

FILE

## Electric Power Broker Renewal

National Utilities Refund  
**DBA National Energy**

Original Case #  
17-0065-EL-AGG

**Original Copy**

Contact Person: Vincent DiMaio  
Direct: 610.462.9818  
Email: Vince@nationalutilityltd.com

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# Public Utilities Commission

Original AGG Case Number	Version
17-1184E(1) FEB AGG	May 2016

## RENEWAL APPLICATION FOR ELECTRIC AGGREGATORS/POWER BROKERS

Please print or type all required information. Identify all attachments with an exhibit label and title (Example: Exhibit C-10 Corporate Structure). All attachments should bear the legal name of the Applicant. Applicants should file completed applications and all related correspondence with the Public Utilities Commission of Ohio, Docketing Division; 180 East Broad Street, Columbus, Ohio 43215-3793.

This PDF form is designed so that you may input information directly onto the form. You may also download the form, by saving it to your local disk, for later use.

### A. RENEWAL INFORMATION

#### A-1 Applicant intends to be certified as: (check all that apply)

☒ Power Broker ☐ Aggregator

#### A-2 Applicant's legal name, address, telephone number, PUCO certificate number, and web site address

Legal Name National Utilities Refund LLC  
Address PO BOX 332, Fogelsville PA 18051  
PUCO Certificate # and Date Certified 17-1184E(1) February 13, 2017  
Telephone # (800) 687-1968 Web site address (if any) www.nationalutilitiesrefund.com

#### A-3 List name, address, telephone number and web site address under which Applicant will do business in Ohio

Legal Name National Energy  
Address PO BOX 332, Fogelsville PA 18051  
Telephone # (800) 687-1968 Web site address (if any) www.nationalenergy.us

#### A-4 List all names under which the applicant does business in North America

National Utilities Refund National Energy  
National-wireless.net

#### A-5 Contact person for regulatory or emergency matters

Name Vince DiMaio  
Title President  
Business address PO BOX 332, Fogelsville PA 18051  
Telephone # (610) 462-9818 Fax # (800) 687-1968  
E-mail address vince@nationalutilityltd.com

**A-6 Contact person for Commission Staff use in investigating customer complaints**

Name Vince DiMaio  
Title President  
Business address PO BOX 332, Fogelsville PA 18051  
Telephone # (610) 462-9818 Fax # (800) 687-1968  
E-mail address vince@nationalutilityltd.com

**A-7 Applicant's address and toll-free number for customer service and complaints**

Customer Service address PO BOX 332, Fogelsville PA 18051  
Toll-free Telephone # (800) 687-1968 Fax # (800) 687-1968  
E-mail address info@nationalutilityltd.com

**A-8 Applicant's federal employer identification number # 45-3825531**

**A-9 Applicant's form of ownership (check one)**

- |  |   |
|--|---|
| <input type="checkbox"/> Sole Proprietorship                 | <input type="checkbox"/> Partnership                                |
| <input type="checkbox"/> Limited Liability Partnership (LLP) | <input checked="" type="checkbox"/> Limited Liability Company (LLC) |
| <input type="checkbox"/> Corporation                         | <input type="checkbox"/> Other _____                                |

**PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:**

- A-10 Exhibit A-10 "Principal Officers, Directors & Partners"** provide the names, titles, addresses and telephone numbers of the applicant's principal officers, directors, partners, or other similar officials.

**B. APPLICANT MANAGERIAL CAPABILITY AND EXPERIENCE**

**PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:**

- B-1 Exhibit B-1 "Jurisdictions of Operation,"** provide a list of all jurisdictions in which the applicant or any affiliated interest of the applicant is, at the date of filing the application, certified, licensed, registered, or otherwise authorized to provide retail or wholesale electric services including aggregation services.
- B-2 Exhibit B-2 "Experience & Plans,"** provide a description of the applicant's experience and plan for contracting with customers, providing contracted services, providing billing statements, and responding to customer inquiries and complaints in accordance with Commission rules adopted pursuant to Section 4928.10 of the Revised Code.

**B-3** **Exhibit B-3 "Disclosure of Liabilities and Investigations,"** provide a description of all existing, pending or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or any other matter that could adversely impact the applicant's financial or operational status or ability to provide the services it is seeking to be certified to provide.

**B-4** Disclose whether the applicant, a predecessor of the applicant, or any principal officer of the applicant have ever been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years.

☒ No ☐ Yes

If yes, provide a separate attachment labeled as **Exhibit B-4 "Disclosure of Consumer Protection Violations"** detailing such violation(s) and providing all relevant documents.

**B-5** Disclose whether the applicant or a predecessor of the applicant has had any certification, license, or application to provide retail or wholesale electric service including aggregation service denied, curtailed, suspended, revoked, or cancelled within the past two years.

