

BEFORE THE PENNSYLVANIA PUBLIC UTILITY COMMISSION

Application of Efficient Energy Solutions, LLC, d/b/a N/A, 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:

Efficient Energy Solutions LLC.

P.O. BOX 12644

Pittsburgh, PA 15241

412-851-1756

www.efficientenergysolutions.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.

N/A

- 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.

Michael Polosky (President)

P.O. Box 12644

Pittsburgh, PA 15241

O- 412-851-1756

F- 412-851-1208

mike@EfficientEnergySolutions.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.

Leger & Ball P.C.

40 Bill BALL

3100 GRANT Bldg -

3300 GRANT ST.

Pittsburgh, PA 15219

O- 412-456-9700

F- 412-456-9701

- e. **CONTACTS FOR CONSUMER SERVICE AND COMPLAINTS:** Provide the name, title, address, telephone number, FAX number, and e-mail of the person and an alternate person 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.

Michael Polosky (President)

P.O. Box 12644

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mike@efficientenergysolutions.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.

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. *Exhibit A.*
- Provide the state in which the business is incorporated/organized/formed and provide a copy of the Applicant's charter documentation. *PA.*
- Give name and address of officers.

*Michael J. Polosky
1018 TAIL TREES DR
P6A, PA 15241*

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.

N/A

- 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.

N/A

4. OPERATIONS

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

- ☐ 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
 - ☒ Other; Identify the nature of service being rendered.

Electric Agent/Broker with 1 Supplier.

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
- ☐ Electric Cooperative and supplier of electric power
- ☐ Other (Describe):

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.

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

Consult with the electric End-user To provide Them Price & Term options From Electric Suppliers. Client will sign Directly with Supplier & All money will be paid Directly To The Supplier By the Client.

- d. **PROPOSED SERVICE AREA:** Provide a list of each Electric Distribution Company for which the Applicant proposes to provide service.

Duquesne Light, Penn Power, Allegheny Power, PPL,
MET ED, PENN ELEC.

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

- ☐ Residential Customers
- ☐ Small Commercial Customers - (25 kW and Under)
- ☒ Large Commercial Customers - (Over 25 kW)
- ☒ Industrial Customers
- ☒ Governmental Customers
- ☐ All of above
- ☐ Other (Describe):

- f. **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):

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

- ☐ Yes
- ☒ No

If yes, will the Applicant be using a Third Party Verification procedure?

- ☐ Yes N/A
- ☒ No

If yes, describe the Applicant's Third Party Verification procedures.

N/A

- h. **START DATE:** Provide the approximate date the Applicant proposes to begin services within the Commonwealth.

4-1-2011

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.

N/A

- 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 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. If the Applicant has no actions or complaints to list, explicitly state such.

N/A

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

N/A

6. PROOF OF SERVICE

(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:

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

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

Office of the Small Business Advocate
Commerce Building, Suite 1102
300 North Second Street
Harrisburg, PA 17101

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

- 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.

Allegheny Power:
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:
Legal Department
Attn: Paul Russell
PPL
Two North Ninth Street
Allentown, PA 18108-1178

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

Pike County Light & Power Company:
Director of Customer Energy Services
Orange and Rockland Company
390 West Route 59
Spring Valley, NY 10977-5300

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

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P.O. Box 12644 • Pittsburgh, PA 15241
Phone: 412-851-1756
Fax: 412-851-1208
mike@efficientenergysolutions.com
www.efficientenergysolutions.com

Appendix C

CERTIFICATE OF SERVICE

On this the 14th day of March 2011, 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 attachments have been served upon the following:

Office of Consumer Advocate
Bureau of Consumer Protection
Strawberry Square, 14th Floor
Harrisburg, PA 17120

Small Business Advocate
Commerce Building, Suite 1102
300 North Second Street
Harrisburg, PA 17101

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

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

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

Office of the Attorney General
5th Floor, Forum Place
555 Walnut Street
Harrisburg, PA 17120

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

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

Legal Department
Attn: Paul Russell
PPL
Two North Ninth Street
Allentown, PA 18108-1179

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

Director of Customer Energy Services
Orange and Rockland Company
390 West Route 59
Spring Valley, NY 10977-5300

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Michael Polosky, President
Efficient Energy Solutions, LLC.

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** (along with copies) of an initial bond, letter of credit or proof of bonding to the Commission in the amount of \$250,000.

☐ Furnishing the **original** (along with copies) of another initial security for Commission approval, to ensure financial responsibility.

☒ Filing for a modification to the \$250,000 requirement and furnishing the **original** (along with copies) 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.

- At the conclusion of Applicant's first year of operation it is the intention of the Commission to tie security bonds to a percentage of Applicant's gross receipts resulting from the sale of generated electricity consumed in Pennsylvania. The amount of the security bond will be reviewed and adjusted on an annual basis.
- Example version of a bond and letter of credit are attached at Appendix D & E, Applicant's security must follow language from these examples.
- Any deviation from these examples must be identified in the application and may not be acceptable to the Commission.

See Exhibit B — Providing \$10,000⁰⁰ Bond as A Broker/Marketer. (See Enclosed Bond)

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)

Exhibit C → Applicant's accounting statements, including balance sheet and income statements for the past two years. See Attached

- 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.

Exhibit D → Bank account statement, tax returns from the previous two years, or any other information that demonstrates Applicant's financial fitness. See Attached.

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

Mike Polosky (Pres)
1018 TALL TREES DR
Pittsburgh, PA 15241

412-851-1756
(F) 412-851-1908

d. **TAXATION:** Complete the TAX CERTIFICATION STATEMENT attached as Appendix F 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.

Attached

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.

N/A - Not a Supplier - Broker/Marketer only -

b.) **OFFICERS:** Identify Applicant's chief officers including names and their professional resumes.

Michael Polosky (Pres)
1018 TAIL TREES DR
Pittsburgh, PA 15241

1998 - CURRENT - NATURAL
GAS CONSULTANT

2011 - Electric Consultant.

c.) **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 STATEMENT:

- a. **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 G 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.

N/A

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. N/A

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.

☒ 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.
- Applicant shall report to the Commission the percentages of total electricity supplied by each fuel source on an annual basis:
- 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. **ASSESSMENT:** The Commission does not presently assess Electric Generation Suppliers for the purposes of recovery of regulatory expenses; see *PPL Energyplus, LLC v. Commonwealth*, 800 A.2d 360 (Pa. Cmwlth. 2002).



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 J.



AGREED

- k. **FEE:** The Applicant has enclosed or paid the required initial licensing fee of \$350.00 payable to the Commonwealth of Pennsylvania.



PAYMENT ENCLOSED

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SECRETARY'S BUREAU

11. AFFIDAVITS

- 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. *Enclosed.*
- 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. *Attached.*

12. NEWSPAPER PUBLICATIONS

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. Below is a list of newspapers which cover the publication requirements for Electric Generation Suppliers looking to do business in Pennsylvania.

The newspapers in which proof of publication is required is dependent on the service territories the applicant is proposing to serve. The chart below dictates which newspapers are necessary for each EDC. If the applicant is proposing to serve the entire Commonwealth, please file proof of publication in all seven newspapers.

Please file with the Commission the Certification of Publication, along with a photostatic copy of the notice to complete the notice requirements.

Proof of newspaper publications must be filed with the initial 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.

	<u>Duquesne</u>	<u>Met Ed</u>	<u>PECO</u>	<u>Penelec</u>	<u>Penn Power</u>	<u>PPL</u>	<u>UGI</u>	<u>West Penn</u>	<u>Entire Commonwealth</u>
Philadelphia Daily News		X	X			X			X
Harrisburg Patriot-News		X		X		X		X	X
Scranton Times Tribune		X		X		X	X		X
Williamsport Sun Gazette				X		X		X	X
Johnstown Tribune Democrat				X				X	X
Erie Times-News				X	X				X
Pittsburgh Post-Gazette	X				X			X	X

(Example Publication is provided at Appendix H)

13. SIGNATURE

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PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

Applicant: Efficient Energy Solutions LLC

By: [Signature]

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: Efficient Energy Solutions LLC.

Applicant's Use	✓	Signature		PUC Secretary's Bureau Use
	✓	Filing Fee		
	✓	Application Affidavit		
	✓	Operations Affidavit		
	✓	Proof of Publication		
	✓	Bond or Letter of Credit		
	✓	Tax Certification Statement		
	✓	Commonwealth Department of State Verification		
	✓	Certificate of Service		

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

STATE OF PENNSYLVANIA
COUNTY OF PHILADELPHIA

Anna Dickerson 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:

March 7, 2011

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.

Anna Dickerson

Sworn to and subscribed before me this 7th day of
March, 2011.

