



DIS Case Number: 18-1816-EL-AGG

Section A: Application Information

A-1. Provider type:

☒ Power Broker ☐ Aggregator ☐ Retail Generation Provider ☐ Power Marketer

A-2. Applicant's legal name and contact information.

Legal Name: Energy Initiatives Inc **Country:** United States
Phone: 6103583721 **Extension (if applicable):** **Street:** PO Box 479
Website (if any): www.energyinitiatives.biz **City:** Chester Heights **Province/State:** PA
Postal Code: 19017

A-3. Names and contact information under which the applicant will do business in Ohio

Provide the names and contact information the business entity will use for business in Ohio. This does not have to be an Ohio address and may be the same contact information given in A-2.

Name	Type	Address	Active?	Proof
Energy Initiatives Inc	Official Name	P.O. BOX 479 CHESTER HEIGHTS, PA 19017	Yes	File

A-4. Names under which the applicant does business in North America

Provide all business names the applicant uses in North America, including the names provided in A-2 and A-3.

Name	Type	Address	Active?	Proof
Energy Initiatives Inc	Official Name	P.O. BOX 479 CHESTER HEIGHTS, PA 19017	Yes	File

A-5. Contact person for regulatory matters



Public Utilities Commission

Mike DeCarlo
41 Carter Way
Glen Mills, PA 19342-1256
US
energyinitiatives@msn.com
6103583721

A-6. Contact person for PUCO Staff use in investigating consumer complaints

Danielle Decarlo
41 Carter Way
Glen Mills, PA 19342-1256
US

8882384881

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

Phone: 6103583721	Extension (if applicable):	Country: United States
Fax:	Extension (if applicable):	Street: P.O. BOX 479
Email: energyinitiatives@msn.com		City: Glen Mills
		Province/State: PA
		Postal Code: 19342

A-8. Applicant's federal employer identification number

232851798

A-9. Applicant's form of ownership

Form of ownership: Corporation

A-10. Identify current or proposed service areas

Identify each service area in which the applicant is currently providing service or intends to provide service and identify each customer class that the applicant is currently serving or intends to serve.

Service area selection

AEP Ohio
Duke Energy Ohio

FirstEnergy - Cleveland Electric Illuminating
FirstEnergy - Ohio Edison
FirstEnergy - Toledo Edison
AES Ohio

Class of customer selection

Commercial
Industrial
Mercantile

A-11. Start date

Indicate the approximate start date the applicant began/will begin offering services: 01-01-2019

A-12. Principal officers, directors, and partners

Please provide all contacts that should be listed as an officer, director or partner.

Name	Email	Title	Address
Mike DeCarlo	energyinitiatives@msn.com		41 Carter Way Glen Mills, PA 19342-1256 US

A-13. Company history

Energy Initiatives specializes in energy efficient lighting and window systems. With 30 years of lighting and energy conservation experience, we provide the following services targeting the commercial office, retail, industrial and institutional markets.

- Consulting and planning
- Project Management and Construction Services
- Design
- Construction/Electrical Services
- Window Film
- Utility
- Financing

A-14. Secretary of State

Section B: Applicant Managerial Capability and Experience

B-1. Jurisdiction of operations

List all jurisdictions in which the applicant or any affiliated interest of the applicant is certified, licensed, registered or otherwise authorized to provide retail natural gas service or retail/wholesale electric service as of the date of filing the application..

Jurisdiction of Operation: DE - License #13-179

MD -License #IR-4009

NJ - License #EA-0141

PA- License #A2011-2247118, A-2013-2390657

B-2. Experience and plans

Describe the applicant's experience in providing the service(s) for which it is applying (e.g., number and type of customers served, utility service areas, amount of load, etc.). Include the 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 Sections 4928.10 and/or 4929.22 of the Ohio Revised Code.

Application Experience and Plan Description: Energy Initiatives plans to market directly to the commercial, industrial, and manufacturing markets. Energy Initiatives currently maintains a direct sales force to introduce its services to potential clients.

Energy Initiatives utilizes energy consultants and former utility persons to assist in the development of customer proposals and the training of its staff. Depending on the utility zone and product requirements. Energy Initiatives typically has a bi weekly sales meeting to set and adjust goals, handle customer issues and discuss new proposal product option. Technical training is an ongoing process with sessions scheduled on a monthly basis.

Energy Initiatives employs a Director of Technical Operations, a full time customer service representative, two full time field technicians and a part time customer service representative. Energy Initiatives has the capability to contract with outside energy consultants in such areas as rate analysis, training, etc.

