Ohio | Public Utilities Commission

Annual Report Filing Instructions

Revised: 01/20/2016 9:15 A.M

Annual Reports to the PUCO for the 2015 calendar year are due on May 2, 2016, pursuant to the Commission's entry in Case No. 16-01-AU-RPT issued January 20, 2016. All filing companies are reminded that late filers may be assessed a $1000 penalty.

The PUCO has developed a simplified on-line filing system using a uniform core report for all industry segments, which eliminates the requirement of sending a copy to the Ohio Consumers Counsel (OCC). We appreciate your cooperation and feedback in making this process as efficient as possible for all concerned. Please contact us at (614) 466-4095 or annualreports@puco.ohio.gov to report any problems or errors.

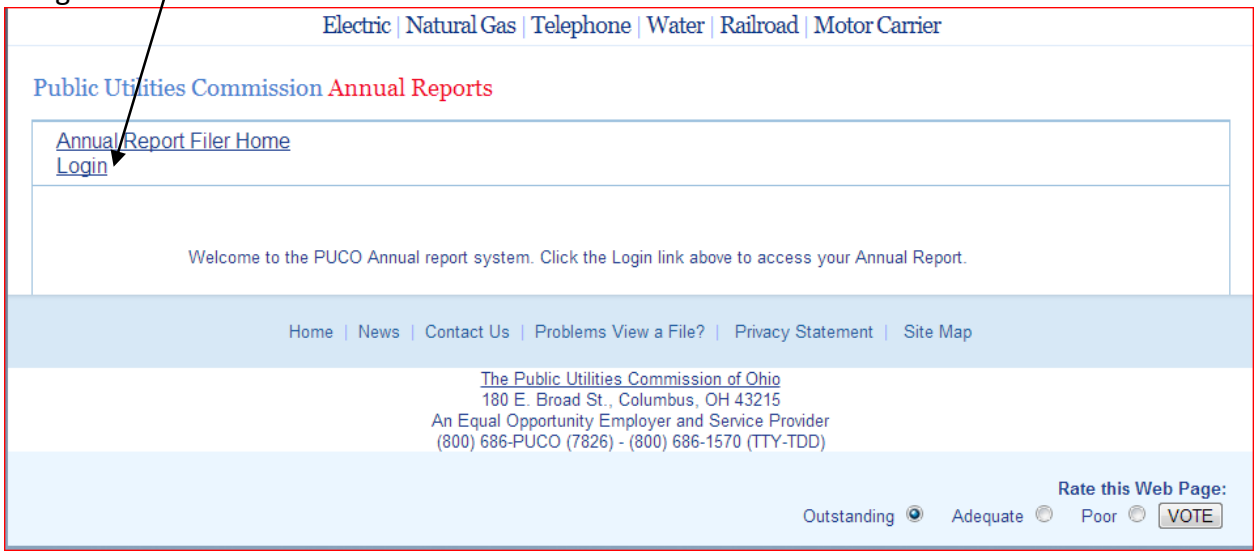
If you electronically filed your report last year, you can use the same PUCO username and password. A separate report must be filed for each certificate or authority held.

In addition to the uniform core report, the following industry segments are required to upload supplemental schedules as part of the filing process:

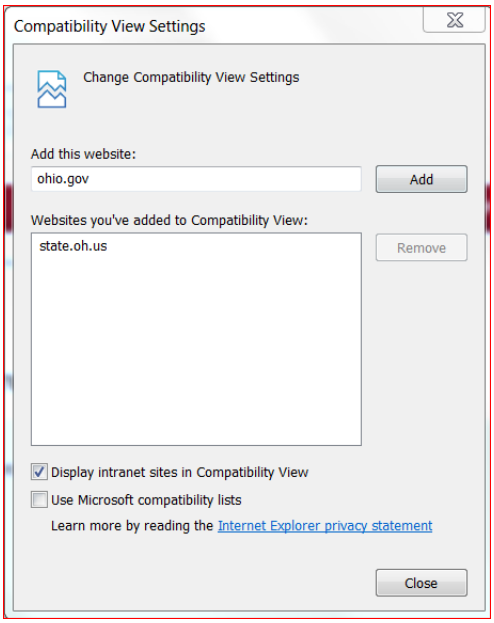
Industry:	Supplemental Schedules:
Electric Distribution Utility Companies	FERC Form 1
Natural Gas Distribution Companies	GDC Schedules
Heating and Cooling Companies	H&C Schedules
Telephone - Incumbent Local Exchange Carriers	ILEC Schedule
Waterworks and Sewage Disposal Companies	W&S Schedules

To begin the process, go to the Annual Reports Home page: (http://www.puco.ohio.gov/puco/index.cfm/docketing/annual-reports/). This page is linked on both the PUCO's Docketing Information System (http://dis.puc.state.oh.us/) and the general Docketing Information (www.puco.ohio.gov/puco/docketing/) pages.

Click the Login link

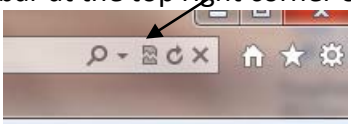


If you are using a newer version of Internet Explorer (IE 8 or later), you may need to change your "compatibility view" setting before the browser will allow you to see the PUCO Log In screen.



