

Kentucky Cooling Incentive Application



Completed Project RESERVATION Estimated date of completion _____ (mm/year)

Questions? 1-866-380-9580 or www.duke-energy.com

Mail ORIGINAL, signed application and required documents to:
Duke Energy
431 Charmany Drive
Madison, WI 53719

Building Type - Required (check one)

- | | | |
|--|--|---|
| <input type="checkbox"/> Data Centers | <input type="checkbox"/> Full Service Restaurant | <input type="checkbox"/> Office |
| <input type="checkbox"/> Education/K-12 | <input type="checkbox"/> Healthcare | <input type="checkbox"/> Public Assembly/Church |
| <input type="checkbox"/> Education Other | <input type="checkbox"/> Industrial | <input type="checkbox"/> Public Order/Safety |
| <input type="checkbox"/> Elder Care/Nursing Home | <input type="checkbox"/> Lodging | <input type="checkbox"/> Religious Worship |
| <input type="checkbox"/> Food Sales/Grocery | <input type="checkbox"/> Retail (Non-mall) | <input type="checkbox"/> Service |
| <input type="checkbox"/> Fast Food Restaurant | <input type="checkbox"/> Retail (Mall) | <input type="checkbox"/> Warehouse |
| <input type="checkbox"/> Other _____ | | |

Please check each box to indicate completion of the following program requirements:

- all sections of application invoice with make, model number, quantity and equipment manufacturer Tax ID # for payee customer/vendor agree to Terms & Conditions

CUSTOMER INFORMATION

CUSTOMER/BUSINESS _____
()
CONTACT _____ PHONE _____
ACCOUNT NUMBER _____
ADDRESS (WHERE INCENTIVE SHOULD BE MAILED) _____
CITY _____ STATE _____ ZIP CODE _____
INSTALLATION ADDRESS _____
CITY _____ STATE _____ ZIP CODE _____
E-MAIL ADDRESS _____

VENDOR INFORMATION

VENDOR _____
()
CONTACT _____ PHONE _____
ADDRESS _____
CITY _____ STATE _____ ZIP CODE _____
()
FAX _____
E-MAIL ADDRESS _____

If Duke Energy has questions about this application, who should we contact?

- Customer Vendor

PAYMENT INFORMATION

Who should receive incentive payment? (circle one only) CUSTOMER VENDOR (customer must sign below)

I hereby authorize payment of incentive directly to vendor: _____
CUSTOMER SIGNATURE DATE

Provide required Tax ID # for Payee: _____
CUSTOMER TAX ID# VENDOR TAX ID#

TERMS & CONDITIONS

I have read and hereby agree to the Terms & Conditions and Program Requirements as stated on this form.

CUSTOMER SIGNATURE DATE VENDOR SIGNATURE DATE

TITLE TITLE

Incentives are subject to change and to availability – “first-come, first-served” basis. To reserve incentives, see page four. Duke Energy limits incentives to \$50,000 per fiscal year (July 1 through June 30) per facility for all eligible program technologies combined. Equipment must be installed and operable to be eligible for incentives. As Federal Energy Policy Law changes, equipment efficiency requirements are subject to change.

Kentucky Cooling Incentive Application

The equipment below is (check one): New Equipment Retrofit Equipment Replace Failed Equipment

See page 3 of form for required efficiency levels and equipment eligibility

Central Air Unit and Chiller Incentives

Description (Refer to table on page 3 of form)	Make/Model # (For split systems, supply both the indoor and outdoor coil numbers)	# of Units	Tons Per Unit	Incentives per ton*	Installed ARI Efficiency Rating and kw/ton (Circle one)**	ARI Reference Number (Required)	Annual Operating Hours (minimum of 1500 hrs.)	Equipment Cost	Date Installed and Operable (mm/yy)	Total Incentive
					SEER/EER kw/ton					
					SEER/EER kw/ton					
					SEER/EER kw/ton					
					SEER/EER kw/ton					
					SEER/EER kw/ton					

* See chart on page 3

** Installed ARI Efficiency is required for all Central AC units and Chillers. ARI Efficiency levels for Central AC units will be rated by SEER/EER and kw/ton for Chillers.

