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PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

July 1, 2019

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

Re: Applications of Energy CX, LLC for a Natural Gas Supplier License (Broker) and an Electric Generation Supplier License (Broker)

Dear Secretary Chiavetta:

Please find enclosed original, verified applications of Energy CX, LLC for a natural gas supplier license (as a broker) and an electric generation supplier license (as a broker) in the Commonwealth of Pennsylvania.

Also enclosed are searchable PDF versions of the applications on USB removable drives and two checks made out to the Commonwealth of Pennsylvania in the amount of \$350 for the application fees.

Additionally, certain portions of this application are deemed confidential by Energy CX, LLC, and as such are submitted in sealed envelopes, marked confidential, as part of these application packages.

Please note that Energy CX exercised the option of filing joint public notices in the required newspapers of both applications, and as such the original affidavits of publication refer to both applications. The original affidavits are included in the natural gas supplier (broker) application, and copies are included in the electric generation supplier (broker) application for reference purposes.

Finally, non-confidential copies of the appropriate application(s) have been served on the statutory agencies and utilities as directed in the application forms and listed under "Carbon Copy" below.

Please do not hesitate to let me know if you have any questions or concerns about this application ([frankcaliva@prquinlan.com](mailto:frankcaliva@prquinlan.com), 202.506.1657).

Sincerely,



Frank Caliva III  
P.R. Quinlan Associates Inc.  
*Regulatory Consultant to Energy CX, LLC*

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CC: *Statutory Agencies (Both Applications)*  
Bureau of Investigation & Enforcement, Pennsylvania Public Utility Commission  
Office of Consumer Advocate  
Office of Small Business Advocate  
Bureau of Consumer Protection, Office of the Attorney General  
Bureau of Compliance, Department of Revenue

*Natural Gas Utilities (NGS Application)*

Columbia Gas of PA, Inc.  
Peoples Natural Gas Company LLC – Equitable Division  
Peoples Natural Gas Company LLC  
Peoples Gas Company LLC  
National Fuel Gas Distribution Corp.  
PECO  
Philadelphia Gas Works

*Electric Utilities (EGS Application)*

West Penn Power  
Duquesne Light  
First Energy  
Citizens' Electric Company  
Corning Natural Gas Holding Corporation  
PECO Energy Company  
UGI Utilities, Inc.  
Wellsboro Electric Company

## BEFORE THE PENNSYLVANIA PUBLIC UTILITY COMMISSION

Application of ENERGY CX, LLC, d/b/a \_\_\_\_\_, for approval to offer, render, furnish, or supply electricity or electric generation services as a(n) [as specified in item #4b below] 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:

**ENERGY CX, LLC**  
3501 Woodhead Dr., #5  
Northbrook, IL 60062  
(847) 509-2290  
www.energycx.com

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- 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.

**Applicant does not maintain a physical location within Pennsylvania.**

**Registered Agent: UNISEARCH, INC.**  
314 North 12th Street, Suite 100, Philadelphia, PA 19107  
1-800-722-0708

- 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.

**Mark Rice, President**  
3501 Woodhead Dr., #5  
Northbrook, Illinois 60062  
(847) 509-2280 (phone), 847-509-2295 (fax)  
mark@energycx.com

- d. **ATTORNEY:** Provide the name, address, telephone number, fax number, and e-mail address of the Applicant's attorney. If the Applicant is not using an attorney, explicitly state so.

**Applicant is not using an attorney.**

- e. **CONTACTS FOR CONSUMER SERVICE AND COMPLAINTS: (Required of ALL Applicants)** Provide the name, title, address, telephone number, FAX number, and e-mail **OF THE PERSON AND AN ALTERNATE PERSON (2 REQUIRED)** responsible for addressing customer complaints. These persons will ordinarily be the initial point(s) of contact for resolving complaints filed with the Applicant, the Electric Distribution Company, the Pennsylvania Public Utility Commission, or other agencies. The main contact's information will be listed on the Commission website list of licensed EGSs.

<b>Ellen Rice, Vice-President</b>	<b>Miles Rice, Director</b>
3501 Woodhead Dr., #5	3501 Woodhead Dr., #5
Northbrook, Illinois 60062	Northbrook, Illinois 60062
847-509-2290 (phone)	847-224-6906 (phone)
847-509-2295 (fax)	847-509-2295 (fax)
ellen@energycx.com	miles@energycx.com

**2. BUSINESS ENTITY FILINGS AND REGISTRATION**

a. **FICTITIOUS NAME:** *(Select appropriate statement and provide supporting documentation as listed.)*

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

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

**or**

The Applicant will not be using a fictitious name.

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b. **BUSINESS ENTITY AND DEPARTMENT OF STATE FILINGS:**

*(Select appropriate statement and provide supporting documentation. As well, understand that Domestic means being formed within Pennsylvania and foreign means being formed outside Pennsylvania.)*

The Applicant is a sole proprietor.

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

**or**

The Applicant is a:

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

- Provide proof of compliance with appropriate Department of State filing requirements as indicated above.
- Give name, d/b/a, and address of partners. If any partner is not an individual, identify the business nature of the partner entity and identify its partners or officers.
- Provide the state in which the business is organized/formed and provide a copy of the Applicant's charter documentation.
- \* If a corporate partner in the Applicant's domestic partnership is not domiciled in Pennsylvania, attach a copy of the Applicant's Department of State filing pursuant to 15 Pa. C.S. §4124.

**or**

The Applicant is a:

- domestic corporation (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.

**Please see Exhibit #2(b).**

### **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.

**Applicant is affiliated with Biofuels Technology, LLC, through common ownership by Mark Rice (sole owner of 100% of both companies), at the same corporate address as Applicant. Biofuels Technology, LLC does business as "Energy Connection" in several states other than Pennsylvania, though the company is transitioning to using the Energy CX name as well. None of the Applicant's affiliates are jurisdictional public utilities.**

- 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.

**Applicant has no predecessors.**

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#### 4. OPERATIONS

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

Definitions

- Supplier – an entity that sells electricity to end-use customers utilizing the jurisdictional transmission and distribution facilities of an EDC.
- Aggregator - an entity that purchases electric energy and takes title to electric energy as an intermediary for sale to retail customers.
- Broker/Marketer - an entity that acts as an intermediary in the sale and purchase of electric energy but does not take title to electric energy.

The Applicant is presently doing business in Pennsylvania as a

- municipal electric corporation
- electric cooperative
- local gas distribution company
- provider of electric generation, transmission or distribution services
- broker/marketer engaged in the business of supplying electricity services
- Other; Identify the nature of service being rendered.

or

The Applicant is not presently doing business in Pennsylvania.

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b. **APPLICANT'S PROPOSED OPERATIONS:** The Applicant proposes to operate as a *(may check multiple)*:

- Generator of electricity
- Supplier of electricity
- Aggregator engaged in the business of supplying electricity
- Broker/Marketer engaged in the business of supplying electricity services
  - Check here to verify that your organization will not be taking title to the electricity nor will you be making payments for customers.
- Electric Cooperative and supplier of electric power
- Other (Describe):

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

**Energy advisory services for C&I customers, including energy procurement (through reverse auction platform); contract negotiation and management with retail supplier; market risk analysis and advice; energy data management and analysis; supply-side/demand-side management; and clean energy/energy efficiency financing and deployment.**

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.

