



BEFORE THE PENNSYLVANIA PUBLIC UTILITY COMMISSION

In Re: Application of \_McCarthy Engineering Associates, Inc\_ 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

1. Legal Name of the Applicant: \_McCarthy Engineering Associates, Inc\_

SEE ATTACHMENT "A"

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.

RECEIVED

OCT 2 2020

3. Applicant Address:

Street Name & Number: 555 Van Reed Road
Post Office Box:
City: Wyomissing
State: PA
Zip Code: 19610
Telephone Number: 610-373-8001
Email Address: jmccarthy@mccarthy-engineering.com
Website Address: www.mccarthy-engineering.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.

<b>Application for Registration as a Utility Valuation Expert (UVE)</b>
-------------------------------------------------------------------------

4. Point of Contact for this Application:<sup>3</sup>Name: Jim McCarthyTitle: President and CEO*Complete the following if different than above:*Street Name & Number: 555 Van Reed Road

Post Office Box: \_\_\_\_\_

City: WyomissingState: PAZip code: 19610Telephone Number: 610-373-8001Email address: jmccarthy@mccarthy-engineering.com

## 5. Parent &amp; Subsidiary Companies &amp; 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: N/AStreet Name & Number: N/APost Office Box: N/ACity: N/AState: N/AZip Code: N/ATelephone Number: N/AEmail Address: N/AWebsite Address: N/A

*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: N/AStreet Name & Number: N/APost Office Box: N/ACity: N/AState: N/AZip Code: N/ATelephone Number: N/AEmail Address: N/AWebsite Address: N/A

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

<sup>3</sup> 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: N/A  
 Street Name & Number: N/A  
 Post Office Box: N/A  
                     City: N/A  
                     State: N/A  
                     Zip Code: N/A  
 Telephone Number: N/A  
 Email Address: N/A

(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.**

N/A

---



---



---

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.

Jim McCarthy, President and CEO  
 555 Van Reed Road, Wyomissing, PA 19610  
 610-373-8001

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.

SEE ATTACHMENT “B”

9. Provide Applicant’s Federal Employer Identification No. (EIN):   23-3044891

<b>Application for Registration as a Utility Valuation Expert (UVE)</b>
-------------------------------------------------------------------------


## 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:	McCarthy Engineering Associates, Inc
Street Name & Number:	555 Van Reed Road
Post Office Box:	
City:	Wyomissing
State:	PA
Zip Code:	19610
Main Telephone Number:	610-373-8001
Email Address:	<a href="mailto:imccarthy@mccarthy-engineering.com">imccarthy@mccarthy-engineering.com</a>
Website Address:	<a href="http://www.mccarthy-engineering.com">www.mccarthy-engineering.com</a>

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

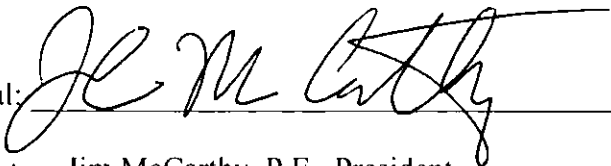
Attach to this Application a copy of any certification(s) or similar documentation that would demonstrate the technical fitness of Applicant, such as professional licenses, technical certifications, and/or names of current or past clients with a description of dates and types of services provided by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

---

---

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 (Please Print) : Jim McCarthy, P.E., President

Date: 9/30/20

OCT 2 2020 Application for Registration as a Utility Valuation Expert (UVE)

PA PUBLIC UTILITY COMMISSION SECRETARY'S BUREAU

APPENDIX A

AFFIDAVIT

[Commonwealth/State] of Pennsylvania :
County of Berks :

SS.

James C. McCarthy Affiant, being duly sworn or affirmed according to law, deposes and says that:

Affiant is the President (Office of Affiant) of McCarthy Engineering Inc (Name of Applicant);

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

That McCarthy Engineering Associates Inc, 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 McCarthy Engineering Associates Inc, 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 McCarthy Engineering Associates Inc, 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 McCarthy Engineering Associates, Inc, 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.

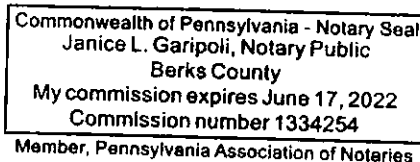
That the facts above set forth are true and correct to the best of Affiant's knowledge, information, and belief, and that Affiant expects said Applicant to be able to prove the same at hearing.

Handwritten signature of James C. McCarthy over a line, with the text 'Signature of Affiant' below it.

Sworn and subscribed before me this 30th day of September, 2020.

Handwritten signature of Janice L. Garipoli over a line, with the text 'Signature of official administering oath' below it.

