



COMMONWEALTH OF PENNSYLVANIA
PENNSYLVANIA PUBLIC UTILITY COMMISSION
400 NORTH STREET, HARRISBURG, PA 17120

IN REPLY PLEASE
REFER TO OUR FILE

January 23, 2019

Docket No. A-2019-3007102
Utility Code: 1121761

CERTIFIED

BRENDAN HARTMAN CEO/PRESIDENT
TRANSPARENCE ENERGY SERVICES LLC
1440 EAST FORT AVENUE
BALTIMORE MD 21230

RECEIVED
JAN 23 2019

RE: Electric Generation Supplier License Application

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

Dear Mr. Hartman:

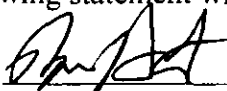
On January 16, 2019, TransparencE Energy Services, LLC (TransparencE Energy) filed an application for an Electric Generation Supplier license with the Public Utility Commission. The application was incomplete. In order for us to complete our analysis of your application, the Energy Industry Group requires answers to the attached question(s).

Please be advised that you are directed to forward the requested information to the Commission within **30** days from the date of this letter. Failure to respond may result in the application being denied. As well, if TransparencE Energy has decided to withdraw its application, please reply notifying the Commission of such a decision.

Please forward the information to the Secretary of the Commission at the address listed below. When submitting documents, all documents requiring notary stamps must have original signatures. Please note that some responses may be e-filed to your case, <http://www.puc.pa.gov/efiling/default.aspx>. A list of document types allowed to be e-filed can be found at <http://www.puc.pa.gov/efiling/DocTypes.aspx>.

Rosemary Chiavetta, Secretary
Pennsylvania Public Utility Commission
400 North Street
Harrisburg, PA 17120

Your answers should be verified per 52 Pa Code § 1.36. Accordingly, you must provide the following statement with your responses:

I, , 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

Docket No. A-2019-3007102
TransparencE Energy Services, LLC
Data Requests

1. Reference Application, Section 3.a and 3.b, Affiliates and Predecessors – Applicant failed to provide its Affiliates and/or Predecessors. If Applicant does not have Affiliates and/or Predecessors, please write not applicable. Please file an updated Application page 6 with the information requested.
2. Reference Application, Section 4.c, Description of Proposed Services – The applicant indicated “we propose to offer brokerage/consulting services to commercial and industrial customers.” Please confirm that applicant will also provide services to the customers as it indicated in Section 4.e.
3. Reference Application, Section 5.a and c, Criminal /Civil Proceedings and Customer/Regulatory/Prosecutory Actions – Please 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. Please file an updated Application page 9 with the information requested.
4. Reference Application, Section 7.f, Taxation, Sections 8 and 9 – Applicant failed to provide a Corporate Box Number or a Revenue ID Number as well as responding to sections 8 and 9. Please resubmit a complete Tax Certification Statement.
5. Reference Application, Section 8.d, Technical Fitness – Applicant failed to list its Proposed Explanation of Ethical Procedures. Please provide an updated application page 14 with the appropriate corrections.

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FEB 13 2019

PA PUBLIC UTILITY BOARD
SECRETARY'S OFFICE

The Applicant is a:

- domestic corporation (15 Pa. C.S. §1308)
- foreign corporation (15 Pa. C.S. §4124)
- domestic limited liability company (15 Pa. C.S. §8913)
- foreign limited liability company (15 Pa. C.S. §8981)
- Other (Describe):

- Provide proof of compliance with appropriate Department of State filing requirements as indicated above.
- Provide the state in which the business is incorporated/organized/formed and provide a copy of the Applicant's charter documentation.
- Give name and address of officers.

3. AFFILIATES AND PREDECESSORS

(both in state and out of state)

a. **AFFILIATES:** Give name and address of any affiliate(s) currently doing business and state whether the affiliate(s) are jurisdictional public utilities. If the Applicant does not have any affiliates doing business, explicitly state so. Also, state whether the applicant has any affiliates that are currently applying to do business in Pennsylvania.

Not Applicable

b. **PREDECESSORS:** Identify the predecessor(s) of the Applicant and provide the name(s) under which the Applicant has operated within the preceding five (5) years, including address, web address, and telephone number, if applicable. If the Applicant does not have any predecessors that have done business, explicitly state so.

Not Applicable

c. **PROPOSED SERVICES:** Describe in detail the electric services or the electric generation services which the Applicant proposes to offer.

we propose to offer brokerage/consulting services to residential customers, small commercial customers (25 kw and under), large commercial customers (over 25 kw), industrial customers, Governmental customers, per 4 e. below

d. **PROPOSED SERVICE AREA:** Check the box of each Electric Distribution Company for which the Applicant proposes to provide service.