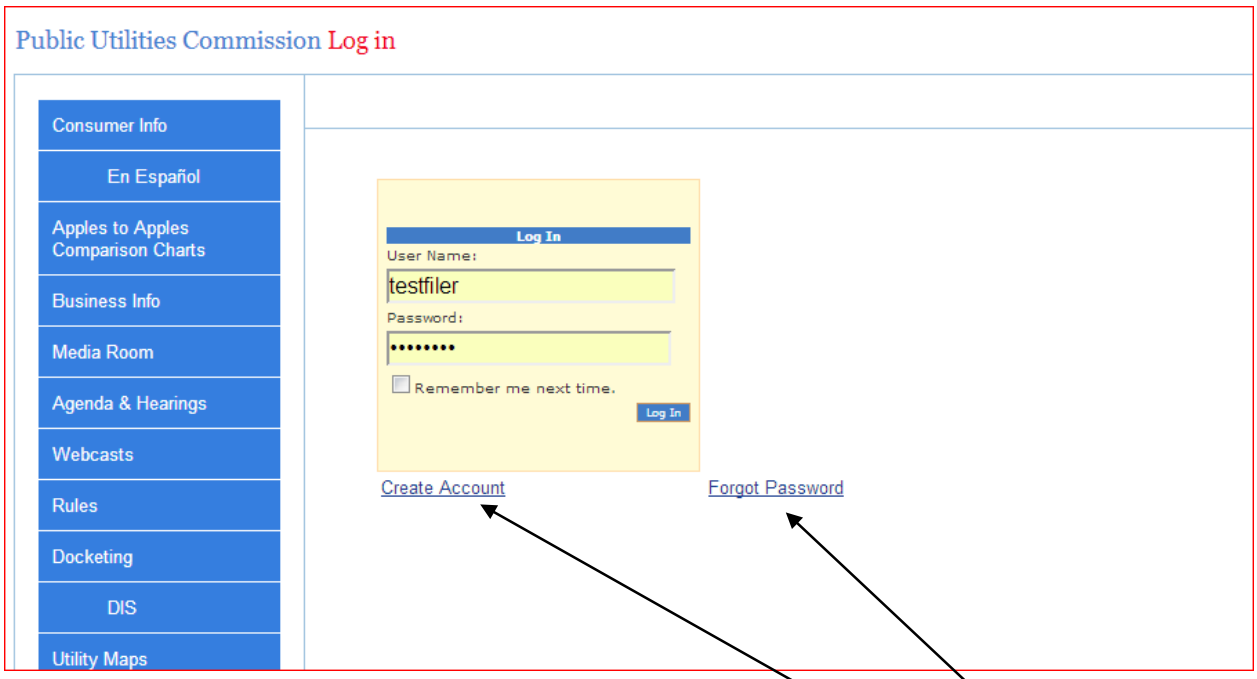
Select "compatibility view" setting under "Tools" on the IE menu bar. You should get a dialogue box that will allow you to add the "state.oh.us" domain as a trusted site, which will then allow you to get to the log in screen.

If you are using a computer running the Microsoft Windows 8 operating system (aka "Metro), you may be able to change the compatibility setting by clicking on the icon that looks like a torn piece of paper on the menu bar at the top right corner of the screen.



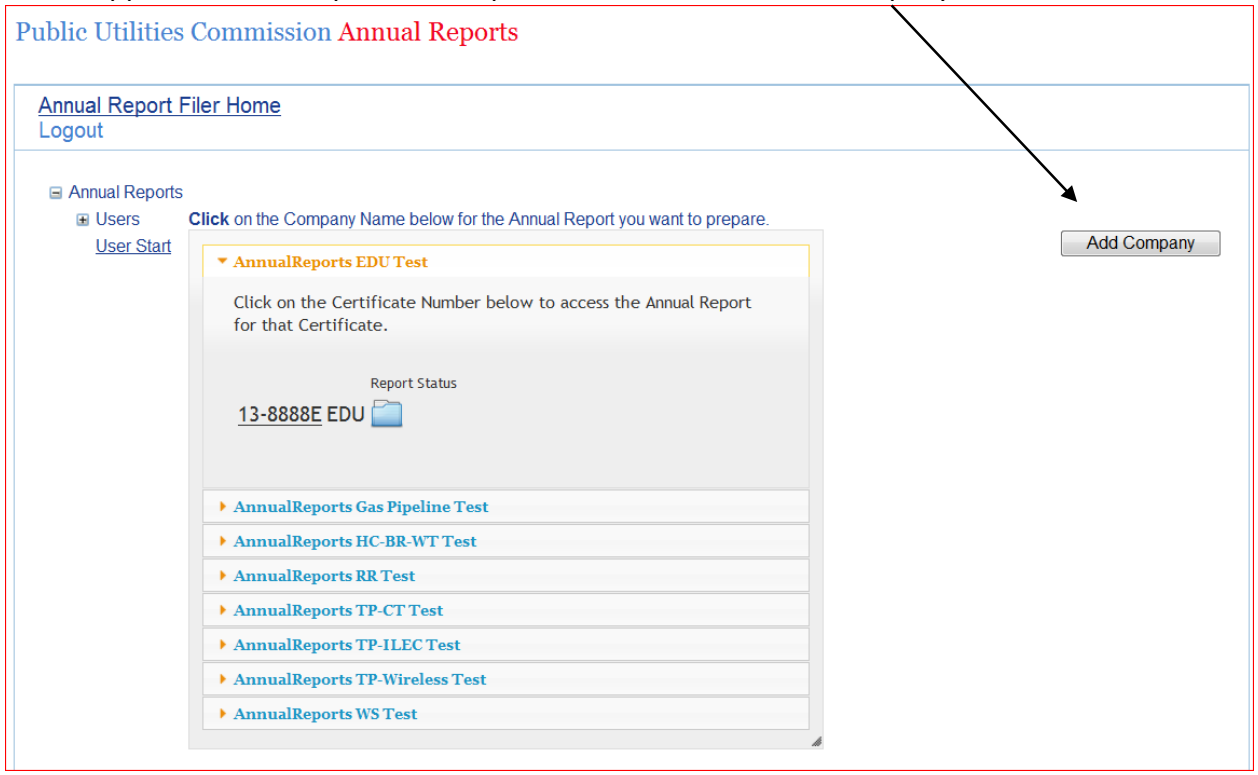
The icon will turn blue and should let you go to the PUCO Log In screen shown below.

PUCO Log In screen:

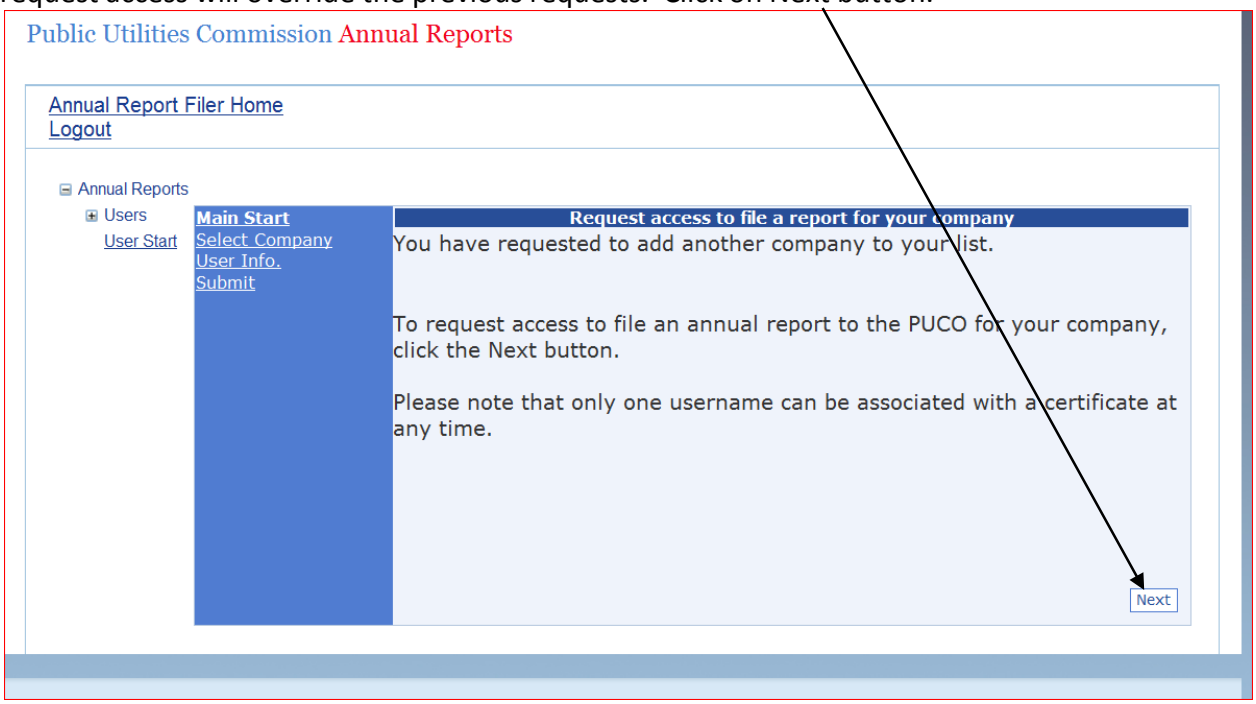


If you do not already have a PUCO username and password, click on the "Create Account" link.
If you have forgotten the username and password you used before, click on the "Forgot Password" link.
Otherwise, enter your PUCO username and password, and click the Log In button.

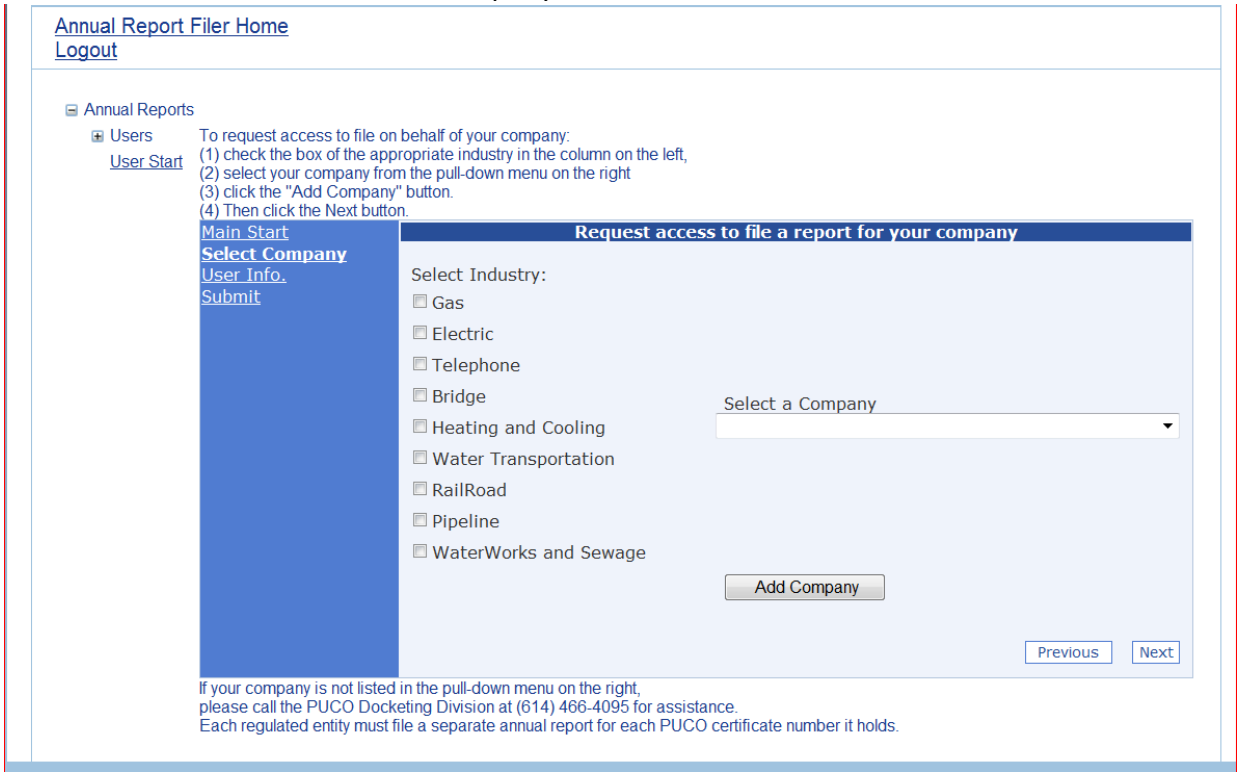
Once you have successfully logged in, you should get a screen that lists all companies and certificates for which you are approved to file reports. To request access, click the Add Company button.