**Upon licensure.**

## 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.

**Applicant has no such proceedings to list.**

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

**N/A**

- 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 such actions or complaints to list.**

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

**N/A**

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**6. PROOF OF SERVICE**

**Required of ALL Applicants regardless of operating as a supplier, broker, marketer, or aggregator.**  
*(Example Certificate of Service is attached at Appendix C)*

- a. **STATUTORY AGENCIES:** Pursuant to Section 5.14 of the Commission's Regulations, 52 Pa. Code §5.14, provide proof of service of a signed and verified Application with attachments on the following:

Bureau of Investigation & Enforcement  
Pennsylvania Public Utility Commission  
Commonwealth Keystone Building  
400 North Street, 2 West  
Harrisburg, PA 17120

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

Office of Consumer Advocate  
5th Floor, Forum Place  
555 Walnut Street  
Harrisburg, PA 17120

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

Office of the Small Business Advocate  
Commerce Building, Suite 202  
300 North Second Street  
Harrisburg, PA 17101

- b. **EDCs:** Pursuant to Sections 1.57 and 1.58 of the Commission's Regulations, 52 Pa. Code §§1.57 and 1.58, provide Proof of Service of the Application and attachments upon each of the Electric Distribution Companies the Applicant proposed to provide service in. Upon review of the Application, further notice may be required pursuant to Section 5.14 of the Commission's Regulations, 52 Pa. Code §5.14. Contact information for each EDC is as follows.

**Pike County Light & Power Company:**  
Vice President – Energy Supply  
Coming Natural Gas Holding Corporation  
330 West William Street  
Coming, NY 14830

**West Penn:**  
Legal Department  
West Penn Power d/b/a Allegheny Power  
800 Cabin Hill Drive  
Greensburg, PA 15601-1689

**PECO:**  
Manager Energy Acquisition  
PECO Energy Company  
2301 Market Street  
Philadelphia, PA 19101-8699

**Duquesne Light:**  
Regulatory Affairs  
Duquesne Light Company  
411 Seventh Street, MD 16-4  
Pittsburgh, PA 15219

**PPL:**  
Office of General Counsel  
Attn: Kimberly A. Klock  
PPL  
Two North Ninth Street (GENTW3)  
Allentown, PA 18101-1179

**Met-Ed, Penelec, and Penn Power:**  
Legal Department  
First Energy  
2800 Pottsville Pike  
Reading PA, 19612

**UGI:**  
UGI Utilities, Inc.  
Attn: Rates Dept. – Choice Coordinator  
2525 N. 12th Street, Suite 360  
Post Office Box 12677  
Reading, Pa 19612-2677

**Citizens' Electric Company:**  
Citizens' Electric Company  
Attn: EGS Coordination  
1775 Industrial Boulevard  
Lewisburg, PA 17837

**Wellsboro Electric Company:**  
Wellsboro Electric Company  
Attn: EGS Coordination  
33 Austin Street  
P. O. Box 138  
Wellsboro, PA 16901

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**7. FINANCIAL FITNESS**

a. **BONDING:** In accordance with 66 Pa. C.S. Section 2809(c)(1)(i), the Applicant is required to file a bond or other instrument to ensure its financial responsibilities and obligations as an EGS. Therefore, the Applicant is...

- Furnishing the **ORIGINAL** of an initial bond, letter of credit or proof of bonding to the Commission in the amount of \$250,000.
- Furnishing the **ORIGINAL** of another initial security for Commission approval, to ensure financial responsibility, such as a parental guarantee, in the amount of \$250,000.
- For Marketers and Brokers** - Filing for a modification to the \$250,000 requirement and furnishing the **ORIGINAL** of an initial bond, letter of credit or proof of bonding to the Commission in the amount of \$10,000. Applicant is required to provide information supporting an amount less than \$250,000. Such supporting information must include indication that the Applicant will not take title to electricity and will not pay electricity bills on behalf of its customers. Further details for modification may be described as well.

**Please see original bond at Exhibit #7(a).**

**CRITICAL BONDING NOTES:**

Applicant is required to maintain a bond or other financial instrument the entire time it maintains an EGS license with the Commonwealth of Pennsylvania. If Applicant's security instrument is not continuous, Applicant **MUST** submit a Rider, Amendment, or Continuation Certificate annually based on the expiration date of its security instrument.

At least sixty days (60) prior to the security instrument's expiration date, Applicant should contact Stephen Jakab at [sjakab@pa.gov](mailto:sjakab@pa.gov) to determine the appropriate bonding amount based on a percentage of Applicant's gross receipts resulting from the sale of generated electricity consumed in Pennsylvania. Once the amount has been determined, Applicant should overnight the updated security instrument(s) at least thirty (30) days prior to the expiration date to ensure adequate time for staff review and approval of the security instrument(s).

Template versions of a continuous bond, fixed-term bond, continuous letter of credit, and parental guarantee are attached at Appendix E, F, G, & H, respectively. Applicant's security must follow language from these examples, and must include the unmodified language outlined in Appendix D. Any deviation from these examples must be identified in the application and may not be acceptable to the Commission.

**b. FINANCIAL RECORDS, STATEMENTS, AND RATINGS:** Applicant must provide sufficient information to demonstrate financial fitness commensurate with the service proposed to be provided. Examples of such information which may be submitted include the following:

- Actual (or proposed) organizational structure including parent, affiliated or subsidiary companies.
- Published Applicant or parent company financial and credit information (i.e. 10Q or 10K). (SEC/EDGAR web addresses are sufficient)
- Applicant's accounting statements, including balance sheet and income statements for the past two years.
- Evidence of Applicant's credit rating. Applicant may provide a copy of its Dun and Bradstreet Credit Report and Robert Morris and Associates financial form, evidence of Moody's, S&P, or Fitch ratings, and/or other independent financial service reports.
- A description of the types and amounts of insurance carried by Applicant which are specifically intended to provide for or support its financial fitness to perform its obligations as a licensee.
- Audited financial statements exhibiting accounts over a minimum two year period.
- Bank account statement, tax returns from the previous two years, or any other information that demonstrates Applicant's financial fitness.

**Please see Exhibit #7(b), which is being filed under separate, confidential cover.**

**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.

**Applicant only operates as a Broker/Marketer.**

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

**Applicant is primarily compensated by the licensed electric generation suppliers it represents; in a few instances. Applicant is compensated by customer when Applicant provides consulting services directly to the customer.**

**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.

**Joel Birnbaum, Chief Financial Officer  
3501 Woodhead Dr., #5  
Northbrook, IL 60062  
joel.birnbaum@gmail.com  
(847) 509-2290 (phone), (847) 509-2295 (fax)**

**f. TAXATION:** Complete the TAX CERTIFICATION STATEMENT attached as Appendix I 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.*

**8. TECHNICAL FITNESS:**

To ensure that the present quality and availability of service provided by electric utilities does not deteriorate, the Applicant shall provide sufficient information to demonstrate technical fitness commensurate with the service proposed to be provided.

**a. EXPERIENCE, PLAN, STRUCTURE:** such information may include:

- Applicant's previous experience in the electricity industry.
- Summary and proof of licenses as a supplier of electric services in other states or jurisdictions.
- Type of customers and number of customers Applicant currently serves in other jurisdictions.
- Staffing structure and numbers as well as employee training commitments.
- Business plans for operations within the Commonwealth.
- Documentation of membership in PJM, ECAR, MAAC, other regional reliability councils, or any other membership or certification that is deemed appropriate to justify competency to operate as an EGS within the Commonwealth.
- Any other information appropriate to ensure the technical capabilities of the Applicant.  
**Please see Exhibit #8(a).**

**b. PROPOSED MARKETING METHOD** (*check all that apply*)

- Internal – Applicant will use its own internal resources/employees for marketing
- External EGS – Applicant will contract with a PUC **LICENSED EGS** broker/marketer
- Affiliate – Applicant will use a **NON-EGS** affiliate marketing company and or individuals.
- External Third-Party – Applicant will contract with a **NON-EGS** third party marketing company and or individuals
- Other (Describe):

**c. DOOR TO DOOR SALES:** Will the Applicant be implementing door to door sales activities?

- Yes
- No

If yes, will the Applicant be using verification procedures?