Energy Initiatives Inc. has thirty plus years of experience servicing the energy service market in such areas of consulting, lighting services, window film, technology and energy brokerage services. Energy Initiatives has provided its' services to well over 200 clients.

B-3. Disclosure of liabilities and investigations

For the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant, describe all existing, pending or past rulings, judgments, findings, contingent liabilities, revocation of authority, regulatory investigations, judicial actions, or other formal or informal notices of violations, or any other matter related to competitive services in Ohio or equivalent services in another jurisdiction..

Liability and Investigations Disclosures: Does not apply.

B-4. Disclosure of consumer protection violations

Has the applicant, affiliate, predecessor of the applicant, or any principal officer of the applicant been convicted or held liable for fraud or for violation of any consumer protection or antitrust laws within the past five years?

No

B-5. Disclosure of certification, denial, curtailment, suspension or revocation

Has the applicant, affiliate, or a predecessor of the applicant had any certification, license, or application to provide retail natural gas or retail/wholesale electric service denied, curtailed, suspended, revoked, or cancelled or been terminated or suspended from any of Ohio's Natural Gas or Electric Utility's Choice programs within the past two years?

No

Section C: Applicant Financial Capability and Experience

C-1. Financial reporting

Provide a current link to the most recent Form 10-K filed with the Securities and Exchange Commission (SEC) or upload the form. If the applicant does not have a Form 10-K, submit the parent company's Form 10-K. If neither the applicant nor its parent is required to file Form 10-K, state that the applicant is not required to make such filings with the SEC and provide an explanation as to why it is not required.



Does not apply

C-2. Financial statements

Provide copies of the applicant's two most recent years of audited financial statements, including a 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, provide 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 bank account numbers redacted**.

If the applicant is unable to meet the requirement for two years of financial statements, the Staff reviewer may request additional financial information.

Preferred to file this information confidentially

C-3. Forecasted financial statements

Provide two years of forecasted income statements **based solely on the applicant's anticipated business activities in the state of Ohio**.

Include the following information with the forecast: a list of assumptions used to generate the forecast; a statement indicating that the forecast is based solely on Ohio business activities only; and the name, address, email address, and telephone number of the preparer of the forecast.

The forecast may be in one of two acceptable formats: 1) an annual format that includes the current year and the two years succeeding the current year; or 2) a monthly format showing 24 consecutive months following the month of filing this application broken down into two 12-month periods with totals for revenues, expenses, and projected net incomes for both periods. Please show revenues, expenses, and net income (revenues minus total expenses) that is expected to be earned and incurred in **business activities only in the state of Ohio** for those periods.

If the applicant is filing for both an electric certificate and a natural gas certificate, please provide a separate and distinct forecast for revenues and expenses representing Ohio electric business activities in the application for the electric certificate and another forecast



Public Utilities Commission

representing Ohio natural gas business activities in the application for the natural gas certificate.

Preferred to file confidentially

C-4. Credit rating

Provide a credit opinion disclosing the applicant's credit rating as reported by at least one of the following ratings agencies: Moody's Investors Service, Standard & Poor's Financial Services, Fitch Ratings or the National Association of Insurance Commissioners. If the applicant does not have its own credit ratings, substitute the credit ratings of a parent or an affiliate organization and submit 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 'Not Rated'.

This does not apply

C-5. Credit report

Provide a copy of the applicant's credit report from Experian, Equifax, TransUnion, Dun and Bradstreet or a similar credit reporting organization. If the applicant is a newly formed entity with no credit report, then provide a personal credit report for the principal owner of the entity seeking certification. At a minimum, the credit report must show summary information and an overall credit score. **Bank/credit account numbers and highly sensitive identification information must be redacted.** If the applicant provides an acceptable credit rating(s) in response to C-4, then the applicant may select 'This does not apply' and provide a response in the box below stating that a credit rating(s) was provided in response to C-4.

Preferred to file this information confidentially

C-6. Bankruptcy information

Within the previous 24 months, have any of the following filed for reorganization, protection from creditors or any other form of bankruptcy?

- Applicant
- Parent company of the applicant
- Affiliate company that guarantees the financial obligations of the applicant
- Any owner or officer of the applicant

No



C-7. Merger information

Is the applicant currently involved in any dissolution, merger or acquisition activity, or otherwise participated in such activities within the previous 24 months?

No

C-8. Corporate structure

Provide a graphical depiction of the applicant's corporate structure. Do not provide an internal organizational chart. The graphical depiction should include all parent holding companies, subsidiaries and affiliates as well as 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 the applicant may respond by stating that it is a stand-alone entity with no affiliate or subsidiary companies.