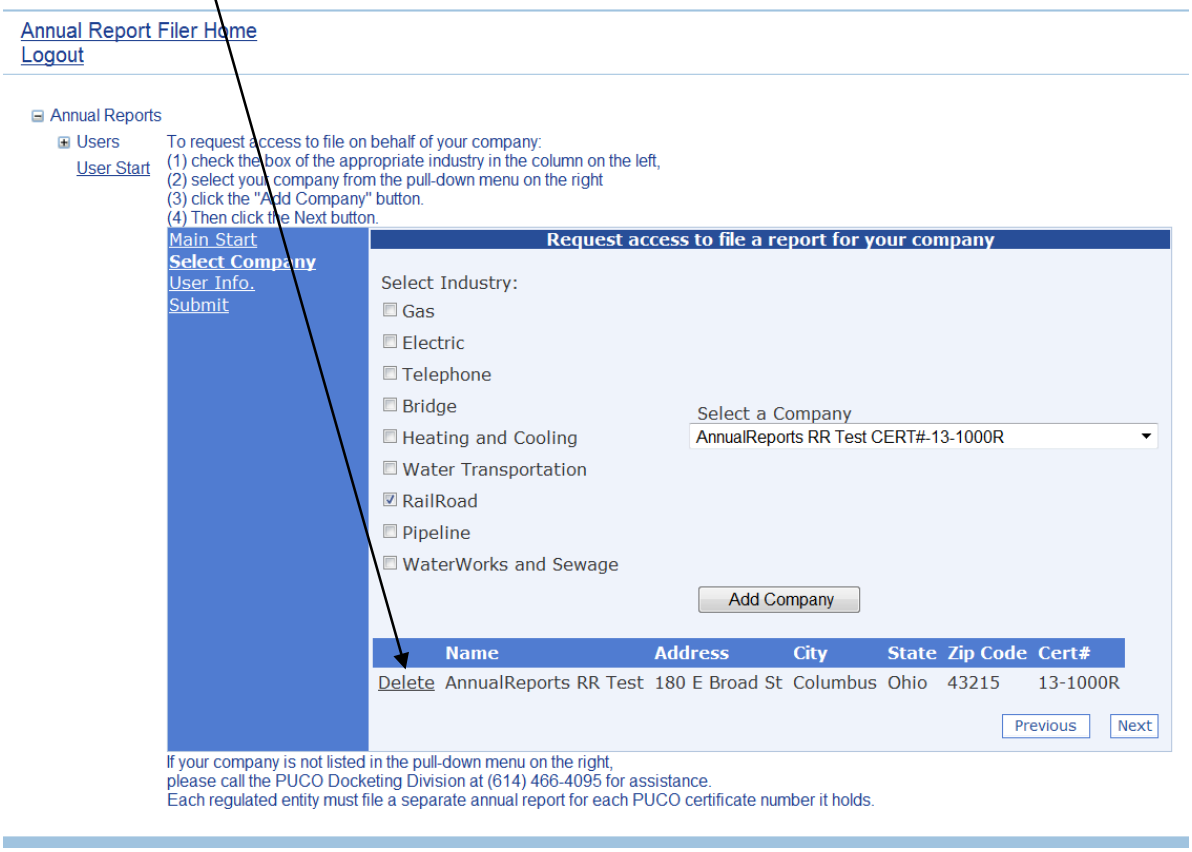
Please note that only one filer can have access to a company report. If several filers request access, the last one to request access will override the previous requests. Click on Next button.



To request access to file a report, click on the appropriate industry check box, then select your company from the pull-down menu, and click the Add Company button.



Your company should appear at the bottom. If your company and certificate do not appear in the drop-down menu, please send a message to annualreports@puc.state.oh.us. If you have selected the wrong company or certificate, click on the Delete link to remove it. After you have added all the companies and certificates for which you will be filing, click the Next button.



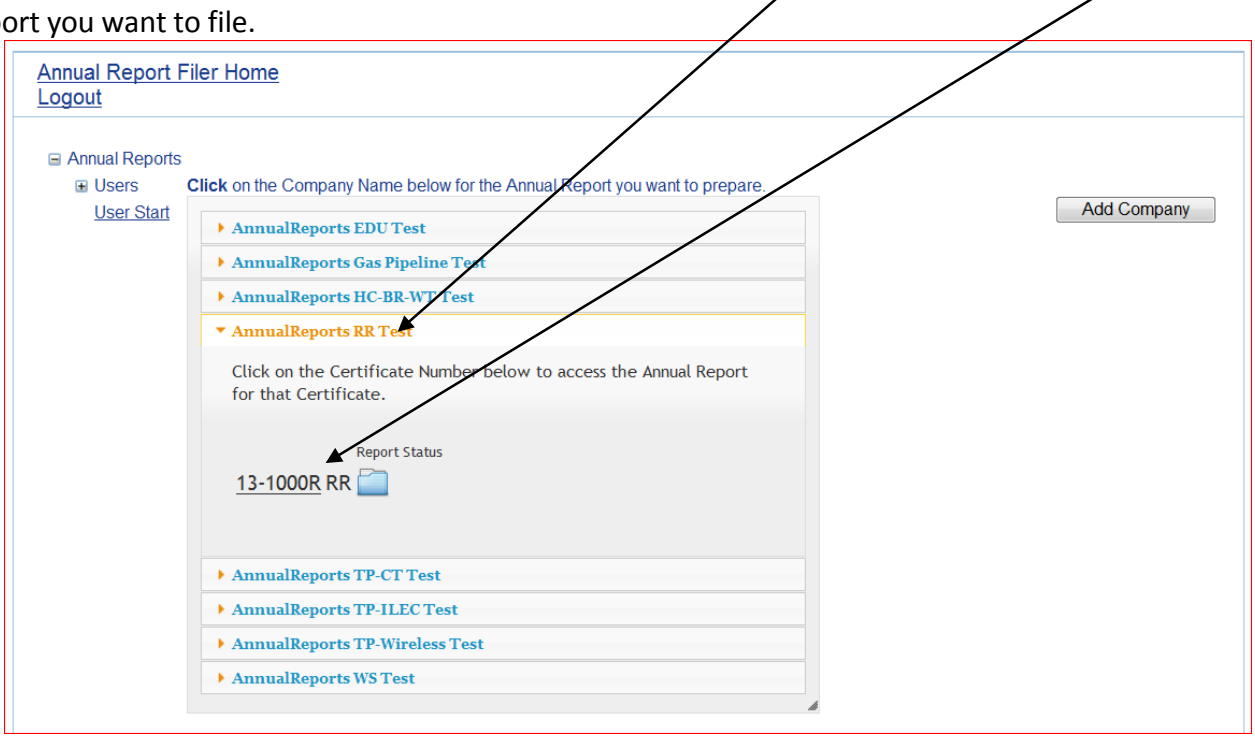
Fill in your name, phone number and email address, so that we can contact you if we have any questions regarding a filing. Then, click the Next button.

Verify your info and click the Next button

There may be a delay (thirty seconds or so) for the system to process your request. Please wait until you get the confirmation screen shown below.

You will receive an email when your request has been approved. For immediate assistance, please contact the PUCO Docketing Division at (614) 466-4095 during business hours 8:00 a.m. – 5:30 p.m. EST.

Once you have been approved, log in again and the screen should now list all companies and certificates for which you are approved to file reports. Click on the name of the company and then the certificate number for the report you want to file.



