



Consumer Protection and Enforcement Division



Monthly Activity Report October 2019

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OVERVIEW

The Consumer Protection and Enforcement Division (CPED) serves as the first line of defense for California utility customers. CPED implements Commission regulations, policies and licensing for transportation carriers, investigates and enforces against passenger carrier misconduct, and investigates allegations of utility waste, fraud, and abuse. CPED is comprised of two separate programs: Passenger Transportation and Utilities Enforcement.

This report contains information reflecting the month’s performance within each CPED program. Information about each program is collected in seven different sections: (1) Key Activities, (2) Citations/Fines/Refunds, (3) Compliance with Ordering Paragraphs, (4) Docket Activity, (5) Outreach/Training/Other Events, and (6) Legislation of Interest.

PASSENGER TRANSPORTATION PROGRAM

The Commission’s Transportation Program oversees for-hire passenger carriers (limousines, airport shuttles, chartered and scheduled bus operators, transportation network companies and ferries). The Program consists of three branches: The Transportation Enforcement Branch-North (TEB-N), TEB-South (TEB-S) and the Transportation Licensing and Analysis Branch (TLAB).

TEB investigates alleged violations, conducts joint agency operations, issues warning notices and citations, prosecutes enforcement cases before the Commission and supports civil and criminal cases brought by local prosecutors, such as a district or city attorney. TEB also staffs a consumer complaint 800 phone line and conducts outreach activities to educate consumers, carriers, and state and local law enforcement and prosecutors on California statutes and CPUC regulations and policies that affect passenger transportation. For ease of use, the report aggregates statewide enforcement data under the “TEB” heading.

TLAB’s Licensing Section analyzes applications from carriers, writes proposed decisions to approve or deny a carrier’s CPCN application, issues permits and certificates, and tracks carrier compliance with permit requirements while TLAB’s Analysis Section serves a role analogous to that of an “industry division” by functioning as the Commission’s subject matter expert and advising decision makers regarding for-hire carriers.

KEY STATISTICS

Enforcement and Complaints

In October 2019, TEB carried over 135 investigation from the prior month. TEB closed 27 investigation and initiated 40 new ones. The Consumer Intake Unit (CIU) received 23 complaints, resolved seven, and referred 13 complaints to the Enforcement Unit for further investigation.

Enforcement Activity	Jan	Feb	March	April	May	June	July	Aug	Sept	Oct	YTD
Open Investigations at Beginning of Month	144	139	146	158	179	175	174	157	155	135	N/A

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New Investigations	22	35	21	53	20	17	16	19	8	40	251
Investigations Completed	27	28	19	32	24	18	33	21	28	27	257
Cease and Desist Notices	27	20	23	17	25	16	14	16	8	18	184
Official Notices	1	3	2	1	3	7	2	4	1	0	24
Citations	4	18	8	12	9	10	9	8	12	15	105
Citations Appealed	2	3	6	5	6	6	6	4	5	6	49

Complaint Activity	Jan	Feb	March	April	May	June	July	Aug	Sept	Oct	YTD
Open complaints at Beginning of Month	6	5	5	3	3	1	7	5	3	3	N/A
New complaints, by complainant type:	25	15	27	17	17	13	9	7	10	23	163
Consumer	20	9	21	16	10	11	8	6	9	9	119
Competitor	5	5	6	1	7	2	2	1	0	7	36
Government Agency	0	0	0	0	0	0	0	0	1	0	1
Complaints referred to Enforcement Unit	19	8	22	12	15	4	5	3	3	13	104
Complaints Closed by CIU	6	12	25	19	19	7	12	8	7	7	122
Open complaints as of end of period	6	5	1	1	1	7	5	3	3	6	N/A
0-30 days	25	12	25	14	16	10	7	5	7	22	143
31-60 days	0	2	1	3	1	3	2	0	3	1	16
61-90 days	0	1	1	0	0	0	0	2	0	0	4
Over 90 days	0	0	0	0	0	0	0	0	0	0	0

Carrier Applications and Permits

Through October 2019, TLAB staff received 2,321 applications (new, renewals, refiles, transfers), and issued 2,427 permits. TLAB completed 386 additional applications but cannot approve them until the CHP completes bus terminal inspections (CHP requires 60 days) and/or the carrier provides proof of insurance or enrollment in a drug testing program (up to 7 days). Five new TNC applications are under review.