☒ No ☐ Yes

If yes, provide a separate attachment labeled as **Exhibit B-5 "Disclosure of Certification Denial, Curtailment, Suspension, or Revocation"** detailing such action(s) and providing all relevant documents.

## **C. FINANCIAL CAPABILITY AND EXPERIENCE**

**PROVIDE THE FOLLOWING AS SEPARATE ATTACHMENTS AND LABEL AS INDICATED:**

**C-1** **Exhibit C-1 "Annual Reports,"** provide the two most recent Annual Reports to Shareholders. If applicant does not have annual reports, the applicant should provide similar information in Exhibit C-1 or indicate that Exhibit C-1 is not applicable and why. (This is generally only applicable to publicly traded companies who publish annual reports.)

**C-2** **Exhibit C-2 "SEC Filings,"** provide the most recent 10-K/8-K Filings with the SEC. If the applicant does not have such filings, it may submit those of its parent company. An applicant may submit a current link to the filings or provide them in paper form. If the applicant does not have such filings, then the applicant may indicate in Exhibit C-2 that the applicant is not required to file with the SEC and why.

**C-3** **Exhibit C-3 “Financial Statements,”** provide copies of the applicant’s two most recent years of audited financial statements (balance sheet, income statement, and cash flow statement). If audited financial statements are not available, provide officer certified financial statements. If the applicant has not been in business long enough to satisfy this requirement, it shall file audited or officer certified financial statements covering the life of the business. If the applicant does not have a balance sheet, income statement, and cash flow statement, the applicant may provide a copy of its two most recent years of tax returns (with social security numbers and account numbers redacted).

**C-4** **Exhibit C-4 “Financial Arrangements,”** provide copies of the applicant’s financial arrangements to conduct CRES as a business activity (e.g., guarantees, bank commitments, contractual arrangements, credit agreements, etc.).

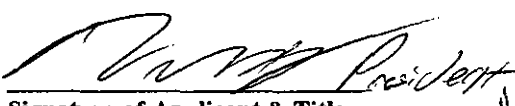
Renewal applicants can fulfill the requirements of Exhibit C-4 by providing a current statement from an Ohio local distribution utility (LDU) that shows that the applicant meets the LDU’s collateral requirements.

First time applicants or applicants whose certificate has expired as well as renewal applicants can meet the requirement by one of the following methods:

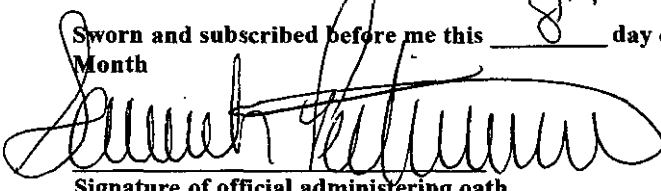
1. The applicant itself stating that it is investment grade rated by Moody’s, Standard & Poor’s or Fitch and provide evidence of rating from the rating agencies.
2. Have a parent company or third party that is investment grade rated by Moody’s, Standard & Poor’s or Fitch guarantee the financial obligations of the applicant to the LDU(s).
3. Have a parent company or third party that is not investment grade rated by Moody’s, Standard & Poor’s or Fitch but has substantial financial wherewithal in the opinion of the Staff reviewer to guarantee the financial obligations of the applicant to the LDU(s). The guarantor company’s financials must be included in the application if the applicant is relying on this option.
4. Posting a Letter of Credit with the LDU(s) as the beneficiary.

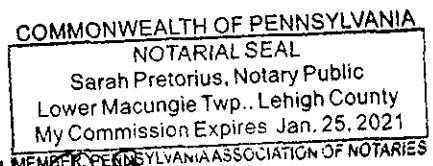
If the applicant is not taking title to the electricity or natural gas, enter "N/A" in Exhibit C-4. An N/A response is only applicable for applicants seeking to be certified as an aggregator or broker.