Energy Star Window and Sleeve AC Incentives

Description (Refer to table on page 3 of form)	Make/Model #	Size Range Btu/hr	Incentive per unit	Quantity	Energy Star Rated? (circle one only)	# of Days Business Operates per Week	Equipment Cost	Date Installed and Operable (mm/yy)	Total Incentive
					Yes No				
					Yes No				
					Yes No				

Heat Pump Water Heaters Incentives

Description (Refer to table on page 3 of form)	Make/Model #	Quantity	Tank Size	Incentive per Tank *	Installed COP Efficiency**	Annual Operating Hours (minimum of 1500 hrs.)	Equipment Cost	Date Installed and Operable (mm/yy)	Total Incentive
			Gal.			Hrs.			
			Gal.			Hrs.			
			Gal.			Hrs.			

* Maximum incentive cannot exceed 50% of the total equipment cost

** See page 3 for required COP efficiency levels and equipment eligibility

Window Film Incentives

Item Number (Model Number)	SHGC*	Square Feet Installed	Incentive per Square Foot**	Direction Window Is Facing*** (circle one)	# of Windows	Date Installed	Equipment Cost	Total Incentive
			\$2/sq. ft.	E W S				
			\$2/sq. ft.	E W S				
			\$2/sq. ft.	E W S				

* Solar Heat Gain Coefficient of 0.40 or less; ** Incentive is capped at a maximum of 50% of the project cost.; *** E=East, W=West, S=South

Setback/Programmable Thermostat Incentives

Make/Model #	Quantity	Incentive per Unit*	Equipment Cost	Date Installed and Operable (mm/yy)	Total Incentive

FOR OFFICE USE ONLY

Total Incentive: \$ _____

*Total Thermostat Incentive is limited to \$2,500 with prior approval from Duke Energy.

Equipment Requirements

Cooling Incentive Table & ARI Rated Efficiency Requirements*

Description	Size Range	Min. ARI Efficiency	Incentive
PACKAGED TERMINAL AIR CONDITIONING			
A	All sizes	See ** below	\$20/ton
UNITARY AIR CONDITIONING			
B	< 65,000 BTUH (1 ph)	14.0 SEER	\$40/ton
C	< 65,000 BTUH (3 ph)	13.0 EER	\$40/ton
D	65,000 – 135,000 BTUH	11.0 EER	\$45/ton
E	136,000 – 240,000 BTUH	10.8 EER	\$45/ton
F	241,000 – 760,000 BTUH	9.8 EER	\$45/ton
G	> 760,000 BTUH	9.3 EER	\$45/ton
UNITARY HEAT PUMP			
H	< 65,000 BTUH (1 ph)	14.0 SEER	\$40/ton
I	< 65,000 BTUH (3 ph)	13.0 EER	\$40/ton
J	65,000 – 135,000 BTUH	10.6 EER	\$45/ton
K	136,000 – 240,000 BTUH	10.0 EER	\$45/ton
L	> 240,000 BTUH	9.1 EER	\$45/ton
ROOFTOP AIR CONDITIONING			
M	< 65,000 BTUH (3 ph)	13.0 EER	\$40/ton
N	65,000 – 135,000 BTUH	11.0 EER	\$45/ton
O	136,000 – 240,000 BTUH	10.8 EER	\$45/ton
P	241,000 – 760,000 BTUH	10.0 EER	\$45/ton
Q	> 760,000 BTUH	9.3 EER	\$45/ton
ROOFTOP HEAT PUMP			
R	< 65,000 BTUH (3 ph)	13.0 EER	\$40/ton
S	65,000 – 135,000 BTUH	10.6 EER	\$45/ton
T	136,000 – 240,000 BTUH	10.0 EER	\$45/ton
U	> 240,000 BTUH	9.1 EER	\$45/ton
GROUND SOURCE HEAT PUMP – CLOSED LOOP			
V	< 135,000 BTUH @ 59°F	16.5 EER	\$30/ton
W	< 135,000 BTUH @ 77°F	13.7 EER	\$30/ton
AIR COOLED CHILLERS			
X		1.2 KW/TON FULL LOAD	\$40/TON
WATER COOLED CHILLERS			
Y	< 150 TON	0.79 KW/TON FULL LOAD 0.49 KW/TON PART LOAD	\$20/TON
Z	150 – 300 TON	0.63 KW/TON FULL LOAD 0.44 KW/TON PART LOAD	\$40/TON
AA	> 300 TON	0.58 KW/TON FULL LOAD 0.44 KW/TON PART LOAD	\$40/TON

* All units must meet ARI efficiency requirements to be eligible. Documentation is required. This can be a print out from the ARI guide or if the unit is not tested by ARI, manufacturer specification sheets must state the efficiency level has been tested under ARI conditions.
 ** PTAC Minimum Efficiency (EER) calculation: 12.8 EER – (.213 x (BTUH/1000))

Energy Star Window and Sleeve AC Incentive Table

Description	Size Range	Incentive
ES WINDOW AC		
BB	< 14,000 Btu/hr	\$25
CC	> 14,000 Btu/hr	\$50
ES SLEEVE AC		
DD	< 14,000 Btu/hr	\$25
EE	> 14,000 Btu/hr	\$50

HP Water Heater Incentive Table

Description	Size Range	Min. COP Efficiency	Incentive*
HP WATER HEATER			
FF	< 80 GAL TANK	3.0	\$1,000
GG	80 – 150 GAL TANK	3.0	\$2,000
HH	> 150 GAL TANK	3.0	\$2,500

* Maximum incentive cannot exceed 50% of the total equipment cost

Setback/Programmable Thermostat Incentive

SETBACK/PROGRAMMABLE THERMOSTAT	Incentive* \$35
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*Total Thermostat Incentive is limited to \$2,500 with prior approval from Duke Energy. Refer to additional requirements under Equipment Eligibility on page 4

Window Film Incentive

WINDOW FILM	Minimum Efficiency SHGC of 0.40 or less	Incentive* \$2/square ft
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* Incentive is capped at a maximum of 50% of the project cost

Program Requirements

Equipment Eligibility

- Duke Energy will use the ARI manual for verifying equipment efficiencies for all the central air systems and chillers. If the equipment or matched set is not in the ARI manual, the manufacturer's technical fact sheets must be provided showing the efficiency level tested under ARI conditions. Equipment capacity (size) and efficiency must be based on ARI design conditions. Chillers must meet full load and part load efficiency requirements. Chillers purchased and installed for backup or redundant systems are not eligible.
- For split systems, the indoor coil and condenser must be a matched set to be eligible for incentives.
- Cooling system(s) must operate > 1,500 hours annually to be eligible.
- Window air units must be Energy Star rated to qualify. An equipment data sheet is required stating the unit is Energy Star rated.
- Thermostat(s) shall be installed according to manufacturer's specifications and comply with manufacturer's warranty requirements. Thermostat(s) shall have a program memory retention capability or battery back-up (minimum 2 days), with warning indicator for battery replacement. Thermostat(s) shall be capable of automatic variation of the start of daily warm-up time depending on indoor and outdoor temperature variations.
- Window Film must be installed according to the manufacturer's instructions on south, east or west facing windows; have a solar heat gain coefficient (SHGC) of 0.40 or less; and cover the entire window aperture.