Docket Activity	Total Processed
New Applications Docketed	562
Renewal Applications Docketed	1590
Refile Applications Docketed	123
Transfer Applications Docketed	46

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Authorities Issued	2427
Authorities Suspended	3751
Authorities Revoked	990
Authorities Reinstated (Suspended/Revoked)	2871

Voluntary Suspensions and Revocations	Total Processed
Number of Voluntary Suspensions	168
Number of Voluntary Revocations	127

Carrier Account Activity	Total Processed
Number of vehicles added	5278
Number of vehicles deleted	680
Address and DBA Changes processed	2220
CHP Inspection Requests	3554

Returned Applications (incomplete package)	Total Processed
New Applications	445
Renewal Applications	143
Transfers Applications	14
Refiles Applications	60

Current Active and Suspended Authorities	Total Processed
Total Active/Suspended TCP and PSC Authorities	6252
Total Active/Suspended TNC Authorities	20

Current Carrier Applications in Pending Status	
Pending New TCP Applications (Waiting CHP insp., Drug results or Insurance)	171
Pending New TNC Applications (Waiting EPN, Insurance or Trustline)	5
Pending Renewal TCP Applications (Waiting CHP insp., Drug results or insurance)	210
Pending Reinstatement from Suspension/Revocation	20

CITATIONS/FINES/REFUNDS

Action	October 2019	YTD
Fines Assessed	\$51,500	\$400,500
Fines Paid	\$27,750	\$284,885
Overcharge Refunds/Claims Settlements by TEB Consumer Unit	\$419	\$9,948

- **F-5404. Aashian Travel Inc, Fresno, Unlicensed, previously registered as TCP 38097. Case PSG-4912.** Fine: \$2,500. Violations: carrier 1) operated and advertised without authority; and 2) operated without authorized airport permit.
- **F-5588. Rafo Investment Inc dba SD Luxury Limos, El Cajon, TCP 36213. Case: PSG-4964.** Fine: \$3,000. Violations: carrier 1) failed to enroll drivers in DMV EPN program; 2) failed to enroll drivers in drug and alcohol program; 3) engaged improperly licensed drivers; and 4) failed to include pertinent information on waybills.
- **F-5606. Driver Contractors of America dba First Impression Limousine and First Impression Transportation, San Jose, TCP 33733. Case: PSG-5014.** Fine: \$1,000. Violations: carrier 1) failed to enroll driver in DMV EPN program; and 2) failed to maintain a current equipment list. **F-5608. B.J.’s ATV Rentals, Inc., Grover Beach, TCP 38595. Case: PSG-4956.** Fine: \$2,000. Violation: carrier 1) operated four days as a charter-party carrier without authority. Carrier paid fine in full.
- **F-5609. Lutzi Haas dba Pacific Adventure Tours and Xtreme Hummer, Grover Beach, TCP 38647. Case: PSG-4955.** Fine: \$1,000. Violations: carrier 1) Operated two days as a charter-party carrier without authority. Carrier paid fine in full.
- **F-5610. Wilker J. Meneguete, Santa Rosa, Unlicensed, previously registered as TCP 32551. Case: PSG-5068.** Fine: \$2,000. Violations: carrier 1) operated after revocation of permit; (2) underreported gross revenue and underpaid PUCTRA fees; and (3) failed to maintain DMV EPN.
- **F-5611. Air Crew Transport, Inc., Millbrae, Unlicensed, previously registered as TCP 32754. Case: PSG-4939.** Fine: \$5,000. Violations: carrier (1) operated after suspension of permit; (2) operated without worker’s compensation insurance on file; (3) operated a bus without required passenger endorsement on license; (4) used another corporation as a driver; (5) underreported gross revenue and underpaid PUCTRA fees, (6) failed to provide accurate waybill information. **FC-5612. Global Charter Services Inc., dba Busbank, Chicago, Unlicensed, previously registered as TCP 38786-A. Case: PSG-5028.** Fine: \$5,000. Violations: carrier operated and advertised as a charter-party carrier without a current operating authority.
- **F-5613. Arnie’s ATV Inc., Grover Beach, TCP 38649. Case: PSG-4954.** Fine \$2,000. Violations: carrier 1) operated two days as a charter-party carrier without authority. Carrier paid fine in full.

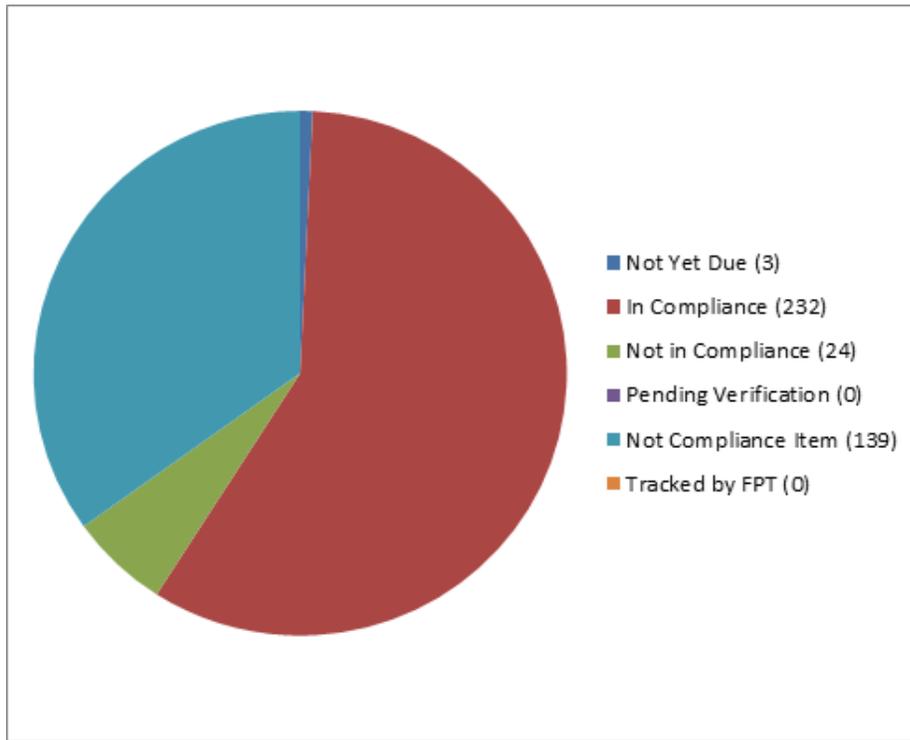
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- **F-5614. Bayzgo Airport Transportation Inc. dba Bayzgo Airport Transportation, Cupertino, TCP-37916. Case: PSG-4999.** Fine: \$1,000. Violation: carrier hired a sub-carrier that lacked an active operating authority.
- **F-5616. Big Hawk Travel LLC, A Texas LLC and Martiniano Martinez Gonzalez, Los Angeles, (Unlicensed). Case: PSG-4904.** Fine: \$6,000. Violation: carrier 1) operated as a Passenger Stage Corporation (PSC) and charter-party carrier without authority.
- **F-5617. Sierra Dorada Travel LLC, A Texas LLC and Martiniano Martinez Gonzalez, Austin Texas, (Unlicensed). Case: PSG-5098.** Fine: \$6,000. Violation: carrier operated as a Passenger Stage Corporation (PSC) and charter-party carrier without authority.
- **F-5618. Mauclia Selene Beltran dba Pulman Plus and Martiniano Martinez Gonzalez, El Cajon, (Unlicensed). Case: PSG-5099.** Fine: \$6,000. Violation: carrier operated as a Passenger Stage Corporation (PSC) and charter-party carrier without authority.
- **F-5619. Have Fun Tours LLC dba Have Fun Tours, Aliso Viejo, TCP 26851.** Fine: \$3,000. Violations: carrier 1) failed to enroll a driver in DMV EPN program; 2) failed to drug test drivers; 3) engaged unlicensed drivers; 4) failed to provide complete waybills; and 5) failed to include TCP number on advertisements.
- **F-5620. Anna Mamalashvili and Anri Mamalashvili dba: Anris Limo Services, North Hollywood, Unlicensed, previously registered as TCP 29534-B.** Case: PSG-4848. Fine \$6,000. Violations: 1) operated after expiration of authority; 2) failed to maintain workers' compensation insurance in effect and on file; and 3) failed to enroll drivers in DMV EPN program. Carrier also failed to drug test drivers and failed to maintain records including waybills.

Los Angeles International Airport (LAX) Citation Program – October 2019

Citations issued by airport police	Vehicles impounded	Admin citations issued by CPUC	C&D letters issued by CPUC	Total fines collected
16 (14– unlicensed) (2 – GO 157 violation)	12	9	14	\$8,000

COMPLIANCE WITH ORDERING PARAGRAPHS



The Transportation Program is currently responsible for 398 separate Ordering Paragraphs. Many Ordering Paragraphs result from decisions to approve CPCNs for passenger stage corporations, and include permit requirements such as obtaining appropriate insurances, enrolling in drug testing and DMV pull-notice programs, receiving bus terminal inspections by CHP and others. Other OPs uphold TEB enforcement actions and impose fines for carrier violations of law and wrongdoing against consumers. And, finally, OPs introduce new reporting requirements and transportation policies.

DOCKET ACTIVITY

Policy Proceedings

- **R.12-12-011 / TNC Rulemaking / Mason & Chiv / Shiroma**
 - On October 22, Assigned Commissioner Genevieve Shiroma hosted a Public Workshop discussing the current status and progress of autonomous vehicle (AV) testing in CPUC’s pilot programs.
- **R.19-02-012 / TNC Access for Persons with Disabilities / Mason & Chiv / Shiroma**
 - On October 10, 2019, TLAB staff and management hosted a Public Workshop in San Diego on issues identified in “Track 2” of the proceeding.

Enforcement Proceedings

- No OIIs or OSCs.

Citation Appeal Proceedings

- **K.19-10-009 / Migan C. Murray, dba Rite Time Transport (TCP 37559-A) Appeal / ALJ TBD.** On October 18, 2019, appeal was received and filed by ALJ Docket Office; awaiting a hearing date.
- **K.19-09-15 / Jordan & Associates Investments, dba Sun Buggy Fun Rentals (TCP 38563-Z) Appeal / ALJ Kim.** On September 26, 2019, appeal was received and filed by ALJ Docket Office; awaiting a hearing date.
- **K.19-09-002 / Ibrahim Raed Khalil, dba Comedy Limo (TCP 17704) Appeal / ALJ Wang.** Hearing conducted on October 30, 2019; awaiting a draft resolution.
- **K.19-08-017 / Khouri Amir Faiz, dba Classic Limousine and Sedan Service (TCP 21472) Appeal / ALJ McGary.** Hearing conducted on October 31, 2019; awaiting a draft resolution.
- **K.19-05-001 / West Lake Village, LLC dba West Lake Limo (TCP 29548) Appeal / ALJ Kelley.** On May 3, 2019, appeal was filed by ALJ Docket Office. Appeal hearing conducted on August 5, 2019; awaiting a draft resolution.
- **K.19-02-008 / Benjamin Mateo Starr (TCP 34394) Appeal / ALJ Kelley.** On October 24, 2019, the Commission adopted Resolution ALJ-372, which found that the carrier operated under a suspended permit and without proof of insurance, and upheld CPED's \$10,000 fine.

Carrier Application Proceedings

- **A.19-10-006 / Application of Prodigy Children's Shuttle Service, LLC for a Certificate of Public Convenience and Necessity under Section 1031, et seq., of the Public Utilities Code, to operate as an on-call, door-to-door, Passenger Stage Company throughout Elk Grove, California, on weekdays, exclusively for children and teens and throughout Sacramento County California for the General Public on weekends; and to establish a Zone of Rate Freedom./ 10/14/2019 Application filed**

OUTREACH/TRAINING/OTHER EVENTS

Joint Agencies Operations

- **San Francisco International Airport (SFO) Ground Transportation Unit and San Francisco Airport Police.** TEB-N assigns a dedicated analyst to SFO. Staff and management from TEB-Northern California, SFO Ground Transportation Unit, and San Francisco Airport Police meet monthly to jointly address complaints of unlicensed passenger carriers that operate at SFO.

- **Interagency Operations – Yountville, on October 22, 2019.** Northern California-based TEB staff work jointly with the Napa County Sheriff's Department to address complaints of unlicensed providers of passenger transportation on the Silverado Trail (Highway 129.) On October 22, Napa County Deputy Sheriff made a traffic stop of a vehicle belonging to a carrier with an expired permit; the vehicle was impounded.
- **San Ysidro Border Inspection- on October 23, 2019 Joint Agency Inspection with CHP Border Division and TEB-South.** The joint agencies observed/inspected 31 buses and vans.

Observation reports were issued for:

- Vehicle not registered with the CPUC (3).
- Lack of trade dress (1).
- No workers' compensation on file (4).
- Driver lacked proper CDL Passenger Endorsement (2).
- Operating without authority (1).

Misdemeanor warnings issued for:

- Operating after suspension or revocation (2).
- No workers' compensation on file (2).
- Driver lacked CDL Passenger Endorsement (1).

Superior Court-Findings

- **PSG-4970. Cody Osbourn dba Red Carpet Limousine, Sacramento (Unlicensed).** Carrier advertised and offered charter party transportation service on the Internet without a valid permit. The advertisement listed one number. The carrier ignored TEB-North's Cease and Desist letter directing the carrier to immediately cease all unlawful advertisements and operations. On October 17, 2019, CPED obtained a Finding of Probable Cause from the Sacramento County Superior Court. The Finding ordered disconnection of telephone service to the number advertised and utilized by the carrier to violate California criminal codes.
- **PSG 4935. William Cusimano (aka) Billie Cusimano, an individual dba Ride5 Wine Tours, Paso Robles (Unlicensed).** Carrier advertised and offered transportation services on the Internet without valid authority. The advertisements listed one phone number. The carrier ignored TEB-South's Cease and Desist letter directing the carrier to immediately cease all unlawful advertisements and operations. On October 2, 2019, CPED obtained a Finding of Probable Cause from the San Luis Obispo County Superior Court. The Finding orders disconnection of telephone service to the number advertised and utilized by the carrier to violate California criminal codes.
- **PSG-4947. Minnette Cole Fink, an individual, San Diego (Unlicensed).** Carrier advertised on its website offering charter-party passenger transportation without valid authority. The advertisements listed one phone number. The carrier ignored TEB-S' Cease and Desist letters

directing the carrier to immediately cease all unlawful advertisements and operations. On October 16, 2019, TEB-S obtained a Finding of Probable Cause signed by a San Diego County Superior Court Judge. The Finding orders disconnection of telephone services to the number advertised and utilized by carriers to violate California criminal codes.

