California Public Utilities Commission

Monthly Activity Report

CONSUMER PROTECTION AND ENFORCEMENT DIVISION

October 2026

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TRANSPORTATION LICENSING AND ANALYSIS BRANCH (TLAB)

TLAB's Licensing Section analyzes applications from carriers, issues permits and certificates to carriers that meet state requirements, writes proposed decisions to approve or deny carriers' CPCN applications, manages changes to carrier operations, communicates with carriers, and tracks carrier compliance with permit requirements. TLAB's Analysis Section functions as the Commission's subject matter expert on policy matters, providing technical and advisory support to commissioners, administrative law judges, and all levels of agency management on transportation matters.

Processing Carrier Applications

TLAB's Transportation Licensing Section processes and manages applications for more than 10,100 carriers throughout California. Items processed in October 2026 include applications, vehicle and driver updates, vehicle safety inspection results, and other requests. This work is accomplished through the CPUC Transportation Carrier Portal (TCPortal), an online system that allows carriers to submit applications and other requests electronically and make payments online. The TCPortal tracks certain licensing activities as shown in the following tables and figures.

Figure 1. Total Permits & Certificates

Total Permits and Certificates. Figure 1 shows the total number of operating authorities (active and suspended) by month. Each carrier may have more than one operating authority.

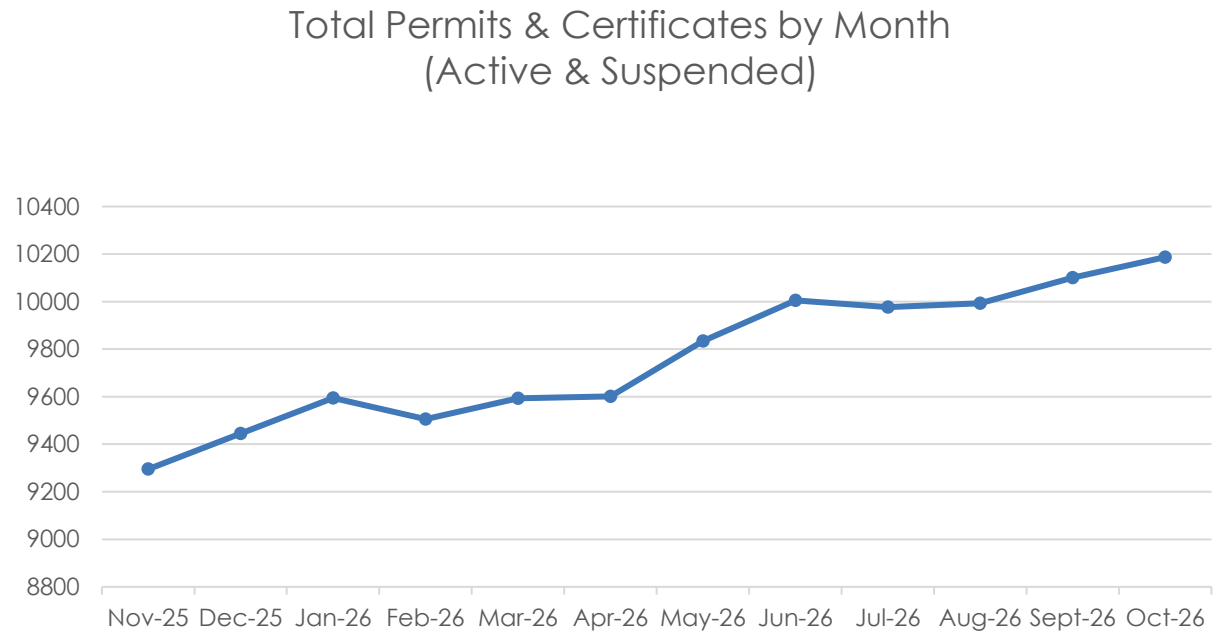


Table 1. Permits and Certificates by Category

Permits and Certificates by Category. The Commission grants permits and certificates for five categories of transportation carriers. Table 1 shows total numbers for those categories in the current month.

Carrier Type	Current Total
Transportation Charter Party	10,068
Passenger Stage Corporation	83
Vessel Common Carrier	15
Transportation Network Company	16
Autonomous Vehicle	5

Figure 2. Monthly Completions of Permit Categories

Monthly Completions of Permit Categories. In addition to new applications for operating authorities, TLAB processes refile applications, transfer applications, and renewal applications. Figure 2 shows the application numbers of each category completed by month.

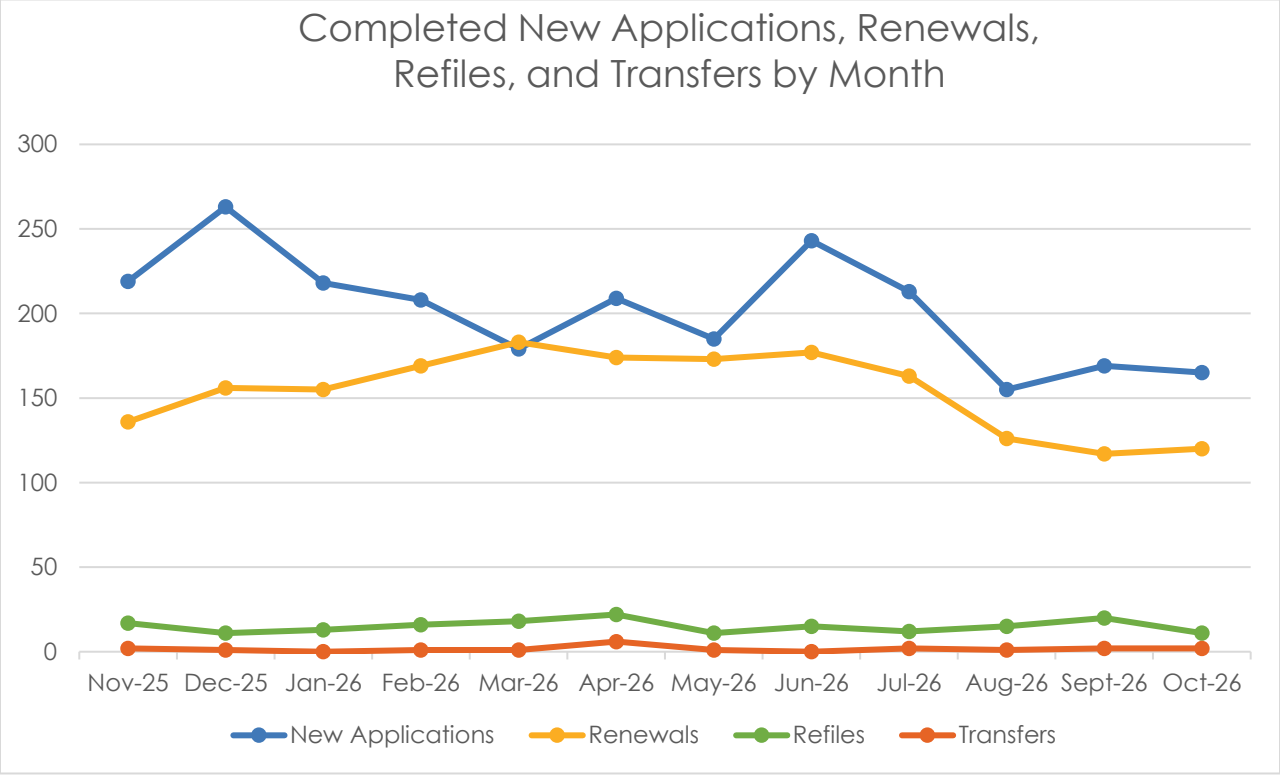


Figure 3. Suspensions and Revocations by Month

Suspensions and Revocations. Carriers can be suspended or revoked for various reasons such as failing to maintain active insurance or to file annual or quarterly PUCTRA statements. Carriers may also voluntarily suspend operations. Figure 3 shows both types of suspensions and revocations by month.