Mary Anne Logan
Notary Public

My Commission Expires:

NOTARIAL SEAL
Mary Anne Logan, Notary Public
City of Philadelphia, Phila. County
My Commission Expires March 30, 2013

Copy of Notice of Publication

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PENNSYLVANIA
PUBLIC UTILITY COMMISSION
NOTICE
Application of Efficient Energy Solutions, LLC
For Approval To Offer, Render, Furnish Or, Supply
Electricity Or, Electric Generation Services
As A Generator And Supplier Of Electric Power,
A Marketer/Broker Engaged In The Business Of
Supplying Electricity, And An Aggregator Engaged
In The Business Of Supplying Electricity To The
Public In The Commonwealth Of Pennsylvania.
Efficient Energy Solutions, LLC will be filing
an application with the Pennsylvania Public Utility
Commission (PUC) for a license to supply
electricity or electric generation services as (1) a
generator and supplier of electric power, (2) a
broker/marketer engaged in the business of
supplying electricity, and (3) an aggregator engaged
in the business of supplying electricity.
Efficient Energy Solutions, LLC proposes to
sell electricity and related services throughout
all of Pennsylvania under the provisions of the
new 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 Efficient Energy Solutions,
LLC, may be filed within 16 days of the date of
this notice with the Secretary of the PUC, P.O.
Box 3265, Harrisburg, PA 17105-3265. You
should send copies of any protest to Efficient
Energy Solutions, LLC's attorney at the address
listed below.
By and through Counsel: William Ball
Leger and Ball PC
310 Grant St., Suite 3100
Pittsburgh, PA 15219

The Patriot-News Co.
2020 Technology Pkwy
Suite 300
Mechanicsburg, PA 17050
Inquiries - 717-255-8213

The Patriot-News
Now you know

EFFICIENT ENERGY
P.O. BOX 12644
ATTN: MICHAEL POLOSKY

PITTSBURGH

PA 15241

RECEIVED

MAR 15 2011

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

THE PATRIOT NEWS
THE SUNDAY PATRIOT NEWS

Proof of Publication

Under Act No. 587, Approved May 16, 1929
Commonwealth of Pennsylvania, County of Dauphin} ss

Holly Blain, being duly sworn according to law, deposes and says:

That she is a Staff Accountant of The Patriot News Co., a corporation organized and existing under the laws of the Commonwealth of Pennsylvania, with its principal office and place of business at 2020 Technology Pkwy, Suite 300, in the Township of Hampden, County of Cumberland, State of Pennsylvania, owner and publisher of The Patriot-News and The Sunday Patriot-News newspapers of general circulation, printed and published at 1900 Patriot Drive, in the City, County and State aforesaid; that The Patriot-News and The Sunday Patriot-News were established March 4th, 1854, and September 18th, 1949, respectively, and all have been continuously published ever since;

That the printed notice or publication which is securely attached hereto is exactly as printed and published in their regular daily and/or Sunday/ Community Weekly editions which appeared on the date(s) indicated below. That neither she nor said Company is interested in the subject matter of said printed notice or advertising, and that all of the allegations of this statement as to the time, place and character of publication are true; and

That she has personal knowledge of the facts aforesaid and is duly authorized and empowered to verify this statement on behalf of The Patriot-News Co. aforesaid by virtue of and pursuant to a resolution unanimously passed and adopted severally by the directors of the said Company and subsequently duly recorded in the office for the Recording of Deeds in Dauphin in Miscellaneous Book "M", Volume 14, Page 317.

This ad # 0002129628 ran on the dates shown below:

March 05, 2011

Holly Blain

Sworn to and subscribed before me this 09 day of March, 2011 A.D.

Notary Public

COMMONWEALTH OF PENNSYLVANIA

Notarial Seal
Sherrie L. Kiser, Notary Public
Lower Paxton Twp., Dauphin County
My Commission Expires Nov. 26, 2011
Member, Pennsylvania Association of Notaries

PENNSYLVANIA
PUBLIC UTILITY COMMISSION
NOTICE

Application of Efficient Energy Solutions, LLC for Approval To Offer, Render, Furnish Or Supply Electricity Or Electric Generation Services As A Generator And Supplier Of Electric Power, A Marketer/Broker Engaged In The Business Of Supplying Electricity, And An Aggregator Engaged In The Business Of Supplying Electricity To The Public In The Commonwealth Of Pennsylvania.

Efficient Energy Solutions, LLC, will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity, or electric generation services as (1) a generator and supplier of electric power, (2) a broker/marketer engaged in the business of supplying electricity, and (3) an aggregator engaged in the business of supplying electricity. Efficient Energy Solutions, LLC, proposes to sell electricity and related services throughout all of Pennsylvania under the provisions of the new 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 Efficient Energy Solutions, LLC, may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Efficient Energy Solutions, LLC's attorney at the address listed below.

By and through Counsel: William Ball
Leger and Ball PC
310 Grant St., Suite 3100
Pittsburgh, PA 15219

OATH of PUBLICATION
In
THE ERIE TIMES-NEWS
COMBINATION EDITION

EFFICIENT ENERGY
PO BOX 12644
PITTSBURGH PA 15241

REFERENCE: L0005031
1970520 PUC NOTICE

STATE OF PENNSYLVANIA)
COUNTY OF ERIE) SS:

Rosanne Cheeseman being duly sworn, deposes and says that she is the Publisher of the Times Publishing Company, which publishes: the Erie Times-News, established October 2, 2000, a daily newspaper of general circulation, successor, by consolidation, of the Morning News, established January 1957, and the Erie Daily Times, established April 1888, daily newspapers of general circulation and published at Erie, Erie County, Pennsylvania, and that the notice of which the attached is a copy published, in the regular editions of said newspaper of the dates referred to below. Affiant further deposes that she is duly authorized by the TIMES PUBLISHING COMPANY, 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: 03/05

TOTAL COST: 294.00 AD SPACE: 7.000 INCH
FILED ON: 03/05/11

RECEIVED

MAR 15 2011

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

PENNSYLVANIA
PUBLIC UTILITY COMMISSION
NOTICE

Application of Efficient Energy Solutions, LLC For Approval To Offer, Render, Furnish Or Supply Electricity Or Electric Generation Services As A Generator And Supplier Of Electric Power, A Marketer/Broker Engaged In The Business Of Supplying Electricity, And An Aggregator Engaged In The Business Of Supplying Electricity, To The Public In The Commonwealth Of Pennsylvania.

Efficient Energy Solutions, LLC, will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electric generation services as (1) a generator and supplier of electric power; (2) a broker/marketer engaged in the business of supplying electricity; and (3) an aggregator engaged in the business of supplying electricity. Efficient Energy Solutions, LLC proposes to sell electricity and related services throughout all of Pennsylvania under the provisions of the new 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 Efficient Energy Solutions, LLC, may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Efficient Energy Solutions, LLC's attorney at the address listed below.

By and through Counsel: William Ball
Leger and Ball PC
310 Grant St, Suite 3100
Pittsburgh, PA 15219

1970520

Sworn to and subscribed before me this

7 day of March 2011 Affiant: Rosanne Cheeseman

NOTARY: Tami J. Davis

COMMONWEALTH OF PENNSYLVANIA
NOTARIAL SEAL
Tami J. Davis, Notary Public
City of Erie, Erie County
My commission expires April 14, 2014

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 M. Goodwin, 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:

04 of March, 2011

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.

COPY OF NOTICE OR PUBLICATION

M. Goodwin
PG Publishing Company

Sworn to and subscribed before me this day of:
March 04, 2011

Linda M. Gaertner
COMMONWEALTH OF PENNSYLVANIA

Notarial Seal
Linda M. Gaertner, Notary Public
City of Pittsburgh, Allegheny County
My Commission Expires Jan. 31, 2015
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

RECEIVED

MAR 15 2011

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

STATEMENT OF ADVERTISING COSTS
EFFICIENT ENERGY SOLUTIONS
PO BOX 12644
PITTSBURGH PA 15241-0644

To PG Publishing Company

Total ----- \$436.65

Publisher's Receipt for Advertising Costs

PG PUBL, NY, 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.

By and through Counsel: William Ball, Leger, and Ball PC, 310 Grant St., Suite 3100, Pittsburgh, PA 15219.
34 Boulevard
PITTSBURGH
Phone 412-222-1219

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

By Linda M. Gaertner

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.

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

EFFICIENT ENERGY
MICHAEL POLOSKY
PO BOX 12644 PITTSBURGH PA 15241

Account # 536526
Order # 80528778
Ad Price: 227.95
PO Number: MIKE

Gina Krushinski

Being duly sworn according to law deposes and says that she 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:

03/04/2011

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 Gina Krushinski

Sworn and subscribed to before me
this 4th day of March A.D., 2011

Sharon Venturi
(Notary Public)

COMMONWEALTH OF PENNSYLVANIA

Notarial Seal
Sharon Venturi, Notary Public
City of Scranton, Lackawanna County
My Commission Expires Feb. 12, 2014
Member, Pennsylvania Association of Notaries

RECEIVED

MAR 15 2011

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

LEGAL NOTICE
PENNSYLVANIA PUBLIC
UTILITY COMMISSION
Application of Efficient Energy Solutions, LLC For Approval To Offer, Render, Furnish Or Supply Electricity Or Electric Generation Services As A Generator And Supplier Of Electric Power, A Marketer/Broker Engaged In The Business Of Supplying Electricity, And An Aggregator Engaged In The Business Of Supplying Electricity To The Public In The Commonwealth Of Pennsylvania.

Efficient Energy Solutions, LLC will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electric generation services as (1) a generator and supplier of electric power; (2) a broker/marketer engaged in the business of supplying electricity; and (3) an aggregator engaged in the business of supplying electricity. Efficient Energy Solutions, LLC proposes to sell electricity and related services throughout all of Pennsylvania under the provisions of the new 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 Efficient Energy Solutions, LLC, may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Efficient Energy Solutions, LLC's attorney at the address listed below.

By and through Counsel: William Ball Leger and Ball PC
310 Grant St, Suite 3100
Pittsburgh, PA 15219

COMMONWEALTH OF PENNSYLVANIA }
County of Cambria } SS

**PENNSYLVANIA
PUBLIC UTILITY COMMISSION
NOTICE**

Application of Efficient Energy Solutions, LLC For Approval To Offer, Render, Furnish Or Supply Electricity Or Electric Generation Services As A Generator And Supplier Of Electric Power, A Marketer/Broker Engaged In The Business Of Supplying Electricity, And An Aggregator Engaged In The Business Of Supplying Electricity To The Public In The Commonwealth Of Pennsylvania.

Efficient Energy Solutions, LLC will be filing an application with the Pennsylvania Public Utility Commission (PUC) for a license to supply electricity or electric generation services as (1) a generator and supplier of electric power, (2) a broker/marketer, engaged in the business of supplying electricity, and (3) an aggregator engaged in the business of supplying electricity. Efficient Energy Solutions, LLC proposes to sell electricity and related services throughout all of Pennsylvania under the provisions of the new 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 Efficient Energy Solutions, LLC may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Efficient Energy Solutions, LLC's attorney at the address listed below.