- C-5 Exhibit C-5 "Forecasted Financial Statements,"** provide two years of forecasted income statements for the applicant's **ELECTRIC related business activities in the state of Ohio Only**, along with a list of assumptions, and the name, address, email address, and telephone number of the preparer. The forecasts should be in an annualized format for the two years succeeding the Application year.
- C-6 Exhibit C-6 "Credit Rating,"** provide a statement disclosing the applicant's credit rating as reported by two of the following organizations: Duff & Phelps, Fitch IBCA, Moody's Investors Service, Standard & Poor's, or a similar organization. In instances where an applicant does not have its own credit ratings, it may substitute the credit ratings of a parent or an affiliate organization, provided the applicant submits a statement signed by a principal officer of the applicant's parent or affiliate organization that guarantees the obligations of the applicant. If an applicant or its parent does not have such a credit rating, enter "N/A" in Exhibit C-6.
- C-7 Exhibit C-7 "Credit Report,"** provide a copy of the applicant's credit report from Experion, Dun and Bradstreet or a similar organization. An applicant that provides an investment grade credit rating for Exhibit C-6 may enter "N/A" for Exhibit C-7.
- C-8 Exhibit C-8 "Bankruptcy Information,"** provide a list and description of any reorganizations, protection from creditors or any other form of bankruptcy filings made by the applicant, a parent or affiliate organization that guarantees the obligations of the applicant or any officer of the applicant in the current year or within the two most recent years preceding the application.
- C-9 Exhibit C-9 "Merger Information,"** provide a statement describing any dissolution or merger or acquisition of the applicant within the two most recent years preceding the application.
- C-10 Exhibit C - 10 "Corporate Structure,"** provide a description of the applicant's corporate structure, not an internal organizational chart, including a graphical depiction of such structure, and a list of all affiliate and subsidiary companies that supply retail or wholesale electricity or natural gas to customers in North America. If the applicant is a stand-alone entity, then no graphical depiction is required and applicant may respond by stating that they are a stand-alone entity with no affiliate or subsidiary companies.

  
Signature of Applicant & Title

Sworn and subscribed before me this 8<sup>th</sup> day of January 2021  
Month Year

  
Signature of official administering oath

  
COMMONWEALTH OF PENNSYLVANIA  
NOTARIAL SEAL  
Sarah Pretorius, Notary Public  
Lower Macungie Twp., Lehigh County  
My Commission Expires Jan. 25, 2021  
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

Sarah Pretorius / Notary Public  
Print Name and Title

My commission expires on 01-25-2021

# **AFFIDAVIT**

State of Pennsylvania Trenton  
County of High : (Town)

Vincent DiMaio, Affiant, being duly sworn/affirmed according to law, deposes and says that:

He/She is the President (Office of Affiant) of National Utilities Refund,  
DBA National Energy (Name of Applicant);

That he/she is authorized to and does make this affidavit for said Applicant,

1. The Applicant herein, attests under penalty of false statement that all statements made in the application for certification renewal are true and complete and that it will amend its application while the application is pending if any substantial changes occur regarding the information provided in the application.
2. The Applicant herein, attests it will timely file an annual report with the Public Utilities Commission of Ohio of its intrastate gross receipts, gross earnings, and sales of kilowatt-hours of electricity pursuant to Division (A) of Section 4905.10, Division (A) of Section 4911.18, and Division (F) of Section 4928.06 of the Revised Code.
3. The Applicant herein, attests that it will timely pay any assessments made pursuant to Sections 4905.10, 4911.18, or Division F of Section 4928.06 of the Revised Code.
4. The Applicant herein, attests that it will comply with all Public Utilities Commission of Ohio rules or orders as adopted pursuant to Chapter 4928 of the Revised Code.
5. The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, and its Staff on any utility matter including the investigation of any consumer complaint regarding any service offered or provided by the Applicant.
6. The Applicant herein, attests that it will fully comply with Section 4928.09 of the Revised Code regarding consent to the jurisdiction of Ohio Courts and the service of process.
7. The Applicant herein, attests that it will use its best efforts to verify that any entity with whom it has a contractual relationship to purchase power is in compliance with all applicable licensing requirements of the Federal Energy Regulatory Commission and the Public Utilities Commission of Ohio.
8. The Applicant herein, attests that it will comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
9. The Applicant herein, attests that it will cooperate fully with the Public Utilities Commission of Ohio, the electric distribution companies, the regional transmission entities, and other electric suppliers in the event of an emergency condition that may jeopardize the safety and reliability of the electric service in accordance with the emergency plans and other procedures as may be determined appropriate by the Commission.
10. If applicable to the service(s) the Applicant will provide, the Applicant herein, attests that it will adhere to the reliability standards of (1) the North American Electric Reliability Council (NERC), (2) the appropriate regional reliability council(s), and (3) the Public Utilities Commission of Ohio. (Only applicable if pertains to the services the Applicant is offering)

11. The Applicant herein, attests that it will inform the Commission of any material change to the information supplied in the renewal application within 30 days of such material change, including any change in contact person for regulatory purposes or contact person for Staff use in investigating customer complaints.

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 any hearing hereof.

