

# BEFORE THE PENNSYLVANIA PUBLIC UTILITY COMMISSION

Application of Independent Energy Consultants, Inc., d/b/a Independent Energy Consultants, Inc., for approval to offer, render, furnish, or supply electricity or electric generation services as a(n) Broker/Marketer 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:

Independent Energy Consultants, Inc.  
 215 W Garfield Road STE 210  
 Aurora, OH 44202  
 www.naturalgas-electric.com  
 PH: 888-862-6060

- 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.

C T Corporation System  
 600 North 2nd Street  
 Suite 401  
 Harrisburg, Pennsylvania 17101  
 Ph. 855-482-2108  
 Fax 608-827-5184

- 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 R. Burns, President  
 215 W Garfield STE 210  
 Aurora, OH 44202  
 Ph 888-862-6060  
 Fax: 800-574-4508  
 mburns@naturalgas-electric.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 will not be using an attorney as it relates to this application filing

- 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.

Primary Contact.

Mark R. Burns, President  
 215 W Garfield STE 210  
 Aurora, OH 44202  
 Ph: 888-862-6060  
 Fax: 800-574-4508  
 info@naturalgas-electric.com

Alternate Contact

Eric E. Burns, Operations Manager  
 215 W Garfield STE 210  
 Aurora, OH 44202  
 Ph: 888-862-6060  
 Fax: 800-574-4508  
 info@naturalgas-electric.com

RECEIVED

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PUBLIC UTILITY COMMISSION  
REGULATORY BUREAU

**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.

RECEIVED

**OR**

The Applicant will not be using a fictitious name.

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PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

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. Proof of compliance with the Pennsylvania Department of State is attached as "Exhibit A".
- Provide the state in which the business is incorporated/organized/formed and provide a copy of the Applicant's charter documentation.  
Independent Energy Consultants, Inc. is incorporated in the State of Ohio. Charter documentation is attached as "Exhibit B".
- Give name and address of officers.

Mark R. Burns, President  
820 Deepwoods Dr.  
Aurora, OH 44202

Regina M. Burns, Vice President  
820 Deepwoods Dr.  
Aurora, OH 44202

### 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 does not have any affiliates doing business.

- 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 does not have any predecessors that have done business.

## 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.

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.

- \* Commodity Brokerage and Consulting
- \* Energy Accounting and Bill Auditing
- \* Facility Auditing
- \* Electric Tariff Analysis
- \* Energy Efficiency Projects Consulting
- \* Green Energy Project Consulting

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

- |   |   |
|---|---|
| <input type="checkbox"/> Citizens' Electric | <input type="checkbox"/> Pike                                 |
| <input type="checkbox"/> Duquesne Light     | <input type="checkbox"/> PPL                                  |
| <input type="checkbox"/> Met-Ed             | <input type="checkbox"/> UGI Utilities                        |
| <input type="checkbox"/> PECO               | <input type="checkbox"/> Wellsboro                            |
| <input type="checkbox"/> Penelec            | <input type="checkbox"/> West Penn                            |
| <input type="checkbox"/> Penn Power         |   |
|   | <input checked="" type="checkbox"/> 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.

Applicant is expected begin actively marketing its services within the Commonwealth of Pennsylvania on or about October 1, 2019.

## 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 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.

The applicant has no actions or complaints to list.

The applicant has not had a Pennsylvania PUC EGS or NGS license cancelled by the Commission.

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

Not applicable

## 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)

Notice of service has been provided to all parties listed in (a) and (b) below. Proof of notice is provided in the attached "Exhibit 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  
Corning Natural Gas Holding Corporation  
330 West William Street  
Corning, 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

## 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.

The original bond in the amount of \$10,000 is attached as "Exhibit L". Applicant will be a Broker/Marketer and will not take title to the commodity nor will it pay customer bills. For those reasons, coupled with our financial strength, a \$10,000 bond is sufficient.

### 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:

Applicant's accounting statements for the past two years (balance sheet and income statements) are attached as "Exhibit D" and are clearly labeled as Confidential Material.

- 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.

- 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 is operating as a Broker/Marketer and has sufficient internal funds to conduct its operations.

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

Applicant will receive its broker compensation from the suppliers who are awarded contracts with the applicants' clients.  
Applicant will not invoice end-use customers for its brokerage services.

- 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.

Eric E. Burns, Operations Manager  
215 W Garfield STE 210  
Aurora, OH 44202  
Ph: 888-862-6060  
Fax: 800-574-4508  
info@naturalgas-electric.com

- 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.*

Applicants Tax Certification Statement is attached as "Exhibit E".

## 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.  
Applicant has been providing electric and natural gas brokerage and aggregation services to residential, commercial and industrial and government accounts since 2004.
- Summary and proof of licenses as a supplier of electric services in other states or jurisdictions.  
Applicant is licensed/certified to provide electric brokerage services in Ohio (04-116E (8)), Illinois (F 6784-020-8), Texas (80252), and Virginia (A-17).
- Type of customers and number of customers Applicant currently serves in other jurisdictions.  
Residential Electric Customers - approximately 130,000. Commercial & Industrial - approximately 100. Governmental - approximately 30.
- Staffing structure and numbers as well as employee training commitments.  
Applicant's organization structure is attached as "Exhibit F". Each member of applicant's staff has at least 5-years experience in the energy brokerage business and ongoing training is provided on a quarterly basis.
- Business plans for operations within the Commonwealth.  
Applicant's business plan for operating in the Commonwealth is attached as "Exhibit G".
- 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.  
Applicant is a PJM Special Member "Participant" in good standing. Applicant is a Certified Curtailment Service Provider throughout the PJM service territory.
- Any other information appropriate to ensure the technical capabilities of the Applicant.

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.

- 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.

All of applicant's marketing material will be generated internally and approved by senior management before it is used. Applicant has been preparing accurate and ethical marketing material since 2004 and has never had a complaint filed against it. Applicant will not outsource any marketing material to call centers or similar subcontractors.

- 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.

Resumes for the applicants, President, Operations Manager and Governmental Aggregation Manager are attached as "Exhibit H".

- 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.***

Not applicable; applicant is 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

## 11. AFFIDAVITS

**Must be notarized before filing.**

- 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.

Applicant's Application Affidavit is attached as "Exhibit I"

- 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.

Applicant's Operation's Affidavit is attached as "Exhibit J"

## 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.

Applicant has published notice in the seven newspapers shown below. Proof of publication is attached as "Exhibit K".

	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: Independent Energy Consultants, Inc.  
 By: Mark R. Bunn  
 Title: President

**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:** Independent Energy Consultants, Inc.

	<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

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Exhibit A

Pennsylvania Department of State Registration


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PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU



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

<input type="checkbox"/> Return document by mail to:		<b>Foreign Registration Statement DSCB:15-412 (rev. 2/2017)</b>	
Mark Burns			
Name 215 W Garfield Road STE 210		 TML190812DD1156	
Address Aurora OH 44202			
City	State		
<input checked="" type="checkbox"/> Return document by email to: <u>mburns@naturalgas-electric.com</u>			

Read all instructions prior to completing. This form may be

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 checked="" 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 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:

Independent Energy Consultants, Inc.

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: Ohio

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

<u>215 W Garfield Road STE 210</u>	<u>Aurora</u>	<u>OH</u>	<u>44202</u>
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:

Number and street	City	State	Zip
-------------------	------	-------	-----

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PA DEPT OF STATE

PA PUBLIC UTILITIES COMMISSION  
SECRETARY'S BUREAU

AUG 12 2019

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 State Zip County  
OR

(b) c/o: CT Corporation System Dauphin  
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 31st day of July, 2019.

Independent Energy Consultants, Inc.
Name of Association
Marl R. Bunn
Signature
President
Title

Exhibit B

State of Ohio Corporate Charter

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PA PUB  
COMMISSION  
RECORDS BUREAU



DATE:	DOCUMENT ID	DESCRIPTION	FILING	EXPED	PENALTY	CERT	COPY
04/08/2004	200409803290	DOMESTIC ARTICLES/FOR PROFIT (ARF)	125.00	100.00	.00	.00	.00

**Receipt**

This is not a bill. Please do not remit payment.

HARRINGTON HOPPE & MITCHELL, LTD.  
 26 MARKET ST  
 SUITE 1200  
 YOUNGSTOWN, OH 44503

**STATE OF OHIO  
 CERTIFICATE**

**Ohio Secretary of State, J. Kenneth Blackwell**

1454632

It is hereby certified that the Secretary of State of Ohio has custody of the business records for

**INDEPENDENT ENERGY CONSULTANTS, INC.**

and, that said business records show the filing and recording of:

Document(s)  
**DOMESTIC ARTICLES/FOR PROFIT**

Document No(s):  
**200409803290**



United States of America  
 State of Ohio  
 Office of the Secretary of State

Witness my hand and the seal of  
 the Secretary of State at Columbus,  
 Ohio this 7th day of April, A.D.  
 2004.