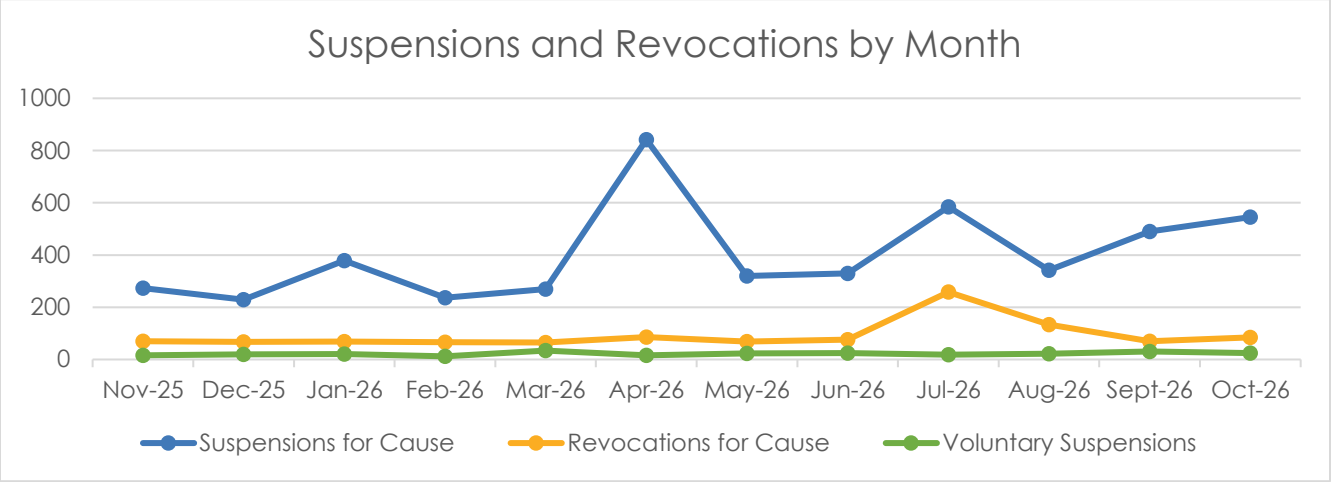
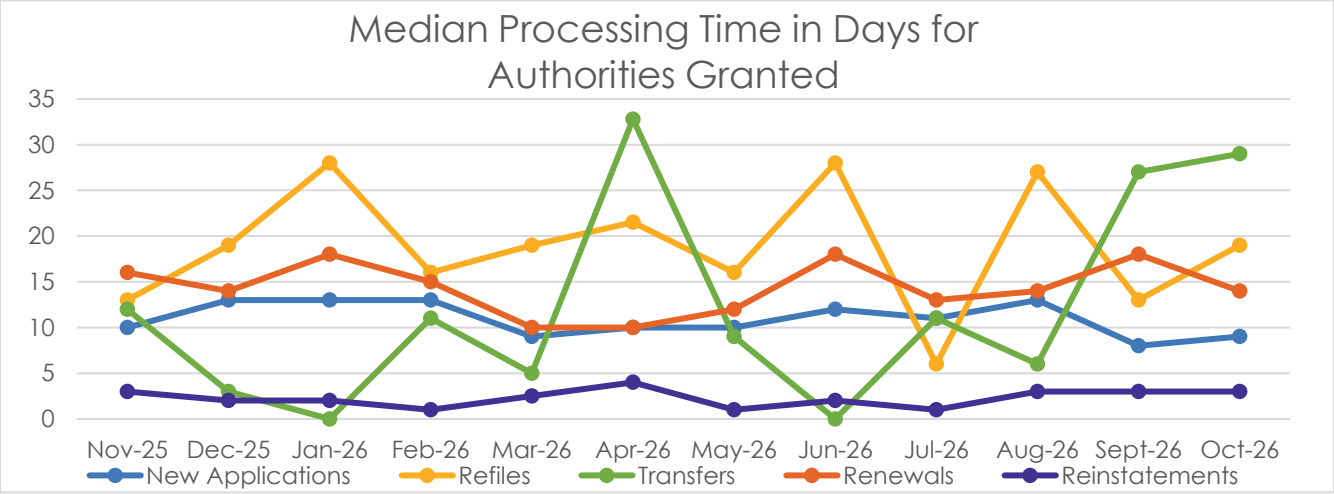


