

BEFORE THE STATE CORPORATION COMMISSION
OF THE STATE OF KANSAS

In the Matter of The Empire District Electric)
Company Filing Compliance Reports and)
Information as Prescribed by Commission) Docket No. 21-EPDE-072-CPL
Order Dated July 9, 2020, in Docket No.)
20-EPDE-427-ACT)

COMPLIANCE FILING

The Empire District Electric Company ("Liberty-Empire"), pursuant to the requirements of the Commission's Order issued in Docket No. 20-EPDE-427-ACT ("427 Docket") on July 9, 2020, is providing the attached information in compliance with the Commission's Order.

WHEREFORE, Liberty-Empire requests the information provided be accepted by the Commission in compliance with the reporting requirements in the 427 Docket.



James G. Flaherty, #111777

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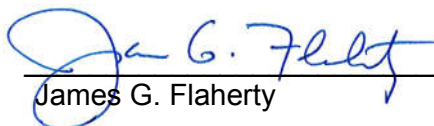
Attorneys for The Empire District Electric Company

VERIFICATION

STATE OF KANSAS
COUNTY OF FRANKLIN, ss:

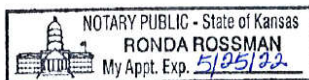
James G. Flaherty, of lawful age, being first duly sworn on oath, states:

That he is the attorney for The Empire District Electric Company named in the foregoing Compliance Filing and is duly authorized to make this affidavit; that he has read the foregoing and knows the contents thereof; and that the facts set forth therein are true and correct.



James G. Flaherty

SUBSCRIBED AND SWORN to before me this 25th day of September, 2020.





Notary Public

Appointment/Commission Expires:

CERTIFICATE OF SERVICE

I hereby certify that a copy of the above and foregoing was sent via electronic mail this 25th day of September, 2020, addressed to:

Joseph R. Astrab
j.astrab@curb.kansas.gov

Todd E. Love
t.love@curb.kansas.gov

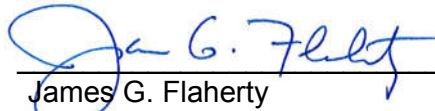
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James G. Flaherty

Liberty Utilities - Empire Electric

Docket No. 20-EPDE-427-ACT

Semi-annual filing - March 2020 - August 2020
Paragraph 2

a. A detailed identification of all COVID-19 related cost increases and decreases that Empire-Liberty has tracked to date. These costs should be separated and reported by detailed cost category and by month;

	March 2020	April 2020	May 2020	June 2020	July 2020	August 2020
Revenue Impact - under analysis	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Increased Costs						
Cost Category						
Late Payment Fees	\$ 5,809	\$ 37,878	\$ 30,664	\$ 32,956	\$ 39,119	\$ 41,522
Uncollectibles/Bad Debt	\$ (2,707)	\$ (2,140)	\$ (2,658)	\$ 55,275	\$ (2,793)	\$ (3,494)
IT Costs / Remote Work	\$ -	\$ 281	\$ 331	\$ 178	\$ 1,250	\$ 586
WiFi Expenses						
Supply Chain/Cleaning/PPE	\$ -	\$ 487	\$ 573	\$ 308	\$ 2,165	\$ 1,015
Communication	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Legal Fees - under analysis	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 163
Meals	\$ -	\$ 34	\$ 39	\$ 21	\$ 149	\$ 70
Decreased Costs						
Cost Category						
Training & Travel	\$ -	\$ 434	\$ 346	\$ 667	\$ 424	\$ 338
Utilities	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Labor						
Incremental Only for Recovery	\$ -	\$ 186	\$ 219	\$ 118	\$ 828	\$ 388

Liberty Utilities - Empire Electric

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b. A detailed identification of revenue changes by customer class, both increases and decreases, during the COVID-19 pandemic;

		March 2020	April 2020	May 2020	June 2020	July 2020	August 2020
Residential	NM-Net Metering	\$ (34)	\$ (12)	\$ (103)	\$ (59)	\$ (28)	\$ (37)
	PL-Private Lighting	\$ 17,163	\$ 16,689	\$ 17,256	\$ 17,021	\$ 17,161	\$ 17,236
	RG-Residential	\$ 543,414	\$ 463,072	\$ 422,146	\$ 553,707	\$ 821,287	\$ 830,898
	RG-Residential Water Heat	\$ 88,857	\$ 76,373	\$ 69,500	\$ 81,843	\$ 120,575	\$ 123,388
	RH-Residential Total Elec	\$ 302,992	\$ 233,589	\$ 191,327	\$ 210,065	\$ 293,602	\$ 290,236
Residential Total		\$ 952,391	\$ 789,711	\$ 700,127	\$ 862,577	\$ 1,252,596	\$ 1,261,722
Commercial	CB-Commercial	\$ 168,725	\$ 141,306	\$ 127,488	\$ 156,319	\$ 228,716	\$ 239,535
	GP-General Power	\$ 175,304	\$ 157,798	\$ 150,967	\$ 164,025	\$ 209,155	\$ 220,641
	LS-Special Lighting	\$ 411	\$ 404	\$ 365	\$ 398	\$ 493	\$ 584
	NM-Net Metering	\$ -	\$ (13)	\$ (84)	\$ (123)	\$ (13)	\$ (94)
	PL-Private Lighting	\$ 14,899	\$ 15,128	\$ 15,005	\$ 14,735	\$ 15,436	\$ 15,066
	SH-Small Heating	\$ 23,821	\$ 13,735	\$ 13,377	\$ 15,905	\$ 23,420	\$ 22,487
	TEB-Total Electric Bldg	\$ 70,623	\$ 45,324	\$ 39,034	\$ 44,479	\$ 62,226	\$ 66,086
Commercial Total		\$ 453,784	\$ 373,683	\$ 346,153	\$ 395,737	\$ 539,433	\$ 564,306
Industrial	CB-Commercial	\$ 4,293	\$ 2,714	\$ 3,229	\$ 2,623	\$ 3,415	\$ 2,639
	GP-General Power	\$ 117,925	\$ 108,243	\$ 107,014	\$ 107,835	\$ 124,151	\$ 128,429
	PL-Private Lighting	\$ 3,149	\$ 3,155	\$ 3,127	\$ 3,100	\$ 3,118	\$ 3,130
	PT-Transmission	\$ 294,641	\$ 274,058	\$ 277,117	\$ 270,054	\$ 254,216	\$ 282,197
	SH-Small Heating	\$ 652	\$ 2,902	\$ 607	\$ 597	\$ 547	\$ 680
	TEB-Total Electric Bldg	\$ 2,538	\$ 6,750	\$ 1,450	\$ 4,138	\$ 6,089	\$ 3,753
Industrial Total		\$ 423,198	\$ 397,822	\$ 392,544	\$ 388,347	\$ 391,535	\$ 420,828
Muni Street & Highway Lighting	CB-Commercial	\$ 1,201	\$ 2,231	\$ 2,089	\$ 2,196	\$ 2,481	\$ 2,556
	LS-Special Lighting	\$ 223	\$ 133	\$ 139	\$ 293	\$ 1,182	\$ 1,449
	PL-Private Lighting	\$ 188	\$ 190	\$ 187	\$ 186	\$ 188	\$ 188
	SPL-Municipal St Lighting	\$ 18,387	\$ 16,935	\$ 16,989	\$ 16,389	\$ 16,080	\$ 16,387
Muni Street & Highway Lighting Total		\$ 19,999	\$ 19,489	\$ 19,405	\$ 19,065	\$ 19,931	\$ 20,579
Other Public Authority	CB-Commercial	\$ 14,290	\$ 12,677	\$ 11,449	\$ 12,404	\$ 16,708	\$ 17,804
	GP-General Power	\$ 26,019	\$ 24,356	\$ 23,033	\$ 24,567	\$ 24,624	\$ 23,834
	LS-Special Lighting	\$ 48	\$ 49	\$ 84	\$ 47	\$ 42	\$ -
	PL-Private Lighting	\$ 43	\$ 43	\$ 43	\$ 42	\$ 43	\$ 43
	SH-Small Heating	\$ 1,426	\$ 940	\$ 559	\$ 591	\$ 895	\$ 943
TEB-Total Electric Bldg	\$ 1,142	\$ 1,087	\$ 1,005	\$ 1,174	\$ 1,529	\$ 1,535	
Other Public Authority Total		\$ 42,967	\$ 39,152	\$ 36,172	\$ 38,826	\$ 43,841	\$ 44,159
Grand Total		\$ 1,892,340	\$ 1,619,858	\$ 1,494,401	\$ 1,704,552	\$ 2,247,337	\$ 2,311,594

Liberty Utilities - Empire Electric

Docket No. 20-EPDE-427-ACT

Semi-annual filing - March 2020 - August 2020

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c. The impact COVID-19 has had on the Empire-Liberty's capital expenditure program during the previous semi annual period

COVID-19 has not impacted Empire-Liberty's capital expenditure program during the period.

Liberty Utilities - Empire Electric

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Redacted

d. Any issuances of short-term and long-term debt during the previous semi-annual period and the all-in costs at which that financing was issued;

**CONTAINS CONFIDENTIAL
INFORMATION
NOT AVAILABLE TO THE PUBLIC.
ORIGINALS FILED UNDER SEAL**

Liberty Utilities - Empire Electric

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Redacted

Semi-annual filing - March 2020 - August 2020

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e. The embedded cost of short-term debt for the semi-annual period.

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Liberty Utilities - Empire Electric

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f. Updated and most recent credit metrics calculated by Empire-Liberty or provided to the company by nationally recognized credit rating agencies;

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g. Any correspondence with nationally recognized credit rating agencies and equity analysts during the semi-annual period

See:

Attachment A Email received from Moodys.pdf

Attachment B Email received from S and P.pdf

Attachment C Email sent to Moodys.pdf

Attachment C Email sent to Moodys Redacted.pdf

Attachment D Email sent to S and P.pdf

Attachment D Email sent to S and P Redacted.pdf

Liberty Utilities - Empire Electric

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h. Copies of credit rating agencies and equity analysts' reports published during the previous semi-annual period.

Response:

No credit rating agency reports issued during the period or presentations given to same regarding Empire.

Equity Analyst Reports

Ben Pham	Date/Time	Contributor	Headline (4)
	14 Aug '20 02:06 AM	BMO Capital Markets	Q2 - Grinding Through a Soft Patch; Reiterate Market Perform Rating
	17 Jul '20 10:50 AM	BMO Capital Markets	Resuming Coverage With Market Perform Rating Following C\$983M Equity Issuance
	17 Jun '20 07:50 PM	BMO Capital Markets	Introductory Virtual Meeting With Incoming CEO Arun Banskota
	08 May '20 03:35 AM	BMO Capital Markets	Lowering Rating to Market Perform; Q1 Results Fall Short But 10% Divvy Increase
Julien Durr	Date/Time	Contributor	Headline (8)
	05 Aug '20 08:19 AM	BofA Global Research	North American Utilities & IPPs >> Power Points: Outages quite large; PennEast success; WTR; AQN; MVP; DoE
	04 Aug '20 10:38 AM	BofA Global Research	North American Utilities & IPPs >> Power Points: BKH 2Q, EVRG Accretion, AQN Setback, CNP Costs, WTRG, AEP
	31 Jul '20 09:21 AM	BofA Global Research	North American Utilities & IPPs >> Power Points: Lessons from 2Q; ES; AQN; AES; PPL; BKH; PJM Load Revision; CMS
	20 Jul '20 09:44 AM	BofA Global Research	North American Utilities & IPPs >> Power Points: Previews & 2Q Kick Off; ComEd; AQN; Solar Policy; NI, EXC, AEP
	09 Jul '20 08:27 AM	BofA Global Research	North American Utilities & IPPs >> Power Points: More Dom Reactions, AQN, XEL, ETR, Clean Energy
	26 May '20 07:09 AM	BofA Global Research	North American Utilities & IPPs >> Power Points: AQN in MO, PPL ROE, LNT, AGR, AEE, PCG, SO, PTCs
	05 May '20 07:14 AM	BofA Global Research	North American Utilities & IPPs >> Power Points: BKH Guide 1st Take, China Retaliation, ES/AQN, NWP12, SO
	09 Mar '20 04:04 PM	BofA Global Research	North American Utilities & IPPs >> Power Points: PCG Gov; AQN share sales
Mark Jarvi	Date/Time	Contributor	Headline (8)
	14 Aug '20 03:10 PM	CIBC Capital Markets	Despite Some Shorter-term Challenges, The Longer-term Growth Looks Solid For Patient Investors.
	13 Aug '20 10:00 PM	CIBC Capital Markets	Q2/20 First Look: Weaker Utility Results Largely Due To COVID, While Power Was In Line; 2020 Guidance Reiterated
	30 Jul '20 10:35 AM	CIBC Capital Markets	Deal With Chevron To Develop Renewable Assets-Unique Opportunity, But Impact Hard To Quantify
	17 Jul '20 11:15 AM	CIBC Capital Markets	Equity Raise De-risks Funding Plan
	14 Jun '20 12:20 PM	CIBC Capital Markets	Added To The S&P/TSX 60 Index
	10 May '20 06:05 PM	CIBC Capital Markets	Stick With It-Levers To Manage Headwinds & Deliver Growth
	07 May '20 10:00 PM	CIBC Capital Markets	Q1/20 First Look: Weak Results Force Reduction In Bottom End Of Guidance Range; 10% Dividend Increase
	01 Mar '20 04:40 PM	CIBC Capital Markets	Core Performance And Positive Growth Reiterated
Bill Cabel	Date/Time	Contributor	Headline (2)
	30 Jul '20 09:15 AM	Desjardins Securities	Signs a development agreement with Chevron-an ESG-driven evolution of IPP growth
	07 May '20 10:20 PM	Desjardins Securities	First take on 1Q20-warm winter makes for a tough quarter; AQN taking precautions around COVID-19
Rich Sundt	Date/Time	Contributor	Headline (5)
	14 Aug '20 02:32 AM	JP Morgan	Algonquin Power & Utilities Corp. >> 2Q20 Results Earnings Miss Estimates; 2020 Guidance Reaffirmed
	16 Jun '20 11:03 AM	JP Morgan	Algonquin Power & Utilities Corp. >> J.P. Morgan Energy Conference Takeaways
	01 Jun '20 10:58 AM	JP Morgan	Algonquin Power & Utilities Corp. >> Model Update
	07 May '20 10:57 PM	JP Morgan	Algonquin Power & Utilities Corp. >> 1Q20 Earnings Miss Estimates; 2020 Guidance Revised Lower For Weather, COVID Impacts
	09 Apr '20 02:04 AM	JP Morgan	Algonquin Power & Utilities Corp. >> Model Update
Naji Baydo	Date/Time	Contributor	Headline (6)
	17 Aug '20 05:00 AM	Industrial Alliance Securities	Q2/20 Update: Results Below Estimates; Near-Term Performance Likely More Muted, but the Long-Term Outlook Remains Compelling; Decreasing Price Target to \$21.00 (from \$22.00)
	14 Aug '20 04:43 AM	Industrial Alliance Securities	Q2/20 First Impression: Results Miss Estimates; 2020 Guidance Maintained; Bigger Picture Remains Unchanged
	17 Jul '20 09:38 AM	Industrial Alliance Securities	Resuming Coverage - AQN Fills a Chunk of its Equity Requirements

h. Copies of credit rating agencies and equity analysts' reports published during the previous semi-annual period.

	11 May '20 05:48 AM	Industrial Alliance Securities	Q1/20 Update: Dividend Increased 10%; Overall Growth Outlook Remains Compelling Despite the More Conservative 2020 Guidance
	08 May '20 05:37 AM	Industrial Alliance Securities	Q1/20 First Impression: Results Slightly Below Estimates; More Conservative 2020 Guidance; Dividend Increased 10%
	02 Mar '20 06:34 AM	Industrial Alliance Securities	Q4/19 Update: Good Results; Overall Growth Remains on Track
Rupert Me	Date/Time	Contributor	Headline (9)
	17 Aug '20 06:20 AM	National Bank Financial	Dilution and COVID pull down forecasts for 2020E, but investments should help in 2021E >> Q2 2020 Results & Outlook
	14 Aug '20 06:30 AM	National Bank Financial	Soft quarter with COVID impact, but guidance reaffirmed and growth plans unchanged
	30 Jul '20 09:00 AM	National Bank Financial	Agreement with Chevron to develop >500 MW of renewable power projects
	17 Jul '20 10:25 AM	National Bank Financial	Equity issuance supports growth plans in U.S. renewable energy >> Off Restriction
	17 Jun '20 07:50 PM	National Bank Financial	If it ain't broke, don't fix it: As a new era begins, anticipating stability under new leadership
	10 May '20 09:40 PM	National Bank Financial	Q1 2020 Results and Outlook: Weather impacted Q1; Impact of COVID-19 should be limited
	07 May '20 11:40 PM	National Bank Financial	Managing through a warm winter and COVID-19; showing resistance to the pandemic
	28 Apr '20 08:30 PM	National Bank Financial	Q1 2020 Preview - AQN should be largely immune to COVID-19
	02 Mar '20 08:35 AM	National Bank Financial	Q4 19 - Results & Outlook: Beat helped by non-recurring items; Significant development planned for '20E
David Que	Date/Time	Contributor	Headline (3)
	14 Aug '20 06:56 AM	Raymond James	AQN 2Q20 Miss but Guidance Reaffirmed; Reiterate SB1 on Robust Capex Plan, Discounted Valuation
	26 Jun '20 07:00 AM	Raymond James	AQN Thoughts on Imminent C-Suite Transition and Discounted Valuation
	08 May '20 07:01 AM	Raymond James	AQN Slight 1Q20 Miss on Weather; Reaffirm Strong Buy Rating
Nelson Ng	Date/Time	Contributor	Headline (11)
	17 Aug '20 05:42 AM	RBC Capital Markets	Execution is the near-term focus as management reiterates guidance
	14 Aug '20 02:38 AM	RBC Capital Markets	First Glance: Weaker-than-expected Q2 results put 2020 guidance at risk, in our view
	30 Jul '20 08:18 AM	RBC Capital Markets	Algonquin Power & Utilities (AQN): Announces agreement with Chevron to co-develop global renewable projects
	17 Jul '20 10:10 AM	RBC Capital Markets	Equity offering provides funding for some upcoming big-ticket items
	27 Jun '20 11:02 PM	RBC Capital Markets	Algonquin Power & Utilities (AQN): Shady Oaks 2 wind expansion project is making progress
	12 Jun '20 07:32 PM	RBC Capital Markets	Algonquin Power & Utilities (AQN): Addition to the S&P/TSX 60 Index should improve profile, particularly among international investors
	02 Jun '20 02:47 PM	RBC Capital Markets	Algonquin Power & Utilities (TSX: AQN, NYSE: AQN) - Highlights from the RBC Global Energy and Power Executive Virtual Conference
	11 May '20 06:24 AM	RBC Capital Markets	Improving utility risk profile and potential upside for 2021/22 wind developments
	08 May '20 05:49 AM	RBC Capital Markets	First Glance: Modest Q1 shortfall, 10% dividend hike, and guidance reduced slightly
	07 Apr '20 07:08 AM	RBC Capital Markets	AQN data update
	01 Mar '20 08:15 PM	RBC Capital Markets	Focused on growth as senior management transition continues
Sean Steu	Date/Time	Contributor	Headline (8)
	17 Aug '20 06:45 AM	TD Securities	Sticking with 2020 Guidance Range Despite Soft Q2 Results
	14 Aug '20 05:55 AM	TD Securities	Modest Q2/20 Miss; Consistent 2020 EPS and Capex Guidance
	30 Jul '20 08:14 AM	TD Securities	4-Year Deal with Chevron to Co-Develop Renewable Power Projects
	20 Jul '20 06:27 AM	TD Securities	Resuming Coverage; Equity Raise Covers Portion of Mid-term Needs
	05 Jun '20 09:28 AM	TD Securities	CEO Transition Accelerates to July
	11 May '20 07:13 AM	TD Securities	Warm Weather Undermines Q1; Long-Term Capital Plan Intact
	08 May '20 06:03 AM	TD Securities	Warm Weather Weighs on Q1/20 Results; 2020 Guidance Trimmed
	02 Mar '20 07:00 AM	TD Securities	Strong Finish to 2019; Ambitious Long-Term Growth Plan Intact
Neil Kalton	Date/Time	Contributor	Headline (4)
	14 Aug '20 06:42 PM	Wells Fargo Securities	AQN: Trimming Estimates On MO Rate Order & New Equity
	20 Jul '20 04:58 AM	Wells Fargo Securities	Utility And Infrastructure Daily
	31 May '20 06:33 PM	Wells Fargo Securities	Utility & Infrastructure Daily

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h. Copies of credit rating agencies and equity analysts' reports published during the previous semi-annual period.

Robert Hoj	Date/Time	Contributor	Headline (4)
	10 May '20 08:54 PM	Wells Fargo Securities	AQN: Beyond COVID-19 - Q1 Updates An Incremental Positive
	17 Aug '20	Scotiabank	Q2/20 Recap: Better Than Expected But Still Not Good
	14 Aug '20	Scotiabank	New CEO, Same Strategy – Maintaining Guidance in a Tough Market
	14 Aug '20	Scotiabank	Q2/20 Initial Take: COVID-19 Takes a Toll on Q2, But Outlook Unchanged
	17 Jul '20	Scotiabank	Equity Raise Clarifies Near-Term Funding Outlook
	11 May '20	Scotiabank	A Tougher Start to 2020

Attachment A

From: [Hamilton, Nana](#)
To: [Mark Timpe](#)
Subject: Accepted: Empire District/Moody"s informal call

Moody's monitors email communications through its networks for regulatory compliance purposes and to protect its customers, employees and business and where allowed to do so by applicable law. The information contained in this e-mail message, and any attachment thereto, is confidential and may not be disclosed without our express permission. If you are not the intended recipient or an employee or agent responsible for delivering this message to the intended recipient, you are hereby notified that you have received this message in error and that any review, dissemination, distribution or copying of this message, or any attachment thereto, in whole or in part, is strictly prohibited. If you have received this message in error, please immediately notify us by telephone, fax or e-mail and delete the message and all of its attachments. Every effort is made to keep our network free from viruses. You should, however, review this e-mail message, as well as any attachment thereto, for viruses. We take no responsibility and have no liability for any computer virus which may be transferred via this e-mail message.

From: [Hamilton, Nana](#)
To: [Mark Timpe](#)
Subject: Accepted: Empire District/Moody"s Presentation Call

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From: [Hamilton, Nana](#)
To: [Mark Timpe](#)
Cc: [Moody's Cyber Survey](#)
Subject: Moody's Cyber Risk Issuer Survey
Date: Friday, March 13, 2020 12:12:32 PM
Attachments: [image001.png](#)
[image002.png](#)
[image005.jpg](#)
[Moody's Cyber Risk Issuer Survey Empire District Electric Company \(The\) 264000.xlsx](#)

Dear Mark,

Moody's is devoting more time to understanding cyber risk because we see cyber risk increasing for our issuers. Moody's would like to better understand issuers' cyber readiness and how their mitigating strategies affect resiliency. These insights will enable us to better differentiate issuers' cyber readiness, in a consistent manner, across sectors and geographies. We think cyber risk is an enterprise-wide risk that resides with executive management and the board of trustees or directors.