- **PSG-5057. Fabian Duenas dba FD Services, Indio (Unlicensed).** Carrier advertised and offered transportation services on the Internet without a valid authority issued by the Commission. The advertisements listed one phone number. The carrier ignored TEB-S' Cease and Desist letter directing the carrier to immediately cease all unlawful advertisements and operations, carrier continued to violate the law. On October 9, 2019, CPED obtained a Finding of Probable Cause signed by a Banning Superior Court Judge. The finding orders disconnection of telephone service to the number advertised and utilized by the carrier to violate California criminal codes.

Outreach to Regulatory/Enforcement Agencies

- **CHP 2019 Commercial Vehicle Safety Summit (CVSS), Marriott Anaheim/Garden Grove - 10/10/19.** At the invitation of CHP Commercial Vehicle Section staff, TEB-South and TLAB attended the annual safety summit where we answered questions and gave out materials to include licensing applications, general order booklets and complaint forms, etc. Other exhibitors included representatives from the California Air Resources Board, California Department of Motor Vehicles, California Department of Tax and Fee Administration, CHP Commercial Industry Education Program, Department of Transportation/Federal Motor Carrier Safety Administration, Drivewyze Inc and PrePass Safety Alliance.

Training

- TEB staff attended the following courses:
 - Writing for Analysts – A class held by CalHR regarding confident writing using clear, concise, and correct language, and part of TEB's required curriculum.
 - Defensive Driver Training – Mandatory defensive driver training.
 - California Style Manual – A class held by CalHR regarding standard legal citations for all types of primary and secondary authorities.
 - PC832 for Investigators – A course held by the South Bay Regional Public Safety Consortium in San Jose.

Other Events

- **Data Science Partnerships with University of California (UC)** – On October 30, 2019, TLAB management attended a forum entitled "Leveraging Data Science for California Policy: The Role of the University of California" hosted by the UC Center in Sacramento.
- **Public Utilities Commission Transportation Reimbursement Account (PUCTRA) Workshop** – On October 7, 2019, the Licensing Section held the third in a series of workshops

to introduce and educate carriers on completing the quarterly or annual PUCTRA Fee Statement. In addition, the workshop directed carriers to the online calculator feature on the CPUC website to minimize reporting errors and Licensing Section's workload. The October workshop focused on carriers that report on an annual basis. The Section previously held two workshops in March 2019 for carriers who report on a quarterly basis, one at the SF headquarters and the second at the CPUC's LA office.

LEGISLATION OF INTEREST

- **AB 1810** – Omnibus bill to amend, in part, existing law that exempts a passenger in a bus, taxicab, limousine, house car, camper, or pedicab from the prohibition against drinking of any alcoholic beverage or consuming any cannabis or cannabis product. This bill would make that exemption applicable only to alcoholic beverages consumed by those passengers and not cannabis. On October 8, 2019, the Governor signed the bill into law.

UTILITY ENFORCEMENT BRANCH

UEB protects California utility consumers from fraud and abuse by ensuring that service providers comply with consumer protection laws and regulations. UEB investigates alleged violations by utilities, including communications (both wireline and wireless), energy (both electric and gas), and water companies. When sufficient evidence of violation is uncovered, UEB brings cases before the CPUC to seek appropriate penalties and remedies for consumers.

MONTHLY HIGHLIGHTS

- **San Jose Clean Energy (K.19-03-024) (ALJ Kim):** ALJ Kim issued a ruling setting the proceeding scope and schedule. San Joes Clean Energy appealed a citation issued in the amount of \$6,791,155 for failing to meet RA obligations and to remedy the deficiency as required.
- **One Million New Internet User Coalition (NIU) (I.18-07-009) (Commissioner Rechtschaffen/ALJ KIM):** UEB staff, Legal Counsel and NIU attended a follow- up Alternate Dispute Resolution to conduct settlement negotiations. The ALJ Neutral facilitated settlement discussions to resolve issues regarding allegations of NIU’s misuse of CASF funds.
- **Preferred Long Distance (I.18-05-012) (Commissioner Rechtschaffen/ALJ McKenzie) (Advocacy):** The Commission issued Decision 19-10-033 adopting the settlement agreement between CPED and Preferred Long Distance (PLD). Under the terms of the settlement, PLD will make a settlement payment of \$250,000 and take a number of prescribed steps to help avoid future harm to consumers and strengthen its internal controls.
- **Resource Adequacy (RA) Citation Program:** UEB issues citations and levy fines to enforce all Lod Serving Entities’ (LSE) compliance with system, local, and flexible resource adequacy requirements pursuant to Resolution E-4195, as modified by Decisions 10-06-036, 11-06-022 and 14-06-050. UEB issued 23 RA citations totaling \$9,515,683.50 in 2019.

RESOURCE ADEQUACY CITATIONS 2019					
Energy Citation #	Date Issued	Company	Citation Amount	Date Due	Status
E-4195-0048A	1/15/2019	Just Energy Solutions	\$3,330.00	2/14/2019	Payment received 2/7/2019
E-4195-0049	2/13/2019	Pioneer Community Energy	\$137,462.40	3/13/2019	Payment received 3/8/2019
E-4195-0050	2/25/2019	Valley Clean Energy	\$3,330.00	3/27/2019	Payment received 3/8/2019
E-4195-0051	2/27/2019	East Bay Community	\$1,552,589.20	3/29/2019	Payment received

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		Energy			3/22/2019
E-4195-0052	2/27/2019	San Jose Clean Energy	\$6,791,155.40	3/29/2019	Appealed on 3/29/2019
E-4195-0053	2/25/2019	Agera Energy	\$51,481.80	3/27/2019	Payment received 3/21/2019
E-4195-0054	2/15/2019	Just Energy Solutions	\$362,304.00	3/18/2019	Payment received 3/20/2019
E-4195-0055	3/5/2019	Commercial Energy	\$299,520.20	4/5/2019	Payment received 4/2/2019
E-4195-0056	5/15/2019	Just Energy Solutions	\$11,988.00	6/14/2019	Payment received 6/28/2019
E-4195-0057	5/16/2019	Valley Clean Energy	\$3,330.00	6/15/2019	Payment received 6/28/2019
E-4195-0058	5/15/2019	Just Energy Solutions	\$5,000.00	6/14/2019	Payment received 6/28/2019
E-4195-0059	5/29/2019	Commercial Energy	\$26,573.40	6/28/2019	Payment received 7/10/2019
E-4195-0060	5/15/2019	Just Energy Solutions	\$22,444.20	6/14/2019	Payment received 6/28/2019
E-4195-0061	9/3/2019	Commercial Energy	\$70,972.30	10/4/2019	Payment received 9/6/2019
E-4195-0062	7/24/2019	Just Energy Solutions	\$46,586.70	8/23/2019	Payment received 8/13/2019
E-4195-0063	7/26/2019	Commercial Energy	\$6,660	8/27/2019	Payment received 8/29/2019
E-4195-0064	7/24/2019	Just Energy Solutions	\$39,926.70	8/23/2019	Payment received 8/13/2019
E-4195-0065	7/24/2019	Agera Energy LLC	\$2,500	8/26/2019	Payment Received 8/19/2019
E-4195-0066	10/3/2019	Just Energy Solutions	\$33,300.00	11/2/2019	Pending
E-4195-0067	10/1/2019	Agera Energy	\$4,500.00	10/31/2019	Pending
E-4195-0068	10/1/2019	Commercial Energy	\$3,300.00	10/31/2019	Payment received 10/28/2019
E-4195-0069	10/3/2019	Just Energy Solutions	\$19,980.00	11/2/2019	Pending
E-4195-0070	10/29/2019	Commercial Energy	\$17,449.20	11/28/2019	Pending

- **Core Transport Agent (CTA):** UEB reviews CTA-related complaints received by the Commission to enforce compliance with the standards for verification of change in provider requirements in D. 18-02-002, and to identify acts constituting grounds for suspension or revocation pursuant to Public Utilities (PU) Code Section 983.5.
 - UEB reviewed 119 CTA-related complaints for July 2019 and identified 36 needing investigation. UEB issued eight data requests for proof of enrollment authorization for 24

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customers and received 16 TPVs and five signed contracts as proof of customer authorization. Records for three customers could not be found in the CTA’s systems.

- UEB reviewed 118 CTA-related complaints for August 2019 and identified 38 needing investigation. UEB issued seven data requests for proof of enrollment authorization for 24 customers and received 16 TPVs and six signed contracts as proof of customer authorization. Records for two customers could not be found in the CTA’s systems. UEB issued a letter to a CTA to cease and desist from acts constituting grounds for suspension or revocation of authority to operate based on June, July, and August 2019 complaints. These acts include abusive marketing, false advertising, etc. Staff sent a notice of citation for one CTA on October 23, 2019 and provided the CTA 30 days to respond before issuing the citation. Information is pending.
- UEB reviewed 89 CTA-related complaints for September 2019 and identified 22 needing investigation. UEB issued six data requests for proof of enrollment authorization for 19 customers and received 11 TPVs and six signed contracts as proof of customer authorization. Records for two customers could not be found in the CTA’s systems.