Stand-alone entity with no affiliate or subsidiary companies

Section D: Applicant Technical Capacity

D-1. Operations

Power brokers/aggregators: Include details of the applicant's business operations and plans for arranging and/or aggregating for the supply of electricity to retail customers.

Operations Description: Energy Initiatives plans to market directly to the commercial, industrial, and manufacturing markets. Energy Initiatives currently maintains a direct sales force to introduce its services to potential clients.

Energy Initiatives utilizes energy consultants and former utility persons to assist in the development of customer proposals and the training of its staff. Depending on the utility zone and product requirements. Energy Initiatives typically has a bi weekly sales meeting to set and adjust goals, handle customer issues and discuss new proposal product option. Technical training is an ongoing process with formal sessions scheduled on a monthly basis.

Energy Initiatives employs a Director of Technical Operations, a full-time customer service representative, two full time field technicians and a part time customer service representative. Energy Initiatives has the capability to contract with outside energy consultants in such areas as rate analysis, training, etc.

D-2. Operations Expertise & Key Technical Personnel

Given the operational nature of the applicant's business, provide evidence of the applicant's experience and technical expertise in performing such operations. Include the names, titles, e-mail addresses, and background of key personnel involved in the operations of the applicant's business.

Operations Expertise & Personnel Description: Energy Initiatives Inc.
Company Structure

Michael T. DeCarlo- President
Susan B. DeCarlo- Secretary
Nicholas J. DeCarlo- Director of Sales
Danielle DeCarlo – Office Manager
David Anzaldo- Manager of Field Technical Operations

Address
P.O. Box 479
Chester Heights, PA 19017
Phone - (610) 358-3721
Fax – (610) 558-3048
Email: energyinitiatives@msn.com

Michael T. DeCarlo

Professional Experience

9/97 to Present- President, Energy Initiatives Inc.

- o Responsible for the management and operation of Energy Initiatives Inc. primarily focusing on market and project development and the positioning of the company as a professional and high quality provider of energy services in the region.
- o Energy Initiatives Inc. has successfully developed energy conservation projects as part of the PECO Smart Ideas program, the New Jersey Standard Offer and Smart Start Programs as well as working with additional utilities in the development and execution of projects in the PEPCO, BG&E and Delmarva Utility Zones.



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6/89-9/97- National Sales Director of The Robert Group and Geissenberger Manufacturing Co.
Responsibilities included:

- o The recruitment, development and management of a regional sales force focused on the sale of turnkey energy efficient lighting products direct to the end user.
- o The development of a national sales agent organization focused on the sale of energy efficient lighting equipment through electrical distribution.
- o The development of over \$70,000,000 in equipment and project sales.
- o The reorganization and direction of the national sales agent program for Robert Manufacturing Co.
- o Sales and Marketing liaison to the Energy Control Products and Construction markets Divisions of the 3M Company.
- o Interfaced with Utility personnel and programs.

Company Accomplishments:

3M Energy Control Products Manufacturer of the Year (Volume Based, 1993, 1994)

Member 3M Energy Control Products Manufacturers/Distributors Advisory Council

PEPCO Energy Power Watchers Award (1993, 1994)

PSE&G Energy Performance Contractor/Energy Performance Network Member

Con Edison Apple Power Program

BG&E Conserve 2000 Contractor Network

9/84-6/89 – Area Manager, 3M Energy Control Products

Responsibilities included:

- o The development of the 3M Silverlux Manufacturing and Sales Network in the Eastern United States.
- o The recruitment, training and management of 3M dealer sales personnel.
- o Direct system sales to Fortune 500 Commercial and Top 100 Financial Accounts.
- o Indirect Management of distributor sales and marketing programs.
- o Utility company interface.

Exhibit Continued

Dave Anzaldo

P.E. Director of Field Technical Operations 9/97-Present

- o Responsible for the design, installation and operation of Utility Grade Monitoring Equipment Systems.
- o Responsible for the development and management of the highly/highest servers.
- o Responsible for the design/---engineering of Energy Efficient/Lighting agents.
- o Project management responsibilities.
- o Previously held the same position for:
 - ☐ The Robert Group: 1990-1997
 - ☐ Energy Performance Services 2000-2001

Provider of U6 Monitoring to the Curtailment Service Provider such as MAPP

Nicholas J. DeCarlo

Education

University of Delaware, BS
Finance and Marketing

Professional Experience

2007 to Present

- Responsible for the design and implementation of sales and marketing strategies on a regional basis.
- Develop and enhance manufacturer relations.
- Manage utility affairs.