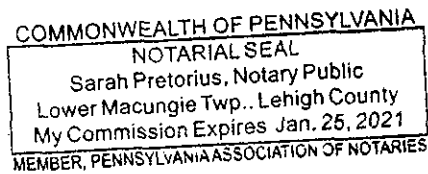
*[Signature]* President  
Signature of Affiant & Title

Sworn and subscribed before me this 8 day of January 2019  
Month Year

*[Signature]*  
Signature of official administering oath

Sarah Pretorius / Notary Public  
Print Name and Title

My commission expires on 01-25-2021





## **EXHIBIT A-10**

### **Electric Power Broker Renewal**

National Utilities Refund  
**DBA National Energy**

Original Case #  
17-0065-EL-AGG

**EXHIBIT A**

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## **EXHIBIT A-10**

### **Principal Officers, Directors & Partners**

National Utilities Refund LLC DBA  
National Energy  
www.nationalenergy.us

#### **Contact**

Main: 1.800.687.1968  
Fax: 1.800.687.1968

#### **Office**

6216 Vista Terrace  
Orefield PA 18069

#### **Main office**

1717 Main Street  
2nd floor  
Northampton PA 18067

#### **Mailing**

National Energy LLC  
PO BOX 332  
Fogelsville PA 18051

### **PARTNER 1**

#### **Name:**

Vincent DiMaio

#### **Address:**

143 Susquehanna Trail  
Allentown PA 18104

#### **Title:**

President

#### **Contact:**

[vince@nationalutilityltd.com](mailto:vince@nationalutilityltd.com)

610.462.9818

#### **Ownership**

Owner's Equity > 50%

### **PARTNER 2**

#### **Name:**

Ralph DiMaio

#### **Address:**

6216 Vista Terrace  
Orefield Pa 18069

#### **Title:**

Vice President

#### **Contact:**

[Ralph@nationalutilityltd.com](mailto:Ralph@nationalutilityltd.com)

610.440.2300

#### **Ownership**

Owner's Equity < 50%

UNITED STATES OF AMERICA  
STATE OF OHIO  
OFFICE OF THE SECRETARY OF STATE

*I, Jon Husted, do hereby certify that I am the duly elected, qualified and present acting Secretary of State for the State of Ohio, and as such have custody of the records of Ohio and Foreign business entities; that said records show a Trade Name Registration for NATIONAL ENERGY, Registration Number 3983246, filed in this office on January 24, 2017, filed by National Utilities Refund Llc, 6216 Vista Terrace, Orefield, PA 18069, under section 1329.01 of the Ohio Revised Code, and is currently in FULL FORCE AND EFFECT upon the records of this office.*



*Witness my hand and the seal of the  
Secretary of State at Columbus, Ohio  
this 8th day of January, A.D. 2019.*

*Jon Husted*

**Ohio Secretary of State**

**Validation Number: 201900800774**



DATE	DOCUMENT ID	DESCRIPTION	FILING	EXPED	PENALTY	CERT	COPY
01/27/2017	201702403922	TRADE NAME REGISTRATION (RNO)	39.00	0.00	0.00	0.00	0.00

**Receipt**

This is not a bill. Please do not remit payment.

LICENSELOGIX LLC  
140 GRAND ST  
STE 300  
WHITE PLAINS, NY 10601

# STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Jon Husted  
3983246

It is hereby certified that the Secretary of State of Ohio has custody of the business records for  
**NATIONAL ENERGY**

and, that said business records show the filing and recording of:

Document(s)

**TRADE NAME REGISTRATION**

Effective Date: 01/24/2017

Document No(s):

**201702403922**

Date of First Use: 12/17/2012

Expiration Date: 01/24/2022

NATIONAL UTILITIES REFUND LLC  
6216 VISTA TERRACE  
OREFIELD, PA 18069



United States of America  
State of Ohio  
Office of the Secretary of State

Witness my hand and the seal of the  
Secretary of State at Columbus, Ohio this  
27th day of January, A.D. 2017.

**Ohio Secretary of State**



Form 534A Prescribed by:

**JON HUSTED**  
**Ohio Secretary of State**Central Ohio: (614) 466-3910  
Toll Free: (877) SOS-FILE (767-3453)  
[www.OhioSecretaryofState.gov](http://www.OhioSecretaryofState.gov)  
[Busserv@OhioSecretaryofState.gov](mailto:Busserv@OhioSecretaryofState.gov)

Date Electronically Filed: 1/24/2017

**Name Registration**  
**Filing Fee: \$39**

CHECK ONLY ONE (1) Box

☒ Trade Name  
(167-RNO)Date of first use: 12/17/2012  
MM/DD/YYYY☐ Fictitious Name  
(169-NFO)

NATIONAL ENERGY

Name being Registered or Reported

NATIONAL UTILITIES REFUND LLC

Name of the Registrant

**Note: If the registrant is a partnership, please provide the name of the partnership. Individual partner names are not permitted but are required on page 2 of the form.**