*J. Kenneth Blackwell*  
 Ohio Secretary of State

Exhibit C  
Proof of Notice

## Appendix C

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

### Example CERTIFICATE OF SERVICE

On this the 4th day of September 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  
Corning Natural Gas Holding Corporation  
330 West William Street  
Corning, 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

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PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

Mark R. Burns, President, Independent Energy Consultants, Inc.

Exhibit F  
Organizational Structure

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PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

# Organizational Chart

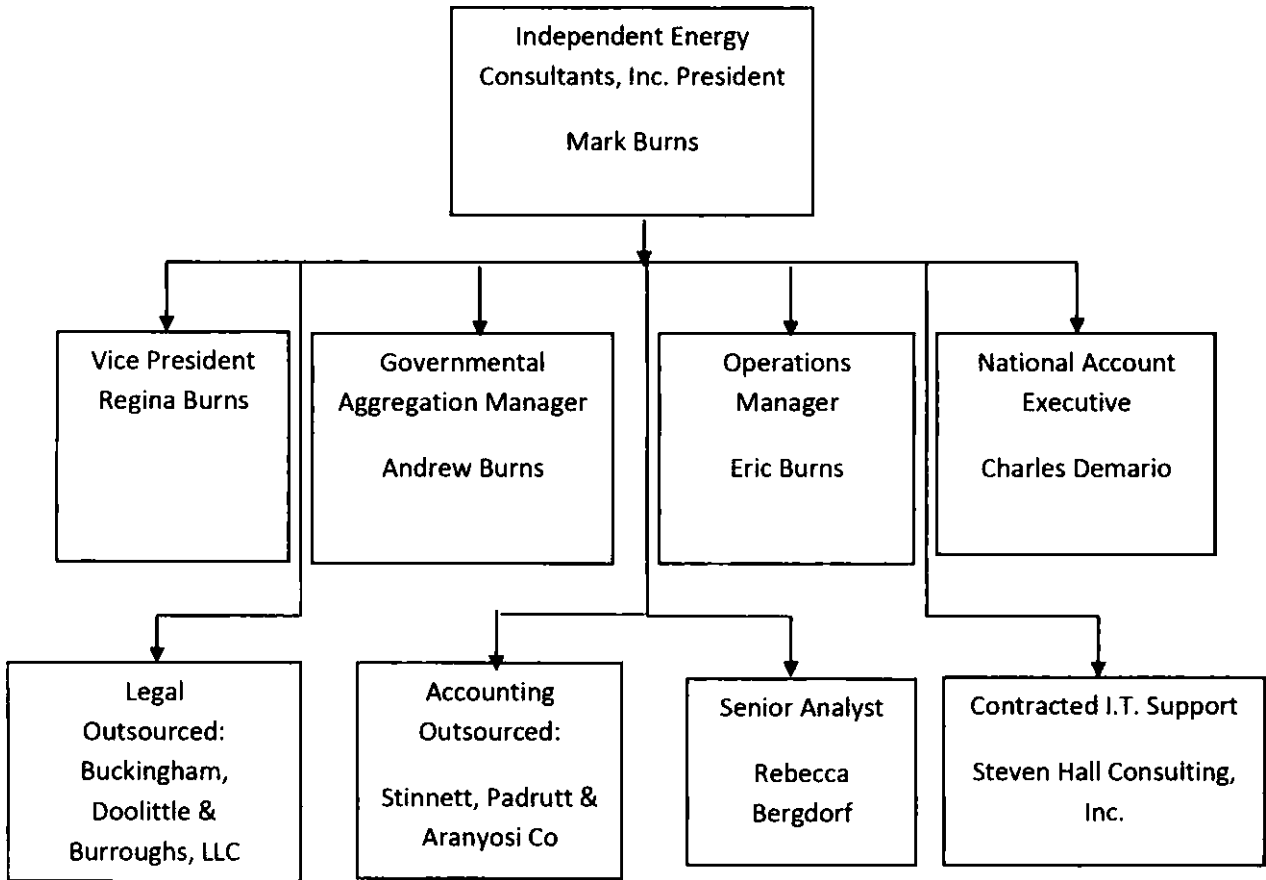




Exhibit G

Business Plan for Operations in Pennsylvania

## **Business Plans for Operations in the Commonwealth**

Independent Energy Consultants, Inc. (IEC) employs Certified Energy Procurement Professionals (CEP) and Certified Energy Managers (CEM) with a long track record of success. Mark Burns, the President of IEC has obtained licenses in the states of Ohio, Illinois, Virginia and Texas, and is well versed in the rules for other deregulated markets.