Incentive Eligibility

- Incentives are only available to Duke Energy Kentucky retail electric commercial or industrial customers not in rate group TT (Time-of-Day Rate for Service at Transmission Voltage).
- Incentive will not be paid until eligible equipment has been installed, is available to operate, and verification has been completed by Duke Energy staff as noted in the Terms & Conditions stated below.
- Duke Energy reserves the right to revise incentive levels and/or qualifying efficiency levels at anytime.
- Customer may assign the incentive to the vendor who installed/supplied the equipment. The customer's signature is required in the appropriate places on this form to sign over the incentive. Customer agrees that such action constitutes an irrevocable assignment of the incentive. The assigned incentive must reduce the purchase price paid for the equipment by an equivalent amount.
- Any equipment which, either separately or as part of a project, has or will receive an incentive from any other Duke Energy program is ineligible.
- **Duke Energy limits incentive payments to a maximum of \$50,000 per fiscal year (July 1 through June 30) per facility for all eligible program technologies combined. Incentives will be paid on a "first-come, first-served" basis.**
- In no case will Duke Energy pay an incentive above the actual cost of the new equipment.
- To reserve incentives prior to project completion, submit an application form completed in its entirety signed by the customer. Check box indicating "reservation" and provide an estimated date of completion. Attach a copy of the proposal and submit to Duke Energy at the address indicated on the front of this application. If project is not completed by the estimated completion date, you must notify Duke Energy of a revised date or Duke Energy retains the right to release the money from the reservation pool for other completed projects.
- Incentive recipient assumes all responsibilities for any tax consequences resulting from Duke Energy incentive payment.
- To qualify for Duke Energy incentives, applicants who provide their social security number as their federal tax identification number for tax purposes must sign and return the "Customer consent to release personal information" form ("Consent Form") along with the application. Incentive applications are processed by a 3rd party vendor. The 3rd party vendor is responsible for mailing the 1099 form at the end of the calendar year for tax filing. Duke Energy and the 3rd party vendor have signed confidentiality agreement to protect your personal information. If your social security number is your federal tax id number and you elect not to sign the Consent Form, please do not send Duke Energy the application, as you will not be qualified to participate in the incentive program.

TERMS & CONDITIONS

I certify that this premise is served by Duke Energy (or an affiliate of Duke Energy), that the information provided herein is accurate and complete, and that I have purchased and installed the high efficiency equipment (indicated herein) for the business facility listed herein and not for resale. Attached is an itemized invoice for the indicated installed equipment. I understand that the proposed incentive payment from Duke Energy is subject to change based on verification and Duke Energy approval. I agree to Duke Energy verification of both the sales transaction and equipment installation which may include a site inspection by a Duke Energy representative or Duke Energy agent. I understand that I am not allowed to receive more than one incentive from Duke Energy on any piece of equipment. I also understand that my participation in the program may be taxable and that my company is solely responsible for paying all such taxes. I hereby agree to indemnify, hold harmless and release Duke Energy and its affiliates from any actions or claims in regards to the installation, operation and disposal of equipment (and related materials) covered herein including liability from any incidental or consequential damages. Duke Energy does not endorse any particular manufacturer, product or system design within these programs; does not expressly or implicitly warrant the performance of installed equipment (Contact your contractor for details regarding equipment warranties); and is not liable for any damage caused by the installation of the equipment nor for any damage caused by the malfunction of the installed equipment.



INCENTIVE APPLICATION INSTRUCTIONS

IMPORTANT NOTICE

Delays in processing incentive payments will occur if required documentation is not included with completed application(s).

1. Contact Duke Energy toll free at 866-380-9580 to confirm customer eligibility. Applications are available for download at www.duke-energy.com.
2. Review program and equipment requirements on the incentive application.
3. Purchase and install energy-efficient equipment.
4. Complete and submit application within 90 days **after** equipment has been installed and is operational.
5. The following items must be included to verify projects. If they are not included, it will delay payment of incentive.
 - A. Please include an itemized invoice including cost, quantity, model number and manufacturer's data sheet for all measures.
 - B. Provide required tax ID# for payee.
6. Duke Energy may require site verification of projects that have been self installed, prior to payment of incentive.
7. Customer must sign and date the application after reviewing the Terms & Conditions. If customer wishes to **assign payment of the incentive directly to the vendor**, the customer should circle the appropriate payee in the Payment Information section of the application and sign their name to authorize payment.
8. Incentive payouts are limited to a maximum of \$50,000 per fiscal year (July 1 through June 30) per facility for all eligible technologies combined: lighting, pumps, motors and cooling equipment.
9. Mail complete, signed application with all required documents to the following address:

Duke Energy
Smart \$aver™
431 Charmany Drive
Madison, WI 53719
10. A percentage of equipment installations will be site verified for quality assurance purposes. Once selected, a Duke Energy representative will contact the customer to arrange for the inspection. All incentive payments related to the project will be withheld until site verification is complete. There is no charge to the customer for these inspections.

FREQUENTLY ASKED QUESTIONS ABOUT OUR INCENTIVES



WHO IS ELIGIBLE TO PARTICIPATE?

Duke Energy Kentucky retail electric commercial or industrial customers not in rate group TT (Time-of-Day Rate for Service at Transmission Voltage).

WHAT DEFINES A PARTICIPATING VENDOR?

Any business that assists Duke Energy customers with the purchase and/or installation of energy-efficient equipment. Business examples may include, energy service companies, electric or HVAC contractors, engineering or architectural firms, equipment manufacturers or distributors, etc.

HOW DO I BECOME A PARTICIPATING VENDOR?

Assist any eligible customer in completing the incentive application and submit it with the required paperwork to process the payment. You must fill out the Vendor Application Form attached to the application and sign. Send the signed form in with the application. If you have already submitted a completed/signed form, you do not have to do it again. Your company's name will be added to the Smart \$aver™ Participating Vendor List on Duke Energy's Smart \$aver™ Web site. For your company to remain on the vendor list, you must submit at least one incentive application every 18 months.

IS A NEWLY CONSTRUCTED BUILDING ELIGIBLE FOR THE PROGRAM?

New construction is eligible for all incentives with the exception of the equipment indicated as retrofit only.

WHAT IF I WANT TO INSTALL MY OWN EQUIPMENT?

Duke Energy may require site verification for projects that have been self installed. Self installed labor costs are not eligible for incentives.

WHO RECEIVES THE INCENTIVE PAYMENT?

Incentive checks are paid directly to the customer unless the customer authorizes assignment of the payment directly to the vendor. The customer's signature is required on the application to assign payment to the vendor.

HOW LONG DO I HAVE TO SUBMIT THE INCENTIVE APPLICATION?

Incentive applications must be submitted within 90 days of project completion. Applications older than 90 days will be considered on an individual basis by Duke Energy staff.

WHAT HAPPENS IF INCENTIVES CHANGE BEFORE MY PROJECT IS COMPLETED?

Incentives are subject to change based on changes in the market. Duke Energy will post all changes at www.duke-energy.com and it will be reflected on program materials. Projects that were proposed prior to the date the incentives changed will be eligible for the incentive amount at the time the proposal was written. A copy of the proposal will be required. Projects without a proposal will be eligible for the old incentives if application is received within three months of the date the incentive was changed.

Smart \$aver™ Incentive Program



Requirements for Vendor Participation

2008

I. PROGRAM OVERVIEW

Duke Energy offers its eligible non-residential customers the opportunity to increase profitability through energy cost savings and contribute to a cleaner environment by participating in our Smart \$aver™ Incentive Program.

Under the Duke Energy Smart \$aver™ Incentive Program, Vendor is defined as any third party who:

(1) Promotes the sale and installation of the high efficiency equipment for the customer. The Vendor will ensure that the eligible equipment is installed and operating before submitting the application or assisting the customer in completing the application.

(2) Is responsible for the product sale only and is not required to ensure installation of the eligible equipment.

All license requirements, if any, are solely the Vendor's responsibility. Participating Vendors include equipment contractors, equipment Vendors, equipment manufacturers and distributors, energy service companies, etc. The typical Vendor role is to contact/solicit eligible customers building new or retrofitting existing facilities and encourage the installation of the energy-efficient equipment offered in Duke Energy's program.

Incentives are paid directly to customers unless the customer assigns the incentive to the Vendor. The assigned incentive must reduce the purchase price paid for the equipment by an equivalent amount. Incentives are taxable to the entity who receives the rebate check. Rebates greater than \$600 will be reported to the IRS unless documentation of tax exempt status is provided.

Vendors can sign up to be on Duke Energy's Web site as a participating Vendor and be added to Duke Energy's e-mail distribution by submitting the Vendor Participation Agreement (VPA) to the following address:

Duke Energy
Smart \$aver™ Incentive Program
431 Charmany Drive
Madison, WI 53719

II. GUIDELINES FOR VENDOR ACTIVITIES

- Vendors shall sign and return the attached VPA to Duke Energy prior to soliciting customer participation or when submitting an application. Rebate payments will not be released to a Vendor unless a signed VPA is on file.
- Vendors shall not misrepresent the nature of their role

in the program. In particular, Vendors shall not state or imply to customers, or any persons, that the Vendor is employed by or working on Duke Energy's behalf.

