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COMMONWEALTH OF KENTUCKY

BEFORE THE PUBLIC SERVICE COMMISSION

In the Matter of:

ALLEGED FAILURE OF MARSHALL COUNTY ) CASE NO.  
ENVIRONMENTAL SERVICES, LLC TO FILE ) 2017-00032  
REQUIRED REPORTS

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DEPOSITION OF MAMIE MICHELLE ARTIS

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The deposition of MAMIE MICHELLE ARTIS, taken by the Public Service Commission pursuant to Notice on Wednesday, the 16th day of August 2017, at the hour of 11:00 a.m., at the offices of West Kentucky Reporting Services, 1526 Park Avenue, in the City of Paducah, County of McCracken, State of Kentucky, before me, Sarah Logeman, certified court reporter and Notary Public in and for the State of Kentucky at Large, to be used for the purpose of discovery and/or evidence and all other purposes allowed under the Kentucky Rules of Civil Procedure.

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A P P E A R A N C E S

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I N D E X

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ORIGINAL

1           The witness, MAMIE MICHELLE ARTIS, after  
2 first having been duly sworn, testified as  
3 follows:

4                           DIRECT EXAMINATION

5 BY MS. FELL:

6           Q.    Good morning. My name is Jennifer Fell,  
7 and I'm a staff attorney with the Office of  
8 General Counsel for the Public Service Commission.  
9 We're here today in the matter of Case No.  
10 2017-00032, The Alleged Failure of Marshall County  
11 Environmental Services, LLC to File Required  
12 Reports.

13                   Just for your guys' reference, I'm just  
14 going to refer to Marshall County Environmental,  
15 Services, LLC as "Marshall County" to save down on  
16 the talking. I just wanted to make sure you  
17 understood that.

18                   First things first, if you could, just  
19 provide your name for -- full name for the record?

20           A.    Mamie Michelle Artis.

21           Q.    So Michelle is your middle name?

22           A.    Yes, ma'am.

23           Q.    Okay. Do you mind to spell Mamie for us?

24           A.    M-a-m-i-e.

25           Q.    Thank you.

1 MS. FELL: If we could just go off the  
2 record very quickly.

3 (Off-the-record discussion.)

4 Q. Ms. Artis, it's my understanding just  
5 from some of the filings in this case with the  
6 Commission that you've experienced some medical  
7 problems; is that correct?

8 A. Yes. Yes, ma'am.

9 Q. Do you -- are you having any issues  
10 today, or are you on any medications that would  
11 prevent you from understanding my questions?

12 A. No, ma'am.

13 Q. Okay. Could you just quickly give me the  
14 status of your medical condition.

15 A. It's very stabilized. I've had 11 heart  
16 stents put in, in the last three years, four  
17 years. Three of them being recent.

18 Q. I hate to hear that, but I'm glad to hear  
19 that you're back to being stable.

20 Correct?

21 A. Yes, ma'am.

22 Q. If you could, just tell us where you  
23 work, Ms. Artis?

24 A. For our business MCES or Marshall County  
25 Environmental Service.

1 Q. Would that be easier for me to refer to  
2 it as MCES?

3 A. It's whatever is easier for you.

4 Q. Okay. I'll refer to it as MCES then. It  
5 sounds like that's what you're familiar with  
6 phrasing it as.

7 A. Yes, ma'am.

8 Q. How long have you worked for MCES?

9 A. We acquired the business in 2012.

10 Q. And when you say "we acquired the  
11 business," who is that?

12 A. My husband and I. William Allen Artis.

13 Q. You said you acquired it in 2012,  
14 correct?

15 A. Yes, ma'am.

16 Q. Okay. Are you both owners of that? What  
17 is your actual position or title with MCES?

18 A. I'm 51 percent shareholder and he's 49.

19 Q. Any other partners in that, or is it just  
20 the two of you as owners?

21 A. Just the two of us.

22 Q. Okay. Do you have any other officers?

23 A. No, ma'am.

24 Q. Okay. So what would your actual business  
25 title with MCES be?

1 A. I do all of the paperwork, the invoicing,  
2 accounts receivable, and accounts payable.

3 Q. Other than those, are there other duties  
4 you perform for MCES?

5 A. Safety monitor when my husband's, you  
6 know, in the -- down in the lift station or  
7 something like that.

8 Q. What is safety monitor? What does that  
9 entail?

10 A. Like, if he's having to climb up on a  
11 treatment plant or something, somebody that's  
12 there if there were to be an accident that could  
13 get -- like call 911 --

14 Q. Okay.

15 A. -- to get help.

16 Q. Prior to acquiring the ownership interest  
17 in 2012 with MCES, were you involved with Marshall  
18 County or MCES before that time?

19 A. No.

20 Q. Okay. Just briefly, I don't need a whole  
21 work history, but give us a brief history of what  
22 type of work you've done prior to that acquisition  
23 in 2012?

24 A. Primarily office management. For several  
25 years I was a portrait -- photographer consultant

1 but primarily office management.

2 Q. Did you have any experience in the sewer  
3 industry?

4 A. No. When we acquired -- or when we  
5 established the business, incorporated it, I had  
6 received my wastewater license then.

7 Q. So your license is something you got  
8 after you incorporated MCES?

9 A. Correct.

10 Q. Okay.

11 A. Or prior -- about the same time.

12 Q. Tell us a little bit about how you came  
13 about incorporating that business. What led to  
14 that decision?

15 A. My husband worked for a wastewater  
16 treatment facility, and we -- and he managed some  
17 facilities. Then we checked into purchasing two  
18 wastewater treatment facilities, and then that's  
19 when we incorporated the business.

20 Q. Okay. And I understand it looks like  
21 there was a Commission case 2012-436 in which it  
22 looks like Purchase Public Service Corporation  
23 d/b/a Great Oaks Subdivision was transferred to  
24 MCES?

25 A. That's correct.

1 Q. Okay.

2 A. That's one of the treatment facilities we  
3 acquired.

4 Q. Okay. What was the other treatment  
5 facility you acquired?

6 A. Golden Acres Subdivision.

7 Q. Was that around the same time?

8 A. It was the same time.

9 Q. Do you know was -- was approval requested  
10 from the Commission for that for Golden Acres?

11 A. That was also done by the Commission.

12 Q. Okay.

13 A. We acquired those two from the Public  
14 Service Commission.

15 Q. Do you know if it was within the same  
16 case as Purchase Public Service Corporation?

17 A. To my knowledge it was, yes, ma'am.

18 Q. All right.

19 A. I'm sorry. We acquired them from --  
20 Purchase Area Developmental is where we acquired  
21 those two businesses from, and the Public Service  
22 Commission was involved in it.

23 Q. Okay. Thank you.

24 MR. ADAMS: Would that be the Purchase  
25 Area Development District?



1 THE WITNESS: Correct.

2 MR. ADAMS: Okay. They refer to it as  
3 that's the PADD office down here.

4 MS. FELL: Sure.

5 BY MS. FELL:

6 Q. Now, you've given us some of the duties  
7 you perform at MCES. Do your duties also include  
8 filing reports with the Public Service Commission  
9 in compliance with the state statutes and  
10 regulations?

11 A. Yes, ma'am.

12 Q. Is there anyone else at MCES whose duties  
13 also include filing reports with the Public  
14 Service Commission?

15 A. My husband, as well.

16 Q. What is your current work e-mail address?

17 A. Mces431@gmail.com.

18 Q. And do you have a work contact number?

19 A. 270-205-1527.

20 Q. Okay. Are you aware as to whether those  
21 contacts are on file with the Public Service  
22 Commission as the utility's primary contact  
23 information?

24 A. Yes, ma'am. There may be one more phone  
25 number listed which would be my husband's.

1 Q. Okay. What would that number be if it  
2 was?

3 A. 270-205-1571.

4 Q. And the mces431@gmail.com is still a  
5 valid e-mail address?

6 A. Yes, ma'am.

7 Q. Okay. Ms. Artis, have you filed annual  
8 reports on behalf of MCES with the Public Service  
9 Commission in the past?

10 A. Yes, ma'am.

11 Q. Do you remember when that was?

12 A. This year.

13 Q. Okay. And when was that filed this year?

14 A. Honestly, I would -- maybe January --  
15 honestly, I don't remember the exact date.

16 Q. Does sometime in July ring a bell with  
17 you?

18 A. The most recent one, yes, was in July.

19 Q. And was that an annual report or both  
20 annual and gross operating reports?

21 A. Both.

22 Q. And to your knowledge, were there any  
23 problems with those filings?

24 A. The 2016 there were two questions that --  
25 because one -- the numbers were wrong in one

1 figure, it threw another figure off, so there was  
2 two errors in it.

3 Q. Okay. And that -- so that's in the  
4 gross -- wait a minute.

5 That would actually be in the gross  
6 operating report?

7 A. I believe so. The long report. I get  
8 them confused.

9 Q. Okay. Those discrepancies that you're  
10 talking about, have they been fixed?

11 A. I double-checked this morning, I went  
12 online, and, yes, ma'am, they are fixed.

13 Q. When you say you went online, have you  
14 refiled the report with the Commission?

15 A. Today I resubmitted the oath page because  
16 I wasn't for sure -- I had gotten an e-mail from  
17 Tom -- or Mr. Cline I think is his name. Jeff  
18 Cline. I had received an e-mail from him that I  
19 had mistakenly submitted Big Bear's oath page --  
20 Big Bear Wastewater Treatment Facility's oath page  
21 with my annual report instead of the MCES oath  
22 page.

23 So I went online today to double -- went  
24 ahead and resubmitted it because I've had so many  
25 medical issues the last several months that I

1 honestly couldn't remember. I wanted to make sure  
2 that they had it.

3 Q. Okay. So it sounds like you resubmitted  
4 the oath page which goes with the annual report?

5 A. Correct.

6 Q. Okay. What about the discrepancies that  
7 you mentioned there was a figure that was wrong  
8 that resulted in another figure that was wrong in  
9 your gross operating reports, have those been  
10 fixed and resubmitted?

11 A. Those were on the same two reports. The  
12 errors was on the same report that the oath page  
13 goes to.

14 Q. Okay.

15 A. And like I said, I get the titles of the  
16 two reports confused. One is the annual and one  
17 is the gross, but it was -- the two errors was on  
18 the report that does require the oath page to be  
19 submitted with it.

20 Q. Okay. But to your understanding, those  
21 discrepancies have been fixed?

22 A. Yes. Because I did double-check that  
23 when I was on there and did the checklist, and  
24 there was not showing any errors.

25 Q. Okay. So subject to check, it sounds

1 like this year you filed reports in July. There's  
2 been some issues, but maybe as of this morning,  
3 today, you've tried to resubmit those?

4 A. The oath page is the only thing I  
5 resubmitted today, yes, ma'am.

6 Q. Okay. What about prior to that? When  
7 was the last annual or gross operating report that  
8 you had filed with the Commission?

9 A. It was the beginning of this year. That  
10 may have been -- it was around January time.  
11 Prior to this year, I honestly -- because I had  
12 had so many health issues, I thought my husband  
13 had filed those reports because there was a couple  
14 of years -- when I submitted 2016's, I had I think  
15 it was two other years of the reports or one other  
16 year of the reports that I had to submit because I  
17 didn't realize that he hadn't done it.

18 Q. Okay. Let's back up just a little bit.  
19 Prior to -- the reports that you're talking about  
20 that were filed earlier this year were the actual  
21 2016 gross operating and annual report, correct?

22 A. Those were filed this year.

23 Q. Okay. Thank you.

24 And it looks like one of the other last  
25 gross operating reports we see filed by MCES was

1 for the year 2013 which was filed on May 19 of  
2 2014. Did you participate in the filing of that  
3 report for the -- for the year 2013?

4 A. Can I ask a question?

5 Q. Uh-huh.

6 A. Because, like I said, I get the -- I get  
7 the two reports confused. The one-page report  
8 where you actually put your revenue and stuff in  
9 and you mail that hard copy in, what is the title  
10 of that page?

11 Q. I'm actually not the best person to ask  
12 on these. I just know that there are the two  
13 different ones, gross operating and annual  
14 reports.

15 A. I know one of them is a bunch -- is  
16 several pages long, and one of them is only one  
17 page, and I constantly get -- I usually do them at  
18 the same time, try to do them at the same time,  
19 and so I get the two titles confused.

20 Q. Fair enough.

21 Do you recall, though, filing a report  
22 for the year of 2013?

23 A. Yes, ma'am.

24 Q. Okay. Did you have any help preparing  
25 that report?

1 A. With Mr. Cline, Jeff Cline.

2 Q. And when you say with the help of  
3 Mr. Cline, I'm assuming you just called in to ask  
4 some questions?

5 A. Correct.

6 Q. Okay. But as far as anyone on your end  
7 with MCES, did anyone else help you prepare that  
8 report?

9 A. My husband.

10 Q. And it looks like MCES has failed to file  
11 the gross operating reports for 2014 and 2015.

12 Can you explain why for us?

13 A. Those are -- that's the time when I  
14 started having my health issues, and I had thought  
15 that my husband had submitted them. But -- so  
16 when I did 2016, I went in and did those two as  
17 well. So everything should be filed, to my  
18 understanding.

19 Q. Okay. So when you submitted your 2016  
20 reports, you believe you also submitted 2014 and  
21 2015 gross operating reports?

22 A. Yes. Because I started with the oldest  
23 first, and in the matter of -- it took me about  
24 three weeks to do all three years, '14, '15, and  
25 '16, and -- but it was all within a three-week

1 time frame. I started with the oldest first.

2 Q. Did you make them as separate submissions  
3 or all just one file?

4 A. As I completed one and did the checklist,  
5 I submitted it, attached the oath page, and  
6 submitted it.

7 Q. Okay. I'll check to make sure we have  
8 those.

9 A. Okay.

10 Q. I have not seen them personally.

11 Have you ever had any issues with -- are  
12 you uploading them electronically through our  
13 system, the reports that you're speaking of for  
14 '14 and --

15 A. I just go through your website and I do  
16 it on your website.

17 Q. Okay. Have you ever had any issues?

18 A. Huh-uh, no.

19 Q. Does it bounce back or tell you there  
20 were any issues submitting it?

21 A. No.

22 Q. Same thing with the annual operating  
23 reports. Do you believe you've also filed those  
24 for the years '14 and '15?

25 A. Yes, ma'am.



1 Q. It looks like we had also been missing  
2 the annual operating report for 2013. Has that  
3 ever been filed?

4 A. To my knowledge, everything has been --  
5 has been filed because I did check into that when  
6 I -- when I found out from Mr. Cline that there  
7 was an issue, I did -- I started back at the  
8 oldest year and worked my way until -- and to my  
9 knowledge, everything is filed and has been.

10 Q. Well, the catching up of these reports it  
11 sounds like you're saying you've done, when did  
12 you do those?

13 A. It was this year.

14 Q. Okay.

15 A. Or maybe the -- yes. It was -- I don't  
16 know if my -- does it show a date online?

17 Q. It should, yes.

18 A. I can pull it up and see. I'm sorry.  
19 I'm used to doing it from a laptop. From my phone  
20 the screen is a little different. This is only  
21 pulling up the -- the, like, manuals and PDF  
22 format of procedures.

23 Q. Well, as we're sitting here going through  
24 the rest of the questions, if any kind of date  
25 comes to mind, just for my reference so I know

1 when to go look --

2 A. Okay.

3 Q. -- for those having been filed, that will  
4 be helpful.

5 A. Okay. And I do have my laptop in my car.  
6 So as soon as I leave here, I will definitely go  
7 online and look. I know they're all done. If for  
8 some reason, it didn't submit, then -- to my  
9 knowledge, they all submitted, but I do know  
10 they're all complete.

11 Q. Okay. The e-mail address  
12 mces431@gmail.com --

13 A. Uh-huh.

14 Q. -- how often is it checked, and who  
15 checks that e-mail address?

16 A. He and I both check it, and it pops  
17 through on my phone constantly. So as soon as I  
18 get -- you know, it's definitely checked daily.

19 Q. Okay.

20 A. I pretty much see the e-mails, you know,  
21 within a couple hours.

22 Q. Okay. I'm going to hand you this packet.  
23 This is a packet of just some -- the first one is  
24 a letter, and the rest are e-mails between -- a  
25 lot of them are from this same e-mail address

1 mces431@gmail.com and the Public Service

2 Commission.

3           Just quickly we'll look at just a few of  
4 these. The first one is a letter dated  
5 December 18, 2013. This letter was addressed to  
6 Michelle Artis at 1303 Pugh School Road, Benton,  
7 Kentucky. So it looks like as of this time  
8 period, December 2013, you were receiving mail on  
9 behalf of MCES, correct?

10         A. Correct.

11         Q. Okay. And if you could, look at the next  
12 page over. It's an e-mail from February 3, 2014.  
13 It's just a confirmation of your contact  
14 information.

15         A. Yes. Where I updated the P.O. box.

16         Q. And this was also to confirm the P.O. box  
17 as well as your -- it looks like e-mails were  
18 coming from the mces431 address, correct?

19         A. Yes, ma'am.

20         Q. Okay. And the next page is just a  
21 continuation of that one. The next page is an  
22 April 4, 2014 e-mail stating that the gross  
23 operating report for MCES was now past due, that  
24 it must be sent in, and that then you could  
25 request an extension on the annual report.

1           This e-mail was in response to an April  
2 3, 2014 e-mail which is at the bottom of the page  
3 from Michelle Artis, from yourself it looks like,  
4 asking for an extension.

5           Do you recall that?

6           A.    Yes, ma'am.

7           Q.    Okay.  Let's flip the page.  April 10,  
8 2014 states that your gross operating report had  
9 not been received, to please advise.

10          You can just flip on quickly?

11          April 24, 2014, just a notification that  
12 the gross report was still outstanding.

13          The next page as of May 13th, it looks  
14 like the Commission had received your gross  
15 operating report on May 12, 2014 and stating you  
16 had until -- you had an extension until May 30 of  
17 2014 to file the 2013 annual report.

18          A.    Yes, ma'am.

19          Q.    And then if you flip through the next  
20 few, there's one from July 28, 2014 stating that  
21 the extension had expired, the report was past  
22 due.

23          Just tell us at this point can you  
24 remember why there were any reasons that MCES had  
25 filed -- had failed to file that annual report?

1           A.    I had my first heart attack on  
2   September 13 of 2012, and from that point on, I've  
3   probably had 12 heart cath's since then, and -- 11  
4   or 12 stents.  I don't exactly remember.  I've  
5   lost track.  Too many.

6                    But I've had a lot of major health issues  
7   from when I had my first heart attack September  
8   13th of '12, and some -- I would see these  
9   e-mails.  I was in the hospital a lot.  And  
10  that's -- I just didn't follow up with my husband  
11  to make sure it was taken care of, to be honest.

12           Q.    Was there any conversation between you  
13  and your husband or any understanding that he  
14  needed to be filing these reports while you  
15  were --

16           A.    Yes, ma'am.

17           Q.    So you guys had had conversations about  
18  the reports and the need to file those?

19           A.    Correct.

20           Q.    Okay.  Just continuing on, September 8 it  
21  looks like you were registered to E-file as of  
22  that time?

23           A.    Yes, ma'am.

24           Q.    And flip on over.  There's a couple more  
25  reminders December 16th of 2014, and the next

1 e-mail is a couple pages on over, April 15th of  
2 2015, there was a reminder to file annual reports.

3           The next e-mail from April 23rd of 2015.  
4 It looks like again this was in an e-mail in  
5 response to a request to have an extension for the  
6 annual report?

7           A.    Yes, ma'am.

8           Q.    The e-mail that was coming from was a  
9 wmartis42025@gmail.com. Is that your e-mail  
10 address?

11          A.    That is a personal -- our personal e-mail  
12 address.

13          Q.    Would that e-mail have come from you or  
14 from your husband?

15          A.    Honestly, I -- I would not know because  
16 our phones are set up to -- we had several  
17 different e-mail addresses in our phone, and I  
18 know at one time it was set up -- when we sent  
19 outgoing e-mail -- all e-mail comes to our phones,  
20 but outgoing, his was set up with that wmartis4205  
21 as far as outgoing, and so was mine. Which  
22 they've since been corrected.

23          Q.    Okay. Do you believe it would have been  
24 your husband addressing this at this time? Were  
25 you possibly --

1           A.    No.  I sent -- I sent this e-mail  
2 requesting an extension.

3           Q.    Okay.  The next one over is just a  
4 reminder that the gross report -- operating report  
5 was late.

6                    The next one is for May 27, 2015.  Again,  
7 it's the Commission advising that we needed at  
8 least the gross report.  It gives instructions on  
9 how to request an extension on your annual report  
10 if we received your gross report.

11                   The next e-mail over is from May 28,  
12 2015.  Again, asking you to please e-mail your  
13 gross operating report and request an extension on  
14 your annual report.

15                   Next we're looking at August 7, 2015.  
16 Your extension for the 2014 annual report had  
17 lapsed, and your report was considered past due.  
18 The Commission staff asked you to please submit  
19 that report by August 31 of 2015.

20                   Just following on, May 5th of 2016 there  
21 was a Notice of Delinquent Report for 2015, and it  
22 says -- there's basically a reminder that this --  
23 same delinquency for reports for 2014.

24                   The next couple e-mails are from May 5 --  
25 or sorry, the next one is November 21st, again, a

1 reminder of those missing reports, and then the  
2 last e-mail of this chain is January 14 of 2016, a  
3 gentle reminder to file annual reports by March  
4 31st of 2016.

5           Do you dispute that you or it looks like  
6 possibly your husband failed to receive any of  
7 these e-mails?

8           A.    No, ma'am.  We did receive them.

9           Q.    Okay.  Other than the fact that you've  
10 experienced some health issues, is there any other  
11 explanation why those reports were not filed  
12 timely in response to all of these e-mails?

13          A.    Aside from my health issues, it was on my  
14 part the assumption that they were done -- that he  
15 had taken care of them.  Lack of communication.  
16 But I have since -- when I filed all of these, I  
17 have since set me as the primary person to be  
18 responsible for these that way I know that they  
19 are taken care of in a timely manner.

20          Q.    It sounds like you have some possible,  
21 I'm not sure if it's accounting background, but  
22 you've done some accounts receivable/accounts  
23 payable, those kind of reports.

24          A.    Yes, ma'am.

25          Q.    And fixing these annual reports, it's a



1 lot of financial information and statistics added  
2 in there.

3 Did your husband have any type of  
4 background to assist him in preparing this type of  
5 report, the gross operating or annual reports?

6 A. He does the gross report and annual  
7 reports for Big Bear Wastewater Treatment  
8 Facility.

9 Q. You said it's Big Bear...

10 A. Wastewater.

11 Q. And how long has he done those for Big  
12 Bear?

13 A. At least two years if not three.

14 Q. Do you have any idea if he had been doing  
15 those for Big Bear Wastewater why he would not be  
16 knowledgeable that these had not been filed for  
17 MCES?

18 A. To be honest with you, I -- I mean, he  
19 was knowledgeable that ours were not filed because  
20 we talked about it when I was in the hospital.  
21 And I think with his workload at the time that he  
22 just forgot to do them, to be honest.

23 Q. Has MCES -- I know you stated that you've  
24 kind of made yourself the primary person in charge  
25 of these. Are there any official implementation

1 of changes or procedures that will ensure the  
2 timely filing of the annual and gross operating  
3 reports in the future?

4 A. Yeah. No matter what, they're going to  
5 be done in time. I will definitely make sure of  
6 that. I was -- I'm logging in to -- and I -- I  
7 was checking on the '13, '14, and '15 on here -- I  
8 seen a web link to log in -- on the annual  
9 reports. And '13 on here is -- should I re- -- I  
10 mean, it's done and, of course, has been.

11 Will somebody let me know if these -- if  
12 for some reason you-all don't have them and I need  
13 to resubmit?

14 Q. We will -- I will look at that.

15 A. Okay.

16 Q. And if for some reason those have not  
17 come through...

18 A. Any of those, yeah. Because they are all  
19 complete.

20 Q. Okay. If you give me just a second, I  
21 just want to look through something quickly.

22 A. The gross is the short report, and the  
23 annual is the big one.

24 (Off-the-record discussion.)

25 Q. Just one more time, I just asked -- it

1 sounds like you've made yourself in charge of  
2 these reports --

3 A. Yes, ma'am.

4 Q. -- going forward. I don't know if you've  
5 set any kind of reminders for yourself.

6 A. Yes, ma'am.

7 Q. Just going forward any other plans to  
8 ensure these reports are filed?

9 A. Part of the -- there was two of the years  
10 that we had -- our CPA had gotten -- we had to  
11 file an extension on our taxes. So to do the big  
12 report, I was waiting on my copy of our tax  
13 returns.

14 Q. And by "big report," you're referencing  
15 the annual report?

16 A. Yes, ma'am.

17 Q. Yes.

18 A. And so that was some of the, you know,  
19 delay in those as well. Because I know the one  
20 year we didn't -- I think it was '15, we didn't  
21 get the -- our tax returns from our CPA until  
22 October probably, so...

23 Q. From the list of e-mails that we went  
24 over, I understand you've had health issues and  
25 there may have been some miscommunication or

1 failure to follow up with your husband to ensure  
2 that the past reports were filed, but it looks  
3 like MCES was receiving the reminders and e-mails  
4 asking for those reports to be filed over that  
5 time period, correct?

6 A. Yes, ma'am.

7 MS. FELL: Okay. I don't think I  
8 actually have any further questions. I would move  
9 to introduce this chain of e-mails as Collective  
10 Exhibit 1.

11 MR. ADAMS: No objection.

12 (Deposition Exhibit No. 1 marked for  
13 identification by the reporter.)

14 MR. ADAMS: And I just have a few  
15 questions, if I may.

16 CROSS-EXAMINATION

17 BY MR. ADAMS:

18 Q. Michelle, you mentioned, I believe, that  
19 your first heart attack was on September 13, 2012.

20 A. Yes, ma'am -- yes, sir, I'm sorry.

21 Q. I've been called way worse today.

22 Did you have any stents before that date?

23 A. No. I had no heart issues at all.

24 Q. I understand what you went through. I  
25 had my first one on July -- or June 26, 2015.

1 Tell -- for the benefit of the Commission, tell  
2 them a little bit what it was like, your recovery  
3 period, after that heart attack?

4 A. That heart attack, I was in actually -- I  
5 had gotten -- received, however -- I don't know  
6 the terminology. But a hematoma where I had --  
7 the heart cath insertion point was, and I was  
8 actually in ICU for four days then and then in the  
9 regular hospital room for approximately four days.

10 Got out of the hospital, then the very  
11 next day I was back in the hospital again for  
12 another week because then they had to go in and  
13 put in another stent, and I had the same problem  
14 with the blood clot when they did the heart cath,  
15 so the same -- you know, in ICU for several days  
16 and in the hospital.

17 That's not the normal, it's just that's  
18 my luck. And so -- and then the recovery period  
19 was even longer after that because of the hematoma  
20 and the blood clots, and then since then, I've had  
21 multiple different kinds of stress tests, have to  
22 go in to get those done, ultrasounds of my heart.

23 I've got coronary artery disease, small  
24 vessel disease, congestive heart failure, a lot of  
25 hereditary issues that I had no idea that I had.

1 And I would say last year I was probably in the  
2 hospital I would say at least three months out of  
3 the -- a total of three months out of the year,  
4 and it's been that way since I had had my heart  
5 attack, the first one, getting stents and with the  
6 heart issues.

7           But we've done a -- in June -- the middle  
8 of June of this year -- or I'm sorry, the end of  
9 June, they had put in another stent because they  
10 had found that I had 90 percent blockage in my  
11 main vessel, and then went back in a week -- and  
12 there was two more blockages that they were aware  
13 of, but at the time it was too dangerous to do it.

14           So I had to go back a week later -- two  
15 weeks later and get those done. But according to  
16 the heart doctor, we have everything under control  
17 now, so...

18           Q.    Would you be safe to say that it takes  
19 you probably three to four weeks after any stent  
20 being put in for you to get back to whatever the  
21 new normal is?

22           A.    Oh, at least. And then after that -- and  
23 then prior to having blockages and having more  
24 stents in, I would have like a period of a month  
25 prior to that of just no energy and not being able

1 to walk across the room without running short of  
2 breath, and then it would -- you know, come to  
3 find out it would be because of another blockage.

4 Q. Would it be safe to say that  
5 September 13, 2012 was a wake-up call?

6 A. Oh, yeah, very much so.

7 Q. And since then you've been just  
8 addressing and trying to figure out what the new  
9 normal is?

10 A. Correct.

11 Q. You look pretty good today.

12 A. I feel great.

13 Q. Based upon what you've learned over the  
14 last several -- five years, I guess, have you --  
15 did you have a plan in place for what would happen  
16 with MCES if you were to go down?

17 A. Prior, no, I did not. I do now.

18 Q. And would it be safe to say -- and I'm  
19 just going to draw a conclusion. If I'm right,  
20 describe it for me. If I'm wrong, tell me I'm  
21 wrong. Would it be safe to say that you're the  
22 person primarily responsible for the paperwork  
23 aspect of MCES, and your husband is primarily  
24 responsible for the operational issues?

25 A. Absolutely.

1 Q. Who was your primary -- who were your  
2 primary caretakers when you've been recovering  
3 from these heart issues?

4 A. Dr. Bose was --

5 Q. I'm talking about human beings, not  
6 doctors.

7 A. Oh, oh, oh.

8 Q. We'll talk about our cardiologists after  
9 this is over.

10 A. My husband was there a lot, and then my  
11 mom. You know, family.

12 Q. So your husband was involved in your --

13 A. Oh, very much so. He stayed with me at  
14 the hospital, because it's such a serious issue,  
15 you know, most of the time.

16 MR. ADAMS: Thank you, Michelle.

17 REDIRECT EXAMINATION

18 BY MS. FELL:

19 Q. Just one more. I don't want to beat a  
20 dead horse here.

21 Your counsel just asked you -- it sounds  
22 like before like you just said, there had been no  
23 plan for what would happen if you had health  
24 issues --

25 A. Correct.



1 Q. -- as to who would take over your duties  
2 at MCES.

3 A. Uh-huh.

4 Q. It sounds like maybe now there is some  
5 type of plan if you do have future medical issues.

6 Is there anyone else you've kind of  
7 talked to who could come in to help with those  
8 duties with MCES or --

9 A. I have. My husband -- if I'm not able,  
10 he is the next person to -- to be responsible.  
11 But I have put a plan in place with my CPA, and we  
12 had -- and she's even logged on under my name  
13 after I completed all these reports earlier in the  
14 year, she logged in under my name and, you know,  
15 looked at what it entails.

16 And she has agreed, you know, for a fee  
17 that she would do these reports if need be.

18 Q. And what's the name of the -- who is your  
19 CPA?

20 A. Kim Denton or Clayton, Byrd, & Meeks.

21 Q. I'm sorry. Do you mind to say that  
22 again?

23 A. Clayton, C-l-a-y-t-o-n, comma, Byrd,  
24 B-r-y-r-d -- yeah, B-y-r-d, and Meeks, M-e-e-k-s.

25 Q. Okay. Thank you.

1           A.    Uh-huh.  So I actually have two back-ups.

2                   MS. FELL:  Okay.  I don't think I have  
3 any further questions.

4                   MR. ADAMS:  I don't either.

5                   (The deposition was concluded at 11:44 a.m.)

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1 STATE OF KENTUCKY )  
2 COUNTY OF McCRACKEN ) ss

3  
4 I, SARAH LOGEMAN, CSR (KY), and Notary  
5 Public in and for the State of Kentucky at Large,  
6 do hereby certify that the above and foregoing is  
7 a true, correct and complete transcript of the  
8 deposition of MAMIE MICHELLE ARTIS, taken at the  
9 time and place and for the purpose set out in the  
10 caption hereof; that said witness was duly sworn  
11 by me; that said deposition was taken down in  
12 stenotype by me and thereafter transcribed; that  
13 the appearances were as set out in the caption  
14 hereof; and that no request was made by counsel  
15 for either party that the deposition be submitted  
16 to the witness for signature.

17  
18 I further certify that I am neither attorney  
19 for, nor counsel for, nor related to, nor employed  
20 by any of the parties to the action in which this  
21 deposition is taken; and further, that I am not a  
22 relative or employee of any attorney or counsel  
23 employed by the parties hereto nor financially  
24 interested in the action.

25 My commission expires November 12, 2019.

Given under my hand and seal of office on  
this the 16th day of August 2017.

*Sarah Logeman*

\_\_\_\_\_  
SARAH LOGEMAN, CSR (KY)  
Notary Public, 545575  
State of Kentucky at Large





Steven L. Beshear  
Governor

Leonard K. Peters  
Secretary  
Energy and Environment Cabinet

Commonwealth of Kentucky  
**Public Service Commission**  
211 Sower Blvd.  
P.O. Box 615  
Frankfort, Kentucky 40602-0615  
Telephone: (502) 564-3940  
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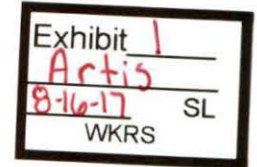
David L. Armstrong  
Chairman

James W. Gardner  
Vice Chairman

Linda Breathitt  
Commissioner

December 18, 2013

Michelle Artis  
Marshall County Environmental Services, LLC  
1303 Pugh School Road  
Benton, KY 42025



RE: **2013 Annual Reporting**  
Sewer  
Utility ID: 9003800

Dear Ms. Artis:

One original signed and notarized copy of the enclosed Report of Gross Operating Revenues ("Gross Report") for calendar year 2013 is required to be filed by **March 31, 2014** pursuant to KRS 278.140 and 807 KAR 5:006, Section 4(1). Please ensure that the Gross Report filed with the commission is complete, including utility's default regulatory email address pursuant to 807 KAR 5:006, Section 3(2). Additional copies of this form can be found on our web site under Utility Information / Forms.

The Annual Financial and Statistical Report ("Annual Report") for calendar year 2013 can also now be completed and is required to be submitted by **March 31, 2014** pursuant to 807 KAR 5:006, Section 4(2). Please use the commission's e-filing system for the Annual Report submission. **Be advised that a new upload feature has been implemented within the Annual Report e-filing system for the signed and notarized Oath Page as well as all other supporting documents.** Upon completion of the electronic Annual Report form, you may electronically create and print the Oath Page and after it is signed and notarized, simply scan and upload it back into the system. This will omit the requirement for the hard copy of the Oath Page. Further, there is also a supporting document upload page to include additional pages, if necessary, and in the event you had an audit performed and the Audit Report is ready at the time of your Annual Report submission, it may be uploaded to be included with the Annual Report submission. As in previous years, please notify us that you have completed your Annual Report and have uploaded your Oath Page by selecting Change Status / Complete from the Tools menu. **Please be aware that if you upload your Oath Page, a hard copy is no longer required.** Helpful tips and instructions are available on our web site under Commission Records / Financial Reports / E-File Help.

-----Original Message-----

From: Cline, Jeff D (PSC)  
Sent: Monday, February 03, 2014 10:29 AM  
To: 'MCES'  
Subject: E-File Instructions, Registering, and Copy of December Letter With Gross Report

Dear Ms. Artis:

Thank you for providing me with contact update information. The information has now been updated.

It was great speaking with you last Friday. As we discussed, this email will hopefully provide you with some information to help you with filing the 2013 Gross Report and Annual Report. The Gross Report should be filled out and mailed in and the Annual Report can be completed electronically.

I have attached 3 PDF files.

Reminder letter: The Reminder Letter PDF is the letter and copy of a blank Gross Report I issued in December. The Gross Report is the 3rd page of this PDF. If you have not received your copy in the mail, please simply print from the PDF file and have the Gross Report filled out, signed and notarized, and mailed in before March 31, 2014.

EFile Registration: The EFile Registration PDF is helpful if you have not yet registered to file Annual Reports on the KPSC web site, these instructions will step you through on how to register.

Annual Report Instructions: The Annual Report Instructions PDF will provide you with tips and explain the process of navigating through the electronic Annual Report system. Please remember to print the Oath Page from the very last page of the report (using the hyper-links on the left side of the screen to access the Oath Page. After printing and having it signed and notarized, please scan and then upload the completed page back into the electronic system by referring to the step 2 on the Oath Page schedule. After the entire report is complete and the Oath Page has been uploaded, you may go to the Tools menu and change the status of all schedules to complete.

Should you have any questions along the way, please do not hesitate to email or call.

Jeff D. Cline  
Annual Report Branch Manager  
Kentucky Public Service Commission  
211 Sower Boulevard  
PO Box 615  
Frankfort, KY 40602

Phone: 502.782.2623 | Fax: 502.564.3460 | Web: [www.psc.ky.gov](http://www.psc.ky.gov)

-----Original Message-----

From: MCES [<mailto:mc431@gmail.com>]  
Sent: Friday, January 31, 2014 4:50 PM  
To: Cline, Jeff D (PSC)  
Subject: Address Change

Can you please change the mailing and contact information for Marshall County Environmental Services to the following.

MCES  
PO Box 431  
Benton, KY 42025

Contacts are as follows:  
Michelle Artis 270-205-1527  
William "Allen" Artis 270-205-1571

Email: [mces431@gmail.com](mailto:mces431@gmail.com)

Thank You,  
Michelle Artis - owner  
Sent from Michelle's iPhone

-----Original Message-----

From: PSC - Reports

Sent: Friday, April 04, 2014 4:13 PM

To: 'MCES'

Subject: RE: Mashall County Environmental Services - E-File Instructions, Registering, and Copy of December Letter With Gross Report

You would first need to send in a hard copy of the Report of Gross Operating Revenues (now past due if not already submitted). After receipt of that report, you can then generate an email to [PSC.Reports@ky.gov](mailto:PSC.Reports@ky.gov) requesting a 30-day extension for filing the Annual Report and please provide an explanation as to the reason for the extension request within that email.

-----Original Message-----

From: MCES [<mailto:mces431@gmail.com>]

Sent: Thursday, April 03, 2014 10:04 AM

To: Cline, Jeff D (PSC)

Subject: Re: Mashall County Environmental Services - E-File Instructions, Registering, and Copy of December Letter With Gross Report

Mr. Cline,

I am sorry for the late notice, I would like to request an extension on filing the financial reports. How do I need to go about doing that? Thank you, for your help.