IEC plans to expand its current consulting services to prospective electric customers in Pennsylvania. In addition to (i) commodity brokerage services IEC offers (ii) utility tariff analysis (iii) bill auditing (iv) energy accounting systems (v) demand response services and (vi) facility audits, (vii) energy-efficiency recommendations and (viii) general energy-related consulting services.

As a broker/marketer, IEC will not take title to the electricity it brokers. Furthermore, it will not invoice its clients for energy brokerage services. It will receive its compensation from the suppliers who win business brokered by IEC.

For brokerage of commercial and industrial customers, Independent Energy Consultants, Inc. provides among other things:

- Gather and analyze client's load data;
- Analyze for proper rate code classification;
- Prepare and issue a customized RFP to all qualified suppliers, with or without the aid of our customized online reverse auction platform.
- Negotiate with suppliers;
- Assist in the completion of Supplier and EDC contract paperwork;
- Assist in the customer switching process;
- Audit bills;
- Provide ongoing client support during the term of the agreement.

IEC is a pioneer in the U.S. in design, implementation and ongoing administration of Governmental opt-in and opt-out aggregation programs. Should the Commonwealth ever enable opt-out aggregation programs, IEC would seek to serve those programs.

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PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

Exhibit H

Resumes

**Mark R. Burns (Officer)**  
**President, Independent Energy Consultants, Inc.**

**Education:**

- Master of Business Administration - Baldwin-Wallace College, 1993.
- Bachelor of Electrical Engineering Technology - Youngstown State University, 1982.
- 30+ years extensive training and professional development.

**Certifications and Licenses:**

- Public Utilities Commission of Ohio Electric Broker and Aggregator (04-116(5)).
- Public Utilities Commission of Ohio Natural Gas Broker and Aggregator (04-078(5)).
- Virginia State Corporation Commission Electric and Natural Gas Aggregator (A-17).
- Public Utilities Commission of Texas Aggregator Registration (80-252)
- Illinois Commerce Commission licensed Agent/Broker/Consultant
- Formerly licensed Senior Reactor Operator from the Nuclear Regulatory Commission (SOP-30781)
- Certified Energy Manager (CEM) – Association of Energy Engineers
- Certified Energy Procurement Professional (CEP) - Association of Energy Engineers
- Certified Thermographer

**Experience:**

- Owner & Founder of two successful energy consulting services companies.
- Possesses 30-years broad background experience in engineering and management in the Electric and Natural Gas industries.
- Expertise includes providing energy brokerage and aggregation services for governments, and commercial and industrial customers.
- Conduct facility energy audits and recommending efficiency projects.
- Utility tariff analysis and utility bill auditing.
- Operational, financial, and credit risk management.
- Designed, implemented and administered 100+ Governmental Aggregation Programs (natural gas and electric) since the deregulation of Ohio's utilities in 2001.
- Risk Control oversight of a \$1 Billion Gas and Electric trading group (FirstEnergy Corporation)
- Trained Company Spokesperson (Toledo Edison)
- Utility Company Strategic Planning Manager (Centerior Energy)
- Shift Manager Davis-Besse Nuclear Power Station (Toledo Edison)
- Instrument and Control Engineer Davis-Besse Nuclear Power Station (Toledo Edison)
- Electrical Test Engineer of Naval Nuclear Submarines (Newport News Shipbuilding)

## **Andrew Burns, Governmental Aggregation Manager**

### **Independent Energy Consultants, Inc.**

#### **Governmental Aggregation Manager- responsibilities include: 2016 - Present**

- Prepare and email quarterly reports to active clients
- Prepare PUCO Market Monitor Reports
- Prepare and file clients' annual report with the PUCO
- Prepare and file PUCO certification and renewal documents for clients
- Maintain FileMaker Pro database of potential and current clients
- Review Supplier Opt-Out Notifications for accuracy
- Update company website