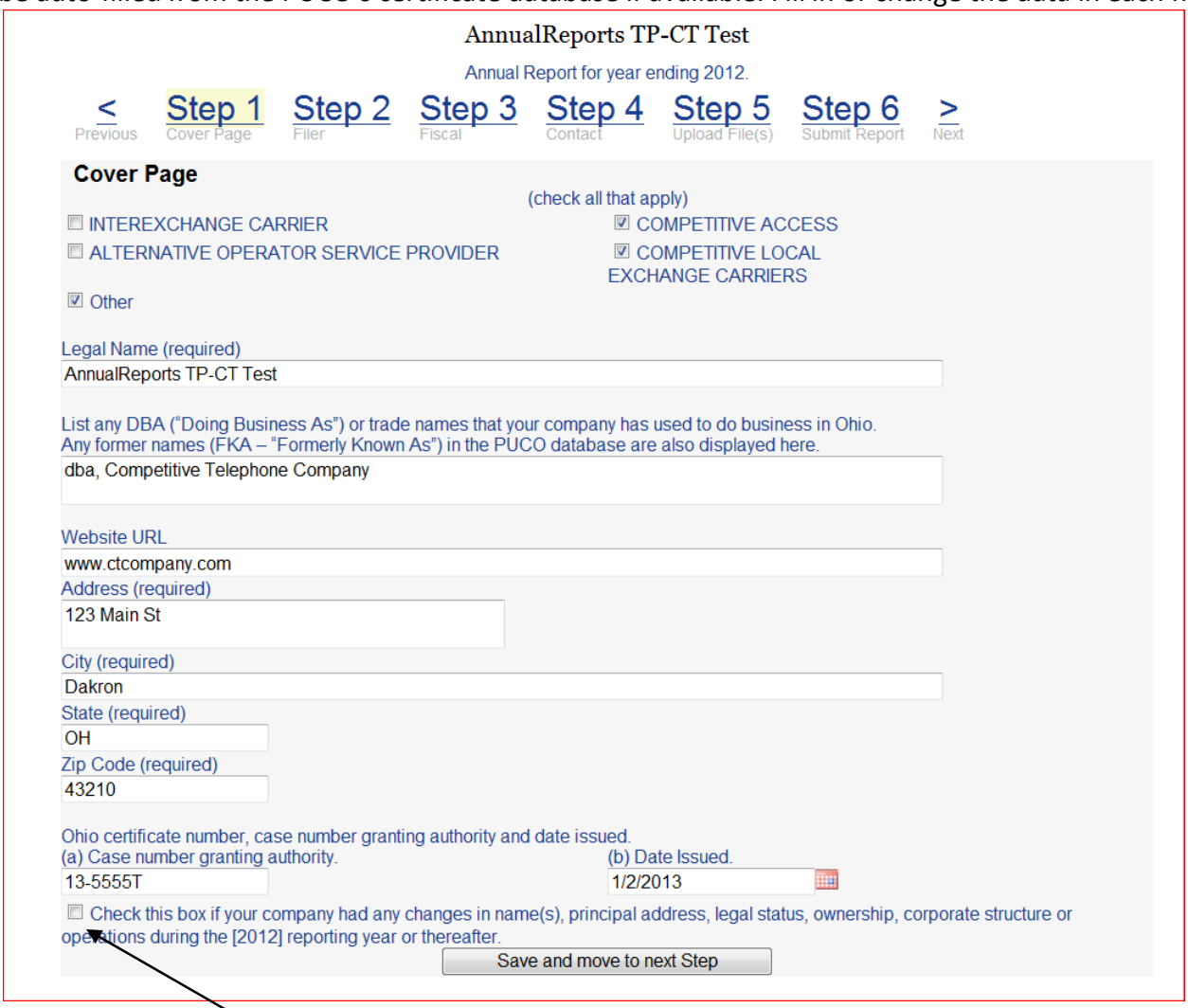
If a report has already been submitted for a certificate, you will get a PDF copy of the submitted report by clicking on the certificate number link.

Completing the on-line report form

The on-line Annual Report form has six steps. The current step you are working on is highlighted in yellow. To exit a report without submitting it, click on the Annual Report Filer Home or User Start links.

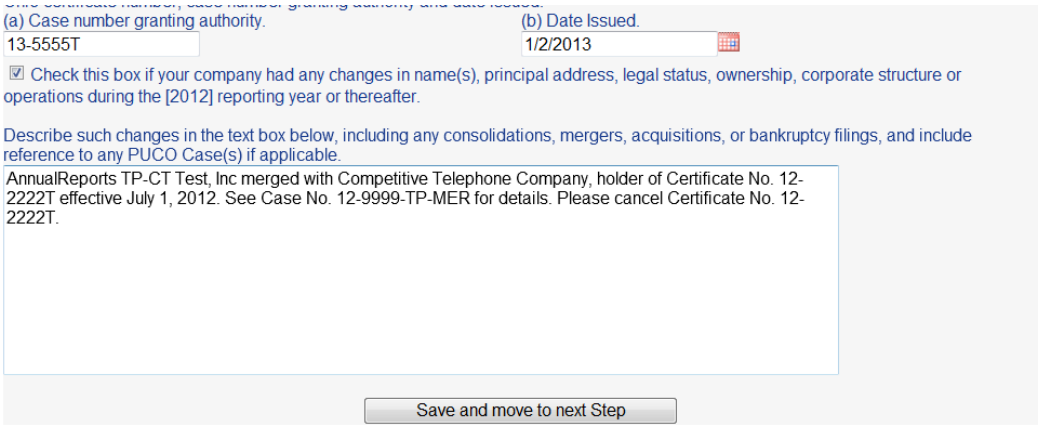
Step 1: The Cover Page:

The cover page will be different for various industry segments, but shows basic company information that will be will be auto-filled from the PUCO's certificate database if available. Fill in or change the data in each field.



