



ENERGY BROKER AND ENERGY CONSULTANT
REGISTRATION FORM

Pursuant to the Public Service Commission's Order Adopting Energy Broker and Energy Consultant Registration Requirements in Case 23-M-0106 and the Uniform Business Practices edits adopted in that order, Energy Brokers¹ and Consultants² are required to submit this form. Direct Employees of an Energy Broker or Energy Consultant are not required to submit this form as long as a registered Energy Broker or Energy Consultant is responsible for ensuring compliance.

**FILL OUT AND SUBMIT THIS FORM IN MATTER 23-01227
IN THE MATTER OF REGISTRATION FOR ENERGY
BROKERS AND CONSULTANTS³**

(Attach additional sheets as necessary)

1. Business Information

Business Name: Slattery Energy Consulting Group Inc.
Address: 583 Ocean Ave
City: Massapequa State: NY Zip 11758
Telephone: 516-551-4007 Website: slatteryenergy.com

¹ Energy Broker is defined within the UBP as "A non-utility entity that performs energy management or procurement functions on behalf of customers or ESCOs, and (1) that assumes the contractual and legal responsibility for the sale of electric supply service, transmission or other services to end-use retail customers, but does not take title to any of the electricity sold, and does not make retail energy sales to customers, or (2) that assumes the contractual and legal obligation to provide for the sale of natural gas supply service, transportation or other services to end-use retail customers, but does not take title to any of the natural gas sold, and does not make retail energy sales to customers."

² Energy Consultant is defined with in the UBP as "any person, firm, association or corporation who acts as broker in soliciting, negotiating or advising any electric or natural gas contract, or acts as an agent in accepting any electric or natural gas contract on behalf of an ESCO."

³ Instructions on registering and filing are available at <https://dps.ny.gov/dmm-help-electronic-filing-registration-instructions>

If you intend to market your services under a DBA, provide a copy of your certificate of assumed name and list the name(s) here: _____

Type of Provider:

Energy Broker Energy Consultant Both

Nature of business being conducted:

Type of customers: (Check all that apply)

Residential _____ Large Commercial
Industrial _____ Small Commercial

Provide the contact information for any affiliates conducting energy-related business (including subsidiaries and parent corporations) within New York State or elsewhere.

Business Name: NA

Contact Name: _____

Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____ Fax: _____

Email Address: _____

Provide the contact information for any parent company or other corporate entity with an ownership interest of 10 percent or more of the registrant:

Business Name: NA

Contact Name: _____

Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____ Fax: _____

Email Address: _____

During the previous 36 months, have any criminal or regulatory sanctions been imposed on the registrant, any senior officer of the registrant, any corporate entity with an ownership interest of 10 percent or any energy affiliates listed above?

Yes _____

No _____

If yes, identify the entities or individuals subject to sanctions and provide a detailed explanation of the sanctions:

NA

Disclose any decisions or pending escalated regulatory actions in other states that affect the registrant's ability to operate in that state, such as suspension, revocation, or limitation of operating authority:

NONE

List and describe any current formal investigations involving the registrant being conducted by law enforcement or regulatory entities:

NONE

List and explain any acquisitions, mergers, dissolutions, or bankruptcy involving the registrant that occurred in the previous 36 months:

NONE

List and describe of any security breaches associated with customer proprietary information in the last 36 months that involved the registrant, including a thorough description of the actions taken in response to any such instances:

NONE

List all states in which the registrant has received authority to sell/broker services within the past 36 months. Indicate whether the registrant is actively providing services or not:

State:	<u>NA</u>	Status:	_____	Date Issued:	_____
State:	<u>NA</u>	Status:	_____	Date Issued:	_____
State:	<u>NA</u>	Status:	_____	Date Issued:	_____
State:	<u>NA</u>	Status:	_____	Date Issued:	_____
State:	<u>NA</u>	Status:	_____	Date Issued:	_____
State:	<u>NA</u>	Status:	_____	Date Issued:	_____

List all states in which registrant or its affiliates has been denied approval and/or had authority revoked:

NONE

List all municipalities in which the registrant will be performing door-to-door marketing activities in New York State Further provide an attachment including all municipality permits obtained by the registrant.

NONE

2. Contact Information

The contacts listed below must be direct contacts for individuals, not for a shared mailbox or general phone number.

Executive Contact (Owner, CEO, or Executive responsible for New York service)

Name and Title: James Slattery, President and CEO

Address: 583 Ocean Ave

City: Massapequa State: NY Zip: 11758

Telephone: 516-551-4007 Fax: 516-804-2003

Email Address: jim@slatteryenergy.com

Regulatory Contact (Individual(s) Responsible for Ensuring Compliance with Regulatory Requirements)

Name and Title: Same as above

Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____ Fax: _____

Email Address: _____

Marketing Contact (Individual(s) Responsible for Responding to Consumer Inquiries and Complaints)

Name and Title: Same as above

Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____ Fax: _____


Email Address: _____

3. Additional Requirements
(Required for New Registrants)

- A sample standard Agreement between the Energy Broker or Energy Consultant and the customer;
- Sample forms of the notices sent upon assignment of sales agreements, discontinuance of service, or transfer of customers to other providers;
- Procedures used to obtain customer authorization for access to a customers' historic usage or credit information;
- Information on the methods by which the applicant intends to market energy products and services;
- Sample copies of informational and promotional materials that the applicant uses for mass marketing purposes;
- Sample disclosures of compensation;
- Proof of registration with the New York State Department of State or proof of an assumed name certificate (DBA) filed with the county clerk;
- Proof of registration to act as a marketer in any municipality where such registration is required;
- An annual \$500 registration fee;
- Proof of an irrevocable standby letter of credit held with a reputable financial institution that identifies that Department as the beneficiary in the amount of:
 - \$100,000 for registering Energy Brokers; and
 - \$50,000 for registering Energy Consultants;
- A completed Service Provider Contact Form, which can be found here, identifying the Energy Broker or Energy Consultant's employee(s) responsible for resolving consumer complaints received by the Department and referred to the Energy Broker or Energy Consultant

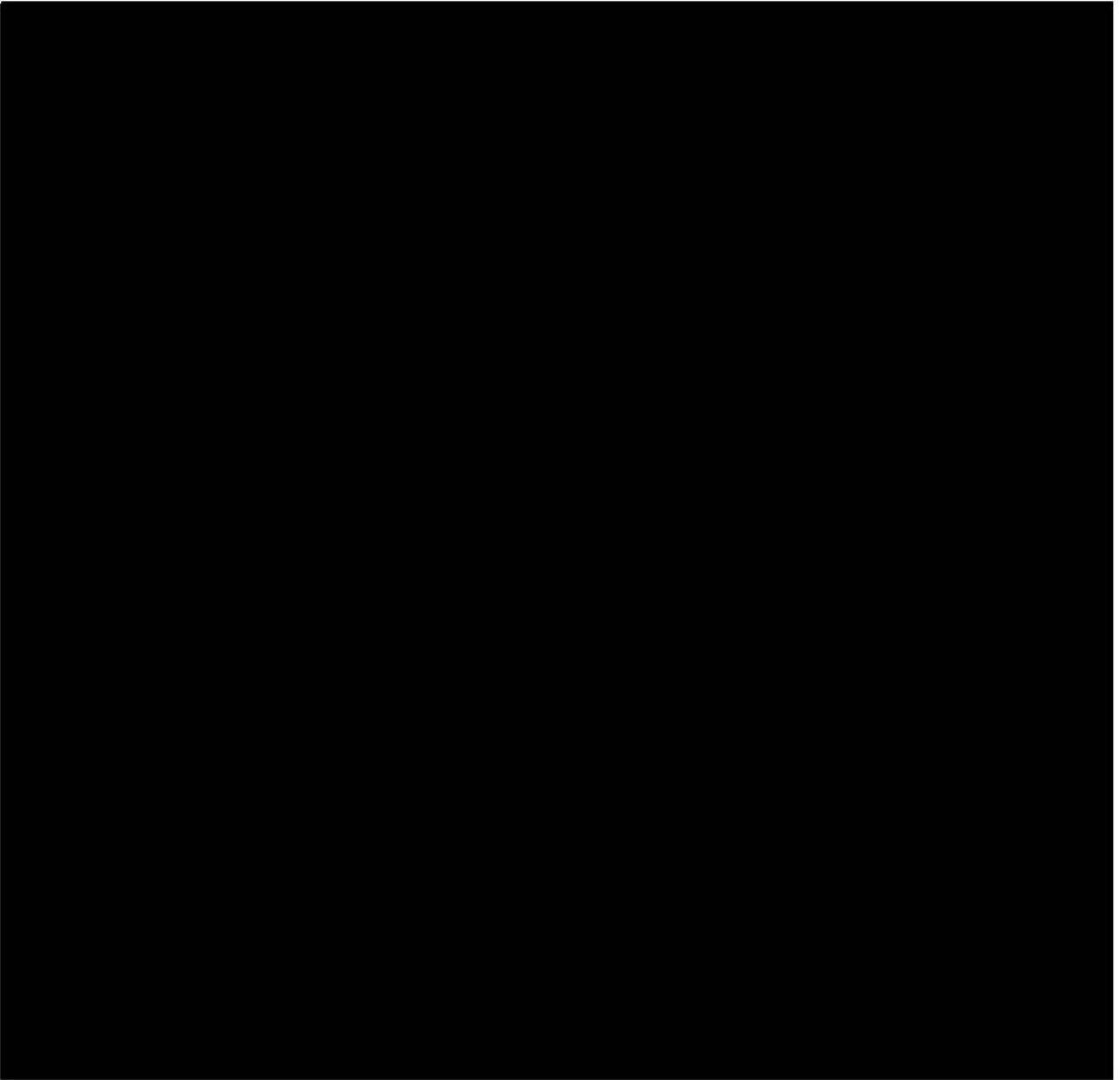
4. Signature

The person signing this application attests to the following: that she or he is an owner, partner, or officer of the business named on this registration package, the answers and materials contained in this registration package are true and the registration package submitted is complete and accurate. An Energy Broker or Consultant that knowingly makes false statements in this registration package is subject to denial or revocation of eligibility.

Signature:  Print Name: James Slattery
Title: CEO & PRESIDENT Date: 5/23/2024
Company Name: SLATTERY ENERGY CONSULTING GROUP INC

**SAMPLE STANDARD AGREEMENT BETWEEN ENERGY
CONSULTANT AND CUSTOMER**

To Whom It May Concern,



See Page two for account number(s).

Sincerely,

Name

Signature

Title

Date

Electric Account(s)

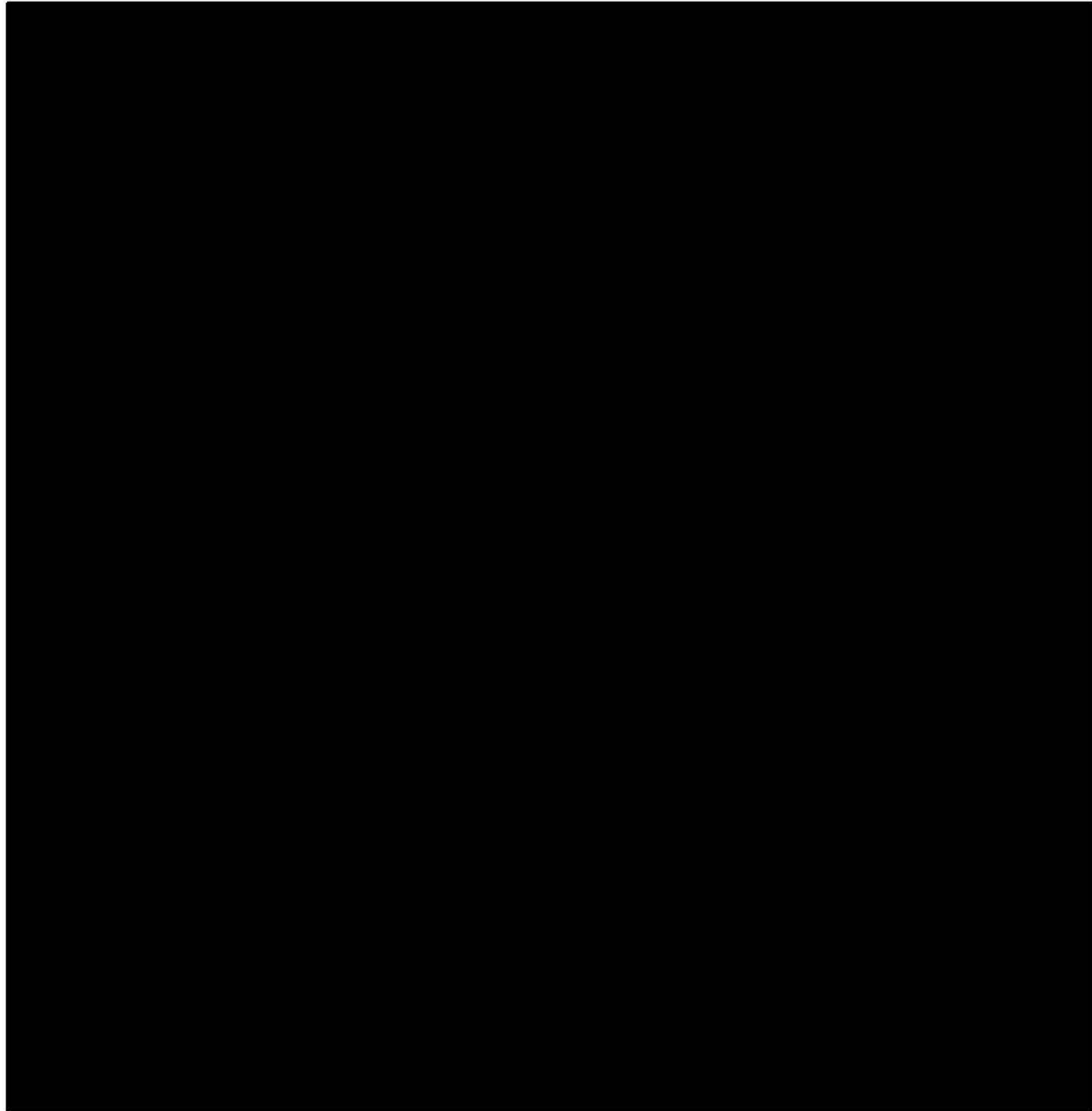
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Initial

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Initial



Slattery/CHIP Energy Program Intake Form

* Required

Slattery Energy Consulting Group's fee of \$0.0200 per therm or \$0.002 per kWh is included in the final rate charged to the customer.

1. Management Name *

2. Question *

3. Management Office Address: *

(Street Address, Suite, City, State, Zip)

4. Management Office Phone Number: *

(xxx-xxx-xxxx, extension)

5. Email Address: *

6. Contact Name: *
(First Name, Last Name)

7. Contact Email: *

8. Contact Cell Phone: *

9. Best method for follow-up: *
(You may select more than one option)

- Email
- Phone
- Zoom/Teams/WebEx Meeting
- In-person Meeting

10. Please select interested commodities: *
(You may select more than one option)

- Natural Gas
- Electricity
- Heating Oil

11. Number of buildings owned/managed: *

The value must be a number

12. Number of units owned/managed: *

The value must be a number

This content is neither created nor endorsed by Microsoft. The data you submit will be sent to the form owner.

 Microsoft Forms

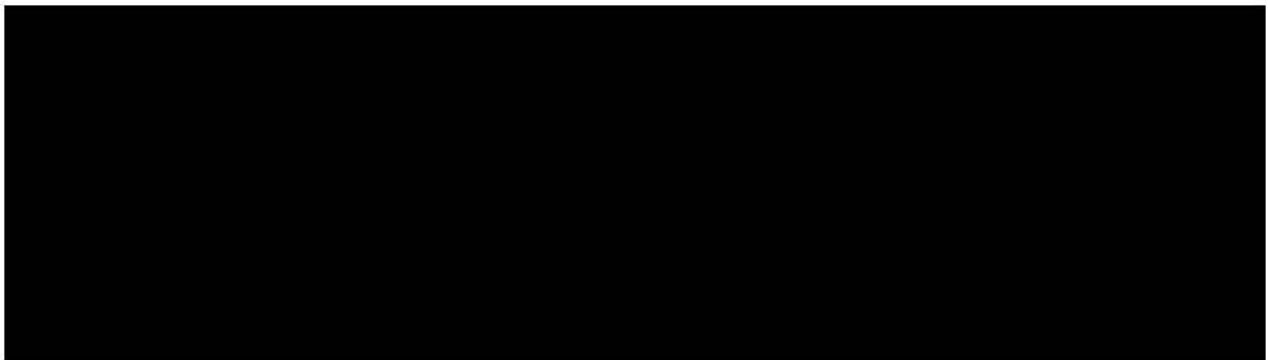
SAMPLE FORMS OF NOTICES



SLATTERY
ENERGY GROUP

Contact Name
Entity Name
Address, Suite #
City, State, Zip Code

Date



Yours sincerely,

James Slattery



P: (516) 551-4007
F: (516) 804-2003



jim@slatteryenergy.com



www.slatteryenergy.com



583 Ocean Avenue
Massapequa NY, 11758






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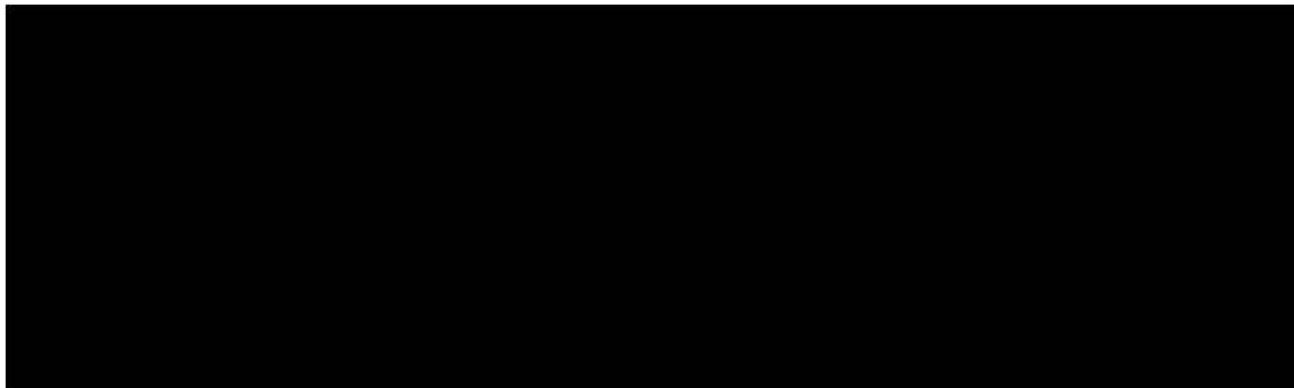
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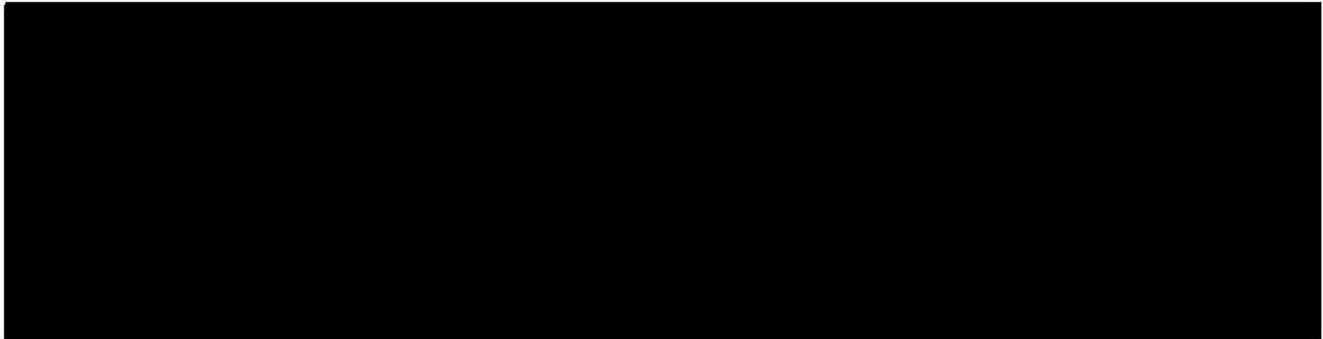
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583 Ocean Avenue
Massapequa NY, 11758

**PROCEDURES USE TO OBTAIN CUSTOMER AUTHORIZATION FOR ACCESS
TO A CUSTOMER'S HISTORIC USAGE AND CREDIT INFORMATION**

To Whom It May Concern,



See Page two for account number(s).

Sincerely,

Name

Signature

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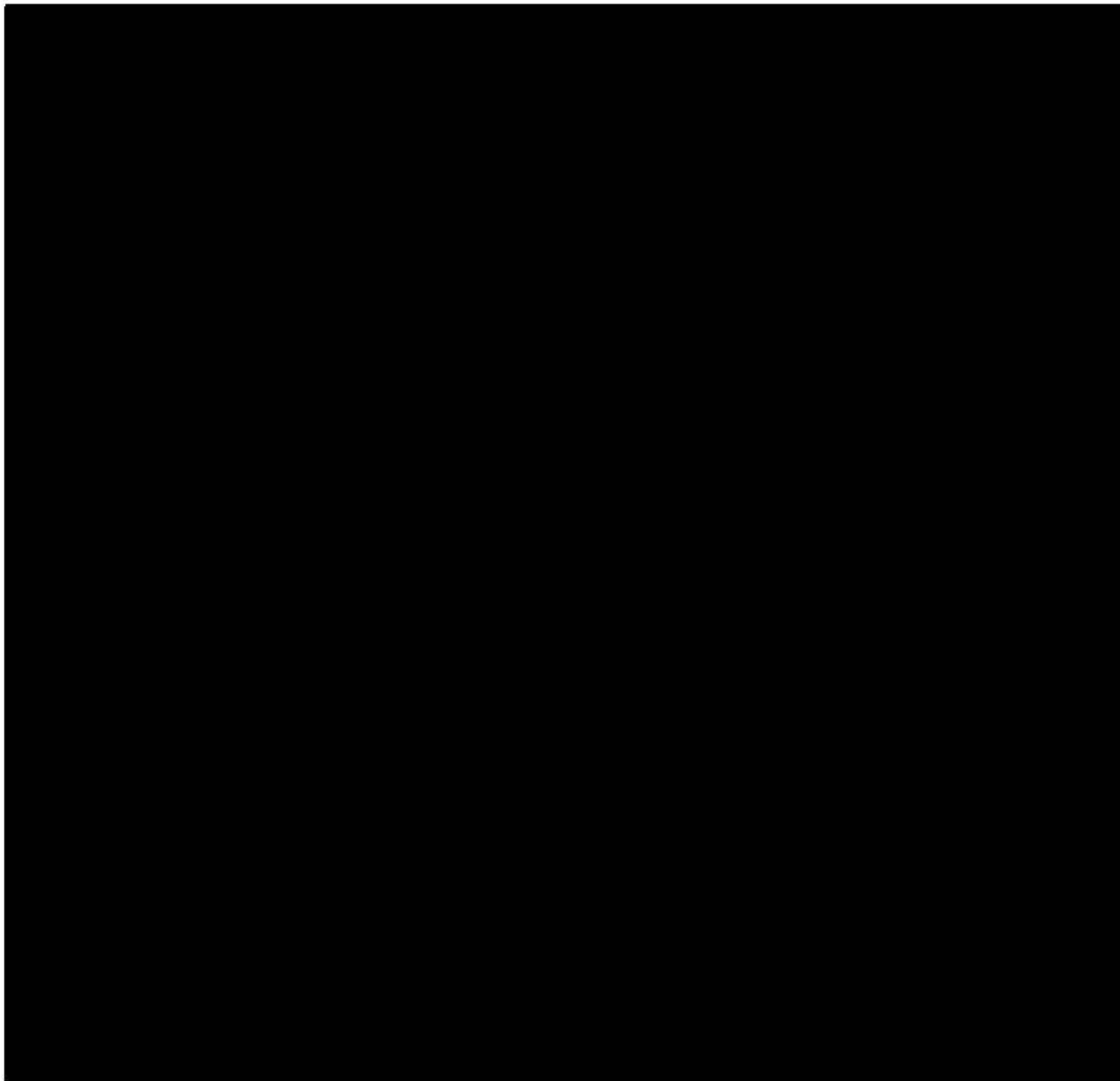
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Initial

**INFORMATION ON THE METHODS BY WHICH APPLICANT INTENDS TO MARKET ENERGY
PRODUCTS AND SERVICES**

Marketing Methods Used by Slattery Energy Consulting Group Inc.

- Slattery Energy Consulting Groups markets on a word or mouth and referral basis. Slattery Energy has established relationships through owners and managers of multifamily properties. Jim Slattery's 36 years of experience and service to the multifamily market throughout the NYC, Westchester and Long Island territories.
- Educational materials can be found on our website and social media profiles.
- Slattery Energy Consulting Group has a relationship with Community Housing Improvement Program ("CHIP"). CHIP is a trade association for owners of rent-stabilized properties across New York City's five boroughs. When CHIP sends out email blasts to its members consisting of certain informational materials, such as newsletters, it includes the banner below.

Fired Up About Energy Prices?

CHIP has a plan to cushion the impact of recent energy spikes on our members: a partnership with **Slattery Energy** to help with utility bills. More information to follow, but for members who want to get a jump on the opportunity, please complete the 10-question intake form [here](#).



**SAMPLE COPIES OF INFORMATIONAL AND PROMOTIONAL MATERIALS THAT
APPLICANT USES FOR MASS MARKETING PURPOSES**



SLATTERY
ENERGY GROUP

All Slattery Energy Marketing material can be found on the Slattery Energy Website.

www.slatteryenergy.com



P: (516) 551-4007
F: (516) 804-2003



jim@slatteryenergy.com



www.slatteryenergy.com



583 Ocean Avenue
Massapequa NY, 11758

Fired Up About Energy Prices?

CHIP has a plan to cushion the impact of recent energy spikes on our members: a partnership with **Slattery Energy** to help with utility bills. More information to follow, but for members who want to get a jump on the opportunity, please complete the 10-question intake form [here](#).



SAMPLE DISCLOSURE OF COMPENSATION



**PROOF OF REGISTRATION WITH NEW YORK STATE
DEPARTMENT OF STATE**

ONLINE FILING RECEIPT

ENTITY NAME: SLATTERY ENERGY CONSULTING GROUP INC.

DOCUMENT TYPE: INCORPORATION (DOM. BUSINESS)

COUNTY: NASS

FILED:09/30/2020 DURATION:PERPETUAL CASH#:200930010780 FILE#:200930010780
DOS ID:5848094

FILER:

EXIST DATE

BUSINESS FILINGS INCORPORATED
8020 EXCELSIOR DR.
SUITE 200
MADISON, WI 53717

09/30/2020

ADDRESS FOR PROCESS:

JAMES SLATTERY
583 OCEAN AVE.
MASSAPEQUA, NY 11758

REGISTERED AGENT:

JAMES SLATTERY
583 OCEAN AVE.
MASSAPEQUA, NY 11758

STOCK: 200 NPV



The corporation is required to file a Biennial Statement with the Department of State every two years pursuant to Business Corporation Law Section 408. Notification that the Biennial Statement is due will only be made via email. Please go to www.email.ebiennial.dos.ny.gov to provide an email address to receive an email notification when the Biennial Statement is due.

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SERVICE COMPANY: BUSINESS FILINGS INCORPORATED-M9
SERVICE CODE: M9

FEE:	135.00	PAYMENTS	135.00
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FILING:	125.00	CHARGE	0.00
TAX:	0.00	DRAWDOWN	135.00
PLAIN COPY:	0.00		
CERT COPY:	10.00		
CERT OF EXIST:	0.00		

3249917

DOS-1025 (04/2007)

Authentication Number: 2009301028 To verify the authenticity of this document you may access the Division of Corporation's Document Authentication Website at <http://ecorp.dos.ny.gov>

STATE OF NEW YORK

DEPARTMENT OF STATE

I hereby certify that the annexed copy has been compared with the original document in the custody of the Secretary of State and that the same is true copy of said original.



WITNESS my hand and official seal of the Department of State, at the City of Albany, on September 30, 2020.

Brendan C. Hughes

Brendan C. Hughes
Executive Deputy Secretary of State

**CERTIFICATE OF INCORPORATION
OF**

Slattery Energy Consulting Group Inc.

Under Section 402 of the Business Corporation Law

I, the undersigned, a natural person of at least 18 years of age, for the purpose of forming a corporation under Section 402 of the Business Corporation Law of the State of New York hereby certify:

FIRST: The name of the corporation is:

Slattery Energy Consulting Group Inc.

SECOND: This corporation is formed to engage in any lawful act or activity for which a corporation may be organized under the Business Corporation Law, provided that it is not formed to engage in any act or activity requiring the consent or approval of any state official, department, board, agency or other body without such consent or approval first being obtained.

THIRD: The county, within this state, in which the office of the corporation is to be located is NASSAU.

FOURTH: The total number and value of shares of common stock which the corporation shall have authority to issue is: 200 SHARES WITH NO PAR VALUE.

FIFTH: The Secretary of State is designated as agent of the corporation upon whom process against it may be served. The address within or without this state to which the Secretary of State shall mail a copy of any process against the corporation served upon him or her is:

James Slattery
583 Ocean Ave.
Massapequa, NY 11758

SIXTH: The corporation designates the following as its registered agent upon whom process against it may be served within the State of New York is:

James Slattery
583 Ocean Ave.
Massapequa, NY 11758

SEVENTH: The corporation shall have a perpetual existence.

I certify that I have read the above statements, I am authorized to sign this Certificate of Incorporation, that the above statements are true and correct to the best of my knowledge and belief and that my signature typed below constitutes my signature.

James Slattery (signature)

James Slattery, INCORPORATOR
583 Ocean Ave.
Massapequa, NY 11758

Filed by:

Business Filings Incorporated
8020 EXCELSIOR DR.
SUITE 200
MADISON, WI 53717

**BUSINESS FILINGS INCORPORATED (M9)
DRAWDOWN
CUSTOMER REF# 3249917**

**FILED WITH THE NYS DEPARTMENT OF STATE ON: 09/30/2020
FILE NUMBER: 200930010780; DOS ID: 5848094**

**PROOF OF REGISTRATION TO ACT AS A MARKET IN
MUNICIPALITIES WHERE REGISTRATION IS REQUIRED**

NA

REGISTRATION FEE

Sent under separate cover.

IRREVOCABLE STANDBY LETTER OF CREDIT

Sent under separate cover.

SERVICE PROVIDER CONTACT FORM



New York State Public Service Commission
Office of Consumer Services
Service Provider Contact Information

Completed forms should be submitted to OCS.OPERATIONS@DPS.NY.GOV

Date 4/29/2024

Company Name slattery Energy Consulting Group Inc

Service Type (Check all that apply): Gas Elec ESCO Cable TV
Water ILEC CLEC Toll Only Other _____

President James Slattery
Mailing Address 583 Ocean Avenue
Massapequa NY 11758
Email Address Jlm@slatteryenergy.com
Phone Number 516-551-4007 Fax Number 516-804-2003

Vice President / Director of Customer Service _____
Mailing Address _____

Email Address _____
Phone Number _____ Fax Number _____

Primary Regulatory Complaint Manager _____
Mailing Address _____

Email Address _____
Phone Number _____ Fax Number _____

Secondary Regulatory Complaint Manager _____
Mailing Address _____

Email Address _____
Phone Number _____ Fax Number _____

The PSC electronically transmits consumer complaints to service providers. You must identify a fax number and/or an email address box that is shared by a group of people. (NOTE: WE WILL NOT SEND COMPLAINTS TO PERSONAL EMAIL ADDRESSES. A SHARED EMAIL ADDRESS MUST BE IDENTIFIED OR THE TRANSMISSION WILL DEFAULT TO THE FAX NUMBER) Please identify the address/es to which we should transmit our complaints:

Email: jlm@slatteryenergy.com Fax: 516-804-2003