- Yes
- No

If yes, describe the Applicant's verification procedures.

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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.

**Applicant's sales channels are referral/relationship-based marketing and online marketing. Applicant will only work with PUC-licensed electric generation suppliers, and will monitor and comply with all applicable existing and future federal, state, and municipal statutes and regulations. Applicant will respond to customer inquiries and complaints in accordance with industry best practices and the regulations of the PUC. If any complaints or concerns should arise from customers or potential customers, Applicant customer service can be reached at 847-509-2290 (phone) or ellen@energycx.com.**

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.

**Please see Exhibit 8(e).**

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

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9. **DISCLOSURE STATEMENTS:**

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**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.

The Applicant understands that compliance with this requirement must be filed within 120 days of the Applicant receiving a license. As well, the Applicant understands that compliance with this requirement may be filed with this instant application.

*(Select only one of the following)*

- AGREED - Applicant has included compliance with this requirement in the instant application, labeled in correspondence with this section (10).
- AGREED - Applicant will provide compliance with this requirement within 120 days of receiving its license
- ACKNOWLEDGED - Applicant is not proposing to provide retail electric supply service at this time, and therefore is not presently obligated to provide such information

**b. STANDARDS OF CONDUCT AND DISCLOSURE:** As a condition of receiving a license, Applicant agrees to conform to any Uniform Standards of Conduct and Disclosure as set forth by the Commission. Further, the Applicant agrees that it must comply with and ensure that its employees, agents, representatives, and independent contractors comply with the standards of conduct and disclosure set out in Commission regulations at 52 Pa. Code § 54.43, as well as any future amendments.

AGREED

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

- Retail Electricity Choice Activity Reports: The regulations at 52 Pa. Code §§ 54.201–54.204 require that all active EGSs report sales activity information. An EGS will file an annual report reporting for customer groups defined by annual usage. Reports must be filed using the appropriate report form that may be obtained from the PUC's Secretary's Bureau or the forms officer, or may be down-loaded from the PUC's internet web site.
- Reports of Gross Receipts: Applicant shall report its Pennsylvania intrastate gross receipts to the Commission on a quarterly and year to date basis no later than 30 days following the end of the quarter.
- The Treasurer or other appropriate officer of Applicant shall transmit to the Department of Revenue by March 15, an annual report, and under oath or affirmation, of the amount of gross receipts received by Applicant during the prior calendar year.
- Net Metering Reports: Applicant shall be responsible to report any Net Metering per the Standards on [http://www.puc.pa.gov/consumer\\_info/electricity/alternative\\_energy.aspx](http://www.puc.pa.gov/consumer_info/electricity/alternative_energy.aspx). Scroll down to the Net Metering Standards Section.
- Applicant shall report to the Commission the percentages of total electricity supplied by each fuel source on an annual basis per 52 Pa. Code § 54.39(d).
- Applicant will be required to meet periodic reporting requirements as may be issued by the Commission to fulfill the Commission's duty under Chapter 28 pertaining to reliability and to inform the Governor and Legislature of the progress of the transition to a fully competitive electric market.

AGREED

d. **TRANSFER OF LICENSE:** The Applicant understands that if it plans to transfer its license to another entity, it is required to request authority from the Commission for permission prior to transferring the license. See 66 Pa. C.S. Section 2809(D). Transferee will be required to file the appropriate licensing application.

AGREED

e. **ANNUAL FEES:** The Public Utility Code authorizes the PUC to collect an annual fee of \$350 from suppliers, brokers, marketers, and aggregators selling electricity in the Commonwealth of PA, and an annual supplemental fee based on annual gross intrastate revenues, applicable to suppliers only.

ACKNOWLEDGED

f. **FURTHER DEVELOPMENTS:** Applicant is under a continuing obligation to amend its application if substantial changes occur to the information upon which the Commission relied in approving the original filing. See 52 Pa. Code § 54.34.

AGREED

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

AGREED

h. **NOTIFICATION OF CHANGE:** If your answer to any of these items changes during the pendency of your application or if the information relative to any item herein changes while you are operating within the Commonwealth of Pennsylvania, you are under a duty to so inform the Commission, within twenty (20) days, as to the specifics of any changes which have a significant impact on the conduct of business in Pennsylvania. See 52 Pa. Code § 54.34.

AGREED

i. **CEASING OF OPERATIONS:** Applicant is also required to officially notify the Commission if it plans to cease doing business in Pennsylvania, 90 days prior to ceasing operations.

AGREED

j. **Electronic Data Interchange:** The Applicant acknowledges the Electronic Data Interchange (EDI) requirements and the relevant contacts for each EDC, as listed at Appendix M.

AGREED

k. **FILING FEE:** The Applicant has enclosed or paid the required, non-refundable filing fee by **CERTIFIED CHECK OR MONEY ORDER** in the amount of \$350.00 payable to the Commonwealth of Pennsylvania. The Commission does not accept corporate or personal checks for filing fees.

PAYMENT ENCLOSED

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**11. AFFIDAVITS**

**Must be notarized before filing.**

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- a. **APPLICATION AFFIDAVIT:** Complete and submit with your filing an officially notarized Application Affidavit stating that all the information submitted in this application is truthful and correct. An example copy of this Affidavit can be found at Appendix A.
- b. **OPERATIONS AFFIDAVIT:** Provide an officially notarized affidavit stating that you will adhere to the reliability protocols of the North American Electric Reliability Council, the appropriate regional reliability council(s), and the Commission, and that you agree to comply with the operational requirements of the control area(s) within which you provide retail service. An example copy of this Affidavit can be found at Appendix B.

**12. NEWSPAPER PUBLICATIONS**

**Required of ALL Applicants regardless of operating as a supplier, broker, marketer, or aggregator.**

Notice of filing of this Application must be published in newspapers of general circulation covering each county in which the applicant intends to provide service. The newspapers in which proof of publication are required is dependent on the service territories the applicant is proposing to serve.

The chart below dictates which newspapers are necessary for each EDC. For example, an applicant that wants to operate in Penn Power would need to run ads in both The Erie Times-News and the Pittsburgh Post-Gazette. If the applicant is proposing to serve the entire Commonwealth, please file proof of publication in all seven newspapers.

The only acceptable verification of this requirement is with Notarized Proofs of Publication, which may be requested from each newspaper and must be supplied with this application. Applicants do not need a docket number in their publication. Docket numbers will be issued when all criteria on the item 14 checklist (see below) are satisfied.

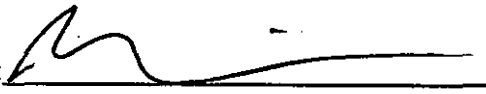

**Please see original Notarized Proofs of Publication following this page.**

	Erie Times-News	Harrisburg Patriot-News	Philadelphia Daily News	Pittsburgh Post-Gazette	Scranton Times-Tribune	Williamsport Sun-Gazette	Johnstown Tribune-Democrat
Citizens' Electric						X	
Duquesne				X			
Met Ed		X	X		X		
PECO			X				
Penelec	X	X			X	X	X
Penn Power	X			X			
Pike					X		
PPL		X	X		X	X	
UGI					X		
Wellsboro						X	
West Penn		X		X		X	X
Entire Commonwealth	X	X	X	X	X	X	X

*(Example Publications are provided at Appendices K and L)*



**13. SIGNATURE**

Applicant:    
 By: Mark Rice  
 Title: President

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 SECRETARY'S BUREAU

**14. CHECKLIST**

For the applicant's convenience, please use the following checklist to ensure all relevant sections are complete. The Commission Secretary's Bureau will not accept an application unless each of the following sections are complete.