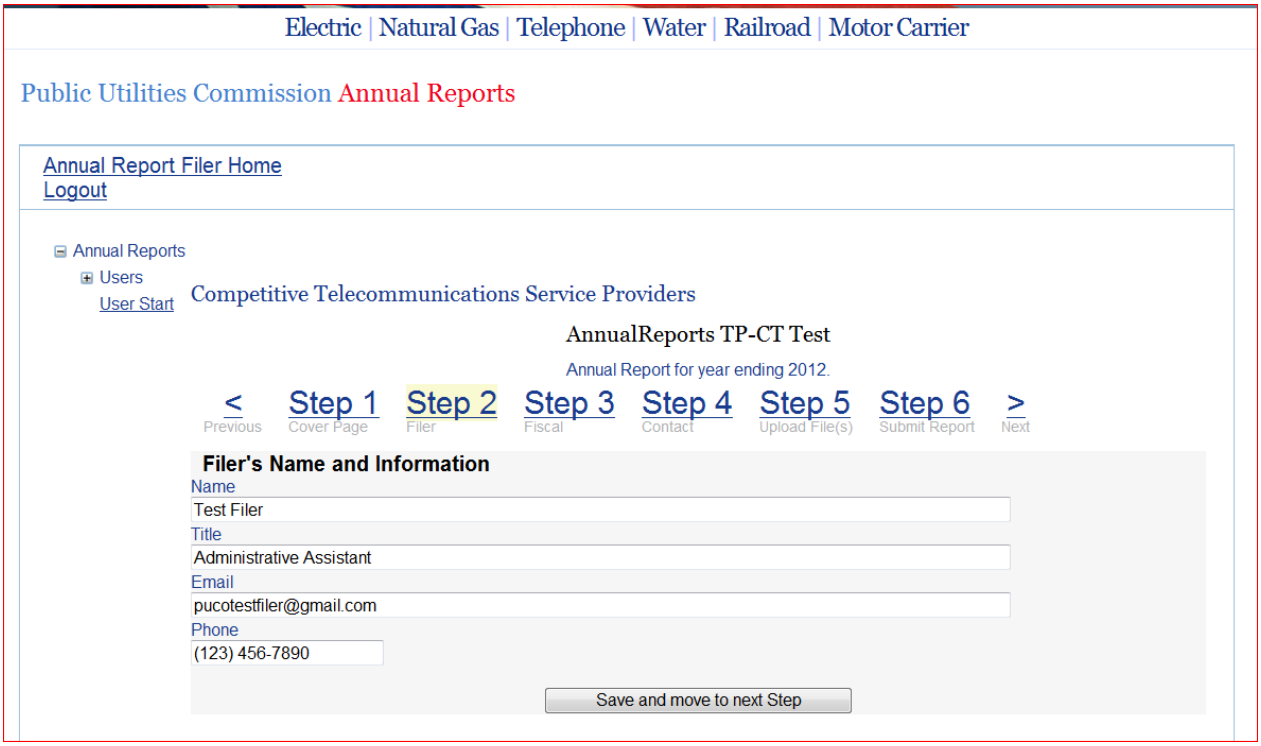
The last field in Step 1 is a checkbox for reporting any significant changes in company name, legal status or corporate structure during the reporting year. Clicking the checkbox will provide you with a text box for inputting this information. If you are reporting revenue under a different certificate number (e.g., consolidated companies) please provide a statement to that effect noting the other certificate number(s).

If you've clicked the checkbox at the bottom of Step 1, a text field will appear for inputting information regarding any significant changes in company name, legal status or corporate structure during the reporting year. If the changes required PUCO notification or approval, please reference the case number for such filings.



Click the Save button to move to the next step.

<u>Step 2: The Filer Page:</u>



Step 2 is contact information for the person making the filing, which may be a third-party service. This information will be used to send you confirmation that the report was submitted, to contact you if there is a problem with the filing, or to notify you when the system becomes available for the next year's reports. Click the Save button to move to the next step.

Step 3: The Fiscal Page:

Step 3 is fiscal information used to calculate a company's assessment, and will differ for different industry segments. In addition to the Fiscal page, electric, gas, heating/cooling and water/sewer local distribution companies are required to complete supplemental schedules which support the reported totals. Telephone ILEC companies are required to upload a supplement pole attachment report.

For Certified Gas (CRNG) and Electric (CRES) Suppliers:

A supplier who acts as a broker or pass-through entity, and does not take title to the gas or power, should not report any of its pass-through sales, but must report any gross revenues (fees or commissions) on Ohio jurisdictional transactions. Suppliers who do take title to the gas or power delivered in Ohio jurisdictional transactions may have additional reporting requirements. (E.g., Generation Providers may have Alternative Energy reporting requirements see the **Ohio Renewable Energy Portfolio Standard page**.

In addition to annual reports, Ohio Revised Code Sections 4928.08(C) and 4929.20(B), and Rules 4901:1-24-09 and 4901:1-27-09 of the Ohio Administrative Code provide that that all Competitive Retail Gas and Electric Service Provider certificates must be renewed every two years. Details can be found on our Industry Specific FAQ page.

CRNG Test - Annual Reports

Annual Report for year ending 2015.

< Previous | Step 1 Cover Page | Step 2 Filer | Step 3 Fiscal | Step 4 Contact | Step 5 Submit Report | > Next

Fiscal Data

Statement of Intrastate Sales and Revenues

Retail Gas Suppliers taking title to Gas:[1]

Natural Gas Sales / Revenues	Sales(mcf)	Revenues ($)
1 Choice Program Retail Sales	14789	1379
2 Choice Program Aggregation Sales	23569	2468

Brokers and Aggregators:[2]

Natural Gas Sales / Revenues		Revenues($)
Fees and Commissions		500
Total	38,358	$4,347

Instructions:
The information reported on this form should refer only to those sales and revenues for which certification pursuant to Section 4929.20, Ohio Revised Code, is required.

1) Suppliers who take title to the gas should report sales volumes and earnings on Ohio jurisdictional transactions.

2) Brokers and aggregators, including governmental aggregators, that do not take title to the gas, including governmental aggregators, that do not take title to the power, should only report fees and commissions earned on Ohio jurisdictional transactions.

Natural Gas Standard Choice Offer (SCO) providers should include such SCO sales and revenues as part of Choice Program Retail Sales.

Please enter amounts in whole dollars. For inputting negative numbers, enter the number first then the negative symbol (-).

For further information, see the Annual Reports Frequently Asked Questions.

Save and move to next Step

For further information, see Frequently Asked Questions regarding Annual Reports posted on the Annual Reports Home page or send a message to or annualreports@puco.ohio.gov.
Fill in the appropriate data and click the Save button to move to the next step.

Step 4: The Contact Page:

AnnualReports TP-CT Test

Annual Report for year ending 2012.

< Previous | Step 1 Cover Page | Step 2 Filer | Step 3 Fiscal | Step 4 Contact | Step 5 Upload File(s) | Step 6 Submit Report | > Next

Contact information

Docketing Contact Information

Provide email address and contact person name, address and phone number for the service of all entries and orders from the PUCO Docketing Division. Each regulated entity should subscribe to all applicable industry service lists to receive notices for rule-making procedures and other industry-specific communications. Companies should subscribe multiple addresses and take appropriate actions to ensure that electronic mail service from the Commission is not blocked or disabled. Any regulated entity that wishes to continue receiving paper copy service from the Commission's Docketing Division must submit a Request for Paper Service form.