In order to help us frame cyber risk consistently across sectors and geographies, we request your participation in a brief cyber survey. Attached is an excel file copy of the survey. Answering the survey may require input from an issuer's security, financial planning and legal teams. The majority of the questions are answered through a drop-down menu, and we have a free-form text box for any additional information you would like to share.

We kindly ask that you complete and return this survey within 4 to 8 weeks of receipt. **Please copy the email address: Moody'sCyberSurvey@moodys.com on all correspondence related to the survey, and please do not change the name of the file.** If we receive an adequate number of responses, we hope to publish anonymized and aggregated data from the collected surveys in Q4 2020.

We believe the survey is an important first step in better understanding our issuers' cyber positions, and we thank you for your attention to this matter. Should you have any questions about this email or the cyber survey, please reach out to me, and we'll be happy to address your questions or concerns. We sincerely hope you will see the value in completing the cyber survey and look forward to hearing back from you soon.

Kind regards.

Yours sincerely,
Nana

.....
Nana Hamilton
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From: [Hamilton, Nana](#)
To: [Arthur Kacprzak](#); [Mark Timpe](#)
Subject: Moody's Power & Gas Issuers" Conference webinar series
Date: Wednesday, May 27, 2020 12:16:42 PM
Attachments: [image001.png](#)
[image002.png](#)
[image003.jpg](#)

Arthur, Mark,

Hope all is well. You may have received an email from our events team but in case you missed it, I wanted to make you aware of our 2020 Power & Gas Issuers' Conference which this year will be held as a three-part webinar series through the month of June. I've included a link to the conference details and registration here. Feel free to also share this with other members of your team as appropriate.

https://ma.moody.com/USUtilitiesIssuersConference_2020.html

Regards,

Nana

.....
Nana Hamilton
Power/Utilities Americas
212.553.9440 tel
212.202.3868 fax
nana.hamilton@moody.com

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250 Greenwich Street
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www.moody.com
.....



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From: [Hamilton, Nana](#)
To: [Mark Timpe](#)
Subject: Moody's Webinar
Date: Thursday, April 16, 2020 2:32:27 PM
Attachments: [image001.png](#)
[image002.png](#)
[image003.jpg](#)

Hi Mark,

Hope all is well. I wanted to make you aware of a Moody's webinar tomorrow at 10am ET to address our current views on the impact of the coronavirus pandemic on the infrastructure sector which includes utilities. If you or any of your team members would like to listen to the webinar, the event registration can be found here:

<https://events.moody's.io/webinars>

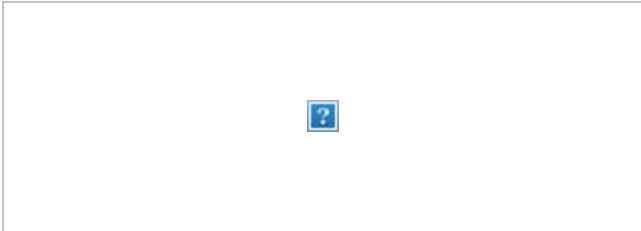
Regards,

Nana

.....
Nana Hamilton

Power/Utilities Americas
212.553.9440 tel
212.202.3868 fax
nana.hamilton@moody's.com

Moody's Investors Service
7 World Trade Center
250 Greenwich Street
New York, NY 10007
www.moody's.com
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Moody's Cyber Risk Survey

Key Guidance Menu

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Please review expected input format in the cell comment

Table of Content Menu

SKIP TO Guidance

SKIP TO Questions

Guidance on the Survey

1. Supply answers for all questions on the 'Questions' tab.
2. Cells highlighted in green on the 'Question' tab are available for you to provide additional information.
3. Questions are answered using drop-down selections or text responses (numbers, percentages, words).
4. Expected input for each answer is shown when the corresponding cell is selected.
5. The below table tracks which questions are answered ('Ok' in green cell) and which remain unanswered ('No').
6. Survey answers should solely reflect the organization's internal cyber practices and exclude cybersecurity.
7. Survey answers should only capture information pertaining to the organization itself and any fully consolidated entities.

Summary of Answered and Unanswered Questions

Section A: Enterprise Cybersecurity Plan	
1	Not Answered
2	Not Answered
3	Not Answered
4	Not Answered
5	Not Answered
6	Not Answered
7	Not Answered
8	Not Answered
9	Not Answered
10	Not Answered
11	Not Answered
12	Not Answered
13	Not Answered
14	Not Answered
15	Not Answered
16	Not Answered
17	Not Answered
18	Not Answered
19	Not Answered
20	Not Answered
21	Not Answered
22	Not Answered
23	Not Answered
24	Not Answered
25	Not Answered
26	Not Answered
27	Not Answered
28	Not Answered
29	Not Answered
30	Not Answered
31	Not Answered
32	Not Answered
33	Not Answered
34	Not Answered
Section B: IT Infrastructure and Practices	
35	Not Answered
36	Not Answered
37	Not Answered
38	Not Answered
39	Not Answered
40	Not Answered
Section C: Third Party Vendor Management	
41	Not Answered
42	Not Answered

Moody's Cyber Risk Survey

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43	Not Answered
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Moody's Cyber Risk Survey

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5. The below table tracks which questions are answered ('Ok' in green cell) and which remain unanswered ('No').
6. Survey answers should solely reflect the organization's internal cyber practices and exclude cybersecurity.
7. Survey answers should only capture information pertaining to the organization itself and any fully consolidated entities.

Section D: Insurance	
44	Not Answered
45	Not Answered
46	Not Answered
47	Not Answered
48	Not Answered
49	Not Answered
50	Not Answered
Section E: Financial Data	
51	Not Answered
52	Not Answered
53	Not Answered
54	Not Answered
Section F: Corporate Governance	
55	Not Answered
56	Not Answered
57	Not Answered
58	Not Answered
Total Answered	0

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Key Guidance Menu

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Questions

RESPONSES

A Enterprise Cybersecurity Plan			
1 What is the title of the person with primary responsibility for cybersecurity? ("Primary responsibility" is defined as spending more than 80% of their time focused on cybersecurity and/or cyber risk)	<input type="text"/>		
2 To whom does this person report (i.e. who is this person's direct manager)?	<input type="text"/>		
3 If the CEO does not directly manage the person responsible for cybersecurity, how many times per year does this person (or their representative) routinely provide updates on cybersecurity to the CEO (directly and in person [not including memos and prereads])?	<input type="text"/>		
4 How many times per year does this person (or their representative) routinely report on cybersecurity to the entire Board of Directors (directly and in person [not including memos and prereads])?	<input type="text"/>		
5 How many times per year does this person (or their representative) routinely report on cybersecurity to the Board of Directors committee responsible for cybersecurity oversight (directly and in person [not including memos and prereads])?	<input type="text"/>		
6 How many years has the person with primary responsibility for cybersecurity been in the current position?	<input type="text"/>		
7 How many years has the person with primary responsibility for cybersecurity been with your company?	<input type="text"/>		
	2017	2018	2019
8 What is the maximum number of full-time cybersecurity employees your organization has employed in each of the following years?	<input type="text"/>	<input type="text"/>	<input type="text"/>
9 What is the maximum number of contract or outsourced cybersecurity employees that have worked for your organization in each of the following years?	<input type="text"/>	<input type="text"/>	<input type="text"/>
10 What is the number of full-time cybersecurity employees your organization forecasts employing in 2022?	<input type="text"/>		
11 What is the number of contract or outsourced cybersecurity employees that you forecast working for your organization in 2022?	<input type="text"/>		
12 What is the turnover rate among your organization's cybersecurity full-time employees over the previous 12 months?	<input type="text"/>		
13 How many of your organization's employees work on compliance with cyber-related laws and regulations (including data privacy regulations)?	<input type="text"/>		
14 How many of your organization's employees work on a cyber threat hunting team?	<input type="text"/>		
15 How many of your organization's employees work on a vulnerability management team?	<input type="text"/>		
16 Has your organization developed an incident response plan to respond to cyber incidents?	<input type="text"/>		
17 How many times per year does your organization test the incident response plan?	<input type="text"/>		
18 How many times per year does your organization update the incident response plan?	<input type="text"/>		
19 Has your organization completed a tabletop simulation in the last 12 months? A tabletop simulation is defined as role-playing potential security incident scenarios in order to evaluate whether response plans are sufficient and include required participants.	<input type="text"/>		
20 What percentage of your organization's internal technology stack is end-of-life (i.e. no longer receives security upgrades from the vendor)?	<input type="text"/>		
21 What is your organization's mean time to patch critical vulnerabilities on internet-exposed platforms (measured in days)?	<input type="text"/>		
22 What is your organization's mean time to patch critical vulnerabilities on platforms not exposed to the internet (measured in days)?	<input type="text"/>		
23 What is your organization's mean time to patch critical vulnerabilities on enterprise platforms not exposed to the internet (measured in days)?	<input type="text"/>		
24 What percentage of your organization's internet-accessible applications had a penetration test performed in the last 12 months?	<input type="text"/>		
25 What percentage of your organization's internet-accessible applications have been scanned for vulnerabilities in the last 12 months?	<input type="text"/>		
26 Has your organization completed Red Team testing in the last 12 months?	<input type="text"/>		
27 Does your organization have a formalized process for remediating issues found during Red Team testing?	<input type="text"/>		

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Key Guidance Menu

Fill in all blue fields	Fill in green cells when "Other" is selected from dropdown	Please review expected input format in the cell comment
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Questions

RESPONSES

28 Does your organization have a program for responding to external reports of security issues affecting the company's products or operations (e.g. a bug-bounty program)?	<input type="text"/>							
29 How many times did your organization engage with or educate personnel on cybersecurity issues during the past year (e.g. phishing simulations, awareness campaigns, etc.)?	<input type="text"/>							
30 Has your organization ever issued a public notice, such as an 8K or press release, of a cyber incident affecting your organization's internal information technology (IT) or operational technology (OT) assets?	<input type="text"/>							
31 Has your organization reported any cybersecurity incidents it has experienced to regulators over the past 24 months?	<input type="text"/>							
32 Has your organization reported any cybersecurity incidents it has experienced to its customers over the past 24 months?	<input type="text"/>							
33 Has your organization reported any cybersecurity incidents it has experienced to the board of directors over the past 24 months?	<input type="text"/>							
34 Do merger and acquisition proposals require a risk assessment from the team responsible for cybersecurity?	<input type="text"/>							
B IT Infrastructure and Practices								
35 What percentage of your organization's IT infrastructure is hosted on the following platforms?	<table border="1"> <tr> <td>On Premise (Not Cloud)</td> <td>Private Cloud Run by Third Party</td> <td>Public Cloud</td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> </table>	On Premise (Not Cloud)	Private Cloud Run by Third Party	Public Cloud	<input type="text"/>	<input type="text"/>	<input type="text"/>	
On Premise (Not Cloud)	Private Cloud Run by Third Party	Public Cloud						
<input type="text"/>	<input type="text"/>	<input type="text"/>						
36 What percentage of your organization's IT infrastructure do you expect will be hosted on the following platforms 12 months from now?	<table border="1"> <tr> <td>On Premise (Not Cloud)</td> <td>Private Cloud Run by Third Party</td> <td>Public Cloud</td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> </table>	On Premise (Not Cloud)	Private Cloud Run by Third Party	Public Cloud	<input type="text"/>	<input type="text"/>	<input type="text"/>	
On Premise (Not Cloud)	Private Cloud Run by Third Party	Public Cloud						
<input type="text"/>	<input type="text"/>	<input type="text"/>						
37 Which cloud provider(s) do you use?								
Amazon	<input type="text"/>							
Google	<input type="text"/>							
Microsoft Azure	<input type="text"/>							
Other (Please provide name(s))	<input type="text"/>							
38 Does your organization use multi-factor authentication (MFA) to manage remote access to internal resources, such as email?	<input type="text"/>							
39 On at least a weekly basis, does your organization backup its data and systems to a resource that is disconnected from the organization's network?	<input type="text"/>							
40 Does development of your intellectual property occur through the use of any third party entities (e.g. contractors) in Russia, China, or Iran?	<input type="text"/>							
C Third Party Vendor Management								
41 Do new vendors whose personnel or products have access to your organization's computer systems require a risk assessment from the team responsible for cybersecurity?	<input type="text"/>							
42 Are current vendors subject to periodic review by the team responsible for cybersecurity?	<input type="text"/>							
43 Does your organization receive timely notification on cybersecurity incidents, vulnerabilities, patches and malware that affect vendors?	<input type="text"/>							