#### **Operations Manager-responsibilities include: 2013 - 2016**

- Prepare Price Quotes for Clients
- Analyze Supplier Bids and Prepare Decision Support Models for Clients
- Preparation and distribution of marketing material to current and prospective customers
- Responding to Requests for Proposals
- Monthly newsletter writing and distribution
- Competitive market intelligence gathering and database maintenance
- Create and foster relationships with suppliers
- Oversee maintenance of pricing matrixes for U.S. deregulated energy markets
- Maintain company CRM system

#### **Analyst- responsibilities include: 2008 - 2012**

- Maintenance of databases and EnergyCAP auditing software
- Drafting of company newsletters
- Price model maintenance and quote preparation

#### **Education:**

- Bachelor of Arts Degree – Biology. Hiram College **2008 – 2012**
  - Studied abroad in the Galapagos Islands
  - Aided in novel genetic research of American Beech trees

#### **Training:**

- Certified Energy Procurement (CEP) Professional
- Fundamentals of Energy/Electricity Futures, Options & Derivatives Training
- EnergyCAP Training – Energy Accounting and Bill Auditing
- MS Office software training
- Natural Gas and Electric Markets Fundamentals Training
- Involved in all aspects of aggregation programs from ballot initiative to program completion and follow-up service

## **Eric Burns, Operations Manager**

### **Experience:**

#### **Independent Energy Consultants Inc.**

##### **Operations Manager**

December 2016 - Present

- Prepare natural gas and electric price quotes for clients
- Analyze supplier bids and prepare decision support models for clients
- Responding to requests for proposals
- Maintain supplier relations
- Competitive market intelligence gathering and database maintenance
- Geocode customers lists to ensure accurate mailings Competitive market intelligence gathering and database maintenance
- Create and foster relationships with suppliers
- Oversee maintenance of pricing matrixes for U.S. deregulated energy markets
- Maintain company CRM system

##### **Analyst**

January 2009 - November 2016

- Basic intra-office accounting
- Audit accounts receivable
- Spreadsheet analysis

#### **Nestle USA**

##### **External Collections Specialist**

May 2016 - November 2016

- Reduce and manage accounts receivable portfolio of approximately \$25 million
- Support credit analyst in managing customer lines of credit

### **Education:**

**The University of Akron, College of Business Administration**

2015

Bachelor of Business Administration in Corporate Financial Management

### **Skills /Licenses:**

- Instrument Rated Private Pilot

Exhibit I

Application Affidavit

Appendix A

APPLICATION AFFIDAVIT

[Commonwealth/State] of Ohio :

SS.

County of Portage :

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

[He/she is the President (Office of Affiant) of Independent Energy Consultants, Inc. (Name of Applicant);]

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

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

That the Applicant herein Independent Energy Consultants, Inc. 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 Independent Energy Consultants, Inc. 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.

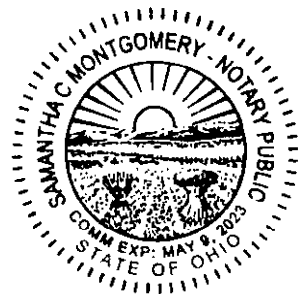
That the facts above set forth are true and correct to the best of his/her knowledge, information, and belief, and that he/she expects said Applicant to be able to prove the same at hearing.

Mark R Burns  
Signature of Affiant

Sworn and subscribed before me this 16 day of August, 2019.

Samantha C. Montgomery  
Signature of official administering oath

My commission expires 05/09/2023.



*[Faint handwritten signature]*

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Exhibit J  
Operations Affidavit

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PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

Appendix B

OPERATIONS AFFIDAVIT

[Commonwealth/State] of Ohio :

: ss.

County of Portage :

Independent Energy Consultants, Inc., Affiant, being duly [sworn/affirmed] according to law,  
deposes and says that:

[He/she is the President (Office of Affiant) of Independent Energy Consultants, Inc.  
(Name of Applicant);]

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

That Independent Energy Consultants, Inc., 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 Independent Energy Consultants, Inc., 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 Independent Energy Consultants, Inc., 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 Independent Energy Consultants, Inc., 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.