E-Mail Address: regulatoryaffairs@cttest.com

First Name: John | Last Name: Doe

Title: VP of Regulatory Affairs

☐ Check if the mailing address is the same as Step 1.

Address: 123 Main St.

City: Dakron

State: OH | Zip Code: 43210

Phone Number (Including Area Code): (123) 456-7890

Fiscal Contact Information

Provide email address and contact person name, address and phone number to whom assessment information and invoices should be directed to your company from the PUCO Fiscal Division.

E-Mail Address: acctspayable@CTTestCompany.com

First Name: Jane | Last Name: Dough

Title: VP of Finance

☐ Check if the mailing address is the same as Step 1.

Address: 123 Main St

City: Dakron

State: OH | Zip Code: 43210

Phone Number (Including Area Code): (123) 456-7890

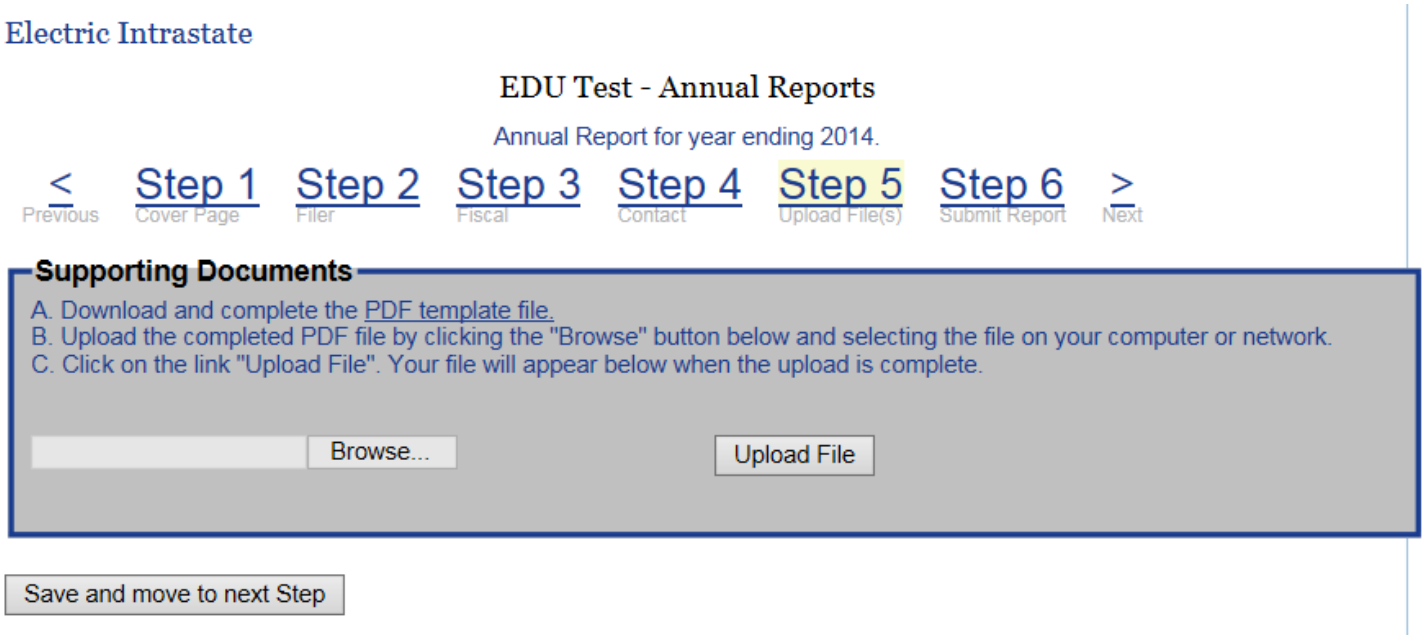
Save and move to next Step

Step 4 is your company's contact information that will be used (1) by the PUCO Docketing Division to notify the company of filings (for governmental aggregations this should be the governmental contact person or office, and (2) your company's fiscal contact information for sending you the assessment calculation and

billing. Click the Save button to move to the next step.

Step 5: The Upload Page:

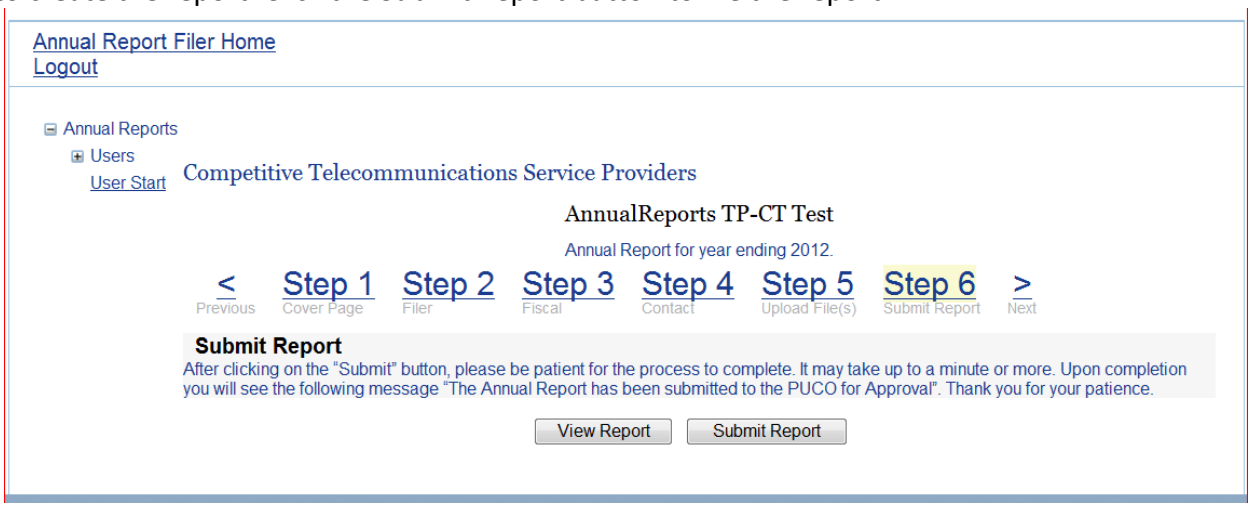
Step 5 for electric, gas, heating/cooling, and water/sewer local distribution companies includes a file upload section for uploading supplemental schedules which should support the reported totals in Step 3. Telephone ILECS companies are also required to upload a supplement pole attachment report.



