

TRANSFERS

Filing Requirements Checklist

(Applicable Authority: KRS 278.020(5) and (6) and 807 KAR 5:001, Section 14)

Case No. \_\_\_\_\_ Applicant Name \_\_\_\_\_ Received Date \_\_\_\_\_ Form Circulation Date \_\_\_\_\_

Instructions:

- 1) Each division noted by checkmark ( ) is to complete its review and pass on within two 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 to Docket Section following review by all divisions.

|                                  |       |                     |
|----------------------------------|-------|---------------------|
| Reviewed by following Divisions: | Date  | <u>Staff Member</u> |
| _____ Filings                    | _____ | _____               |
| _____ Legal                      | _____ | _____               |

| Division Responsible | Law/Regulation        | Filing Requirement   | Requirement Met |    | Waiver Requested | Approve Waiver? |    |
|----------------------|-----------------------|--|-----------------|----|------------------|-----------------|----|
|                      |                       |  | Yes             | No |                  | Yes             | No |
| Filings              | KRS 278.020(6)        | Application verified by oath or affirmation.   |                 |    |                  |                 |    |
|                      | <u>807 KAR 5:001:</u> |  |                 |    |                  |                 |    |
| Filings              | Section 14(1)         | Full name, mailing address, and e-mail address of applicant and a reference to KRS 278.020(5) or KRS 278.020(6) or both. |                 |    |                  |                 |    |
| Filings              | Section 7(1)          | The application and 10 copies.   |                 |    |                  |                 |    |
| Legal                | Section 4(3)          | Paper signed by submitting party or attorney.  |                 |    |                  |                 |    |

| Division Responsible                 | Law/Regulation  | Filing Requirement   | Requirement Met |    | Waiver Requested | Approve Waiver? |    |
|--------------------------------------|-----------------|--|-----------------|----|------------------|-----------------|----|
|                                      |                 |  | Yes             | No |                  | Yes             | No |
| 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 –<br><ul style="list-style-type: none"> <li>- All social security numbers</li> <li>- All birthdates</li> <li>- All financial account numbers</li> <li>- All other personal identification information</li> </ul>   |                 |    |                  |                 |    |
|                                      |                 | 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 <u>rejected</u> .  |                 |    |                  |                 |    |
| Legal                                | Section 8(4)(b) | Has submitting party optimized pdf document –<br><ul style="list-style-type: none"> <li>- Making all text pages searchable or OCR'd.</li> <li>- Bookmarks added to distinguish sections of the paper.</li> </ul>   |                 |    |                  |                 |    |
| <b>(Electronic Case Filing only)</b> |                 |  |                 |    |                  |                 |    |
| 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 company, 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 the   |                 |    |                  |                 |    |

Division  
Responsible   Law/Regulation   Filing Requirement

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.

| Requirement Met |    | Waiver Requested | Approve Waiver? |    |
|-----------------|----|------------------|-----------------|----|
| Yes             | No |                  | Yes             | No |
|                 |    |                  |                 |    |

The following is a checklist of items which are not required to be filed with an Application for Transfer but which ideally should be filed with an application to expedite review of the application:

|       |                |  |  |  |  |  |  |
|-------|----------------|--|--|--|--|--|--|
| Legal |                | 1. Signed Purchase/Sale Agreement, or other writing memorializing the terms of transfer.   |  |  |  |  |  |
| Legal |                | 2. If a sewer, the buyer must have a 3rd party beneficiary agreement or other evidence of financial integrity deemed sufficient by the PSC.  |  |  |  |  |  |
| Legal | KRS 278.020(5) | 3. The names and qualifications of operating personnel, and any other evidence to show new owners have financial, technical, and managerial abilities to operate system, e.g. income tax records, financial statements, etc. |  |  |  |  |  |