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January 21, 2020

JAN 23 2020

PA PUBLIC UTILITY COMMISSION
SECRETARY'S BUREAUSecretary, Pennsylvania Public Utility Commission
400 North Street, 2nd Floor
Harrisburg PA 17120Re: Application of Raftelis Financial Consultants, Inc. to Renew Registration as a Utility Valuation
Expert at Docket No. A-2019-3009046

Please see the below responses to Data Request Set 1:

A-1 The Application's Section 2 indicates Raftelis Financial Consultants, Inc. will be using the fictitious name "Raftelis". Please provide a copy of the Pennsylvania Department of State Application for Registration of Fictitious Name for "Raftelis".

Response from John Mastracchio: Please see attached Exhibit 1 where a response to Section 2 is provided.

A-2 The Application's Exhibit 4 did not include copies of professional licenses and certificates for the individuals listed in the Application's Exhibit 3. Please provide copies of professional licenses and certification for the individuals listed in Exhibit 3.

Response from John Mastracchio: Please see attached Exhibit 2 which includes copies of professional licenses and certifications for John Mastracchio and Richard Giardina.

A-3 Section G of the instructions accompanying the Application for Registration as a Utility Valuation Expert requires applicants to provide a complete copy of the Application including exhibits to the Office of Consumer Advocate and the Office of Small Business Advocate (Statutory Advocates). The Application does not indicate that a copy was provided to the Statutory Advocates. Please verify that a complete copy of the Application was served on the Statutory Advocates.

Response from John Mastracchio: I verify that a complete copy of the Application was served to the Statutory Advocates as directed in section G of the instructions accompanying the Application for Registration as a Utility Valuation Expert.

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

Signature *John M. Mastracchio*

Title *Vice President*


Date *1/22/20*

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SECRETARY'S BUREAU

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

<input type="checkbox"/> Return document by mail to: Anne G Bryant Name 227 W. Trade Street, Suite 1400 Address Charlotte NC 28202 City State Zip Code <input type="checkbox"/> Return document by email to: _____	Registration of Fictitious Name DSCB:54-311 (rev.2/2017)  311
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Read all instructions prior to completing. This form may be submitted online at <https://www.corporations.pa.gov/>.

Fee: \$70.00

I qualify for a veteran/reservist-owned small business fee exemption (see instructions)

In compliance with the requirements of 54 Pa.C.S. § 311 (relating to registration), the undersigned entity(ies) desiring to register a fictitious name under 54 Pa.C.S. Ch. 3 (relating to fictitious names), hereby state(s) that:

1. The fictitious name is:
Raftelis

2. A brief statement of the character or nature of the business or other activity to be carried on under or through the fictitious name is:
Consulting

3. The address, including number and street, if any, of the principal place of business (P.O. Box alone is not acceptable):

227 West Trade Street, Suite 1400	Charlotte	NC	28202	Out Of State
Number and street	City	State	Zip	County

4. The name and address, including number and street, if any, of each individual interested in the business is:

Name	Number and Street	City	State	Zip
Peiffer A Brandt	227 West Trade Street, Suite 1400 , Suite 1400 ,	Charlotte ,	Out Of State	
	, NC , United States ,	28202		
William G Stannard	3013 Main Street ,	Kansas City ,	Out Of State ,	MO , United States ,
	64108			
Matthew R Jackson	227 West Trade Street , Suite 1400 ,	Charlotte ,	Out Of State ,	NC ,
	United States ,	28202		

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5. Each entity, other than an individual, interested in such business is (are):

Name	Form of Organization	Organizing Jurisdiction
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Principal Office Address

PA Registered Office, if any

6. The applicant is familiar with the provisions of 54 Pa.C.S. § 332 (relating to effect of registration) and understands that filing under the Fictitious Names Act does not create any exclusive or other right in the fictitious name.

7. (Optional): The name(s) of the agent(s), if any, any one of whom is authorized to execute amendments to, withdrawals from or cancellation of this registration in behalf of all then existing parties to the registration, is (are):

IN TESTIMONY WHEREOF, the undersigned has caused this Application for Registration of Fictitious Name to be executed this

12th day of December, 2019.