- Vendors may not represent to customers that Duke Energy endorses their specific products or services. Duke Energy does not endorse specific products, services, or companies – only energy-efficient technologies.
- Vendors may advise customers of their option to have Duke Energy make their rebate check(s) payable to the Vendor if the customer's rebate amount is being deducted from the total sale price in advance. The customer must complete and sign the Payment Release Authorization section of the Smart \$aver™ Incentive Program Application.
- Vendors may use the name "Smart \$aver™ Incentive Program" in promotional materials or advertisements. Vendors shall not use Duke Energy's name or logo in their promotional literature, or advertisements or writing of any kind without Duke Energy's prior written approval.
- For Vendors who properly install the qualifying equipment, the equipment shall be installed and operating prior to an application being submitted. A percentage of each Vendor's installations will be subject to inspection by Duke Energy for verifying that the equipment is installed and operating. Vendors demonstrating high failure rates (based on a statistically significant sample) will have 100% of subsequent jobs inspected or may have their participation in the Smart \$aver Incentive Program revoked by Duke Energy in its sole discretion.
- Vendors shall provide customers with applicable equipment warranty information for all measures installed. Vendors shall provide the required documentation for customers to apply for the rebate (invoices with model numbers and quantities, specification sheets for installed equipment, etc.) and assist customers in filling out the application.
- Vendors shall comply with all applicable local, state, and federal laws and codes when performing installation and related functions.
- Duke Energy reserves the right to revoke a Vendor's participation in Smart \$aver™ Incentive Program if, in Duke Energy's sole judgment, the Vendor fails to comply with the program's guidelines and requirements.
- Smart \$aver™ Incentive Program offerings may be modified or terminated without prior notice. Check Duke Energy's Web site for current program status.

For more information, call 1-866.380.9580 or visit www.duke-energy.com.

Technology	Check if responsible for sales and NOT Installs (select all that apply)	Check if responsible for sales and Installation (select all that apply)	Technology	Check if responsible for sales and NOT Installs (select all that apply)	Check if responsible for sales and Installation (select all that apply)
Lighting			Thermal Storage		
Heating Ventilation & Cooling			Pumps/Motors/VFD's		
Food Service			Chillers		
Water Heating			Commercial Clothes Washers		
Refrigeration			Process Equipment (air compressors, injection molding, etc.)		

Vendors who wish to be listed as a Smart Saver™ Incentive Program participating Vendor shall complete this form. A signed copy of this form must be on file at Duke Energy in order for the Vendor to receive incentive payments. Mail to:

Duke Energy
 Smart Saver™ Incentive Program
 431 Charmany Drive
 Madison, WI 53719

I have read and understand the Smart Saver™ Incentive Program Requirements for Vendor Participation, and I agree to comply with all requirements set forth therein. By signing this agreement, I agree to provide my customers with information and documentation that is true and accurate to the best of my knowledge. I hereby represent and warrant that the Tax ID and Vendor Tax Status provided below are true and accurate. I agree that any confidential information concerning my customer, including but not limited to Duke Energy service account information, will be used for the sole purpose of facilitating the customer's participation in the Smart Saver™ Incentive Program. Further, I understand that I am responsible for making sure everyone working for me understands the requirements prior to soliciting customer participation.

VENDOR FEDERAL TAX ID NUMBER:

- To qualify for Duke Energy incentives, applicants who provide their social security number as their federal tax identification number for tax purposes shall sign and return the "Customer consent to release personal information" form ("Consent Form") along with the application. Incentive applications are processed by a third-party Vendor. The third-party Vendor is responsible for mailing the 1099 form at the end of the calendar year for tax filing. Duke Energy and the third-party Vendor have signed a confidentiality agreement to protect your personal information. If your social security number is your federal tax id number and you elect not to sign the Consent Form, please do not send Duke Energy the application, as you will not be qualified to participate in the incentive program.

VENDOR TAX STATUS:

(Check one): Corporation Individual/Sole Proprietor Partnership Other _____

I Prefer to be contacted by: Phone E-mail Mail

Company Name _____

Mailing Address _____

City/State/Zip _____

Phone/Fax _____ Primary E-mail Address _____

Secondary E-mail Address _____

Vendor Signature _____ Title _____

Print Name _____ Date _____

For more information, call 1-866.380.9580 or visit www.duke-energy.com.