By and through Counsel: William Ball
Leger and Ball PC
310 Grant St, Suite 3100
Pittsburgh, PA 15219

published co
that the ann
of The Johns
in the subject
of said public

On this 8th day of March A.D. 2011, 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 Classified Advertising Manager 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,

of Cambria, and Commonwealth of Pennsylvania and latter published in said publication in the regular issues March 4, 2011; and that the Affiant is not interested in all of the allegations as to time, place and character

Christine Marhefka

STATEMENT OF ADVERTISING COSTS

Sworn and Subscribed before me this
8th day of March, 2011.

[Signature]

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
Total Cost	170.00

COMMONWEALTH OF PENNSYLVANIA
Notarial Seal
Vivian Ohs, Notary Public
City of Johnstown, Cambria County
My Commission Expires Dec. 8, 2012
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

RECEIVED

_____ MAR 15 2011
(Name of Newspaper)

By _____

**PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU**

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

STATE OF PENNSYLVANIA
COUNTY OF LYCOMING

SS:

Bernard A. Oravec Publisher of the Sun-Gazette Company, 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:

March 5, 2011

Affiant further deposes that he is an officer daily authorized by the Sun-Gazette Company, publisher of the Williamsport Sun-Gazette, to verify the foregoing statement under oath and also declares 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

Application of Efficient Energy Solutions, LLC For Approval To Offer, Render, Furnish Or Supply Electricity Or Electric Generation Services As A Generator, And Supplier Of Electric Power, A Marketer/Broker Engaged In The Business Of Supplying Electricity, And An Aggregator Engaged In The Business Of Supplying Electricity To The Public In The Commonwealth Of Pennsylvania.

Efficient Energy Solutions, LLC will be filing an application with the Pennsylvania Public Utility Commission ("PUC") for a license to supply electricity or electric generation services as: (1) a generator and supplier of electric power, (2) a broker/marketer engaged in the business of supplying electricity, and (3) an aggregator engaged in the business of supplying electricity. Efficient Energy Solutions, LLC proposes to sell electricity and related services throughout all of Pennsylvania under the provisions of the new Electricity Generation Customer Choice and Competition Act.

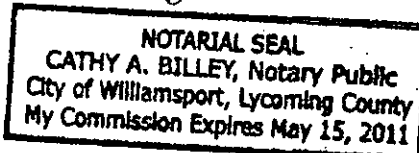
RECEIVED
MAR 15 2011
PA PUBLIC UTILITY COMMISSION
SECRETARY

Bernard A. Oravec
SUN-GAZETTE COMPANY

Sworn to and subscribed before me

the 9th day of March 2011

Cathy A. Billey
Notary Public



STATEMENT OF ADVERTISING COSTS

To the Sun-Gazette Company, Dr.:

For publishing the notice attached

hereto on the above state dates.....\$ 273.44

Probated same.....\$

Total.....\$ 273.44

SHER'S RECEIPT FOR ADVERTISING COSTS

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

SUN-GAZETTE COMPANY

BY Bernard A. Oravec

The PUC may consider this application without a hearing. Protests directed to the technical or financial fitness of Efficient Energy Solutions, LLC, may be filed within 15 days of the date of this notice with the Secretary of the PUC, P.O. Box 3265, Harrisburg, PA 17105-3265. You should send copies of any protest to Efficient Energy Solutions, LLC.

Appendix G

Page 1 of 3

Sample Disclosure Statement Format for Electric Generation Suppliers

N/A

This is an agreement for electric generation service, between EGS name and customer's name and full address.

Background

- We at EGS's name are licensed by the Pennsylvania Public Utility Commission to offer and supply electric generation services in Pennsylvania. Our PUC license number is A-XXXX-XXXXXXX.
- We set the generation prices and charges that you pay. The Public Utility Commission regulates distribution prices and services. The Federal Energy Regulatory Commission regulates transmission prices and services.
- Include one of the two following options:
 - 1) You will receive a single bill from billing agent name that will contain distribution utility name charges and EGS's name charges.
 - 2) You will receive a separate bill from EGS Name for generation charges and a separate bill from distribution utility name for its charges.
- Right of Rescission - You may cancel this agreement at any time before midnight of the third business day after receiving this disclosure.

Definitions

- Generation Charge - Charge for production of electricity.
- Transmission Charge - Charge for moving high voltage electricity from a generation facility to the distribution lines of an electric distribution company.
- Nonbasic Charges - Define each nonbasic service being offered.

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MAR 15 2011

Terms of Service

1. (a) **Basic Service Prices** - Itemize Basic Services you are billing for and their prices.

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

You will pay EGS rate per kWh for electric generation service.
Suppliers are to include any variable pricing conditions and limits, if charging a variable rate.

(Note to EGS applicants: this statement should include transmission charges if applicable. Contact the electric distribution utility to determine if transmission charges are included in their price-to-compare.)

- (b) **Nonbasic Service Prices** - Itemize Nonbasic Services you are offering and their prices.

2. Length of Agreement

You will buy your electricity generation service for the above street address from EGS's name beginning date through date of expiration, if any.

24

N/A - Applying for Broker/Marketer.
we will not be setting Rates, Billing etc.

Appendix G (Continued)

Page 2 of 3

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MAR 15 2011

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

3. Special Terms and Conditions - List and explain all that apply.

Sign-up bonuses
Add-ons
Limited time offers
Other Sales Promotions
Exclusions

4. Special Services - Provide explanation of price, terms and conditions, including advanced metering deployment, if applicable.

5. Penalties, Fees and Exceptions - List any that apply including a late payment charge. The print size for this section must be larger than the print in the rest of the agreement.

6. Cancellation Provisions - This category may consist of both customer initiated cancellation provisions and supplier initiated cancellation provisions.

7. Renewal Provision/Agreement Expiration/Change in Terms

If you have a fixed term agreement with us and it is approaching the expiration date or if we propose to change our terms of service, we will send you two advance written notices either in our bills or in separate mailings between 45 and 90 days before either the expiration date or the effective date of the changes. We will explain your options in these two advance notices.

8. Dispute Procedures

Contact us with any questions concerning our terms of service. You may call the PUC if you are not satisfied after discussing your terms with us.

9. Contact Information

Generation Supplier Name:

Address:

Phone Number:

Internet Address:

Electric Distribution Company Name:

Appendix G (Continued)

Page 3 of 3

Provider of Last Resort Name:

Address:

Phone Number:

Public Utility Commission (PUC)

Address:

P.O. Box 3265 Harrisburg, PA 17105-3265

Choice Hotline Number:

1-800-692-7380

Universal Service Program Name:

Phone Number:

Appendix I

Electronic Data Interchange and Internet Requirements

Prior to doing business in an EDC service territory, the EGS must meet the Electronic Data Interchange (EDI) certification requirements of the EDC. Certification is a testing process using the Commission approved Internet protocol. To initiate this process, the EGS is encouraged to contact the EDC as early as possible after filing an application for a license with the Commission, since certification may require as many as four months to complete and customer service contract dates may not commence prior to certification. EDC requirements of new suppliers may be found on the respective EDC home web page. Pennsylvania's industry stakeholder group the Electronic Data Exchange Working Group (EDEWG) develops and maintains the EDI transactions and related business practices, which are found on the Pa. PUC website at http://www.puc.state.pa.us/electric/electric_electronic_data_exchange.aspx. The EDEWG meets telephonically the first Thursday of each month at 2:00pm ET to discuss EDI change control requests and other issues.

To keep current with Pennsylvania EDI practices and policies, a newly licensed EGS is strongly encouraged to participate in the EDEWG by contacting the following:

PA EDEWG EDI Contacts

Entity Name	Contact Name	Telephone	Email	Preference
PA PUC	Annunciata Marino	717-772-2151	annmarino@state.pa.us	None
PA EDEWG LDC Co-Chair	Sue Scheetz	610-774-3616	smscheetz@pplweb.com	Email
PA EDEWG ESP Co-Chair	George Behr	717-975-1927	GBehr@EnergyServicesGroup.net	Email
PA EDEWG Secretary & Regional EDI Change Control Manager	Brandon Siegel	412-817-8004	bsiegel@ista-na.com	Email

PA EDC EDI Contacts

Company Name	Contact Name	Telephone	Email	Preference
Allegheny Power	Tom Graham	724-838-6528	EDISupport-EDC@alleghenypower.com	Email
Duquesne Light Co	Supplier Service Center	412-393-6282	DLC_SSC@duglight.com	Email
FirstEnergy - Metropolitan Edison Co, Pennsylvania Electric, Penn Power, & JCP&L	Supplier Support	330-761-4348	SupplierSupport@firstenergycorp.com	Email
PECO	Electric & Gas Choice Hotline	215-841-3700	egc@exeloncorp.com	Email
PPL Electric Utilities	Donna M. Hirst	610-774-6349	dmhirst@pplweb.com	None
	Susan Scheetz	610-774-3616	smscheetz@pplweb.com	Email
	Supplier Support	610-774-6396	PPLUtilitiesSupplier@pplweb.com	Email
	EDI Team	610-774-5757	EDIUtilAdm@pplweb.com	Email
UGI Utilities Inc.	EDI Technical Support	610-736-5471	edi@ugi.com	Email

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MAR 15 2011

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

Exhibit A

COMMONWEALTH OF PENNSYLVANIA

DEPARTMENT OF STATE

FEBRUARY 25, 2011

TO ALL WHOM THESE PRESENTS SHALL COME, GREETING:

EFFICIENT ENERGY SOLUTIONS, LLC

I, Carol Aichele, Acting Secretary of the Commonwealth of Pennsylvania

do hereby certify that the foregoing and annexed is a true and correct

copy of

Certificate of Organization filed on April 26, 2004

which appear of record in this department.

RECEIVED

MAR 15 2011

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU



IN TESTIMONY WHEREOF, I have hereunto set my hand and caused the Seal of the Secretary's Office to be affixed, the day and year above written.