My commission expires: June 17, 2022



Attachment "A"

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE

10/01/2020

TO ALL WHOM THESE PRESENTS SHALL COME, GREETING:

I DO HEREBY CERTIFY THAT,

McCarthy Engineering Associates, Inc.

is duly registered as a Pennsylvania Business Corporation under the laws of the Commonwealth of Pennsylvania and remains subsisting so far as the records of this office show, as of the date herein.

I DO FURTHER CERTIFY THAT this Subsistence Certificate shall not imply that all fees, taxes and penalties owed to the Commonwealth of Pennsylvania are paid.



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

*Katly Bookman*

Secretary of the Commonwealth

Certification Number: TSC201001131313-1

Verify this certificate online at <http://www.corporations.pa.gov/orders/verify>

RECEIVED

OCT 2 2020

PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
CORPORATION BUREAU  
401 NORTH STREET, ROOM 206  
P.O. BOX 8722  
HARRISBURG, PA 17105-8722  
WWW.CORPORATIONS.STATE.PA.US/CORP

McCarthy Engineering Associates, Inc.

THE CORPORATION BUREAU IS HAPPY TO SEND YOU YOUR FILED DOCUMENT. THE CORPORATION BUREAU IS HERE TO SERVE YOU AND WANTS TO THANK YOU FOR DOING BUSINESS IN PENNSYLVANIA.

IF YOU HAVE ANY QUESTIONS PERTAINING TO THE CORPORATION BUREAU, PLEASE VISIT OUR WEB SITE LOCATED AT WWW.CORPORATIONS.STATE.PA.US/CORP OR PLEASE CALL OUR MAIN INFORMATION TELEPHONE NUMBER (717)787-1057. FOR ADDITIONAL INFORMATION REGARDING BUSINESS AND / OR UCC FILINGS, PLEASE VISIT OUR ONLINE "SEARCHABLE DATABASE" LOCATED ON OUR WEB SITE.

ENTITY NUMBER: 2945028

Saul Ewing LLP  
1200 Liberty Ridge Dr Ste 200  
Wayne, PA 19087

PENNSYLVANIA DEPARTMENT OF STATE  
CORPORATION BUREAU

Articles of Amendment-Domestic Corporation  
(15 Pa.C.S.)

Entity Number  
2945028

Business Corporation (§ 1915)  
 Nonprofit Corporation (§ 5915)

Name  
Christina M. Curry, Legal Assistant Saul Ewing LLP  
Address  
1200 Liberty Ridge Drive, Suite 200  
City State Zip Code  
Wayne, PA 19087

Commonwealth of Pennsylvania  
ARTICLES OF AMENDMENT-BUSINESS 4 Page(s)



T0932067065

Fee: \$70

Filed in the Department of State on \_\_\_\_\_

Secretary of the Commonwealth

In compliance with the requirements of the applicable provisions (relating to articles of amendment), the undersigned, desiring to amend its articles, hereby states that:

1. The name of the corporation is:  
McCurdy Engineering Associates, P.C.

2. The (a) address of this corporation's current registered office in this Commonwealth or (b) name of its commercial registered office provider and the county of venue is (the Department is hereby authorized to correct the following information to conform to the records of the Department):  
4184 Hill Turnpike Drive Shikling Spring PA 19608  
(a) Number and Street City State Zip County

(b) Name of Commercial Registered Office Provider County  
c/o

3. The statute by or under which it was incorporated: Business Corporation Law of 1988

4. The date of its incorporation: June 2, 2000

5. Check, and if appropriate complete, one of the following:

The amendment shall be effective upon filing these Articles of Amendment in the Department of State.

The amendment shall be effective on: \_\_\_\_\_ at \_\_\_\_\_  
M

DSCB:15-1915/5915-2

6. Check one of the following:

- The amendment was adopted by the shareholders or members pursuant to 15 Pa.C.S. § 1914(a) and (b) or § 5914(a).
- The amendment was adopted by the board of directors pursuant to 15 Pa. C.S. § 1914(e).

7. Check, and if appropriate, complete one of the following:

The amendment adopted by the corporation, set forth in full, is as follows:

1. Article FIRST of the Articles of Incorporation is hereby amended in its entirety to read as follows:

FIRST. Name. The name of the corporation is McCarthy Engineering Associates, Inc.

2. The corporation desires to convert from a Professional Corporation to a Business Corporation.

8. Check if the amendment restates the Articles:

The restated Articles of Incorporation supersede the original articles and all amendments thereto.

IN TESTIMONY WHEREOF, the undersigned corporation has caused these Articles of Amendment to be signed by a duly authorized officer thereof this

9<sup>th</sup> day of October, 2009.

McCarthy Engineering Associates, P.C.