Applicant: ENERGY CX, LLC

	<b>Signature</b>	
	<b>Filing Fee (CERTIFIED CHECK OR MONEY ORDER ONLY)</b>	
	<b>Application Affidavit</b>	
	<b>Operations Affidavit</b>	
	<b>Proof of Publication</b>	
	<b>Bond, Letter of Credit, or Parental/Affiliate Guarantee</b>	
	<b>Tax Certification Statement</b>	
	<b>Commonwealth Department of State Verification</b>	
	<b>Certificate of Service</b>	

Applicant's Use

PUC Secretary's Bureau Use

Appendix A

APPLICATION AFFIDAVIT

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[Commonwealth/State] of Illinois :

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

ss.

County of Lake :

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

[He/she is the President (Office of Affiant) of Energy CX, LLC (Name of Applicant);]

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

That the Applicant herein Energy CX, LLC has the burden of producing information and supporting documentation demonstrating its technical and financial fitness to be licensed as an electric generation supplier pursuant to 66 Pa. C.S. § 2809 (B).

That the Applicant herein Energy CX, LLC has answered the questions on the application correctly, truthfully, and completely and provided supporting documentation as required.

That the Applicant herein Energy CX, LLC acknowledges that it is under a duty to update information provided in answer to questions on this application and contained in supporting documents.

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

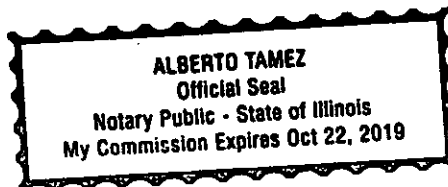
That the facts above set forth are true and correct to the best of his/her knowledge, information, and belief, and that he/she expects said Applicant to be able to prove the same at hearing.

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

Sworn and subscribed before me this 17<sup>th</sup> day of June, 2019.

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

My commission expires 10/22/2019.



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OPERATIONS AFFIDAVIT

PA PUBLIC UTILITY COMMISSION  
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[Commonwealth/State] of Illinois :

ss.

County of Lake :

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

[He/she is the President (Office of Affiant) of Energy CX, LLC (Name of Applicant);]

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

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

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

That Energy CX, LLC, the Applicant herein, certifies to the Commission that it is subject to , will pay, and in the past has paid, the full amount of taxes imposed by Articles II and XI of the Act of March 4, 1971 (P.L. 6, No. 2 ), known as the Tax Reform Act of 1971 and any tax imposed by Chapter 28 of Title 66. The Applicant acknowledges that failure to pay such taxes or otherwise comply with the taxation requirements of Chapter 28, shall be cause for the Commission to revoke the license of the Applicant. The Applicant acknowledges that it shall report to the Commission its jurisdictional Gross Receipts and power sales for ultimate consumption, for the previous year or as otherwise required by the Commission. The Applicant also acknowledges that it is subject to 66 Pa. C.S. §506 (relating to the inspection of facilities and records).


As provided by 66 Pa. C.S. §2810 (C)(6)(iv), Applicant, by filing of this application waives confidentiality with respect to its state tax information in the possession of the Department of Revenue, regardless of the source of the information, and shall consent to the Department of Revenue providing that information to the Pennsylvania Public Utility Commission.

**Appendix B (Continued)**

That Energy CX, LLC, the Applicant herein, acknowledges that it has a statutory obligation to conform with 66 Pa. C.S. §506, §2807 (C), §2807(D)(2), §2809(B) and the standards and billing practices of 52 PA. Code Chapter 56.

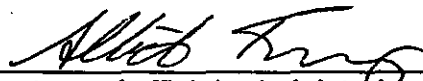
That the Applicant agrees to provide all consumer education materials and information in a timely manner as requested by the Bureau of Public Liaison or other Commission bureaus. Materials and information requested may be analyzed by the Commission to meet obligations under applicable sections of the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

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



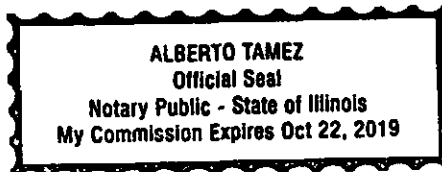
\_\_\_\_\_  
Signature of Affiant

Sworn and subscribed before me this 17<sup>th</sup> day of June, 2019.



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

My commission expires 10/22/2019.



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**Exhibit #2(b)**

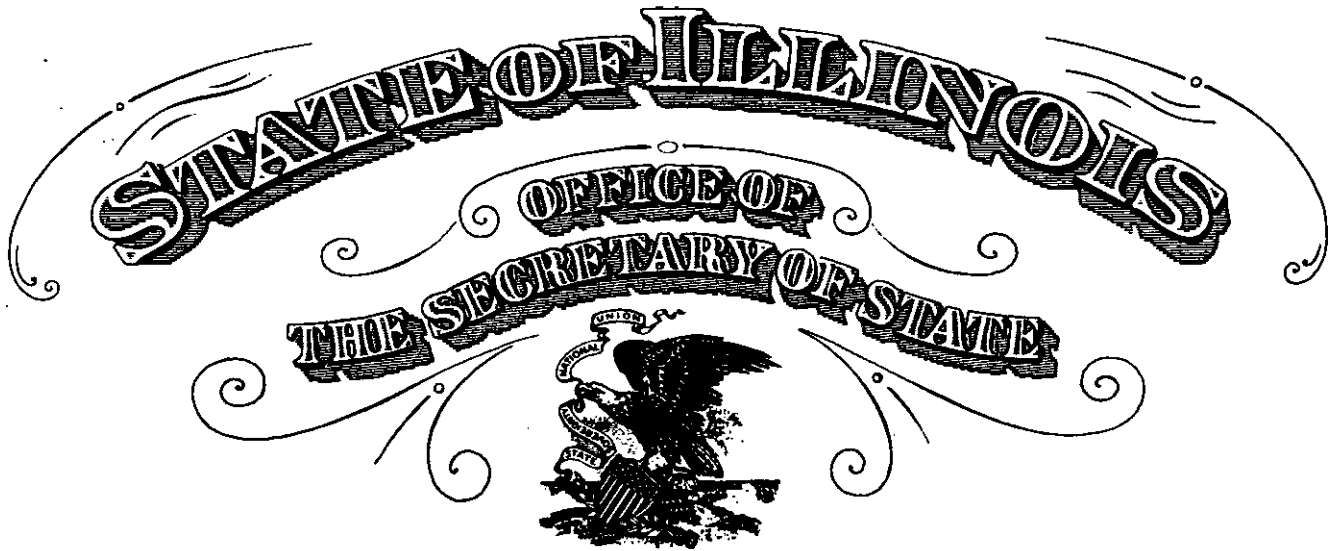
**PA Department of State**

**Foreign Corporation Registration**

**Illinois Organizational Information &**

**Charter**

**Names and Addresses of Officers**



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

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

ENERGY CX, LLC, HAVING ORGANIZED IN THE STATE OF ILLINOIS ON APRIL 29, 2019, APPEARS TO HAVE COMPLIED WITH ALL PROVISIONS OF THE LIMITED LIABILITY COMPANY ACT OF THIS STATE, AND AS OF THIS DATE IS IN GOOD STANDING AS A DOMESTIC LIMITED LIABILITY COMPANY IN THE STATE OF ILLINOIS.