Registrant's Entity Number (if registered with Ohio Secretary of State): 3968726

**All registrants must complete the information in this section**

The general nature of business conducted by the registrant:

Energy procurement services and consulting

Business address:

6216 VISTA TERRACE

Mailing Address

OREFIELD

City

PA

State

18069

ZIP Code

**Complete the information in this section if registrant is a partnership NOT registered in Ohio pursuant to ORC 1776, if partnership is registered, provide registration number on page one.**

Provide the name and address of at least one general partner:

Name	Address
<div></div>	<div></div>
<div></div>	<div></div>
<div></div>	<div></div>

NOTE: Pursuant to OAG 89-081, if a general partner is a foreign corporation/limited liability company, it must be licensed to transact business in Ohio; if a general partner is a foreign corporation/limited liability company licensed in Ohio under an assumed name, please provide the assumed name and the name as registered in its jurisdiction of formation.

By signing and submitting this form to the Ohio Secretary of State, the undersigned hereby certifies that he or she has the requisite authority to execute this document.

**Required**  
Application must be signed by the registrant or an authorized representative.

NATIONAL UTILITIES REFUND LLC

Signature

If authorized representative is an individual, then they must sign in the "signature" box and print their name in the "Print Name" box.

VINCENT DIMAIO

By (if applicable)

Print Name

If authorized representative is a business entity, not an individual, then please print the business name in the "signature" box, an authorized representative of the business entity must sign in the "By" box and print their name in the "Print Name" box.

**EXHIBIT B**  
1-5  
**APPLICANT MANAGERIAL CAPABILITY AND EXPERIENCE**

**Electric Power Broker Renewal**

National Utilities Refund  
**DBA National Energy**

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## **EXHIBIT B-1**

### **Jurisdiction of Operation**

National Utilities Refund LLC DBA National Energy is currently licensed to broker electricity and natural gas in PA, MD, DC, OH, and IL.

## **EXHIBIT B-2**

### **Experience and Plans**

#### **Sales, Marketing, and Customer Service Plans**

The majority of NUR's new business is derived from word of mouth and customer referrals. In return, customer satisfaction is our number one priority. And, as our client's utility advocate, we are fully aware of the importance of delivering on our promises – it's key to maintaining our reputation as an industry leader in customer satisfaction. We strive to develop longstanding business relationships and our vision is to consistently meet the evolving needs of our customer's.

National Utilities Refund LLC, "NUR", DBA National Energy offers electric supply contracts to our current clientele and prospects new customers through our established marketing techniques. We currently acquire new clients through face-to-face direct marketing and we will continue to prospect customers through the same means as a licensed electric broker. Currently, Ralph DiMaio and Vincent DiMaio actively pursue new customers by attending trade shows, industry associations, and local networking events. In addition, we have four independent sales contractors that perform the same sales techniques in the tristate area.

Ralph DiMaio is in charge of sales and marketing training for the company as well as the independent sales contractors. In order to ensure that all marketing is performed in an ethical manner, Ralph developed a sales system and training manual for our independent contractors. In addition, he continually educates them by hosting bi-weekly sales training calls. Ralph also performs follow-up calls with each customer and asks about their experience working with us to see if there is anything we can improve on.

#### **Customer Complaints**

In order to limit customer complaints, National Energy will use a systematic sales approach to promote transparency and ensure customer satisfaction. In addition, several checks and balances will be established in order to prevent errors. For example, if the customer is unsure of their contract end date with their current supplier, National Energy can assist the customer by reviewing their current supply agreement.

Customer Complaints can be filed via mail, phone, and/or fax. All customer complaints will promptly be addressed by Ralph DiMaio and/or Vincent DiMaio within 24 hours. In the event a customer's complaint involves an error billed by the energy supplier we recommended, we will resolve the issue with the supplier for the customer.

## EXHIBIT B-2

### Experience and Plans (cont.)

#### **Business Operational Plans**

##### *Prospecting*

- *New Customers:* Direct Marketing Techniques IE: Networking events, referrals, and trade shows. No mass marketing techniques or mailers, only direct forms of communication through phone and email. Schedule meeting for a sales presentation.
- *Current Clients:* Inform current clientele that National Energy is a licensed broker and schedule an appointment to go over the client's current energy procurement needs.

##### *Sales Presentation*

- Introduce National Energy, understand customer's needs, and go over various electric rate options; variable, fixed, block & index.
- Identify customer's current contract end date or obtain a copy of the customer's current agreement if the customer is unsure.
- Present a letter of authorization for the customer to grant National Energy permission to obtain pricing from various electric suppliers.
- Obtain a copy of the customer's energy bills and/or list of accounts to submit for pricing.
- Schedule an appointment on a future date to go over the rates with the customer.