- Citizens' Electric
- Duquesne Light
- Met-Ed
- PECO
- Penelec
- Penn Power

- Pike
- PPL
- UGI Utilities
- Wellsboro
- West Penn

- Entire Commonwealth of PA

e. **CUSTOMERS:** Applicant proposes to provide services to:

- Residential Customers
- Small Commercial Customers - (25 kW and Under)
- Residential and Small Commercial as Mixed Meter **ONLY (CANNOT BE TAKEN WITH RESIDENTIAL AND/OR SMALL COMMERCIAL ABOVE)**
- Large Commercial Customers - (Over 25 kW)
- Industrial Customers
- Governmental Customers
- All of above (Except Mixed Meter)
- Other (Describe):

f. **START DATE:** Provide the approximate date the Applicant proposes to actively market within the Commonwealth.

12/1/2016

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.

No proceedings to list

- 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, in the Commonwealth of Pennsylvania or any state, 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.

No actions or complaints to list

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

Not Applicable

d. **OVERSIGHT OF MARKETING:** Explain all methods Applicant will use to ensure all marketing is performed in an ethical manner, for both employees and subcontractors.

Transparence will conduct frequent meetings and discussions to ensure that all marketing is performed in an ethical manner and will explicitly state our companies' values of honesty and integrity and that these values must be upheld by any future employees or contractors, failure will result in termination.

e. **OFFICERS:** Identify Applicant's chief officers, and include the professional resumes for any officers directly responsible for operations. All resumes should include date ranges and job descriptions containing actual work experience.

f. **FERC FILING:** Applicant has:

- Filed an Application with the Federal Energy Regulatory Commission to be a Power Marketer.
- Received approval from FERC to be a Power Marketer at Docket or Case Number _____.
- Not applicable

9. DISCLOSURE STATEMENTS:

Disclosure Statements: If proposing to serve Residential and/or Small Commercial (under 25 kW) Customers, provide a Residential and/or Small Commercial disclosure statement. A sample disclosure statement is provided as Appendix J to this Application.

- Electricity should be priced in clearly stated terms to the extent possible. Common definitions should be used. All consumer contracts or sales agreements should be written in plain language with any exclusions, exceptions, add-ons, package offers, limited time offers or other deadlines prominently communicated. Penalties and procedures for ending contracts should be clearly communicated.

Not applicable for an applicant applying for a license exclusively as a broker/marketer.

10. VERIFICATIONS, ACKNOWLEDGEMENTS, AND AGREEMENTS

a. **PJM LOAD SERVING ENTITY REQUIREMENT:** As a prospective EGS, the applicant understands that those EGSs which provide retail electric supply service (i.e. takes title to electricity) must provide either:

- proof of registration as a PJM Load Serving Entity (LSE), or
- proof of a contractual arrangement with a registered PJM LSE that facilitates the retail electricity services of the EGS.

I, Brendan Hartman, hereby certify 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 to the penalties of 18 Pa. C.S. § 4904 (related to unsworn falsification to authorities).

**Brendan Hartman*

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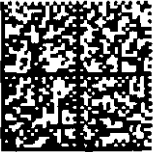
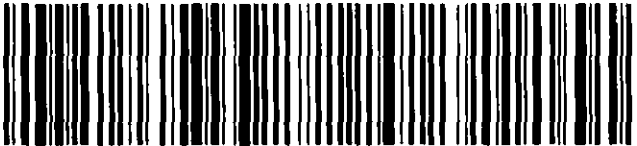


FEB 13 2019

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

TransparencE Energy Services LLC

1440 E. Fort Avenue

Baltimore, MD 21230

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	FIRST-CLASS Feb 13 2019 Mailed from ZIP 21230 3oz First-Class Pkg Svc Zone 2	
	CommercialBasePrice	071800931382
FIRST-CLASS PKG SVC		
TRANSPARENCE ENERGY SERVICES LLS 1440 E FORT AVE Baltimore MD 21230	0000	
SHIP TO: ROSEMARY CHIAVETTA SECRETARY PA PUBLIC UTILITY COMMISSION 400 NORTH ST HARRISBURG PA 17120-0200		
USPS TRACKING #		
		
9400 1102 0083 0175 1828 59		
<small>SEE TOP OF REVERSE regarding USPS terms, and notice of limitation of liability. Where allowed by law, shippers authorize USPS to act as forwarding agent for import control and customs purposes. If exported from the US, shippers certify that the commodities, technology or software were exported from the US in accordance with the Export Administration Regulations. Reverse courtesy to law is prohibited.   RFD 02 1219</small>		

Rosemary Chiavetta, Secretary

Pennsylvania Public Utility Commission

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