Figure 4. Median Processing Times

Median Processing Times. The total time to process an application, from initial receipt to issuance or denial of a permit or certificate, depends on internal processing time and on the time for external entities to provide necessary information. Upon receipt of applications, CPUC staff review them for completeness and issue deficiency notices to carriers for any outstanding items.

Examples of these items include evidence of insurance coverage filed by the carrier's insurance provider; evidence of compliance with drug and alcohol testing requirements; and inspection by the California Highway Patrol for modified limousines and vehicles with a seating capacity of 11 or more. Figure 4 shows the median processing time for the major categories of permits and certificates processed by TLAB.



Docket Activity

Current Policy and Program Proceedings. The Transportation Analysis Section supports two current proceedings. R.12-12-011 develops regulations relating to transportation network companies and autonomous vehicles; it's successor proceeding, R.25-08-013 addresses policies, processes and rules regarding autonomous vehicle passenger transportation service. R.19-02-012 implementing Senate Bill 1376, incentivizing transportation network companies to provide on-demand service for persons with disabilities, including wheelchair users who need a wheelchair accessible vehicle was closed on January 15, 2026. R.21-11-014 implementing the California Clean Miles Standard and Incentive Program, enacted through Senate Bill 1014, requiring the California Air Resources Board and the Commission to jointly work to lower greenhouse gas emissions from transportation network companies was closed on September 3, 2026.

- **R.12-12-011 / TNC Rulemaking / Mason & Chiv / Baker**
  - Docket activity can be found here

- **R.25-08-013 / Autonomous Vehicle Passenger Transportation Service / Mason / Baker**
  - Docket activity can be found here

Carrier Application Proceedings. The Transportation Licensing Section assists the Commission in the regulation of Passenger Stage Corporations and Vessel Common Carriers. Passenger Stage Corporations (PSCs) are carriers that transport passengers between points on an individual fare basis. Examples are fixed-route bus services and "share-the-ride" airport shuttle services. Vessel Common Carriers (VCCs) are carriers that transport persons or property between points in the state. Examples are commute ferry services in the San Francisco Bay and services between California mainland points and Catalina Island. PSCs and VCCs are common carriers and must file requests with the Commission through a formal process. Both carrier types require a "certificate of public convenience and necessity" (CPCN) from the Commission for the authority to operate in California.

- A.26-04-004/ Application of Roy H. Halim Machmur, Sole Proprietor, doing business as Liberty Day Express, for authority to operate as an on-call Passenger Stage Corporation between points in Orange County and San Diego County and to establish a Zone of Rate Freedom (ZORF) fare structure. / **10/28/2026 Order issued**

- A.25-12-001 / Application of Avalon Freight Services LLC (VCC-91) For Authorization to Modify Rates for Its Scheduled Vessel Common Carrier Freight Service Between the Port of Los Angeles, California on the one hand, and Avalon on Santa Catalina Island on the other hand. / **10/13/2026 Decision issued**

- A.26-05-023 / Application of the Sonoma County Airport Express, Inc. PSC-1120 to establish new base tariff rates and to establish a Zone of Rate Freedom ("ZORF") of Plus

15% or Minus 15%, to that newly established tariff, pursuant to provisions of Pub. Util. Code §454.2, and to modify certain of its services and routes./ **10/01/2026 Order issued**

Joint Agency Collaboration/Outreach/Training

Joint Agency Collaboration. Information sharing and collaboration with other transportation agencies is a critical part of TLAB's work.