##### *Procure Electric Rates*

- Compile the customer's accounts and billing information into an excel document and note any specific pricing requests.
- Send the customer's account data to various electric suppliers who can fulfill the customer's specific needs and rate requests.
- Compile the supplier's rates into a proposal as we receive them.
- Verify whether or not each supplier's rate can be compared apples-to-apples. If not, note the difference between the rates; does not include pass-through charges, GRT, and/or etc.
- Obtain a copy of the supplier's electric agreement for the customer to review.

##### *Present Supplier Rates*

- Present a report to the customer that compares all of the supplier rate options so they can make an informed decision.
- If the customer chooses to move forward with an electric rate, help the customer complete the supplier's agreement.
- Send the supplier a copy of the executed agreement and any other required documents.
- If the customer declines the rates, inform the suppliers and schedule a date to refresh the rates for the customer, unless they chose another supplier.

##### *Post-procurement Review (Optional)*

- Per the customer's request, obtain a copy of their supplier bill to verify that it is being billed in accordance with the supplier agreement and make sure the tax exemption certificates properly transferred over, where applicable.
- If a billing error is uncovered on the supply charges, notify the supplier and perform the necessary follow-up work to get the error corrected and credited on the customer's invoice.
- Note the customer's contract end date and update CRM for renewal follow-up.

## **EXHIBIT B-2**

### **Summary of Experience and Plans (cont.)**

National Utilities Refund LLC, "NUR", DBA National Energy, is a utility bill auditing firm that uncovers billing discrepancies within the utility invoices for commercial organizations all over the country. NUR has experience verifying electric and natural gas tariffs/rate schedules in deregulated and regulated energy markets. Our utility bill audit will verify the most cost efficient rate schedule for a business, determine the accuracy of their historical meter reads, confirm whether or not a meter was properly installed, and uncover sales tax exemptions for eligible organizations. In addition, NUR verifies the accuracy of 3rd party energy supplier bills and agreements. We can verify if an energy supplier met the contracted start/end dates, audit the contract supply rate versus the actual billed rate, uncover hidden pass-through charges, and rectify sales tax billed to exempt organizations. Having this type of knowledge is crucial to be a successful energy broker.

In 2012, NUR created the DBA National Energy in order to offer energy procurement services to our current customers. The DBA National Energy was created and is used when procuring energy rates for customers in order to eliminate any potential customer confusion between our other utility services. National Energy is contracted to procure electric and natural gas in PA, MD, DC, IL, and OH and we are familiar with all of the electric and gas utility tariffs in each state. National Energy services approximately 30+ businesses in Ohio from, medium to large businesses, less than 2,000,000 kWh, and none of the customers have been aggregated to combined electric loads. This is due to the difficulty of arranging multiple customers to agree to one agreement. In return, National Energy does not intend to aggregate customers and/or accounts that are unrelated to each other.

When National Energy submits customer contracts to the supplier for processing, National Energy also performs a complimentary review for our customers after they receive their first supply bill from the supplier they chose. The "post procurement review" helps ensure that the customer's bill coincides with the supplier agreement. Unfortunately, some energy suppliers seem to be more error prone than others. With an energy broker license, National Energy has control over which suppliers we represent and recommend to our customers which will increase customer satisfaction and eliminate customer complaints.

\*Resumes listing industry experience for Ralph DiMaio and Vincent DiMaio have also been attached.

## EXHIBIT B-3

### **Disclosure of Liabilities and Investigations**

*“Provide a description of all existing, pending or past rulings, judgments, contingent liabilities, revocation of authority, regulatory investigations, or any other matter that could adversely impact the applicant’ s financial or operational status or ability to provide the services it is seeking to be certified to provide.”*

Response: None. Not applicable

# Vincent A. DiMaio

143 Susquehanna Trail • Allentown, PA 18104  
Phone: 610.462.9818 Email: vince@nationalutilityltd.com

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## SUMMARY

President and lead utility bill auditor at National Utilities Refund, LLC, DBA National Energy, performed hundreds of utility audits for a wide range of businesses, including fortune 500 companies and local government entities. He holds a BSBA in Entrepreneurship and Marketing from John L Grove School of Business at Shippensburg University. Vincent is experienced in analyzing and verifying electric and gas tariffs in over 40 states including Canada. Vincent has experience working with public, private, and municipally owned utilities, and he has uncovered errors billed by some of the largest utility companies in the country as well as the fly-by-night ESCOs. Vincent has a proven track record auditing commercial customers and he untangled extremely complex energy billing errors, resulting in high five-figure recoveries for our clients.

