



November 5, 2020

Commonwealth of Pennsylvania
Pennsylvania Public Utility Commission
Rosemary Chiavetta
400 North Street
Harrisburg, PA 17102

Re: Docket No. A-2020-3022565
Entity Code 9923563

Dear Ms. Chiavetta,

In response to the Secretarial Letter Data Request Set 1, dated November 4, 2020, I submit the following responses as well as an amended application.

A-1. The response to the Application's Question 7 does not provide an organizational chart for McCarthy Engineering Associates, Inc. Please provide an amended application that includes a copy of an organizational chart for McCarthy Engineering Associates, Inc.

See Amended application.

A-2. The response to the Application's Question 10(b) does not check the appropriate Pennsylvania Department of State business registration type for the Applicant. Please provide an amended application that revises the Application's Question 10(b) to include the appropriate Pennsylvania Department of State business registration type.

See Amended application.

A-3. The Application did not contain a response for Question 11 Technical Fitness. Please provide an amended application that includes a complete response to Question 11 that describes the Applicant's technical fitness.

See Amended Application.

A-4. Section A of the instruction accompanying the Application for Registration as a Utility Valuation Expert requires applicants to have at least two years of relevant utility valuation and appraisal experience. Please provide an amended application that identifies the Applicant's relevant utility valuation and appraisal experience and quantifies the number of years of utility valuation and appraisal experience that Applicant has accrued.

See Attachment "E"

A-5. Section G of the instructions accompanying the Application 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.

A copy of the original application was mailed to the Statutory Advocates on October 2, 2020.

A copy of the amended application was mailed to the Statutory Advocates on November 9, 2020.

I, James McCarthy, 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 Pa. C.S. § 4904 (relating to unsworn falsification to authorities).


James McCarthy

President and CEO
Title

11/9/20
Date



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: A-2020-3022565

Check one:

Fee: \$125 fee enclosed

Initial Application

Renewal Application

AMENDED APPLICATION

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):

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: 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.

Application for Registration as a Utility Valuation Expert (UVE)

4. Point of Contact for this Application:³

Name: James McCarthy

Title: President and CEO

Complete the following if different than above:

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

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: 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

Website 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/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

Website Address: N/A

(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: 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.

James McCarthy, President & CEO
555 Van Reed Road, Wyomissing PA 19610 (610) 373-8001

SEE ATTACHMENT “D”

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

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:	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:	jmccarthy@mccarthy-engineering.com
Website Address:	www.mccarthy-engineering.com

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

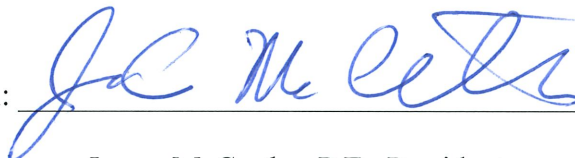
Attach to this Application a copy of any certification(s) or similar documentation that would demonstrate the technical fitness of Applicant, such as professional licenses, technical certifications, and/or names of current or past clients with a description of dates and types of services provided by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

SEE ATTACHMENT “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
(Please Print)

: _____ James McCarthy, P.E., President _____

Date:

11/9/20

Application for Registration as a Utility Valuation Expert (UVE)

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 Associates, 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.



 Signature of Affiant

Sworn and subscribed before me this 9th day of November, 2020.

Janice L. Garipoli

 Signature of official administering oath

My commission expires: June 17, 2022.

Commonwealth of Pennsylvania - Notary Seal
 Janice L. Garipoli, Notary Public
 Berks County
 My commission expires June 17, 2022
 Commission number 1334254
 Member, Pennsylvania Association of Notaries

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>

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)

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

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



T0932087065

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:
McCarthy 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 Terrace Drive Strick Spring PA 19601
(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 _____ AM

DSCB:15-1915/5913-2

6. Check one of the following:

The amendment was adopted by the shareholders or members pursuant to 15 Pa.C.S. § 1914(e) 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 supersedes 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

9th 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

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.



Engineering Your Success

Christopher Falencki, P.E.