2002 – 2007

- Sales Development.
- Utility program interface.



Public Utilities
Commission

Application Attachments



DATE	DOCUMENT ID	DESCRIPTION	FILING	EXPED	CERT	COPY
11/15/2018	201831802260	FOREIGN FOR PROFIT CORPORATION - LICENSE (FLF)	99.00	0.00	0.00	0.00

Receipt

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

ENERGY INITIATIVES INC
P.O. BOX 479
CHESTER HEIGHTS, PA 19017

STATE OF OHIO CERTIFICATE

Ohio Secretary of State, Jon Husted
4255094

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

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

Document(s)

Document No(s):

FOREIGN FOR PROFIT CORPORATION - LICENSE

201831802260

Effective Date: 11/13/2018

Authorization to transact business in Ohio is hereby given, until surrender, expiration or cancellation of this license.



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
15th day of November, A.D. 2018.

Ohio Secretary of State

Form 530A Prescribed by:

JON HUSTED
Ohio Secretary of State

Toll Free: (877) SOS-FILE (877-767-3453)

Central Ohio: (614) 466-3910

www.OhioSecretaryofState.govBusserv@OhioSecretaryofState.gov

File online or for more information:

www.OHBusinessCentral.com**Mail this form to one of the following:**

Regular Filing (non expedite)

P.O. Box 670

Columbus, OH 43216

Expedite Filing (Two business day processing time.

P.O. Box 1390 Requires an additional \$100.00.)

Columbus, OH 43216

For screen readers, follow instructions located at this path.

Foreign For-Profit Corporation Application for License**Filing Fee: \$99****(151-FLF)****Form Must Be Typed**

NOV 13 2018

SECRETARY OF STATEThe application is made to procure a ☒ Permanent License ☐ Temporary License (valid for six months)**Attach Certificate of Good Standing from the jurisdiction of formation (see instructions)**Name of Corporation **Energy Initiatives Inc**

(Name must match the name on the Certificate of Good Standing)

Assumed name under which the corporation will do business, if its corporate name is not available in Ohio
(Must attach "Resolution of Foreign Corporation to Qualify Under An Assumed Name" Form 591)**Energy Initiatives Inc**Under the Laws of the Jurisdiction of
(Jurisdiction of Formation)**PA****USA**

State

Country

Date of Incorporation in Jurisdiction of Formation

11/30/1995

Date of Incorporation

The location of the principal office is:

PO BOX 479

Mailing Address

Chester Heights

City

PA

State

USA

Country

19017

ZIP Code

If the principal office is located outside Ohio, provide a location in Ohio, if one exists.

Mailing Address

City

State

ZIP Code

A brief summary of the corporate purpose(s) to be exercised within Ohio

Energy Initiatives Inc will provide energy broker services.

Appointment of Agent

The corporation hereby appoints the following as its statutory agent upon whom process against the corporation may be served in Ohio.

Registered Agents Inc

Agent Name

6545 Market Ave North STE 100

Mailing Address

North Canton

City

Ohio

State

44721

ZIP Code

The entity above irrevocably consents to service of process on the agent listed above as long as the authority of the agent continues, and to service of process upon the Ohio Secretary of State if:

- A. an agent is not appointed, or
- B. an agent is appointed but the authority of that agent has been revoked, or
- C. the agent cannot be found or served after the exercise of reasonable diligence.

Pursuant to Ohio Revised Code 1703.29(A), a foreign corporation may be required to pay an additional \$250 fee if the application is being made to enable the corporation to prosecute or defend a legal action. Please see the Ohio Revised Code or Instructions for more information.

- ☒ No, the corporation is not filing for this purpose and an additional fee is not included.
- ☐ Yes, the application is being filed for this purpose and the additional \$250 fee is included with the filing fee.

If yes then:

Pursuant to Ohio Revised Code 1703.29 (B), a foreign corporation that began transacting business in Ohio prior to 2009 without a license may be required to provide a certificate from the tax commissioner which states that the corporation has paid all franchise taxes which it should have paid had it qualified to do business in this state.

Did the corporation begin transacting business in Ohio prior to 2009 without obtaining a license?

- ☐ Yes, the Certificate of Tax Clearance from the tax commissioner is attached.
- ☒ No, the corporation began transacting business in 2009 or later, therefore, a Certificate of Tax Clearance is not required.