***In Testimony Whereof, I hereto set my hand and cause to be affixed the Great Seal of the State of Illinois, this 29TH day of MAY A.D. 2019 .***

*Jesse White*

SECRETARY OF STATE

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF CORPORATIONS AND CHARITABLE ORGANIZATIONS  
401 NORTH STREET, ROOM 208  
P.O. BOX 8722  
HARRISBURG, PA 17105-8722  
WWW.CORPORATIONS.PA.GOV

PENNCORP SERVICEGROUP INC  
counter  
Harrisburg PA 17101

ENERGY CX, LLC

THE BUREAU OF CORPORATIONS AND CHARITABLE ORGANIZATIONS IS HAPPY TO SEND YOUR FILED DOCUMENT. THE BUREAU IS HERE TO SERVE YOU AND WE WOULD LIKE TO THANK YOU FOR DOING BUSINESS IN PENNSYLVANIA.

IF YOU HAVE ANY QUESTIONS PERTAINING TO THE BUREAU, PLEASE VISIT OUR WEBSITE AT [www.dos.pa.gov/BusinessCharities](http://www.dos.pa.gov/BusinessCharities) OR YOU MAY CONTACT US BY TELEPHONE AT (717)787-1057. INFORMATION REGARDING BUSINESS AND UCC FILINGS CAN BE FOUND ON OUR SEARCHABLE DATABASE AT [www.corporations.pa.gov/Search/CorpSearch](http://www.corporations.pa.gov/Search/CorpSearch).

ENTITY NUMBER : 6881832

**PENNSYLVANIA DEPARTMENT OF STATE  
BUREAU OF CORPORATIONS AND CHARITABLE ORGANIZATIONS**

<input checked="" type="checkbox"/> Return document by mail to: <b>88574</b>  Mia Murray PennCorp Servicegroup, Inc. 600 N. 2nd St., Ste. 401 PO Box 1210 Harrisburg, PA 17108-1210  <b>penncorp@penncorp.net</b>	<b>Foreign Registration Statement</b> <b>DSCB:15-412</b> <b>(rev. 2/2017)</b>  TCO190502ZN0557
<input checked="" type="checkbox"/> Return document by email to:	

Read all instructions prior to completing. This form may be submitted online.

Fee: \$250  I qualify for a veteran/reservist-owned small business fee exemption (see instructions)

In compliance with the requirements of the applicable provisions of 15 Pa.C.S. § 412 (relating to foreign registration statement), the undersigned foreign association hereby states that:

1. The type of association is (check only one):

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> Business Corporation                 | <input type="checkbox"/> Limited Partnership                     | <input type="checkbox"/> Business Trust           |
| <input type="checkbox"/> Nonprofit Corporation                | <input type="checkbox"/> Limited Liability (General) Partnership | <input type="checkbox"/> Professional Association |
| <input checked="" type="checkbox"/> Limited Liability Company | <input type="checkbox"/> Limited Liability Limited Partnership   |   |

2. The full and proper name of the foreign association as registered in its jurisdiction of formation is:

ENERGY CX, LLC

2A. If the name in 2 does not contain a required designator or if the name in 2 is not available for use in the Commonwealth, the alternate name under which the association is registering in this Commonwealth is:

3. The jurisdiction of formation is: ILLINOIS

4. The street and mailing address of the association's principal office.

3501 WOODHEAD DR., #5                      NORTHBROOK                      IL                      60062  
Number and street                      City                      State                      Zip

4A. The street and mailing address of the office, if any, required to be maintained by the law of the association's jurisdiction of formation in that jurisdiction:

111 WEST WASHINGTON ST, STE 900                      CHICAGO                      IL                      60602  
Number and street                      City                      State                      Zip

2013 MAY -2 AM 9:51

PENNSYLVANIA DEPARTMENT OF STATE



5. The (a) address of the association's proposed registered office in this Commonwealth or (b) name of its Commercial Registered Office Provider and the county of venue is:

Complete part (a) OR (b) - not both:

(a) \_\_\_\_\_  
Number and street City OR State Zip County

(b) c/o: UNISEARCH, INC. PHILADELPHIA  
Name of Commercial Registered Office Provider County

6. Check one of the following:

- The association may not have series.
 The association may have one or more series.

7. Effective date of registration of foreign association (check, and if appropriate complete, one of the following):

- The Foreign Registration Statement shall be effective upon filing in the Department of State.
 The Foreign Registration Statement shall be effective on: \_\_\_\_\_ at \_\_\_\_\_
Date (MM/DD/YYYY) Hour (if any)

8. To be completed by Limited Liability Companies only. Check, and if appropriate complete, one of the following:

- The association is a limited liability company which is not organized to render any of the below professional service(s).
 The association is a restricted professional limited liability company organized to render one or more of the following professional service(s): (If this box is checked, one or more of the fields below must be checked.)

Chiropractic Dentistry Law Medicine and surgery
Optometry Osteopathic medicine and surgery Podiatric medicine Public accounting
Psychology Veterinary medicine

IN TESTIMONY WHEREOF, the undersigned association has caused this Foreign Registration Statement to be signed by a duly authorized representative thereof this 1st day of MAY, 2019.

ENERGY CX, LLC
Name of Association
mark rice
Signature
MARK RICE
Title

**Exhibit #2(b)**

**Officers**

**Mark Rice, President  
3501 Woodhead Dr., #5  
Northbrook, IL 60062**

**Ellen Rice, Vice President  
3501 Woodhead Dr., #5  
Northbrook, IL 60062**

**Joel Birnbaum, Chief Financial Officer  
3501 Woodhead Dr., #5  
Northbrook, IL 60062**

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**Exhibit #7(a)**

**Bond**

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**Exhibit #7(b)**  
**Financial Records & Statements**  
*Filed under Confidential Cover*

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SECRETARY'S BUREAU

**Exhibit #8(a)**  
**Technical Fitness - Experience, Plan,  
and Structure**

**Exhibit #8(a) – Technical Fitness – Experience, Plan, and Structure**

The ownership, management, structure, and offerings of ENERGY CX, LLC are identical to the information about Biofuels Technology, LLC d/b/a Energy Connection included below; the use of this new corporate entity is to ensure a unified brand with a name that is available for use in all of our current and potential state markets.

*Corporate History*

Coming from a long line of innovators and entrepreneurs in the energy and chemical industries, Mark Rice founded Biofuels Technology, LLC (*sister company of ENERGY CX, LLC, the Applicant*) with the initial goal of eliminating waste from the biodiesel production process – an endeavor which involved salvaging glycerin and purifying it for resale.

But after observing the potential within the emerging electric and gas industries, Mark decided to expand the company and launch a new division called “Energy Connection.” Energy Connection would see exponential growth, tremendous success, and would subsequently become the heart of the company.

First licensed as a broker in Illinois in 2011, Energy Connection has since expanded to markets across the United States and manages over one billion kWh annually. We are currently transitioning most of the energy brokerage business to ENERGY CX, LLC, and are applying for new broker licenses through this company.

Mark is a trusted industry insider with decades of experience and has curated a team of fellow experts to ensure top-notch results and long-term customer relationships.

*Products & Services*

**Electricity Brokerage**

- Fixed Price Solutions
- Flexible Index Solutions
- Block Solutions
- Peak Load Management

**CPower Load Response**

- Automated Load Control
- Demand Response
- Ancillary Services
- Economic Programs

**Renewable Energy**

- Solar
- Renewable Energy
- Certificates (RECs)
- Generation Development

**Natural Gas Brokerage**

- Fixed Price
- Fixed Basis
- Index

**Energy Efficiency**

- HVAC Infrastructure
- Building Automation & Analytics
- Light & Controls
- CHP

**Onsite Generation**

- Solar Solutions
- Fuel Cells
- Batteries & Storage
- Back-up/Emergency Generation
- Cogeneration

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**Exhibit #8(a) - Technical Fitness - Experience, Plan, and Structure (cont.)**

*Representative List of Customers*



*Customers Served*

In Illinois, in 2018, Applicant's affiliate Biofuels Technology, LLC d/b/a Energy Connection brokered retail electricity supply service on behalf of the alternative retail electricity suppliers it represents to 846 non-residential customers and 485 residential customers.

**Exhibit #8(a) - Technical Fitness - Experience, Plan, and Structure (cont.)***State Licenses of Applicant*

<b>State</b>	<b>License Type</b>	<b>License Number</b>	<b>Status</b>
<b>DC</b>	Electric and Gas Broker	TBD	Application Pending
<b>DE</b>	Electric Broker	TBD	Application Pending
<b>MA</b>	Electric Broker and Gas Retail Agent	TBD	Application Pending
<b>MD</b>	Electric and Gas Broker	TBD	Application Pending
<b>ME</b>	Electric and Gas Broker	TBD	Application Pending
<b>NH</b>	Electric and Gas Aggregator	TBD	Application Pending
<b>OH</b>	Gas Broker	TBD	Application Pending
<b>PA</b>	Electric and Gas Broker	TBD	Application Pending

*State Licenses of Affiliate Biofuels Technology, LLC d/b/a Energy Connection*

<b>State</b>	<b>License Type</b>	<b>License Number</b>	<b>Status</b>
<b>IL</b>	Agent, Broker, Consultant	Docket No. 11-0489	Active
<b>OH</b>	Electric Broker	License No. 15-1018E	Active
<b>NJ</b>	Energy Agent and Energy Consultant	License Nos. EA-0552 and EC-0181	Active
<b>TX</b>	Broker	N/A	License not required
<b>CA</b>	Broker	N/A	License not required
<b>NY</b>	Broker	N/A	License not required
<b>DC</b>	Electric and Gas Broker	TBD	Application Pending
<b>DE</b>	Electric Broker	TBD	Application Pending
<b>MA</b>	Electric Broker and Gas Retail Agent	TBD	Application Pending
<b>MD</b>	Electric and Gas Broker	TBD	Application Pending
<b>ME</b>	Electric and Gas Broker	TBD	Application Pending
<b>NH</b>	Electric and Gas Aggregator	TBD	Application Pending
<b>OH</b>	Gas Broker	TBD	Application Pending
<b>PA</b>	Electric and Gas Broker	TBD	Application Pending



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**Exhibit #8(e)**  
**Officer & Operations Staff Resumes**

## EDUCATION

**University of Texas**  
*Major: History*

**Austin, TX**  
*1981-1985*

## EXPERIENCE

**Brachman Companies**  
*Managing Director*

**Fort Worth, TX**  
*1985-1987*

Engaged in commercial real estate, oil and gas drilling and production, investment management, and operations for a manufacturer in Haiti.

**Chicago Mercantile Exchange**  
*Member*

**Chicago, IL**  
*1987-1989*

Proprietary trader in the S and P, Eurodollar, and currencies. Taught CME trading courses serving on various CME committees.

**JP Morgan Chase**  
*Senior Managing Director*

**Chicago, IL**  
*1989-1991*

Traded and brokered public equities.

**Rice Opportunity Fund, LLC**  
*Owner, Operator*

**Chicago, IL**  
*1992-Present*

Originally the Dot Com Fund - a technology hedge fund investing in private and public equities.

**Biofuels Technology, LLC**

**Chicago, IL**  
*2005- Present*

Biodiesel, specialty chemicals manufacturing and distribution.

## LEADERSHIP

**Northshore Griffin Football**  
*Head Coach*

**Glencoe, IL**  
*2004- 2013*

- Developed practice schedules for 6-9-year-old team; 8-2 record and finished 2<sup>nd</sup> place overall in 2015
- Met with each player to discuss their reasons for playing and to discuss the skills they wanted to develop

## ADDITIONAL INFORMATION

*Skills:* Business & Marketing strategy, relationship management, organization

*Modeling:* Trained in valuation techniques through *Training The Street* self-study course; covered Comparable Companies, Discounted Cash Flow Analysis and Leveraged Buyout Analysis

*Proficiencies:* Salesforce, Microsoft Excel, PowerPoint, presentation skills, financial analysis

*Interests:* Game Theory, Government Theory, Human Behavior, Financial Markets, Fibonacci Sequence

## **Nathan Rice**

**Energy Connection, Vice President**  
May 2016 – Present

Founded in 2005, Energy Connection is an energy advisory firm that procures the lowest electric and natural gas prices for its customers and provides value-add services to deliver a holistic energy experience.

EC's decades of experience, purchasing power, full market coverage, and reverse auction platform gives customers access to the lowest real-time energy prices available from our national supplier network (70+). EC offers a wide range of energy management and sustainable services for a one-stop shop for all your energy needs.

**Kitchen Cycle, Head of Business Operations**  
Jan 2015 – May 2016

We are an open box appliance dealer that specializes in wholesale transactions of discounted appliances and cabinets to contractors, remodelers, designers, and apartment developers.

**Sterling Partners, Private Equity Intern**  
Jun 2015 – Aug 2015

**Big Ten Network, Marketing Intern**  
Jun 2014 – Aug 2014

**The Dot Com Fund, Hedge Fund Analyst Intern**  
Jan 2014 – Feb 2014

**JDI Realty, Business Analyst Intern**  
Jun 2013 – Aug 2013

### **EDUCATION**

**DePauw University, B.A., Economics**  
2012-2016

## **MAX RICE**

### **EXPERIENCE**

#### **Energy Connection**

Operations Manager

Aug 2011 - Present

Operations management and support.

#### **Chicago Film Series/Weekend**

Co-Founder/Event Coordinator

Nov 2013 – Present

A professionally judged competitive film event.

#### **Pious Pythias Productions**

Producer and Director

Feb 2013 – Present

Non-for-profit documentaries, interviews, PSA's, and other educational content.

#### **CrGenius Creative Consulting**

Creative Consultant

Aug 2012 – Present

On an hourly or equity equivalent basis, we can help you in strategy, press, video, legal, auditing, negotiation, investigation, perspective, and/or open ears to vent on.

#### **The New Modern Jazz Matrix**

Co-Founder

Oct 2013 – Oct 2015

A majority veteran's organization, we provide entertainment for external and internal fundraising events. Additionally, proliferating copies of the Declaration of Independence and Constitution.

### **EDUCATION**

#### **Columbia College Chicago**

2012-2013

Film and Fiction

#### **University of Texas at Austin**

2010 – 2012

Communications

## **MILES RICE**

### **EXPERIENCE**

#### **Energy CX**

*Director of Energy Sustainability*

*Mar 2019 – Present*

Developed a suite of Energy Sustainable products & services for forward thinking, energy conscious companies. We deliver creative & profitable green-tech solutions to our customers.

#### **Energy Connection**

*Account Representative*

*Dec 2012 – Feb 2019*

Providing energy solutions to lower commercial customers' and end users' energy consumption and cost.

#### **Lupo Futures**

*Equity Derivatives Trading Analyst*

*Sep 2017 – Present*

#### **Stoic Equity**

*Founder*

*Jul 2017 – Present*

Investment fund focused on working with small growth companies in the Chicagoland area.

#### **Max Rice for Congress 2018 (9th District)**

*Treasurer*

*Apr 2017 – Present*

#### **Kitchen Cycle, LLC**

*Founder*

*Feb 2015 – Dec 2017*

Kitchen Cycle is a whole distributor of unsold inventory for appliance manufacturers. Partners include Sub Zero - Wolf, LG, Blue Star, Whirlpool Corp and Samsung.

#### **Melvin Realty, LLC**

*Founder*

*Feb 2015 – Sep 2016*

Flipping and renovating homes in the surrounding areas of Chicago.

#### **Sellvage One LLC**

*Managing Partner*

*Jun 2014 – Jan 2015*

Specialized in reselling remodelers clients old household items.

### **EDUCATION**

**Northwestern University**

Economics - 2016

## **Hope Lerner**

### **EXPERIENCE**

**Energy Connection, Senior Pricing Analyst / Sales**  
Feb 2018 - Present

**Color Communications, Inc., Account Manager/Coordinator**  
Feb 2011 - Feb 2018

### **EDUCATION**

**National Louis University, B.S. Elementary Education, English and Social Studies, Grade K-9**  
1989 - 1992

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

P.R. QUINLAN  
FRANK CALIVA III  
7982 TYSON OAKS CIRCLE VIENNA VA 22182

Account # 613586  
Order # 82338121  
Ad Price: 283.00

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SECRETARY'S BUREAU

LEGAL NOTICE PENNSYLVANIA

Ann Marie Fortese

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

05/16/2019

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

Sworn and subscribed to before me  
this 12th day of June A.D., 2019

*Sharon Venturi*

(Notary Public)

Commonwealth of Pennsylvania - Notary Seal  
Sharon Venturi, Notary Public  
Lackawanna County  
My commission expires February 12, 2022  
Commission number 1254228  
Member, Pennsylvania Association of Notaries

LEGAL NOTICE

PENNSYLVANIA PUBLIC UTILITY COMMISSION NOTICE  
Applications of Energy CX, LLC  
For Approval To Offer, Render, or Furnish Services as a Marketer/Broker Engaged In The Business Of Supplying Natural Gas Supply Services and Electricity Supply or Electric Generation Services, To The Public In The Commonwealth Of Pennsylvania.

Energy CX, LLC will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to provide natural gas supply services as a broker/marketer engaged in the business of providing natural gas services. Energy CX, LLC will also be filing an application with the PUC for a license to provide electric supply or electric generation services as a broker/marketer engaged in the business of providing electric supply or electric generation services. Energy CX, LLC proposes to broker and market electricity services and natural gas services in all eligible natural gas and electric distribution company territories in the Commonwealth of Pennsylvania under the provisions of the new Natural Gas Choice and Competition Act and the Electricity Generation Customer Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Energy CX, LLC may be filed within 15 days of the date of this notice with the Secretary of the PUC, 400 North Street, Harrisburg, PA 17120. You should send copies of any protest to Energy CX, LLC at the address listed below.

Energy CX, LLC  
3501 Woodhead Dr. #B  
Northbrook, IL 60062  
(847) 509-2290 (Phone)  
(847) 509-2295 (Fax)

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

STATE OF PENNSYLVANIA  
COUNTY OF PHILADELPHIA

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

May 20, 2019

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

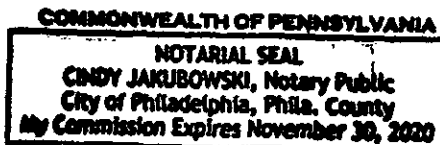


Sworn to and subscribed before me this 20<sup>th</sup> day of  
May, 2019.



Notary Public

My Commission Expires:



Copy of Notice of Publication

PENNSYLVANIA  
PUBLIC UTILITY COMMISSION  
NOTICE

Applications of Energy CX, LLC For Approval To Offer, Render, or Furnish Services as a Marketer/Broker Engaged in The Business Of Supplying Natural Gas Supply Services and Electricity Supply or Electric Generation Services, To The Public In The Commonwealth Of Pennsylvania.

Energy CX, LLC will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to provide natural gas supply services as a broker/marketer engaged in the business of providing natural gas services. Energy CX, LLC will also be filing an application with the PUC for a license to provide electric supply or electric generation services as a broker/marketer engaged in the business of providing electric supply or electric generation services. Energy CX, LLC proposes to broker and market electricity services and natural gas services in all eligible natural gas and electric distribution company territories in the Commonwealth of Pennsylvania under the provisions of the new Natural Gas Choice and Competition Act and the Electricity Generation Customer Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Energy CX, LLC may be filed within 15 days of the date of this notice with the Secretary of the PUC, 400 North Street, Harrisburg, PA 17120. You should send copies of any protest to Energy CX, LLC at the address listed below.

Energy CX, LLC  
2501 Woodhead Dr. #8  
Northbrook, IL 60062  
(847) 509-2230 (Phone)  
(847) 509-2230 (Fax)

RECEIVED

JUL 2 2019

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU



PROOF OF PUBLICATION  
In  
THE ERIE TIMES-NEWS  
COMBINATION EDITION

P.R. Quinlan  
7982 Tyson Oaks Circle  
Vienna VA 22182

REFERENCE: 88279 362958  
PUC Notice

STATE OF PENNSYLVANIA)  
COUNTY OF ERIE ) SS:

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

PUBLISHED ON: 05/18/19

TOTAL COST: \$543.00 AD SPACE: 0 Lines

FILED ON: 05/18/19

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JUL 2 2019

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

PENNSYLVANIA  
PUBLIC UTILITY COMMISSION  
NOTICE

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Energy CX, LLC  
3501 Woodhead Dr. #5  
Northbrook, IL 60062  
(847) 509-2290 (Phone)  
(847) 509-2295 (Fax)

Sworn to and subscribed before me this 20th day of May 2019

Affiant: Jennifer L. Trott

NOTARY: Barbara J. Moore

COMMONWEALTH OF PENNSYLVANIA  
NOTARIAL SEAL  
Barbara J. Moore, Notary Public  
City of Erie, Erie County  
My Commission Expires March 23, 2020  
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

**COMMONWEALTH OF PENNSYLVANIA** } **SS**  
*County of Cambria*

**PENNSYLVANIA PUBLIC UTILITY COMMISSION NOTICE**

Applications of Energy CX, LLC For Approval To Offer, Render, or Furnish Services as a Marketer/Broker Engaged in The Business Of Supplying Natural Gas Supply Services and Electricity Supply or Electric Generation Services, To The Public In The Commonwealth Of Pennsylvania.

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Energy CX, LLC  
 3501 Woodhead Dr. #5  
 Northbrook, IL 60062  
 (847) 509-2290 (Phone)  
 (847) 509-2295 (Fax)

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On this 7th day of June A.D. 2019, before me, the subscriber, a Notary Public in and for said County and State, personally appeared Christine Marhefka, who being duly sworn according to law, deposes and says as Sales Manager / Major Accounts of the Tribune-Democrat, Johnstown, PA, a newspaper of general circulation as defined by the "Newspaper Advertising Act", a merger September 8, 1952, of the Johnstown Tribune, established December 7, 1853; and of the Johnstown Democrat, established March 5, 1863,

ounty of Cambria, and Commonwealth of Pennsylvania and above matter published in said publication in the regular issues PA, on May 17, 2019; and that the Affiant is not interested in and that all of the allegations as to time, place and character of

*Christine Marhefka*

**STATEMENT OF ADVERTISING COSTS**

Signed and sworn to before me on 7th day of June, 2019, by Christine Marhefka making the statement.

*Vivian Ohs*

0.00 Lines @ \$2.50 per line	0.00
7.5 Inches @ \$25.00 per inch	187.50
Notary Fee	5.00
Clerical Fee	2.50
<b>Total Cost</b>	<b>195.00</b>

Commonwealth of Pennsylvania - Notary Seal  
 Vivian Ohs, Notary Public  
 Cambria County  
 My commission expires December 6, 2020  
 Commission number 1123017  
 Member, Pennsylvania Association of Notaries

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

**PUBLISHER'S RECEIPT FOR ADVERTISING COSTS**

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

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

By \_\_\_\_\_

**RECEIVED**

JUL 2 2019

PA PUBLIC UTILITY COMMISSION  
 SECRETARY'S BUREAU

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

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

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

17 of May, 2019

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

*K. Flaherty*  
\_\_\_\_\_  
PG Publishing Company

Sworn to and subscribed before me this day of:  
May 17, 2019

*Elizabeth R. Chmura*  
\_\_\_\_\_  
Elizabeth R. Chmura

Commonwealth of Pennsylvania - Notary Seal  
Elizabeth R. Chmura, Notary Public  
Allegheny County  
My commission expires February 8, 2022  
Commission number 1326781  
Member, Pennsylvania Association of Notaries

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JUL 2 2019

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

#### COPY OF NOTICE OR PUBLICATION

PENNSYLVANIA PUBLIC UTILITY COMMISSION NOTICE  
Applications of Energy CX, LLC For Approval To Offer, Render, or Furnish Services as a Marketer/Broker Engaged in The Business Of Supplying Natural Gas Supply Services and Electricity Supply or Electric Generation Services To The Public in The Commonwealth Of Pennsylvania.  
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The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Energy CX, LLC may be filed within 15 days of the date of this notice with the Secretary of the PUC, 400 North Street, Harrisburg, PA 17120. You should not expect any protest to Energy CX, LLC at this time.  
LEGAL COUNSEL  
Energy CX, LLC  
3501 Woodhead Dr. #5  
Northbrook, IL 60062  
(847) 509-2290 (Phone)  
(847) 509-2295 (Fax)

#### STATEMENT OF ADVERTISING COSTS

P.R. QUINLAN  
1012 14TH ST NW STE 903  
ATTN: Frank Caliva III  
WASHINGTON DC 20005-3414

To PG Publishing Company.

Total \_\_\_\_\_ \$472.75

#### Publisher's Receipt for Advertising Costs

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

Office  
2201 Sweeney Drive  
Pittsburgh, PA 15206  
Phone 412-262-1378  
COMMUNICATION MEDIA GROUP

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

By *[Signature]*  
\_\_\_\_\_  
Bernard J. Artushin

The Patriot News  
LEGAL COUNSEL  
Energy CX, LLC

I hereby certify that the foregoing is the original Proof of Publication and receipt for the Advertising Costs in the subject matter of said notice, ss \_\_\_\_\_  
County of Cumberland)

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

**STATE OF PENNSYLVANIA  
COUNTY OF LYCOMING**

**SS:**

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

May 18, 2019

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

**PENNSYLVANIA  
PUBLIC UTILITY  
COMMISSION  
NOTICE**

*Applications of Energy CX, LLC For Approval To Offer, Render, or Furnish Services as a Marketer/Broker Engaged in The Business Of Supplying Natural Gas Supply Services and Electricity Supply or Electric Generation Services, To The Public in The Commonwealth Of Pennsylvania.*

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vices. Energy CX, LLC proposes to broker and market electricity services and natural gas services in all eligible natural gas and electric distribution company territories in the Commonwealth of Pennsylvania under the provisions of the new Natural Gas Choice and Competition Act and the Electricity Generation Customer Choice and Competition Act.

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Energy CX, LLC may be filed within 15 days of the date of this notice with the Secretary of the PUC, 400 North Street, Harrisburg, PA 17120. You should send copies of any protest to Energy CX, LLC at the address listed below.

**Energy CX, LLC**  
3501 Woodhead Dr. #5  
Northbrook, IL 60062  
(847) 509-2290 (Phone)  
(847) 509-2295 (Fax)

Robert O. Rolley, Jr.  
SUN-GAZETTE LLC

Sworn to and subscribed before me  
The 23rd day of May 20 19

Beth A. Miller  
COMMONWEALTH OF PENNSYLVANIA

**NOTARIAL SEAL**  
BETH A MILLER  
Notary Public  
CITY OF WILLIAMSPORT, LYCOMING COUNTY  
My Commission Expires Apr 18, 2020

**STATEMENT OF ADVERTISING COSTS**

To the Sun-Gazette LLC, Dr.:

For publishing the notice attached

Hereto on the above state dates.....\$ 292.36

Probated same.....\$

Total.....\$ 292.36

**PUBLISHER'S RECEIPT FOR ADVERTISING COSTS**

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

SUN-GAZETTE LLC  
BY Robert O. Rolley, Jr.

**RECEIVED**  
JUL 2 2019

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

## Appendix C

Required of ALL Applicants regardless of operating as a supplier, broker, marketer, or aggregator.

### Example CERTIFICATE OF SERVICE

On this the 17 day of June 2019, I certify that a true and correct copy of the foregoing application form for licensing within the Commonwealth of Pennsylvania as an Electric Generation Supplier and all **NON-CONFIDENTIAL** attachments have been served, as either a hardcopy or a searchable PDF version on a cd-rom, upon the following:

Bureau of Investigation & Enforcement  
Pennsylvania Public Utility Commission  
Commonwealth Keystone Building  
400 North Street, 2 West  
Harrisburg, PA 17120

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

Office of Consumer Advocate  
5th Floor, Forum Place  
555 Walnut Street  
Harrisburg, PA 17120

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

Small Business Advocate  
Commerce Building, Suite 202  
300 North Second Street  
Harrisburg, PA 17101

Vice President – Energy Supply  
Coming Natural Gas Holding Corporation  
330 West William Street  
Coming, NY 14830

Legal Department  
West Penn Power d/b/a Allegheny Power  
800 Cabin Hill Drive  
Greensburg, PA 15601-1689

Manager Energy Acquisition  
PECO Energy Company  
2301 Market Street  
Philadelphia, PA 19101-8699

Regulatory Affairs  
Duquesne Light Company  
411 Seventh Street, MD 16-4  
Pittsburgh, PA 15219

Office of General Counsel  
Attn: Kimberly A. Klock  
PPL  
Two North Ninth Street (GENTW3)  
Allentown, PA 18101-1179  
UGI Utilities, Inc.  
Attn: Rates Dept. – Choice Coordinator  
2525 N. 12th Street, Suite 360  
Post Office Box 12677  
Reading, Pa 19612-2677

Legal Department  
First Energy  
2800 Pottsville Pike  
Reading PA, 19612

Citizens' Electric Company  
Attn: EGS Coordination  
1775 Industrial Boulevard  
Lewisburg, PA 17837

Wellsboro Electric Company  
Attn: EGS Coordination  
33 Austin Street  
P. O. Box 138  
Wellsboro, PA 16901

RECEIVED

JUL 2 2019

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

  
Mark Rice, President, ENERGY CX, LLC

(X)