## PROFESSIONAL EXPERIENCE

### **National Utilities Refund LLC DBA National Energy- President**

**Nov 2011 – Present**

1717 Main Street, 2<sup>nd</sup> Floor, Northampton PA 18067  
6216 Vista Terrace, Orefield PA 18069

#### ➤ **Operations**

- Identify the most cost efficient electric, natural gas, and water/sewer rate classification
- Determine whether or not a time-of-use rate schedule is advantageous for a business
- Verify historical meter reads for demand errors, skipped meters, and additional overcharges
- Implement and present findings to the utility and customer
- File state sales tax overpayments with the State for exempt organizations

#### ➤ **Sales & Marketing**

- Increased Sales by 49% from 2014 to 2015 through direct-to-consumer online marketing

#### ➤ **Product Development**

- Developed and programmed an in-house platform for utility bill auditing and rate schedule verification

#### ➤ **Audit Abilities**

- Solid understanding of electric and gas tariffs
- Experienced verifying energy supplier agreements, assuring proper contract start and end dates
- Thoroughly educated on the state sales tax exemption requirements for qualified government, nonprofit, and educational institutions.
- Knowledgeable on the various 3<sup>rd</sup> party supplier contracts: fixed, variable, index, and block & index

#### ➤ **Key Accomplishments**

- 100% success rate filing refunds through the State for utility state sales tax exemptions
- Uncovered, \$60,000 in LG&E electric rate schedule errors for a large insurance company in 2015
- Identified errors and recovered funds for 80% of the municipalities NUR audited in Pennsylvania
- Implemented a time-of-use rate schedule for Little Caesar's restaurants.

# **Ralph R. DiMaio**

6216 Vista Terrace • Orefield, PA 18069

Phone: 610.440.2300 Email: [Ralph@nationalutilityltd.com](mailto:Ralph@nationalutilityltd.com)

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## **Company Biography**

Member of National Utilities Refund, LLC, DBA National Energy, and lead auditor on energy efficiency, bringing over 30+ years as a consultant within the utility and construction industry. Ralph has a thorough background in water, sewer, and energy tariffs and he has broken down and redesigned some of the most complex manufacturing and waste water energy projects in the Northeast. With this experience, Ralph is able to bridge a connection between a client's energy consumption and the most cost efficient rate option by analyzing their run hours and machine use. In most states, a manufacturer may be entitled to sales tax exemption on their electric and natural gas; Ralph is experienced in calculating and filing the necessary documentation for a manufacturer to properly claim a partial or full state tax exemption on the utilities.

## **Company Experience**

**National Utilities Refund LLC DBA National Energy- Partner**  
1717 Main Street, 2<sup>nd</sup> Floor, Northampton PA 18067  
6216 Vista Terrace, Orefield PA 18069

**Nov 2011 – Present**

### **➤ Operations**

- Designing new sales and marketing material to expand into new markets
- Onsite customer visits to collect data on energy consumption
- Develop and engineer manufacturing energy tax exemptions

### **➤ Sales & Marketing**

- Track and Record sales results
- Post audit follow-up for customer satisfaction
- Develop new customer relationships and expand sales through trade associations

### **➤ Product Development**

- Capable of performing onsite visits to analyze energy consumption for lighting efficiency

### **➤ Audit Abilities**

- Engineer detailed energy consumption reports in order to show the electric or gas usage attributable to a plant's manufacturing process.
- Experienced verifying 3rd party energy supplier agreements to compare contractual rates to billed rates.
- Thoroughly educated on the state sales tax exemptions requirements for manufacturers in over 20 States, including Pennsylvania.
- Analyzes energy consumption at a facility to determine the best supply contract for the customer: fixed, variable, index, and block & index.

### **➤ Key Accomplishments**

- Audit with **Ultrasep** on water filtration technologies on separating contaminants from manufacturing processes.
- Designed drainage systems to handle drillings and steel scale for **Carpenter** technologies- reclassified rate schedule.
- Implemented digestion tanks for **Armstrong Flooring** to dispose toxins created from their manufacturing process.
- Consulting **The H&K Group** on controlling costs within their manufacturing processes.
- Identified a major rate schedule error on a **3M** modified Ink plant.



**EXHIBIT C**

1-10

**APPLICANT FINANCIAL CAPABILITY AND EXPERIENCE**

**Electric Power Broker Renewal**

National Utilities Refund  
**DBA National Energy**

Original Case #  
17-0065-EL-AGG

**EXHIBIT C**  
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## **EXHIBIT C-1**

### **Annual Reports**

National Utilities Refund DBA National Energy is a private company and is not required to issue Annual Reports.

## **EXHIBIT C-2**

### **SEC Filings**

National Utilities Refund DBA National Energy is a private company and not required to file with the SEC.

