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ameresco.com

October 30, 2018

Rosemary Chiavetta  
Secretary, Pennsylvania Public Utility Commission  
400 North Street  
Harrisburg, PA 17105

Subject: Docket No. A-2018-3004623/ Utility Code: 1221372

Dear Ms. Chiavetta:

Enclosed are updated application pages as requested in response to information requested by certified letter on October 3, 2018 regarding deficiencies in our natural gas broker license application accepted by the Commission on September 27, 2018. The responses will also be e-filed with the Pennsylvania Public Utility Commission.

Please let me know if you have any questions.

Sincerely yours,

A handwritten signature in black ink that reads "Kathy Abernethy". The signature is written in a cursive style with a large initial "K".

Kathy Abernethy  
Director, Generation Market Management  
Ameresco Inc.  
704-916-3531

Cc: Lee Yalcin [lyalcin@pa.gov](mailto:lyalcin@pa.gov)



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# Application for Parties Wishing to Offer, Render, Furnish, or Supply Gas or Gas Generation Services to the Public in the Commonwealth of Pennsylvania

## BEFORE THE PENNSYLVANIA PUBLIC UTILITY COMMISSION

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

To the Pennsylvania Public Utility Commission:

### 1. IDENTIFICATION AND CONTACT INFORMATION

- a. **IDENTITY OF THE APPLICANT:** Provide name (*including any fictitious name or d/b/a*), primary address, web address, and telephone number of Applicant:

Ameresco, Inc.  
Point West Place  
111 Speen St.  
Framingham, MA 01701  
508-661-2200  
www.Ameresco.com

- b. **PENNSYLVANIA ADDRESS / REGISTERED AGENT:** If the Applicant maintains a primary address outside of Pennsylvania, provide the name, address, telephone number, and fax number of the Applicant's secondary office within Pennsylvania. If the Applicant does not maintain a physical location within Pennsylvania, provide the name, address, telephone number, and fax number of the Applicant's Registered Agent within Pennsylvania.

CT Corporation System  
c/o National Registered Agents, Inc.  
600 N. 2<sup>nd</sup> Street, Suite 401  
Harrisburg, PA 17101  
P: (717)234-2300  
F: Not available

- c. **REGULATORY CONTACT:** Provide the name, title, address, telephone number, fax number, and e-mail address of the person to whom questions about this Application should be addressed.

Kathy Abernethy  
Director of Generation Markets Management  
5550 77 Center Drive, Suite 380  
Charlotte, NC 28217  
P: 704-916-3531  
F: 704-916-3631  
Email: [SM-Regulatory@ameresco.com](mailto:SM-Regulatory@ameresco.com)

## 4. OPERATIONS

### a. APPLICANT'S PRESENT OPERATIONS: (select and complete the appropriate statement)

#### Definitions

- Supplier – an entity which provides natural gas supply services to retail gas customers utilizing the jurisdictional facilities of an natural gas distribution company
- Broker/Marketer - an entity that acts as an intermediary in the sale and purchase of natural gas but does not take title to the natural gas.

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

Ameresco, Inc. is one of the largest independent energy service companies in North America. We have deep roots in energy efficiency, infrastructure improvements, and renewable energy development markets. Ameresco has been an energy supply management consultant since acquiring Duke Solutions in 2002 and provides electric broker services in PA.

or

- The Applicant is not presently doing business in Pennsylvania.

### b. APPLICANT'S PROPOSED OPERATIONS: The Applicant proposes to operate as a:

- Supplier or Aggregator of natural gas services
- Municipal supplier of natural gas services
- Cooperative supplier of natural gas services
- Broker/Marketer engaged in the business of supplying natural gas services
  - Check here to verify that your organization will not be taking title to the natural gas nor will you be making payments for customers.
- Other (Describe):

#### Definitions

- Supplier – an entity that sells gas to end-use customers utilizing the jurisdictional transmission and distribution facilities of an EDC.
- Aggregator - an entity that purchases natural gas and takes title to gas as an intermediary for sale to retail customers.

- Broker/Marketer - an entity that acts as an intermediary in the sale and purchase of natural gas but does not take title to gas.