A handwritten signature in cursive script, appearing to read "Carol Aichele".

Acting Secretary of the Commonwealth

Exhibit A

200404-1-1621

PENNSYLVANIA DEPARTMENT OF STATE
CORPORATION BUREAU

Entity Number

3215342

Certificate of Organization
Domestic Limited Liability Company
(15 Pa.C.S. § 8913)

Name Kathryn M. Wakefield, Esquire
Leger & Ball, P.C.

Address 3100 Grant Building
330 Grant Street

City State Zip Code
Pittsburgh, PA 15219

Document will be returned to the
name and address you enter to
the left.

RECEIVED

MAR 15 2011

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

Fee: \$125

Filed in the Department of State on

APR 28 2004

Perla C. Santa's

Secretary of the Commonwealth

In compliance with the requirements of 15 Pa.C.S. § 8913 (relating to certificate of organization), the undersigned desiring to organize a limited liability company, hereby certifies that:

1. The name of the limited liability company (designation is required, i.e., "company", "limited" or "limited liability company" or abbreviation):

Efficient Energy Solutions, LLC

2. The (a) address of the limited liability company's initial registered office in this Commonwealth or (b) name of its commercial registered office provider and the county of venue is:

(a) Number and Street City State Zip County
527 Clair Drive Pittsburgh PA 15241 Allegheny

(b) Name of Commercial Registered Office Provider

County

3. The name and address, including street and number, if any, of each organizer is (all organizers must sign on page 2):

Name

Address

Kathryn M. Wakefield, Esquire
Leger & Ball, P.C.

3100 Grant Building
330 Grant Street
Pittsburgh, PA 15219

PA DEPT. OF STATE

200404 1-1622

4. ~~Strike out if inapplicable term~~

5. ~~Strike out if inapplicable:~~

6. The specified effective date, if any is: immediately

~~7. Strike out if inapplicable: XXXXXXXX All persons who furnish information or documents to the law enforcement professionals meet:~~

8. For additional provisions of the certificate, if any, attach an 8½ x 11 sheet.

21st day of April, 2004.

[Signature]
Signature

Signature

Signature

Signature



Department of the Treasury
Internal Revenue Service
CINCINNATI OH 45999-0038

For assistance, call:
1-800-829-0115

Notice Number: CP261
Date: May 24, 2010

Taxpayer Identification Number:
20-1126353
Tax Form:
Tax Period:

Exhibit A

030138.702831.0109.003 1 AT 0.357 532

|||||

EFFICIENT ENERGY SOLUTIONS LLC
MICHAEL J POLOSKY SOLE MBR
527 CLAIR DR
PITTSBURGH PA 15241-2012273

30138

Notice of Acceptance as an S Corporation

We have accepted your election to be treated as an S corporation beginning January 1, 2010. Your accounting period will end in December.

We would also like to take this opportunity to inform you of your tax obligations related to the payment of compensation to shareholder-employees of S corporations.

When a shareholder-employee of an S corporation provides services to the S corporation, reasonable compensation generally needs to be paid. This compensation is subject to employment taxes.

Tax practitioners and subchapter S shareholders need to be aware that Revenue Ruling 74-44 states that the Internal Revenue Service (IRS) will re-characterize small business corporation dividends paid to shareholders as salary when such dividends are paid to the shareholders in lieu of reasonable compensation for services.

The IRS may also re-characterize distributions other than dividend distributions as salary. This position has been supported in several recent court decisions.

If you have any questions about this notice or the action we have taken, please call us at the telephone number listed above. If you prefer, you may write to us at the address shown at the top of this notice. If you write to us, please provide your telephone number and the most convenient time for us to call so we can resolve your inquiry. Please return the bottom part of this notice to help us identify your case.

For tax forms, instructions and information visit www.irs.gov. (Access to this site will not provide you with your specific taxpayer account information.)

3:44 PM
02/12/11
Cash Basis

EFFICIENT ENERGY SOLUTIONS
Balance Sheet
As of December 31, 2009

	<u>Dec 31, 09</u>
ASSETS	
Current Assets	
Checking/Savings	
PNC Money Market	347.64
Primary Checking	-146.92
Total Checking/Savings	<u>200.72</u>
Total Current Assets	<u>200.72</u>
TOTAL ASSETS	<u><u>200.72</u></u>
LIABILITIES & EQUITY	
Liabilities	
Current Liabilities	
Other Current Liabilities	
Owners Capital- Gail	100.00
Owners capital-MJP	100.00
Total Other Current Liabilities	<u>200.00</u>
Total Current Liabilities	<u>200.00</u>
Total Liabilities	200.00
Equity	
Opening Bal Equity	0.72
Retained Earnings	42.34
Net Income	-42.34
Total Equity	<u>0.72</u>
TOTAL LIABILITIES & EQUITY	<u><u>200.72</u></u>

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SECRETARY'S BUREAU

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02/12/11
Cash Basis

EFFICIENT ENERGY SOLUTIONS
Profit & Loss
January through December 2009

	Jan - Dec 09
Ordinary Income/Expense	
Income	
Consulting	2,700.00
GPO Membership Dues	17,420.00
Gr Sales Nat. Gas	370,554.41
Gr. Sales Electric	5,667.59
Interest Inc	72.91
KOREnergy	26,466.24
Other Inc, Bus	1.26
Total Income	422,882.41
Gross Profit	422,882.41
Expense	
Ads	700.00
Bank Charge	1.20
Charity	700.00
Commission	18,543.28
Dues and Subscriptions	124.99
Employee Benefit, Business	
PFPC- HSA	5,950.00
Employee Benefit, Business - Other	16,943.41
Total Employee Benefit, Business	22,893.41
Entertainment	
Meals	2,741.92
non-meal entertainment costs	4,116.27
Total Entertainment	6,858.19
GPO cost reimbursement fund	2,130.48
Insurance, Bus	500.00
Marketing	
Incentive-leads & renewals	2,529.94
Marketing - Other	3,255.55
Total Marketing	5,785.49
Misc	436.25
OFFICE EQUIPMENT	708.38
Office repairs	500.00
Office Supplies	2,263.16
Postage and Delivery	341.06
Professional Fees	
Accounting	950.00
Legal Fees	4,803.00
Total Professional Fees	5,753.00
Rent	4,200.00
Repairs	
Computer Repairs	910.00
Total Repairs	910.00
Subscriptions	384.50
Telephone	3,040.55
tolls & Parking	65.00
Travel, Bus	1,041.93
Utilities	
Internet	1,204.93
Total Utilities	1,204.93
Total Expense	79,085.80
Net Ordinary Income	343,796.61

Exhibit C-2009 - Pg 3

EFFICIENT ENERGY SOLUTIONS

Profit & Loss

January through December 2009

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02/12/11

Cash Basis

	Jan - Dec 09
Other Income/Expense	
Other Expense	
Dave Draws YTD	29,664.76
Mike Draws YTD	268,174.19
SEP Plan contribution	46,000.00
Total Other Expense	343,838.95
Net Other Income	-343,838.95
Net Income	-42.34

Exhibit C - 2010

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02/12/11

Cash Basis

EFFICIENT ENERGY SOLUTIONS

Balance Sheet

As of December 31, 2010

	Dec 31, 10
ASSETS	
Current Assets	
Checking/Savings	
PNC Money Market	5,030.46
Primary Checking	-4,169.63
Total Checking/Savings	860.83
Total Current Assets	860.83
TOTAL ASSETS	860.83
LIABILITIES & EQUITY	
Liabilities	
Current Liabilities	
Other Current Liabilities	
Owners capital-MJP	100.00
Payroll Liabilities	
Federal Unemployment (940)	56.00
PA Income Tax	669.17
PA Unemployment Tax	17.44
Total Payroll Liabilities	742.61
Total Other Current Liabilities	842.61
Total Current Liabilities	842.61
Total Liabilities	842.61
Equity	
Opening Bal Equity	0.72
Net Income	17.50
Total Equity	18.22
TOTAL LIABILITIES & EQUITY	860.83

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Cash Basis

EFFICIENT ENERGY SOLUTIONS**Profit & Loss**

January through December 2010

	Jan - Dec 10
Ordinary Income/Expense	
Income	
Consulting	7,200.00
GPO Membership Dues	18,630.00
Gr Sales Nat. Gas	405,618.79
Gr. Sales Electric	12,900.97
Interest Inc	18.82
KOREnergy	119,884.14
Other Inc, Bus	0.63
Total Income	564,253.35
Gross Profit	564,253.35
Expense	
ADMINISTRATIVE LABOR	1,000.00
Ads	159.00
Bank Charge	390.10
Charity	660.00
Commission	104,195.14
Computer	0.00
Employee Benefit, Business	
PFPC- HSA	6,150.00
SEP Plan contributions	50,000.00
Employee Benefit, Business - Other	23,524.31
Total Employee Benefit, Business	79,674.31
Entertainment	
Meals	3,090.37
non-meal entertainment costs	2,158.36
Total Entertainment	5,248.73
Gifts Given	193.83
Insurance, Bus	494.00
Interest Exp	140.64
Licenses and Permits	20.00
Marketing	3,869.38
Misc	18.00
OFFICE EQUIPMENT	3,686.09
Office repairs	98.40
Office Supplies	2,032.22
Payroll Expenses	
Taxes	10,848.75
Wages	267,235.36
Total Payroll Expenses	278,084.11
Postage and Delivery	546.07
Professional Fees	
Accounting	1,200.00
Legal Fees	4,659.00
Total Professional Fees	5,859.00
Rent	2,100.00
Repairs	
Computer Repairs	1,195.00
Total Repairs	1,195.00
Subscriptions	761.89
Telephone	4,543.29
tolls & Parking	61.00
Travel, Bus	946.13

3:43 PM

02/12/11

Cash Basis

EFFICIENT ENERGY SOLUTIONS**Profit & Loss**

January through December 2010

	Jan - Dec 10
Utilities	
Cable TV	531.24
Internet	1,712.04
Total Utilities	2,243.28
Total Expense	498,219.61
Net Ordinary Income	66,033.74
Other Income/Expense	
Other Expense	
Dave Draws YTD	0.00
Mike Draws YTD	66,016.24
Total Other Expense	66,016.24
Net Other Income	-66,016.24
Net Income	17.50

Exhibit D - 2008 P31

Form **1065**Department of the Treasury
Internal Revenue Service

U.S. Return of Partnership Income

For calendar year 2008, or tax year beginning _____, 2008,
ending _____, 20 ____.
▶ See separate instructions.