Moody's Cyber Risk Survey

Key Guidance Menu

Fill in all blue fields	Fill in green cells when "Other" is selected from dropdown	Please review expected input format in the cell comment
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Questions

RESPONSES

D Insurance	
44 Does your organization carry standalone cyber insurance?	<input type="text"/>
45 What insurance coverages are included in your standalone cyber policy?	
Property Damage	<input type="text"/>
Business Interruption	<input type="text"/>
Contingent Business Interruption	<input type="text"/>
Reputational Damage	<input type="text"/>
Regulatory Fines	<input type="text"/>
Ransom Payments	<input type="text"/>
New Equipment	<input type="text"/>
Incident Response	<input type="text"/>
Legal Settlements	<input type="text"/>
Other (Please Specify)	<input type="text"/>
46 What is the US dollar amount of your cyber insurance limit (in thousands of dollars)?	<input type="text"/>
47 What is the US dollar amount of your cyber insurance deductible (in thousands of dollars)?	<input type="text"/>
48 Does your organization have explicit cyber coverage through a traditional insurance policy, i.e. P&C, D&O, etc.?	<input type="text"/>
49 What cyber coverages are explicitly included in your traditional insurance policy?	
Property Damage	<input type="text"/>
Business Interruption	<input type="text"/>
Contingent Business Interruption	<input type="text"/>
Reputational Damage	<input type="text"/>
Regulatory Fines	<input type="text"/>
Ransom Payments	<input type="text"/>
New Equipment	<input type="text"/>
Incident Response	<input type="text"/>
Legal Settlements	<input type="text"/>
Other (Please Specify)	<input type="text"/>
50 Does your organization require that vendors whose personnel or products have access to your organization's computer systems carry cyber insurance?	<input type="text"/>

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Key Guidance Menu

Fill in all blue fields	Fill in green cells when "Other" is selected from dropdown	Please review expected input format in the cell comment
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SKIP TO Guidance	SKIP TO Questions
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Questions

RESPONSES

Questions		RESPONSES		
E Financial Data	51 Does cybersecurity have its own line item in your organization's budgeting process?	<input type="text"/>		
	52 If cybersecurity does not have its own line item in the budgeting process, please identify which budget line item(s) incorporates cybersecurity spending.	<input type="text"/>		
	53 What percentage of total technology budget was or is projected to be allocated to cybersecurity for each of the following years?	2018	2019	2020
	54 What amount was or is projected to be spent on cybersecurity for each of the following years (in thousands of US dollars)?	<input type="text"/>	<input type="text"/>	<input type="text"/>
F Corporate Governance	55 What percentage of your organization's Board of Directors' members have cybersecurity expertise?	<input type="text"/>		
	56 What type of cybersecurity credentials do your organization's Board of Directors' members possess?	<input type="text"/>		
	57 How many times in the past 36 months has responsibility for cybersecurity oversight shifted to a different Board of Directors committee?	<input type="text"/>		
	58 Does your organization have defined cybersecurity performance objectives for the CEO (or for the organization to be implemented by CEO)?	<input type="text"/>		

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From: [Hamilton, Nana](#)
To: [Mark Timpe](#)
Subject: RE: Liberty Utilities Co.
Date: Tuesday, April 7, 2020 3:18:07 PM

Thank you Mark.

How are you doing? Are you seeing any negative impacts to Empire of the current covid-19 fueled economic downturn? We think the utility sector is generally resilient during financial crises but to the extent that we enter into a prolonged recession there may be financial losses that utilities will need to work with regulators to recover.

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Tuesday, April 7, 2020 4:03 PM
To: Hamilton, Nana <Nana.Hamilton@moody.com>
Subject: Liberty Utilities Co.

CAUTION: This email originated from outside of Moody's. Do not click links or open attachments unless you recognize the sender and know the content is safe.

Nana,
Attached please find the 2019 audited financial statement for Liberty Utilities Co.

Hope all is well with you and yours.

Regards,

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

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From: [Hamilton, Nana](#)
To: [Mark Timpe](#)
Cc: [Finnegan, Ryan](#)
Subject: RE: Moody's Cyber Risk Issuer Survey
Date: Tuesday, March 17, 2020 11:14:42 AM
Attachments: [image001.png](#)
[image002.png](#)
[image004.jpg](#)

Mark,

This data will be considered MNPI and will be protected in the same manner as we protect all the other MNPI you provide us on Empire.

I don't think there is a separate governing document for this cyber data specifically but please feel free to reach out to your commercial contact (Ryan Finnegan - Ryan.Finnegan@moodys.com) for information on what governs all the MNPI you provide us.

Regards,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Friday, March 13, 2020 5:13 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Moody's Cyber Risk Issuer Survey

CAUTION: This email originated from outside of Moody's. Do not click links or open attachments unless you recognize the sender and know the content is safe.

Nana,

A question was raised by our legal team about the expectation of confidentiality surrounding survey responses. Would any responses be subject to an existing confidentiality agreement and, if so, can you provide us with a copy of the operative document be it a standalone confidentiality agreement or the rating services agreement?

Many thanks.

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

From: Hamilton, Nana [<mailto:Nana.Hamilton@moodys.com>]
Sent: Friday, March 13, 2020 12:12 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Cc: MoodysCyberSurvey <MoodysCyberSurvey@moodys.com>
Subject: Moody's Cyber Risk Issuer Survey

Dear Mark,

Moody's is devoting more time to understanding cyber risk because we see cyber risk increasing for our issuers. Moody's would like to better understand issuers' cyber readiness and how their mitigating strategies affect resiliency. These insights will enable us to better differentiate issuers' cyber readiness, in a consistent manner, across sectors and geographies. We think cyber risk is an enterprise-wide risk that resides with executive management and the board of trustees or directors.

In order to help us frame cyber risk consistently across sectors and geographies, we request your participation in a brief cyber survey. Attached is an excel file copy of the survey. Answering the survey may require input from an issuer's security, financial planning and legal teams. The majority of the questions are answered through a drop-down menu, and we have a free-form text box for any additional information you would like to share.

We kindly ask that you complete and return this survey within 4 to 8 weeks of receipt. **Please copy the email address: MoodysCyberSurvey@moodys.com on all correspondence related to the survey, and please do not change the name of the file.** If we receive an adequate number of responses, we hope to publish anonymized and aggregated data from the collected surveys in Q4 2020.

We believe the survey is an important first step in better understanding our issuers' cyber positions, and we thank you for your attention to this matter. Should you have any questions about this email or the cyber survey, please reach out to me, and we'll be happy to address your questions or concerns. We sincerely hope you will see the value in completing the cyber survey and look forward to hearing back from you soon.

Kind regards.

Yours sincerely,
Nana

.....
Nana Hamilton
Power/Utilities Americas
212.553.9440 tel
212.202.3868 fax
nana.hamilton@moodys.com

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From: [Hamilton, Nana](#)
To: [Mark Timpe](#)
Subject: RE: Q2 Financial Statements - Empire District Electric
Date: Wednesday, September 16, 2020 8:08:02 AM

Thank you.

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Wednesday, September 16, 2020 8:49 AM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Q2 Financial Statements - Empire District Electric

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Nana,
Please see attached.

Regards,

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Wednesday, September 16, 2020 7:23 AM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Q2 Financial Statements - Empire District Electric

Hi Mark,
Could you also send me the 2020 Liberty Utilities quarterly filings?

Thanks,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Wednesday, August 19, 2020 5:35 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Q2 Financial Statements - Empire District Electric

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Nana,

That timing should work for us as well. I'll be in touch to schedule our call once we are close to having our presentation/update put together.

Regards,

Mark

Mark Timpe | Liberty Algonquin Business Services (USA) | Director, Treasury

P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Hamilton, Nana <Nana.Hamilton@moodys.com>

Sent: Wednesday, August 19, 2020 7:51 AM

To: Mark Timpe <Mark.Timpe@libertyutilities.com>

Subject: RE: Q2 Financial Statements - Empire District Electric

Thank you Mark. An update in the near term, including how the pandemic has impacted Empire's load/earnings, and how the wind projects are progressing would be much appreciated. We have our portfolio review process in early October so I will be reaching out to get an update sometime in September either way. If you would like to have our annual update discussion before October, that would work for me. Let me know what timing you were thinking.

Hope all is well,

Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>

Sent: Monday, August 17, 2020 6:52 PM

To: Hamilton, Nana <Nana.Hamilton@moodys.com>

Subject: Q2 Financial Statements - Empire District Electric

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Nana,

I hope you and yours are doing well. Attached please find the Q2 financial statements for Empire. Since we were unable to have the mid-year visit in NY around the EEI Treasurer's meeting as we had previously planned, we need to find some time to give you and the team an update on Empire. In the near future, I'll start work on a presentation which can be discussed during the call and we can discuss timing for the visit.

Best Regards,

Mark

Mark Timpe | Liberty Algonquin Business Services (USA) | Director, Treasury

P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

602 S Joplin Ave, Joplin, MO 64801

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From: [Hamilton, Nana](#)
To: [Mark Timpe](#)
Subject: RE: Q2 Financial Statements - Empire District Electric
Date: Wednesday, September 16, 2020 7:22:58 AM

Hi Mark,

Could you also send me the 2020 Liberty Utilities quarterly filings?

Thanks,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Wednesday, August 19, 2020 5:35 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Q2 Financial Statements - Empire District Electric

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Nana,
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Regards,

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Wednesday, August 19, 2020 7:51 AM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Q2 Financial Statements - Empire District Electric

Thank you Mark. An update in the near term, including how the pandemic has impacted Empire's load/earnings, and how the wind projects are progressing would be much appreciated. We have our portfolio review process in early October so I will be reaching out to get an update sometime in September either way. If you would like to have our annual update discussion before October, that would work for me. Let me know what timing you were thinking.

Hope all is well,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Monday, August 17, 2020 6:52 PM

To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: Q2 Financial Statements - Empire District Electric

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Nana,

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Best Regards,

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Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

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this e-mail message.

From: [Hamilton, Nana](#)
To: [Mark Timpe](#)
Subject: RE: Q2 Financial Statements - Empire District Electric
Date: Wednesday, August 19, 2020 7:50:49 AM

Thank you Mark. An update in the near term, including how the pandemic has impacted Empire's load/earnings, and how the wind projects are progressing would be much appreciated. We have our portfolio review process in early October so I will be reaching out to get an update sometime in September either way. If you would like to have our annual update discussion before October, that would work for me. Let me know what timing you were thinking.