- Monthly TLAB Staff and CARB Staff coordination meeting on the Clean Miles Standard
- Bi-monthly Staff Work Group meeting between TLAB and Department of Motor Vehicles Autonomous Vehicles Branch

Outreach and Education. TLAB provides outreach and education to potential and current carriers through presentations on application fundamentals at venues such as SFO and LAX, and attendance at functions sponsored by transportation-related organizations such as the Greater California Livery Association and the California Bus Association.

Training. TLAB managers and staff regularly attend all trainings required by the Commission, as well as trainings for developing work skills and industry-specific trainings. For example:

- New Employee Training
- Supervisory Development Training
- Cybersecurity Training
- Harassment Prevention and Diversity and Bias Awareness Training
- Leadership Training

TRANSPORTATION ENFORCEMENT BRANCH (TEB)

The Transportation Enforcement Branch (TEB) regulates for-hire Charter-Party Carriers of Passengers (TCP) (e.g., limousines, airport shuttles, autonomous vehicles while in passenger service, chartered and scheduled bus operators, Transportation Network Companies (TNC) and vessels in California to safeguard the public by ensuring compliance with Commission General Orders (GO), Public Utilities (PU) Codes, and other applicable laws and regulations. TEB conducts our core safety assurance through compliance inspections, investigations, and enforcement activities. TEB also promotes safety by conducting outreach activities for passenger carriers, training for law enforcement on applicable General Order regulations, and reviews all public complaints that it receives.

Consistent with the Commission's Strategic Directives[1] and Enforcement Policy,[2] TEB developed and utilizes a Safety Management System that is implemented through the following pillars: Transportation Safety Assurance, Transportation Risk Management, and Transportation Safety Promotion.

Transportation Safety Management System

TEB reports the following progress for October 2026 for the following program elements.

Transportation Safety Assurance – TEB's program is designed to check that the Commission's regulated transportation carriers comply with the Public Utilities Code, Commission decisions, and General Orders to ensure the safety of the public. TEB performs regular Safety Assurance functions through investigations, field operations, and related enforcement activities.

TEB Field Activities:

- Levi's Stadium Joint Operation with Santa Clara Police Department (SCPD) and California Highway Patrol (CHP) - October 4, 2026
- Napa Joint Operation with Napa District Attorney's Office and Saint Helena Police Department – October 4, 2026
- Cross Border Xpress Terminal (CBX) Joint Operation with Cross Border Xpress Securitas Officers – October 13, 2026

[1] CPUCs Strategic Directives (ca.gov)

[2] CPUC Adopts Enforcement Policy to Promote Maximum Compliance, Transparency, and Public Safety

- San Ysidro Joint Operation with San Diego Police Department –Southern Division– October 24, 2026
- San Diego Gaslamp District Joint Operation with San Diego Police Department (SDPD) – Central Division– October 31, 2026

Transportation Safety Complaint Referrals:

- For the month of October 2026, TEB received a total of 40 complaints from CAB and other sources:

Table 2. Transportation Safety Complaint Referrals

Complaints Referred By:	**Received**
Consumer Affairs Branch (CAB)	16
California Highway Patrol (CHP)	1
Los Angeles World Airport Police Department (LAWA)	3
Oakland International Airport (OAK)	3
Redondo Beach Police Department (RBPD)	1
San Francisco Ground Transportation Unit (SFO GTU)	5
Transportation Licensing and Analysis Branch (TLAB)	11

TEB Operational Analysis – Continually identifying, assessing, and reducing operational risks through mitigation measures faced or posed by the entities the CPUC regulates. Continued monitoring of information, including but not limited to data obtained from field enforcement operations for emerging trends and any associated risks above the risk tolerance level.

Transportation Safety Promotion – Supporting efforts to assure that the public and regulated transportation entities can make informed choices and know how to respond to unsafe situations. For TEB, this includes Training and Education, Outreach Efforts with Industry and Law Enforcement, and Commission Engagement.