COPY

OMB No. 1545-0099

2008

A Principal business activity ENERGY BROKER	Use the IRS label. Otherwise, print or type.	Name of partnership EFFICIENT ENERGY SOLUTIONS LLC	D Employer identification number 20-1126353
B Principal product or service ENERGY		Number, street, and room or suite number. If a P.O. box, see the instructions. 527 CLAIR DRIVE	E Date business started 04/21/04
C Business code number 424990		City or town PITTSBURGH State ZIP code PA 15241	F Total assets (see instrs) \$ 265.

G Check applicable boxes: (1) ☐ Initial return (2) ☐ Final return (3) ☐ Name change (4) ☐ Address change (5) ☐ Amended return (6) ☐ Technical termination - also check (1) or (2)

H Check accounting method: (1) ☒ Cash (2) ☐ Accrual (3) ☐ Other (specify) _____ ▶

I Number of Schedules K-1. Attach one for each person who was a partner at any time during the tax year _____ ▶ **3**

J Check if Schedule M-3 attached ☐

Caution. Include **only** trade or business income and expenses on lines 1a through 22 below. See the instructions for more information.

INCOME	1a Gross receipts or sales	1a	382,628.	1c	382,628.
	b Less returns and allowances	1b			
	2 Cost of goods sold (Schedule A, line 8)	2			
	3 Gross profit. Subtract line 2 from line 1c	3			382,628.
	4 Ordinary income (loss) from other partnerships, estates, and trusts (attach statement)	4			
	5 Net farm profit (loss) (attach Schedule F (Form 1040))	5			
	6 Net gain (loss) from Form 4797, Part II, line 17 (attach Form 4797)	6			
	7 Other income (loss) (attach statement) * STMT	7			26,450.
8 Total income (loss). Combine lines 3 through 7	8			409,078.	
SEE INSTRUCTIONS FOR DEDUCTIONS	9 Salaries and wages (other than to partners) (less employment credits)	9			
	10 Guaranteed payments to partners	10			363,171.
	11 Repairs and maintenance	11			270.
	12 Bad debts	12			
	13 Rent	13			
	14 Taxes and licenses	14			52.
	15 Interest	15			
	16a Depreciation (if required, attach Form 4562)	16a	0.		
	b Less depreciation reported on Schedule A and elsewhere on return	16b			0.
	17 Depletion (Do not deduct oil and gas depletion.)	17			
	18 Retirement plans, etc	18			
	19 Employee benefit programs	19			
	20 Other deductions (attach statement) * STMT	20			42,577.
	21 Total deductions. Add the amounts shown in the far right column for lines 9 through 20	21			406,070.
22 Ordinary business income (loss). Subtract line 21 from line 8	22			3,008.	

Sign Here

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than general partner or limited liability company member manager) is based on all information of which preparer has any knowledge.

Signature of general partner or limited liability company member manager _____ Date _____

May the IRS discuss this return with the preparer shown below (see instrs)? ☐ Yes ☐ No

Paid Preparer's Use Only

Preparer's signature *Joan Dugan Miller* Date *3-11-09* Check if self-employed ☐

Firm's name (or yours if self-employed), address, and ZIP code **JOAN DUGAN MILLER, PC**
1828 TILTON DRIVE
PITTSBURGH PA 15241

Preparer's SSN or PTIN **P00482317**
EIN ▶ **01-0666485**
Phone no. _____

BAA For Privacy Act and Paperwork Reduction Act Notice, see separate instructions.

PTPA0112 10/08/08

Form 1065 (2008)

Schedule A Cost of Goods Sold (see the instructions)

1	Inventory at beginning of year	1	
2	Purchases less cost of items withdrawn for personal use	2	
3	Cost of labor	3	
4	Additional section 263A costs (attach statement)	4	
5	Other costs (attach statement)	5	
6	Total. Add lines 1 through 5	6	
7	Inventory at end of year	7	
8	Cost of goods sold. Subtract line 7 from line 6. Enter here and on page 1, line 2	8	

9a Check all methods used for valuing closing inventory:

- (i) ☐ Cost as described in Regulations section 1.471-3
(ii) ☐ Lower of cost or market as described in Regulations section 1.471-4
(iii) ☐ Other (specify method used and attach explanation) _____

b Check this box if there was a writedown of 'subnormal' goods as described in Regulations section 1.471-2(c) ☐ Yes ☐ No

c Check this box if the LIFO inventory method was adopted this tax year for any goods (if checked, attach Form 970) ☐ Yes ☐ No

d Do the rules of section 263A (for property produced or acquired for resale) apply to the partnership? ☐ Yes ☐ No

e Was there any change in determining quantities, cost, or valuations between opening and closing inventory? ☐ Yes ☐ No

If 'Yes,' attach explanation _____

Schedule B Other Information**1** What type of entity is filing this return? Check the applicable box:

- a** ☐ Domestic general partnership **b** ☐ Domestic limited partnership
c ☒ Domestic limited liability company **d** ☐ Domestic limited liability partnership
e ☐ Foreign partnership **f** ☐ Other _____

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

2 At any time during the tax year, was any partner in the partnership a disregarded entity, a partnership (including an entity treated as a partnership), a trust, an S corporation, an estate (other than an estate of a deceased partner), or a nominee or similar person? ☐ Yes ☒ No

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

3 At the end of the tax year:

a Did any foreign or domestic corporation, partnership (including any entity treated as a partnership), or trust own, directly or indirectly, an interest of 50% or more in the profit, loss, or capital of the partnership? For rules of constructive ownership, see instructions. If 'Yes,' complete (i) through (v) below ☐ Yes ☒ No

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

(i) Name of Entity	(ii) Employer Identification Number (if any)	(iii) Type of Entity	(iv) Country of Organization	(v) Maximum Percentage Owned in Profit, Loss, or Capital

b Did any individual or estate own, directly or indirectly, an interest of 50% or more in the profit, loss, or capital of the partnership? For rules of constructive ownership, see instructions. If 'Yes,' complete (i) through (iv) below ☐ Yes ☒ No

(i) Name of Individual or Estate	(ii) Social Security Number or Employer Identification Number (if any)	(iii) Country of Citizenship (see instructions)	(iv) Maximum Percentage Owned in Profit, Loss, or Capital
MICHAEL J. POLOSKY	186-42-4700	United States	50.0000

4 At the end of the tax year, did the partnership:

a Own directly 20% or more, or own, directly or indirectly, 50% or more of the total voting power of all classes of stock entitled to vote of any foreign or domestic corporation? For rules of constructive ownership, see instructions. If 'Yes,' complete (i) through (iv) below ☐ Yes ☒ No

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

(i) Name of Corporation	(ii) Employer Identification Number (if any)	(iii) Country of Incorporation	(iv) Percentage Owned in Voting Stock

Schedule K-1 Partners' Distributive Share Items

		Total amount
Income (Loss)	1 Ordinary business income (loss) (page 1, line 22)	1 3,008.
	2 Net rental real estate income (loss) (attach Form 8825)	2
	3a Other gross rental income (loss)	3a
	b Expenses from other rental activities (attach stmt)	3b
	c Other net rental income (loss). Subtract line 3b from line 3a	3c
	4 Guaranteed payments	4 363,171.
	5 Interest income	5 318.
	6 Dividends: a Ordinary dividends	6a
	b Qualified dividends	6b
	7 Royalties	7
	8 Net short-term capital gain (loss) (attach Schedule D (Form 1065))	8
9a Net long-term capital gain (loss) (attach Schedule D (Form 1065))	9a	
b Collectibles (28%) gain (loss)	9b	
c Unrecaptured section 1250 gain (attach statement)	9c	
10 Net section 1231 gain (loss) (attach Form 4797)	10	
11 Other income (loss) (see instructions) Type ▶	11	
Deductions	12 Section 179 deduction (attach Form 4562)	12
	13a Contributions Cash contributions (50%)	13a 700.
	b Investment interest expense	13b
	c Section 59(e)(2) expenditures: (1) Type ▶ (2) Amount ▶	13c (2)
d Other deductions (see instructions) Type ▶ MEDICAL INSURANCE PAYMENTS FOR PARTNERS	13d 23,532.	
Self-Employment	14a Net earnings (loss) from self-employment	14a 366,162.
	b Gross farming or fishing income	14b
	c Gross nonfarm income	14c 409,078.
Credits	15a Low-income housing credit (section 42(j)(5))	15a
	b Low-income housing credit (other)	15b
	c Qualified rehabilitation expenditures (rental real estate) (attach Form 3468)	15c
	d Other rental real estate credits (see instructions) Type ▶	15d
	e Other rental credits (see instructions) Type ▶	15e
	f Other credits (see instructions) Type ▶	15f
Foreign Transactions	16a Name of country or U.S. possession ▶	
	b Gross income from all sources	16b
	c Gross income sourced at partner level	16c
	Foreign gross income sourced at partnership level	
	d Passive category ▶ e General category ▶ f Other ▶	16f
	Deductions allocated and apportioned at partner level	
	g Interest expense ▶ h Other ▶	16h
	Deductions allocated and apportioned at partnership level to foreign source income	
	i Passive category ▶ j General category ▶ k Other ▶	16k
	l Total foreign taxes (check one): ▶ Paid <input type="checkbox"/> Accrued <input type="checkbox"/>	16l
m Reduction in taxes available for credit (attach statement)	16m	
n Other foreign tax information (attach statement)		
Alternative Minimum Tax (AMT) Items	17a Post-1986 depreciation adjustment	17a 0.
	b Adjusted gain or loss	17b
	c Depletion (other than oil and gas)	17c
	d Oil, gas, and geothermal properties — gross income	17d
	e Oil, gas, and geothermal properties — deductions	17e
	f Other AMT items (attach stmt)	17f
Other Information	18a Tax-exempt interest income	18a
	b Other tax-exempt income	18b
	c Nondeductible expenses	18c 2,625.
	19a Distributions of cash and marketable securities	19a
	b Distributions of other property	19b
	20a Investment income	20a 318.
b Investment expenses	20b	
c Other items and amounts (attach stmt)		

BAA

Form 1065 (2008)

Analysis of Net Income (Loss)

1 Net income (loss). Combine Schedule K, lines 1 through 11. From the result, subtract the sum of Schedule K, lines 12 through 13d, and 16i						1	342,265.
2 Analysis by partner type:	(i) Corporate	(ii) Individual (active)	(iii) Individual (passive)	(iv) Partnership	(v) Exempt organization	(vi) Nominee/Other	
a General partners		277,506.					
b Limited partners		64,759.					

