

Missouri Public Service Commission Annual Report Instructions
Electric/Steam-Heat Companies

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 Rule 20 CSR 4240-10.145. **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 393.140 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 prior to submitting it 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 6, 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. 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.
- B. If additional space is needed for entering information on a page, please insert a worksheet or page with the information.
- C. Questions about the Annual Report form or its contents may be submitted to: Angela Niemeier at 573-526-3885 or by email at: Angela.Niemeier@psc.mo.gov.

3. Confidential Information

- A. Utilities may request classification of selected portions of their annual report as Non-Public/Confidential/Filed Under Seal pursuant to the Commission Rules at 20 CSR 4240-2.135 and/or 20 CSR 4240-10.145. 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 Confidential information in the Annual Report, the Submitter must provide two versions of the Annual Report; a Public version and 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 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 confidential information has been removed, you must select “Public” from the drop box in the lower right corner.

(2) Confidential Version Requirements

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

A. To access EFIS:

- (1)** Navigate to the PSC website at www.psc.mo.gov.
- (2)** Click the **EFIS icon** near the center of the page.
- (3)** Scroll down to the **'Main Menu Section of EFIS'** heading.
- (4)** Click the **'Access 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 **'Submitting Annual Reports'** 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 **'Submitting 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: www.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. To submit the request for extension into EFIS, detailed instructions are provided under the EFIS **'HELP'** button. Refer to the **'Submitting an Annual Report Extension Request'** topic.

(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 20 CSR 4240.

If

e-filing, please submit the request as a '**New Case Submission**'. Please refer to the EFIS Help topic titled, '**Creating a 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 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 Confidential information in the report. Please refer to Item 3 above for instructions for submitting Confidential information.

Page 2:

Line 13 requests the average age of uncollectible debt for both Residential and All Other.

Page 3:

There are six different versions of Page 3 within this form beginning with Page 3a through 3e. Please **only** fill out the Page 3 that is **applicable to your company**. **The other pages that do not apply to the Company Name listed on the Cover Page of the report**

should be left blank. The Company Name appears across the top of each Page 3 in a gray block. These have been customized according to the Company tariff and request only **Missouri Jurisdictional** information.

Miscellaneous Charges:

Please provide the fee amounts charged, not the total collected, for the appropriate columns listed, which will match tariffed amounts. These fields will include what the company charges for each miscellaneous activity listed under each column header. If this amount is not listed in your tariff, but equals cost incurred, please list an explanation in the “Explanation” field at the bottom of the sheet. For example, if amounts incurred for tampering are charged back to the customer, then state “Tampering: all costs” in the explanation field. If the field is not adequate to list the full explanation, please attach a sheet to the form with the additional information.

Late Payment Charges:

Tariff Sheet No. and Effective Date: Please list the sheet number and effective date on the tariff sheet.

Delinquent After (days): List the day number on which a customer would be listed as “delinquent” as shown on bills or in tariff. This would equal the first day that the late payment charge could be applied. For example, if the following sentence is on the bill, “This bill will be delinquent after 21 days”, then place “22” in this column.

Late Payment Charge: List the percent applied, no delivery, or graduated fee. For example, list “2% up to \$50” to show if there is a graduated fee.

Type of Interest: List “Simple” or “Compound”.

Deferred Payment: List “Yes” or “No”.

Tariff Sheet No. and Effective Date: List the tariff sheet and effective date of the tariff sheet for deferred payment rule.

FERC Form 1 Page:

Please provide the completed FERC Form 1 that was submitted to FERC when submitting your annual report into EFIS. Do not substitute any pages.

Notarized 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 confidential and public versions. An updated verification page is required with any amended or revised submission attesting to the added/revised information.

- (1) **The State of and County of:** Fields shall be filled 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 signature, Notary Commission Number, and placement of the Notary stamps or seals, where applicable.

No Notary Verification Page:

If obtaining an in person notarized sworn statement is not possible, please complete this verification page instead of the notarized verification page. The Verification Page must be completed in full. This page must accompany all versions of this report including any confidential and public versions. An updated verification page is required with any amended or revised submission attesting to the added/revised information.

- (1) The **State of and County of:** Fields shall be filled with the location where the Declarant operates and where this document was completed.
- (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 Declarant:** Signature of authorized company representative completing the annual report.

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.