Hope all is well,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Monday, August 17, 2020 6:52 PM
To: Hamilton, Nana <Nana.Hamilton@moody.com>
Subject: Q2 Financial Statements - Empire District Electric

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Nana,
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From: [Hamilton, Nana](#)
To: [Mark Timpe](#)
Subject: RE: Visit Scheduling
Date: Friday, September 18, 2020 2:18:12 PM

Thanks Mark. I will share the webex details internally. On our end I expect:

Mike Haggarty (team manager)
Jairo Chung (Backup analyst)
Rob Petrosino (Covers Evergy)
Gavin MacFarlane (our Canadian analyst)
Nikita Nanwani (associate analyst)

Will you be providing updated projections? We have a version from January 2020.

Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Friday, September 18, 2020 3:15 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Visit Scheduling

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Nana,
Thanks; meeting invitation has been sent. As we get closer to the time, please let us know if anyone will be joining you. We will provide our presentation in advance of the meeting.

Regards,

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Friday, September 18, 2020 2:04 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

Yes, that date and time works for us.

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Friday, September 18, 2020 3:03 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>

Subject: RE: Visit Scheduling

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Nana,

Is October 16th at 3:30 EST also good for you for our full visit? If so, I'll send you that invitation as well.

Thanks.

Mark

Mark Timpe | Liberty Algonquin Business Services (USA) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Hamilton, Nana <Nana.Hamilton@moodys.com>

Sent: Friday, September 18, 2020 1:35 PM

To: Mark Timpe <Mark.Timpe@libertyutilities.com>

Subject: RE: Visit Scheduling

Mark, yes, please send me the meeting invitation with dial in information.

4.30pm on the 29th should work.

Thanks,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>

Sent: Thursday, September 17, 2020 5:25 PM

To: Hamilton, Nana <Nana.Hamilton@moodys.com>

Subject: FW: Visit Scheduling

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Nana,

Our team is confirmed for October 16th at 3:30 pm EST. Please confirm and advise if you'd like for me to add you to the meeting invitation. Also, any thoughts on dates/times noted below for the informal call on the 29th or 30th?

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Mark Timpe
Sent: Thursday, September 17, 2020 8:47 AM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Visit Scheduling

Nana,

It looks like 3:30 EST on the 16th will work for us. I've sent out an internal meeting hold notification to our group and will confirm once I have their acceptances. Please hold this time on your calendars in the meantime.

As for the 29th or 30th of September, it looks like 4:30 EST on the 29th or 11:30 EST on the 30th is doable. Just let me know your preference.

Thanks.

Mark

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Wednesday, September 16, 2020 5:43 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

Would any other day the week of the 12th work? We are available most of Thursday, 15 October (after 11.30am) or Friday, 16 October (after 10am). I will likely give you a call on the 29th or 30th September for an update on operations (e.g. impact of COVID), update on wind generation addition, any regulatory/rate case or financing developments.

Thanks,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Wednesday, September 16, 2020 6:03 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Visit Scheduling

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Nana,

That would be much better. The 12th won't work but it looks like the 19th, at either 1 pm or

3:30 Eastern would work for us. Please let me know if either of those times works for you and the Team and, if you can, let me know what you'd like to cover on the informal call and I'll gather responses etc. I may have someone join us also. Finally, just let me know what date/time you have in mind for the informal call.

I really appreciate the flexibility.

Regards,

Mark

Mark Timpe | Liberty Algonquin Business Services (USA) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Wednesday, September 16, 2020 4:48 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

Unfortunately cannot do early October as that is when we have our portfolio review. We don't really need to have a meeting before then but I may reach out to you for an informal update. We could do the week of the 12th or 19th if October still works for you.

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Wednesday, September 16, 2020 5:39 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: Visit Scheduling

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Nana,

I am still working on scheduling the visit for near month-end but am running into some challenges. Is there any flexibility for early October? You mentioned your internal meeting sometime in early October but I was just wondering what your actual deadline would be for our meeting.

Many thanks.

Mark

Mark Timpe | Liberty Algonquin Business Services (USA) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

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From: [Hamilton, Nana](#)
To: [Mark Timpe](#)
Subject: RE: Visit Scheduling
Date: Friday, September 18, 2020 2:04:55 PM

Yes, that date and time works for us.

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Friday, September 18, 2020 3:03 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Visit Scheduling

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Nana,
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Subject: RE: Visit Scheduling

Unfortunately cannot do early October as that is when we have our portfolio review. We don't really need to have a meeting before then but I may reach out to you for an informal update. We could do the week of the 12th or 19th if October still works for you.

From: Mark Timpe <Mark.Timpe@libertyutilities.com>

Sent: Wednesday, September 16, 2020 5:39 PM

To: Hamilton, Nana <Nana.Hamilton@moodys.com>

Subject: Visit Scheduling

CAUTION: This email originated from outside of Moody's. Do not click links or open attachments unless you recognize the sender and know the content is safe.

Nana,

I am still working on scheduling the visit for near month-end but am running into some challenges. Is there any flexibility for early October? You mentioned your internal meeting sometime in early October but I was just wondering what your actual deadline would be for our meeting.

Many thanks.

Mark

Mark Timpe | Liberty Algonquin Business Services (USA) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

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From: [Hamilton, Nana](#)
To: [Mark Timpe](#)
Subject: RE: Visit Scheduling
Date: Friday, September 18, 2020 1:34:54 PM

Mark, yes, please send me the meeting invitation with dial in information.

4.30pm on the 29th should work.

Thanks,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Thursday, September 17, 2020 5:25 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: FW: Visit Scheduling

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Nana,

Our team is confirmed for October 16th at 3:30 pm EST. Please confirm and advise if you'd like for me to add you to the meeting invitation. Also, any thoughts on dates/times noted below for the informal call on the 29th or 30th?

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Mark Timpe
Sent: Thursday, September 17, 2020 8:47 AM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Visit Scheduling

Nana,

It looks like 3:30 EST on the 16th will work for us. I've sent out an internal meeting hold notification to our group and will confirm once I have their acceptances. Please hold this time on your calendars in the meantime.

As for the 29th or 30th of September, it looks like 4:30 EST on the 29th or 11:30 EST on the 30th is doable. Just let me know your preference.

Thanks.

Mark

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Wednesday, September 16, 2020 5:43 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

Would any other day the week of the 12th work? We are available most of Thursday, 15 October (after 11.30am) or Friday, 16 October (after 10am). I will likely give you a call on the 29th or 30th September for an update on operations (e.g. impact of COVID), update on wind generation addition, any regulatory/rate case or financing developments.

Thanks,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Wednesday, September 16, 2020 6:03 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Visit Scheduling

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Nana,
That would be much better. The 12th won't work but it looks like the 19th, at either 1 pm or 3:30 Eastern would work for us. Please let me know if either of those times works for you and the Team and, if you can, let me know what you'd like to cover on the informal call and I'll gather responses etc. I may have someone join us also. Finally, just let me know what date/time you have in mind for the informal call.

I really appreciate the flexibility.

Regards,

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Wednesday, September 16, 2020 4:48 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

Unfortunately cannot do early October as that is when we have our portfolio review. We don't really need to have a meeting before then but I may reach out to you for an informal update. We could do the week of the 12th or 19th if October still works for you.

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Wednesday, September 16, 2020 5:39 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: Visit Scheduling

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Nana,
I am still working on scheduling the visit for near month-end but am running into some challenges. Is there any flexibility for early October? You mentioned your internal meeting sometime in early October but I was just wondering what your actual deadline would be for our meeting.

Many thanks.

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

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From: [Hamilton, Nana](#)
To: [Mark Timpe](#)
Subject: RE: Visit Scheduling
Date: Wednesday, September 16, 2020 5:44:05 PM

Would any other day the week of the 12th work? We are available most of Thursday, 15 October (after 11.30am) or Friday, 16 October (after 10am). I will likely give you a call on the 29th or 30th September for an update on operations (e.g. impact of COVID), update on wind generation addition, any regulatory/rate case or financing developments.

Thanks,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Wednesday, September 16, 2020 6:03 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Visit Scheduling

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Nana,

That would be much better. The 12th won't work but it looks like the 19th, at either 1 pm or 3:30 Eastern would work for us. Please let me know if either of those times works for you and the Team and, if you can, let me know what you'd like to cover on the informal call and I'll gather responses etc. I may have someone join us also. Finally, just let me know what date/time you have in mind for the informal call.

I really appreciate the flexibility.

Regards,

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Wednesday, September 16, 2020 4:48 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

Unfortunately cannot do early October as that is when we have our portfolio review. We don't really need to have a meeting before then but I may reach out to you for an informal update. We could do

the week of the 12th or 19th if October still works for you.

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Wednesday, September 16, 2020 5:39 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: Visit Scheduling

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Nana,
I am still working on scheduling the visit for near month-end but am running into some challenges. Is there any flexibility for early October? You mentioned your internal meeting sometime in early October but I was just wondering what your actual deadline would be for our meeting.

Many thanks.

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

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please immediately notify us by telephone, fax or e-mail and delete the message and all of its attachments. Every effort is made to keep our network free from viruses. You should, however, review this e-mail message, as well as any attachment thereto, for viruses. We take no responsibility and have no liability for any computer virus which may be transferred via this e-mail message.

From: [Hamilton, Nana](#)
To: [Mark Timpe](#)
Subject: RE: Visit Scheduling
Date: Wednesday, September 16, 2020 4:47:42 PM

Unfortunately cannot do early October as that is when we have our portfolio review. We don't really need to have a meeting before then but I may reach out to you for an informal update. We could do the week of the 12th or 19th if October still works for you.

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Wednesday, September 16, 2020 5:39 PM
To: Hamilton, Nana <Nana.Hamilton@moody.com>
Subject: Visit Scheduling

CAUTION: This email originated from outside of Moody's. Do not click links or open attachments unless you recognize the sender and know the content is safe.

Nana,
I am still working on scheduling the visit for near month-end but am running into some challenges. Is there any flexibility for early October? You mentioned your internal meeting sometime in early October but I was just wondering what your actual deadline would be for our meeting.

Many thanks.

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

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Attachment B

From: [Deval, Mayur](#)
To: [Mark Timpe](#)
Subject: RE: Business contact for Empire District Electric
Date: Friday, September 11, 2020 8:20:04 AM

Hi Mark,

If you are unable to reach the primary contact, you may also try reaching below contacts:

Trent Ottoson
Relationship Manager

S&P Global Ratings
7400 South Alton Court
Centennial, CO 80112
T: 303.721.4405 | C: 720.229.3521
Trent.Ottoson@spglobal.com
www.spglobal.com

George J. Slavin
Director
Relationship Management
S&P Global Ratings
55 Water Street
47th Floor
New York, NY 10041
212-438-2629 Tel
646-823-7667 Mobile
George.slavin@spglobal.com

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Friday, September 11, 2020 9:16 AM
To: Deval, Mayur (Analytical) <mayur.deval@spglobal.com>
Subject: Business contact for Empire District Electric

EXTERNAL MESSAGE

Mayur,
Is Ann O'Farrell still the business relationship person for Empire? I sent a message to her the other day but haven't heard back from her and was just wondering if she's still our business contact person.

Regards,

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury

P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

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From: [Deval, Mayur](#)
To: [Mark Timpe](#)
Subject: RE: Empire District Electric - Q2 financial statements
Date: Tuesday, August 18, 2020 8:00:38 AM

Hi Mark,

Thanks for your note. I am keeping well. Trust you are doing well too.

Thanks for the financials. I will update the database.

Best Regards,
Mayur

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Monday, August 17, 2020 6:48 PM
To: Deval, Mayur (Analytical) <mayur.deval@spglobal.com>
Subject: Empire District Electric - Q2 financial statements

EXTERNAL MESSAGE

Mayur,
I hope you and yours are doing well amidst the craziness. Please find attached the Q2 financial statements for Empire.

Regards,

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

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From: [Deval, Mayur](#)
To: [Mark Timpe](#)
Subject: RE: Request: Update
Date: Thursday, March 26, 2020 11:27:27 AM

Hi Mark,

How about a short call Monday afternoon at 2PM -2.30PM ET?

Please do let me know so that I can circulate conference details.

Thanks,
Mayur

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Thursday, March 26, 2020 12:24 PM
To: Deval, Mayur (Analytical) <mayur.deval@spglobal.com>
Subject: RE: Request: Update

Hello Mayur,
Hope you are doing well in spite of all this, especially where you are located. Other than a potential call at 4:30 pm Eastern time today, I'm generally available for a call at your convenience. Just let me know what works best for you.

Regards,

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

From: Deval, Mayur [<mailto:mayur.deval@spglobal.com>]
Sent: Thursday, March 26, 2020 9:43 AM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: Request: Update

Hi Mark,

I trust you are safe and doing well.

Given the current COVEID 19 pandemic crisis striking the world and capital markets, I wanted to quickly touch base with you regarding EDE's preparedness and plan of actions to respond to any operational or financial challenges that you may have witnessed till date or foresee in the coming future. How about a quick call at your convenience to discuss the same?

Please do let me know.

Thanks in advance.

Mayur Deval

Associate, North American Regulated Utilities
Global Infrastructure Ratings

S&P Global Ratings

130 King Street West, Suite 1100
Toronto, ON M5X 1E5
T: 416.507.3271 | C: 647.710.1361
mayur.deval@spglobal.com
www.spglobal.com

Please visit the Infrastructure Hub for S&P research on infrastructure

https://www.spratings.com/en_US/infrastructure

**Vital statistics show
#ChangePays**

Vital statistics show that an inclusive workforce benefits the global economy.

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From: [Deval, Mayur](#)
To: [Mark Timpe](#)
Cc: [Jepsen, Gerrit](#); [Ng, Andrew](#)
Subject: Request
Date: Friday, March 27, 2020 12:30:41 PM

Hi Mark,

As a precursor to our call early next week, can you let us know the below information at the earliest?

Current status of Liquidity:

Sources: Total revolving credit facilities, any term loan availability, and cash on hand

Uses: Upcoming debt maturities before 31st march 2021, any outstanding amount under credit facilities and commercial paper, if any as on date.

Thanks in advance,

Mayur Deval

Associate, North American Regulated Utilities
Global Infrastructure Ratings

S&P Global Ratings

130 King Street West, Suite 1100
Toronto, ON M5X 1E5
T: 416.507.3271 | C: 647.710.1361
mayur.deval@spglobal.com
www.spglobal.com

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From: [Deval, Mayur](#)
To: [Mark Timpe](#)
Subject: Request: Update
Date: Thursday, March 26, 2020 9:43:16 AM

Hi Mark,

I trust you are safe and doing well.

Given the current COVEID 19 pandemic crisis striking the world and capital markets, I wanted to quickly touch base with you regarding EDE's preparedness and plan of actions to respond to any operational or financial challenges that you may have witnessed till date or foresee in the coming future. How about a quick call at your convenience to discuss the same?

Please do let me know.

Thanks in advance.

Mayur Deval

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https://www.spratings.com/en_US/infrastructure

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Attachment C Redacted

From: [Mark Timpe](#)
To: [Nana Hamilton](#)
Subject: The Empire District Electric Company - 2019 Audited Financial Statements
Date: Tuesday, March 31, 2020 2:57:00 PM
Attachments: [Empire 2019 Audited Financial Statements.pdf](#)

Nana,
Attached please find Empire's 2019 audit. I hope all continues to be well with you and yours, especially given your location.

Regards,

Mark Timpe

Confidential

Confidential

Confidential

Ernst + Young LLP

Chartered Professional Accountants
Licensed Public Accountants

Toronto, Canada
March 30, 2020

Confidential

The accompanying notes are an integral part of these consolidated financial statements.

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**Consolidated Financial Statements of
Liberty Utilities Co.
For the years ended December 31, 2019 and 2018**

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Ernst + Young LLP

Chartered Professional Accountants
Licensed Public Accountants

Toronto, Canada
April 3, 2020

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From: [Mark Timpe](#)
To: [Nana Hamilton](#)
Subject: Algonquin/Liberty update
Date: Wednesday, April 22, 2020 2:11:00 PM

Nana,

I have an update I'd like to pass along but it appears as though I only have your office phone number. Please let me know when you have a few minutes to spare so we can connect.

Thanks.

Mark Timpe

From: [Mark Timpe](#)
To: [Nana Hamilton](#)
Subject: Empire District Electric Company Q1 2020 Financial Statements
Date: Thursday, May 14, 2020 4:00:00 PM
Attachments: [Empire District Electric Company Q1 2020 Financial Statements.pdf](#)

Nana,
Please find the attached Q1 financial statements.

Regards,

Mark

**Unaudited Interim Consolidated Financial Statements of
Liberty Utilities Co.**

For the three months ended March 31, 2020 and 2019

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From: [Mark Timpe](#)
To: [Nana Hamilton](#)
Subject: Liberty Utilities Co.
Date: Tuesday, April 7, 2020 3:03:00 PM
Attachments: [2019 Q4 -Liberty Utilities Co - Financial Statements w Auditor report.pdf](#)

Nana,
Attached please find the 2019 audited financial statement for Liberty Utilities Co.

Hope all is well with you and yours.

Regards,

Mark

From: [Mark Timpe](#)
To: [Nana Hamilton](#)
Subject: Q2 Financial Statements - Empire District Electric
Date: Monday, August 17, 2020 5:52:00 PM
Attachments: [EDE Q2 2020 financial statements.pdf](#)

Nana,

I hope you and yours are doing well. Attached please find the Q2 financial statements for Empire. Since we were unable to have the mid-year visit in NY around the EEI Treasurer's meeting as we had previously planned, we need to find some time to give you and the team an update on Empire. In the near future, I'll start work on a presentation which can be discussed during the call and we can discuss timing for the visit.

Best Regards,

Mark

From: [Mark Timpe](#)
To: "[Hamilton, Nana](#)"
Subject: RE: Liberty Utilities Co.
Date: Tuesday, April 7, 2020 7:17:00 PM

Nana,

The responses we've been giving to questions like this is that it's really a little too early to get a clear picture of the impact. More to come for sure.

Regards,

Mark

From: Hamilton, Nana [mailto:Nana.Hamilton@moodys.com]
Sent: Tuesday, April 7, 2020 3:18 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Liberty Utilities Co.

Thank you Mark.

How are you doing? Are you seeing any negative impacts to Empire of the current covid-19 fueled economic downturn? We think the utility sector is generally resilient during financial crises but to the extent that we enter into a prolonged recession there may be financial losses that utilities will need to work with regulators to recover.

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Tuesday, April 7, 2020 4:03 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: Liberty Utilities Co.

CAUTION: This email originated from outside of Moody's. Do not click links or open attachments unless you recognize the sender and know the content is safe.

Nana,

Attached please find the 2019 audited financial statement for Liberty Utilities Co.

Hope all is well with you and yours.

Regards,

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

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From: [Mark Timpe](#)
To: "[Hamilton, Nana](#)"
Subject: RE: Moody's Cyber Risk Issuer Survey
Date: Tuesday, March 17, 2020 11:26:00 AM
Attachments: [image001.png](#)
[image002.png](#)
[image003.jpg](#)

Nana,
Thanks; I've reached out to Ryan for more information.

Mark

From: Hamilton, Nana [mailto:Nana.Hamilton@moodys.com]
Sent: Tuesday, March 17, 2020 11:14 AM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Cc: Finnegan, Ryan <Ryan.Finnegan@moodys.com>
Subject: RE: Moody's Cyber Risk Issuer Survey

Mark,
This data will be considered MNPI and will be protected in the same manner as we protect all the other MNPI you provide us on Empire.
I don't think there is a separate governing document for this cyber data specifically but please feel free to reach out to your commercial contact (Ryan Finnegan - Ryan.Finnegan@moodys.com) for information on what governs all the MNPI you provide us.

Regards,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Friday, March 13, 2020 5:13 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Moody's Cyber Risk Issuer Survey

CAUTION: This email originated from outside of Moody's. Do not click links or open attachments unless you recognize the sender and know the content is safe.

Nana,
A question was raised by our legal team about the expectation of confidentiality surrounding survey responses. Would any responses be subject to an existing confidentiality agreement and, if so, can you provide us with a copy of the operative document be it a standalone confidentiality agreement or the rating services agreement?

Many thanks.

Mark

Mark Timpe | Liberty Algonquin Business Services (USA) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

From: Hamilton, Nana [<mailto:Nana.Hamilton@moodys.com>]
Sent: Friday, March 13, 2020 12:12 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Cc: MoodysCyberSurvey <MoodysCyberSurvey@moodys.com>
Subject: Moody's Cyber Risk Issuer Survey

Dear Mark,

Moody's is devoting more time to understanding cyber risk because we see cyber risk increasing for our issuers. Moody's would like to better understand issuers' cyber readiness and how their mitigating strategies affect resiliency. These insights will enable us to better differentiate issuers' cyber readiness, in a consistent manner, across sectors and geographies. We think cyber risk is an enterprise-wide risk that resides with executive management and the board of trustees or directors.

In order to help us frame cyber risk consistently across sectors and geographies, we request your participation in a brief cyber survey. Attached is an excel file copy of the survey. Answering the survey may require input from an issuer's security, financial planning and legal teams. The majority of the questions are answered through a drop-down menu, and we have a free-form text box for any additional information you would like to share.

We kindly ask that you complete and return this survey within 4 to 8 weeks of receipt. **Please copy the email address: MoodysCyberSurvey@moodys.com on all correspondence related to the survey, and please do not change the name of the file.** If we receive an adequate number of responses, we hope to publish anonymized and aggregated data from the collected surveys in Q4 2020.

We believe the survey is an important first step in better understanding our issuers' cyber positions, and we thank you for your attention to this matter. Should you have any questions about this email or the cyber survey, please reach out to me, and we'll be happy to address your questions or concerns. We sincerely hope you will see the value in completing the cyber survey and look forward to hearing back from you soon.

Kind regards.

Yours sincerely,
Nana

Nana Hamilton
Power/Utilities Americas
212.553.9440 tel
212.202.3868 fax

nana.hamilton@moodys.com

Moody's Investors Service
7 World Trade Center
250 Greenwich Street
New York, NY 10007
www.moodys.com



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From: [Mark Timpe](#)
To: ["Hamilton, Nana"](#)
Bcc: [Adam Curran](#)
Subject: RE: Moody's Cyber Risk Issuer Survey
Date: Friday, March 13, 2020 4:12:00 PM
Attachments: [image001.png](#)
[image002.png](#)
[image003.jpg](#)

Nana,

A question was raised by our legal team about the expectation of confidentiality surrounding survey responses. Would any responses be subject to an existing confidentiality agreement and, if so, can you provide us with a copy of the operative document be it a standalone confidentiality agreement or the rating services agreement?

Many thanks.