Schedule L-1 Balance Sheets per Books

	Beginning of tax year		End of tax year	
	(a)	(b)	(c)	(d)
Assets				
1 Cash		201.		265.
2a Trade notes and accounts receivable				
b Less allowance for bad debts				
3 Inventories				
4 U.S. government obligations				
5 Tax-exempt securities				
6 Other current assets (attach stmt)				
7 Mortgage and real estate loans				
8 Other investments (attach stmt)				
9a Buildings and other depreciable assets				
b Less accumulated depreciation				
10a Depletable assets				
b Less accumulated depletion				
11 Land (net of any amortization)				
12a Intangible assets (amortizable only)				
b Less accumulated amortization				
13 Other assets (attach stmt)				
14 Total assets		201.		265.
Liabilities and Capital				
15 Accounts payable				
16 Mortgages, notes, bonds payable in less than 1 year				
17 Other current liabilities (attach stmt)				63.
18 All nonrecourse loans				
19 Mortgages, notes, bonds payable in 1 year or more				
20 Other liabilities (attach stmt)				
21 Partners' capital accounts		201.		202.
22 Total liabilities and capital		201.		265.

Schedule M-1 Reconciliation of Income (Loss) per Books With Income (Loss) per Return

Note. Schedule M-3 may be required instead of Schedule M-1 (see instructions).

1 Net income (loss) per books	1.	6 Income recorded on books this year not included on Schedule K, lines 1 through 11 (itemize):	
2 Income included on Schedule K, lines 1, 2, 3c, 5, 6a, 7, 8, 9a, 10, and 11, not recorded on books this year (itemize):		a Tax-exempt interest	\$
3 Guaranteed pmts (other than health insurance)	339,639.	7 Deductions included on Schedule K, lines 1 through 13d, and 16i, not charged against book income this year (itemize):	
4 Expenses recorded on books this year not included on Schedule K, lines 1 through 13d, and 16i (itemize):		a Depreciation	\$
a Depreciation	\$	8 Add lines 6 and 7	
b Travel and entertainment	\$ 2,625.	9 Income (loss) (Analysis of Net Income (Loss), line 1). Subtract line 8 from line 5	342,265.
5 Add lines 1 through 4	342,265.		

Schedule M-2 Analysis of Partners' Capital Accounts

1 Balance at beginning of year	201.	6 Distributions:	a Cash	
2 Capital contributed:			b Property	
a Cash		7 Other decreases (itemize):		
b Property		8 Add lines 6 and 7		
3 Net income (loss) per books	1.	9 Balance at end of year. Subtract line 8 from line 5		202.
4 Other increases (itemize):				
5 Add lines 1 through 4	202.			

Form **1065**Department of the Treasury
Internal Revenue Service

U.S. Return of Partnership Income
For calendar year 2009, or tax year beginning _____, 2009,
ending _____, 20____.
▶ See separate instructions.

OMB No. 1545-0099

COPY 2009

A Principal business activity ENERGY BROKER	Use the IRS label. Otherwise, print or type.	Name of partnership EFFICIENT ENERGY SOLUTIONS LLC	D Employer identification number 20-1126353
B Principal product or service ENERGY		Number, street, and room or suite number. If a P.O. box, see the instructions. 527 CLAIR DRIVE	E Date business started 04/21/04
C Business code number 424990		City or town PITTSBURGH State ZIP code PA 15241	F Total assets (see instrs) \$ 201.

G Check applicable boxes: (1) ☐ Initial return (2) ☐ Final return (3) ☐ Name change (4) ☐ Address change (5) ☐ Amended return
(6) ☐ Technical termination - also check (1) or (2)

H Check accounting method: (1) ☒ Cash (2) ☐ Accrual (3) ☐ Other (specify) _____

I Number of Schedules K-1. Attach one for each person who was a partner at any time during the tax year _____ **3**

J Check if Schedules C and M-3 are attached _____ ☐

Caution. Include *only* trade or business income and expenses on lines 1a through 22 below. See the instructions for more information.

INCOME	1a Gross receipts or sales	1a	402,689.	
	b Less returns and allowances	1b		1c 402,689.
	2 Cost of goods sold (Schedule A, line 8)			2
	3 Gross profit. Subtract line 2 from line 1c			3 402,689.
	4 Ordinary income (loss) from other partnerships, estates, and trusts (attach statement)			4
	5 Net farm profit (loss) (attach Schedule F (Form 1040))			5
	6 Net gain (loss) from Form 4797, Part II, line 17 (attach Form 4797)			6
	7 Other income (loss) (attach statement) * .STMT			7 20,120.
8 Total income (loss). Combine lines 3 through 7			8 422,809.	
SEE INSTRUCTIONS FOR DEDUCTIONS	9 Salaries and wages (other than to partners) (less employment credits)			9
	10 Guaranteed payments to partners			10 366,732.
	11 Repairs and maintenance			11 910.
	12 Bad debts			12
	13 Rent			13 4,200.
	14 Taxes and licenses			14
	15 Interest			15
	16a Depreciation (if required, attach Form 4562)	16a	0.	
	b Less depreciation reported on Schedule A and elsewhere on return	16b		16c 0.
	17 Depletion (Do not deduct oil and gas depletion.)			17
	18 Retirement plans, etc			18
	19 Employee benefit programs			19
	20 Other deductions (attach statement) * .STMT			20 46,912.
	21 Total deductions. Add the amounts shown in the far right column for lines 9 through 20			21 418,754.
22 Ordinary business income (loss). Subtract line 21 from line 8			22 4,055.	

Sign Here

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than general partner or limited liability company member manager) is based on all information of which preparer has any knowledge.

Signature of general partner or limited liability company member manager

Date

May the IRS discuss this return with the preparer shown below (see instrs)? ☐ Yes ☐ No

Paid Preparer's Use Only

Preparer's signature

Date

Check if self-employed ☐

Preparer's SSN or PTIN

Firm's name (or yours if self-employed), address, and ZIP code

JOAN DUGAN MILLER, PC

1828 TILTON DRIVE

PITTSBURGH

PA 15241

Phone no.

EIN ▶ 01-0666485

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Appendix F

MAR 15 2011

COMMONWEALTH OF
PENNSYLVANIA
PUBLIC UTILITY COMMISSION

TAX CERTIFICATION STATEMENT

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

A completed Tax Certification Statement must accompany all applications for new licenses, renewals or transfers. Failure to provide the requested information and/or any outstanding state income, corporation, and sales (including failure to file or register) will cause your application to be rejected. If additional space is needed, please use white 8 1/2" x 11" paper. Type or print all information requested.

1. CORPORATE OR APPLICANT NAME
Efficient ENERGY Solutions LLC

2. BUSINESS PHONE NO. (412) 851-1756
CONTACT PERSON(S) FOR TAX ACCOUNTS:
Mike Polosky

3. TRADE/FICTITIOUS NAME (IF ANY)

4. LICENSED ADDRESS (STREET, RURAL ROUTE, P.O. BOX NO.) (POST OFFICE) STATE (ZIP)
1018 TAIL TREES DR. Pittsburgh PA 15241

5. TYPE OF ENTITY ☐ SOLE PROPRIETOR ☐ PARTNERSHIP ☒ CORPORATION
☒ LLC ☐ OTHER (Describe...)

6. LIST OWNER(S), GENERAL PARTNERS, OR CORPORATE OFFICERS(S)

NAME (PRINT)	SOCIAL SECURITY NUMBER (OPTIONAL)
Michael J. Polosky	[REDACTED]
NAME (PRINT)	SOCIAL SECURITY NUMBER (OPTIONAL)
NAME (PRINT)	SOCIAL SECURITY NUMBER (OPTIONAL)
NAME (PRINT)	SOCIAL SECURITY NUMBER (OPTIONAL)
NAME (PRINT)	SOCIAL SECURITY NUMBER (OPTIONAL)

7. LIST THE FOLLOWING STATE & FEDERAL TAX IDENTIFICATION NUMBERS (ALL ITEMS A, B, & C MUST BE COMPLETED)

Applicant must provide explanation if submitting N/A for any items

Item A - Designated by the Pennsylvania Department of Revenue.

Item B - Designated by the Internal Revenue Service.

Item C - Designated by the Pennsylvania Department of Revenue. The Corporate Box number may also be referred to as the Corporate Account number.

