**CERTIFICATE OF PUBLIC CONVENIENCE AND NECESSITY ‑ INITIAL OPERATIONS WITH TARIFF**

Filing Requirements Checklist

(Applicable Authority: 807 KAR 5:001, Section 14 and KRS 278.020, KRS 278.160, 807 KAR 5:011)

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Case No. |  | Applicant Name |  | Received Date |  | Form Circulation Date |  |

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| Instructions: |  |  |
|  | 1) | Each division noted by checkmark ( ) is to complete its review and return within three business days of receipt. |
|  | 2) | This form is to list only the specific filing deficiencies as identified in the regulations. If additional information is needed, an information request must be issued. |
|  | 3) | Staff member should use initials and list date review is completed. |
|  | 4) | **Return by email to Filings Branch following review and copy all Team members.** |
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| Reviewed by following Divisions: | | | Date | | Staff Member |
|  |  | Filings |  |  |  |
|  |  | Financial Analysis |  |  |  |
|  |  | Legal |  |  |  |

| Division Responsible | Law/Regulation | Filing Requirement | Requirement  Met | | Waiver  Requested | Approve  Waiver? | |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  | Yes | No |  | Yes | No |
|  | 807 KAR 5:001: |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| Filings | Section 14(1) | Full name, mailing address, and e-mail address of applicant and a reference to KRS 278.020, KRS 278.160 and/or 807 KAR 5:011. |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| Legal | Section 4(3) | Paper signed by submitting party or attorney. |  |  |  |  |  |
| Legal | Section 4(3) | Name, address, telephone number, fax number, and e-mail address of submitting party or attorney |  |  |  |  |  |
| Legal | Section 4(10) | Has submitting party redacted – |  |  |  |  |  |
|  | |  |  |  |  |  |  |
| All filings with the Kentucky Public Service Commission  which contain personal information must be redacted by  the filer pursuant to 807 KAR 5:001 Sec. 4 (10).  Filings which are not in compliance will be rejected. | | All social security numbers |  |  |  |  |  |
| All birthdates |  |  |  |  |  |
| All financial account numbers |  |  |  |  |  |
| All other personal identification information |  |  |  |  |  |
| Legal | Section 8(4)(b) | Has submitting party optimized pdf document – |  |  |  |  |  |
| **(Electronic Case Filing only)** |  | - Making all text pages searchable or OCR’d |  |  |  |  |  |
|  |  | - Bookmarks added to distinguish sections of the paper |  |  |  |  |  |
| Legal | Section 14(2) | If applicant is a corporation, the applicant shall identify in the application the state in which it is incorporated and the date of its incorporation, attest that it is currently in good standing in the state in which it is incorporated, and, if it is not a Kentucky corporation, state whether it is authorized to transact business in Kentucky. |  |  |  |  |  |
| Legal | Section 14(3) | If applicant is a limited liability corporation, the applicant shall identify in the application the state in which it is organized and the date on which it was organized, attest that it is in good standing in the state in which it is organized, and, if it is not a Kentucky limited liability company, state whether it is authorized to transact business in Kentucky. |  |  |  |  |  |
| Legal | Section 14(4) | If applicant is a limited partnership, a certified copy of its limited partnership agreement and all amendments, or a written statement that its partnership agreement and all amendments have been filed with the Commission in a prior proceeding and a reference to the case number of that proceeding. |  |  |  |  |  |
|  | 807 KAR 5:011: |  |  |  |  |  |  |
| Financial Analysis | Section 3(1) | (a) Printed or typewritten. |  |  |  |  |  |
| Financial Analysis |  | (b) Pages 8 ½ X 11 in size. |  |  |  |  |  |
| Financial Analysis |  | (c) Type no smaller than nine (9) point font, except headers and footers, which shall be in type no smaller than eight (8) point font. |  |  |  |  |  |
| Financial Analysis | Section 3(2) | Front cover page containing the following: |  |  |  |  |  |
| Financial Analysis |  | (a) Utility’s name, mailing address, street address of principal office, if different from mailing address, and Web site, if applicable. |  |  |  |  |  |
| Financial Analysis |  | (b) In the upper right hand corner, the commission tariff number and, if applicable, the cancelled commission tariff number. |  |  |  |  |  |
| Financial Analysis |  | (c) A statement of each type of service offered. |  |  |  |  |  |
| Financial Analysis |  | (d) A statement of the area served |  |  |  |  |  |
| Financial Analysis |  | (e) The date of issue and date on which the tariff is to become effective. |  |  |  |  |  |
| Financial Analysis |  | (f) The signature of the representative of the utility authorized to issue tariffs. |  |  |  |  |  |
| Financial Analysis |  | (g) The signatory’s title or position. |  |  |  |  |  |
| Financial Analysis | Section 3(3) | Second and succeeding pages containing: |  |  |  |  |  |
| Financial Analysis |  | (a) The utility’s name and territory served. |  |  |  |  |  |
| Financial Analysis |  | (b) In the upper right hand corner, the commission tariff number and, if applicable, the cancelled commission tariff number. |  |  |  |  |  |
| Financial Analysis |  | (c) In the upper right hand corner, the tariff sheet number and, if applicable, the cancelled tariff sheet number. |  |  |  |  |  |
| Financial Analysis |  | (d) Date of issue and date tariff is to become effective. |  |  |  |  |  |
| Financial Analysis |  | (e) The signature of the utility representative authorized to issue tariffs. |  |  |  |  |  |
| Financial Analysis |  | (f) The signatory’s title or position. |  |  |  |  |  |
| Financial Analysis |  | (g) If applicable, a statement that the tariff is “Issued by authority of an Order of the Public Service Commission in Case No. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Dated \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, 20\_\_\_\_”. |  |  |  |  |  |
| Financial Analysis | Section 3(4) | Each tariff sheet shall contain a blank space at its bottom right corner that measures at least three and one-half (3.5) inches from the right of the tariff sheet by two and one-half (2.5) inches from the bottom of the tariff sheet. |  |  |  |  |  |
| Financial Analysis | Section 4(1) | In addition to a clear statement of all rates, each rate schedule shall state the city, town, village, or district in which rates are applicable. |  |  |  |  |  |
| Financial Analysis |  | (a)If a schedule is applicable in a large number of communities, the schedule shall be accompanied by an accurate index so that each community in which the rates are applicable may be readily ascertained. |  |  |  |  |  |
| Financial Analysis |  | (b) If a utility indicates the applicability of a schedule by reference to an index sheet, the utility shall use language indicating “Applicable with the corporate limits of the City of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_”, or “see Tariff Sheet No. \_\_\_\_ for applicability.” |  |  |  |  |  |
| Financial Analysis | Section 4(2) | The following information shall be shown in each rate schedule under the following captions in the order listed: |  |  |  |  |  |
| Financial Analysis |  | (a) Applicable: show the territory covered. |  |  |  |  |  |
| Financial Analysis |  | (b) Availability of service: show classes of customers affected, including residential, commercial, and other groups of customers. |  |  |  |  |  |
| Financial Analysis |  | (c) Rates: list all rates offered. |  |  |  |  |  |
| Financial Analysis |  | (d) Minimum charge: state amount of charge, the quantity allowed (if volumetrically based), and if it is subject to a late payment charge. |  |  |  |  |  |
| Financial Analysis |  | (e) Late payment charge: state the amount or reference the tariff section containing the amount. |  |  |  |  |  |
| Financial Analysis |  | (f) Term: if contracts are made for certain periods, length of term. |  |  |  |  |  |
| Financial Analysis |  | (g) Special rules: any special rules or regulations in effect covering this tariff. |  |  |  |  |  |
| Financial Analysis | Section 4(3) | Each rate schedule shall state the type or class of service available pursuant to the stated rates, by using language similar to “available for residential lighting” or “available for all purposes”. |  |  |  |  |  |
| Financial Analysis | Section 4(4) | For a tariff in which a number of rate schedules are shown available for various uses, each rate schedule shall be identified either by: |  |  |  |  |  |
| Financial Analysis |  | (a) A number in the format “Schedule No. \_\_\_\_\_\_\_”. |  |  |  |  |  |
| Financial Analysis |  | or  (b) A group of letters, with the designation indicative of the type or class of service for which the rate schedule is available. |  |  |  |  |  |