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**Case Management System - KY Public Service Commission***Regular Cases Before the Commission as of August 09, 2025***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:**

08/13/10 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  
 12/01/08 Kentucky-American's Monthly Status Report

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|          |   |
|----------|---|
| 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   |
| 09/27/07 | Kentucky-American Water Company's Condition 20 Notice   |

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| 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  |

## Case Management System - KY Public Service Commission

*Regular Cases Before the Commission as of August 09, 2025*

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| 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 of Joint Petitioners Brief Regarding KRS 278.020   |

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| 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