A. SALES TAX LICENSE (8 DIGITS)	APPLICATION PENDING	N/A	C. CORPORATE BOX NUMBER (7 DIGITS)	APPLICATION PENDING	N/A
83-09235-3	<input type="checkbox"/>	<input type="checkbox"/>	8116642	<input type="checkbox"/>	<input type="checkbox"/>
B. EMPLOYER ID (EIN) (9 DIGITS)	APPLICATION PENDING	N/A			
20-11126353	<input type="checkbox"/>	<input type="checkbox"/>			

8. Do you have PA employees; resident or non-resident? ☐ YES ☒ NO

9. Do you own any assets or have an office in PA? ☒ YES ☐ NO

NAME AND PHONE NUMBER OF PERSON(S) RESPONSIBLE FOR FILING TAX RETURNS

PA SALES AND USE TAX	EMPLOYER TAXES	CORPORATE TAXES
Mike Polosky	Same	Same
412-851-1756	Same	Same
PHONE 4	PHONE	PHONE

Telephone inquiries about this form may be directed to the Pennsylvania Department of Revenue at the following numbers: (717) 772-2673, TDD# (717) 772-2252 (Hearing Impaired Only)

Appendix A
APPLICATION AFFIDAVIT

RECEIVED

[Commonwealth/State] of Pennsylvania :
: ss.

MAR 15 2011

County of Allegheny :

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

Michael J. Polosky, Affiant, being duly [sworn/affirmed] according to law, deposes and says that:

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

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


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

That the Applicant herein Efficient Energy Solutions, 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 Efficient Energy Solutions, 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.

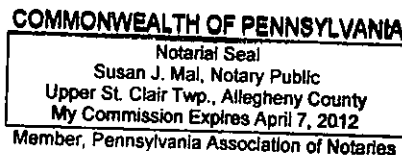
That the facts above set forth are true and correct to the best of his/her knowledge, information, and belief, and that he/she expects said Applicant to be able to prove the same at hearing.


Signature of Affiant

Sworn and subscribed before me this 14th day of March, 2011


Signature of official administering oath

My commission expires 4/7/2012



RECEIVED

MAR 15 2011

Appendix B
OPERATIONS AFFIDAVIT

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

[Commonwealth/State] of Pennsylvania :

: ss.

County of Allegheny :

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

[He/she is the President (Office of Affiant) of Efficient Energy Solutions, LLC

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

That Efficient Energy Solutions, 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 Efficient Energy Solutions, 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 Efficient Energy Solutions, 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 Efficient Energy Solutions, 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

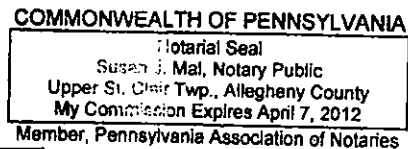
Sworn and subscribed before me this 14th day of March, 20 11.



Signature of official administering oath

My commission expires

4/7/2012



RECEIVED

MAR 15 2011

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAU

MAIL COMPLETED APPLICATION TO:
DEPARTMENT OF REVENUE
BUREAU OF BUSINESS TRUST FUND TAXES
DEPT. 280901
HARRISBURG, PA 17128-0901
TELEPHONE (717) 772-2340

COMMONWEALTH OF PENNSYLVANIA
**PA ENTERPRISE
REGISTRATION FORM**

DEPARTMENT USE ONLY

RECEIVED DATE
RECEIVED

MAR 15 2011

PA PUBLIC UTILITY COMMISSION

DEPARTMENT OF REVENUE &
DEPARTMENT OF LABOR AND INDUSTRY

TYPE OR PRINT LEGIBLY, USE BLACK INK

SECTION 1 - REASON FOR THIS REGISTRATION

REFER TO THE INSTRUCTIONS (PAGE 18) AND CHECK THE APPLICABLE BOX(ES) TO INDICATE THE REASON(S) FOR THIS REGISTRATION.

1. ☒ NEW REGISTRATION
2. ☐ ADDING TAX(ES) & SERVICE(S)
3. ☐ REACTIVATING TAX(ES) & SERVICE(S)
4. ☐ ADDING ESTABLISHMENT(S)
5. ☐ INFORMATION UPDATE
6. DID THIS ENTERPRISE:
☐ YES ☒ NO ACQUIRE ALL OR PART OF ANOTHER BUSINESS?
☐ YES ☒ NO RESULT FROM A CHANGE IN LEGAL STRUCTURE (FOR EXAMPLE, FROM INDIVIDUAL PROPRIETOR TO CORPORATION, PARTNERSHIP TO CORPORATION, CORPORATION TO LIMITED LIABILITY COMPANY, ETC)?
☐ YES ☒ NO UNDERGO A MERGER, CONSOLIDATION, DISSOLUTION, OR OTHER RESTRUCTURING?

SECTION 2 - ENTERPRISE INFORMATION

1. DATE OF FIRST OPERATIONS MAY 17, 2004		2. DATE OF FIRST OPERATIONS IN PA MAY 17, 2004		3. ENTERPRISE FISCAL YEAR END 12/31	
4. ENTERPRISE LEGAL NAME EFFICIENT ENERGY SOLUTIONS LLC				5. FEDERAL EMPLOYER IDENTIFICATION NUMBER (EIN) 20-1126353	
6. ENTERPRISE TRADE NAME (if different than legal name)				7. ENTERPRISE TELEPHONE NUMBER 412-851-1756	
8. ENTERPRISE STREET ADDRESS (do not use PO Box) 527 CLAIR DRIVE		CITY/TOWN PITTSBURGH	COUNTY ALLEGHENY	STATE PA	ZIP CODE + 4 15241
9. ENTERPRISE MAILING ADDRESS (if different than street address)		CITY/TOWN	STATE	ZIP CODE + 4	
10. LOCATION OF ENTERPRISE RECORDS (street address) 527 CLAIR DRIVE		CITY/TOWN PITTSBURGH	STATE PA	ZIP CODE + 4 15241	
11. ESTABLISHMENT NAME (doing business as) EFFICIENT ENERGY SOLUTIONS		12. NUMBER OF ESTABLISHMENTS* 1	13. SCHOOL DISTRICT UPPER ST CLAIR	14. MUNICIPALITY UPPER ST CLAIR	

*Enterprises with more than one establishment as defined in the general instructions must complete Section 17.

SECTION 3 - TAXES AND SERVICES

ALL REGISTRANTS MUST CHECK THE APPLICABLE BOX(ES) TO INDICATE THE TAX(ES) AND SERVICE(S) REQUESTED FOR THIS REGISTRATION AND COMPLETE THE CORRESPONDING SECTIONS INDICATED ON PAGES 2 AND 3. IF REACTIVATING ANY PREVIOUS ACCOUNT(S), LIST THE ACCOUNT NUMBER(S) IN THE SPACE PROVIDED.

PREVIOUS ACCOUNT NBR.	PREVIOUS ACCOUNT NBR.
<input type="checkbox"/> CIGARETTE DEALER'S LICENSE	<input type="checkbox"/> SALES TAX EXEMPT STATUS
<input checked="" type="checkbox"/> CORPORATION TAXES CAPITAL STOCK TAX	<input checked="" type="checkbox"/> SALES, USE, HOTEL OCCUPANCY TAX LICENSE
<input type="checkbox"/> EMPLOYER WITHHOLDING TAX	<input type="checkbox"/> SMALL GAMES OF CHANCE LIC/CERT.
<input type="checkbox"/> FUELS TAX PERMIT	<input type="checkbox"/> TRANSIENT VENDOR CERTIFICATE
<input type="checkbox"/> LIQUID FUELS TAX PERMIT	<input type="checkbox"/> UNEMPLOYMENT COMPENSATION
<input type="checkbox"/> LOCAL SALES, USE, HOTEL OCCUPANCY TAX	<input type="checkbox"/> USE TAX
<input type="checkbox"/> MOTOR CARRIERS ROAD TAX/FTA	<input type="checkbox"/> VEHICLE RENTAL TAX
<input type="checkbox"/> PROMOTER LICENSE	<input type="checkbox"/> WHOLESALE CERTIFICATE
<input type="checkbox"/> PUBLIC TRANSPORTATION ASSISTANCE TAX LICENSE	<input type="checkbox"/> WORKERS' COMPENSATION COVERAGE

SECTION 4 - AUTHORIZED SIGNATURE

I, (WE) THE UNDERSIGNED, DECLARE UNDER THE PENALTIES OF PERJURY THAT THE STATEMENTS CONTAINED HEREIN ARE TRUE, CORRECT, AND COMPLETE.

AUTHORIZED SIGNATURE (ATTACH POWER OF ATTORNEY IF APPLICABLE)		DAYTIME TELEPHONE NUMBER 412-851-1756	TITLE MANAGER
TYPE OR PRINT NAME MICHAEL J. POLOSKY		E-MAIL ADDRESS mike@efficientenergysolutions.com	DATE
TYPE OR PRINT PREPARER'S NAME ROBERT H. KREBS GOFF, BACKA, ALFERA & CO		TITLE PARTNER, CPA	DATE 6/19/04
DAYTIME TELEPHONE NUMBER 412-885-5045		E-MAIL ADDRESS rhkrebs@gbaco.com	DATE

ENTERPRISE NAME
EFFICIENT ENERGY SOLUTIONS LLC

SECTION 5 - BUSINESS STRUCTURE

CHECK THE APPROPRIATE BOX FOR QUESTIONS 1, 2 & 3. IN ADDITION TO SECTIONS 1 THROUGH 10, COMPLETE THE SECTION(S) INDICATED.

1. ☐ SOLE PROPRIETORSHIP (INDIVIDUAL) ☐ GENERAL PARTNERSHIP ☐ ASSOCIATION ☒ LIMITED LIABILITY COMPANY
☐ CORPORATION (Sec. 11) ☐ LIMITED PARTNERSHIP ☐ BUSINESS TRUST STATE WHERE CHARTERED PA
☐ GOVERNMENT (Sec. 13) ☐ LIMITED LIABILITY PARTNERSHIP ☐ ESTATE ☐ RESTRICTED PROFESSIONAL COMPANY
☐ JOINT VENTURE PARTNERSHIP STATE WHERE CHARTERED
2. ☒ PROFIT ☐ NON-PROFIT IS THE ENTERPRISE ORGANIZED FOR PROFIT OR NON-PROFIT?
3. ☐ YES ☒ NO IS THE ENTERPRISE EXEMPT FROM TAXATION UNDER INTERNAL REVENUE CODE SECTION 501(C)(3)? IF YES, PROVIDE A COPY OF THE ENTERPRISE'S EXEMPTION AUTHORIZATION LETTER FROM THE INTERNAL REVENUE SERVICE.