## **EXHIBIT C-3**

### **Financial Statements**

See attached for the 201 and 201 tax returns.

## **EXHIBIT C-4**

### **Financial Arrangements**

NOT APPLICABLE (N/A)

National Utilities Refund DBA National Energy is NOT taking title to the electricity or natural gas.

**EXHIBIT C-5**  
**Forecasted Financial Statement**

National Utilities Refund LLC  
**DBA National Energy**

Three-year Forecasted Ohio Electric Procurement Income Statement

<b>Preparer</b>	
Name	Vincent DiMaio
Address	143 Susquehanna Trail Allentown, PA 18104
Phone	610-462-9818

<b>Assumptions</b>	
Sales Growth Rate	35%
Tax Rate	25%
Sales Contractor Commissions	40% of Revenue

	<b>Dec. 31, 2019</b>	<b>Dec. 31, 2020</b>	<b>Dec. 31, 2021</b>
<b>REVENUE:</b>			
OH Electric Procurement Sales	\$52,500	\$70,875	\$95,681
<b>OPERATING EXPENSES:</b>			
Marketing & Promotions	\$800	\$1,000	\$1,500
Telephone Expense	\$1,560	\$1,607	\$1,655
Trade Shows	\$1,200	\$1,300	\$2,800
Travel & Maintenance Expense	\$800	\$850	\$900
Insurance Expenses	\$850	\$870	\$890
Web Development	\$1,294	\$300	\$305
Licensing	\$1,230	\$200	\$200
Sales Contractor Commissions	\$21,000	\$28,350	\$38,273
<b>TOTAL OPERATING EXPENSES</b>	<b>\$28,734</b>	<b>\$34,477</b>	<b>\$46,523</b>
NET INCOME (before tax)	\$23,766	\$36,398	\$49,159
Taxes (25%)	\$5,942	\$9,100	\$12,290
<b>NET INCOME (after tax)</b>	<b>\$17,825</b>	<b>\$27,299</b>	<b>\$36,869</b>
* Numbers are rounded to the nearest dollar.			

## **EXHIBIT C-6**

### **Credit Rating**

NOT APPLICABLE (N/A)

## **EXHIBIT C-7**

### **Credit Report**

National Utilities Refund does not have enough information for a D&B rating. Our D&B number is 08-014-7749.

Attached is the Experian summary credit report for National Utilities Refund, LLC. In addition, the Experian summary credit report is provided for the president of National Utilities Refund, Vincent DiMaio.





## NATIONAL UTILITIES REFUND, LLC

Report Date: 01/08/2019

### Accounts on file: NO

Your business has no tradeline accounts that are reporting to the Experian Business Credit Bureau and impacting your credit.

### Legal Filings and Collections: NO

Your business has no reported legal filings or collections that are impacting your credit.

#### Business Address:

6216 VISTA TER, OREFIELD, PA 18069

#### Key Personnel:

VINCENT DIMAIO, MANAGER

#### Industry (SIC Code): NOT

SUPPLIED: NOT SUPPLIED

A radically better way to improve your business's credit health  
and get the best funding.





**Vincent Dimaio**  
**Report Date: 01/08/2019**

**774/850 Excellent**

**Current Address:**

143 Susquehanna Trl, Allentown, PA 181048582

**Employer:**

Not provided by bureau

**Year of Birth:**

0

**AKA:**

No aliases reported.

**Former Addresses:**

6216 Vista Ter, Orefield, PA 180699062

567 Ponds Edge Ln, Allentown, PA 181049200

**Former Employers:**

No former employers reported.

**Here are the factors influencing your score:**

- You have too many inquiries on your credit report.
- Open real estate acct balances are too high compared to their loan amts
- Lack of sufficient credit history on bankcard or revolving accounts
- You have too many delinquent or derogatory accounts

**Summary:**

- **Total Credit Balance:** \$227,414.00
- **Total Monthly Payments:** \$2,317.00
- **Revolving Credit Limit:** \$17,800.00
- **Your Revolving Debt:** \$1,394.00
- **Amount Past Due:** \$0.00
- **Public Records:** 0
- **Total Accounts:** 35
- **Open Accounts:** 10
- **Negative Accounts:** 1
- **Past Due Accounts:** 0
- **Closed Accounts:** 25
- **Inquiries:** 2

A radically better way to improve your business's credit health  
and get the best funding.



## **EXHIBIT C-8**

### **Bankruptcy Information**

NONE. NOT APPLICABLE (N/A)

## **EXHIBIT C-9**

### **Merger Information**

NONE. NOT APPLICABLE (N/A)

## **EXHIBIT C-10**

### **Corporate Structure**

National Utilities Refund DBA National Energy is a stand-alone entity with no affiliate or subsidiary companies.