By: James McCarthy  
James McCarthy

Title: President



**Jim McCarthy, P.E.**

President and CEO  
Civil Engineer

**EDUCATION:**

Bachelors of Science, Civil Engineering, Widener University  
Master of Science, Civil Engineering, Villanova University

**REGISTRATIONS:**

Professional Engineer Licensed in PA, DE, MD, NJ, NY, CT,  
VA, FL, TN, OH, AZ, MI, WV

RECEIVED

OCT 2 2009

PA PUBLIC UTILITIES COMMISSION  
SECRETARY'S OFFICE

**PROFESSIONAL AFFILIATIONS**

National Society of Professional Engineers,  
Pennsylvania Society of Professional Engineers  
Reading Chapter Society of Professional Engineers  
American Society of Civil Engineers  
Berks County Planning Commission – Board  
Berks County Conservation District - Associate Director

**SUMMARY:**

As President and Founder of McCarthy Engineering Associates, Inc. for the past 20 years his areas of expertise includes civil engineering, multi-disciplinary engineering projects, municipal engineering. Jim currently represents 11 municipalities and municipal authorities as their municipal consulting engineer. During his 30-year career, Mr. McCarthy has been involved in all aspects of engineering consulting and design for both public and private sector clients.

**PROJECT EXPERIENCE:**

Mr. McCarthy's experience in civil engineering is quite extensive, ranging from casinos, racing facilities, roadway and highway projects to industrial parks, retail centers, athletic stadiums and libraries. In addition, Mr. McCarthy has gained experience in the engineering aspects of administration buildings, community centers, police stations, schools, maintenance, salt storage buildings, composting facilities, solid waste transfer stations, waste water treatment and control buildings.

As a Municipal Engineer to numerous municipalities and authorities, Mr. McCarthy's project experience includes annual road programs, curb and sidewalk rehabilitation, handicap ramps, Penn DOT turn backs, bridge inspections, water systems, sanitary sewer systems, pumping stations, waste water treatment facilities, storm sewer upgrades, stream bank stabilization and annual maintenance programs. He also has extensive experience with PENNVEST projects, CDBG grants, DCED grants, park rehabilitation, roadway design and various other capital improvement projects.

Attachment "C"

Commonwealth of Pennsylvania



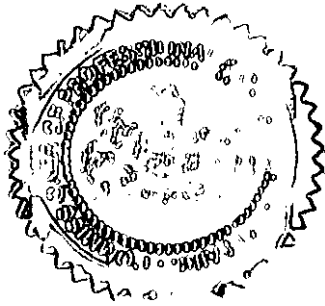
Department of State  
Bureau of Professional and Occupational Affairs

TO ALL TO WHOM THESE PRESENTS SHALL COME GREETING,

STATE REGISTRATION BOARD FOR PROFESSIONAL ENGINEERS, LAND SURVEYORS AND GEOLOGISTS

**JAMES C MCCARTHY**

HAVING SUBMITTED SATISFACTORY EVIDENCE OF FITNESS AS TO AGE, CHARACTER, ABILITY, TECHNICAL TRAINING AND PRACTICAL EXPERIENCE AND ALL OTHER MATTERS REQUIRED BY LAW AND IN ACCORDANCE WITH THE PROVISIONS OF THE ACT OF THE GENERAL ASSEMBLY APPROVED MAY 23, 1945, IS GRANTED THIS CERTIFICATE OF REGISTRATION AND IS HEREBY AUTHORIZED TO PRACTICE AS A



**PROFESSIONAL ENGINEER**  
IN THE COMMONWEALTH OF PENNSYLVANIA

*In Witness Whereof, we have hereunto set our hand and caused the Seal of the Bureau of Professional and Occupational Affairs to be affixed at Harrisburg.*

MARCH 13, 1997

LICENSE NUMBER: PE-051494-E

Handwritten signature of James C. McCarthy.

Handwritten signature of Dorothy Childress.

RECEIVED

OCT 2 2020

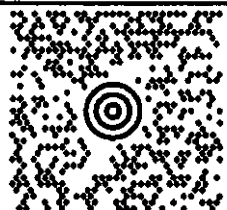
PA PUBLIC UTILITY COMMISSION  
SECRETARY'S BUREAU

JANICE  
6103738001  
MCCARTHY ENGINEERING ASSOCIATE  
555 VAN REED ROAD  
WYOMISSING PA 19610

LTR

1 OF 1

**SHIP TO:**  
SECRETARY  
1-800-692-7380  
PA PUBLIC UTILITY COMMISSION  
COMMONWEALTH KEYSTONE BLDG  
400 NORTH STREET  
2ND FLOOR ROOM 01  
**HARRISBURG PA 17120**



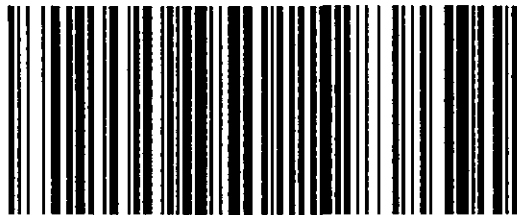
**PA 171 9-20**



**UPS NEXT DAY AIR**

TRACKING #: 1Z XX8 259 01 9009 7371

**1**



BILLING: P/P

