



BEFORE THE PENNSYLVANIA PUBLIC UTILITY COMMISSION

In Re: Application of William Franklin Rothman to register as an Utility Valuation Expert (UVE) in the Commonwealth of Pennsylvania

Docket No: M-2016-2543193

- Check one:
[X] Initial Application
[] Renewal Application

Fee: [X] \$125 fee enclosed

RECEIVED
2020 FEB -4 AM 10:19
PA PUC
SECRETARY'S BUREAU
FRONT DESK

1. Legal Name of the Applicant: WILLIAM FRANKLIN ROTHMAN

Attach proof of compliance with appropriate Pennsylvania Department of State filing requirements.2

2. Trade or Commercial or Fictitious Names Used by Applicant (d/b/a):

- [X] Check this box if the Applicant will not be using a fictitious name.
[] Check this box if the Applicant will be using a fictitious name or using a d/b/a (doing business as) another name and identify names below. If more space is needed, list names on the back of this page or append list to completed application.

3. Applicant Address:

Street Name & Number: 553 Bridgeview Road
Post Office Box:
City: Lemoyne
State: PA
Zip Code: 17043
Telephone Number: 717-623-5011
Email Address: brothman@rsrrealtors.com
Website Address: www.rsrrealtors.com

2 A copy of any document from the Pennsylvania Department of State (Pa. Dept. of State) documenting the Applicant's Pa. Dept. of State entity number is adequate. However, the document must indicate that the Applicant's Pa. Dept. of State registration is "active." Certified copies of Pa. Dept. of State documents are not required.

Application for Registration as a Utility Valuation Expert (UVE)

4. Point of Contact for this Application:³

Name: William Franklin Rothman
 Title: Founder & Partner

Complete the following if different than above:

Street Name & Number: _____
 Post Office Box: _____
 City: _____
 State: _____
 Zip code: _____
 Telephone Number: _____
 Email address: _____

5. Parent & Subsidiary Companies & Affiliates:

Parent Name and Contact Information. Provide name and contact information for parent company. Check box if any parent company is currently doing business in Pennsylvania as a UVE or WWDC. If none, do not check the box; insert NONE below.

Parent Name: ROTHMAN, SCHUBERT AND REED REALTORS, LLC
 Street Name & Number: 3 Lemoyne Drive, Suite 100
 Post Office Box: _____
 City: Lemoyne
 State: PA
 Zip Code: 17043
 Telephone Number: 717-763-1212
 Email Address: brothman@rsrrealtors.com
 Website Address: www.rsrrealtors.com

Subsidiaries and Contact Information. Provide name and contact information for all subsidiary companies. Check this box if any subsidiary is currently doing business in Pennsylvania as a UVE or WWDC. If none, do not check the box; insert NONE below.

Subsidiary Name: _____
 Street Name & Number: _____
 Post Office Box: _____
 City: _____
 State: _____
 Zip Code: _____
 Telephone Number: _____
 Email Address: _____
 Website Address: _____

(Copy above information and paste on separate sheet as necessary for additional Subsidiaries)

³ PLEASE NOTE: Upon approval of this application, this Contact Information will be listed on the Commission's UVE Registry.

Application for Registration as a Utility Valuation Expert (UVE)

Affiliates and Contact Information. Provide name and contact information for all affiliated companies. Check box if any affiliate is currently doing business in Pennsylvania as a UVE or WWDC. If none, do not check the box; insert NONE below.

Affiliate Name: _____
 Street Name & Number: _____
 Post Office Box: _____
 City: _____
 State: _____
 Zip Code: _____
 Telephone Number: _____
 Email Address: _____

(Copy above information and paste on separate sheet as necessary for additional Affiliates)

6. Contracts & Business Partnerships:

Check box if Applicant intends to or has operated under contract with or has partnered with an WWDC within the past five (5) years. Otherwise, insert NONE here: NONE.

Check box if Applicant intends to or has operated under contract, subcontracted or partnered with a UVE within the past five (5) years. Otherwise, insert NONE here: NONE.

If applicable, provide name(s) of WWDC(s) and UVE(s) and contact information for each and briefly describe the nature of business services associated with each contract and/or partnership. Attach additional pages as needed.

7. Identify principal officers (i.e., owners, executives, partners and/or directors, etc.), as appropriate for Applicant's organizational structure. Provide an organizational chart and the names, titles, business addresses and telephone numbers for each office. (SEE ATTACHED EXHIBIT A)

Applicant is applying as an individual, in the same was he is licensed with the Commonwealth of Pennsylvania Board of Certified Appraisers. However, in addition, we are including organizational structure for Rothman, Schubert and Reed, REALTORS, LLC and RSR REALTORS, the firm applicant founded in 1970 and serves as Partner.

