

# Annual Affiliate Transaction Report Instructions and Form

Pursuant to Decision (D.) 93-02-019, all Telephone Corporations must submit to the Communications Division Director (via [CDCompliance@cpuc.ca.gov](mailto:CDCompliance@cpuc.ca.gov)) an Annual Affiliate Transaction Report no later than May 1st of the year following the calendar year for which the report is submitted. The following are instructions to complete the **Annual Affiliate Transaction Report form** (form included in this document). Please carefully read the instructions before completing and submitting the report form. File **electronically** and DO NOT send hard copies unless requested by CPUC staff.

**Instruction 1:** Complete **SECTION 1: UTILITY INFORMATION**. All information is required.

**Instruction 2:** Complete **SECTION 2: AFFILIATE STATUS DURING THE CALENDAR YEAR PERIOD**.

- a. Utilities that had no affiliated entities during the reporting calendar year must select **"No, the utility had no affiliated entities during the report period"**; and complete **SECTION 4: UTILITY OFFICER ATTESTATION**. Utilities with no affiliates DO NOT need to complete **SECTION 3: REPORT APPENDICES**. Follow Instruction 5 for submitting the report.
- b. Utilities that have affiliated entities during the reporting calendar year must select **"Yes, the utility had affiliated entities during the reported period"**; and must complete **SECTION 3: REPORT APPENDICES** and **SECTION 4: UTILITY OFFICER ATTESTATION**.

**Instruction 3:** Mark off the Report Appendices in **SECTION 3: REPORT APPENDICES** as you complete the information and prepare the respective information.

- a. **APPENDIX A: LIST OF AFFILIATES**. Provide information about each affiliated entity<sup>1</sup> and/or regulated subsidiary that the utility had during the period covered by the Annual Affiliate Transaction Report. Each affiliate entity and/or regulated subsidiary must identify all the required information in the bulleted list below. The information should be provided in an appendix, titled "Appendix A-- List of Affiliates", and be submitted with the report form.
  - Name of Affiliate
  - Utility ID of Affiliate (if appropriate)
  - Form of organization (e.g., sole proprietorship, partnership, Limited Liability Company [LLC], corporation, cooperative, other)
  - Brief description of business activities engaged in
  - Relationship to the utility (e.g., controlling corporation, subsidiary, regulated subsidiary, affiliate)
  - Ownership of the affiliate (the name of the person, business, or organization that owns the affiliate and the percentage of the affiliate that it owns)
  - Voting rights held by the utility/affiliate and percentage
  - Corporate officers

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<sup>1</sup> What is an Affiliate? Generally, affiliates are businesses that are related to each other by virtue of shared ownership and/or shared control. In Rulemaking R.92-08-008 the Commission defined an "affiliate" as any corporation in which either a utility or its controlling corporation has a financial interest of at least 5%, which is a significant enough level of ownership that the utility might have an incentive to favor the subsidiary over competing non-affiliated companies.

## Annual Affiliate Transaction Report Instructions and Form

- b. **APPENDIX B: ORGANIZATIONAL CHART.** Provide a corporate Organizational Chart showing any and all corporate relationships between the utility and its affiliated entities and regulated subsidiaries listed in Appendix A. The chart should have the controlling corporation (if any) at the top of the chart; the utility and any subsidiaries and/or affiliates of the controlling corporation in the middle levels of the chart and all secondary subsidiaries and affiliates (e.g., a subsidiary that in turn is owned by another subsidiary or and/or affiliate) in the lower levels. Any regulated subsidiary should be clearly noted. This chart should be titled “Appendix B: Organizational Chart” and attached to the report form.

For a utility that has individuals who are classified as “controlling corporations” of the competitive utility, the utility must only report under the requirements of Instruction 3a and 3b above any affiliated entity that either a) is a public utility or b) transacts any business with the utility filing the annual report excluding the provision of tariffed services.

- c. **APPENDIX C: MISSING INFORMATION.** Any required material that a utility is unable to provide must be reasonably described. Additionally, the reasons the data cannot be obtained, as well as the efforts expended to obtain the information, must be provided as part of the Affiliate Transaction Report, and verified in accordance with Section I-F of Decision 93-02-019. Such descriptions, information, and explanations should be provided in an appendix, titled “Appendix C: Missing Information” and attached to the report form.

**Instruction 4:** Complete **SECTION 4: UTILITY OFFICER ATTESTATION.** Each annual report must be signed by a corporate officer of the utility stating under penalty of perjury under the laws of the State of California (CCP 2015.5) that the annual report is complete and accurate with no material omissions. Complete Item 5 of the report form.

**Instruction 5:** Save the PDF file of the signed and completed **Annual Affiliate Transaction Report** and all appendices, if applicable, also in PDF form. The PDF file name should be formatted: *[Utility ID] [Utility Name] Affil Trans Rpt CY 20XX*. Please make reasonable abbreviations of the Utility Name. Submit the report accompanied by a [CD Compliance Cover Sheet](#) via e-mail to [cdcompliance@cpuc.ca.gov](mailto:cdcompliance@cpuc.ca.gov).

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Additional information regarding Annual Affiliate Transaction Report filing is available at the Commission website: <https://www.cpuc.ca.gov/industries-and-topics/internet-and-phone/carrier-reporting-requirements>. If you have questions, please send them to [cdcompliance@cpuc.ca.gov](mailto:cdcompliance@cpuc.ca.gov).

## California Telephone Corporation Annual Affiliate Transaction Report Form

Pursuant to Decision (D.) 93-02-019, the Annual Affiliate Transaction Report is due no later than May 1st of the year following the calendar year for which the report is submitted.

SECTION 1: UTILITY INFORMATION (Required)			
Utility Name			
Utility ID	U-		-C
Calendar Year Period			
Date Submitted			
SECTION 2: AFFILIATE STATUS DURING THE CALENDAR YEAR PERIOD (Required)			
<input type="checkbox"/> Yes, the utility had affiliated entities during the reported period. Complete Sections 3 and 4. <input type="checkbox"/> No, the utility had no affiliated entities during the report period. Complete Section 4.			
SECTION 3: REPORT APPENDICES (Required if Yes in Section 2).			
<input type="checkbox"/> Appendix A: List of Affiliates (attached) <input type="checkbox"/> Appendix B: Organizational Chart (attached) <input type="checkbox"/> Appendix C: Missing Information (attached, if applicable)			
SECTION 4: UTILITY OFFICER ATTESTATION (Required)			
<p><b>By signing this completed form, the officer of the utility attests under penalty of the perjury laws of the State of California (CCP 2015.5) that the report is complete and accurate with no material omissions.</b></p>			
Full Name of Officer:		Title:	
Contact Phone Number:		Email:	
Signature of Officer:		Date Signed:	