- San Diego Police Department-Central Division and San Diego Gaslamp Enforcement Team, San Diego – October 31, 2026

Formal Enforcement Proceedings (e.g. Order Instituting Investigation (OII), Administrative Consent Order (ACO), Administrative Enforcement Order (AEO)):

- Administrative Consent Order (ACO), Case: CSE-828, Carey Limousine S.F., Inc. TCP 9906-A and Squire Limousine Service, TCP 9905-A; Carey and Squire operated at the Super Bowl on February 8, 2026, after receiving a Cease and Desist (C&D) Notice and with vehicles that were not commercially registered; On May 15, 2026, Carey agreed to a global settlement of $67k, which the Commission adopted on September 17, 2026; Carey will pay in six wire transfer payments. On October 16, 2026, Carey paid the first payment of $11,000.
- Administrative Consent Order (ACO), Lyft Inc. TCP 32513. Lyft failed to ensure compliance with G.O. 157-E Part 4.05 (19-Point Inspection). On May 1, 2026, Lyft agreed to an ACO settlement of $1.25M with corrective actions, which the Commission adopted on September 3, 2026. Lyft paid the settlement amount on September 15, 2026.

Table 3. TEB Enforcement Activities

2026 Enforcement Activity	Jan 2026	Feb 2026	Mar 2026	April 2026	May 2026	June 2026	July 2026	Aug 2026	Sept 2026	Oct 2026	Nov 2026	Dec 2026	Total
Beginning Investigations Balance	118	98	108	90	77	85	111	123	109	99			N/A
(+) New Investigations	5	43	23	28	37	50	48	26	18	46			324
(-) Closed Investigations	25	33	41	41	29	24	36	40	28	30			327
Ending Investigations Balance	98	108	90	77	85	111	123	109	99	115			N/A
Investigations Open Longer than 6 Months	1	2	5	2	1	4	4	4	4	7			N/A
% Of investigations Open Longer than 6 Months	1%	2%	6%	3%	1%	4%	3%	4%	4%	6%			N/A
Cease and Desist Notices	5	12	8	7	8	15	18	12	8	10			103
Airport Authority Warning Letters (G.O. 3.02)	0	3	1	1	4	3	3	2	1	0			18
Warning Letters	8	8	8	3	6	0	9	8	8	4			62

Citations	5	10	12	6	10	13	13	12	5	14			100
Vehicle Impounds	0	8	3	1	1	14	5	3	0	3			38

Table 4. TEB Fines Assessed from Investigations

Date	**Citation Penalties**
Jan - September 2026	$398,700.00
October 2026	$107,000.00
Cumulative 2026	**$505,700.00**

Formal Enforcement: e.g. OII, ACO, AEO	**Penalties**
PSG 32513-LYFT (ACO)	$1,250,000
TCP 9905-A CAREY/SQUIRE (ACO)	$67,000
Total 2026 Penalties	**$1,317,000**

Table 5. Citation Appeal Proceedings

Docket No./ ALJ / Enforcement Analyst / Supervisor	**Entity**	**Status**
K.24-05-024 K.24-05-027 ALJ Kelly CPED: Alex Nera / Lana Tran-Courney	Tutor Time Learning Center, LLC (TCP 41692)	Citation T. 24-04-004 for $15,000 served on April 29, 2024. Appeal filed on May 30, 2024. ALJ Gerald F. Kelly assigned on June 4, 2024. Hearing was held on November 5 and 6, 2024. Email ruling received April 17, 2025. CPED filed opening briefs on May 19, 2025, and Reply Briefs on June 13, 2025. On June 23, 2025, Tutor Time requested permission to submit a Sur-Reply Brief. This request has been

