



Department of Public Service

ENERGY BROKER AND ENERGY CONSULTANT REGISTRATION FORM

Pursuant to the Public Service Commission's Order Adopting Energy Broker and Energy Consultant Registration Requirements in Case 23-M-0106 and the Uniform Business Practices edits adopted in that order, Energy Brokers¹ and Consultants² are required to submit this form. Direct Employees of an Energy Broker or Energy Consultant are not required to submit this form as long as a registered Energy Broker or Energy Consultant is responsible for ensuring compliance.

FILL OUT AND SUBMIT THIS FORM IN MATTER 23-01227 IN THE MATTER OF REGISTRATION FOR ENERGY BROKERS AND CONSULTANTS³

(Attach additional sheets as necessary)

1. Business Information

Business Name: Alternative Utility Services, Inc.
Address: 5072 State Road 50
City: Delavan State: WI Zip: 53115
Telephone: 262-248-0930 Website: ausenergy.com

¹ Energy Broker is defined within the UBP as "A non-utility entity that performs energy management or procurement functions on behalf of customers or ESCOs, and (1) that assumes the contractual and legal responsibility for the sale of electric supply service, transmission or other services to end-use retail customers, but does not take title to any of the electricity sold, and does not make retail energy sales to customers, or (2) that assumes the contractual and legal obligation to provide for the sale of natural gas supply service, transportation or other services to end-use retail customers, but does not take title to any of the natural gas sold, and does not make retail energy sales to customers."

² Energy Consultant is defined within the UBP as "any person, firm, association or corporation who acts as broker in soliciting, negotiating or advising any electric or natural gas contract, or acts as an agent in accepting any electric or natural gas contract on behalf of an ESCO."

³ Instructions on registering and filing are available at

<https://dps.ny.gov/dmm-help-electronic-filing-registration-instructions>

If you intend to market your services under a DBA, provide a copy of your certificate of assumed name and list the name(s) here: n/a

Type of Provider:

Energy Broker ☐ Energy Consultant ☒ Both ☐

Nature of business being conducted:

Type of customers: (Check all that apply)

Residential ☒ Large Commercial ☒
Industrial ☒ Small Commercial ☒

Provide the contact information for any affiliates conducting energy-related business (including subsidiaries and parent corporations) within New York State or elsewhere.

Business Name: n/a

Contact Name: _____

Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____ Fax: _____

Email Address: _____

Provide the contact information for any parent company or other corporate entity with an ownership interest of 10 percent or more of the registrant:

Business Name: n/a

Contact Name: _____

Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____ Fax: _____

Email Address: _____

During the previous 36 months, have any criminal or regulatory sanctions been imposed on the registrant, any senior officer of the registrant, any corporate entity with corporate entity with an ownership interest of 10 percent or any energy affiliates listed above?

Yes _____

No ^x _____

If yes, identify the entities or individuals subject to sanctions and provide a detailed explanation of the sanctions:

No Sanctions

Disclose any decisions or pending escalated regulatory actions in other states that affect the registrant's ability to operate in that state, such as suspension, revocation, or limitation of operating authority:

No decisions or pending regulatory actions

List and describe any current formal investigations involving the registrant being conducted by law enforcement or regulatory entities:

No investigations

List and explain any acquisitions, mergers, dissolutions, or bankruptcy involving the registrant that occurred in the previous 36 months:

No acquisitions, mergers, dissolutions, or bankruptcy

List and describe of any security breaches associated with customer proprietary information in the last 36 months that involved the registrant, including a thorough description of the actions taken in response to any such instances:

No security breaches

List all states in which the registrant has received authority to sell/broker services within the past 36 months. Indicate whether the registrant is actively providing services or not: See Exhibit A

State: _____	Status: _____	Date Issued: _____
State: _____	Status: _____	Date Issued: _____
State: _____	Status: _____	Date Issued: _____
State: _____	Status: _____	Date Issued: _____
State: _____	Status: _____	Date Issued: _____
State: _____	Status: _____	Date Issued: _____

List all states in which registrant or its affiliates has been denied approval and/or had authority revoked:

No denials to list

List all municipalities in which the registrant will be performing door-to-door marketing activities in New York State Further provide an attachment including all municipality permits obtained by the registrant.

Not serving any municipalities curently

2. Contact Information

The contacts listed below must be direct contacts for individuals, not for a shared mailbox or general phone number.

Executive Contact (Owner, CEO, or Executive responsible for New York service)

Name and Title: Fritz Kreiss, President

Address: 5072 State Road 50

City: Delavan State: WI Zip: 53115

Telephone: 262-248-0930

Fax: _____

Email Address: fritz@ausenergy.com

Regulatory Contact (Individual(s) Responsible for Ensuring Compliance with Regulatory Requirements)

Name and Title: Jenna Buehre, Director of Corporate Affairs

Address: 5072 State Road 50

City: Delavan State: WI Zip: 53115

Telephone: 262-248-0957

Fax: _____

Email Address: jenna@ausenergy.com

Marketing Contact (Individual(s) Responsible for Responding to Consumer Inquiries and Complaints)

Name and Title: Mindy Bartelt, Operations Manager

Address: 5072 State Road 50

City: Delavan State: WI Zip: 53115

Telephone: 262-248-0930

Fax: 262-248-9005

Email Address: mbartelt@ausenergy.com

3. Additional Requirements (Required for New Registrants)

- A sample standard Agreement between the Energy Broker or Energy Consultant and the customer; AUS does not contract with our customers directly. The energy service company will provide an agreement between customer and company.
- Sample forms of the notices sent upon assignment of sales agreements, discontinuance of service, or transfer of customers to other providers; The energy service company will provide client, and consultant with contract copies, enrollment letters, and discontinuance of service or transfer notices.
- Procedures used to obtain customer authorization for access to a customers' historic usage or credit information; AUS provides customers with related utility usage release forms for signature. If a utility specific form does not exist, an AUS Letter of Authorization will be used. AUS does not pull customer financials. If an energy service company requires financials for credit approval, AUS requests them from customer directly.
- Information on the methods by which the applicant intends to market energy products and services; We work with multi-location clients such as property management groups and do not actively market our products and services.
- Sample copies of informational and promotional materials that the applicant uses for mass marketing purposes; See above. AUS does not mass market.
- Sample disclosures of compensation; AUS will not contract with the customer directly. The energy service company will add our compensation disclosure as a provision on the disclosure label.
- Proof of registration with the New York State Department of State or proof of an assumed name certificate (DBA) filed with the county clerk; *Exhibit B*
- Proof of registration to act as a marketer in any municipality where such registration is required; *N/A - not registered as marketer with any municipality*
- An annual \$500 registration fee; Mailed
- Proof of an irrevocable standby letter of credit held with a reputable financial institution that identifies that Department as the beneficiary in the amount of:
 - \$100,000 for registering Energy Brokers; and
 - \$50,000 for registering Energy Consultants; mailed
- A completed Service Provider Contact Form, which can be found here, identifying the Energy Broker or Energy Consultant's employee(s) responsible for resolving consumer complaints received by the Department and referred to the Energy Broker or Energy Consultant

4. Signature

The person signing this application attests to the following: that she or he is an owner, partner, or officer of the business named on this registration package, the answers and materials contained in this registration package are true and the registration package submitted is complete and accurate. An Energy Broker or Consultant that knowingly makes false statements in this registration package is subject to denial or revocation of eligibility.


Signature:  Print Name: Fritz Kreiss
Title: President Date: 6/3/2024
Company Name: Alternative Utility Services, Inc.

Exhibit A

State	Licensed?	Operations
AR	Not Required	Currently doing business as a broker not taking title to the energy
DC	Yes	Currently doing business as an electricity supplier, not taking title to the electricity under docket number: EA 2014-20-5
DE	Yes	Currently doing business as an electricity broker, not taking title to the electricity under PSC docket number 14-0233
FL	Not Required	Currently doing business as a broker not taking title to the energy
GA	Not Required	Currently doing business as a broker not taking title to the energy
IL	Yes	Licensed under docket # 09-0574
IN	Not Required	Currently doing business as a broker not taking title to the energy
MA	Yes	Competitive Electric Broker license number EB-250 Gas Retail Agent License RA-132
MD	Yes	Licensed to supply electric generation services under license Ref # IR-2579
ME	Yes	Licensed to operate as a competitive electricity provider furnishing aggregator/broker services under Docket ID # 2011 - 312
MI	Not Required	Broker not engaged in the selling of electricity to customers
NH	Yes	Licensed as Natural Gas Aggregator under DM-17-158 and Electric Aggregator under REG 2023-063
NJ	Yes	Licensed as an Energy Agent, Private Aggregator, and Consultant under Registration # EA – 0123, PA – 0094 and EC - 0073
NY	Yes	Application Submitted
OK	Not Required	Currently doing business as broker
OH	Yes	Licensed as a Competitive Retail Electric Service Provider and Natural Gas Aggregator/Broker under Certificate No. 11-387E (5) and 11-230G (2)
PA	Yes	Licensed as an electric generation supplier under Docket A-2011-2261520; Licensed as a broker/aggregator under docket A-2013-2393189
RI	Not Required	Broker not engaged in the purchase or resale of electric generation services
TX	Yes	Registered as an Electricity Broker under registration no. BR190056
VA	Yes	Licensed Electricity and Natural Gas Aggregator under license No. A-64
WI	No	Operating as natural gas consultant

**NEW YORK STATE DEPARTMENT OF STATE
DIVISION OF CORPORATIONS, STATE RECORDS AND UNIFORM COMMERCIAL CODE
FILING RECEIPT**

ENTITY NAME : ALTERNATIVE UTILITY SERVICES, INC.
DOCUMENT TYPE : APPLICATION OF AUTHORITY
ENTITY TYPE : FOREIGN BUSINESS CORPORATION

DOS ID : 6929398
FILE DATE : 07/06/2023
FILE NUMBER : 230706004560
TRANSACTION NUMBER : 202307060001391-2177650
EXISTENCE DATE : 07/06/2023
DURATION/DISSOLUTION : PERPETUAL
COUNTY : ALBANY



SERVICE OF PROCESS ADDRESS : CORPORATION SERVICE COMPANY
80 STATE STREET,
ALBANY, NY, 12207-2543, USA

ELECTRONIC SERVICE OF PROCESS
EMAIL ADDRESS :

N/A

FILER : ALTERNATIVE UTILITY SERVICES, INC.
5072 STATE ROAD 50,
DELAVER, WI, 53115, USA
SERVICE COMPANY : CORPORATION SERVICE COMPANY
SERVICE COMPANY ACCOUNT : 45
CUSTOMER REFERENCE : 1230151-1 OF

You may verify this document online at : <http://ecorp.dos.ny.gov>
AUTHENTICATION NUMBER : 100003869368

TOTAL FEES:	\$260.00	TOTAL PAYMENTS RECEIVED:	\$260.00
FILING FEE:	\$225.00	CASH:	\$0.00
CERTIFICATE OF STATUS:	\$0.00	CHECK/MONEY ORDER:	\$0.00
CERTIFIED COPY:	\$10.00	CREDIT CARD:	\$0.00
COPY REQUEST:	\$0.00	DRAWDOWN ACCOUNT:	\$260.00
EXPEDITED HANDLING:	\$25.00	REFUND DUE:	\$0.00

**STATE OF NEW YORK
DEPARTMENT OF STATE**

I hereby certify that the annexed copy for ALTERNATIVE UTILITY SERVICES, INC., File Number 230706004560 has been compared with the original document in the custody of the Secretary of State and that the same is true copy of said original.

WITNESS my hand and official seal of the
Department of State, at the City of Albany,
on July 06, 2023.



Brendan C. Hughes

Brendan C. Hughes
Executive Deputy Secretary of State