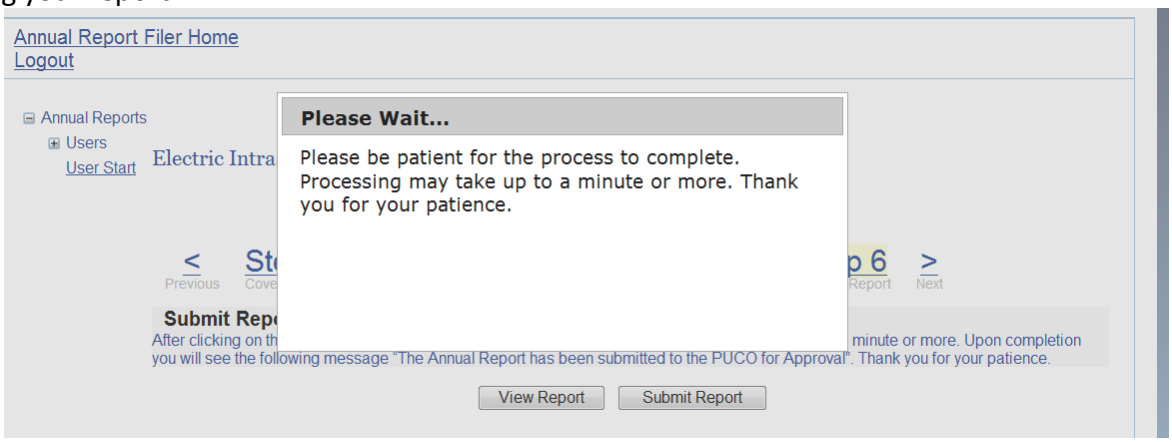
Click the Save button to move to the next step.

Step 6: The Submit Report Page:

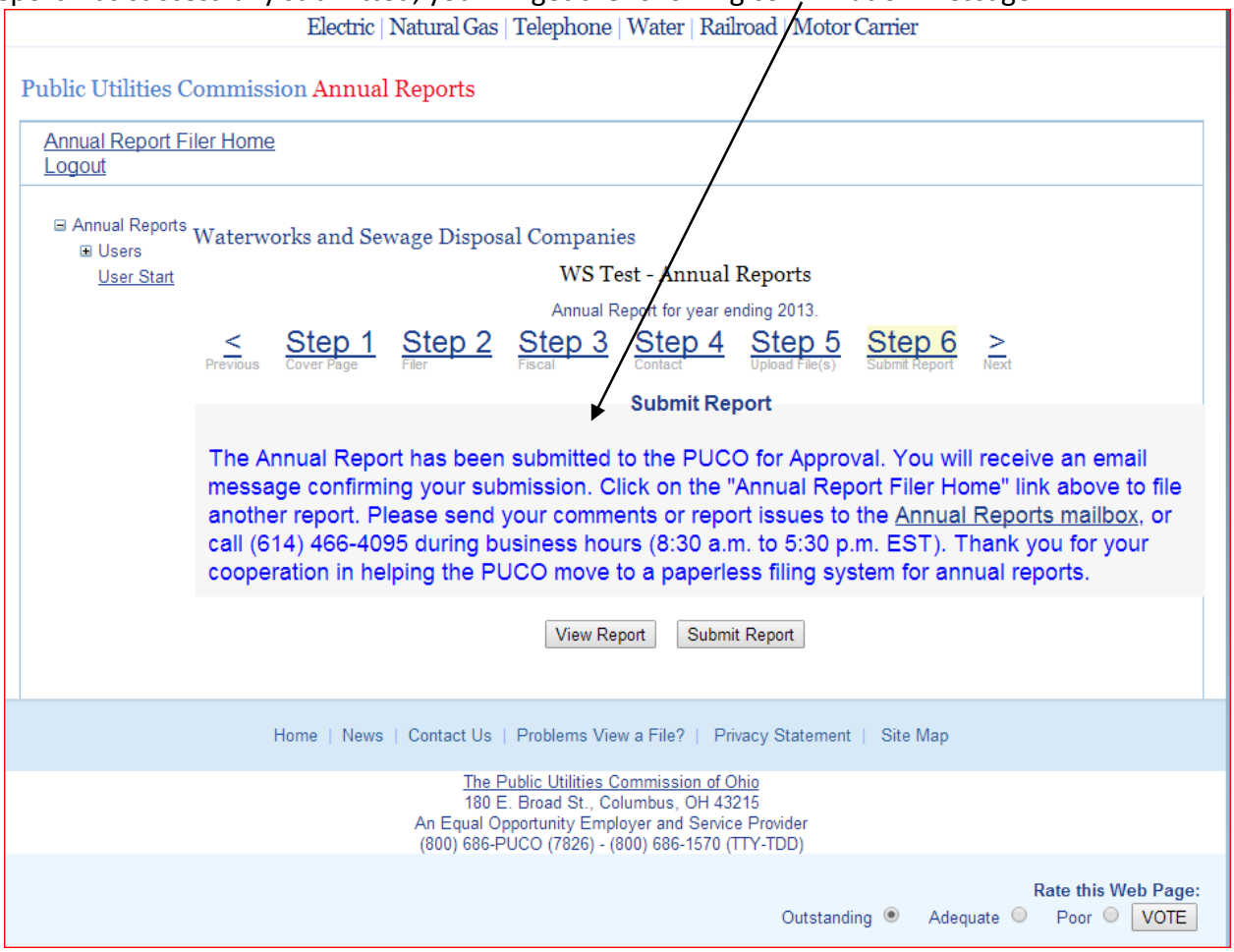
Step 6 allows you to review your report before filing. Please note that there may be a delay of a minute or more to create the report. Click the Submit Report button to file the report.



After clicking on the Submit Report button, you may see the following warning to let you know the system is processing your report.



If the report was successfully submitted, you will get the following confirmation message:



A copy of your report will be emailed to the annual report mailbox, the OCC, and the filer email address you entered in Step 2. This email confirmation will not include any supplemental schedules due to file size limitations.

After review by the PUCO Docketing Division, your report will be posted for public access in the permanent archive of annual reports at: http://www.puco.ohio.gov/apps/directorylister/annualreports.cfm. Any supplemental schedules will also be posted manually, and may require additional time to process.

You will be notified by email when posting is completed. The PUCO and, if applicable, the OCC, will determine the appropriate assessment amounts and send a bill to the fiscal contact identified in your report by October 1st. Payment is due by November 1st.

For more information, see Frequently Asked Questions regarding Annual Reports or contact us at (614) 466-4095 or annualreports@puco.ohio.gov.