*Division Manager
Civil Engineer*

EDUCATION:

*Bachelors of Science, Civil Engineering, Rutgers
University*

REGISTRATIONS:

Professional Engineer Licensed in PA

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 Chamber of Commerce
Pennsylvania State Association of Township Supervisors
National Federation of Independent Businesses*

SUMMARY:

Mr. Falencki was President and Founder of Weiser Engineering Consultants, LLC, for 24 years before joining McCarthy Engineering Associates, Inc. His area of expertise is civil environmental engineering including municipal improvement projects. During his 39-year career, Mr. Falencki has been involved in all aspects of civil engineering for both public and private sector clients as well as Expert Witness testimony. His experience also includes successful Grant procurement, State and Federal Permitting, Parks and Recreation and MS4.

SIGNATURE PROJECTS:

Honey Brook Borough, Chester County, PA - Streetscapes,
Maxatawny Township Municipal Authority, Berks County, PA - Waste Water Treatment Plant and Area "A" Sanitary Sewers, Kutztown, Berks Co., PA
Honey Brook Borough, Chester County, PA - MS4
Maxatawny Township, Berks County, PA - Hottenstein Road LVR Reconstruction
Honey Brook Borough Authority, Chester County, PA - Waterline Replacement
Kings Management, Allentown, Lehigh Co., PA - Cedar Point
BARTA, City of Reading, Berks Co., PA - Penn Square Transportation and Development
BARTA, City of Reading, Berks Co., PA - Intermodal Transportation Facility
Blue Ball Garage, Blue Ball, Lancaster Co., PA
Shady Maple Smorgasbord, East Earl Township, Lancaster Co., PA
Village Greene, Honey Brook Township, Chester Co., PA

Attachment 4C

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

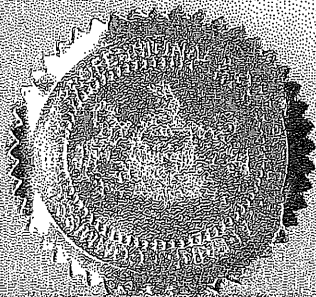
In Witness Whereof, we have hereunto set our hand and caused the Seal of the Bureau of Professional and Occupational Affairs to be affixed at Harrisburg.

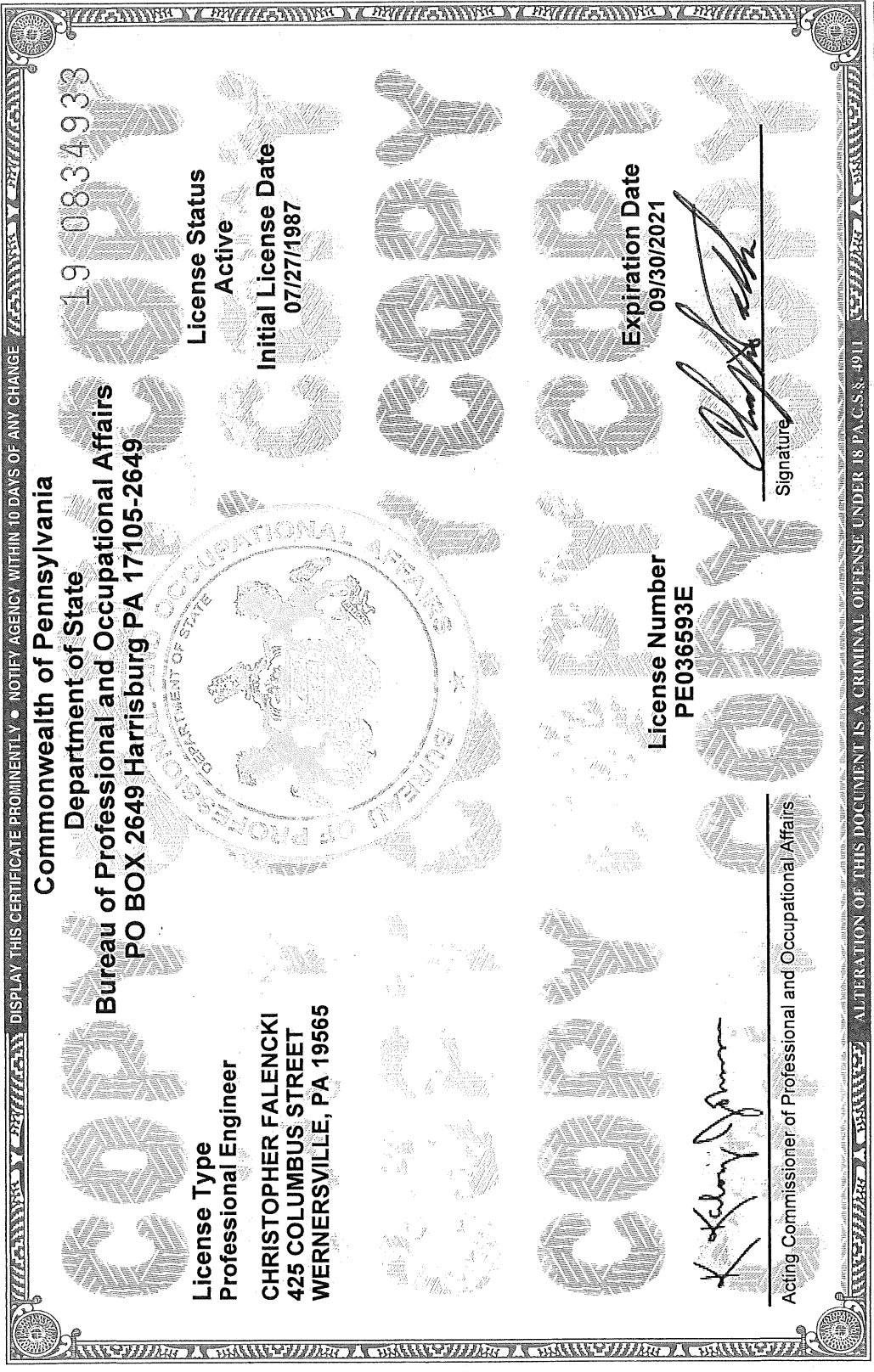
MARCH 13, 1997

LICENSE NUMBER: PE-051494-E

Handwritten signature of James C. McCarthy in blue ink.

Handwritten signature of Dorothy Chidwell in blue ink.





DISPLAY THIS CERTIFICATE PROMINENTLY • NOTIFY AGENCY WITHIN 10 DAYS OF ANY CHANGE

Commonwealth of Pennsylvania
Department of State
Bureau of Professional and Occupational Affairs
PO BOX 2649 Harrisburg PA 17105-2649

190834933

License Type
Professional Engineer

CHRISTOPHER FALENCKI
425 COLUMBUS STREET
WERNERSVILLE, PA 19565

License Status
Active

Initial License Date
07/27/1987

Expiration Date
09/30/2021

License Number
PE036593E

K. Kelly Johnson

Acting Commissioner of Professional and Occupational Affairs

[Signature]

Signature

ALTERATION OF THIS DOCUMENT IS A CRIMINAL OFFENSE UNDER 18 PA.C.S. § 4911

ATTACHMENT "D"

James McCarthy, P.E.
President/CEO
555 Van Reed Rd
Wyomissing, PA 19610
610-373-8001

Christopher Falencki, P.E.
Division Manager
555 Van Reed Rd
Wyomissing, PA 19610
610-373-8001



Attachment “E”

Utility Valuation and Appraisal Experience

Upper Bern Township	Sewer Operations	2007	Authored Valuation Report for internal purposes
Mountain View Thoroughbred Racing Association	Water and Sewer Assets	2007	Asset Value determination for ownership transfer to REIT.
Kenhorst Borough Municipal Authority	Sewer Operations	2012	Authored Valuation Report for internal purposes
St. Joseph Hospital	Sewer Operations	2017	Authored Valuation Report for sale to Bern Township
Clay Township	Hopeland Sewer	2020	Authored Valuation Report for internal purposes and for negotiations with neighboring Authority to purchase.