PH: 412.208.6528 FAX: 412.208.6577</p>
<p><b>Peoples TWP LLC (Formerly T. W. Phillips)</b> Andrew Wachter 375 North Shore Drive, Suite 600 Pittsburgh, PA 15212 PH: 724.431.4935 FAX: 724.287.5021 email: <a href="mailto:Andrew.Wachter@peoplestwp.com">Andrew.Wachter@peoplestwp.com</a></p>	<p><b>UGI</b> David Beasten 2525 N. 12<sup>th</sup> Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3425 FAX: 610.796.3559</p>
<p><b>UGI Penn Natural</b> David Beasten 2525 N. 12<sup>th</sup> Street, Suite 360 Reading, PA 19612-2677 PH: 610.796.3425 FAX: 610.796.3559</p>	<p><b>Equitable Gas Company</b> Jerald Moody 225 North Shore Drive Pittsburgh, PA 15212-5352 PH: 412.395.3209 FAX: 412.395.3335</p>
<p><b>PECO</b> Carlos Thillet, Manager, Gas Supply and Transportation 2301 Market Street, S9-2 Philadelphia, PA 19103 email: <a href="mailto:carlos.thillet@exeloncorp.com">carlos.thillet@exeloncorp.com</a> PH: 215.841.6452</p>	<p><b>Columbia Gas of Pennsylvania Inc.</b> Thomas C. Heckathorn 200 Civic Center Drive Columbus, OH 43215 PH: 614.460.4996 FAX: 614.460.6442 email: <a href="mailto:theckathorn@nisource.com">theckathorn@nisource.com</a></p>
<p><b>Philadelphia Gas Works</b> Douglas Moser 800 West Montgomery Avenue Philadelphia, PA 19122 email: <a href="mailto:douglas.moser@pgworks.com">douglas.moser@pgworks.com</a> PH: 215.684.6899</p>	

Pursuant to Sections 1.57 and 1.58 of the Commission's Regulations, 52 Pa. Code §§1.57 and 1.58, attach Proof of Service of the Application and attachments upon the above named parties. Upon review of the Application, further notice may be required pursuant to Section 5.14 of the Commission's Regulations, 52 Pa. Code §5.14.

14. **TAXATION:** Complete the TAX CERTIFICATION STATEMENT attached as Appendix B to this application.

**Tax Certification Statement is provided as Attachment C.**

15. **COMPLIANCE:** State specifically whether the Applicant, an affiliate, a predecessor of either, or a person identified in this Application has been convicted of a crime involving fraud or similar activity. Identify all proceedings, by name, subject and citation, dealing with business operations, in the last five (5) years, whether before an administrative body or in a judicial forum, in which the Applicant, an affiliate, a predecessor of either, or a person identified herein has been a defendant or a respondent. Provide a statement as to the resolution or present status of any such proceedings.

**The Applicant, an affiliate, a predecessor of either, or a person identified in this Application have not or is currently not the defendant of a criminal or civil proceedings within the last five (5) years.**

16. **STANDARDS, BILLING PRACTICES, TERMS AND CONDITIONS OF PROVIDING SERVICE AND CONSUMER EDUCATION:** All services should be priced in clearly stated terms to the extent possible. *Common definitions should be used. All consumer contracts or sales agreements should be written in plain language with any exclusions, exceptions, add-ons, package offers, limited time offers or other deadlines prominently communicated. Penalties and procedures for ending contracts should be clearly communicated.*

- a. **Contacts for Consumer Service and Complaints:** Provide the name, title, address, telephone number and FAX number of the person and an alternate person responsible for addressing customer complaints. These persons will ordinarily be the initial point(s) of contact for resolving complaints filed with Applicant, the Distribution Company, the Pennsylvania Public Utility Commission or other agencies.

**Fritz Kreiss  
President  
750 Veterans Pkwy Suite 104  
PO Box 250  
Lake Geneva, WI 53147  
262-248-0930  
F: 262-248-9005**

**Catherine McQueen  
Secretary  
750 Veterans Pkwy Suite 104  
PO Box 250  
Lake Geneva, WI 53147  
262-248-0930  
F: 262-248-9005**

- b. Provide a copy of all standard forms or contracts that you use, or propose to use, for service provided to residential customers.

**Applicant is applying for Broker/Marketer status and therefore would be acting as an intermediary in the sale and purchase of natural gas but will not take title to the natural gas. Therefore, no contract will be entered into between residential customers and the applicant. The service contract would be between the retail natural gas supplier taking title to the natural gas and the residential customer. Because of this, applicant does not feel this requirement applies.**

- c. If proposing to serve Residential and/or Small Commercial customers, provide a disclosure statement. A sample disclosure statement is provided as Appendix B to this Application.

**Applicant is applying for Broker/Marketer status and therefore would be acting as an intermediary in the sale and purchase of natural gas but will not take title to natural gas. Therefore, no contract will be entered into between the customer and the applicant. The items included in the sample disclosure apply to the service that will be offered by the retail natural gas supply supplier taking title**

to the natural gas and therefore would be an agreement between the customer and the Natural Gas Service Provider. Because of this, applicant does not feel this requirement applies.

17. **FINANCIAL FITNESS:**

A. Applicant shall provide sufficient information to demonstrate financial fitness commensurate with the service proposed to be provided. Examples of such information which may be submitted include the following:

- Actual (or proposed) organizational structure including parent, affiliated or subsidiary companies.

**Actual organizational structure provided in Attachment D.**

- Published parent company financial and credit information.
- Applicant's balance sheet and income statement for the most recent fiscal year. Published financial information such as 10K's and 10Q's may be provided, if available.

**2012 Verified Financial Statements are provided in Attachment E.**

*The information contained in this response is privileged and confidential and should be afforded protected treatment*

- Evidence of Applicant's credit rating. Applicant may provide a copy of its Dun and Bradstreet Credit Report and Robert Morris and Associates financial form or other independent financial service reports.

**Evidence of credit rating is provided in Attachment F.**

- A description of the types and amounts of insurance carried by Applicant which are specifically intended to provide for or support its financial fitness to perform its obligations as a licensee.

**Description of insurance carried is provided in Attachment G**

- Audited financial statements
- Such other information that demonstrates Applicant's financial fitness.

**Bank reference is provided in Attachment H.**

B. Applicant must provide the following information:

- Provide proof of compliance with bonding/credit requirements for each NGDC the applicant is proposing to provide service in. This requirement is designated by each NGDC and can commonly be found in the NGDC supplier tariff.

**Proof of compliance with bonding/credit requirements for each NGDC service will be provided in is provided in Attachment I.**

- Identify Applicant's chief officers including names and their professional resumes.

**Fritz Kreiss  
President  
750 Veterans Pkwy Suite 104  
PO Box 250  
Lake Geneva, WI 53147  
262-248-0930  
F: 262-248-9005  
Professional Resume: See Attachment J**

**Catherine McQueen  
Secretary  
750 Veterans Pkwy Suite 104  
PO Box 250**

Lake Geneva, WI 53147  
262-248-0930  
F: 262-248-9005  
Professional Resume: See Attachment J

- Provide the name, title, address, telephone number and FAX number of Applicant's custodian for its accounting records.

**Carlson & Halpern CPAs, S.C**  
924 Williams Street  
Lake Geneva, WI 53147  
262-249-1400  
F: 262-249-1500  
Contact: Sheree Carlson

18. **TECHNICAL FITNESS:** To ensure that the present quality and availability of service provided by natural gas utilities does not deteriorate, the Applicant shall provide sufficient information to demonstrate technical fitness commensurate with the service proposed to be provided. Examples of such information which may be submitted include the following:

- The identity of the Applicant's officers directly responsible for operations, including names and their professional resumes.

**Fritz Kreiss**  
President  
750 Veterans Pkwy Suite 104  
PO Box 250  
Lake Geneva, WI 53147  
262-248-0930  
F: 262-248-9005  
Professional Resume: See Attachment J

**Catherine McQueen**  
Secretary  
750 Veterans Pkwy Suite 104  
PO Box 250  
Lake Geneva, WI 53147  
262-248-0930  
F: 262-248-9005  
Professional Resume: See Attachment J

**Cecilia Peshe**  
Operations Manager  
750 Veterans Pkwy Suite 104  
PO Box 250  
Lake Geneva, WI 53147  
262-248-0930  
F: 262-248-9005  
Professional Resume: See Attachment J

**Jenna Buehre**  
Corporate Affairs Manager  
750 Veterans Pkwy Suite 104  
PO Box 250  
Lake Geneva, WI 53147  
262-248-0930  
F: 262-248-9005  
Professional Resume: See Attachment J

- A copy of any Federal energy license currently held by the Applicant.

**A copy of licenses currently held are provided in Attachment K. A summary of those licenses is as follows:**

**Illinois - Licensed as an electric ABC (Agent, Broker, and Consultant) under eDocket # 09-0574**

**Maryland - Licensed to supply electric generation services under license Ref # IR-2579**

**Maine - Licensed to operate as a competitive electricity provider furnishing aggregator/broker services under Docket ID # 2011 – 312**

**Massachusetts - Licensed as an electricity broker under number EB-250**

**New Jersey - Licensed as an Energy Agent, Private Aggregator, and Consultant under Registration # EA – 0123, PA – 0094 and EC-0073**

**Ohio - Licensed as a Competitive Retail Electric Service Provider and Natural Gas Aggregator/Broker under Certificate No. 11-387E (2) and 11-230G (1)**

**Pennsylvania - Licensed as an electric generation supplier under Docket A-2011-2261520**

- Proposed staffing and employee training commitments.

**Applicant currently has outside and internal sales reps who are contracted through Alternative Utility Services, Inc. These sales reps have years of experience in the sale and marketing of natural gas throughout the deregulated markets. The applicant is currently in the process of developing a training program to educate new sales reps in these manners.**

- Business plans.

**Applicant has outside and internal sales reps who are contracted through Alternative Utility Services, Inc. These sales reps either have current clients that have multi-location offices that may reside in the state of Pennsylvania that they wish to pursue or may actively seek new clients in this state once licensed. Applicant has no other business plans at this moment.**

19. **TRANSFER OF LICENSE:** The Applicant understands that if it plans to transfer its license to another entity, it is required to request authority from the Commission for permission prior to transferring the license. See 66 Pa. C.S. Section 2208(D). Transferee will be required to file the appropriate licensing application.

**X      Agreed**

20. **UNIFORM STANDARDS OF CONDUCT AND DISCLOSURE:** As a condition of receiving a license, Applicant agrees to conform to any Uniform Standards of Conduct and Disclosure as set forth by the Commission.

**X      Agreed**

21. **REPORTING REQUIREMENTS:** Applicant agrees to provide the following information to the Commission or the Department of Revenue, as appropriate:

- a. **Reports of Gross Receipts:** Applicant shall report its Pennsylvania intrastate gross receipts to the Commission on an annual basis no later than 30 days following the end of the calendar year.

**X      Agreed**

**Applicant will be required to meet periodic reporting requirements as may be issued by the Commission to fulfill the Commission's duty under Chapter 22 pertaining to reliability and to inform**

the Governor and Legislature of the progress of the transition to a fully competitive natural gas market.

**Agreed**

22. **FURTHER DEVELOPMENTS:** Applicant is under a continuing obligation to amend its application if substantial changes occur in the information upon which the Commission relied in approving the original filing.

**Agreed**

23. **FALSIFICATION:** The Applicant understands that the making of false statement(s) herein may be grounds for denying the Application or, if later discovered, for revoking any authority granted pursuant to the Application. This Application is subject to 18 Pa. C.S. §§4903 and 4904, relating to perjury and falsification in official matters.

**Agreed**

24. **FEE:** The Applicant has enclosed the required initial licensing fee of \$350.00 payable to the Commonwealth of Pennsylvania.

**Payment Enclosed**

Applicant: Alternative Utility Services, Inc.

By: J. J. Kress

Title: President

**AFFIDAVIT**

[Commonwealth/State] of Wisconsin :

ss.

County of Walworth :

Eritz Krugg, Affiant, being duly [sworn/affirmed] according to law, deposes and says that:

[He/she is the President (Office of Affiant) of Alternative Utility Services, Inc. (Name of Applicant);]

[That he/she is authorized to and does make this affidavit for said Applicant;]

That Alternative Utility Services, Inc., the Applicant herein, acknowledges that [Applicant] may have obligations pursuant to this Application consistent with the Public Utility Code of the Commonwealth of Pennsylvania, Title 66 of the Pennsylvania Consolidated Statutes; or with other applicable statutes or regulations including Emergency Orders which may be issued verbally or in writing during any emergency situations that may unexpectedly develop from time to time in the course of doing business in Pennsylvania.

That Alternative Utility Services, Inc., the Applicant herein, asserts that [he/she/it] possesses the requisite technical, managerial, and financial fitness to render natural gas supply service within the Commonwealth of Pennsylvania and that the Applicant will abide by all applicable federal and state laws and regulations and by the decisions of the Pennsylvania Public Utility Commission.

That Alternative Utility Services, Inc., the Applicant herein, certifies to the Commission that it is subject to , will pay, and in the past has paid, the full amount of taxes imposed by Articles II and XI of the Act of March 4, 1971 (P.L. 6, No. 2 ), known as the Tax Reform Act of 1971 and any tax imposed by Chapter 22 of Title 66. The Applicant acknowledges that failure to pay such taxes or otherwise comply with the taxation requirements of, shall be cause for the Commission to revoke the license of the Applicant. The Applicant acknowledges that it shall report to the Commission its jurisdictional natural gas sales for ultimate consumption, for the previous year or as otherwise required by the Commission. The Applicant also acknowledges that it is subject to 66 Pa. C.S. §506 (relating to the inspection of facilities and records).

Applicant, by filing of this application waives confidentiality with respect to its state tax information in the possession of the Department of Revenue, regardless of the source of the information, and shall consent to the Department of Revenue providing that information to the Pennsylvania Public Utility Commission.

That Alternative Utility Services, Inc., the Applicant herein, acknowledges that it has a statutory obligation to conform with 66 Pa. C.S. §506, and the standards and billing practices of 52 PA. Code Chapter 56.

**RECEIVED**

**OCT 24 2013**

**PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU**

That the Applicant agrees to provide all consumer education materials and information in a timely manner as requested by the Commission's Office of Communications or other Commission bureaus. Materials and information requested may be analyzed by the Commission to meet obligations under applicable sections of the law.

That the facts above set forth are true and correct/true and correct to the best of his/her knowledge, information, and belief.

  
\_\_\_\_\_  
Signature of Affiant

Sworn and subscribed before me this 19<sup>th</sup> day of October, 2013

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

My commission expires 7/15/2017

JENNA BUEHRE  
Notary Public  
State of Wisconsin

**AFFIDAVIT**

[Commonwealth/State] of Wisconsin :

ss.

County of Walworth :

Fritz Kreigg, Affiant, being duly [sworn/affirmed] according to law, deposes and says that:

[He/she is the President (Office of Affiant) of Alternative Utility Services, Inc. (Name of Applicant);]

GENERIC

[That he/she is authorized to and does make this affidavit for said Applicant;]

That Alternative Utility Services, Inc., the Applicant herein certifies that it has caused the notice of the filing of its license application published in the following newspapers on 9/19/2013 - 9/24/2013 (date)

A copy of the notice as it appeared in each of the above newspapers is attached. Noted on each copy is the newspaper section (name, number or letter), if applicable, and the page number on which the notice appeared.

That Alternative Utility Services, Inc., the Applicant will submit to the Commission the proof of publication from each newspaper in which notice of the application filing was published as soon as it is available.

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 hearing.

Fritz Kreigg  
Signature of Affiant

Sworn and subscribed before me this 19<sup>th</sup> day of October, 2013.

JENNA BUEHRE  
Notary Public  
State of Wisconsin

Jenna Buehre  
Signature of official administering oath

My commission expires July 15<sup>th</sup>, 2017

**RECEIVED**

OCT 24 2013

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

**AFFIDAVIT**

[Commonwealth/State] of Wisconsin :

ss.

County of Walworth :

Fritz Kress, Affiant, being duly [sworn/affirmed] according to law, deposes and says that:

[He/she is the President (Office of Affiant) of Alternative Utility Services, Inc. (Name of Applicant);]

[That he/she is authorized to and does make this affidavit for said Applicant;]

That the Applicant herein Alternative Utility Services, Inc. has the burden of producing information and supporting documentation demonstrating its technical and financial fitness to be licensed as a natural gas supplier pursuant to 66 Pa. C.S. §2208(c)(1).

That the Applicant herein Alternative Utility Services, Inc. has answered the questions on the application correctly, truthfully, and completely and provided supporting documentation as required.

That the Applicant herein Alternative Utility Services, Inc. acknowledges that it is under a duty to update information provided in answer to questions on this application and contained in supporting documents.

That the Applicant herein Alternative Utility Services, Inc. acknowledges that it is under a duty to supplement information provided in answer to questions on this application and contained in supporting documents as requested by the Commission.

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 hearing.

Fritz Kress  
Signature of Affiant

Sworn and subscribed before me this 10<sup>th</sup> day of October, 2013

Jenna Buehre  
Signature of official administering oath

My commission expires July 15<sup>th</sup> 2017

JENNA BUEHRE  
Notary Public  
State of Wisconsin

**RECEIVED**

OCT 24 2013

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

**RECEIVED**

OCT 24 2013

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

Attachment A

Required Department of State Filing

PENNSYLVANIA DEPARTMENT OF STATE  
CORPORATION BUREAU

Application for Certificate of Authority  
(15 Pa.C.S.)

- Foreign Business Corporation (§ 4124)  
 Foreign Nonprofit Corporation (§ 6124)

Name Brian Fons		
Address c/o Esquire Assist -- Counter Pickup		
City	State	Zip Code

Document will be returned to the name and address you enter to the left.