SECTION 6 - OWNERS, PARTNERS, SHAREHOLDERS, OFFICERS, AND RESPONSIBLE PARTY INFORMATION

PROVIDE THE FOLLOWING FOR ALL INDIVIDUAL AND/OR ENTERPRISE OWNERS, PARTNERS, SHAREHOLDERS, OFFICERS, AND RESPONSIBLE PARTIES. IF STOCK IS PUBLICLY TRADED, PROVIDE THE FOLLOWING FOR ANY SHAREHOLDER WITH AN EQUITY POSITION OF 5% OR MORE. ADDITIONAL SPACE IS AVAILABLE IN SECTION 6A, PAGE 11.

1. NAME MICHAEL J. POLOSKY	2. SOCIAL SECURITY NUMBER 186-42-4700	3. DATE OF BIRTH* 05/27/60	4. FEDERAL EIN
5. <input type="checkbox"/> OWNER <input checked="" type="checkbox"/> OFFICER <input type="checkbox"/> PARTNER <input type="checkbox"/> SHAREHOLDER <input type="checkbox"/> RESPONSIBLE PARTY	6. TITLE MANAGER	7. EFFECTIVE DATE OF TITLE 5/17/04	8. PERCENTAGE OF OWNERSHIP 50 %
9. EFFECTIVE DATE OF OWNERSHIP 05/17/04			
10. HOME ADDRESS (street) 527 CLAIR DR	CITY/TOWN PITTSBURGH	COUNTY ALLEGHENY	STATE PA
11. THIS PERSON IS RESPONSIBLE TO REMIT/MAINTAIN: <input checked="" type="checkbox"/> SALES TAX <input type="checkbox"/> EMPLOYER WITHHOLDING TAX <input type="checkbox"/> MOTOR FUEL TAXES <input type="checkbox"/> WORKERS' COMPENSATION COVERAGE			

* DATE OF BIRTH REQUIRED ONLY IF APPLYING FOR A CIGARETTE WHOLESALE DEALER'S LICENSE, A SMALL GAMES OF CHANCE DISTRIBUTOR LICENSE, OR A SMALL GAMES OF CHANCE MANUFACTURER CERTIFICATE.

SECTION 7 - ESTABLISHMENT BUSINESS ACTIVITY INFORMATION

REFER TO THE INSTRUCTIONS TO COMPLETE THIS SECTION. COMPLETE SECTION 17 FOR MULTIPLE ESTABLISHMENTS.

1. ENTER THE PERCENTAGE THAT EACH PA BUSINESS ACTIVITY REPRESENTS OF THE TOTAL RECEIPTS OR REVENUES AT THIS ESTABLISHMENT. LIST ALL PRODUCTS OR SERVICES ASSOCIATED WITH EACH BUSINESS ACTIVITY. ENTER THE PERCENTAGE THAT THE PRODUCTS OR SERVICES REPRESENT OF THE TOTAL RECEIPTS OR REVENUES AT THIS ESTABLISHMENT.

PA BUSINESS ACTIVITY	%	PRODUCTS OR SERVICES	%	ADDITIONAL PRODUCTS OR SERVICES	%
Accommodation & Food Services					
Agriculture, Forestry, Fishing, & Hunting					
Art, Entertainment, & Recreation Services					
Communications/Information					
Construction (must complete question 3)					
Domestics (Private Households)					
Educational Services					
Finance					
Health Care Services					
Insurance					
Management of Companies & Enterprises					
Manufacturing					
Mining, Quarrying, & Oil/Gas Extraction					
Other Services					
Professional, Scientific, & Technical Services					
Public Administration					
Real Estate					
Retail Trade					
Sanitary Service					
Social Assistance Services					
Transportation					
Utilities	100%	ENERGY BROKER			
Warehousing					
Wholesale Trade					
TOTAL	100%				

2. ENTER THE PERCENTAGE THAT THIS ESTABLISHMENT'S RECEIPTS OR REVENUES REPRESENT OF THE TOTAL RECEIPTS OR REVENUES OF THE ENTERPRISE.

100 %

3. ESTABLISHMENTS ENGAGED IN CONSTRUCTION **MUST** ENTER THE PERCENTAGE OF CONSTRUCTION ACTIVITY THAT IS NEW AND/OR RENOVATIVE AND THE PERCENTAGE OF CONSTRUCTION ACTIVITY THAT IS RESIDENTIAL AND/OR COMMERCIAL.

% NEW + % RENOVATIVE = 100%
 % RESIDENTIAL + % COMMERCIAL = 100%

NOTE: INTEREST CHARGES WILL BE IMPOSED ON UNPAID TAX(ES) FROM ANNUAL DUE DATE THROUGH DATE PAID.

COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF REVENUE



REV-1789 CT AFP (10-03)

MAR 07 2005

EFFICIENT ENERGY
SOLUTIONS LLC
527 CLAIR DRIVE
PITTSBURGH PA 15241

File Number 8116-642
Fiscal Year End DEC
Federal ID #
Incorporation-
Authority Date 04-26-2004
Std. Industry Code 9611
Taxes Subject DF
CAPITAL STOCK
LOANS
CORPORATE NET INCOME

DEAR TAXPAYER,

Welcome to Pennsylvania's business community. The Department of Revenue has been advised that you are authorized to conduct business within the Commonwealth of Pennsylvania.

An account (file number) has been assigned for tax reporting purposes and is listed above. Please reference this number on all correspondence. The types of taxes that you are subject to report annually are also listed. Carefully review this information and make sure that your name, address and other tax information is complete and accurate. If no Federal Identification number is indicated above, please provide this number as soon as it is available to you from the Federal Government. If there are changes or additions, make the appropriate adjustments on a copy of this letter and return it promptly to:

PA Department of Revenue
Processing Division-Registry Unit
Dept. 280705
Harrisburg, PA 17128-0705

PLEASE NOTE: Section 601 of the Tax Reform Code of 1971 includes Limited Liability Companies and Business Trusts in the definition of a "corporation" for Capital Stock/Foreign Franchise Tax purposes, regardless of how the entity files with the IRS. Under Section 401, any entity who elects to file as a corporation with the IRS is subject to Corporate Net Income Tax. In the case of Limited Liability Companies and Business Trust, this determination will be made at the settlement of the PA Corporation Tax Report.

Pay particular attention to the month your business or fiscal year ends for the following reasons:

- * This month determines when the Department will automatically mail to you current tax forms and instructions. For most taxes, the annual report must be filed within 105 days after the close of your tax year.
- * For Capital Stock, Foreign Franchise, Corporate Net Income, and Mutual Thrift Taxes, your first quarterly estimated payments are due within 75 days following the incorporation/authority date.
- * Corporations subject to Corporate Net Income Tax who wish to elect PA S status must complete and submit form REV-1640 (enclosed for your convenience), within 75 days of the incorporation/authority date. This is in addition to making a Subchapter S Election to the Federal Government.

Payments of \$20,000 or more must be remitted electronically. Taxpayers must register with the Department, prior to making payments. Register on-line through the Department's Internet business tax filing and data exchange system, e-TIDES at www.etides.state.pa.us (see enclosure).

Over ...

COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF REVENUEBUREAU OF BUSINESS TRUST FUND TAXES
DEPT. 280901
HARRISBURG, PA 17128-0901OFFICIAL NOTICE OF FILING CYCLE CHANGE
SALES, USE AND HOTEL OCCUPANCY TAXEFFICIENT ENERGY SOLUTIONS LLC
527 CLAIR DR
PITTSBURGH PA 15241-2012

Notice Number: 829-795-405-110-5

Account ID: 83-092-353

License Number: 83092353

This is an official notification that effective **January 1, 2006**, Sales, Use and Hotel Occupancy Tax returns for the above-referenced taxpayer must be filed on a **semi-annual** basis instead of the previous reporting cycle. The due date of each return will be August 20th for first semi-annual period of January through June and February 20th for the second semi-annual period of July through December. The administrative due dates for Sales, Use and Hotel Occupancy Tax are found on form REV-819, available online at www.revenue.state.pa.us or upon request by calling 1-888-728-2937.

THIS IS THE ONLY NOTIFICATION YOU WILL RECEIVE THAT THE FILING FREQUENCY HAS CHANGED.

This change in your filing status is based on a recent request, and/or the provisions of Section 217 of the Tax Reform Code of 1971, which states:

- Licensees whose total tax liability is \$300 or less annually must file semi-annually.
- Licensees whose total tax liability is less than \$600 in the third calendar quarter, but more than \$300 annually, must file quarterly.
- Licensees whose total tax liability is \$600 or more per quarter must file monthly.

Effective January 1, 2005, coupon books are no longer mailed. Returns must be filed by using the Department's internet-based eTIDES system. To file, visit the Department's eTIDES website at www.etides.state.pa.us. Taxpayers without internet access may file returns via the TeleFile system at 1-800-748-8299.

To inquire about this change in filing frequency, contact the nearest PA Department of Revenue district office or the Bureau of Business Trust Fund Taxes, Registration Division, at the above address. Telephone inquiries should be directed to the Taxpayer Service and Information Center at (717) 772-2340; TT # Only 1-800-447-3020 (Service for Taxpayers With Special Hearing and/or Speaking Needs).

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a retail associate for details.

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MAR 17 2011

From:/Expéditeur:

EES

P.O. Box 12644

PGH, PA 15242

To:/Destinataire:

PA. Public Utility Commission Secretary

P.O. Box 3265

HARRISBURG, PA

17105-3265

Country of Destination:/Pays de destination:

