DOC11R

Case Management System - KY Public Service Commission

Regular Cases Before the Commission as of November 21, 2026

2006-00197 RECEIVED: 06/05/06 FILED: 06/05/06 FINAL: 04/16/07 REOPENED: SUSPENSION DATE:

CASE NATURE: Change of Control

CASE CODE
Electronic Case
Transfer of Control; KRS 278.218

UTILITIES:
Kentucky-American Water Company

INTERVENORS: AG/LFUCG

HEARINGS:

08/16/06	Formal Hearing
08/10/06	Settlement Conference

INDEX OF EVENTS:

08/13/26	POST CASE: Lindsey Ingram American Water American Water Condition 20 Notice and Motion
08/13/10	Kentucky-American Water Company Condition No. 22 Report
02/15/10	Kentucky-American Water Company Condition 22 Report
12/07/09	Kentucky-American Water Company Ordering Paragraph 17 Report
12/01/09	Kentucky-American Water Company Monthly Status Report
11/23/09	Kentucky-American Water Company Notice
10/30/09	Kentucky-American Water Company Monthly Status Report
10/30/09	Kentucky-American Water Company Monthly Status Report (Original/Elec Receipt)
09/30/09	Kentucky-American Water Company Monthly Status Report
09/30/09	Kentucky-American Water Company Monthly Status Report (Original & Electronic Receipt)
09/01/09	Kentucky-American Water Company Monthly Status Report (Original & Electronic File Receipt)
08/31/09	Kentucky-American Water Company Monthly Status Report
08/20/09	Kentucky-American Water Company Ordering Paragraph 15 Notice (Original)
08/19/09	Kentucky-American Water Company Ordering Paragraph 15 Notice
08/03/09	Kentucky-American Water Company Monthly Status Report (Original & Electronic File Receipt)
07/31/09	Kentucky-American Water Company Monthly Status Report
07/01/09	Kentucky-American Water Company Monthly Status Report (Original)
06/30/09	Kentucky-American Water Company Monthly Status Report
06/16/09	Kentucky-American Water Company Notice (Original w/Electronic File Receipt)
06/12/09	Kentucky-American Water Company Notice
06/05/09	Kentucky-American Water Company Notice
06/05/09	Kentucky-American Water Company Notice (Original and Electronic File Receipt)
06/01/09	Kentucky-American Water's Monthly Status Report
05/29/09	Kentucky-American Water Company Monthly Status Report
05/01/09	Kentucky-American Water Company Monthly Status Report (Original and Electronic File Receipt)
04/30/09	Kentucky-American Water Company Monthly Status Report
04/01/09	Kentucky-American Water Company Monthly Status Report (Original and Electronic Receipt)
03/31/09	Kentucky-American Water Company Monthly Status Report
03/02/09	Kentucky-American Water Company Monthly Status Report (Original and Electronic File Receipt)
02/27/09	Kentucky-American Water Company Monthly Status Report
02/17/09	Kentucky-American Water Company Report of Divestiture Costs (Original and Electronic File Receipt)
02/16/09	Kentucky-American Water Company Report of Divestiture Costs
02/02/09	Kentucky-American Water Company Monthly Status Report (Original & Electronic File Receipt)
01/30/09	Kentucky-American Water Company Monthly Status Report
12/31/08	Kentucky-American Water Company Monthly Status Report
12/31/08	Kentucky-American Water Company's Monthly Status Report (electronic file receipt)
12/22/08	Notice Pursuant to Order of April 16, 2007 for Joint Petitioners to provide attached Form S-1 Registration Statement relating to Proposed Transaction (electronic file receipt)
12/19/08	Kentucky-American Water Company Notice

DOC11R

Case Management System - KY Public Service Commission

Regular Cases Before the Commission as of November 21, 2026

12/01/08	Kentucky-American's Monthly Status Report
11/29/08	Kentucky-American Water Company Monthly Status Report
11/03/08	Joint Petitioner's monthly status report (hard copy)
10/31/08	Joint Petitioner's monthly status report
10/01/08	Joint Petition of Kentucky American Water Company's Monthly Status Report
09/30/08	Kentucky-American's Monthly Status Report
09/02/08	Joint Petitioners Monthly Status Report
08/29/08	KAW's Monthly Status Report
08/15/08	Kentucky-American's Report of Divestiture Costs
08/15/08	Kentucky-American Report of Divestiture Costs
07/31/08	Kentucky-Joint Petitioners Monthly Status Report_073108
07/31/08	Kentucky-American Monthly Status Report
07/18/08	Kentucky-American Water Notice
07/18/08	Kentucky-American Water Co - Condition 17 Notice
07/10/08	Kentucky-American Notice
07/10/08	Kentucky American Water Notice of Employment of Lance Williams beginning June 30, 2008 (original)
07/01/08	Kentucky American Water Company's Monthly Status Report (Original)
06/30/08	Kentucky-American's Monthly Status Report
06/20/08	Kentucky American Notice of Employment for John-Mark Hack
06/19/08	Kentucky-American Notice of Condition 14
06/02/08	Kentucky-American Report (Original)
05/30/08	Kentucky American's Monthly Status Report
05/22/08	Kentucky American's Notice (Original)
05/21/08	Kentucky American's Notice
05/12/08	Kentucky American Notice (Original)
05/09/08	Kentucky-American's Notice
05/06/08	Kentucky American's Notice (original)
05/05/08	Kentucky-American's Notice
05/01/08	Kentucky American Monthly Status Report (Original)
04/30/08	Kentucky-American's Monthly Status Report
04/24/08	Kentucky-American's Notice (Original)
04/23/08	Kentucky-American Notice
04/18/08	Kentucky-American's Notice
04/11/08	Kentucky-American Water's Annual Report (hard copy)
04/09/08	KY-American's Notice (hard copy)
04/08/08	Kentucky-American's Notice
04/02/08	Kentucky-American's Notice
04/01/08	American Water Works' Notice of Amendment No. 4 (original)
04/01/08	Joint Petitioners monthly status report
03/31/08	Kentucky-American's Notice
03/31/08	Kentucky-American Monthly Status Report
03/07/08	Kentucky-American's Notice
02/29/08	KAWC Monthly Status Report
02/15/08	KAW Report of Divestiture Costs
02/15/08	Petitioners' Report of Divestiture Costs (hard copy)
01/31/08	Kentucky-American's Monthly Status report
01/31/08	Kentucky-American Monthly Status Report
01/02/08	Joint Petitioners' Monthly Status Report
12/31/07	Petitioners Monthly Status Report
12/03/07	Kentucky-American Monthly Status Report (physical copy)
11/30/07	Kentucky-American Monthly Status Report
11/09/07	Kentucky-American's Notice
11/09/07	Kentucky-American Water's Notice of Condition No. 17 (Physical Copy)
10/31/07	Kentucky-American Water Company's Monthly Status Report
10/31/07	Kentucky-American Water Company's Monthly Status Report (Original)
10/17/07	Joint Petitioners Notice of Amendment No. 1 to Form S-1 Registration Statement (Original)
10/16/07	Joint Petitioners Notice of Amendment No. 1 to Form S-1 Registration Statement
09/28/07	Kentucky-American Water Company's Monthly Status report

DOC11R

Case Management System - KY Public Service Commission

Regular Cases Before the Commission as of November 21, 2026

09/27/07	Kentucky-American Water Company's Condition 20 Notice
09/20/07	FilerFullName:Lindsey W. Ingram III; OnBehalfOf: -- Condition 20 Notice
08/29/07	FilerFullName:Lindsey W.Ingram III; OnBehalfOf: -- Petitioners Monthly Status Report
08/15/07	FilerFullName:Lindsey W. Ingram III; OnBehalfOf: -- Reports
08/15/07	FilerFullName:Lindsey W. Ingram III; OnBehalfOf: --Report of Divestiture Costs
08/15/07	FilerFullName:Lindsey W. Ingram III; OnBehalfOf: -- Ordering Paragraph 7 Report
07/31/07	FilerFullName:Lindsey W. Ingram III; OnBehalfOf: -- Monthly Status Report
07/31/07	FilerFullName:Lindsey W. Ingram III; Monthly status report
07/17/07	FilerFullName:Lindsey W. Ingram III; Kentucky-American Water Company's Ordering Paragraph 7 Report
07/16/07	FilerFullName:Lindsey W. Ingram III; OnBehalfOf: -- Petitioners Report
07/02/07	FilerFullName:Lindsey W. Ingram III; Kentucky-American Water Company's monthly status report
06/29/07	FilerFullName:Lindsey W. Ingram III; OnBehalfOf: -- Report
05/31/07	FilerFullName:Lindsey W. Ingram III; OnBehalfOf: -- Monthly Status Report
05/31/07	Joint Petitioners provide Monthly Status Report
05/11/07	Electronic filing of Kentucky-American to Ordering Paragraph 7 Report
04/30/07	Electronic filing of Kentucky-American Water Company's Monthly Status Report
04/26/07	Electronic filing of Kentucky-American Water Company's Motion and Response
04/26/07	Electronic Filing of Kentucky-American Water Company's Acknowledgement and Acceptance
04/16/07	Order entered; the transfer of control of Kentucky-American resulting from the merger of AWWC and TWAUSHI and the proposed public offering of AWWC common stock is approved, subject to the conditions set forth in Appendix A of this Order; The proposed transfer of control shall not proceed unless, within 20 days of the date of this Order, the written acknowledgements on behalf of RWE, Thames GmbH, TWAUSHI, AWWC, and Kentucky-American by each entity's chief executive officer that these entities each accept and agree to be bound by the commitments set forth in Appendix A to this Order are filed with the Commission
04/10/07	Electronic notice for change of control
02/02/07	Electronic notice for change of control
01/29/07	Electronic filing of Petitioners' Notice
10/20/06	Order entered denying Joint Petitioners' Motion for Removal of Pages from Website
09/22/06	Electronic filing of Petitioners Post-Hearing Brief
09/22/06	Electronic filing of Attorney Generals Post-Hearing Brief - Redacted
09/22/06	Electronic filing of Lexington-Fayette Urban County Government -- Brief
09/13/06	Electronic filing of Petitioners' Motion
09/12/06	Electronic filing of Petitioners' Notice and Supplemental Response
09/11/06	Electronic filing of Petitioners Notice of Filing of Supplemental Responses
08/30/06	Transcript of Evidence and Confidential Transcript for August 16, 2006 Hearing
08/29/06	Order entered: (1) Joint Petitioners' Motion for Confidential Treatment of Board Materials and Motion for Confidential Treatment is granted; (2) Confidential treatment is accorded to the requested portions of Item 8 of Joint Petitioners' Response to Commission Staff's First Information Request and Items 33 and 45 of LFUCG's Initial Requests for Information; (3) Joint Petitioners shall make available upon request an unredacted copy of the material deemed confidential, except those materials expressly identified in the Commission's Order of August 17, 2006, to any party in this proceeding provided the requesting party enters into a protective agreement with Joint Petitioners regarding the use and disclosure of such materials
08/28/06	Electronic filing of Petitioners' Notice of Filing
08/17/06	Letter dated 8/16/2006 with Memorandum dated 8/15/2006 for Informal Conference of 8/10/2006; Comments, if any, due 8/25/2006
08/16/06	Order entered that the Attorney General's Motion to Strike Unauthorized pleading is denied
08/16/06	Order entered; AG's Motion for In Camera Review is granted; AG's Motion to Compel is denied
08/15/06	AG testimony
08/14/06	Electronic filing of Attorney Generals Pre-filed direct testimony: contains confidential files
08/14/06	Electronic filing of Petitioners Notice
08/14/06	Order entered; AG's Motion for an Order establishing criteria is granted; all parties are advised that KRS 278.020(5) is applicable to the proposed transaction and that KRS 278.020(6) is not applicable
08/10/06	Petitioners' response to Attorney General's motion for an Order establishing the criteria for the proceeding with motion to amend the procedural schedule and Petitioners' response to Attorney General's motion to compel and motion for in camera review

DOC11R

Case Management System - KY Public Service Commission

Regular Cases Before the Commission as of November 21, 2026

08/09/06	Electronic filing of Petitioners Briefs in Response to AG's Motions
08/09/06	Response of Lexington-Fayette Urban County Government to AG's Motions
08/08/06	Electronic filing of Petitioners Notice of Filing
08/08/06	Electronic filing of Lexington-Fayette Urban County Government's Response to Attorney Generals Motions
08/08/06	Commission Staff's Notice of Informal Conference on 8/10/2006, beginning at 1:00 p.m., EDT, in Hearing Room 2
08/08/06	Motion for an Order establishing the criteria for the proceeding with Motion to amend the procedural schedule from AG
08/08/06	Motion to compel with Motion for an in camera review of responses to requests for information from AG
08/07/06	Electronic filing of Attorney General's Motion to Compel with Motion for In Camera Review and Motion for Order regarding criteria with Motion to Amend Procedural Schedule
08/07/06	Electronic filing of Petitioners' Notice of Filing
08/04/06	Letter from Lindsey to discuss the possibility of a resolution
08/03/06	Electronic filing of Petitioners Notices
08/02/06	Electronic filing of Petitioners Response to the Commission Staffs Second Data Request
08/02/06	Electronic filing of Petitioners Response to the LFUCGs Supplemental Request for Information
08/02/06	Electronic filing of Petitioners Response to the AGs Supplemental Request for Information
08/01/06	Electronic filing of Petitioners Notice of Requests for Publication
07/28/06	Electronic filing of Petitioners' Notice
07/27/06	Electronic filing of Attorney General's Motion to Strike
07/26/06	Electronic filing of Petitioners' Reply Brief in Support of Motion for Confidential Treatment
07/21/06	Electronic filing of Petitioners' Notice of Filing
07/21/06	Electronic filing of Office of the Attorney General -- Attorney Generals Supplemental Data Requests
07/21/06	Electronic filing of Office of the Attorney General -- Attorney Generals response to Joint Petitioners requests for confidential treatment.
07/21/06	Electronic filing of Lexington-Fayette Urban County Government -- Supplemental Requests for Information
07/21/06	Second Data Request of Commission Staff to Joint Petitioners; response due 8/2/06
07/17/06	Electronic filing of Petitioners' Notice of Filing of Supplemental Response
07/17/06	Electronic filing of Petitioners' Motion for Confidential Treatment
07/17/06	Petitioners' Notice of filing supplemental response to data requests
07/17/06	Petitioners' motion for confidential treatment of board materials
07/12/06	Electronic filing of Petitioners Notices.
07/12/06	Petitioners' motion for confidential treatment with CD of redacted material
07/12/06	Notice and certification of Joint Petitioners paper copy of responses to the Commission Staff, Attorney General and Lexington-Fayette Urban County Government
07/11/06	Electronic filing of Petitioners Response to the Commission Staffs First Request for Information
07/11/06	Electronic filing of Petitioners Response to LFUCGs First Request for Information
07/11/06	Electronic filing of Petitioners Response to the Attorney Generals First Request for Information.
07/11/06	Electronic filing of Petitioners Motion for Confidential Treatment
07/05/06	Response of Lexington-Fayette Urban County Government
07/03/06	Electronic filing of Joint Petitioners Response Brief
07/03/06	Electronic filing of Lexington-Fayette Urban County Government's Response to Memorandum
07/03/06	Joint Petitioners' memorandum in response to the memoranda of the Attorney General and the Lexington-Fayette Urban County Government and to the public comment of Bluegrass Flow, Inc.
07/03/06	Response of Attorney General's to written Memoranda addressing the application of KRS 278.020
06/30/06	Electronic filing of Attorney General's Response to Written Memoranda
06/28/06	Commission Staff's First Information Request to Joint Petitioners; Response due 7/11/2006
06/28/06	Request for information to the Joint Applicants/Joint Petitioners from Attorney General
06/28/06	Initial Requests for Information of Lexington-Fayette Urban County Government
06/27/06	Electronic filing of Attorney General's Request for Information to the Joint Applicants/Joint Petitioners
06/27/06	Electronic filing of Lexington-Fayette Urban County Government's Initial Requests for Information
06/27/06	Memorandum in response to the Commission's June 19, 2006 Order from Lexington-Fayette Urban County Government
06/27/06	Memorandum addressing the application of KRS 278.020 from Attorney General
06/27/06	Joint Petitioners' Memorandum in response to the Commission's Order of June 19, 2006
06/26/06	Electronic filing ofJoint Petitioners Brief Regarding KRS 278.020

DOC11R

Case Management System - KY Public Service Commission

Regular Cases Before the Commission as of November 21, 2026

06/26/06	Electronic filing of Attorney General's Written Memorandum Addressing the Application of KRS 278.020
06/26/06	Electronic filing of Lexington-Fayette Urban County Government's Memorandum in Response to Commissions June 19, 2006 Order
06/22/06	Lexington Fayette Urban Co Gov response regarding electric notices
06/21/06	Electronic filing of Lexington-Fayette Urban County Government's Response Regarding Electronic Notices
06/19/06	Order entered: (1) Parties to proceeding shall file with Commission, within 7 days of Order, written memoranda addressing issue of whether KRS 278.020(5) and/or KRS 278.020(6) should apply to this case; (2) Responses to written memoranda, if any, shall be filed no later than 5 days thereafter
06/19/06	Order entered granting intervention to Attorney General and Lexington-Fayette Urban County Government
06/19/06	Order entered: (1) Procedural schedule set forth in Appendix A shall be followed; (2) All parties shall follow the procedures set forth in Commission's Order of June 7, 2006, regarding the filing of documents and materials with the Commission; (3) All interrogatories and requests for production of documents shall be appropriately indexed; (4) All responses shall include the name of the witness who will be responsible for responding to the questions related to the information provided; (5) All parties shall respond to any interrogatories and requests for production of documents that Commission Staff submits in accordance with the procedural schedule set forth in Appendix A; (6) Joint Petitioners shall give notice of the hearing in accordance with the provisions of 807 KAR 5:011, Section 8(5). At the time publication is requested, Joint Petitioners shall forward a duplicate of the notice and request to the Commission; (7) At any public hearing in this matter, neither opening statements nor summarization of direct testimonies shall be permitted; (8) Nothing contained herein shall prevent the Commission from entering further Orders in this matter
06/15/06	Order entered nunc pro tunc that Ordering Paragraph 9 of June 5, 2006 is amended to read as follows: Except as provided in paragraph 5(j) of this Order, when a party files a document or pleading with the Commission for which it has not filed an electronic copy, it shall file with the Commission the original document or pleading and 10 copies.
06/13/06	No deficiency letter
06/09/06	Electronic filing of Attorney General's Response Regarding Electronic Notices
06/09/06	Response of AG regarding electronic notices
06/07/06	Response of Kentucky-American Water Company notifying of e-mail addresses to which electronic notices and messages should be sent
06/07/06	Motion to intervene and notice of e-mail addresses for service from Lexington-Fayette Urban County Government
06/06/06	Electronic filing of Kentucky-American Water's Application and related documents
06/06/06	Order entered: Unless Commission requires otherwise, all parties to proceeding shall, when submitting any pleading or other document, file with an original and one copy in paper medium and one copy in electronic medium; Any document filed shall be served upon all parties in paper medium. Service of any document or pleading shall be made in accordance with Administrative Regulation 807 KAR 5:001, Section 3(7), and Kentucky Civil Rule 5.02; All parties shall submit the electronic copy of any pleading or document to the Commission by uploading the document(s) using the Commission's Web Application Portal; All parties shall make electronic submissions in manner described in Order; Within 5 days of Order, Kentucky-American shall notify Commission in writing of the e-mail address to which all electronic notices should be served; Each party granted leave to intervene in this proceeding shall, within 5 days of entry of the Order granting intervention, notify Commission and all other parties of record in writing of the e-mail address to which all electronic notices should be served; Each party granted leave to intervene in proceeding shall file statement as to whether it, or its agent, is capable of receiving electronic transmissions, and whether it waives any right to service of Commission Orders by United States mail within 5 days of entry of the Order granting it intervention
06/05/06	Joint petition of Kentucky-American Water Company, Thames Water Aqua Holdings GmbH, RWE Aktiengesellschaft, Thames water aqua US Holdings, Inc., and American Water Work Company, Inc. for approval of a change in control of Kentucky-American Water Company
06/05/06	Acknowledge Receipt of Filing
05/17/06	Motion of AG for intervention
05/11/06	Acknowledge Receipt of Filing
05/10/06	Notice of Intent to file application of change of control from Kentucky-American Water Company on or about June 5, 2006

Total Number of Cases: 1