Sincerely,

Michelle Artis

Marshall County

Environmental Services

Sent from Michelle's iPhone

-----Original Message-----

From: PSC - Reports

Sent: Thursday, April 10, 2014 10:01 AM

To: 'MCES'

Subject: RE: Mashall County Environmental Services - E-File Instructions, Registering, and Copy of December Letter With Gross Report

The hard copy Report of Gross Operating Revenues has not yet been received. Please advise so that your Annual Report extension can be addressed.



-----Original Message-----

From: PSC - Reports

Sent: Thursday, April 24, 2014 10:01 AM

To: 'MCES'

Subject: RE: Mashall County Environmental Services - E-File Instructions, Registering, and Copy of December Letter With Gross Report

This is still outstanding and the hard copy filing of this report now past due. Please advise

Here are links to the Report of Gross Operating Revenues:

PDF version - <http://psc.ky.gov/agencies/psc/forms/gor01.pdf>

Word version - <http://psc.ky.gov/agencies/psc/forms/gor01.doc>

**From:** PSC - Reports

**Sent:** Tuesday, May 13, 2014 2:17 PM

**To:** MCES (mces431@gmail.com)

**Subject:** Marshall County Environmental Services, LLC - 2013 Annual Financial and Statistical Report Extension

Please be advised that we received the Report of Gross Operating Revenues by email on May 12, 2014. Please forward a hard copy of that report so that it can be considered filed. Also, you now have until May 30, 2014 to electronically submit the 2013 Annual Financial and Statistical Report.

Annual Report Reminders for new process regarding Audit Reports and Oath Page:

1) If the utility had an audit performed in 2013, please upload a copy of the Audit Report with your e-filed Annual Report by utilizing the Support Document Upload page (2nd to last schedule of the Annual Report).

2) The Annual Report Oath Page should be printed from the last schedule of the Annual Report, signed and notarized, scanned, and then uploaded back into the last schedule of the Annual Report. Do not mark all schedules complete for the Annual Report until after the completed Oath Page has been uploaded back into Annual Report.

If a document is uploaded and e-filed with your Annual Report, a hard copy is no longer required.

**Internet Explorer browser Users that are e-filing Financial Reports and having difficulty**, Please check the following documents for common issues facing users filing for the 2013 period.

**IE version 10** – Issue: If when scrolling your cursor bounces back to the top of the screen:  
Solution Steps

**IE version 11** – Issue: If you Log in successfully but then return to Public View: Solution Steps

Please do not hesitate contacting me should you have any questions.

Jeff D. Cline  
Annual Report Branch Manager  
Kentucky Public Service Commission  
211 Sower Boulevard  
PO Box 615  
Frankfort, KY 40602

[www.psc.ky.gov](http://www.psc.ky.gov)

**From:** Cline, Jeff D (PSC)

**Sent:** Monday, July 28, 2014 9:01 AM

**To:** MCES (mces431@gmail.com)

**Cc:** Cline, Jeff D (PSC)

**Subject:** Marshall County Environmental Services, LLC - 2013 Annual Financial and Statistical Report  
Past Due

Please be advised that your extension for filing the 2013 Annual Financial and Statistical Report has now expired and the report is considered past due. Should you wish to request an additional extension, you may issue an email to [PSC.Reports@ky.gov](mailto:PSC.Reports@ky.gov) to submit the request and an explanation for the need of the extension. Otherwise, please e-file the report by July 31, 2014.

Do not hesitate contacting me should you have any questions.

Jeff D. Cline  
Annual Report Branch Manager  
Kentucky Public Service Commission  
211 Sower Boulevard  
PO Box 615  
Frankfort, KY 40602

[www.psc.ky.gov](http://www.psc.ky.gov)  
(502) 564-3940

-----Original Message-----

From: Cline, Jeff D (PSC)

Sent: Monday, September 08, 2014 1:14 PM

To: MCES

Subject: RE: MCES

Hi Michelle,

It looks like you registered to e-file today. I have just now approved the record so you may now log in to the Annual Report from the KPSC web site ([www.psc.ky.gov](http://www.psc.ky.gov)) and click the log-in button in the top left side of the screen.

Regards,

Jeff D. Cline  
Annual Report Branch Manager  
Kentucky Public Service Commission  
211 Sower Boulevard  
PO Box 615  
Frankfort, KY 40602

[www.psc.ky.gov](http://www.psc.ky.gov)

(502) 564-3940

-----Original Message-----

From: MCES [<mailto:mces431@gmail.com>]

Sent: Monday, September 08, 2014 1:09 PM

To: Cline, Jeff D (PSC)

Subject: MCES

This is Michelle Artis with Marshall County Environmental Services and I am trying to finally file the annual report on line but when I log in it doesn't give me that option. Can you please advice? Thank you.

Sent from Michelle's iPhone

**From:** Cline, Jeff D (PSC)  
**Sent:** Tuesday, December 16, 2014 4:07 PM  
**To:** 'mces431@gmail.com'  
**Subject:** Required Reporting to KPSC Due NLT March 31, 2015

**If you are not the individual that completes Gross and Annual Reporting on behalf of Marshall County Environmental Services, LLC, please forward to the proper person as this email contains pertinent requirement information including links to forms that can be printed for filing.**

This correspondence is to serve as a reminder for Marshall County Environmental Services, LLC that the 2014 Sewer Report of Gross Operating Revenues ("Gross Report") and the Annual Financial and Statistical Report ("Annual Report") are required to be filed with the Kentucky Public Service Commission no later than March 31, 2015.

Please note: If your company provides more than one service type, separate reports should be submitted for each service type.

### **Gross Report**

One original signed and notarized original hard copy of the Gross Report for calendar year 2014 is required to be filed pursuant to KRS 278.140 and 807 KAR 5:006, Section 4(1). Ensure that the Gross Report filed with the Commission is complete, including utility's default regulatory email address, pursuant to 807 KAR 5:006, Section 3(2).

**The blank Gross Report should be printed**, filled out, signed/notarized, and mailed to the mailing address provided at the bottom of this email.

**Refer to the following links for printing the Gross Report in the format of your choice:**

**PDF version:** <http://psc.ky.gov/agencies/psc/forms/gor01.pdf>  
**Word version:** <http://psc.ky.gov/agencies/psc/forms/gor01.doc>

If you are unable to print the Gross Report using the links provided above and would like to request a blank hard copy Gross Report mailed to you, please simply contact us by generating an email to [PSC.Reports@ky.gov](mailto:PSC.Reports@ky.gov).

### **Annual Report**

The Annual Report for calendar year 2014 should be completed by utilizing the Commission's e-filing system pursuant to 807 KAR 5:006, Section 4(2). When you are satisfied with your entire Annual Report submission and have uploaded your Annual Report Oath Page, you can complete the submission of your electronic Annual Report by going to the Tools menu and changing status of all schedules to complete. Electronic submissions made without an Annual Report Oath Page will not be accepted as filed. A hard copy is no longer required.

You may electronically create and print the Annual Report Oath Page under the Create and Upload Oath Page schedule within the e-file system. This page is the last schedule shown on the left side of the screen and should be used only to create and upload the completed Oath Page. After your Annual Report Oath Page is signed and notarized, simply scan and upload it back into the system under this same schedule. If you do not have scanning capabilities, you may mail a hard copy Oath Page to the address provided at the bottom of this email and we will upload on your behalf. If you cannot create and print the Oath Page, please refer to the Tips and Problem Solving information section in this email.

Further, there is also an Upload Supporting Documents page to allow you a method to upload additional pages related to your Annual Report, if necessary. This page is the 2<sup>nd</sup> to last schedule shown on the left side of the screen. In the event you had an Audit performed and the Audit Report is ready at the time of

your Annual Report submission, a PDF copy of the Audit may also be uploaded to be included with the Annual Report submission under this schedule.

### **Annual Report Tips and Problem Solving**

Making use of the checklist near the end of the report will help you eliminate cross-reference issues found in your report prior to submission. Be sure to click the Save button on each page when completing your Annual Report prior to moving on to the next page. Also, after you save each page of your Annual Report, if you scroll back to the top of each individual page and look for any description shown in red, this will bring attention to total errors that should be corrected prior to final submission.

Other helpful tips and instructions are available on our web site at:  
<http://psc.ky.gov/agencies/psc/AnnualReport/AnnRptInstructions.pdf>

For any Internet Explorer browser users that are having difficulty with creating or uploading material, please review the following documents for common issues facing users with Internet Explorer browser versions 10 and 11.

IE version 10 – Issue: If when scrolling, your cursor bounces back to the top of the screen:  
Link: [Solution Steps](#)

IE version 11 – Issue: If you Log in successfully but then return to Public View and cannot access UFR:  
Link: [Solution Steps](#)

If you have attempted the above solutions and are still having difficulty, please contact us by email or phone.

### **Extension Requests**

An extension of time request for submitting the Gross Report cannot be granted and prompt filing is essential. However, the Commission may occasionally, upon written request, allow a 30-day extension of time for filing the Annual Report. The request **must** provide a reasonable explanation and be submitted prior to the March 31 deadline. **Annual Report extensions may be requested by generating an email to [PSC.Reports@ky.gov](mailto:PSC.Reports@ky.gov).**

Any utility failing to comply with reporting requirements may be subject to the impositions of penalties provided under KRS 278.990, and legal action to collect any fines and balances due.

Should you have any questions regarding reporting requirements, please do not hesitate to contact us at [PSC.Reports@ky.gov](mailto:PSC.Reports@ky.gov) or (502) 564-3940.

Jeff D. Cline  
Annual Report Branch Manager  
Kentucky Public Service Commission  
211 Sower Boulevard  
PO Box 615  
Frankfort, KY 40602

[www.psc.ky.gov](http://www.psc.ky.gov)  
(502) 564-3940

**From:** Cline, Jeff D (PSC)

**Sent:** Wednesday, April 15, 2015 10:52 AM

**To:** 'mces431@gmail.com'

**Subject:** Past Due 2014 Report of Gross Operating Revenues and Annual Financial and Statistical Report

Please be advised that Marshall County Environmental Services, LLC's 2014 Report of Gross Operating Revenues ("Gross Report") and Annual Financial and Statistical Report ("Annual Report") were required to be submitted by March 31, 2015 and are now past due and considered highly delinquent pursuant to 807 5:006, Section 4. Swift action to comply with the reporting requirement will prevent a show cause action and penalties implemented pursuant to KRS 278.990.

Refer to the following links for a blank copy of the missing Gross Reports.

<http://psc.ky.gov/agencies/psc/forms/gor01.pdf>

The Annual Report is to be completed online on the KPSC web portal by using the same log-in information as used in previous years.

It is essential that I receive these reports immediately because of a statutory deadline. **Please mail the original completed forms to me on or before April 22, 2015** so that the company can return to good standing pertaining to reporting requirements with the Kentucky Public Service Commission.

An extension for the Gross Report is not possible and the 2014 original Gross Report should be mailed. However, should you wish to request an extension for the Annual Report, please provide a brief explanation for the need of the extension and request by email directed to [PSC.Reports@ky.gov](mailto:PSC.Reports@ky.gov).

Do not hesitate to contact me by email with any questions or to provide feedback in this matter.

Jeff D. Cline  
Annual Report Branch Manager  
Kentucky Public Service Commission  
211 Sower Boulevard  
PO Box 615  
Frankfort, KY 40602

[www.psc.ky.gov](http://www.psc.ky.gov)

-----Original Message-----

From: PSC - Reports

Sent: Thursday, April 23, 2015 2:07 PM

To: 'Shell'

Subject: RE: Marshall County Environmental Services

Michelle,

The Gross Report was due March 31 and no extension is possible. Please mail the Gross Report so your Annual Report extension request can be addressed.

Jeff D. Cline

Annual Report Branch Manager

Kentucky Public Service Commission

211 Sower Boulevard

PO Box 615

Frankfort, KY 40602

[www.psc.ky.gov](http://www.psc.ky.gov)

-----Original Message-----

From: Shell [<mailto:wmartis42025@gmail.com>]

Sent: Wednesday, April 15, 2015 6:52 PM

To: PSC - Reports

Subject: Marshall County Environmental Services

I would like to request an extension on or report. I am out of town until the month.

Sent from Michelle's iPhone



**From:** Cline, Jeff D (PSC)  
**Sent:** Tuesday, May 26, 2015 10:14 AM  
**To:** 'Shell'  
**Cc:** 'mces431@gmail.com'; PSC - Reports  
**Subject:** FW: Past Due 2014 Report of Gross Operating Revenues and Annual Financial and Statistical Report

Michelle, the Gross Report is late and we needed it quickly because of a statutory date coming up next Monday.

**From:** Cline, Jeff D (PSC)  
**Sent:** Wednesday, May 27, 2015 8:39 AM  
**To:** 'Shell'  
**Subject:** RE: Past Due 2014 Report of Gross Operating Revenues and Annual Financial and Statistical Report

At least get the Gross Report to us so we don't have to predict revenue. Please request 30 day extension for the Annual by generating an email to [PSC.Reports@ky.gov](mailto:PSC.Reports@ky.gov) and providing a reason for the request. Without us having the Gross Report and at least an extension for the Annual, the company is no longer in compliance.

Regards,

Jeff D. Cline  
Annual Report Branch Manager  
Kentucky Public Service Commission  
211 Sower Boulevard  
PO Box 615  
Frankfort, KY 40602

**From:** Shell [<mailto:wmartis42025@gmail.com>]  
**Sent:** Tuesday, May 26, 2015 8:18 PM  
**To:** Cline, Jeff D (PSC)  
**Subject:** Re: Past Due 2014 Report of Gross Operating Revenues and Annual Financial and Statistical Report

I am sorry for the delay. I am still waiting on the information from the CPA. I will check with them again on Wednesday to check the status of it. Again, sorry for the delay.

Sent from Michelle's iPhone

**From:** Cline, Jeff D (PSC)

**Sent:** Thursday, May 28, 2015 11:13 AM

**To:** 'Shell'

**Cc:** PSC - Reports

**Subject:** RE: Past Due 2014 Report of Gross Operating Revenues and Annual Financial and Statistical Report

Can you please simply email me the Kentucky Intrastate Gross Revenue figure today? We really don't want to estimate this as it should be correct for the upcoming PSC Assessments. After you email me Gross figure, please drop the hard copy Gross Report in the mail. Then, if you haven't already, request an extension for filing the Annual Report by emailing a request, with explanation, to [PSC.Reports@ky.gov](mailto:PSC.Reports@ky.gov) to keep this company in compliance.

Regards,

Jeff D. Cline  
Annual Report Branch Manager  
Kentucky Public Service Commission  
211 Sower Boulevard  
PO Box 615  
Frankfort, KY 40602

[www.psc.ky.gov](http://www.psc.ky.gov)

-----Original Message-----

From: PSC - Reports

Sent: Friday, August 07, 2015 2:36 PM

To: 'Shell'

Subject: RE: Marshall County Environmental Services

Extensions for the 2014 Annual Report has now lapsed and this report is considered past due. Please submit no later than August 31, 2015.

Jeff D. Cline

Annual Report Branch Manager

Kentucky Public Service Commission

211 Sower Boulevard

PO Box 615

Frankfort, KY 40602

[www.psc.ky.gov](http://www.psc.ky.gov)

-----Original Message-----

From: Shell [<mailto:wmartis42025@gmail.com>]

Sent: Wednesday, April 15, 2015 6:52 PM

To: PSC - Reports

Subject: Marshall County Environmental Services

I would like to request an extension on or report. I am out of town until the month.

Sent from Michelle's iPhone

**From:** PSC - Reports  
**Sent:** Thursday, May 05, 2016 11:57 AM  
**To:** 'mces431@gmail.com'  
**Cc:** Cline, Jeff D (PSC)  
**Subject:** Marshall County Environmental Services, LLC - Past Due Gross Reporting with KPSC

Please be advised that we have still not received the Gross Report or Annual Report for **Marshall County Environmental Services, LLC** due March 31 and they are now considered highly delinquent. Please email a completed Gross Report to [PSC.Reports@ky.gov](mailto:PSC.Reports@ky.gov) and then follow up with a hard copy no later than May 11, 2016.

Link to Sewer Gross Report: <http://psc.ky.gov/agencies/psc/forms/gor01.pdf>

You may request an extension of time via email to file the Annual Report. Otherwise, it too should be filed no later than May 11, 2016 to bring your company back into good standing. No extension of time can be accepted for the Gross Report.

Further, the same reports for 2014 have not been submitted. Please advise as to the status of those submissions by May 11, 2016.

Any utility failing to comply with reporting requirements may be subject to the impositions of penalties provided under KRS 278.990.

**From:** Cline, Jeff D (PSC)  
**Sent:** Monday, November 21, 2016 3:26 PM  
**To:** 'mces431@gmail.com'  
**Cc:** PSC - Reports  
**Subject:** RE: Marshall County Environmental Services, LLC - Past Due Gross Reporting with KPSC

Good afternoon,

It was great speaking with you today. Per our conversation, it appears Marshall County is missing the following reports:

2013 – Annual Report (Gross Report was filed 5/19/2014)  
2014 – Annual Report and Gross Report  
2015 – Annual Report and Gross Report

Gross Report info: Please simply print 2 copies of the report at <http://psc.ky.gov/agencies/psc/forms/gor01.pdf>. One should be completed for calendar year 2014 and the other for 2015. Each should be signed, notarized, and hard copy mailed.

Annual Report info: You can log in to create and submit the big Annual Report at the KPSC web site ([www.psc.ky.gov](http://www.psc.ky.gov)). Click the Log-in button in the top left portion of the screen.

Username is [mces431@gmail.com](mailto:mces431@gmail.com) and password is shell04.

Once logged in, click the "UFR" button and go to the 2013 report period and complete the full Annual Report. Be sure to save each page using the save button before moving on to the next page. Also, the very last page is an Oath that can be printed, signed, notarized and then scanned to be uploaded back to the same schedule. The same thing should be done for 2014 and 2015 Annual Reports.

Should you have any problems or questions at all, please just let me know.

Jeff D. Cline  
Kentucky Public Service Commission  
211 Sower Boulevard  
PO Box 615  
Frankfort, KY 40602

[www.psc.ky.gov](http://www.psc.ky.gov)  
(502) 564-3940

**From:** Cline, Jeff D (PSC)  
**Sent:** Thursday, January 14, 2016 2:58 PM  
**To:** 'mces431@gmail.com'  
**Subject:** Gross and Annual Reporting with KPSC - Due March 31, 2016

If you are not the individual that completes Gross and Annual Reporting to the Kentucky Public Service Commission ("KPSC") on behalf of Marshall County Environmental Services, LLC, please forward to the proper person as this email contains pertinent requirement information including links to forms that can be printed for filing that are time-sensitive.

This correspondence is to serve as a reminder for Marshall County Environmental Services, LLC (ID 9003800) that the 2015 Sewer Report of Gross Operating Revenues ("Gross Report") and the Annual Financial and Statistical Report ("Annual Report") are required to be filed with the KPSC **no later than March 31, 2016. Further, these same reports for calendar year 2014 have yet to be filed and are now considered highly delinquent.**

### **Gross Reports**

One original signed and notarized original hard copy Gross Report, each for calendar year 2014 and 2015, are is required to be filed pursuant to KRS 278.140 and 807 KAR 5:006, Section 4(1). Ensure that the Gross Reports filed with the KPSC are complete, including utility's default regulatory email address, pursuant to 807 KAR 5:006, Section 3(2). Please do not upload a copy of the Gross Reports with the e-filed Annual Report as the Gross Reports should be filed in hard copy format only.

**Blank Gross Reports should be printed, filled out, signed/notarized, and mailed to the mailing address provided at the bottom of this email.**

Refer to the following links for printing the Gross Reports in the format of your choice:

**PDF version:** <http://psc.ky.gov/agencies/psc/forms/gor01.pdf>

**Word version:** <http://psc.ky.gov/agencies/psc/forms/gor01.doc>

If you are unable to print the Gross Reports using the links provided above and would like to request a blank hard copy Gross Reports mailed to you, please request a hard copy by sending an email to [PSC.Reports@ky.gov](mailto:PSC.Reports@ky.gov).

### **Annual Report**

The Annual Report should be completed in the KPSC's e-filing system, each for calendar year 2014 and 2015, pursuant to 807 KAR 5:006, Section 4(2). Hard copies are not required.

An **Oath Page** should accompany each Annual Report which can be created at the **Create and Upload Page** located at last schedule on the left side of the screen of the Annual Report e-filing system. After your Annual Report Oath Page is printed, signed and notarized, simply scan and upload it back into the system under this same schedule. If you do not have scanning capabilities, you may mail a hard copy Oath Page to the address provided at the bottom of this email and we will upload on your behalf.

Further, there is an **Upload Supporting Documents** page to allow you a method to upload additional pages related to your Annual Report, if necessary. This page is the 2<sup>nd</sup> to last schedule shown on the left side of the screen, directly above the Create and Upload Oath Page schedule. In the event you had an Audit performed and the **Audit Report** is ready at the time of your Annual Report submission, a PDF copy of the report should be uploaded to be included with the Annual Report submission under this schedule. If you have an Audit performed but the Audit Report is not yet available, you may go ahead and submit your Annual Report. When the Audit Report is available, simply request for the Supporting Documents schedule to be placed back into edit mode by generating an email to [PSC.Reports@ky.gov](mailto:PSC.Reports@ky.gov). We will then open up the schedule to allow you to upload the Audit Report.

**Refer to the following link to log into the KPSC e-filing system for submitting the Annual Reports:**

**KPSC E-Filing System:** <https://psc.ky.gov/Security/account/login.aspx>

### **Annual Report Tips and Problem Solving**

Making use of the **checklist** located at the 3<sup>rd</sup> to last schedule shown on the left side of the screen, just above the Upload Supporting Documents schedule, will help you eliminate cross-reference issues found in your report prior to submission. Also, be sure to click the **Save button** on each page when completing your Annual Report prior to moving on to the next page. After you save each page of your Annual Report, we recommend scrolling back to the top of each individual page and look for any description shown in red indicating errors that should be corrected prior to final submission.

Other helpful tips and instructions are available on our web site at:  
<http://psc.ky.gov/agencies/psc/AnnualReport/AnnRptInstructions.pdf>

### **Web Browser Issues**

For any Internet Explorer browser users that are having difficulty with creating or uploading material, please review the following documents for common issues facing users with Internet Explorer browser versions 10 and 11.

IE version 10 – Issue: If when scrolling, your cursor bounces back to the top of the screen:  
Link: [Solution Steps](#)

IE version 11 – Issue: If you Log in successfully but then return to Public View and cannot access UFR:  
Link: [Solution Steps](#)

If you have attempted the above solutions and are still having difficulty, please contact us by email or phone.

### **Extension Requests**

An extension of time request for submitting the Gross Report cannot be granted and prompt filing is essential. However, the KPSC may occasionally, upon written request, allow a 30-day extension of time for filing the Annual Reports. The request must provide a reasonable explanation and be submitted prior to the March 31 deadline. **Annual Report extensions should be requested by generating an email to PSC.Reports@ky.gov.**

Any utility failing to comply with reporting requirements may be subject to the impositions of penalties provided under KRS 278.990.

Should you have any questions regarding reporting requirements, please do not hesitate to contact us at [PSC.Reports@ky.gov](mailto:PSC.Reports@ky.gov) or (502) 564-3940.

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Kentucky Public Service Commission  
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