

Missouri Public Service Commission Annual Report Instructions
Large Company Water and/or Sewer Companies
(8,000 or more customers)

1. For General Information

- A.** This report is due to the Missouri Public Service Commission (Commission) on or before April 15th of the current year, and is required to be filed on a calendar year basis pursuant to the Commission Rules 4 CSR 240-3.335 and/or 4 CSR 240-3.640. **Failure to file this report by the deadline of April 15th could result in penalties up to \$100 for every day the report is late pursuant to Section 392.210 RSMo.**
- B.** If the report has been prepared by a third-party preparer, it is the responsibility of company personnel to attest to the accuracy of the document before Submission to the Commission.
- C.** To file a Request for Extension of less than 30 days, you must file your request **prior to April 15th**. Instructions for seeking an extension are at Item 5, below.
- D.** This report is a Public document, unless you provide a confidential version and a public version. Instructions for filing a confidential version are at Item 3, below.

2. About the Form

- A.** If you have water operations only, you should complete all information for water utilities. Any requested information for sewer data should be clearly marked by you as Not Applicable (e.g., N.A.).
- B.** If you have sewer operations only, you should complete all information for sewer utilities. Any requested information for water data should be clearly marked by you as Not Applicable (e.g., N.A.).
- C.** If you are a joint utility in that you have both water and sewer operations, you shall fill out all parts of the pages. Any requested information that does not pertain to your operations should be clearly marked by you as Not Applicable (e.g., N.A.).
- D.** You are required to use one the two versions provided by the Commission: 1) the Excel version, or 2) the Adobe document that should be printed and completed by hand.
- E.** If additional space is needed for entering information on a page, please insert a worksheet or page with the information.
- F.** Questions about the Annual Report form or its contents may be submitted to: Kim Bolin at 573-751-5026 or by email at: Kim.Bolin@psc.mo.gov.

3. Highly Confidential Information

- A.** Utilities may request classification of selected portions of their annual report as Non-Public/Highly Confidential/Filed Under Seal pursuant to the Commission Rules at 4 CSR 240-3.335 and/or 4 CSR 240-3.640. Note: All information classified as Non-Public will still remain subject to potential disclosure as provided under Missouri Sunshine Law (Chapter 610 RSMo.) and Section 386.480, RSMo. In order to include highly confidential information in the Annual Report, the Submitter must provide two versions of the Annual Report; a Public version and Highly Confidential version.

(1) Public Version Requirements

- a. Cover page – Select the “Public Submission” option and select “Public” from the drop down box in the lower right corner.
- b. Complete the form without the Non-Public information. Where information is left out, blank spaces must remain to ensure that the remaining information stays in the same place on the same page as in the Non-Public version. Where highly confidential information has been removed, two asterisks shall be placed before and after the information with a space in between the asterisks. Each page on which highly confidential information has been removed, you must select “Public” from the drop box in the lower right corner.

(2) Highly Confidential Version Requirements

- a. Cover page – Select the “Highly Confidential” option and select “Highly Confidential” from the drop down box in the lower right corner.
- b. Complete the form, including all highly confidential information. Confidential information on each page must be identified. Highly Confidential information must have two asterisks at the beginning and the end of the Highly Confidential information. Example: ****Highly Confidential information here****.
- c. Each page on which highly confidential information appears you must select “Highly Confidential” from the drop box in the lower right corner.

Additional documents required with both (Public and Confidential) submissions

- (1) A cover letter is required stating the utility is designating some or all of the information in its annual report as confidential and requesting Non-Public treatment. The name, phone number and e-mail address (if available) of the person responsible for addressing questions regarding the confidential portions of the Annual Report must be included.
- (2) A notarized affidavit that clearly identifies the specific types of information to be kept under seal and justification provided of why the specific information should be a closed record and a statement attesting that none of the information is available to the public in any format.

4. Submitting the Report

- A. The Commission prefers to receive annual reports electronically. The PSC Electronic Filing and Information System (EFIS) accepts submissions 24 hours a day. **When e-filing, do not forward paper copies to the Commission.** Detailed instructions for using EFIS are available under the ‘HELP’ button in EFIS. Questions regarding EFIS can be directed to the Data Center at datacenter-psc@psc.mo.gov or 573-751-7496.
- B. If you do not file electronically, a hard copy of the report may be mailed to the following addresses:

U.S. Mail Delivery: Missouri Public Service Commission
Attention: Data Center
P.O. Box 360
Jefferson City, MO 65102-0360

Package Delivery: Missouri Public Service Commission
Attention: Data Center
200 Madison Street Suite 100
Jefferson City, MO 65101

Please do not submit a hard copy of the Annual Report if you e-file the report.

5. EFIS Submission on the Annual Report

A. To access EFIS:

- (1) Navigate to the PSC website at www.psc.mo.gov.
- (2) Click the '**EFIS (login required)**' link on the left side of the page, or click the **EFIS icon** near the center of the page.
- (3) Scroll down to the '**Main Menu Section of EFIS**' heading.
- (4) Click the '**EFIS**' link. This will open to the EFIS welcome screen.
- (5) Click the '**Logon**' button on the left-hand side of the screen.
- (6) Enter your **User ID and Password** (passwords are case sensitive).
- (7) Click the '**Logon**' button in the middle of the screen.

B. For step by step e-filing instructions, click the '**HELP**' button on the left side of the screen, and refer to the '**Submit Annual Report (MO PSC)**' Help topic.

C. If you are asked to provide additional information or need to file amended information, please submit the information as a '**Non-Case Related Supplemental Submission**' in EFIS using the tracking number from your original annual report submission. Instructions can be found under the '**HELP**' button on the left side of any EFIS screen. Refer to the '**Submit Supplemental Annual Report or Supplemental Extensions**' Help topic.

6. Requests for Extension:

A. There are two types of extension requests; 30 days or less, or Greater than 30 days. If you will not be able to file your annual report by April 15th, you must request an extension on or before April 15th.

- (1) Annual Report Extension Requests 30 days or less must be on company letterhead and signed by an officer of the Company or on the form provided on the PSC's website at: <http://psc.mo.gov/forms>. The reason for the request must be provided. A contact e-mail address is required for approval or rejection of the request. These requests are reviewed within 5-7 business days. With this type of request, you may assume the request has been approved until May 15th, unless contacted and told differently.
- (2) Annual Report Extension Requests greater than 30 days must be filed prior to April 15th as a legal pleading. If your company is a corporation or partnership, the pleading must be filed by an attorney licensed to practice in Missouri. If the utility is individually owned, the owner may file the pleading. The pleading must state the reason for the extension

and certify that a copy of the written request was sent to all parties of record in pending cases where the Company's activities are the primary focus of the proceeding (i.e., where the Company is identified as a moving party in the case caption.) The filing should be submitted in pleading form and comply with the filing requirements of Chapter 2 of 4 CSR 240. If e-filing, please submit the request as a 'New Case Submission'. Please refer to the EFIS Help topic titled, 'Submit New Case'. For the Type of Filing, select 'Motion External'. For the Type of Case, select 'Variance, Waiver for Extension form Commission Rule'.

Specific Page Instructions

Cover Page:

Company Name: This shall reflect the **certificated** name of the Company that the Commission approved in a case. The Company name listed on the Cover page shall include any Commission approved fictitious name or d/b/a name, a/k/a (e.g. ABC Company d/b/a XYZ, LLC). *If using the Excel version of the report, when this field is filled in, it will automatically populate the Company name at the top of each page of the report. **If using the Adobe version of the report, you will have to manually fill in the Company name on each page.***

Year: Enter the reporting year. *If using the Excel version of the report, when the reporting period year is entered, it will automatically populate to the top of the subsequent pages. **If using the Adobe version of the report, you will have to manually fill in the reporting year on each page.***

Type of Service (set of checkboxes): Indicate whether the Company provides water or sewer service or both.

Type of Filing Options (set of buttons):

- 1) Select the first button (Public Submission) if this is the Public version of the Annual Report.
- 2) Select the second button (Non-Public Submission) only if the Annual Report contains Highly Confidential information in the report. Please refer to Item 3 above for instructions for submitting Highly Confidential information.

Verification Page:

The Verification Page must be completed in full, including notary seals, if or where applicable. This page must accompany all versions of this report including any highly confidential and public versions. An updated verification page is required with any amended or revised submission attesting to the added/revised information.

- 1) **State of and County of fields** shall be completed with the location where the Notary operates and where this document was notarized.
- 2) **Legal Name of Affiant:** Any representative of the Company authorized to attest to the accuracy of the Annual Report.
- 3) **Official Title of the Affiant:** Title of the Representative named on the Affiant Name signature line.

- 4) **Exact Legal Title or Name of the Respondent:** Company Name as certificated/registered with the Commission.
- 5) **Signature of Affiant:** Signature of authorized company representative named on the Verification Page.

The remaining fields are for completion by the Notary including the date, month, and year of the notarization, the Notary's commission expiration date, Notary's signature, and placement of the Notary's stamp or seal, where applicable.

Electronic submission: When submitting the Annual Report form electronically, complete the Verification Page in full. Electronic signatures are acceptable pursuant to Sections 432.200 through 432.295 RSMo. The original document shall be notarized and kept for your records. On the electronic version, type the electronic signatures (i.e., /s/ John Doe) and the dates that are reflected on the original notarized document.