Peiffer A Brandt

Individual Signature

Matthew R Jackson

Individual Signature

William G Stannard

Individual Signature

CFA Institute

The Board of Governors of CFA Institute confers the right to use the
Chartered Financial Analyst (CFA)

designation to

John M. Mastracchio

*for fulfilling all the requirements prescribed for use of this designation
subject to fulfilling the ongoing obligations of a CFA charterholder.*

*This charter is issued at Charlottesville, Virginia,
this fifteenth day of September, 2006.*

Charter Number 86311



W. Duhaime
Chair

V. J. Dinn
President



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SECRETARY'S BUREAU

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Licensee Information

This serves as primary source verification of the license.*

**Primary source verification: License information provided by the Colorado Division of Professions and Occupations, established by 24-34-102 C.R.S.*

Name Richard D. Giardina	Public Address Centennial, CO 80016
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License Information

Colorado Certificate holders passed the AICPA Ethics course within 2 years immediately preceding their Colorado application and achieved a minimum score of 90%. Colorado does not provide exam scores. Licensees can obtain their exam score from NASBA, for a fee, by visiting www.nasbastore.org (https://nasbastore.org/index.php?main_page=document_product_info&cPath=248&products_id=1096).

Minimum Training Requirements on the Date of First Issue:

- Prior to 7/1/2015 = 150 hours of education OR 120 hours of education + 1 year of work experience (1800 hours verified by a CPA)
- After 7/1/2015 = 150 hours of education + 1 year of work experience (1800 hours verified by a CPA)

License Number	License Method	License Type	License Status	Original Issue Date	Effective Date	Expiration Date
CPA.0010059	Examination	Certified Public Accountant	Active	07/18/1986	12/01/2019	11/30/2021

Board/Program Actions

Case Number	Public Action	Resolution	Effective Date	Completed Date
1993-550008161	CLS Letter of Admonition	Letter of Admonition	01/12/1994	
2011-4502	CLS Stipulation	Stipulation	11/15/2011	

Online Documents

To view specific documents related to a licensee, use the "External Document" link below. If you would like to search all available online documents use our DPO Public Documents System (http://www.dora.state.co.us/pls/real/DDMS_Search_GUI.DPO_Search_Form). Once there you may enter the licensee name or license number to complete the search. All public documents related to the licensee will be visible upon completion of the search.

If you have any questions or further issues, please contact us at dora_dpo_onlinelicenses@state.co.us.

Link	Unique ID Number	DocType	DocSource

Link	Unique ID Number	DocType	DocSource
External Document (http://apps.colorado.gov/dora/licensing/Lookup/LicenseLookup.aspx?docExternal=218757&docGuid=F87EF42E-33EA-40FD-B0F0-90248738990E)	218757	BOARD/PROGRAM ACTION DOCUMENTS	IMAGE

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ORIGIN ID: QWGA (704) 373-1199
JOHN MASTRACCHIO
RAFTELIS FINANCIAL CONSULTING
227 WEST TRADE STREET
SUITE 1400
CHARLOTTE, NC 28202
UNITED STATES US

SHIP DATE: 23JAN20
ACTWGT: 0.50 LB
CAD: 110769825/NET4220

BILL SENDER

TO PA PUBLIC UTILITY COMMISSION
SECRETARY OF THE COMMISSION
400 NORTH STREET
2ND FLOOR
HARRISBURG PA 17120

(704) 373-1199

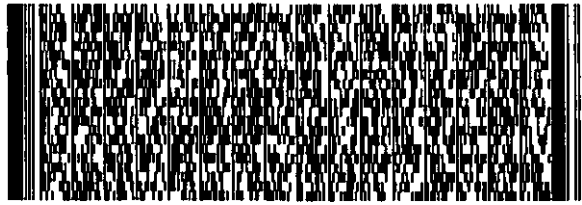
REF:

INV:

DEPT:

PO:

568.20F82FE4A

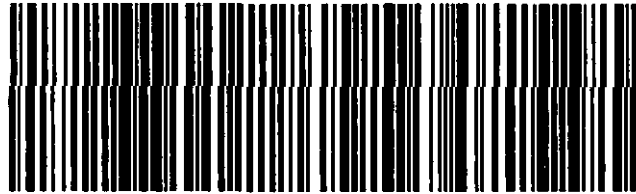


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PA-US MDT



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Use of this system constitutes your agreement to the service conditions in the current FedEx Service Guide, available on fedex.com. FedEx will not be responsible for any claim in excess of \$100 per package, whether the result of loss, damage, delay, non-delivery, misdelivery, or misinformation, unless you declare a higher value, pay an additional charge, document your actual loss and file a timely claim. Limitations found in the current FedEx Service Guide apply. Your right to recover from FedEx for any loss, including intrinsic value of the package, loss of sales, income interest, profit, attorney's fees, costs, and other forms of damage whether direct, incidental, consequential, or special is limited to the greater of \$100 or the authorized declared value. Recovery cannot exceed actual documented loss. Maximum for items of extraordinary value is \$1,000, e.g. jewelry, precious metals, negotiable instruments and other items listed in our ServiceGuide. Written claims must be filed within strict time limits, see current FedEx Service Guide.