Commonwealth of Pennsylvania  
CERTIFICATE OF AUTHORITY 3 Page(s)



Fee: \$250

In compliance with the requirements of the applicable provisions of 15 Pa.C.S. (relating to corporations and unincorporated associations), the undersigned, hereby states that:

- The name of the corporation is:  
Alternative Utility Services Inc.
- Complete only when the corporation must adopt a corporate designator for use in Pennsylvania.  
The name which the corporation adopts for use in this Commonwealth is:
- If the name set forth in paragraph 1 or 2 is not available for use in this Commonwealth, complete the following:  
The fictitious name which the corporation adopts for use in transacting business in this Commonwealth is:  
  
The corporation shall do business in Pennsylvania only under such fictitious name pursuant to the attached resolution of the board of directors under the applicable provisions of 15 Pa.C.S. (relating to corporations and unincorporated associations) and the attached form DSCB:54-311 (Application for Registration of Fictitious Name).
- The name of the jurisdiction under the laws of which the corporation is incorporated is: Illinois
- The address of its principal office under the laws of the jurisdiction in which it is incorporated is:  
222 N LASALLE ST STE 300, Chicago IL 60601  
Number and street City State Zip

2010 OCT 28 PM 2: 29  
PA. DEPT. OF STATE

2010 OCT 29 PM 8: 21  
PA. DEPT. OF STATE

6. The (a) address of this corporation's proposed registered office in this Commonwealth or (b) name of its commercial registered office provider and the county of venue is:

(a) Number and street	City	State	Zip	County
(b) Name of Commercial Registered Office Provider				
c/o: Corporate Creations Network, Inc.				ERIE

7. Check one of the following:

**Business Corporation:** The corporation is a corporation incorporated for a purpose or purposes involving pecuniary profit, incidental or otherwise.

**Nonprofit Corporation:** The corporation is a corporation incorporated for a purpose or purposes not involving pecuniary profit, incidental or otherwise.

IN TESTIMONY WHEREOF, the undersigned corporation has caused this Application for Certificate of Authority to be signed by a duly authorized officer thereof

On: 22 day of OCT, 2010.

x Alternative Utility Services Inc  
Name of Corporation

x Jack Kress  
Signature

x President  
Title

Attachment B  
Articles of Incorporation

**RECEIVED**

OCT 24 2013

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

File Number

5729-795-6



**To all to whom these Presents Shall Come, Greeting:**

*I, Jesse White, Secretary of State of the State of Illinois, do hereby certify that I am the keeper of the records of the Department of Business Services. I certify that*

THE FOREGOING AND HERETO ATTACHED IS A TRUE AND CORRECT COPY, CONSISTING OF 8 PAGES, AS TAKEN FROM THE ORIGINAL ON FILE IN THIS OFFICE FOR ALTERNATIVE UTILITY SERVICES, INC..\*\*\*\*\*



**In Testimony Whereof,** I hereto set  
*my hand and cause to be affixed the Great Seal of  
the State of Illinois, this 15TH  
day of JULY A.D. 2011*

*Jesse White*

Authentication #: 1119601465  
Authenticate at: <http://www.cyberdriveillinois.com>

SECRETARY OF STATE



**Whereas,** ARTICLES OF INCORPORATION OF  
ALTERNATIVE UTILITY SERVICES OF IL, INC.  
INCORPORATED UNDER THE LAWS OF THE STATE OF ILLINOIS HAVE BEEN  
FILED IN THE OFFICE OF THE SECRETARY OF STATE AS PROVIDED BY THE  
BUSINESS CORPORATION ACT OF ILLINOIS, IN FORCE JULY 1, A.D. 1984.

*Now Therefore, I, George H. Ryan, Secretary of State of the  
State of Illinois, by virtue of the powers vested in me by law, do  
hereby issue this certificate and attach hereto a copy of the  
Application of the aforesaid corporation.*

**In Testimony Whereof,** I hereto set my hand and cause to  
be affixed the Great Seal of the State of Illinois,  
at the City of Springfield, this 3RD  
day of MAY A.D. 1993 and  
of the Independence of the United States  
the two hundred and 17TH.



*George H. Ryan*  
SECRETARY OF STATE

PAID

MAY 3 1993

Form **BCA-2.10** | ARTICLES OF INCORPORATION

(Rev. Jan. 1991)

George H. Ryan  
Secretary of State  
Department of Business Services  
Springfield, IL 62758  
Telephone (217) 782-8861

**FILED**

MAY 3 1993

GEORGE H. RYAN  
SECRETARY OF STATE

SUBMIT IN DUPLICATE!

This space for use by  
Secretary of State

Date 5-3-93

Franchise Tax \$ 25.00

Filing Fee \$ 25.00

Approved: *[Signature]* \$100.00

Payment must be made by certified check, cashier's check, Illinois attorney's check, Illinois C.P.A.'s check or money order, payable to "Secretary of State."

1. CORPORATE NAME: Alternative Utility Services of IL, Inc.

(The corporate name must contain the word "corporation", "company," "incorporated," "limited" or an abbreviation thereof.)

2. Initial Registered Agent: Catherine McQueen  
First Name Middle Initial Last name

Initial Registered Office: 2699 Walters Ave  
Number Street Suite #  
Northbrook 60062 Cook  
City Zip Code County

3. Purpose or purposes for which the corporation is organized:  
(If not sufficient space to cover this point, add one or more sheets of this size.)

Provide wholesale utility services to companies and the transaction of any or all lawful business for which corporations can be incorporated under the IL Business Corporation Act. (4)

4. Paragraph 1: Authorized Shares, Issued Shares and Consideration Received:

Class	Par Value per Share	Number of Shares Authorized	Number of Shares Proposed to be Issued	Consideration to be Received Therefor
Common	\$ 0	15,000,000	6,550,000	\$ 1,000

Paragraph 2: The preferences, qualifications, limitations, restrictions and special or relative rights in respect of the shares of each class are:

(If not sufficient space to cover this point, add one or more sheets of this size.)

None

(over)

5. **OPTIONAL:** (a) Number of directors constituting the initial board of directors of the corporation: 0170  
 (b) Names and addresses of the persons who are to serve as directors until the first annual meeting of shareholders or until their successors are elected and qualify:

Name	Residential Address
<u>Catherine McQueen</u>	<u>730 Hinman Ave #2E EVANSTON IL 6020</u>

6. **OPTIONAL:** (a) It is estimated that the value of all property to be owned by the corporation for the following year wherever located will be: \$ \_\_\_\_\_  
 (b) It is estimated that the value of the property to be located within the State of Illinois during the following year will be: \$ \_\_\_\_\_  
 (c) It is estimated that the gross amount of business that will be transacted by the corporation during the following year will be: \$ \_\_\_\_\_  
 (d) It is estimated that the gross amount of business that will be transacted from places of business in the State of Illinois during the following year will be: \$ \_\_\_\_\_

7. **OPTIONAL: OTHER PROVISIONS**

Attach a separate sheet of this size for any other provision to be included in the Articles of Incorporation, e.g., authorizing preemptive rights, denying cumulative voting, regulating internal affairs, voting majority requirements, fixing a duration other than perpetual, etc.

8. **NAME(S) & ADDRESS(ES) OF INCORPORATOR(S)**

The undersigned Incorporator(s) hereby declare(s), under penalties of perjury, that the statements made in the foregoing Articles of Incorporation are true.

Dated April 12, 1993.

Signature and Name
<u>Catherine McQueen</u> Signature <u>Catherine McQueen</u> (Type or Print Name)
2. _____ Signature (Type or Print Name)
3. _____ Signature (Type or Print Name)

Address
1. <u>730 Hinman Ave #2E</u> Street <u>EVANSTON IL 60202</u> City/Town State Zip Code
2. _____ Street City/Town State Zip Code
3. _____ Street City/Town State Zip Code

(Signatures must be in ink on original document. Carbon copy, photocopy or rubber stamp signatures may only be used on conformed copies.)  
 NOTE: If a corporation acts as Incorporator, the name of the corporation and the state of incorporation shall be shown and the execution shall be by its President or Vice President and verified by him, and attested by its Secretary or Assistant Secretary.

**FEE SCHEDULE**

- The initial franchise tax is assessed at the rate of 15/100 of 1 percent (\$1.50 per \$1,000) on the paid-in capital represented in this state, with a minimum of \$25.
- The filing fee is \$75.
- The minimum total due (franchise tax + filing fee) is \$100.  
(Applies when the Consideration to be Received as set forth in Item 4 does not exceed \$16,667)
- The Department of Business Services in Springfield will provide assistance in calculating the total fees if necessary.

Illinois Secretary of State  
 Department of Business Services

Springfield, IL 62756  
 Telephone (217) 782-9522  
 782-8523

Form **BCA-10.30**

**ARTICLES OF AMENDMENT**



CP0847113

(Rev. Jan. 1999)

File # 57097956

Jesse White  
Secretary of State  
Department of Business Services  
Springfield, IL 62756  
Telephone (217) 782-1832

**SUBMIT IN DUPLICATE**

**FILED**

FEB 6 - 2003

JESSE WHITE  
SECRETARY OF STATE

This space for use by  
Secretary of State

Date 2-6-03  
Franchise Tax \$  
Filing Fee\* \$25.00  
Penalty WJ \$  
Approved: WJ

Remit payment in check or money order, payable to "Secretary of State."

The filing fee for restated articles of amendment - \$100.00

<http://www.sos.state.il.us>

1. CORPORATE NAME: Alternative Utility Services of Illinois, Inc. (Note 1)

2. MANNER OF ADOPTION OF AMENDMENT:

The following amendment of the Articles of Incorporation was adopted on January 23, 2003 in the manner indicated below. ("X" one box only)  
(Month & Day)  
(Year)

By a majority of the incorporators, provided no directors were named in the articles of incorporation and no directors have been elected; (Note 2)

By a majority of the board of directors, in accordance with Section 10.10, the corporation having issued no shares as of the time of adoption of this amendment; (Note 2)

By a majority of the board of directors, in accordance with Section 10.15, shares having been issued but shareholder action not being required for the adoption of the amendment; (Note 3)

By the shareholders, in accordance with Section 10.20, a resolution of the board of directors having been duly adopted and submitted to the shareholders. At a meeting of shareholders, not less than the minimum number of votes required by statute and by the articles of incorporation were voted in favor of the amendment; (Note 4)

By the shareholders, in accordance with Sections 10.20 and 7.10, a resolution of the board of directors having been duly adopted and submitted to the shareholders. A consent in writing has been signed by shareholders having not less than the minimum number of votes required by statute and by the articles of incorporation. Shareholders who have not consented in writing have been given notice in accordance with Section 7.10; (Notes 4 & 5)

By the shareholders, in accordance with Sections 10.20 and 7.10, a resolution of the board of directors having been duly adopted and submitted to the shareholders. A consent in writing has been signed by all the shareholders entitled to vote on this amendment. (Note 5)

3. TEXT OF AMENDMENT:

a. When amendment effects a name change, insert the new corporate name below. Use Page 2 for all other amendments.

Article I: The name of the corporation is:

Alternative Utility Services, Inc.

(NEW NAME)

**P A I D**  
FEB 07 2003

DEPARTMENT OF  
BUSINESS SERVICES

All changes other than name, include on page 2 (over)

**Text of Amendment**

- b. *(If amendment affects the corporate purpose, the amended purpose is required to be set forth in its entirety. If there is not sufficient space to do so, add one or more sheets of this size.)*

**No Change.**

4. The manner, if not set forth in Article 3b, in which any exchange, reclassification or cancellation of issued shares, or a reduction of the number of authorized shares of any class below the number of issued shares of that class, provided for or effected by this amendment, is as follows: (If not applicable, insert "No change")

No Change.

5. (a) The manner, if not set forth in Article 3b, in which said amendment effects a change in the amount of paid-in capital (Paid-in capital replaces the terms Stated Capital and Paid-in Surplus and is equal to the total of these accounts) is as follows: (If not applicable, insert "No change")

No Change.

- (b) The amount of paid-in capital (Paid-in Capital replaces the terms Stated Capital and Paid-in Surplus and is equal to the total of these accounts) as changed by this amendment is as follows: (If not applicable, insert "No change")

	Before Amendment	After Amendment
Paid-in Capital	\$ _____	\$ _____

(Complete either Item 6 or 7 below. All signatures must be in **BLACK INK.**)

6. The undersigned corporation has caused this statement to be signed by its duly authorized officers, each of whom affirms, under penalties of perjury, that the facts stated herein are true.

Dated JAN-25th, 2003  
(Month & Day) (Year)

Attested by *Catherine McQueen*  
(Signature of Secretary or Assistant Secretary)  
Catherine McQueen, Secretary  
(Type or Print Name and Title)

Alternative Utility Services of IL, Inc.

(Exact Name of Corporation at date of execution)

by *Fritz A. Kreiss*  
(Signature of President or Vice President)  
Fritz A. Kreiss, President  
(Type or Print Name and Title)

7. If amendment is authorized pursuant to Section 10.10 by the incorporators, the incorporators must sign below, and type or print name and title.

OR

If amendment is authorized by the directors pursuant to Section 10.10 and there are no officers, then a majority of the directors or such directors as may be designated by the board, must sign below, and type or print name and title.

The undersigned affirms, under the penalties of perjury, that the facts stated herein are true.

Dated \_\_\_\_\_, \_\_\_\_\_  
(Month & Day) (Year)

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

FORM BCA 5.10/5.20 (rev. Dec. 2003)  
**STATEMENT OF CHANGE OF  
 REGISTERED AGENT AND/OR  
 REGISTERED OFFICE**  
 Business Corporation Act

Jesse White, Secretary of State  
 Department of Business Services  
 Springfield, IL 62756  
 Telephone (217) 782-3847  
 www.cyberdriveillinois.com

Remit payment in the form of a  
 check or money order payable  
 to the Secretary of State.

Filed: 10/14/2004  
 Jesse White Secretary of State

File # D 5729-795-6 Filing Fee: \$25.00 Approved: **EM**  
 Submit in duplicate Type or Print clearly in black ink Do not write above this line

1. CORPORATE NAME: Alternative Utility Services, Inc.



2. STATE OR COUNTRY OF INCORPORATION: Illinois

3. Name and address of the registered agent and registered office as they appear on the records of the office of the Secretary of State (before change):

Registered Agent	<u>Fritz A. Kreiss</u>		
	<i>First Name</i>	<i>Middle Name</i>	<i>Last Name</i>
Registered Office	<u>2699 Walters Avenue</u>		
	<i>Number</i>	<i>Street</i>	<i>Suite No. (A P.O. Box alone is not acceptable)</i>
	<u>Northbrook, IL</u>	<u>60062</u>	<u>Cook</u>
	<i>City</i>	<i>ZIP Code</i>	<i>County</i>

4. Name and address of the registered agent and registered office shall be (after all changes herein reported):

Registered Agent	<u>G. William Hubbard II</u>		
	<i>First Name</i>	<i>Middle Name</i>	<i>Last Name</i>
Registered Office	<u>222 North LaSalle Street - Suite 300</u>		
	<i>Number</i>	<i>Street</i>	<i>Suite No. (A P.O. Box alone is not acceptable)</i>
	<u>Chicago, IL</u>	<u>60601</u>	<u>Cook</u>
	<i>City</i>	<i>ZIP Code</i>	<i>County</i>

5. The address of the registered office and the address of the business office of the registered agent, as changed, will be identical.

6. The above change was authorized by: ("X" one box only)

- a.  By resolution duly adopted by the board of directors. (Note 5)
- b.  By action of the registered agent. (Note 6)

**SEE REVERSE SIDE FOR SIGNATURE(S).**

7. (If authorized by the board of directors, sign here. See Note 5)

The undersigned corporation has caused this statement to be signed by a duly authorized officer who affirms, under penalties of perjury, that the facts stated herein are true.

Dated 10-6, 2004 Alternative Utility Services, Inc.  
(Month & Day) (Year) (Exact Name of Corporation)  
[Signature]  
(Any Authorized Officer's Signature)  
FRID A KREISS, President  
(Type or Print Name and Title)

(If change of registered office by registered agent, sign here. See Note 6)

The undersigned, under penalties of perjury, affirms that the facts stated herein are true.

Dated \_\_\_\_\_, \_\_\_\_\_  
(Month & Day) (Year) (Signature of Registered Agent of Record)

(Type or print name. If the registered agent is a corporation, type or print the name and title of the officer who is signing on its behalf.)

#### NOTES

1. The registered office may, but need not be the same as the principal office of the corporation. However, the registered office and the office address of the registered agent must be the same.
2. The registered office must include a street or road address; a post office box number alone is not acceptable.
3. A corporation cannot act as its own registered agent.
4. If the registered office is changed from one county to another, then the corporation must file with the recorder of deeds of the new county a certified copy of the articles of incorporation and a certified copy of the statement of change of registered office. Such certified copies may be obtained ONLY from the Secretary of State.
5. Any change of registered agent must be by resolution adopted by the board of directors. This statement must then be signed by a duly authorized officer.
6. The registered agent may report a change of the registered office of the corporation for which he or she is registered agent. When the agent reports such a change, this statement must be signed by the registered agent. If a corporation is acting as the registered agent, a duly authorized officer of such corporation must sign this statement.

FORM **BCA 10.30** (rev. Dec. 2003)  
**ARTICLES OF AMENDMENT**  
Business Corporation Act

Secretary of State  
Department of Business Services  
Springfield, IL 62756  
217-782-1832  
www.cyberdriveillinois.com

Remit payment in the form of a  
check or money order payable  
to Secretary of State.

File # 57997956 Filing Fee: \$50 Approved: \_\_\_\_\_

----- Submit in duplicate ----- Type or Print clearly in black ink ----- Do not write above this line -----

1. Corporate Name (See Note 1 on page 4.): Alternative Utility Services, Inc.

2. Manner of Adoption of Amendment:

The following amendment to the Articles of Incorporation was adopted on x August 23rd, 2012  
in the manner indicated below: Month & Day Year

Mark an "X" in one box only.

- By a majority of the incorporators, provided no directors were named in the Articles of Incorporation and no directors have been elected. (See Note 2 on page 4.)
- By a majority of the board of directors, in accordance with Section 10.10, the Corporation having issued no shares as of the time of adoption of this amendment. (See Note 2 on page 4.)
- By a majority of the board of directors, in accordance with Section 10.15, shares having been issued but shareholder action not being required for the adoption of the amendment. (See Note 3 on page 4.)
- By the shareholders, in accordance with Section 10.20, a resolution of the board of directors having been duly adopted and submitted to the shareholders. At a meeting of shareholders, not less than the minimum number of votes required by statute and by the Articles of Incorporation were voted in favor of the amendment. (See Note 4 on page 4.)
- By the shareholders, in accordance with Sections 10.20 and 7.10, a resolution of the board of directors having been duly adopted and submitted to the shareholders. A consent in writing has been signed by shareholders having not less than the minimum number of votes required by statute and by the Articles of Incorporation. Shareholders who have not consented in writing have been given notice in accordance with Section 7.10. (See Notes 4 and 5 on page 4.)
- By the shareholders, in accordance with Section 10.20, a resolution of the board of directors having been duly adopted and submitted to the shareholders. A consent in writing has been signed by all the shareholders entitled to vote on this amendment. (See Note 5 on page 4.)

3. Text of Amendment:

a. When amendment effects a name change, insert the New Corporate Name below. Use page 2 for all other amendments.

Article I: Name of the Corporation: \_\_\_\_\_  
New Name

(All changes other than name include on page 2.)

**Text of Amendment**

b. If amendment affects the corporate purpose, the amended purpose is required to be set forth in its entirety.  
**For more space, attach additional sheets of this size.**

Article 4 of the Article of Incorporation is hereby deleted and substituted therefore is the following:

**4. Paragraph 1: Authorized Shares, issued Shares and Consideration Received:**

Class	Par Value per Share	Number of Shares Authorized	Number of Shares Proposed to be Issued	Consideration to be Received Therefor
Common	0	1500	285.5 ? 184.5	\$1,000

Paragraph 2: The preferences, qualifications, limitations restrictions and special or relative rights in respect of the shares of each class are: NONE

4. The manner, if not set forth in Article 3b, in which any exchange, reclassification or cancellation of issued shares, or a reduction of the number of authorized shares of any class below the number of issued shares of that class, provided for or effected by this amendment, is as follows (if not applicable, insert "No change"):  
 As set forth in 3(b) above.

5. a. The manner, if not set forth in Article 3b, in which said amendment effects a change in the amount of paid-in capital is as follows (if not applicable, insert "No change"):  
 (Paid-in capital replaces the terms Stated Capital and Paid-in Surplus and is equal to the total of these accounts.)  
 No Change.

b. The amount of paid-in capital as changed by this amendment is as follows (if not applicable, insert "No change"):  
 (Paid-in Capital replaces the terms Stated Capital and Paid-in Surplus and is equal to the total of these accounts.)  
 (See Note 6 on page 4.) *No CHANGE*

	Before Amendment	After Amendment
Paid-in Capital:	\$ _____	\$ _____

**Complete either Item 6 or Item 7 below. All signatures must be in BLACK INK.**

6. The undersigned Corporation has caused this statement to be signed by a duly authorized officer who affirms, under penalties of perjury, that the facts stated herein are true and correct.

Dated August 23rd, 2012 Alternative Utility Services, Inc.  
Month & Day, Year Exact Name of Corporation  
*Fritz A. Kriess*  
Any Authorized Officer's Signature  
Fritz A. Kriess, President  
Name and Title (type or print)

7. If amendment is authorized pursuant to Section 10.10 by the incorporators, the incorporators must sign below, and type or print name and title.

OR

If amendment is authorized by the directors pursuant to Section 10.10 and there are no officers, a majority of the directors, or such directors as may be designated by the board, must sign below, and type or print name and title.

The undersigned affirms, under penalties of perjury, that the facts stated herein are true and correct.

Dated \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
Month & Day, Year  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**Form BCA-14.30**

(Rev. Jan. 2003)

Secretary of State  
 Department of Business Services  
 501 S. Second St., Rm. 350  
 Springfield, IL 62758  
 217-782-9522, 217-782-6961  
 www.cyberdrivellinois.com

**Cumulative Report of Changes in Issued Shares and Paid-In Capital**

(Please type or print legibly in BLACK INK)

File #:

**DO NOT SEND CASH**

Date:  
 License Fee: \$  
 Franchise Tax: \$  
 Filing Fee: \$ 5  
 Penalty: \$  
 Interest: \$  
 Approved:

1. Corporate Name: Alternative Utility Services, Inc.
2. State or Country of Incorporation: Illinois
3. Authorized and Issued Shares as last reported (In any document other than an annual report.):

Class	Series	Par Value	Number Authorized	Number Issued
Common	N/A	None	15,000,000	2,855,000

4. Paid-in Capital as last reported (In any document other than an annual report.): \$ 36,649.00

5. Current Reporting Period Transactions (See Note 1 on back.):

- List the total issuances and exchanges of shares **by class** not previously reported to the Secretary of State. Also, give the value of the entire consideration received (less expenses paid or incurred in connection with such issuances) and added or transferred to paid-in capital for or on account of such shares.
- List the total amount added or transferred to paid-in capital without the issuance of shares (contributions).
- List the total of all cancellations of shares **by class** not previously reported to the Secretary of State and the cost to paid-in capital for acquiring such shares.
- List the total amount subtracted from paid-in capital without a cancellation of shares, but as permitted by Section 9.20 of the Illinois Business Corporation Act (reductions).

Issuance or Contributions:	Class of Shares	Series	Par Value	Number of Shares	Consideration Received/Cost
	None				\$
					\$
Cancellations	Common	----	NPV	2,854,714.50	\$ 0
Cancellations or Reductions:	Cancellations Due to <u>Share for</u>				\$ ( )
	<u>share conversion into lesser shares</u>				\$ ( ---- )
	(State reason for reduction if no shares were cancelled. See Note 6 on back.)				\$ ( )
Cumulative Change (Enter on line 6a below. See Note 2 on back.):					\$ 36,649.00

6. Franchise Tax and Fees (No additional franchise tax is due when cumulative change is negative amount.):

a. Cumulative Change .....	a.	\$0.00
b. Applicable Allocation Factor (See Note 3 on back.) .....	b.	N/A
c. Taxable Illinois Capital (Multiply line a by line b.) .....	c.	
d. Multiply line c by .0015 (Round to nearest cent.) .....	d.	
e. Additional Franchise Tax (Enter amount from line d.) .....	e.	\$0.00
f. If Cumulative Report is late, multiply line e by .10 (penalty) .....	f.	
g. If Additional Franchise Tax is late, multiply line e by .02 for each month late or part thereof (interest) (minimum \$1) .....	g.	
<b>h. FILING FEE (\$5)</b> .....	<b>h.</b>	<b>5.00</b>
i. Total Amount Due (Add line e + line f + line g + line h.) .....	<b>i.</b>	<b>\$5.00</b>

**COMPLETE BOTH SIDES OF THIS REPORT.**

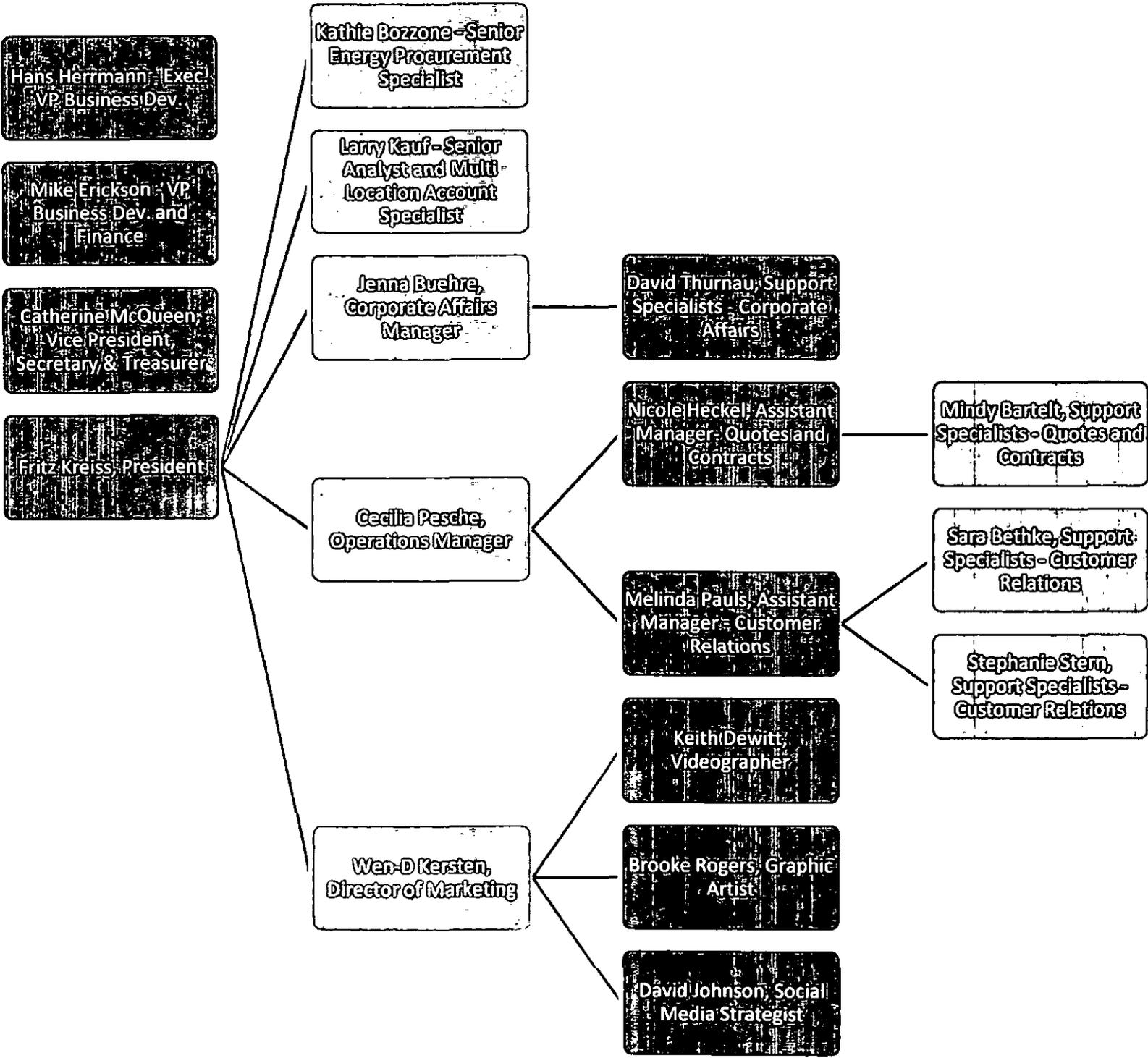


**RECEIVED**

**OCT 24 2013**

**PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU**

**Attachment D**  
**Organizational Structure**



**RECEIVED**

OCT 24 2013

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

**Attachment F**  
**Evidence of Credit Rating**

ATTN: Kathleen Bozzone

Report Printed: June 20, 2011

## Live Report : ALTERNATIVE UTILITY SERVICES, INC

D-U-N-S® Number: 94-571-2040

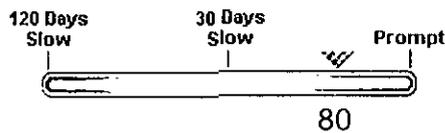
Trade Names: No trade names for this company.

<b>D&amp;B Address</b>		<b>Address</b> 750 Veterans Pkwy Ste 104 Lake Geneva, WI - 53147	<b>Location Type</b> Single Location
	<b>Phone</b> 262 248-0930		<b>Web</b> www.ausenergy.com
	<b>Fax</b>		

### Company Summary

#### Trade Payments - Timeliness of Historical Payments

When weighted by amount, Payments to suppliers average generally within terms



This assessment is based on D&Bs 12-month PAYDEX® Score

#### Predictive Indicators - Risk of Financial Stress

Low To Moderate risk of severe financial stress over the next 12 months.



This assessment is based on D&Bs Financial Stress Score

#### History & Operations

This is a single location

**Mailing Address** PO Box 250  
Lake Geneva, WI 53147

**Chief Executive** FRITZ KREISS, PRESIDENT

**Year Started** 1993

**Employees** 9

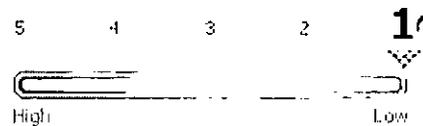
**SIC** 4922, 4939

**Line of business** Natural gas transmission, combination utilities

**NAICS** 486210

**History Status** CLEAR

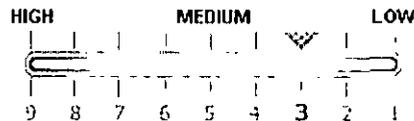
#### Predictive Indicators - Risk of Payment Delinquency



This assessment is based on D&Bs Commercial Credit Score.

#### Predictive Indicators - Supplier Evaluation Risk

Moderate risk of supplier experiencing severe financial stress over the next 12 months.



This assessment is based on D&Bs Supplier Evaluation Risk Rating

#### Predictive Indicators - Credit Capacity

D&B RATING : 2R2

Number of employees: 2R indicates 1 to 9 employees

Composite credit appraisal: 2 is good

This assessment is based on D&Bs D&B Rating.

**Public Filings**

The following data includes both open and closed filings found in D&B's database on this company.

Record Type	Number of Records	Most Recent Filing Date
Bankruptcies	0	-
Judgments	0	-
Liens	0	-
Suits	0	-
UCCs	0	-

The public record items contained herein may have been paid, terminated, vacated or released prior to today's date.

**Predictive Indicators**

Currency: Shown in USD unless otherwise indicated

**Credit Capacity Summary**

This credit rating was assigned because of D&B's assessment of the company's creditworthiness. For more information, see the D&B Rating Key

**D&B Rating :** 2R2                      **Number of employees:** 2R indicates 1 to 9 employees  
**Composite credit appraisal:** 2 is good

The 1R and 2R ratings categories reflect company size based on the total number of employees for the business. They are assigned to business files that do not contain a current financial statement. In 1R and 2R Ratings, the 2, 3, or 4 creditworthiness indicator is based on analysis by D&B of public filings, trade payments, business age and other important factors. 2 is the highest Composite Credit Appraisal a company not supplying D&B with current financial information can receive.

Below is an overview of the company's rating history since 07-02-1996

D&B Rating	Date Applied	Number of Employees
2R2	12-02-2008	9
--	07-02-1996	Total:

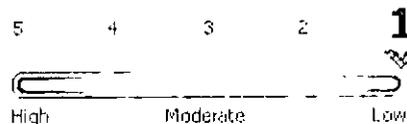
**Payment Activity:** (based on 11 experiences)

Average High Credit:	535
Highest Credit:	2,500
Total Highest Credit:	3,750

**D&B Credit Limit Recommendation**

Conservative credit Limit: 10,000  
 Aggressive credit Limit: 25,000

Risk category for this business : **LOW**



This recommended Credit Limit is based on the company profile and on profiles of other companies with similarities in size, industry, and credit usage.

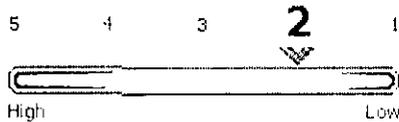
Risk is assessed using D&Bs scoring methodology and is one factor used to create the recommended limits. See Help for details.

## Financial Stress Class Summary

The Financial Stress Score predicts the likelihood of a firm ceasing business without paying all creditors in full, or reorganization or obtaining relief from creditors under state/federal law over the next 12 months. Scores were calculated using a statistically valid model derived from D&Bs extensive data files.

The Financial Stress Class of 2 for this company shows that firms with this class had a failure rate of 0.09% (9 per 10,000), which is lower than the average of businesses in D & B's database

### Financial Stress Class :



Moderate risk of severe financial stress, such as a bankruptcy, over the next 12 months.

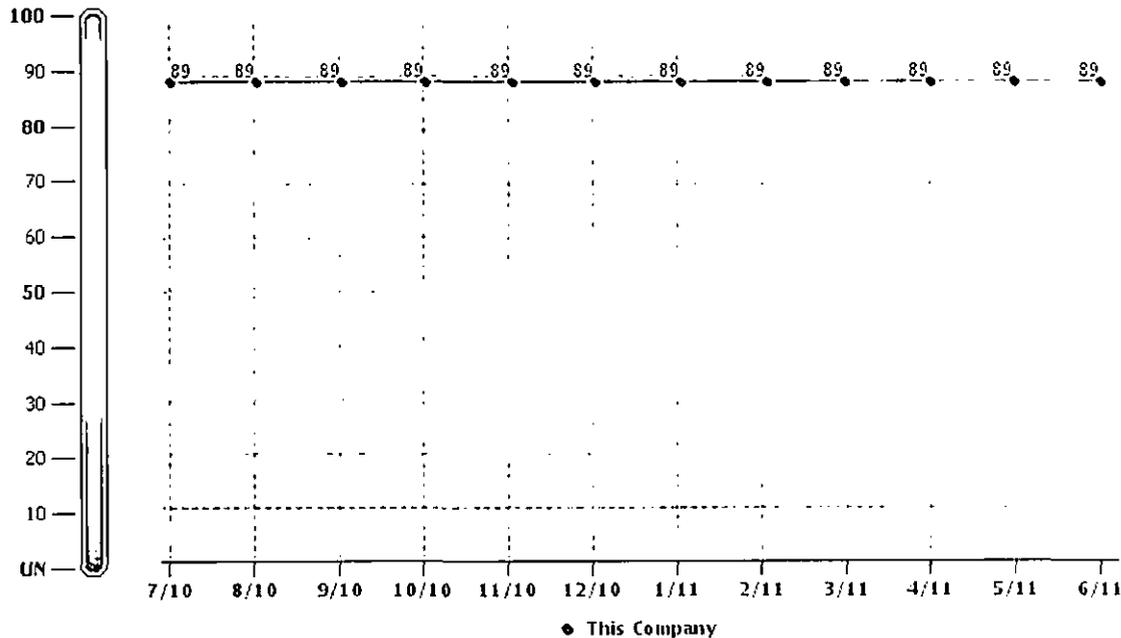
### Probability of Failure:

- Among Businesses with this Class: **0.09 %** (9 per 10,000)
- Financial Stress National Percentile : **89** (Highest Risk: 1; Lowest Risk: 100)
- Financial Stress Score :&nbsp; **1550** (Highest Risk: 1,001; Lowest Risk: 1,875)
- Average of Businesses in D&Bs database: **0.48 %** ( 48 per 10,000)

The Financial Stress Class of this business is based on the following factors:

- Higher risk industry based on failure rates by industry.
- Higher risk state based on failure rates by state.

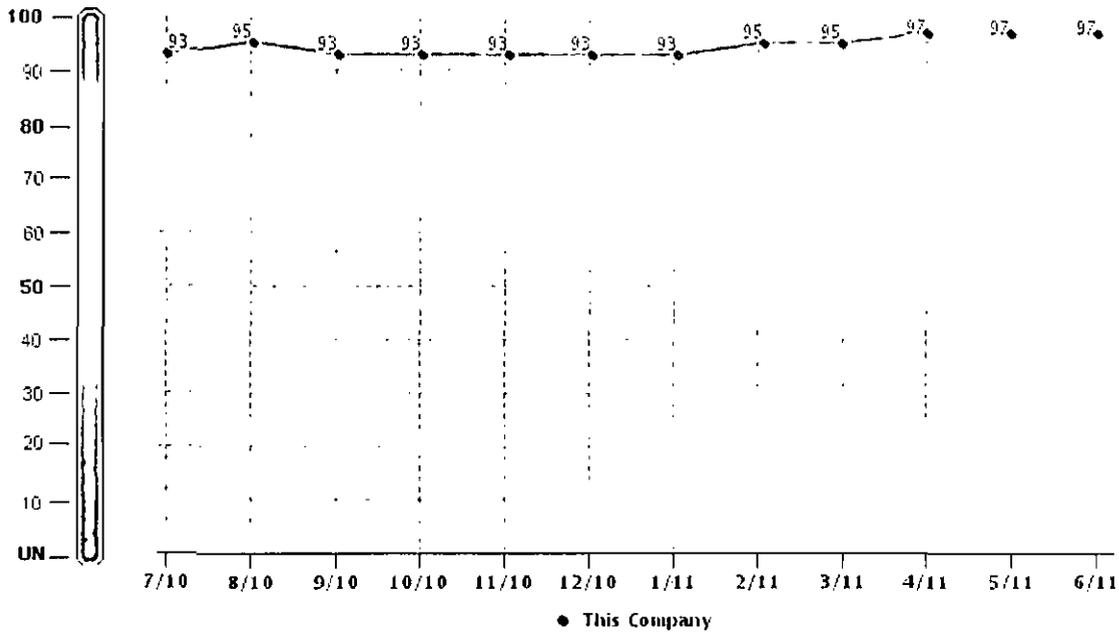
### Financial Stress Percentile Trend:



### Notes:

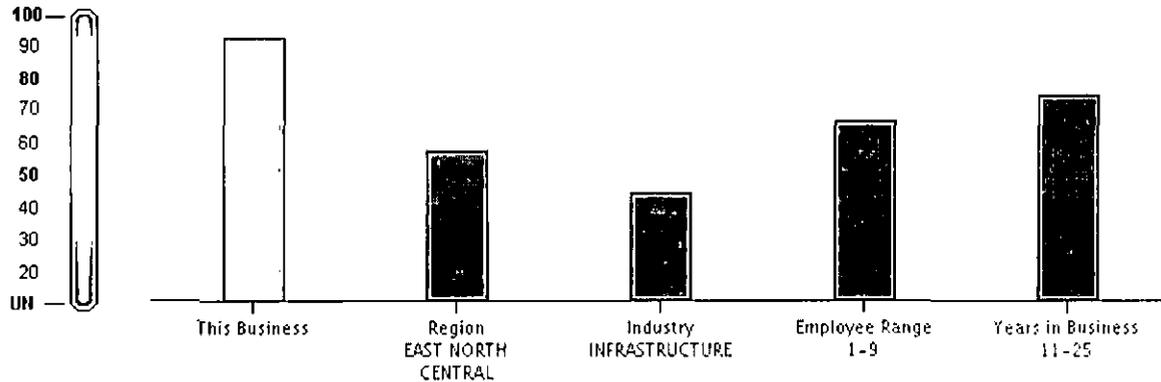
- The Financial Stress Class indicates that this firm shares some of the same business and financial characteristics of other companies with this classification. It does not mean the firm will necessarily experience financial stress.
- The Probability of Failure shows the percentage of firms in a given Class that discontinued operations over the past year with loss to creditors. The Probability of Failure - National Average represents the national failure rate and is provided for comparative purposes.
- The Financial Stress National Percentile reflects the relative ranking of a company among all scorable companies in D&Bs file.
- The Financial Stress Score offers a more precise measure of the level of risk than the Class and Percentile. It is especially helpful to customers using a scorecard approach to determining overall business performance.





**Notes:**

- The Commercial Credit Score Risk Class indicates that this firm shares some of the same business and financial characteristics of other companies with this classification. It does not mean the firm will necessarily experience severe delinquency.
- The incidence of delinquency shows the percentage of firms in a given percentile that are likely to pay creditors in a severely delinquent manner. The average incidence of delinquency is based on businesses in D&B's database and is provided for comparative purposes.
- The Commercial Credit Score percentile reflects the relative ranking of a firm among all scorable companies in D&B's file.
- The Commercial Credit Score offers a more precise measure of the level of risk than the Risk Class and Percentile. It is especially helpful to customers using a scorecard approach to determining overall business performance.



Norms	National %
This Business	97
Region: EAST NORTH CENTRAL	55
Industry: INFRASTRUCTURE	40
Employee range: 1-9	66
Years in Business: 11-25	76

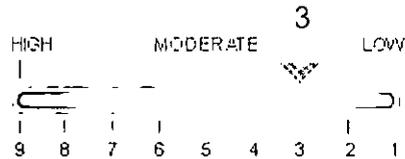
This business has a Credit Score Percentile that shows:

- Lower risk than other companies in the same region.
- Lower risk than other companies in the same industry.
- Lower risk than other companies in the same employee size range.
- Lower risk than other companies with a comparable number of years in business.

**Predictive Indicators - Supplier Evaluation Risk**

**Rating**

**Supplier Evaluation Risk Rating: 3**



- Average Payments are on terms.
- Average Industry Payments are 2 day(s) beyond terms.
- Under present management control 18 years.

**Trade Payments**

**Currency:** Shown in USD unless otherwise indicated

**Payment Summary**

There are 11 payment experience(s) in D&Bs file for the most recent 24 months, with 6 experience(s) reported during the last three month period.

The highest **Now Owes** on file is 500 . The highest **Past Due** on file is 0

Below is an overview of the companys currency-weighted payments, segmented by its suppliers primary industries:

	Total Revd (#)	Total Amts	Largest High Credit	Within Terms (%)	Days Slow <31 31-60 61-90 90> (%) (%) (%) (%)
<b>Top Industries</b>					
Nonclassified	2	2,550	2,500	100	0 0 0 0
Insurance agent	2	50	50	100	0 0 0 0
Radiotelephone commun	1	750	750	100	0 0 0 0
Personal credit	1	250	250	100	0 0 0 0
Natnl commercial bank	1	100	100	100	0 0 0 0
Whol electrical equip	1	50	50	100	0 0 0 0
<b>Other payment categories</b>					
Cash experiences	3	0	0		
Payment record unknown	0	0	0		
Unfavorable comments	0	0	0		
<b>Placed for collections:</b>					
With D&B	0	0	0		
Other	0	N/A	0		
Total in D&Bs file	11	3,750	2,500		

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

Indications of slowness can be result of dispute over merchandise, skipped invoices etc.

**Detailed payment history for this company**

**Date**

**Selling Last Sale**

Reported (mm/yy)	Paying Record	High Credit	Now Owes	Past Due	Terms	Within (month)
05/11	Ppt	250	0	0		4-5 mos
	Ppt	50	0	0		4-5 mos
	Ppt	0	0	0		6-12 mos
04/11	Ppt	2,500	500	0		1 mo
	Ppt	750	0	0		1 mo
	Ppt	50	0	0	N30	1 mo
11/10	(007)	0	0	0	Cash account	6-12 mos
06/10	Ppt	100	100	0		1 mo
05/10	Ppt	50	0	0		
04/10	(010) Cash own option .	0	0	0		6-12 mos
11/09	(011) Cash own option .	0	0	0		6-12 mos

Payments Detail Key:  30 or more days beyond terms

Payment experiences reflect how bills are paid 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.

## Public Filings

Currency: Shown in USD unless otherwise indicated <sup>[7]</sup>

### Summary

A check of D&B's public records database indicates that no filings were found for ALTERNATIVE UTILITY SERVICES, INC at 750 Veterans Pkwy Ste 104 , Lake Geneva WI .

D&B's extensive database of public record information is updated daily to ensure timely reporting of changes and additions. It includes business-related suits, liens, judgments, bankruptcies, UCC financing statements and business registrations from every state and the District of Columbia, as well as select filing types from Puerto Rico and the U.S. Virgin Islands.

D&B collects public records through a combination of court reporters, third parties and direct electronic links with federal and local authorities. Its database of U.S. business-related filings is now the largest of its kind.

### Government Activity

#### Activity summary

Borrower (Dir/Guar)	NO
Administrative Debt	NO
Contractor	NO
Grantee	NO
Party excluded from federal program(s)	NO

#### Possible candidate for socio-economic program consideration

Labour Surplus Area	N/A
Small Business	YES (2011)
8(A) firm	N/A

The details provided in the Government Activity section are as reported to Dun & Bradstreet by the federal government and other sources.

## History & Operations

Currency: Shown in USD unless otherwise indicated

### Company Overview

**Company Name:** ALTERNATIVE UTILITY SERVICES, INC  
**Street Address:** 750 Veterans Pkwy Ste 104  
Lake Geneva, WI 53147  
**Mailing Address:** PO Box 250  
Lake Geneva WI 53147  
**Phone:** 262 248-0930  
**URL:** <http://www.ausenergy.com>  
**History:** Is clear  
**Present management control:** 18 years

### SIC & NAICS

#### SIC:

Based on information in our file, D&B has assigned this company an extended 8-digit SIC. D&B's use of 8-digit SICs enables us to be more specific about a company's operations than if we use the standard 4-digit code.

The 4-digit SIC numbers link to the description on the Occupational Safety & Health Administration (OSHA) Web site. Links open in a new browser window.

4922 0000 Natural gas transmission

4939 0000 Combination utilities, nec

#### NAICS:

486210 Pipeline Transportation of Natural Gas

221119 Other Electric Power Generation

## Financials

Currency: Shown in USD unless otherwise indicated

### Key Business Ratios

D & B has been unable to obtain sufficient financial information from this company to calculate business ratios. Our check of additional outside sources also found no information available on its financial performance.

To help you in this instance, ratios for other firms in the same industry are provided below to support your analysis of this business.

Based on this Number of Establishments

25

#### Industry Norms Based On 25 Establishments

	This Business	Industry Median	Industry Quartile
<b>Profitability</b>			
Return on Sales	UN	20.0	UN
Return on Net Worth	UN	12.7	UN
<b>Short-Term Solvency</b>			
Current Ratio	UN	0.8	UN
Quick Ratio	UN	0.5	UN
<b>Efficiency</b>			
Assets/Sales (%)	UN	352.9	UN
Sales / Net Working Capital	UN	16.1	UN
<b>Utilization</b>			
Total Liabilities / Net Worth (%)	UN	126.2	UN

UN = Unavailable

This information may not be reproduced in whole or in part by any means of reproduction.

---

© 2005-2011 Dun & Bradstreet, Inc.

**RECEIVED**

**OCT 24 2013**

**PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU**

**Attachment G**

**Description of Insurance Carried**

PROFESSIONAL LIABILITY

\$1,000,000 errors and omissions/malpractice per occurrence

WORKERS COMPENSATION AND EMPLOYERS' LIABILITY

\$2,000,000 Employer's Liability;

GENERAL LIABILITY

\$1,000,000 per occurrence

\$3,000,000 general aggregate

MOTOR VEHICLE LIABILITY INSURANCE

\$1,000,000 Hired/Leased Vehicles

\$1,000,000 Non-Owned Vehicles

**RECEIVED**

OCT 24 2013

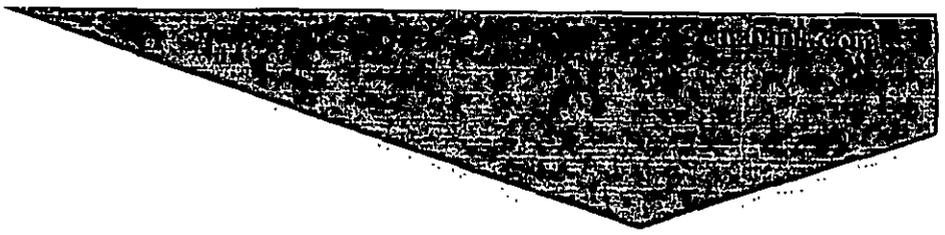
PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

Attachment H

Bank Reference



Delavan Office  
1121 E Geneva St  
Delavan, WI 53115



March 3, 2011

To whom it may concern:

Please be advised that Us Bank has a business relationship with Alternative Utility Services Inc. This relationship began back in June 2000.

The relationship includes a checking account that averages well over a five figure balance. Alternative Utility Services Inc. does not have any current debt with us, but has access to a Line of Credit in the amount of \$50,000. Any past debt has always been paid as agreed.

If you have any further questions or concerns, please feel free to contact me at 262-740-4001.

Sincerely,

Teri L. Deschner  
Manager



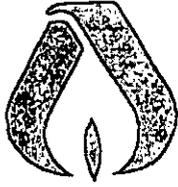
**RECEIVED**

OCT 24 2013

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

## Attachment I

# Compliance with NGDC Bonding Requirements



# VALLEY ENERGY

523 S. Keystone Avenue, P.O. Box 340, Sayre, PA 18840  
800/998-4427 • 570/888-9664 • FAX 570/888-6199

September 17, 2013

Mr. David Thurnau  
Alternative Utility Services, Inc.  
750 Veterans Pkwy, Suite 104  
Lake Geneva, WI 53147

Dear Mr. Thurnau:

We understand that Alternative Utility Services, Inc. has applied with the Pennsylvania Public Utility Commission to supply natural gas services to the public in Pennsylvania including our company's service area.

Because Alternative Utility Services, Inc. intends to only provide natural gas aggregating, brokering and consulting services at this time, we have determined that Alternative Utility Services, Inc. will not be required to post a bond or other form of financial security instrument to provide these services in our service area. However, if the services provided or failure to meet our requirements for credit worthiness changes in the future, we reserve the right to require security from Alternative Utility Services, Inc. as deemed appropriate.

If you have any questions, please contact Mrs. Marjorie Johnston at 570-888-9664.

Sincerely,

Robert J. Crocker  
President & CEO

RJC/ss

cc: M. Johnston, Valley Energy



UGI Utilities, Inc.  
2525 North 12th Street  
Suite 350  
Post Office Box 12677  
Reading, PA 19612-2677  
(610) 796-3400 Telephone

October 10, 2013

David Thurnau  
Alternative Utility Services, Inc.  
750 Veterans Pkwy, Suite 104  
Lake Geneva, WI 53147

RE Alternative Utility Services, Inc. application to serve as a broker/marketer

Dear Mr. Thurnau,

Based on your assertion that Alternative Utility Services, Inc. ("Alternative Utility Services"), is applying with the State of Pennsylvania to operate as a natural gas broker/marketer, UGI Utilities Inc. ("UGIU") has concluded that Alternative Utility Services will not need to post security with UGI-Central Penn Gas ("CPG"), UGI-Penn Natural Gas ("PNG") or UGI Utilities Gas Division ("UGI"). This is based on the declaration that Alternative Utility Services will not be taking title to gas or directly serving end use customers. This also assumes that Alternative Utility Services will be acting on the behalf of a licensed Natural Gas Supplier who has been approved by the Pennsylvania Public Utility Commission to serve in the applicable UGIU service territories and who has posted the required financial security as specified in the respective UGI tariffs. If Alternative Utility Services wishes to directly serve Choice customers in the service territories of UGI, PNG and/or CPG in the future as a natural gas supplier, it will have to post security as specified in the respective UGI tariffs prior to the commencement of the service.

Please feel free to contact me with any additional questions that you may have.

Sincerely,

A handwritten signature in black ink, appearing to read "David E. Lahoff". The signature is written in a cursive style with some loops and flourishes.

David E. Lahoff  
Manager, Rates  
UGI Utilities, Inc.

# Philadelphia Gas Works



Raymond M. Snyder – Vice President, Gas Management  
800 W. Montgomery Avenue, Philadelphia, PA 19122  
Telephone: (215) 684-6405 Fax: (215) 684-6602

September 19, 2013

Mr. David Thurnau  
Alternative Utility Services, Inc.  
750 Veterans Pkwy., Suite 104  
Lake Geneva, WI 53147

Re: Security Requirement Bond for Alternative Utility Services, Inc.

Dear Mr. Thurnau:

Philadelphia Gas Works ("PGW") is aware that Alternative Utility Services, Inc. has filed an application with the Pennsylvania Public Utility Commission to supply natural gas services to the public in Pennsylvania and specifically within the services territory of Philadelphia Gas Works.

As you know, in making such an application, Alternative Utility Services, Inc. must furnish acceptable security to each utility where Alternative Utility Services, Inc. will do business. As such, under its tariff, Philadelphia Gas Works could require Alternative Utility Services, Inc. to provide a bond or other financial security instrument in an amount that Philadelphia Gas Works determines to be appropriate.

However, since you are just beginning the process with the PAPUC and the Philadelphia Gas Works to become a supplier, the Philadelphia Gas Works at this time will not require any type of bond or security.

*If circumstances should change during the vetting of the application, Philadelphia Gas Works reserves the right to require security from Alternative Utility Services, Inc. as it deems appropriate.*

If you have any questions concerning the foregoing, please contact me at (215) 684-6405.

Sincerely,

A handwritten signature in black ink, appearing to read 'Raymond M. Snyder', is written over the word 'Sincerely,'.

Raymond M. Snyder  
Vice President  
Gas Management

RMS:b



September 17, 2013

David Thurnau  
Alternative Utility Services, Inc.  
750 Veterans Pkwy Suite 104  
Lake Geneva, WI 53147

Dear Mr. Thurnau:

This letter serves as notification that Peoples TWP LLC does not require Alternative Utility Services, Inc. to provide a security or credit enhancement at this time. Our decision is based on the fact that your company is not currently operating, and has no immediate plans to operate, a Non-Priority One Pool or a Priority One Pool on the Peoples TWP system. However, if in the future your company desires to establish a Non-Priority One Pool or a Priority One Pool on the Peoples TWP system, it may be required to establish a security or credit enhancement based on the terms set forth under Paragraphs 19 and 20 of the Rules and Regulations of the Peoples TWP Tariff.

If you have any questions feel free to contact me at 724-431-4935 or by email at [Andrew.Wachter@peoplestwp.com](mailto:Andrew.Wachter@peoplestwp.com).

Sincerely,

Andrew Wachter  
Manager, Rates and Regulatory Affairs  
Peoples TWP LLC



An Exelon Company

September 19th, 2013

Dave Thurnau  
Alternative Utility Services, Inc  
750 Veterans Pkwy Ste 104  
Lake Geneva, WI, 53147

Re: Bonding Requirements

Dear Dave Thurnau,

PECO is aware that Alternative Utility Services, Inc has applied for a license to provide brokering and consulting services to commercial and industrial customers on the distribution system of PECO.

In making such an application, Alternative Utility Services, Inc could be required to provide to PECO a bond or other acceptable financial security in an amount that PECO determines to be appropriate. Alternative Utility Services, Inc has indicated that it intends to provide only brokering and consulting services to commercial and industrial customers will not take title to any delivered natural gas; nor will accept any customer payments or deposits. Therefore, PECO has determined at this time that Alternative Utility Services, Inc, Inc does not need a bond or other financial security requirement, since they are not directly engaging in business with PECO and only providing brokering or consulting services to PECO customers. However, if the services provided Alternative Utility Services, Inc, or the creditworthiness requirement for PECO's exposure to Alternative Utility Services, Inc changes in the future, PECO reserves the right to require Alternative Utility Services, Inc to provide a bond or other financial security instrument.

If you should have any questions regarding this matter, please contact Chris Sauerbaum at 215-841-6422 or myself at 215-841-6452.

Respectfully submitted,

A handwritten signature in cursive script that reads "Carlos P. Thillet".

Carlos P. Thillet  
Manager, Gas Supply and Transportation  
2301 Market St S9-1  
Philadelphia, Pa 19103



**National Fuel**

September 17, 2013

Alternative Utility Services, Inc.  
750 Veterans Pkwy Suite 104  
Lake Geneva, WI 53147

Re: Security Requirement for Alternative Utility Services, Inc.

Dear Alternative Utility Services, Inc:

National Fuel Gas Distribution Corporation ("NFGDC") is aware that Alternative Utility Services, Inc. ("AUS") has filed an application with the Pennsylvania Public Utility Commission to supply natural gas services to the public in Pennsylvania and specifically within the service territory of NFGDC.

As you know, in making such an application, AUS must furnish acceptable security to each utility where AUS will do business. As such, under its tariff, NFGDC could require AUS to provide a bond or other financial security instrument in an amount that NFGDC determines to be appropriate.

However, you have indicated, and it is NFGDC's understanding that AUS intends only to provide natural gas aggregating, brokering and consulting services at this time. You have stated that, in performing these services, AUS will never take title to any delivered natural gas.

Based upon your representations, NFGDC has determined that, at this time, AUS does not need to post a bond or other form of security to operate in its service territory. However, if the services provided by AUS change in the future, AUS reserves the right to require security from AUS as it deems appropriate.

If you have any questions concerning the foregoing, please contact me at 716-857-7599.

Yours truly,

Nathan E. Barnes  
Transportation Services Department

September 19, 2013

Mr. David Thurnau  
Alternative Utility Services, Inc.  
750 Veterans Pkwy Suite 104  
Lake Geneva, WI 53147

Dear Mr. Thurnau:

We are pleased that Alternative Utility Services, Inc. ("AUSEnergy") has applied for a license to provide natural gas broker/marketer services on the distribution system of Equitable Gas Company, LLC ("Equitable").

AUSEnergy has indicated only brokering and consulting services will be provided. Therefore, we have determined at this time that AUSEnergy does not need a bond or other financial security requirement to provide these services to Equitable's customers.

If the creditworthiness requirement or Equitable's exposure to AUSEnergy changes in the future, Equitable may deem it appropriate to require AUSEnergy to provide a bond or other financial instrument.

Should you have any additional questions or concerns regarding a bond or other financial security instruments of Equitable, please do not hesitate to contact me at (412) 395-3370.

Sincerely,



Matthew D. Stanczak  
Director, Process Improvement

September 16, 2013

David Thurnau  
Alternative Utility Services, Inc.  
750 Veterans Pkwy Suite 104  
Lake Geneva, WI 53147

Dear Mr. Thurnau:

We are pleased that Alternative Utility Services, Inc ("AUS") has applied for a license to provide Natural Gas Broker/Marketer Services on the distribution system of Columbia Gas of Pennsylvania, Inc. ("Columbia Gas").

Under Paragraph 2.4.5 of the Rules Applicable to Distribution Service section of the Tariff of Columbia Gas, AUS could be required to provide to Columbia Gas a bond or other financial security instrument in an amount that Columbia Gas determines to be appropriate. AUS has indicated only brokering and consulting services will be provided. Therefore, we have determined at this time that AUS does not need a bond or other financial security requirement to provide broker natural gas services to Columbia Gas customers.

If the creditworthiness requirement or Columbia Gas' exposure to AUS changes in the future, Columbia Gas might deem it appropriate to require AUS to provide a bond or other financial security instrument.

Please feel free to contact me at 614-460-6841 should you have any questions regarding a bond or other financial security instrument requirements of Columbia Gas.

Sincerely,



Michele Caddell  
Manager, Supplier Services

**RECEIVED**

**OCT 24 2013**

**PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU**

**Attachment J**  
**Professional Resumes**

# FRITZ A. KREISS

## EXPERIENCE

Alternative Utility Services, Inc.      President      1993 to Present

- Founder and leading consultant of Alternative Utility Services, Inc. (AUS).
- Provides energy procurement services for natural gas and electricity to over 3,000 client locations in 20 states.
- Developed an independent agent and consultant clearinghouse for natural gas and electricity.
- Forges and maintains relationships with numerous third party energy suppliers across the country.
- Manages a team of analysts for the development of RFPs and the monitoring of energy markets and utility tariffs.
- Developed a variety of energy service programs that have provided energy upgrades to companies on a no investment basis, including boilers and controls, VFDs, lighting, and onsite generation.
- Spearheaded the development of energy projects that include a 50kW wind turbine in Wisconsin and 18,000 kW of solar photo voltaic currently being developed in New Jersey.
- Co-producer of [www.ecofair360.com](http://www.ecofair360.com) – an annual education event with 200 plus exhibitors and workshops on building sustainable futures and communities.
- Co-designing, building, and owning a 19 suite net zero energy boutique hotel with conference center that will be a living demonstration of multiple energy technologies and systems.

Conversion Technologies      President      1988 to 1993

- Designed small modular cogeneration systems.
- Brokered natural gas for commercial customers in Illinois.
- Developed a third party ownership model for financing systems.
- Designed and engineered projects for health care facilities.

BA Distributive Science – Gustavus Adolphus College

BS Social Studies – Bemidji State University

## EDUCATION

## ACHEIVEMENTS

- Member in Good Standing – American Solar Energy Society
- Senior Member – Association of Energy Engineers
- Certified Energy Procurement Professional – Association of Energy Engineers (AEE)
- Certificate of Completion: Fund of Buying and Selling Energy – AEE
- Member in Good Standing – Association of Energy Services Professionals
- Charter Member – Energy Services of Marketing Society of AEE
- Professional Member, through Alternative Utility Services, Inc. – The Society of Energy Professionals International
- Senior Member – The Demand-Side Management Society of AEE.
- Senior Member – The Cogeneration & Competitive Power Institute of AEE
- Published in Common Interest magazine: Vol. 14 No. 3 – Lights, Action Savings and Sustainable Living

750 Veteran Pkwy  
Suite 104  
Lake Geneva, WI 53147  
262-248-0930 x 1002  
[fritz@ausenergy.com](mailto:fritz@ausenergy.com)

# CATHERINE MCQUEEN

## EXPERIENCE

Alternative Utility Services, Inc.      Vice-President      1994 to Present

- Manages and supports independent agents and consultants in the fields of natural gas and electricity brokering.
- Helps develop and maintain relationships with energy and other business related suppliers.
- Oversees and manages a support team that is responsible for tracking RFPs, accurately managing contracts, and providing customer support to clients.
- Co-producer of [www.ecofair360.com](http://www.ecofair360.com) – an annual education event with 200 plus exhibitors and workshops on building sustainable futures and communities.
- Co-designing, building, and owning a 19 suite net zero energy boutique hotel with conference center that will be a living demonstration of multiple energy technologies and systems.

Independent Contractor      1980 to 1994

- Worked for various trade show marketing companies.
- Produced, managed, and directed tradeshow productions for numerous companies based out of Chicago.
- Wrote scripts and narrated promotional productions.
- Responsible for managing projects to completion.
- Maintained both client and employer relationships.

## EDUCATION

BA Speech/Communication – College of Wooster

MFA Theatre/History – Indiana University

## ACHEIVEMENTS

- American Association of University Women – Leadership in Education Award

750 Veteran Pkwy

Suite 104

Lake Geneva, WI 53147

262-248-0930 x 1001

[Catherine@theadmincenter.com](mailto:Catherine@theadmincenter.com)

# CECILIA A. PESCHE

## EXPERIENCE

### Alternative Utility Services, Inc. Operations Manager 2012 to Present

- Coordinates Quotes & Contracts, Customer Relations, and IT departments.
- Responsible for establishing and maintaining broker agreements.
- Handles all provider commission issues.
- Develops and maintains relationships with over 40 energy providers.
- Helps foster and grow relationships with new and existing energy consultants.
- Ensures that office has the necessary hardware and software technology to conduct business in an effective and efficient manner.
- Designs, writes, and helps maintain companywide documents, including office handbook, job descriptions, employee reviews, and other company resources.
- Coordinates the hiring, scheduling, reviewing, and release of Operations employees.
- Works with other managers to establish business procedures and oversee office workflow.

### Alternative Utility Services, Inc. Quotes and Contract Manager 2009 to 2012

- Directed correspondence with providers pertaining to natural gas and electricity, including RFPs, pricing, credit, LOEs, and contracts.
- Reviewed, managed, and documented all client executed agreements.
- Event Coordinator of EcoFair 360 in 2011.

### Alternative Utility Services, Inc. Support Specialist 2007 to 2009

- Supported sales consultants through performing bill audits, analysis, RFPs, credit verification, and client research.

## EDUCATION

BS Sociology – University of Wisconsin-Madison

Study Abroad – Imperial College-London

## ACHEIVEMENTS

- Certificate in Supervisory & Business Management – Gateway Technical College
- Certificate – Advanced Microsoft Excel

# JENNA M BUEHRE

## EXPERIENCE

### Alternative Utility Services, Inc. Manager of Corporate Affairs 2012 to Present

- Coordinates accounting, finance, commission, and human resources departments.
- Examines and documents incumbent utility tariffs nationwide.
- Manages all sub-contractor, partnership, and sponsor contracts.
- Responsible for completing and maintaining broker licensing, including putting together yearly reports.
- Oversees the development and administration of municipal energy aggregation program.
- Analyzes performance data for all contracted services, including natural gas and electricity.
- Coordinates the purchase and sale of renewable energy certificates.
- Researches and advises in the development of process planning.
- Works with other managers to establish business procedures and oversee office workflow.

### Alternative Utility Services, Inc. Customer Relations Manager 2009 to 2012

- Determined customer commodity supply requirements and objectives.
- Qualified leads, developed customer prospects, and prioritized pursuit of business opportunities.
- Facilitated client relations between sales and operations.

### Alternative Utility Services, Inc. Support Specialist 2008 to 2009

- Monitored the contractual process for clients.
- Recorded and maintained client information.

## EDUCATION

B.A. Organizational Communication – University of Wisconsin-Whitewater  
Accounting and Finance Coursework – University of Wisconsin-Green Bay

## ACHEIVEMENTS

- Certified Notary Public – State of Wisconsin Department of Financial Institutions
- Member of American Association of Notaries
- Certificate of Completion – Exploring LED Lighting Technology for Facilities

**RECEIVED**

OCT 24 2013

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

Attachment K  
Currently Held Licenses

STATE OF ILLINOIS

ILLINOIS COMMERCE COMMISSION

Alternative Utility Services, Inc. :  
: :  
Application for Licensure of :  
Agents, Brokers and Consultants : 09-0574  
under Section 16-115C of the :  
Public Utilities Act. :

ORDER

By the Commission:

**I. PRELIMINARY MATTERS**

On November 24, 2009, Alternative Utility Services, Inc. ("Applicant") filed a verified application with the Illinois Commerce Commission ("Commission") requesting a certificate of service authority to operate as an agent, broker or consultant ("ABC") in Illinois pursuant to Section 16-115C of the Public Utilities Act ("Act"), 220 ILCS 5/1-101 et seq., and 83 Ill. Adm. Code 454 ("Part 454"). Applicant requests authority to offer services as an ABC for the procurement or sale of retail electricity supply for third parties in the State of Illinois.

**II. REQUIREMENTS FOR ALL APPLICANTS UNDER SECTION 16-115C OF THE ACT**

Applicant is a corporation organized under the laws of Illinois and licensed to transact business in Illinois. Applicant has certified that it will comply with all applicable regulations; that it will comply with informational and reporting requirements established by Commission rule; that it will comply with informational and reporting requirements pursuant to Section 16-115C of the Act; and that it will comply with all other applicable laws, regulations, terms, and conditions required to the extent they have application to the services being offered by an ABC. Applicant has agreed to ensure that any person who acts on its behalf will comply with all applicable sections of Part 454. Applicant agrees that it will remain in compliance with the provisions of the Act and Part 454, and will ensure that authorizations received from customers, and all other applicable records are retained for a period of not less than three calendar years after the calendar year in which they were created. Applicant has agreed to adopt and follow rules and procedures to preserve the confidentiality of its customers' data.

### **III. FINANCIAL, TECHNICAL, AND MANAGERIAL REQUIREMENTS OF SECTION 16-115C**

Pursuant to the requirements of Section 454.80 of Part 454, Applicant provided a surety bond in the amount of \$5,000 issued by a qualifying surety authorized to transact business in Illinois. Applicant submitted an original surety bond in satisfaction of Section 454.80.

Applicant is required by Part 454.60 to demonstrate that it meets the managerial qualifications necessary to provide services as an ABC. Applicant must further provide an organizational chart that indicates the position of persons which satisfy the managerial qualification. Applicant has demonstrated that it meets the managerial qualifications set forth in Part 454.60, as demonstrated in the attachments to the Application. The attachments to the Application also include an exhibit containing a corporate organizational chart and identifying the persons who are being used to meet the requirements of Part 454.60(a). The attachments include an exhibit containing occupational background information on the person or persons who are being used to meet the requirements of Part 454.60(a).

Applicant is required by Part 454.70 to demonstrate that it meets the technical qualifications necessary to provide services as an ABC. Applicant has demonstrated that it meets the technical qualifications set forth in Part 454.70 with the information provided, including the information included in the attachments to the Application. The attachments include an exhibit containing occupational background information on the person or persons who are being used to meet the requirements of Part 454.70(a).

Applicant further agrees to comply with the Code of Conduct for ABC's contained in Section 454.90.

### **IV. COMMISSION CONCLUSION AND CERTIFICATE OF SERVICE AUTHORITY**

The Commission has reviewed the application and attachments along with the supplementary information provided by Applicant regarding the technical and managerial requirements and all other requirements of the Act and Part 454 and finds that the Applicant sufficiently demonstrates compliance with the requirements.

The Commission concludes, therefore, that Applicant's request for a certificate of service authority to operate as an ABC in Illinois should be granted and should include the following authority:

#### **CERTIFICATE OF SERVICE AUTHORITY**

IT IS CERTIFIED that Alternative Utility Services, Inc. is granted service authority to operate as an agent, broker or consultant for the procurement or sale of retail electricity supply for third parties in the State of Illinois.

**V. FINDINGS AND ORDERING PARAGRAPHS**

The Commission, having reviewed the entire record, is of the opinion and finds that:

- (1) Applicant, Alternative Utility Services, Inc., a business organized under the laws of Illinois, seeks a certificate of service authority to operate as an agent, broker or consultant under Section 16-115C of the Act;
- (2) the Commission has jurisdiction over the party hereto and the subject matter hereof;
- (3) the recitals of fact and conclusions reached in the prefatory portion of this Order are supported by the record and are hereby adopted as findings of fact;
- (4) Applicant has demonstrated that it possesses sufficient financial, managerial and technical resources and abilities to provide services as an agent, broker or consultant for the procurement or sale of retail electricity supply to third parties in the State of Illinois;
- (5) Applicant has complied with Section 16-115C of the Act and Part 454; and
- (6) Alternative Utility Services, Inc. should be granted the certificate of service authority to operate as an agent, broker or consultant as specified in this Order.

IT IS THEREFORE ORDERED by the Illinois Commerce Commission that Alternative Utility Services, Inc. is hereby granted a Certificate of Service Authority authorizing it to operate as an agent, broker or consultant; said Certificate of Service Authority shall read as that set forth in Section IV of this Order.

IT IS FURTHER ORDERED that Alternative Utility Services, Inc. shall comply with all applicable Commission rules and orders now and as hereafter amended.

IT IS FURTHER ORDERED that, subject to the provisions of Section 10-113 of the Public Utilities Act and 83 Ill. Adm. Code 200.880, this Order is final; it is not subject to the Administrative Review Law.

By order of the Commission this 10<sup>th</sup> day of February, 2010.

(SIGNED) MANUEL FLORES

Chairman

COMMISSIONERS

DOUGLAS R. M. NAZARIAN  
CHAIRMAN

HAROLD D. WILLIAMS  
LAWRENCE BRENNER  
KELLY SPEAKES-BACKMAN  
W. KEVIN HUGHES

STATE OF MARYLAND



**PUBLIC SERVICE COMMISSION**

**#9, 5/9/12AM; ML#s 137800 and 138070**  
**License Reference No.: IR-2579**

May 9, 2012

Fritz Kreiss  
President  
Alternative Utility Services, Inc.  
750 Veterans Parkway, Suite 104  
Lake Geneva, WI 53147

Dear Mr. Kreiss:

On March 16, 2012, Alternative Utility Services Inc. ("Company") filed an Application for a license to supply electricity or electric generation services in Maryland under COMAR 20.51. Additional information was filed on March 29, 2012. The Company proposes to provide electricity supplier services in Maryland for residential, commercial and industrial customers as described in the application.

After considering this matter at the May 9, 2012 Administrative Meeting, the Commission granted the Company a license to supply electricity or electric generation services in Maryland in accordance with its Application (License Reference Number IR-2579). The license granted by the Commission under this Letter Order is limited solely to electricity supplier broker services to residential, commercial and industrial customers. Additionally, the Company is directed to file marketing and training material specific to Maryland operations when materials become available.

Finally, the Company is reminded that it is under a continuing obligation to notify the Commission within 30 days of any changes to the information upon which the Commission relied in granting this license. A copy of the supplemental or updated information is required to be filed concurrently with the Office of People's Counsel.

By Direction of the Commission

A handwritten signature in cursive script that reads "David J. Collins".

David J. Collins  
Executive Secretary

DJC/st  
cc: Phil Vanderheyden, Electricity Division

WILLIAM DONALD SCHAEFER TOWER • 6 ST. PAUL STREET • BALTIMORE, MARYLAND 21202-6806

410-767-8000 • Toll Free: 1-800-492-0474 • FAX: 410-333-6495  
MDRS: 1-800-735-2258 (TTY/Voice) • Website: [www.psc.state.md.us/psc/](http://www.psc.state.md.us/psc/)



STATE OF MAINE  
PUBLIC UTILITIES COMMISSION

Docket No. 2011-312

September 16, 2011

ALTERNATIVE UTILITY SERVICES, INC.  
Application for License to Operate as a  
Competitive Electricity Provider

ORDER GRANTING LICENSE

WELCH, Chairman; VAFIADES and LITTELL, Commissioners

## I. SUMMARY

In this Order, we license Alternative Utility Services, Inc. (AUS) to operate as a competitive electricity provider furnishing aggregator/broker services to all customer classes in the service territories of Central Maine Power Company and Maine Public Service Company pursuant to Chapter 305 of the Commission's Rules.

## II. APPLICATION AND DECISION

On September 8, 2011, AUS applied to the Commission to operate in Maine as a competitive electricity provider pursuant to Chapter 305. AUS proposes to provide aggregator/broker services to all customer classes in the service territories of Central Maine Power Company and Maine Public Service Company. AUS met all the Chapter 305 filing requirements. As a licensed competitive electricity provider, AUS is required to comply with all applicable requirements and regulations, including all conditions of licensing, customer protection rules, and the filing of annual reports.

Pursuant to a Delegation Order dated April 23, 2008 in Docket No. 2008-185, *PUBLIC UTILITIES COMMISSION, Delegation of Authority to License Competitive Electricity Providers*, the Commission delegated to the Director of Technical Analysis the authority under 35-A M.R.S.A., § 3203 (1)(2) and Chapter 305, §2 to license competitive electricity providers. On September 12, 2009, in Docket No. 2009-260, statutory changes took effect that change the title of this position. P.L. 2009, ch. 122. The Director of Technical Analysis will be the Director of Electric and Gas Utility Industries. All existing delegation orders that delegate Commission authority to the Director of Technical Analysis will now read that we delegate our authority to the Director of Electric and Gas Utility Industries.

Accordingly, it is

ORDERED

1. That Alternative Utility Services, Inc. is hereby issued a license to operate as a competitive electricity provider pursuant to Chapter 305 of the Commission's Rules, to provide aggregator/broker services to all customer classes in the service territories of Central Maine Power Company and Maine Public Service Company; and
2. That this license is effective on the date of this Order and valid until revoked or suspended by the Commission pursuant to section 3(A)(4) of Chapter 305, or abandoned by the licensee pursuant to sections 2(D)(10) and 2(D)(11) of Chapter 305 of the Commission's Rules.

Dated at Hallowell, Maine, this 16<sup>th</sup> day of September, 2011.

BY ORDER OF THE DIRECTOR OF ELECTRIC AND GAS UTILITY INDUSTRIES



THE COMMONWEALTH OF MASSACHUSETTS  
DEPARTMENT OF PUBLIC UTILITIES

DEVAL L. PATRICK  
GOVERNOR

ONE SOUTH STATION  
BOSTON, MA 02110  
(617) 305-3500

ANN G. BERWICK  
CHAIR

JOLETTE A. WESTBROOK  
COMMISSIONER

RICHARD K. SULLIVAN, JR.  
SECRETARY OF ENERGY  
AND ENVIRONMENTAL AFFAIRS

DAVID W. CASH  
COMMISSIONER

July 16, 2013

VIA U.S. Mail

Mr. Fritz Kreiss, CEO and President  
Alternative Utility Services, Inc.  
750 Veterans Parkway, Suite 104  
Lake Geneva, WU 53147

Re: Electricity Broker License Application

Dear Mr. Kreiss:

The Department of Public Utilities ("Department") has reviewed the application of Alternative Utility Services, Inc. ("Alternative Utility Services") for a competitive electric supplier license in the Commonwealth of Massachusetts and is pleased to inform you that the Department has approved the application. The Alternative Utility Services license number is **EB-250**.

Consistent with the information included with Alternative Utility Services's application, the activities Alternative Utility Services is licensed to provide are limited to electricity-broker services to commercial and industrial customers. If, at a later date, Alternative Utility Services seeks to provide electricity broker services to residential customers, it must first seek and obtain Department approval.

As a condition of maintaining this license, Alternative Utility Services must file updated information within 30 days of any material change in the information required by 220 C.M.R. § 11.05(2), and must comply with all relevant requirements of G.L. c. 164 and the regulations promulgated thereunder, including 220 C.M.R. §§ 11.00, 12.00 et seq. If

Mr. Fritz Kreiss, CEO and President  
Alternative Utility Services, Inc.

Page 2

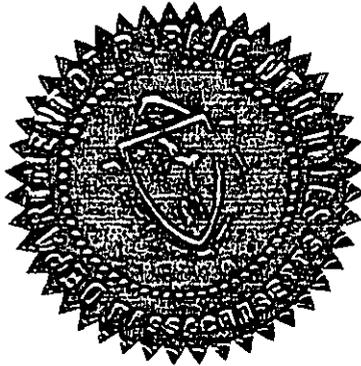
Alternative Utility Services decides to request renewal of its license next year, please submit the renewal application no later than **August 1, 2014**.

By Order of the Department,

  
Ann G. Berwick, Chair

  
Jollette A. Westbrook, Commissioner

  
David W. Cash, Commissioner





Chris Christie  
Governor

Kim Guadagno  
Lt. Governor

**STATE OF NEW JERSEY**  
**Board of Public Utilities**  
44 South Clinton Avenue, 9<sup>th</sup> Floor  
Post Office Box 350  
Trenton, New Jersey 08625-0350  
[www.nj.gov/bpu/](http://www.nj.gov/bpu/)

Kristi Izzo  
Secretary of the Board  
(609) 292-1599

July 19, 2013

Fritz Kreiss  
President  
Alternative Energy Services, Inc.  
750 Veterans Pkwy, Suite 104  
Lake Geneva, WI 53147

Re: **Energy Consultant Initial Registration**  
Dkt. No. GE13060502L

Dear Mr. Kreiss:

In accordance with the Electric Discount and Energy Competition Act of 1999, N.J.S.A. 48:3-49 et seq. at its July 19, 2013 Agenda meeting, the New Jersey Board of Public Utilities voted to issue a **REGISTRATION** as an Energy Consultant to Alternative Energy Services, Inc. Your registration number is EC-0073.

The enclosed registration is effective July 19, 2013 and expires on July 18, 2014. This registration and the rights thereunder are **Non-Transferable**.

***This letter is not an endorsement of, nor is it intended for use in, the marketing promotions of the registrant. Registrants shall comply with all applicable law, including the Electric Discount and Energy Competition Act, which prohibits the unauthorized change of a customer's energy provider and other fraudulent and illegal marketing activities.***

If you have any questions, please contact Anna Procopio at (609) 292-1681.

Sincerely,

A handwritten signature in black ink, appearing to read "Kristi Izzo".

Kristi Izzo  
Secretary of the Board

K1/alp  
Encl.(s)

# State of New Jersey



## Board of Public Utilities

44 S. Clinton Ave., P.O. Box 350, Trenton, New Jersey 08625

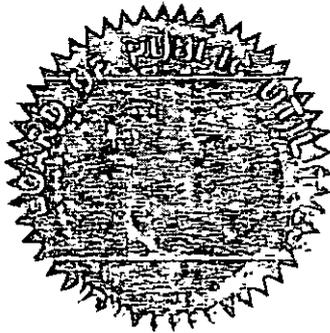
### HEREBY REGISTERS

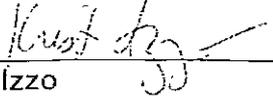
Alternative Utility Services, Inc.

331 Newman Springs Road  
Building 1, 4<sup>th</sup> Floor, Suite 143  
Red Bank, New Jersey 07701

To conduct business in the State of New Jersey as an

**Energy Consultant**



  
\_\_\_\_\_  
Kristi Izzo  
Secretary of the Board

Registration No. EC-0073  
Effective Date: July 19, 2013  
Expiration Date: July 18, 2014



STATE OF NEW JERSEY

Board of Public Utilities  
44 S. Clinton Ave.  
P.O. Box 350  
Trenton, NJ 08625-0350  
[www.nj.gov/bpu/](http://www.nj.gov/bpu/)

Chris Christie  
Governor

Kim Guadagno  
Lt. Governor

Kristi Izzo  
Secretary of the Board  
Tel. # (609) 292-1599

January 23, 2013

Fritz Kreiss  
President  
Alternative Utility Services, Inc.  
750 Veterans Pkwy, Suite 104  
P.O. Box 250  
Lake Geneva, WI 53147

Re: **Energy Agent and Private Aggregator Renewal Registrations**  
Dkt. Nos. EE12121074L & GE12121075L

Dear Mr. Kreiss:

In accordance with the Electric Discount and Energy Competition Act of 1999, N.J.S.A. 48:3-49 et seq., at its January 23, 2013 Agenda meeting, the New Jersey Board of Public Utilities renewed the **REGISTRATIONS** as an Energy Agent and Private Aggregator, to Alternative Utility Services, Inc. Your registration numbers are EA-0123 and PA-0094.

The enclosed registrations are effective January 23, 2013 and expire on January 22, 2014. These registrations and the rights thereunder are **Non-Transferable**.

***This letter is not an endorsement of, nor is it intended for use in, the marketing promotions of the registrant. Registrants shall comply with all applicable law, including the Electric Discount and Energy Competition Act, which prohibits the unauthorized change of a customer's energy provider and other fraudulent and illegal marketing activities.***

If you have any questions, please contact Anna Procopio at (609) 292-1681.

Sincerely,

A handwritten signature in black ink that reads "Kristi Izzo".

Kristi Izzo  
Secretary of the Board

KI/alp  
Encl.(s)

# State of New Jersey



## Board of Public Utilities

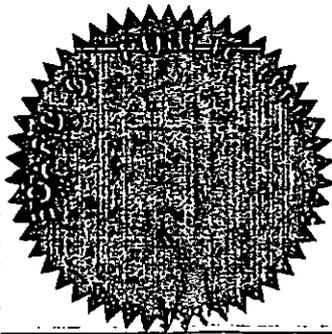
44 S. Clinton Ave., P.O. 350, Trenton, New Jersey 08625

### HEREBY REGISTERS

**Alternative Utility Services, Inc.**  
750 Veterans Parkway Suite 104, PO Box 250  
Lake Geneva, WI 53147

To conduct business in the State of New Jersey as an

### Energy Agent



  
\_\_\_\_\_  
Kristi Izzo  
Secretary of the Board

Registration No. EA-0123  
Effective Date: January 23, 2013  
Expiration Date: January 22, 2014

# State of New Jersey



## Board of Public Utilities

44 S. Clinton Ave., P.O. Box 350, Trenton, New Jersey 08625

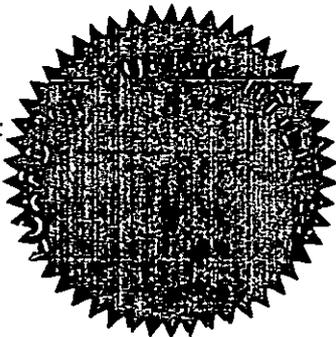
### HEREBY REGISTERS

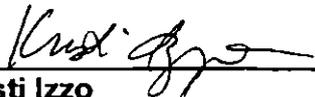
#### **Alternative Utility Services, Inc.**

750 Veterans Parkway Suite 104, PO Box 250  
Lake Geneva, WI 53147

To conduct business in the State of New Jersey as a

#### **Private Aggregator**



  
\_\_\_\_\_  
Kristi Izzo  
Secretary of the Board

Registration No. PA-0094  
Effective Date: January 23, 2013  
Expiration Date: January 22, 2014



**Public Utilities  
Commission**

John Kasich, Governor  
Todd A. Snitchler, Chairman

Commissioners

Steven D. Lesser  
Asim Z. Haque  
Lynn Slaby  
M. Beth Trombold

**PUBLIC UTILITIES COMMISSION OF OHIO**

*Certified as a Competitive Retail Electric Service Provider*

**RENEWAL**

Certificate Number:

11-387E (2)

Issued Pursuant to Case Number(s):

11-4420-EL-AGG

A certificate as a Competitive Retail Electric Service Provider is hereby granted to **Alternative Utility Services, Inc.** whose office or principal place of business is located at **750 Veterans Pkwy, Suite 104, Lake Geneva, WI 53147** to provide **aggregation and power broker** services within the State of Ohio **effective September 06, 2013.**

The certification of competitive retail electric suppliers is governed by Section 4901:1-24-(01-13) of the Ohio Administrative Code, Section 4901:1-21-(01-15) of the Ohio Administrative Code, and Section 4928.08 of the Ohio Revised Code.

This Certificate is revocable if all of the conditions set forth in the aforementioned case(s) are not met.

Subject to all rules and regulations of the Commission, now existing or hereafter promulgated.

Witness the seal of the Commission affixed at Columbus, Ohio.

Dated: September 9, 2013

By Order of

PUBLIC UTILITIES COMMISSION OF OHIO

Barcy F. McNeal, Secretary

Betty McCauley, Acting Secretary

Tanowa M. Troupe, Acting Secretary

**Certificate Expires: September 06, 2015**

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 TN Date Processed SEP 09 2013

## CRES AUTOMATIC CASE ACTION FORM

Case No. **11-4420-EL-AGG**

Date Sent: **September 9, 2013**

Effective Date of Certificate: **September 6, 2013 (Note new date.)**

Certificate Expires: **September 6, 2015**

Company Name and Company Name d/b/a: **Alternative Utility Services, Inc.**

Renewal

### Action Needed:

- Issue Certificate Number to: \_\_\_\_\_ at (address): \_\_\_\_\_
- Certified To Provide the Following Services:
  - Retail Generation
  - Aggregation
  - Power Marketer
  - Power Broker
  - Governmental Aggregation
- Renew Certificate No. **11-387E (1) to 11-387E (2)**
- Revise Certificate No. \_\_\_\_\_ to (check all applicable):
  - Reflect name change from \_\_\_\_\_ to \_\_\_\_\_
  - Reflect address change from \_\_\_\_\_ to \_\_\_\_\_
  - Add new service offering to certificate:
    - Retail Generation
    - Aggregation
    - Power Marketer
    - Power Broker
    - Governmental Aggregation
  - Correct Administrative Error
  - Reflect Change of Ownership to: \_\_\_\_\_
- Cancel Certificate No. \_\_\_\_\_
- Protect Un-redacted copies until \_\_\_\_\_
- Close Case File, Case Withdrawn at Applicant's Request
- Close Case File



# The Public Utilities Commission of Ohio

## Ohio Competitive Retail Natural Gas Aggregator/Broker Certificate

Issued pursuant to Case Number(s):  
**11-5473-GA-AGG**

Is

Ohio Competitive Retail Natural Gas Aggregator/Broker Certificate Number:  
**11-230G(1)**

Granted to:  
**Alternative Utility Services, Inc.**

Whose office or principal place of business is located at:  
**750 Veterans Pkwy, Suite 104, Geneva, WI 53147**

And is hereby certified to provide:  
**Retail Natural Gas Aggregator/Broker Services**  
within the state of Ohio, for a two-year period.

Certification Effective:  
**November 17, 2011 Through November 17, 2013**

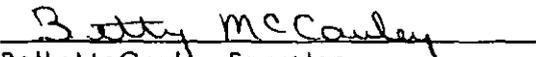
The certification of Ohio competitive retail natural gas aggregators/brokers is governed by Chapter 4901:1-27 of the Ohio Administrative Code and section 4929.20 of the Ohio Revised Code.

This Certificate is revocable if all of the conditions set forth in the aforementioned case(s) as well as those under law, are not met.

*Certified entity is subject to all rules and regulations of the commission, now existing or hereafter promulgated.*

Witness the seal of the Commission affixed at Columbus, Ohio  
Dated: **November 18, 2011**

By Order of  
The Public Utilities Commission of Ohio

  
Betty McCauley, Secretary  
Tanowa M. Troupe, Acting Secretary  
M. Beth Trombold, Acting Secretary

# PENNSYLVANIA PUBLIC UTILITY COMMISSION

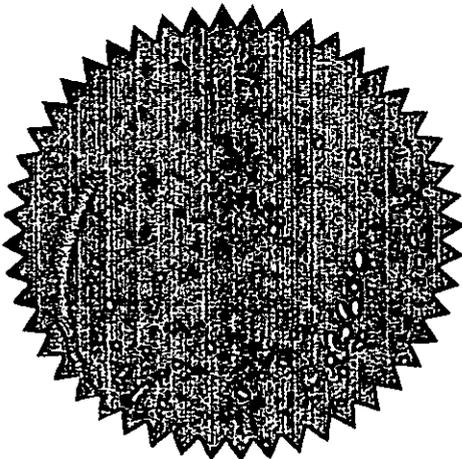
IN THE MATTER OF THE APPLICATION OF: A-2011-2261520

The Application of Alternative Utility Services, Inc. for approval to begin to offer, render, furnish or supply electric generation supplier services to residential, small commercial (25 kw and under demand), large commercial (over 25 kw demand), industrial and governmental customers in the PECO, Duquesne Light, Met Ed, Penelec, Penn Power, PPL, UGI, Wellsboro, Pike County Light & Power, Citizens and West Penn Power electric distribution service territories throughout the Commonwealth of Pennsylvania.

The Pennsylvania Public Utility Commission hereby certifies that after an investigation and/or hearing, it has, by its report and order made and entered, found and determined that the granting of the application is necessary or proper for the service, accommodation, convenience and safety of the public and hereby issues, evidencing the Commission's approval, to the applicant this:

## LICENSE FOR ELECTRIC GENERATION SUPPLIER.

In Witness Whereof, the PENNSYLVANIA PUBLIC UTILITY COMMISSION has caused these presents to be signed and sealed, and duly attested by its Secretary at its office in the city of Harrisburg this 14<sup>th</sup> day of November 2011.



A handwritten signature in cursive script, reading "Rosemary Chiverton".

Secretary

**PENNSYLVANIA  
PUBLIC UTILITY COMMISSION  
Harrisburg, PA 17105 -3265**

Public Meeting held November 10, 2011

**Commissioners Present:**

Robert F. Powelson, Chairman  
John F. Coleman, Jr. Vice-Chairman  
Wayne E. Gardner  
James H. Cawley  
Pamela A. Witmer

Docket Number: A-2011-2261520

License Application of Alternative Utility Services,  
Inc. for Approval to Offer, Render, Furnish or  
Supply Electricity or Electric Generation Services as  
a Broker/Marketer

**ORDER**

**BY THE COMMISSION:**

On September 2, 2011, Alternative Utility Services, Inc. (Alternative Utility) filed an application seeking to become a licensed electric generation supplier (EGS) in the electric distribution company service territories of PECO, Duquesne Light, Met Ed, Penelec, Penn Power, PPL, UGI, Wellsboro, Pike County Light & Power, Citizens and West Penn Power throughout the Commonwealth of Pennsylvania. The application was filed pursuant to the Commission's regulations at 52 Pa. Code §§ 54.31-54.43, which became effective on August 8, 1998, and which were established under section 2809 of the Public Utility Code, 66 Pa. C.S. § 2809.

Section 2809 provides in pertinent part that:

**License Requirement.--No person or corporation, including municipal corporations which choose to provide service outside their municipal limits except to the extent provided prior to the effective date of this chapter, brokers and marketers, aggregators and other entities, shall engage in the business of an electric generation supplier in this Commonwealth unless the person or corporation holds a license issued by the Commission.**

An electric generation supplier is defined as:

**A person or corporation, including municipal corporations which choose to provide service outside their municipal limits except to the extent provided prior to the effective date of this chapter, brokers and marketers, aggregators or any other entities, that sells to end-use customers electricity or related services utilizing the jurisdictional transmission and distribution facilities of an electric distribution company, or that purchases, brokers, arranges or markets electricity or related services to end-use customers utilizing the jurisdictional transmission and distribution facilities of an electric distribution company.**

66 Pa. C.S. § 2803.

Alternative Utility is a foreign corporation, incorporated in the State of Illinois, and registered in the Commonwealth of Pennsylvania as of October 23, 2010. Alternative Utility proposes to act as a broker/marketer for residential, small commercial (25 kw and under demand), large commercial (over 25 kw demand), governmental and industrial customers. Alternative Utility states that it will not be billing customers directly for its broker services, paying customer bills in its broker services role, nor will it be taking title to electricity. Customers will continue to pay their bills directly to the electric distribution company (EDC) or EGS, as appropriate.

Alternative Utility will be using independent marketers. Alternative Utility is directed to inform any current or future independent consultants, which arrange for the

sale of Alternative Utility's energy products to end-users, that they will be required to be licensed as an EGS if they arrange for the sale of energy products to end-users from another supplier, in addition to Alternative Utility.

Since Alternative Utility proposes to provide electric generation supplier services to residential customers it is required to comply with, and be governed by, applicable Chapter 56 residential service regulations as set forth in the Commission Order *Guidelines for Maintaining Customer Service at the Same Level of Quality Pursuant to 66 Pa. C.S. § 2807(d), and Assuring Conformance with 52 Pa. Code Chapter 56 Pursuant to 66 Pa. C.S. § 2809(e) and (f)* at Docket No. M-00960890F0011, Order entered July 11, 1997. Thus, we deem it appropriate to reiterate certain items with respect to Chapter 56 of our regulations. Chapter 56 (52 Pa. Code Chapter 56) is applicable to residential accounts. An EGS cannot physically disconnect a residential customer from the electricity grid; therefore, the rules relating to residential service termination are not applicable to EGSs. An EGS may seek to terminate its generation service through an appropriate written notice to the customer and the distribution company. The residential customer can then attempt to repair their relationship with the supplier, seek a new supplier, or return to utility service at default service rates in accordance with the utility's obligations under section 2807(e), 66 Pa. C.S. § 2807(e). The customer would only be disconnected from the electricity grid pursuant to appropriate regulations if the customer failed to meet its obligations to the utility or the EGS that has been designated by the Commission as the provider of last resort.

Additionally, we specifically note that the licensee must comply with, and ensure that its employees, agents, representatives and independent contractors comply with the standards of conduct and disclosure for licensees set out in Commission regulations at 52 Pa. Code § 54.43 that were enacted to protect consumers of this Commonwealth. These standards include, *inter alia*, the provision of timely and accurate

information about the services offered by the licensee, the practice of nondiscrimination in service in regard to race, color, religion, national origin, marital status, etc., the safeguarding of a consumer's personal information, and compliance with applicable state and federal consumer protection laws. Also, we take this opportunity to remind the licensee of its agreement to abide by, and to ensure that its employees, representatives, agents and independent contractors abide by all applicable federal and state laws, and Commission regulations, procedures and orders, including Emergency Orders, which may be issued verbally or in writing during any emergency situations that may unexpectedly develop from time to time in the course of business.

Alternative Utility has provided proofs of publication in Pennsylvania newspapers and proofs of service to the interested parties as required by the Commission.

Regarding the financial and technical requirements of the license application, Alternative Utility has supplied an audited Statement of Revenues and Expenses for the year ended December 31, 2010, as well as a Dun and Bradstreet credit report dated June 22, 2011, showing a low credit risk. Alternative Utility has supplied historical employment information for Alternative Utility executives indicating the presence of the necessary consulting, utility and/or regulatory experience. Sufficient information has been provided by Alternative Utility to demonstrate its financial and technical fitness in order to be licensed as a broker/marketer in the Commonwealth of Pennsylvania.

Alternative Utility did not provide a \$250,000 bond as required by the license application; however, it did provide a bond in the amount of \$10,000 and requests that the Commission reduce its security requirement from \$250,000 to \$10,000. In support of this request, Alternative Utility explains that it will not be collecting any gross receipts from its customers, generating electricity, and will not be taking title to

electricity. Its services include analyzing client electricity loads, bill review, and recommendations regarding alternative providers.

The Commission believes that the reasoning on which Alternative Utility bases its request for a bond reduction from \$250,000 to \$10,000 is similar to that offered by the other EGSs that have successfully petitioned the Commission for a bonding level of \$10,000. Two of the EGSs are Co-eXprise, Inc. (Co-eX), at Docket No. A-110166, whose request was granted January 20, 2006, and Premier Energy Solutions (Premier), at Docket No. A-110170, whose request was granted July 26, 2006. In the case of Co-eX, the company explained that, as a consultant, it will provide its customers with an evaluation and selection process from which to select the best positioned licensed electricity supplier/generator and award business. In the case of Premier, the company explained that it requested an EGS license to become EDI certified with the utilities, in order to be able to efficiently and effectively obtain electricity usage information for the customers to whom it provides consulting services. Premier intended to utilize the information to help its customers reduce their overall spending for electricity. Premier also stated that it will not take title to power.

The Commission believes that Alternative Utility operates in a similar manner as Co-eX and Premier and therefore should be granted similar relief and be permitted to provide a bond or other approved security in the reduced amount of \$10,000. However, Alternative Utility's bonding level is contingent upon the company's business model as described in this Order. If Alternative Utility takes title to generation supply for its customers, and/or charges customers directly for that generation supply, a \$10,000 level of bonding may not be appropriate. Therefore, we will direct Alternative Utility to notify the Commission 45 days prior to a change in its business model, whereby Alternative Utility takes title to generation supply and/or bills its customers directly for that generation supply. This will provide the Commission with an opportunity to review and adjust Alternative

Utility's approved bonding level prior to Alternative Utility implementing those changes.

As of November 1, 2011, no protests have been filed.

We find that the applicant:

1. Is fit, willing and able to properly perform the service proposed in conformance with applicable provisions of the Public Utility Code and lawful Commission orders and regulations, specifically including 52 Pa. Code Chapter 56 (relating to Standards and Billing Practices for Residential Utility Service).
2. Has agreed to lawfully abide by all Commission regulations, procedures and orders, including Emergency Orders, which may be issued verbally or in writing during any emergency situations that may unexpectedly develop from time to time in the course of doing business in Pennsylvania.

We further find that the proposed service, to the extent authorized by the license, will be consistent with the public interest and the policy declared in the Electricity Generation Customer Choice and Competition Act.

Upon full consideration of all matters of record, we find that approval of this application is necessary and proper for the service, accommodation and convenience of the public; **THEREFORE,**

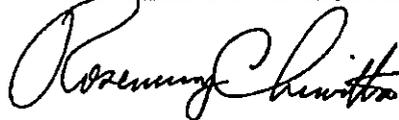
**IT IS ORDERED:**

1. That the application of Alternative Utility Services, Inc. is hereby approved, consistent with this Order.
2. That Alternative Utility Services, Inc.'s request for a reduction in the bond level from \$250,000 to \$10,000 is hereby granted.
3. That the security amount of \$10,000 shall remain in effect for Alternative Utility Services, Inc. as long as Alternative Utility Services, Inc. does not make a change to its business model in Pennsylvania, whereby it would take title to generation supply and/or bill its customers directly for generation supply.
4. That a license be issued authorizing Alternative Utility Services, Inc. to begin to offer, render, furnish or supply electric generation supplier services to residential, small commercial (25 kw and under demand), large commercial (over 25 kw demand), industrial and governmental customers in the PECO, Duquesne Light, Met Ed, Penelec, Penn Power, PPL, UGI, Wellsboro, Pike County Light & Power, Citizens and West Penn Power electric distribution service territories throughout the Commonwealth of Pennsylvania, as specified in the Order.
5. That if Alternative Utility Services, Inc. proposes to change its business model as described in Ordering Paragraph No. 3, it must notify the Commission at least 45 days prior to the changes. With the notice, the Company must provide an update to the nature and scope of business information that was required by Pa. Code § 54.40(c) to justify the modification granted in Ordering Paragraph No. 3. This will provide the Commission the opportunity to review Alternative Utility Services, Inc. bonding level and adjust as appropriate, prior to Alternative Utility Services, Inc.

shall cease effective with the date of the change in the business model. The level of bonding effective at that time shall be \$250,000 or the level required by 52 Pa. Code § 54.40, whichever is greater.

7. That this proceeding at Docket No. A-2011-2261520 be closed.

**BY THE COMMISSION,**



Rosemary Chiavetta  
Secretary

(SEAL)

ORDER ADOPTED: November 10, 2011

ORDER ENTERED: November 14, 2011

**RECEIVED**

**OCT 24 2013**

**PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU**

...

**Attachment L**

**Proof of License Application Publications**

The Scranton Times (Under act P.L. 877 No 160. July 9,1976)  
Commonwealth of Pennsylvania, County of Lackawanna

ALTERNATIVE UTILITY SERVICES INC  
ATTN: DAVID THURNAU  
SUITE 104 750 VETERANS PARKWAY  
LAKE GENEVA WI 53147

Account # 547098  
Order # 81334089  
Ad Price: 206.20

LEGAL NOTICE PENNSYLVANIA

Gina Krushinski

Being duly sworn according to law deposes and says that she is Billing clerk for The Scranton Times, owner and publisher of The Scranton Times, a newspaper of general circulation, established in 1870, published in the city of Scranton, county and state aforesaid, and that the printed notice or publication hereto attached is exactly as printed in the regular editions of the said newspaper on the following dates:

09/20/2013

Affiant further deposes and says that neither the affiant nor The Scranton Times is interested in the subject matter of the aforesaid notice or advertisement and that all allegations in the foregoing statement as time, place and character or publication are true Gina Krushinski

Sworn and subscribed to before me  
this 20th day of September A.D., 2013

Sharon Venturi  
(Notary Public)

COMMONWEALTH OF PENNSYLVANIA  
Notarial Seal  
Sharon Venturi, Notary Public  
City of Scranton, Lackawanna County  
My Commission Expires Feb. 12, 2014  
Member, Pennsylvania Association of Notaries

RECEIVED

OCT 24 2013

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

LEGAL NOTICE

PENNSYLVANIA PUBLIC UTILITY COMMISSION NOTICE

Application of Alternative Utility Services, Inc. For Approval To Offer, Render, Furnish Or Supply Natural Gas Or Natural Gas Services As A Marketer/ Broker Engaged in the Business of Supplying Natural Gas to the Public In The Commonwealth Of Pennsylvania.

Alternative Utility Services, Inc. will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply natural gas or natural gas services as a broker/marketer engaged in the business of supplying natural gas. Alternative Utility Services, Inc. proposes to sell natural gas and related services throughout all of Pennsylvania under the provisions of the Natural Gas Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Alternative Utility Services, Inc. may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Alternative Utility Services, Inc. attorney at the address listed below.

By and through Counsel:  
G WILLIAM HUBBARD II  
Hubbard Business Council  
222 N. LaSalle St., Ste. 300  
Chicago, IL 60601  
Phone: (312) 704-3824

The Patriot-News Co.  
2020 Technology Pkwy  
Suite 300  
Mechanicsburg, PA 17050  
Inquiries - 717-255-8213

The Patriot-News  
Now you know

ALTERNATIVE UTILITY SERVICES, INC.  
750 VETERANS PKWY SUITE 104

RECEIVED

OCT 24 2013

LAKE GENEVA WI 53147

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

THE PATRIOT NEWS  
THE SUNDAY PATRIOT NEWS

Proof of Publication

Under Act No. 587, Approved May 16, 1929  
Commonwealth of Pennsylvania, County of Dauphin} ss

Marianne Miller, being duly sworn according to law, deposes and says:

That she is a Staff Accountant of The Patriot News Co., a corporation organized and existing under the laws of the Commonwealth of Pennsylvania, with its principal office and place of business at 2020 Technology Pkwy, Suite 300, in the Township of Hampden, County of Cumberland, State of Pennsylvania, owner and publisher of The Patriot-News and The Sunday Patriot-News newspapers of general circulation, printed and published at 1900 Patriot Drive, in the City, County and State aforesaid; that The Patriot-News and The Sunday Patriot-News were established March 4th, 1854, and September 18th, 1949, respectively, and all have been continuously published ever since;

That the printed notice or publication which is securely attached hereto is exactly as printed and published in their regular daily and/or Sunday/ Community Weekly editions which appeared on the date(s) indicated below. That neither she nor said Company is interested in the subject matter of said printed notice or advertising, and that all of the allegations of this statement as to the time, place and character of publication are true; and

That she has personal knowledge of the facts aforesaid and is duly authorized and empowered to verify this statement on behalf of The Patriot-News Co. aforesaid by virtue and pursuant to a resolution unanimously passed and adopted severally by the stockholders and board of directors of the said Company and subsequently duly recorded in the office for the Recording of Deeds in and for said County of Dauphin in Miscellaneous Book "M", Volume 14, Page 317.

Miscellaneous Notices

PENNSYLVANIA  
PUBLIC UTILITY COMMISSION  
NOTICE

Application of Alternative Utility Services, Inc. For Approval To Offer, Render, Furnish Or Supply Natural Gas Or Natural Gas Services As A Marketer/Broker Engaged In The Business Of Supplying Natural Gas To The Public In The Commonwealth Of Pennsylvania.

Alternative Utility Services, Inc. will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply natural gas or natural gas services as a broker/marketer engaged in the business of supplying natural gas. Alternative Utility Services, Inc. proposes to sell natural gas and related services throughout all of Pennsylvania under the provisions of the Natural Gas Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Alternative Utility Services, Inc. may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Alternative Utility Services, Inc. attorney at the address listed below.

By and through Counsel:  
G WILLIAM HUBBARD II  
Hubbard Business Council  
222 N. LaSalle St., Ste. 300  
Chicago, IL 60601  
Phone: (312) 704-3624

This ad # 0002275588 ran on the dates shown below:

September 24, 2013

Sworn to and subscribed before me this 24 day of September, 2013 A.D.

Notary Public

COMMONWEALTH OF PENNSYLVANIA

Notarial Seal

Holly Lynn Warfel, Notary Public  
Washington Twp., Dauphin County  
My Commission Expires Dec. 12, 2016

MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

PROOF OF PUBLICATION  
In  
THE ERIE TIMES-NEWS  
COMBINATION EDITION

ALTERNATIVE UTILITY SERVICES I  
750 VETERANS PKWY  
LAKE GENEVA WI 53147

REFERENCE: 100518 26606  
PUC Notice

STATE OF PENNSYLVANIA)  
COUNTY OF ERIE ) SS:  
Debra McGraw, being duly sworn, deposes and says that: (1) he/she is a designated agent of the Times Publishing Company (TPC) to execute Proofs of Publication on behalf of the TPC; (2) the TPC, whose principal place of business is at 205 W. 12th Street, Erie, Pennsylvania, owns and publishes the Erie Times-News, established October 2, 2000, a daily newspaper of general circulation, and published at Erie, Erie County Pennsylvania; (3) the subject notice or advertisement, a true and correct copy of which is attached, was published in the regular edition(s) of said newspaper on the date(s) referred to below. Affiant further deposes that he/she is duly authorized by the TPC, owner and publisher of the Erie Times-News, to verify the foregoing statement under oath, and affiant is not interested in the subject matter of the aforesaid notice or advertisement, and that all allegations in the foregoing statement as to time, place and character of publication are true.

PUBLISHED ON: 09/21/13

TOTAL COST: \$409.00 AD SPACE: 0 Lines

FILED ON: 09/21/13

RECEIVED

OCT 24 2013

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

PENNSYLVANIA PUBLIC UTILITY COMMISSION  
NOTICE

Application of *Alternative Utility Services, Inc.* For Approval To Offer, Render, Furnish Or Supply Natural Gas Or Natural Gas Services As A Marketer/Broker Engaged In The Business Of Supplying Natural Gas To The Public In The Commonwealth Of Pennsylvania.

Alternative Utility Services, Inc. will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply natural gas or natural gas services as a broker/marketer engaged in the business of supplying natural gas. Alternative Utility Services, Inc. proposes to sell natural gas and related services throughout all of Pennsylvania under the provisions of the Natural Gas Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Alternative Utility Services, Inc. may be filed within 15 days of the date of this notice with the Secretary of the PUC; P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Alternative Utility Services, Inc. attorney at the address listed below.

By and through Counsel: G WILLIAM HUBBARD II  
Hubbard Business Council  
222 N. LaSalle St., Ste. 300  
Chicago, IL 60601  
Phone: (312) 704-3624

Sworn to and subscribed before me this 23<sup>rd</sup> day of September 2013

Affiant: Debra McGraw

NOTARY: Barbara J. Moore

COMMONWEALTH OF PENNSYLVANIA

Notarial Seal  
Barbara J. Moore, Notary Public  
City of Erie, Erie County  
My Commission Expires March 23, 2016  
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

### Proof of Publication of Notice in Pittsburgh Post-Gazette

Under Act No 587, Approved May 16, 1929, PL 1784, as last amended by Act No 409 of September 29, 1951

Commonwealth of Pennsylvania, County of Allegheny, ss C. Mohamed, being duly sworn, deposes and says that the Pittsburgh Post-Gazette, a newspaper of general circulation published in the City of Pittsburgh, County and Commonwealth aforesaid, was established in 1993 by the merging of the Pittsburgh Post-Gazette and Sun-Telegraph and The Pittsburgh Press and the Pittsburgh Post-Gazette and Sun-Telegraph was established in 1960 and the Pittsburgh Post-Gazette was established in 1927 by the merging of the Pittsburgh Gazette established in 1786 and the Pittsburgh Post, established in 1842, since which date the said Pittsburgh Post-Gazette has been regularly issued in said County and that a copy of said printed notice or publication is attached hereto exactly as the same was printed and published in the \_\_\_\_\_ regular \_\_\_\_\_ editions and issues of the said Pittsburgh Post-Gazette a newspaper of general circulation on the following dates, viz:

#### 20 of September, 2013

Affiant further deposes that he/she is an agent for the PG Publishing Company, a corporation and publisher of the Pittsburgh Post-Gazette, that, as such agent, affiant is duly authorized to verify the foregoing statement under oath, that affiant is not interested in the subject matter of the afore said notice or publication, and that all allegations in the foregoing statement as to time, place and character of publication are true.

C. Mohamed

PG Publishing Company

Sworn to and subscribed before me this day of:  
September 20, 2013

Linda M. Gaertner

COMMONWEALTH OF PENNSYLVANIA  
Notarial Seal  
Linda M. Gaertner, Notary Public  
City of Pittsburgh, Allegheny County  
My Commission Expires Jan. 31, 2015  
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

**STATEMENT OF ADVERTISING COSTS**  
Alternative Utility Services, In  
750 VETERANS PKWY STE 104  
LAKE GENEVA WI 53147-4950

To PG Publishing Company

Total ----- \$397.50

#### Publisher's Receipt for Advertising Costs

PG PUBLISHING COMPANY, publisher of the Pittsburgh Post-Gazette, a newspaper of general circulation, hereby acknowledges receipt of the aforesaid advertising and publication costs and certifies that the same have been fully paid.

Office  
34 Boulevard of the Allies  
PITTSBURGH, PA 15222  
Phone 412-263-1338

PG Publishing Company, a Corporation, Publisher of  
Pittsburgh Post-Gazette, a Newspaper of General Circulation

By Theresa Lucas

I hereby certify that the foregoing is the original Proof of Publication and receipt for the Advertising costs in the subject matter of said notice.

Attorney For

#### COPY OF NOTICE OR PUBLICATION

PENNSYLVANIA PUBLIC  
UTILITY COMMISSION  
NOTICE

Application of Alternative Utility Services, Inc. For Approval To Offer, Render, Furnish Or Supply Natural Gas Or Natural Gas Services As A Marketer/Broker Engaged In The Business Of Supplying Natural Gas To The Public In The Commonwealth Of Pennsylvania.

Alternative Utility Services, Inc. will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply natural gas or natural gas services as a broker/marketer engaged in the business of supplying natural gas. Alternative Utility Services, Inc. proposes to sell natural gas and related services throughout all of Pennsylvania under the provisions of the Natural Gas Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Alternative Utility Services, Inc. may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Alternative Utility Services, Inc. attorney at the address listed below.

By and through Counsel:  
G WILLIAM HUBBARD II  
Hubbard Business Council  
222 N. LaSalle St., Ste. 300  
Chicago, IL 60601  
Phone: (312) 704-3624

RECEIVED

OCT 24 2013

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

PROOF OF PUBLICATION OF NOTICE IN THE WILLIAMSPORT SUN-GAZETTE UNDER ACT NO. 587, APPROVED MAY 16, 1929

STATE OF PENNSYLVANIA  
COUNTY OF LYCOMING

SS:

Bernard A. Oravec Publisher of the Sun-Gazette Company, publishers of the Williamsport, Sun-Gazette, successor to the Williamsport Sun and the Gazette & Bulletin, both daily newspapers of general circulation, published at 252 West Fourth Street, Williamsport, Pennsylvania, being duly sworn, deposes and says that the Williamsport Sun was established in 1870 and the Gazette & Bulletin was established in 1801, since which dates said successor, the Williamsport Sun-Gazette, has been regularly issued and published in the County of Lycoming aforesaid, and that a copy of the printed notice is attached hereto exactly as the same was printed and published in the regular editions of said Williamsport Sun-Gazette on the following dates, viz:

September 19, 2013

Affiant further deposes that he is an officer daily authorized by the Sun-Gazette Company, publisher of the Williamsport Sun-Gazette, to verify the foregoing statement under oath and also declares that affiant is not interested in the subject matter of the aforesaid notice of publication, and that all the allegations in the foregoing statement as to time, place and character of publication are true.

Bernard A. Oravec

LEGAL NOTICES

PENNSYLVANIA  
PUBLIC UTILITY  
COMMISSION  
NOTICE  
Application of Alternative Utility Services, Inc. For Approval To Offer, Render, Furnish Or Supply Natural Gas Or

LEGAL NOTICES

Natural Gas Services As A Marketer/Broker Engaged In The Business Of Supplying Natural Gas To The Public In The Commonwealth Of Pennsylvania.

Alternative Utility Services, Inc. will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply natural gas or natural gas services as a broker/marketer engaged in the business of supplying natural gas. Alternative Utility Services, Inc. proposes to sell natural gas and related services throughout all of Pennsylvania under the provisions of the Natural Gas Choice and Competition

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Alternative Utility Services, Inc.

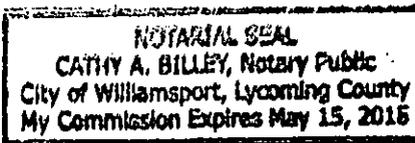
LEGAL NOTICES

Alternative Utility Services, Inc. may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Alternative Utility Services, Inc. attorney at the address listed below.

By and through Counsel:  
G WILLIAM HUBBARD II  
Hubbard Business Council  
222 N. LaSalle St.,  
Ste. 300  
Chicago, IL 60601  
Phone: (312) 704-3624

SUN-GAZETTE COMPANY

worn to and subscribed before me  
the 20<sup>th</sup> day of September 2013  
Cathy A. Billey  
Notary Public



STATEMENT OF ADVERTISING COSTS

To the Sun-Gazette Company, Dr.:  
For publishing the notice attached  
hereto on the above state dates.....\$ 247.68  
Probated same.....\$  
Total.....\$ 247.68

PUBLISHER'S RECEIPT FOR ADVERTISING COSTS

THE SUN-GAZETTE COMPANY hereby acknowledges receipt of the aforesaid advertising and publication costs and certifies that the same have been fully paid.

SUN-GAZETTE COMPANY

BY Bernard A. Oravec

RECEIVED

OCT 24 2013

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S OFFICE

COMMONWEALTH OF PENNSYLVANIA }  
 County of Cambria } SS

PENNSYLVANIA  
 PUBLIC UTILITY COMMISSION  
 NOTICE

Application of Alternative Utility Services, Inc. For Approval To Offer, Render, Furnish Or Supply Natural Gas Or Natural Gas Services As A Marketer/Broker Engaged In The Business Of Supplying Natural Gas To The Public In The Commonwealth Of Pennsylvania.

Alternative Utility Services, Inc. will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply natural gas or natural gas services as a broker/marketer engaged in the business of supplying natural gas. Alternative Utility Services, Inc. proposes to sell natural gas and related services throughout all of Pennsylvania under the provisions of the Natural Gas Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Alternative Utility Services, Inc. may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Alternative Utility Services, Inc. attorney at the address listed below.

By and through Counsel: G WILLIAM HUBBARD II

**Hubbard Business Council**  
 222 N. LaSalle St., Ste. 300  
 Chicago, IL 60601  
 Phone: (312) 704-3624

publish  
 that the  
 of The

interested in the subject matter of said notice or advertising and that all of the allegations as to time, place and character of said publication are true.

ty of Cambria, and Commonwealth of Pennsylvania and  
 ve matter published in said publication in the regular issues  
 A, on September 19, 2013; and that the Affiant is not

On this 19th day of September A.D. 2013, before me, the subscriber, a Notary Public in and for said County and State, personally appeared Christine Marhefka, who being duly sworn according to law, deposes and says as Classified Advertising Manager of the Tribune-Democrat, Johnstown, PA, a newspaper of general circulation as defined by the "Newspaper Advertising Act", a merger September 8, 1952, of the Johnstown Tribune, established December 7, 1853; and of the Johnstown Democrat, established March 5, 1863,

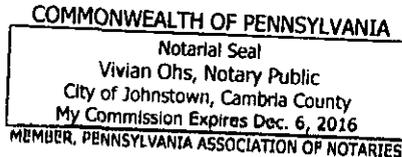
*Christine Marhefka*

STATEMENT OF ADVERTISING COSTS

Sworn and Subscribed before me this  
 19th day of September, 2013.

*[Signature]*

0.00 Lines @ \$2.50 per line	0.00
6 Inches @ \$25.00 per inch	150.00
Notary Fee	5.00
Clerical Fee	2.50
<b>Total Cost</b>	<b>157.50</b>



To The Tribune-Democrat, Johnstown, PA  
 For publishing the notice or publication  
 attached hereto on the above stated dates.

PUBLISHER'S RECEIPT FOR ADVERTISING COSTS

\_\_\_\_\_ for publisher of \_\_\_\_\_  
 a newspaper of general circulation, hereby acknowledges receipt of the aforesaid  
 and publication costs and certifies that the same has been duly paid.

\_\_\_\_\_  
 (Name of Newspaper)

By \_\_\_\_\_

**RECEIVED**

OCT 24 2013

PA PUBLIC UTILITY COMMISSION  
 SECRETARY'S BUREAU

Proof of Publication in The Philadelphia Daily News  
Under Act. No 587, Approved May 16, 1929

STATE OF PENNSYLVANIA  
COUNTY OF PHILADELPHIA

Florence Devlin being duly sworn, deposes and says that **The Philadelphia Daily News** is a newspaper published daily, except Sunday, at Philadelphia, Pennsylvania, and was established in said city in 1925, since which date said newspaper has been regularly issued in said County, and that a copy of the printed notice of publication is attached hereto exactly as the same was printed and published in the regular editions and issues of the said newspaper on the following dates:

September 19, 2013

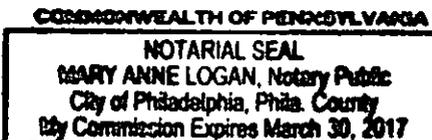
Affiant further deposes and says that she is an employee of the publisher of said newspaper and has been authorized to verify the foregoing statement and that she is not interested in the subject matter of the aforesaid notice of publication, and that all allegations in the foregoing statement as to time, place and character of publication are true.



Sworn to and subscribed before me this 19<sup>th</sup> day of  
September, 2013.

  
Notary Public

My Commission Expires:



Copy of Notice of Publication

PENNSYLVANIA  
PUBLIC UTILITY COMMISSION  
NOTICE

Application of **Alternative Utility Services, Inc.** For Approval To Offer, Render, Furnish Or Supply Natural Gas Or Natural Gas Services As A Marketer/Broker Engaged In The Business Of Supplying Natural Gas To The Public In The Commonwealth Of Pennsylvania.

**Alternative Utility Services, Inc.** will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply natural gas or natural gas services as a broker/ marketer engaged in the business of supplying natural gas. **Alternative Utility Services, Inc.** proposes to sell natural gas and related services throughout all of Pennsylvania under the provisions of the Natural Gas Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of **Alternative Utility Services, Inc.** may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to **Alternative Utility Services, Inc.** attorney at the address listed below.

By and through Counsel:  
G WILLIAM HUBBARD II  
Hubbard Business Council  
222 N. LaSalle St., Ste. 300  
Chicago, IL 60601  
Phone: (312) 794-3624

RECEIVED

OCT 24 2013

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

pick up right from your home or office at [usps.com/pickup](http://usps.com/pickup)  
Go to [usps.com/postageonline](http://usps.com/postageonline)



Visit us at [usps.com](http://usps.com)  
Label 106A, May 2008

This product is for use with Priority Mail® shipments. Misuse may be a violation of federal law. This tape is not for resale.



Label 106A, May 2008

UNITED STATES POSTAL SERVICE®

USPS TRACKING #



9114 9010 7574 2873 5190 27

Label 400 Jan. 2013  
7680-16-000-7848

PR  
MA  
ES POST  
usps.c  
2008

From: /Expéditeur:

Alternative Utility Services Inc.  
750 Veterans Pkwy Ste. 104  
Lake Geneva, WI 53147

OCT 27 2013

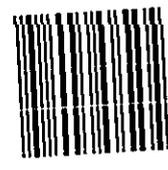
To: /Destinataire:

Secretary of the Commission  
Keystone Building, 400 North St.  
2nd Floor, Room N201  
Harrisburg, PA 17120

Country of Destination: /Pays de destination



1004



17120

U.S. POSTAGE  
PAID  
LAKE GENEVA, WI  
53147  
OCT 24, 2013  
AMOUNT

\$8.75  
00081875-05