8. Attach to this Application a brief biography or single page professional resume for all principal officers and management directly responsible for Applicant's operations.

9. Provide Applicant's Federal Employer Identification No. (EIN): 23-2468209

Application for Registration as a Utility Valuation Expert (UVE)


10. Registered Agent

- a. If the Applicant does not maintain a principal office in the Commonwealth, the Applicant is required by the Pennsylvania Department of State to designate an approved Registered Agent as its representative in the Commonwealth. Check one of the boxes below, as applicable:

YES, the Applicant has registered its business with the Pennsylvania Department of State. Following is the Name and Contact information for the Applicant's Registered Agent approved by the Pennsylvania Department of State.

Registered Agent: _____
 Street Name & Number: _____
 Post Office Box: _____
 City: _____
 State: _____
 Zip Code: _____
 Main Telephone Number: _____
 Email Address: _____
 Website Address: _____

NO, the Applicant has not registered its business with the Pennsylvania Department of State.

 **STOP**—To avoid denial of your application and forfeiture of your application fee, contact the Pennsylvania Department of State Bureau of Corporations to register as a business entity within the Commonwealth PRIOR TO completion and filing of this application with the Pennsylvania Public Utility Commission.

- b. Applicant has registered its business with the Pennsylvania Department of State. Please check appropriate registration type for Applicant as designated with the Department.

- Sole proprietor
- Domestic corporation (none)
- Domestic general partnership
- Domestic limited liability company
- Domestic limited liability partnership
- Foreign corporation
- Foreign general or limited partnership
- Foreign limited liability company
- Foreign limited liability general partnership
- Foreign limited liability limited partnership

Application for Registration as a Utility Valuation Expert (UVE)

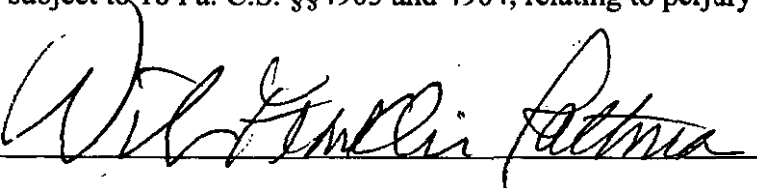
c. If Applicant is not domiciled in the Commonwealth of Pennsylvania and is registered as a "foreign" entity as identified above, please identify all other states where applicant is registered and name the appropriate state department(s):

11. Technical Fitness

Attach to this Application a copy of any certification(s) or similar documentation that would demonstrate the technical fitness of Applicant, such as professional licenses, technical certifications, and/or names of current or past clients with a description of dates and types of services provided by Applicant. (SEE ATTACHED EXHIBIT C)

12. 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.

Signature of Principal Official: 

Official's Name & Title : WILLIAM FRANKLIN ROTHMAN, Founder & Partner
(Please Print)

Date: February 3, 2020

Application for Registration as a Utility Valuation Expert (UVE)

APPENDIX A

AFFIDAVIT

[Commonwealth/State] of Pennsylvania :

County of Cumberland :

SS.

William Franklin Rothman, Affiant, being duly sworn or affirmed according to law, deposes and says that:

Affiant is the same as (Office of Affiant) of William Franklin Rothman (Name of Applicant);

That Affiant is authorized to and does make this affidavit for said Applicant;

That William Franklin Rothman, the Applicant herein, has the burden of producing information and supporting documentation demonstrating technical fitness to be registered as a Utility Valuation Expert pursuant to Section 1329. 66 Pa. C.S. § 1329.

That William Franklin Rothman, the Applicant herein, acknowledges that it has answered the questions on the application correctly, truthfully and completely and has provided supporting documentation as required.

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

That William Franklin Rothman, the Applicant herein, verifies that neither the UVE nor the UVE's firm, including affiliates, have a conflict of interest that would compromise, or have the appearance of compromising, the UVE's professional judgement and ability to perform the valuation in an unbiased manner.

That the facts above set forth are true and correct to the best of Affiant's knowledge, information, and belief, and that Affiant expects said Applicant to be able to prove the same at hearing.

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FEB - 4 2020

Signature of Affiant

PA PUBLIC UTILITY COMMISSION SECRETARY'S BUREAU

Sworn and subscribed before me this 3rd day of February 20 20.

Signature of official administering oath

Commonwealth of Pennsylvania - Notary Seal Kathleen G. Pillion, Notary Public Cumberland County My commission expires June 4, 2022 Commission number 1129741 Member, Pennsylvania Association of Notaries

My commission expires: JUNE 4, 2022