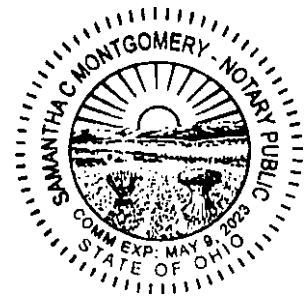
That the facts above set forth are true and correct/true and correct to the best of his/her knowledge, information, and belief.

Mark R. Brown  
Signature of Affiant

Sworn and subscribed before me this 16 day of August, 2019.

Samantha C. Montgomery  
Signature of official administering oath

My commission expires 05/09/2023.



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PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

Exhibit K

Proof of Newspaper Publications

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PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

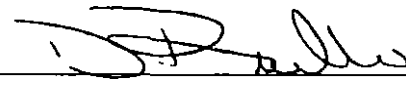
### Proof of Publication of Notice in Pittsburgh Post-Gazette

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

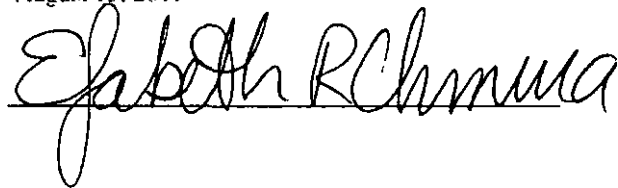
Commonwealth of Pennsylvania, County of Allegheny, ss D. Rullo, being duly sworn, deposes and says that the Pittsburgh Post-Gazette, a newspaper of general circulation published in the City of Pittsburgh, County and Commonwealth aforesaid, was established in 1993 by the merging of the Pittsburgh Post-Gazette 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:

**15 of August, 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.

  
\_\_\_\_\_  
PG Publishing Company

Sworn to and subscribed before me this day of:  
August 15, 2019

  
\_\_\_\_\_  
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

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

SEP - 4 2019

**STATEMENT OF ADVERTISING COSTS**  
Independent Energy Consultants,  
215 W Garfield Rd. STE 210  
Aurora Ohio 44202

To PG Publishing Company

Total ..... \$465.00

### 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  
CLINTON, PA 15026  
Phone 412-263-1338

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

By \_\_\_\_\_

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.

### COPY OF NOTICE OR PUBLICATION

PENNSYLVANIA  
PUBLIC UTILITY  
COMMISSION  
NOTICE  
Applications of Independent Energy Consultants, Inc. 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.  
Independent Energy Consultants, Inc. 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. Independent Energy Consultants, Inc. will also be filing an application with the PUC for a license to supply electric generation services as a broker/marketer engaged in the business of supplying electricity. Independent Energy Consultants, Inc. proposes to sell electricity, natural gas, and related services in the entire Commonwealth of PA 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 Independent Energy Consultants, Inc. 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 Independent Energy Consultants, Inc. at the address listed below  
Independent Energy  
Consultants, Inc.  
215 W Garfield Road STE 210  
Aurora, OH 44202

PROOF OF PUBLICATION  
In  
THE ERIE TIMES-NEWS  
COMBINATION EDITION

Independent Energy Consultants, Inc.  
215 W. Garfield Rd Suite 210  
Aurora OH 44202

REFERENCE: 98980 374206  
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: 08/16/19

TOTAL COST: \$610.00 AD SPACE: 0 Lines

FILED ON: 08/16/19

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PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

PENNSYLVANIA  
PUBLIC UTILITY COMMISSION  
NOTICE

Applications of Independent Energy Consultants, Inc. 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.

Independent Energy Consultants, Inc. 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. Independent Energy Consultants, Inc. will also be filing an application with the PUC for a license to supply electric generation services as a broker/marketer engaged in the business of supplying electricity. Independent Energy Consultants, Inc. proposes to sell electricity, natural gas, and related services in the entire Commonwealth of PA 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 Independent Energy Consultants, Inc. 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 Independent Energy Consultants, Inc. at the address listed below.

Independent Energy Consultants, Inc.  
215 W Garfield Road STE 210  
Aurora, OH 44202

EP374206

Sworn to and subscribed before me this 19th day of August 2019

Affiant: JL 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



AD#: 0009288254

Commonwealth of Pennsylvania,) ss  
County of Cumberland)

Victoria Soto being duly sworn, deposes that he/she is principal clerk of PA Media Group; that The Patriot News is a public newspaper published in the city of Mechanicsburg, with general circulation in Cumberland and Dauphin and surrounding counties, and this notice is an accurate and true copy of this notice as printed in said newspaper, was printed and published in the regular edition and issue of said newspaper on the following date(s):

The Patriot News 08/15/2019

*Victoria Soto*

Principal Clerk of the Publisher

Sworn to and subscribed before me this 16th day of August 2019

*Crystal B. Rosensteel*

Notary Public

COMMONWEALTH OF PENNSYLVANIA  
NOTARIAL SEAL  
Crystal B. Rosensteel, Notary Public  
Susquehanna Twp., Dauphin County  
My Commission Expires June 27, 2020  
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

PENNSYLVANIA  
PUBLIC UTILITY COMMISSION  
NOTICE

Applications of Independent Energy Consultants, Inc. 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.

Independent Energy Consultants, Inc. 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. Independent Energy Consultants, Inc. will also be filing an application with the PUC for a license to supply electric generation services as a broker/marketer engaged in the business of supplying electricity. Independent Energy Consultants, Inc. proposes to sell electricity, natural gas, and related services in the entire Commonwealth of PA 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 Independent Energy Consultants, Inc. 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 Independent Energy Consultants, Inc. at the address listed below.

Independent Energy  
Consultants, Inc.  
215 W Garfield Road STE 210  
Aurora, OH 44202

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

PENNSYLVANIA  
 PUBLIC UTILITY COMMISSION  
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 Independent Energy Consultants, Inc.  
 215 W Garfield Road STE 210  
 Aurora, OH 44202

publish  
 that the  
 of The  
 in the  
 of said

County of Cambria, and Commonwealth of Pennsylvania and  
 above matter published in said publication in the regular issues  
 of the same, on August 15, 2019; and that the Affiant is not interested  
 in said matter and that all of the allegations as to time, place and character

*Christine Marhefka*

**STATEMENT OF ADVERTISING COSTS**

Signed and sworn to before me on  
 16th day of August, 2019,  
 by Christine Marhefka making the statement.

*Christine Marhefka*

0.00 Lines @ \$2.50 per line	0.00
6.5 Inches @ \$25.00 per inch	162.50
Notary Fee	5.00
Clerical Fee	2.50
<b>Total Cost</b>	<b>170.00</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 \_\_\_\_\_

NO. 11110

SEP - 4 2019

PA PUBLIC UTILITY COMMISSION  
 SECRETARY'S BUREAU



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:

August 17, 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

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dependent Energy Consultants, Inc. at the address listed below.

Independent Energy Consultants, Inc.  
215 W Garfield Road  
STE 210  
Aurora, OH 44202

  
SUN-GAZETTE LLC

Sworn to and subscribed before me

The 21<sup>st</sup> day of August 20 19

  
BETH A. MILLER  
COM:MONWEALTH OF PENNSYLVANIA

Notary Public

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.....\$ 200.00

Probated same.....\$

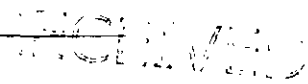
Total .....\$ 200.00

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.



SEP - 4 2019

PA PUBLIC UTILITY COMMISSION  
REGULATORY BUREAU

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

INDEPENDENT ENERGY CONSULTANTS, INC.  
MARK R BURNS  
215 W GARFIELD RD. STE 210 AURORA OH 44202

44202

Account # 635231  
Order # 82366408  
Ad Price: 273.90

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:

08/16/2019

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 16th day of August 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

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Independent Energy  
Consultants, Inc.  
215 W Garfield Road STE. 210  
Aurora, OH 44202

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:

August 16, 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.

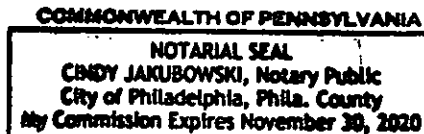


Sworn to and subscribed before me this 16th. day of August, 2019.



Notary Public

My Commission Expires:



Copy of Notice of Publication

**PENNSYLVANIA  
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Independent Energy Consultants, Inc.  
215 W Garfield Road STE 210  
Aurora, OH 44202

SEP - 4 2019

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

Independent Energy Consultants  
215 W. Garfield Road Suite 210  
Aurora, OH 44202

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



Retail

**F**

US POSTAGE PAID

**\$5.24**

Origin: 44202  
09/04/19  
3803640202-05

FIRST-CLASS PKG SVC - RTL™

0 Lb 12.00 Oz

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SHIP  
TO:

HARRISBURG PA 17120

USPS TRACKING NUMBER



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