Mark

From: Hamilton, Nana [mailto:Nana.Hamilton@moodys.com]
Sent: Friday, March 13, 2020 12:12 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Cc: MoodysCyberSurvey <MoodysCyberSurvey@moodys.com>
Subject: Moody's Cyber Risk Issuer Survey

Dear Mark,

Moody's is devoting more time to understanding cyber risk because we see cyber risk increasing for our issuers. Moody's would like to better understand issuers' cyber readiness and how their mitigating strategies affect resiliency. These insights will enable us to better differentiate issuers' cyber readiness, in a consistent manner, across sectors and geographies. We think cyber risk is an enterprise-wide risk that resides with executive management and the board of trustees or directors.

In order to help us frame cyber risk consistently across sectors and geographies, we request your participation in a brief cyber survey. Attached is an excel file copy of the survey. Answering the survey may require input from an issuer's security, financial planning and legal teams. The majority of the questions are answered through a drop-down menu, and we have a free-form text box for any additional information you would like to share.

We kindly ask that you complete and return this survey within 4 to 8 weeks of receipt. **Please copy the email address: MoodysCyberSurvey@moodys.com on all correspondence related to the survey, and please do not change the name of the file.** If we receive an adequate number of responses, we hope to publish anonymized and aggregated data from the collected surveys in Q4 2020.

We believe the survey is an important first step in better understanding our issuers' cyber positions, and we thank you for your attention to this matter. Should you have any questions about this email

or the cyber survey, please reach out to me, and we'll be happy to address your questions or concerns. We sincerely hope you will see the value in completing the cyber survey and look forward to hearing back from you soon.

Kind regards.

Yours sincerely,

Nana

.....
Nana Hamilton

Power/Utilities Americas

212.553.9440 tel

212.202.3868 fax

nana.hamilton@moodys.com

Moody's Investors Service

7 World Trade Center

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From: [Mark Timpe](#)
To: ["Hamilton, Nana"](#)
Subject: RE: Moody's Webinar
Date: Thursday, April 16, 2020 2:57:00 PM
Attachments: [image001.png](#)
[image002.png](#)
[image004.jpg](#)

Thank you. Hope all is well with you and yours.

Regards,

Mark

From: Hamilton, Nana [mailto:Nana.Hamilton@moodys.com]
Sent: Thursday, April 16, 2020 3:32 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: Moody's Webinar

Hi Mark,

Hope all is well. I wanted to make you aware of a Moody's webinar tomorrow at 10am ET to address our current views on the impact of the coronavirus pandemic on the infrastructure sector which includes utilities. If you or any of your team members would like to listen to the webinar, the event registration can be found here:

<https://events.moodys.io/webinars>

Regards,

Nana

.....
Nana Hamilton
Power/Utilities Americas
212.553.9440 tel
212.202.3868 fax
nana.hamilton@moodys.com

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7 World Trade Center
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From: [Mark Timpe](#)
To: [Hamilton, Nana](#)
Bcc: [Craig Duff](#); [Tisha Sanderson](#); [Michael Mosindy](#)
Subject: RE: Q2 Financial Statements - Empire District Electric
Date: Wednesday, August 19, 2020 4:35:00 PM

Nana,
That timing should work for us as well. I'll be in touch to schedule our call once we are close to having our presentation/update put together.

Regards,

Mark

From: Hamilton, Nana <Nana.Hamilton@moody.com>
Sent: Wednesday, August 19, 2020 7:51 AM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Q2 Financial Statements - Empire District Electric

Thank you Mark. An update in the near term, including how the pandemic has impacted Empire's load/earnings, and how the wind projects are progressing would be much appreciated. We have our portfolio review process in early October so I will be reaching out to get an update sometime in September either way. If you would like to have our annual update discussion before October, that would work for me. Let me know what timing you were thinking.

Hope all is well,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Monday, August 17, 2020 6:52 PM
To: Hamilton, Nana <Nana.Hamilton@moody.com>
Subject: Q2 Financial Statements - Empire District Electric

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Nana,
I hope you and yours are doing well. Attached please find the Q2 financial statements for Empire. Since we were unable to have the mid-year visit in NY around the EEI Treasurer's meeting as we had previously planned, we need to find some time to give you and the team an update on Empire. In the near future, I'll start work on a presentation which can be discussed during the call and we can discuss timing for the visit.

Best Regards,

Mark

Mark Timpe | Liberty Algonquin Business Services (USA) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

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From: [Mark Timpe](#)
To: [Hamilton, Nana](#)
Subject: RE: Q2 Financial Statements - Empire District Electric
Date: Wednesday, September 16, 2020 7:48:00 AM
Attachments: [2020 Q1 - LU Co - Financial Statements.pdf](#)
[2020 Q2 - Liberty Utilities Co. - Financial Statements - Final.pdf](#)

Nana,
Please see attached.

Regards,

Mark

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Wednesday, September 16, 2020 7:23 AM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Q2 Financial Statements - Empire District Electric

Hi Mark,
Could you also send me the 2020 Liberty Utilities quarterly filings?

Thanks,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Wednesday, August 19, 2020 5:35 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Q2 Financial Statements - Empire District Electric

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Nana,
That timing should work for us as well. I'll be in touch to schedule our call once we are close to having our presentation/update put together.

Regards,

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Wednesday, August 19, 2020 7:51 AM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>

Subject: RE: Q2 Financial Statements - Empire District Electric

Thank you Mark. An update in the near term, including how the pandemic has impacted Empire's load/earnings, and how the wind projects are progressing would be much appreciated. We have our portfolio review process in early October so I will be reaching out to get an update sometime in September either way. If you would like to have our annual update discussion before October, that would work for me. Let me know what timing you were thinking.

Hope all is well,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Monday, August 17, 2020 6:52 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: Q2 Financial Statements - Empire District Electric

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Nana,
I hope you and yours are doing well. Attached please find the Q2 financial statements for Empire. Since we were unable to have the mid-year visit in NY around the EEI Treasurer's meeting as we had previously planned, we need to find some time to give you and the team an update on Empire. In the near future, I'll start work on a presentation which can be discussed during the call and we can discuss timing for the visit.

Best Regards,

Mark

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602 S Joplin Ave, Joplin, MO 64801

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**Unaudited Interim Consolidated Financial Statements of
Liberty Utilities Co.
For the three and six months ended June 30, 2020 and 2019**

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From: [Mark Timpe](#)
To: [Nana Hamilton](#)
Subject: FW: Visit Scheduling
Date: Thursday, September 17, 2020 4:25:00 PM

Nana,

Our team is confirmed for October 16th at 3:30 pm EST. Please confirm and advise if you'd like for me to add you to the meeting invitation. Also, any thoughts on dates/times noted below for the informal call on the 29th or 30th?

Mark

From: Mark Timpe
Sent: Thursday, September 17, 2020 8:47 AM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Visit Scheduling

Nana,

It looks like 3:30 EST on the 16th will work for us. I've sent out an internal meeting hold notification to our group and will confirm once I have their acceptances. Please hold this time on your calendars in the meantime.

As for the 29th or 30th of September, it looks like 4:30 EST on the 29th or 11:30 EST on the 30th is doable. Just let me know your preference.

Thanks.

Mark

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Wednesday, September 16, 2020 5:43 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

Would any other day the week of the 12th work? We are available most of Thursday, 15 October (after 11.30am) or Friday, 16 October (after 10am). I will likely give you a call on the 29th or 30th September for an update on operations (e.g. impact of COVID), update on wind generation addition, any regulatory/rate case or financing developments.

Thanks,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Wednesday, September 16, 2020 6:03 PM

To: Hamilton, Nana <Nana.Hamilton@moodys.com>

Subject: RE: Visit Scheduling

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Nana,

That would be much better. The 12th won't work but it looks like the 19th, at either 1 pm or 3:30 Eastern would work for us. Please let me know if either of those times works for you and the Team and, if you can, let me know what you'd like to cover on the informal call and I'll gather responses etc. I may have someone join us also. Finally, just let me know what date/time you have in mind for the informal call.

I really appreciate the flexibility.

Regards,

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury

P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Hamilton, Nana <Nana.Hamilton@moodys.com>

Sent: Wednesday, September 16, 2020 4:48 PM

To: Mark Timpe <Mark.Timpe@libertyutilities.com>

Subject: RE: Visit Scheduling

Unfortunately cannot do early October as that is when we have our portfolio review. We don't really need to have a meeting before then but I may reach out to you for an informal update. We could do the week of the 12th or 19th if October still works for you.

From: Mark Timpe <Mark.Timpe@libertyutilities.com>

Sent: Wednesday, September 16, 2020 5:39 PM

To: Hamilton, Nana <Nana.Hamilton@moodys.com>

Subject: Visit Scheduling

CAUTION: This email originated from outside of Moody's. Do not click links or open attachments unless you recognize the sender and know the content is safe.

Nana,

I am still working on scheduling the visit for near month-end but am running into some challenges. Is there any flexibility for early October? You mentioned your internal meeting sometime in early October but I was just wondering what your actual deadline would be for our meeting.

Many thanks.

Mark

Mark Timpe | Liberty Algonquin Business Services (USA) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

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From: [Mark Timpe](#)
To: [Hamilton, Nana](#)
Subject: RE: Visit Scheduling
Date: Friday, September 18, 2020 4:08:00 PM

Nana,

Yes, I expect that we will be providing you with updated projections. Also, joining the call for Empire on October 16th will be:

- Arthur Kacprzak, CFO, Algonquin Power & Utilities (David Bronicheski has retired – his last day was today)
- Craig Duff, VP-Treasury, Algonquin Power & Utilities
- Tisha Sanderson, Vice President – Finance & Administration, Liberty Utilities Central Region
- Mark Timpe, Director, Treasury, Liberty Utilities

Regards,

Mark

From: Hamilton, Nana <Nana.Hamilton@moody.com>
Sent: Friday, September 18, 2020 2:18 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

Thanks Mark. I will share the webex details internally. On our end I expect:

Mike Haggarty (team manager)
Jairo Chung (Backup analyst)
Rob Petrosino (Covers Evergy)
Gavin MacFarlane (our Canadian analyst)
Nikita Nanwani (associate analyst)

Will you be providing updated projections? We have a version from January 2020.

Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Friday, September 18, 2020 3:15 PM
To: Hamilton, Nana <Nana.Hamilton@moody.com>
Subject: RE: Visit Scheduling

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Nana,

Thanks; meeting invitation has been sent. As we get closer to the time, please let us know if anyone will be joining you. We will provide our presentation in advance of the meeting.

Regards,

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Friday, September 18, 2020 2:04 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

Yes, that date and time works for us.

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Friday, September 18, 2020 3:03 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Visit Scheduling

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Nana,

Is October 16th at 3:30 EST also good for you for our full visit? If so, I'll send you that invitation as well.

Thanks.

Mark

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P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Friday, September 18, 2020 1:35 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

Mark, yes, please send me the meeting invitation with dial in information.

th

4.30pm on the 29 should work.

Thanks,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Thursday, September 17, 2020 5:25 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: FW: Visit Scheduling

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Nana,

Our team is confirmed for October 16th at 3:30 pm EST. Please confirm and advise if you'd like for me to add you to the meeting invitation. Also, any thoughts on dates/times noted below for the informal call on the 29th or 30th?

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Mark Timpe
Sent: Thursday, September 17, 2020 8:47 AM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Visit Scheduling

Nana,

It looks like 3:30 EST on the 16th will work for us. I've sent out an internal meeting hold notification to our group and will confirm once I have their acceptances. Please hold this time on your calendars in the meantime.

As for the 29th or 30th of September, it looks like 4:30 EST on the 29th or 11:30 EST on the 30th is doable. Just let me know your preference.

Thanks.