Michael DeCarlo

Name of Officer

, being first duly sworn, deposes and says that he/she is the

President

of

Energy Initiatives Inc

Officer Title

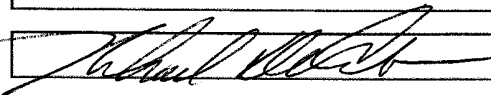
Corporation

the corporation described in the foregoing application, and that the statements contained in said application are true and correct to best of my knowledge and belief.

Name

Michael DeCarlo

Signature

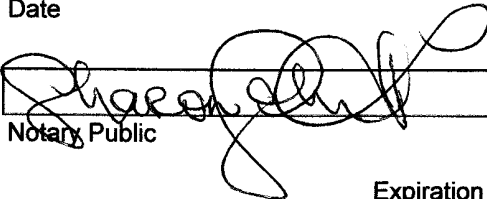


Sworn before me and subscribed on

11/8/18

Date

Notary Public



NOTARY SEAL

Expiration Date of Notary's Commission

COMMONWEALTH OF PENNSYLVANIA

NOTARIAL SEAL

SHARON SCHMITT

Notary Public

UPPER CHICHESTER TWP, DELAWARE COUNTY

My Commission Expires Jul 14, 2020

07/14/20

Date

Form 591 Prescribed by:

JON HUSTED
Ohio Secretary of State



Toll Free: (877) SOS-FILE (877-767-3453) | Central Ohio: (614) 466-3910
www.OhioSecretaryofState.gov | Busserv@OhioSecretaryofState.gov
File online or for more information: www.OHBusinessCentral.com

Statement of Foreign Corporation to Qualify Under an Assumed Name

Form Must Be Typed

The undersigned hereby certifies that

Energy Initiatives Inc

Name of Corporation

a foreign corporation desiring a license to transact business in Ohio, is hereby directed to make application for a license to transact business in Ohio

under the assumed name of Energy Initiatives Inc

and that the corporation will transact business in Ohio only under such assumed name.

Officer Signature

A handwritten signature in black ink, appearing to read "Michael DeCarlo", written over a horizontal line.

Print Name

Michael DeCarlo

Print Title

President

This form is required to be submitted with Form 530A, Foreign For-Profit Corporation Application for License if an assumed named was provided. See ORC 1703.04(c)(2) for more information.

COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF STATE

11/02/2018

TO ALL WHOM THESE PRESENTS SHALL COME, GREETING:

I DO HEREBY CERTIFY THAT,

ENERGY INITIATIVES, 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

Robert Lanes

Acting Secretary of the Commonwealth

Certification Number: TSC181102151441-1

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

Competitive Retail Electric Service Affidavit

County of Delaware :

State of PA :

Michael T. DeCarlo Affiant, being duly sworn/affirmed, hereby states that:

1. The information provided within the certification or certification renewal application and supporting information is complete, true, and accurate to the best knowledge of affiant, and that it will amend its application while it is pending if any substantial changes occur regarding the information provided.
2. The applicant will timely file an annual report of its intrastate gross receipts, gross earnings, and sales of kilowatt-hours of electricity pursuant to Sections 4905.10(A), 4911.18(A), and 4928.06(F), Ohio Revised Code.
3. The applicant will timely pay any assessment made pursuant to Sections 4905.10, 4911.18, and 4928.06(F), Ohio Revised Code.
4. The applicant will comply with all applicable rules and orders adopted by the Public Utilities Commission of Ohio pursuant to Title 49, Ohio Revised Code.
5. The applicant 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 will fully comply with Section 4928.09, Ohio Revised Code regarding consent to the jurisdiction of Ohio Courts and the service of process.
7. The applicant will comply with all state and/or federal rules and regulations concerning consumer protection, the environment, and advertising/promotions.
8. The applicant 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.
9. The applicant 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, 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.
11. The Applicant will inform the Public Utilities Commission of Ohio of any material change to the information supplied in the 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 consumer complaints.

12. The facts set forth above are true and accurate 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.

13. Affiant further sayeth naught.

[Signature]
Signature of Affiant & Title

Sworn and subscribed before me this 18 day of January, 2023

Month Year

[Signature]
Signature of official administering oath

Rachel Miccarelli, Notary
Print Name and Title

Commonwealth of Pennsylvania - Notary Seal
Rachel L. Miccarelli, Notary Public
Delaware County
My Commission Expires October 23, 2026
Commission Number 1341870

My commission expires on 10/23/2026

**This foregoing document was electronically filed with the Public Utilities
Commission of Ohio Docketing Information System on**

1/27/2023 1:40:45 PM

in

Case No(s). 18-1816-EL-AGG

Summary: In the Matter of the Application of Energy Initiatives Inc