Month	CTA-Related Complaints		Data Requests Issued	Proof of Authorization Obtained	Citations Issued	Cease and Desist Letters Issued
	Total	Unauthorized Enrollment				
November	82	18	4	15	0	0
December	154	47	8	26	2	4
January	193	63	9	48	0	0
February	195	42	7	24	0	0
March	252	57	8	36	0	0
April	132	53	8	27	0	0
May	109	36	8	18	0	0
June	92	33	8	17	0	0
July	119	36	8	21	0	0
CTA CITATIONS 2019						
August	118	38	7	11	Pending	1
Citation #	Date Issued	Company	Citation Amount	Date Due	Status	
September	89	22	6	17	0	0
UEB-003-0001	3/20/2019	SFE Energy	\$1000.00	4/19/2019	Payment received	4/9/2019
UEB-003-0002	3/20/2019	Spark Energy	\$1000.00	4/19/2019	Payment received	4/22/2019

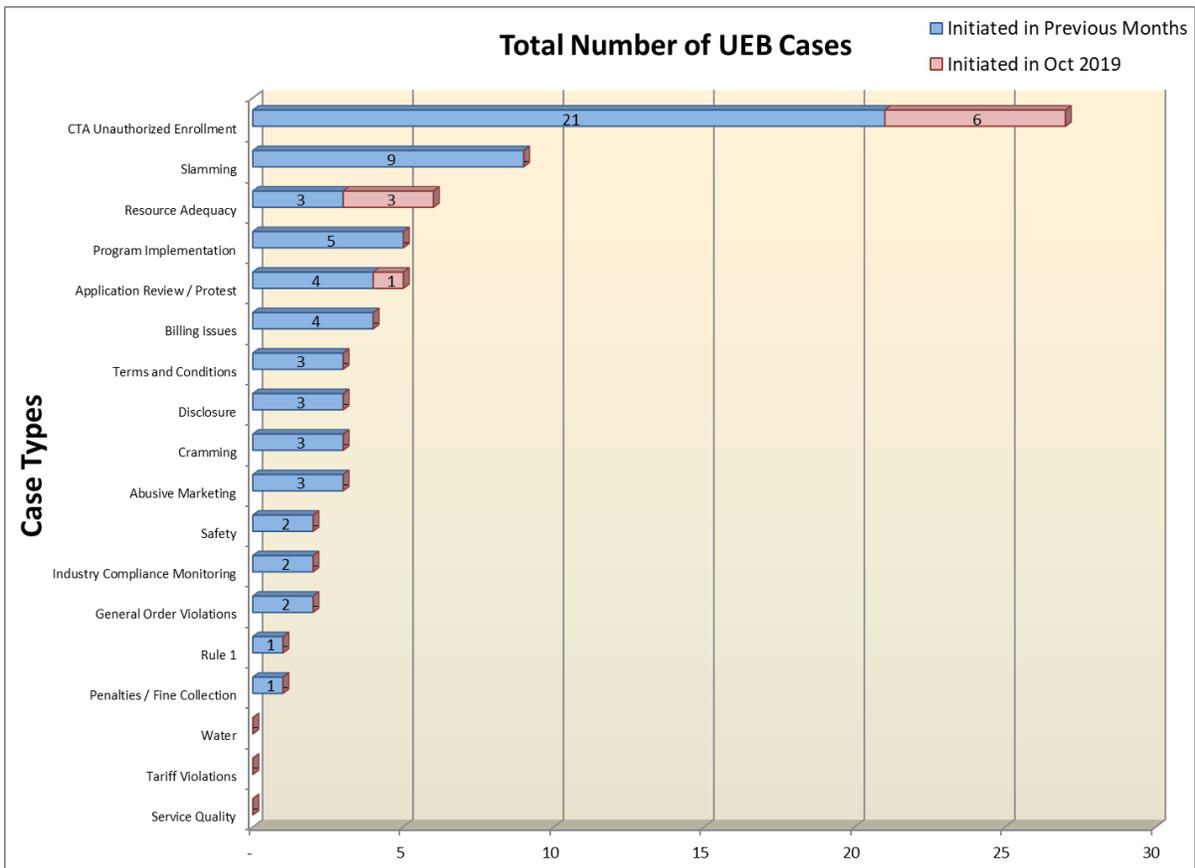
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UEB-003-003	5/21/2019	N/A	\$1,000.00	6/20/2019	Citation withdrawn 6/25/2019
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KEY ACTIVITIES

UEB is working on a total of 76 cases. Investigations center primarily on CTA Unauthorized Enrollment, Slamming, and Resource Adequacy. UEB’s cases come from a variety of sources, with CPCN application reviews, Inter-Division referrals, and UEB’s own scanning activities playing key roles.