## 5. COMPLIANCE

- a. **CRIMINAL/CIVIL PROCEEDINGS:** State specifically whether the Applicant, an affiliate, a predecessor of either, or a person identified in this Application, has been or is currently the defendant of a criminal or civil proceeding within the last five (5) years.

Identify all such proceedings (active or closed), by name, subject and citation; whether before an administrative body or in a judicial forum. If the Applicant has no proceedings to list, explicitly state such.

In regards to Ameresco's energy supply management consulting business, there are no claims, actions, suits, investigations, or other proceedings pending or, to the knowledge, of Ameresco, threatened, against or relating to Ameresco, or before or by a federal, state, or local, court, governmental department, agency or instrumentality, or arbitrator, arbitration panel, mediator, or mediation panel, or other alternative dispute resolution person, body or panel.

- b. **SUMMARY:** If applicable; provide a statement as to the resolution or present status of any such proceedings listed above.

Not Applicable

- c. **CUSTOMER/REGULATORY/PROSECUTORY ACTIONS:** Identify all formal or escalated actions or complaints filed with or by a customer, regulatory agency, or prosecutory agency against the Applicant, an affiliate, a predecessor of either, or a person identified in this Application, for the prior five (5) years, including but not limited to customers, Utility Commissions, and Consumer Protection Agencies such as the Offices of Attorney General. **Applicant should also include if it had a Pennsylvania PUC EGS or NGS license previously cancelled by the Commission.** If the Applicant has no actions or complaints to list, explicitly state such.

There are no formal or escalated actions or complaints filed with or by a customer, regulatory agency, or prosecutory agency against Ameresco, an affiliate, a predecessor of either, or a person identified in this Application including but not limited to customers, Utility Commissions, and Consumer Protection Agencies such as the Offices of Attorney General relating to Ameresco's energy supply management business division.

The PA PUC has never cancelled Ameresco's EGS or NGS license.

- d. **SUMMARY:** If applicable; provide a statement as to the resolution or present status of any actions listed above.

Not applicable

## 7. FINANCIAL FITNESS

- c. **SUPPLIER FUNDING METHOD:** If Applicant is operating as anything other than **Broker/Marketer only**, explain how Applicant will fund its operations. Provide all credit agreements, lines of credit, etc., and elaborate on how much is available on each item.

Ameresco is not operating as anything other than broker /marketer

- d. **BROKER PAYMENT STRUCTURE:** If applicant is a broker/marketer, explain how your organization will be collecting your fees.

As a broker, Ameresco would collect its fees from the supplier providing the commodity to the end-user. Once the end-user has paid its invoices from their electricity or gas supplier, that supplier would in turn pay Ameresco

- e. **ACCOUNTING RECORDS CUSTODIAN:** Provide the name, title, address, telephone number, FAX number, and e-mail address of Applicant's custodian for its accounting records.

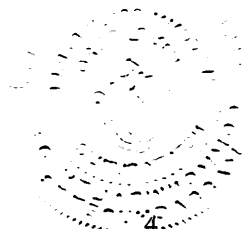
Mark Chiplock  
Chief Financial Officer  
111 Speen Street  
Framingham, MA 01701  
Telephone:508-661-2255  
Fax:508-661-2201

- f. **TAXATION:** Complete the TAX CERTIFICATION STATEMENT attached as Appendix D to this application.

*All sections of the Tax Certification Statement must be completed. Absence (submitting N/A) of any of the TAX identifications numbers (items 7A through 7C) shall be accompanied by supporting documentation or an explanation validating the absence of such information.*

*Items 7A and 7C on the Tax Certification Statement are designated by the Pennsylvania Department of Revenue. Item 7B on the Tax Certification Statement is designated by the Internal Revenue Service.*

See Appendix D



According to 52 Pa Code 1.36:

I, David J. Anderson, hereby state that the facts above set forth are true and correct to the best of my knowledge, information and belief, and that I expect to be able to prove the same at a hearing held in this matter. I understand that the statements herein are made subject to the penalties of 18 Pa. C.S. 4904 (relating to unsworn falsification to authorities).

Dated this 31<sup>st</sup> day of October, 2018 at Framingham, MA.

  
Signature

David J. Anderson  
Executive Vice President  
Ameresco Inc.  
508-661-2221

Notarization:



