

**Cardinal Energy Solutions Group**

**Energy Consultant**

**Richard E Kline**

**5932 Kennebec Court**

**Farmington, NY 14425**

**Cell: 315-247-7767**

**Email: [kliner56@outlook.com](mailto:kliner56@outlook.com)**

**Hon. Ms. Michelle L. Phillips**

**Secretary to the Commission**

**New York State Public Service Commission**

**Agency Building 3**

**Albany, NY 12223-1350**

**RECEIVED**

**OCT - 9 2025**

**Public Service Commission  
Office of the Secretary**

**Subject: Energy Consultant Registration -Matter 25-00092**

**To: Hon. Ms. Michelle L. Phillips**

**SUMMARY**

I am a sole proprietor and have been an energy consultant since June 14, 2016, as Cardinal Energy Solutions Group. I have been working with ESCO New Wave Energy ([www.nwaveenergy.com](http://www.nwaveenergy.com)) for about nine years.

**My Role:** To identify commercial, college/university, health care and airport organizations that have an interest in obtaining a second opinion on their electric and natural gas prices. I also can offer renewable energy where desired. If there is interest, I will work directly with New Wave Energy.

**How I Obtain New Energy Clients:** I receive referrals from Chamber of Commerce and various organizations I am involved with locally. I identify various commercial markets on Google with contact information for the businesses I would like to have as an energy client.

I begin my call with these businesses by identifying who I am and who I represent. My approach is very basic. I explain the purpose of my call. I would like the opportunity to earn your energy business. With your permission I would like to send you some information about New Wave Energy and follow up in two weeks and address any questions that you may have and see if there is any interest in providing a second opinion on your energy costs. I will ask who their energy supplier is and when their energy agreement expires and whether they are with a utility or ESCO.

**Sales Process:** If a prospect has an interest in a second opinion, I will request a copy of their most recent energy bill. If they have an ESCO I request a copy of their energy agreement so I can determine when the agreement expires. When I receive all the information I requested, I forward this information to my contact at New Wave Energy who will develop the various pricing options for electric and natural gas, such as, term of contract, variable or fixed rate. I forward this price to the prospect and will review in person or set up a call to review the price and term options. I always take **5-10 minutes to educate the prospect on Energy 101** prior to the pricing review. Topics, such as, how rates are developed in New York, difference between fixed and variable rates and what is an adder etc. My compensation will be included in the rate and will also be shared with the prospect on the presentation. My maximum for electricity is \$.002/kwh and natural gas maximum of \$.015/therm . If the prospect decides to do business with me, I will call New Wave Energy and they will develop the energy agreement and send it directly to the prospect for review and signature if the prospect has any question New Wave Energy will address them.

**Energy Markets** I serve I do not market to residential energy customers, no mass mailings, no door-to-door marketing/selling. I only use marketing material provided to me by New Wave Energy. I do not develop my own marketing pieces.

My direct involvement with the prospect/client is very limited. My role is to bring a prospect to New Wave Energy that meets their qualifications for an energy proposal. I have very limited to no involvement in energy pricing, contract development and explanation, I will review with New Wave Energy any service issues they may have. .

If you need any additional information, please advise.

Richard E Kline

Energy Consultant

Cardinal Energy Solutions Group

5932 Kennebec Court

Farmington, NY 14425

Cell: 315-247-7767

Email: [kliner56@outlook.com](mailto:kliner56@outlook.com)

Date: 10/6/25

Signature:

A handwritten signature in black ink, appearing to read "Richard E. Kliner". The signature is written in a cursive style with a large initial "R" and a stylized "E".



# Department of Public Service

## ENERGY BROKER AND ENERGY CONSULTANT REGISTRATION FORM 23-01227

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 Brokers<sup>1</sup> and Consultants<sup>2</sup> are required to submit this form.

COMPLETE THIS FORM AND SUBMIT IN MATTER 23-01227 IN THE MATTER OF  
REGISTRATION FOR ENERGY BROKERS AND CONSULTANTS

E-FILING INSTRUCTIONS CAN BE FOUND AT:

<https://dps.ny.gov/filing-documents-secretary>

### 1. BUSINESS INFORMATION

Business Name: Cardinal Energy Solutions Group

Address: 5932 Kennebec Court

City: Farmington State: NY Zip Code: 14425

Company Phone Number: (516) 315-2477 Website Address: www.CardinalEnergySolutionsGroup.com

Email Address: Kline@56PointLook.com

<sup>1</sup> 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."

<sup>2</sup> Energy consultant is defined within the UBP as "any person, firm, association or corporation who acts as a 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."

(BUSINESS INFORMATION CONTINUED)

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: (See attached)

Richard E. Kline DBA Cardinal Energy Solution Group.

Type of Provider: Energy Broker ☐ Energy Consultant ☒ Both ☐

Nature of business being conducted: Energy Pricing - Renewable - Energy options

Type of customers: (check all that apply)

Residential ☐ Small Commercial ☒ Large Commercial/Industrial ☒

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 Code: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Email Address: Kline@56.com Outlook.com

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: NA

Address: NA

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

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 ☒

**(BUSINESS INFORMATION CONTINUED)**

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:

NA

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

NA

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

NA

List and describe 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:

NA

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: \_\_\_\_\_ Status: \_\_\_\_\_ Date Issued: \_\_\_\_\_

State: \_\_\_\_\_ Status: \_\_\_\_\_ Date Issued: \_\_\_\_\_

State: \_\_\_\_\_ Status: \_\_\_\_\_ Date Issued: \_\_\_\_\_

State: \_\_\_\_\_ Status: \_\_\_\_\_ Date Issued: \_\_\_\_\_

NA NY only

**(BUSINESS INFORMATION CONTINUED)**

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

NA

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. If you do not market door to door, please indicate so in your response.

NA

**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 FOR NEW YORK SERVICE)

Name and Title: Richard E. Kline - President / Owner

Address: 5932 Kennebec Court

City: Farmington State: NY Zip Code: 14425

Direct Telephone: (C) 315-247-7767 Fax: NA

Direct Email Address: Kliner56@outlook.com

**REGULATORY CONTACT** (Individual(s) responsible for ensuring compliance with regulatory requirements, use additional sheets if necessary)

Name and Title: Richard E. Kline - President / Owner

Address: 5932 Kennebec Court

City: Farmington State: NY Zip Code: 14425

Direct Telephone: (C) 315-247-7767 Fax: NA

Direct Email Address: Kliner56@outlook.com

**MARKETING CONTACT** (Individual responsible for responding to consumer inquiries and complaints)

Name and Title: Richard E. Kline - President / Owner

Address: 5932 Kennebec Court

City: Farmington State: NY Zip Code: 14425

Direct Telephone: (C) 315-247-7767 Fax: NA

Direct Email Address: Kliner56@outlook.com

### 3. ADDITIONAL REQUIREMENTS

A separate cover letter (addressed to Hon. Michelle L. Phillips, Secretary to the Commission, New York State Public Service Commission, Agency Building 3, Albany, NY 12223-1350) with a reference to matter 23-01227 should be submitted along with;

A. A sample standard Agreement between the Energy Broker or Energy Consultant and the customer (if the supplier handles on your behalf, please indicate so in your response);	<i>My ESO New Wave Energy handles this</i>
B. Sample forms of the notices sent upon assignment of sales agreements, discontinuance of service, or transfer of customers to other providers (if the supplier handles on your behalf, please indicate so in your response);	<i>Supplier New Wave Energy handles this</i>
C. Procedures used to obtain customer authorization for access to a customer's historic usage or credit information (if the <u>supplier handles on</u> your behalf, please indicate so in your response);	
D. Sample disclosures of compensation (if the supplier handles on your behalf, please indicate so in your response);	<i>My Supplier New Wave Energy handles this</i>
E. Information on the methods by which the applicant intends to market energy products and services;	<i>(See attached cover letter)</i>
F. Sample copies of informational and promotional materials that the applicant uses for mass marketing purposes (if none, please indicate so in your response);	<i>NA / None</i>
G. Proof of registration with the New York State Department of State or proof of an assumed name certificate (DBA) filed with the county clerk;	<i>(See attached) <del>cover letter</del></i>
H. Proof of registration to act as a marketer in any municipality where such registration is required (if none, please indicate so in your response);	<i>NA / None</i>
I. \$500 non-refundable check made payable to the Department of Public Service and mailed to the following address: Department of Public Service, Attn: Finance and Budget Section, New York State Department of Public Service, 3 Empire State Plaza, 16th Floor, Albany, NY 12223-1350 (Please include your contact information (Company Name, Contact Name, Address and Phone Number) with your check so the Department may contact you if there is an issue.)	
J. A completed Service Provider Contact Form, 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 (form is found here: <a href="https://dps.ny.gov/energy-broker-and-energy-consultant-registration">https://dps.ny.gov/energy-broker-and-energy-consultant-registration</a> );	<i>See Attached</i>



K. **\*\*Proof of an irrevocable standby letter of credit held with a reputable financial institution that identifies the Department of Public Service as the beneficiary in the amount of: \$100,000 for Energy Brokers, \$50,000 for Energy Consultants.**

**\*\*A demonstration of financial accountability is not required at this time due to ongoing litigation**

#### 4. SIGNATURE

The person signing this application attests to the following:

That he/she is an owner, partner, or officer of the business name on this registration package;

The answers and materials contained in this registration package are true; and,

The registration package is complete and accurate.

An Energy Broker and/or Consultant that knowingly makes false statements in this registration package is subject to denial or revocation of eligibility.

Print Name: Richard E. Kline

Title: President / owner

Company Name: Cardinal Energy Solutions Group

Signature: Richard E. Kline

Date: 10-6-25



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

Date 10-6-25

Company Name Cardinal Energy Solutions Group

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

President Richard E. Kline - owner  
Mailing Address 5932 Kennebec Court  
Farmington, NY 14425  
Email Address Kliner56@outlook.com  
Phone Number (315) 247-7267 Fax Number NA

Vice President / Director of Customer Service Richard E. Kline - owner  
Mailing Address 5932 Kennebec Court  
Farmington, NY 14425  
Email Address Kliner56@outlook.com  
Phone Number (315) 247-7267 Fax Number NA

Primary Regulatory Complaint Manager Richard E. Kline - owner  
Mailing Address 5932 Kennebec Court  
Farmington, NY 14425  
Email Address Kliner56@outlook.com  
Phone Number (315) 247-7267 Fax Number \_\_\_\_\_

Secondary Regulatory Complaint Manager NA  
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: Kliner56@outlook.com Fax: NA



## Ontario County Clerk Recording Page

### Return To

**Matthew J. Hoose, County Clerk**  
Ontario County Clerk  
20 Ontario Street  
Canandaigua, New York 14424  
(585) 396-4200

Document Type: **DBA**

Receipt Number: 250766

<b>Party 1</b>	
KLINE, RICHARD E	
<b>Fees</b>	
DBA Filing Fee	\$25.00
Total Fees Paid:	\$25.00

<b>Party 2</b>	
CARDINAL ENERGY SOLUTIONS GROUP	
Control #:	201606140051
Ref #:	DB 2016 000456



State of New York  
County of Ontario

Filed on June 14th, 2016 at 10:59:25 AM  
in Liber 02016 of DBAs  
beginning at page 1029, ending at page 1030,  
with a total page count of 2.

*Matthew J. Hoose*

Ontario County Clerk

State of New York, County of Ontario ss:  
I, MATTHEW J. HOOSE, Clerk of the County of Ontario of the County  
Court of said County and of the Supreme Court both being Courts of  
Record having a common seal.

Do HEREBY CERTIFY that I have compared this copy with the orig-  
inal filed or recorded in this office and that the same is a correct tran-  
script thereof and of the whole of said original.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the  
seal of said County  
and Courts

*Matthew J. Hoose*

Facsimile signature used pursuant to Sec. 903 of County Law

This sheet constitutes the Clerk's endorsement required by section 319 of the Real Property Law of the State of New York

*Ontario County Clerk*



*Canandaigua, New York*

# Certificate of Conducting Business under an Assumed Name

**The undersigned intend to conduct or transact business in Ontario County as follows:**

Business Name Cardinal Energy Solutions Group

Business Address 1096 Willow Brook Bend, Farmington 14425  
Street address of Business Location Town/City Zip code

Business Mailing Address if different than above Same

**I / WE do further certify that my full name and residence are as follows:**

Richard E. Kline  
Name

1096 Willow Brook Bend, Farmington 14425  
Street address Town/City Zip code

Name	Street address	Town/City	Zip code

<u>Name</u>	<u>Street address</u>	<u>Town/City</u>	<u>Zip code</u>
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I / WE further certify that I am/We are successor in interest to: \_\_\_\_\_ or No One ☒  
Name of previous owner if applicable

**This certificate is executed and filed pursuant to Section 130 of the General Business Law.**

Dated: 6/14/16 Quintin S. Lari  
Signature

Dated: \_\_\_\_\_ Signature \_\_\_\_\_

Dated: \_\_\_\_\_ Signature \_\_\_\_\_

State of New York                    )  
County of Ontario                    )   ss:

On 6/14/16 before me, the undersigned, a Notary Public in and for said state, personally appeared

Richard Earl Kline

personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is (are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies), and that by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of which the individual(s) acted, executed the instrument.

Notary Public

11/2015

**TRACEY N. BUTCHER**  
Notary Public, State of New York  
County of Ontario  
No. 01BU6095203  
Commission Expires July 7, 2019