Mark

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Wednesday, September 16, 2020 5:43 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

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Thanks,
Nana

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I really appreciate the flexibility.

Regards,

Mark

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P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Hamilton, Nana <Nana.Hamilton@moodys.com>

Sent: Wednesday, September 16, 2020 4:48 PM

To: Mark Timpe <Mark.Timpe@libertyutilities.com>

Subject: RE: Visit Scheduling

Unfortunately cannot do early October as that is when we have our portfolio review. We don't really need to have a meeting before then but I may reach out to you for an informal update. We could do the week of the 12th or 19th if October still works for you.

From: Mark Timpe <Mark.Timpe@libertyutilities.com>

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Nana,

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Many thanks.

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From: [Mark Timpe](#)
To: [Hamilton, Nana](#)
Subject: RE: Visit Scheduling
Date: Friday, September 18, 2020 2:14:00 PM

Nana,

Thanks; meeting invitation has been sent. As we get closer to the time, please let us know if anyone will be joining you. We will provide our presentation in advance of the meeting.

Regards,

Mark

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Friday, September 18, 2020 2:04 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

Yes, that date and time works for us.

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Friday, September 18, 2020 3:03 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
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From: [Mark Timpe](#)
To: [Hamilton, Nana](#)
Subject: RE: Visit Scheduling
Date: Friday, September 18, 2020 2:02:00 PM

Nana,

Is October 16th at 3:30 EST also good for you for our full visit? If so, I'll send you that invitation as well.

Thanks.

Mark

From: Hamilton, Nana <Nana.Hamilton@moody.com>
Sent: Friday, September 18, 2020 1:35 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

Mark, yes, please send me the meeting invitation with dial in information.

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P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Mark Timpe
Sent: Thursday, September 17, 2020 8:47 AM

To: Hamilton, Nana <Nana.Hamilton@moodys.com>

Subject: RE: Visit Scheduling

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From: [Mark Timpe](#)
To: [Hamilton, Nana](#)
Subject: RE: Visit Scheduling
Date: Friday, September 18, 2020 1:47:00 PM

Will do; thanks.

From: Hamilton, Nana <Nana.Hamilton@moody.com>
Sent: Friday, September 18, 2020 1:35 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

Mark, yes, please send me the meeting invitation with dial in information.

4.30pm on the 29th should work.

Thanks,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Thursday, September 17, 2020 5:25 PM
To: Hamilton, Nana <Nana.Hamilton@moody.com>
Subject: FW: Visit Scheduling

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Nana,

Our team is confirmed for October 16th at 3:30 pm EST. Please confirm and advise if you'd like for me to add you to the meeting invitation. Also, any thoughts on dates/times noted below for the informal call on the 29th or 30th?

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Mark Timpe
Sent: Thursday, September 17, 2020 8:47 AM
To: Hamilton, Nana <Nana.Hamilton@moody.com>
Subject: RE: Visit Scheduling

Nana,

It looks like 3:30 EST on the 16th will work for us. I've sent out an internal meeting hold notification to our group and will confirm once I have their acceptances. Please hold this

time on your calendars in the meantime.

As for the 29th or 30th of September, it looks like 4:30 EST on the 29th or 11:30 EST on the 30th is doable. Just let me know your preference.

Thanks.

Mark

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Wednesday, September 16, 2020 5:43 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

Would any other day the week of the 12th work? We are available most of Thursday, 15 October (after 11.30am) or Friday, 16 October (after 10am). I will likely give you a call on the 29th or 30th September for an update on operations (e.g. impact of COVID), update on wind generation addition, any regulatory/rate case or financing developments.

Thanks,
Nana

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Wednesday, September 16, 2020 6:03 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: RE: Visit Scheduling

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Nana,

That would be much better. The 12th won't work but it looks like the 19th, at either 1 pm or 3:30 Eastern would work for us. Please let me know if either of those times works for you and the Team and, if you can, let me know what you'd like to cover on the informal call and I'll gather responses etc. I may have someone join us also. Finally, just let me know what date/time you have in mind for the informal call.

I really appreciate the flexibility.

Regards,

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Wednesday, September 16, 2020 4:48 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

Unfortunately cannot do early October as that is when we have our portfolio review. We don't really need to have a meeting before then but I may reach out to you for an informal update. We could do the week of the 12th or 19th if October still works for you.

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Wednesday, September 16, 2020 5:39 PM
To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: Visit Scheduling

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Nana,
I am still working on scheduling the visit for near month-end but am running into some challenges. Is there any flexibility for early October? You mentioned your internal meeting sometime in early October but I was just wondering what your actual deadline would be for our meeting.

Many thanks.

Mark

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P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

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From: [Mark Timpe](#)
To: [Hamilton, Nana](#)
Subject: RE: Visit Scheduling
Date: Thursday, September 17, 2020 8:46:00 AM

Nana,

It looks like 3:30 EST on the 16th will work for us. I've sent out an internal meeting hold notification to our group and will confirm once I have their acceptances. Please hold this time on your calendars in the meantime.

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Mark

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To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

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date/time you have in mind for the informal call.

I really appreciate the flexibility.

Regards,

Mark

Mark Timpe | Liberty Algonquin Business Services (USA) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

From: Hamilton, Nana <Nana.Hamilton@moodys.com>
Sent: Wednesday, September 16, 2020 4:48 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Visit Scheduling

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Subject: Visit Scheduling

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Mark Timpe | Liberty Algonquin Business Services (USA) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

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From: [Mark Timpe](#)
To: [Hamilton, Nana](#)
Subject: RE: Visit Scheduling
Date: Wednesday, September 16, 2020 5:03:00 PM

Nana,

That would be much better. The 12th won't work but it looks like the 19th, at either 1 pm or 3:30 Eastern would work for us. Please let me know if either of those times works for you and the Team and, if you can, let me know what you'd like to cover on the informal call and I'll gather responses etc. I may have someone join us also. Finally, just let me know what date/time you have in mind for the informal call.

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To: Hamilton, Nana <Nana.Hamilton@moodys.com>
Subject: Visit Scheduling

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Many thanks.

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com

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From: [Mark Timpe](#)
To: [Nana Hamilton](#)
Subject: Visit Scheduling
Date: Wednesday, September 16, 2020 4:38:00 PM

Nana,

I am still working on scheduling the visit for near month-end but am running into some challenges. Is there any flexibility for early October? You mentioned your internal meeting sometime in early October but I was just wondering what your actual deadline would be for our meeting.

Many thanks.

Mark

Attachment D Redacted

From: [Mark Timpe](#)
To: [Deval Mayur](#)
Subject: Accepted: Mgmt. Update (EDE): COVID 19

From: [Mark Timpe](#)
To: [Deval, Mayur](#)
Subject: RE: Business contact for Empire District Electric
Date: Friday, September 11, 2020 8:21:00 AM

Thank you.

From: Deval, Mayur <mayur.deval@spglobal.com>
Sent: Friday, September 11, 2020 8:20 AM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Business contact for Empire District Electric

Hi Mark,

If you are unable to reach the primary contact, you may also try reaching below contacts:

Trent Ottoson
Relationship Manager

S&P Global Ratings
7400 South Alton Court
Centennial, CO 80112
T: 303.721.4405 | C: 720.229.3521
Trent.Ottoson@spglobal.com
www.spglobal.com

George J. Slavin
Director
Relationship Management
S&P Global Ratings
55 Water Street
47th Floor
New York, NY 10041
212-438-2629 Tel
646-823-7667 Mobile
George.slavin@spglobal.com

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Friday, September 11, 2020 9:16 AM
To: Deval, Mayur (Analytical) <mayur.deval@spglobal.com>
Subject: Business contact for Empire District Electric

EXTERNAL MESSAGE

Mayur,
Is Ann O'Farrell still the business relationship person for Empire? I sent a message to her

the other day but haven't heard back from her and was just wondering if she's still our business contact person.

Regards,

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

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From: [Mark Timpe](#)
To: ["Deval, Mayur"](#)
Cc: [Jepsen, Gerrit](#); [Ng, Andrew](#)
Subject: RE: Request
Date: Friday, March 27, 2020 1:27:00 PM

Mayur,
Please see the responses in red text below.

Regards,

Mark

From: Deval, Mayur [mailto:mayur.deval@spglobal.com]
Sent: Friday, March 27, 2020 12:30 PM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Cc: Jepsen, Gerrit <gerrit.jepsen@spglobal.com>; Ng, Andrew <andrew.ng@spglobal.com>
Subject: Request

Hi Mark,

As a precursor to our call early next week, can you let us know the below information at the earliest?

Current status of Liquidity:

Sources: Total revolving credit facilities, any term loan availability, and cash on hand

Confidential

Uses: Upcoming debt maturities before 31st march 2021, any outstanding amount under credit facilities and commercial paper, if any as on date.

Confidential

Thanks in advance,

Mayur Deval

Associate, North American Regulated Utilities
Global Infrastructure Ratings

S&P Global Ratings

130 King Street West, Suite 1100
Toronto, ON M5X 1E5
T: 416.507.3271 | C: 647.710.1361
[www.spglobal.com](mailto:mayur.deval@spglobal.com)

Please visit the Infrastructure Hub for S&P research on infrastructure

https://www.spratings.com/en_US/infrastructure

Vital statistics show **#ChangePays**

Vital statistics show that an inclusive workforce benefits the global economy.

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From: [Mark Timpe](#)
To: ["Deval, Mayur"](#)
Subject: RE: Request: Update
Date: Thursday, March 26, 2020 11:30:00 AM

Works for me.

From: Deval, Mayur [mailto:mayur.deval@spglobal.com]
Sent: Thursday, March 26, 2020 11:27 AM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: RE: Request: Update

Hi Mark,

How about a short call Monday afternoon at 2PM -2.30PM ET?

Please do let me know so that I can circulate conference details.

Thanks,
Mayur

From: Mark Timpe <Mark.Timpe@libertyutilities.com>
Sent: Thursday, March 26, 2020 12:24 PM
To: Deval, Mayur (Analytical) <mayur.deval@spglobal.com>
Subject: RE: Request: Update

Hello Mayur,
Hope you are doing well in spite of all this, especially where you are located. Other than a potential call at 4:30 pm Eastern time today, I'm generally available for a call at your convenience. Just let me know what works best for you.

Regards,

Mark

Mark Timpe | [Liberty Algonquin Business Services \(USA\)](#) | Director, Treasury
P: 417-626-5963 | C: 417-483-9370 | E: Mark.Timpe@libertyutilities.com
602 S Joplin Ave, Joplin, MO 64801

From: Deval, Mayur [mailto:mayur.deval@spglobal.com]
Sent: Thursday, March 26, 2020 9:43 AM
To: Mark Timpe <Mark.Timpe@libertyutilities.com>
Subject: Request: Update

Hi Mark,

I trust you are safe and doing well.

Given the current COVID 19 pandemic crisis striking the world and capital markets, I wanted to quickly touch base with you regarding EDE's preparedness and plan of actions to respond to any operational or financial challenges that you may have witnessed till date or foresee in the coming future. How about a quick call at your convenience to discuss the same?

Please do let me know.

Thanks in advance.

Mayur Deval

Associate, North American Regulated Utilities
Global Infrastructure Ratings

S&P Global Ratings

130 King Street West, Suite 1100
Toronto, ON M5X 1E5
T: 416.507.3271 | C: 647.710.1361
mayur.deval@spglobal.com
www.spglobal.com

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#ChangePays**

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From: [Mark Timpe](#)
To: "[Deval, Mayur](#)"
Subject: RE: Request: Update
Date: Thursday, March 26, 2020 11:24:00 AM

Hello Mayur,
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Regards,

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