Cases by Type as of October 31, 2019



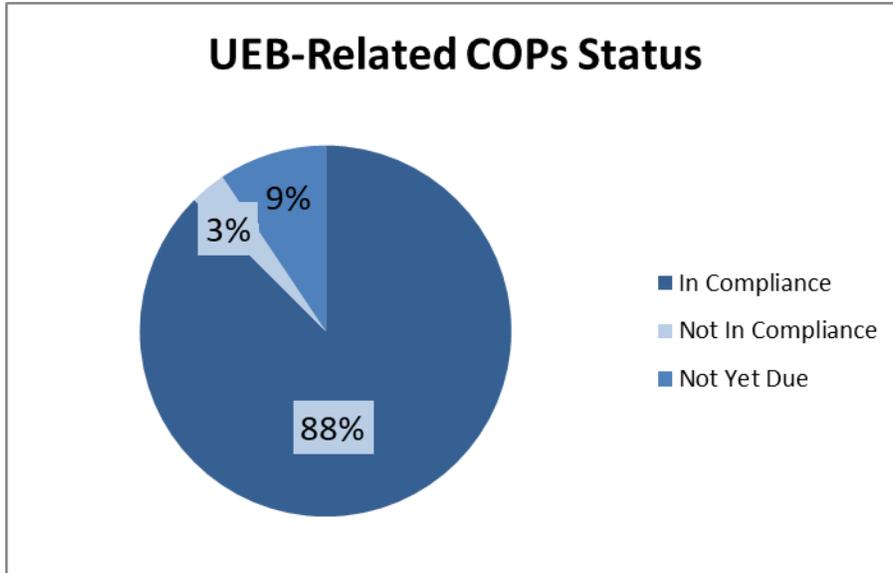
CITATIONS/FINES/REFUNDS

The Commission adopted D.19-10-033 approving the settlement requiring PLD to pay \$250,000 in penalty. In addition, UEB issued five citations during the month of October 2019. All five citations totaled \$382,229.20 and originated via the Resource Adequacy Citation Program. Cumulative 2019 fines, reparations and penalties imposed are shown below.

Date	Citations/Fines/
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	Reparation Amounts Issued/Imposed
October 2019	\$328,229.20
Cumulative 2019	\$19,654,220

COMPLIANCE WITH ORDERING PARAGRAPHS



Four new Ordering Paragraphs were added to UEB’s COPS tracker for the month of October. UEB was responsible for 32 separate Ordering Paragraphs. As of October 31, 2019, all 28 (representing 88%) have been complied with, three are not yet due (representing 9%) and one is not in compliance (representing 3%).

Ordering Paragraphs related to UEB’s work are attributable to the imposition of fines, adoption of settlements, ordering of consumer refunds or reparation and other remedies and corrective actions, including reporting requirements, resulting from UEB’s investigations of violations of law and wrongdoing against consumers.

The numbers reported above tracks compliance with ordering paragraphs assigned to UEB and do not include tracking for compliance with payment of fines, penalties, surcharges or the like, which are assigned to Fiscal Office under the COPS system. However, UEB staff also tracks such payments separately in our case management system.

DOCKET ACTIVITY

UEB-related Proceedings

Docket No.	Title	ALJ	Commissioner
A.19-04-014	Application of Cox California Telcom, LLC (U5684-C) Requesting the Commission Not Require Cox to Pay Disputed Surcharge Amounts Identified in Audit Report.	Kline	Shiroma
I.17-04-021	Order Instituting Investigation on the Commission’s Own Motion into the Billing Practices of Southern California Gas Company (U904G); and Order to Show Cause Why the Commission Should not Revise Rule No. 14, Impose Penalties and/or Other Remedies for Extending Billing Periods and Issuing Untimely Monthly Bills.	Ayoade	Rechtschaffen
I.18-05-012	Order Instituting Investigation Into the Operations and Practices of Preferred Long Distance, Inc. to Determine Whether Respondents Violated the Laws, Rules, and Regulations of this State Governing the Manner in which California Consumers are Switched from Telephone Carriers and Billed for Telephone Products and Services.	McKenzie	Rechtschaffen
I.18-07-008	Order Instituting Investigation into Pacific Gas and Electric Company’s (U39E) Failure to Provide a 24-hour Notice Prior to Residential Electric Service Disconnections Between July 1 and July 18, 2016 and the Adequacy of its Remedy Going Forward.	Kelly	Aceves
I.18-07-009	Order Instituting Investigation on the Commission’s Own Motion into the California’s One Million New Internet Users Coalition’s Misuse of California Advanced Services Fund Grant Funds; and Order to Show Cause Why the Commission Should Not Impose Penalties and/or Other Remedies for Violating Terms of Their Grant and for Refusing to Return Funds.	Zhang	Aceves
I.18-09-003	Order Instituting Investigation on the Commission's Own Motion into the Operations, Practices and Conduct of the San Jose Water Company (U168W) Regarding Overbilling Practices.	Bemesderfer	Aceves
K.18-10-001	Appeal of TC Telephone from Citation No.1308 - 1426 issued on August 8, 2018 by the Consumer Protection and Enforcement Division.	Zhang	N/A
K.19-03-024	Appeal of San Jose Clean Energy to Citation E-4195-0052 issued on February 27, 2019 by the Consumer Protection and Enforcement Division.	Kim	N/A

OUTREACH/TRAINING/OTHER EVENTS

SNAP: The FCC discussed its continued rollout of the national LifeLine Verifier. The LifeLine Verifier will connect to both State and Federal databases allowing for more accurate approval of eligible LifeLine consumers. California is currently slated to link up with the LifeLine Verifier by the end of the year.

LEGISLATION OF INTEREST

None to report.