[CONSOLIDATION ALERT: Per ALJ Kelly's 7/15/2024 E-Mail Ruling, K.24-05-024 and K.24-05 – 027 were consolidated.]		granted. Brief filed by Tutor Time on August 1, 2025. Citation T.22-11-003 for $16,000 served on November 22, 2022. Appeal filed on May 30, 2024. ALJ Gerald F. Kelly assigned on July 2, 2024. Tutor Time Learning Center, LLC's motion to dismiss, was denied on November 4, 2024. Hearings were held on November 5 and 6, 2024. Email ruling received April 17, 2025. CPED filed opening briefs on May 19, 2025, and Reply Briefs on June 13, 2025. On June 23, 2025, Tutor Time requested permission to submit a Sur-Reply Brief. This request has been granted. Brief filed by Tutor Time on August 1, 2025. On January 12, 2026, Draft Resolution ALJ-489 was issued by the ALJ which denies Tutor Time Learning Center, LLC's appeals and affirmed two CPED citations. The draft resolution instructs Tutor Time must pay $31,000 in fines, immediately stop all passenger transportation operations, and apply for a valid charter-party carrier permit with required insurance, safety certification, and qualified driver documentation. Failure to comply may result in referral to the Riverside County District Attorney and potential permanent disqualification from future CPUC proceedings. The Commission granted CPED's motions for confidential treatment of sensitive personal and vehicle information, which will remain confidential indefinitely. The resolution is pending Commission approval. On April 22, 2026, ALJ Kelly reopened the record, requiring action from the parties. As of June 2, 2026, an Email Ruling Requiring Actions of the Parties was issued. CPED filed its Opening Brief on this issue on June 24, 2026. On July 8, 2026, Tutor Time filed a reply brief. No updates for October.
K.25-07-007 ALJ: Margery Melvin CPED: Kim Quach-Castro Hang / Eric Hooks	Silvio Sales Botelho (TCP 40613-B)	Citation T.2025-06-005 was served June 24, 2025. Compliance Filing filed July 31, 2025. Hearing scheduled for October 2, 2025, at 11:00 AM. The carrier provided documents on October 13, 2025. CPED has no additional documents to submit. Awaiting the ALJ's ruling on the Appeal. On October 23, 2026, a draft Resolution ALJ-499 was published and will be added on the agenda at the next Commission meeting to be held on December 3, 2026.

K.25-12.003 ALJ: Patrick Petersen CPED: Ronald Truss/ Lana Tran-Courney	EKMK, Inc. (TCP 40635-B)	Appeal filed on December 2, 2025. On December 16, 2025, ALJ Patrick Petersen was assigned to the appeal. Settlement agreement mailed out USPS Certified Tracking # 9589071052701470012l-01. On January 29, 2026, legal filed a Joint Motion of EKMK Incorporation and the Consumer Protection and Enforcement Division for Commission Adoption of Settlement Agreement. Awaiting ALJ's acceptance of the Settlement Agreement. No updates for October.
K.26-02-006 ALJ: P. Peterson CPED: Bezawit Dilgassa/ Lana Tran-Courney	ISS Action, Inc., Chula Vista, (TCP 39348-Z)	Citation T.26-01-018 served January 21, 2026. Appeal Filed February 12, 2026. Compliance Filing filed on February 26, 2026. On February 27, 2026, the ALJ instructed CPED to amend appeal. On March 19, 2026, CPED filed an amended Motion, and it was granted on March 24, 2026. On August 13, 2026, the assigned ALJ ordered the parties to prepare and file a joint status conference statement by September 11, 2026, and set a remote status conference for September 17, 2026, at 1:30 p.m. TEB requested for an extension and filed the joint status conference statement on September 14, 2026. During the remote status conference on September 17, 2026, the parties to the proceeding informed the ALJ that they have reached a settlement agreement. The parties shall file the agreement by November 3, 2026. No updates for October.
K.26-07-022 ALJ: Watts-Zagha CPED: Maika Renda/ Eric Hooks	Mun Bor Cheung. San Jose (TCP 32499-P)	Citation T.2026-07-005 served July 7, 2026. Filed July 25, 2026. Appeal accepted July 31, 2026. CPED submitted a Motion to Late File on September 10, 2026. ALJ Watts-Zagha granted CPED's Motion and Docket Office is directed to accept the compliance filing on September 21, 2026. On September 24, 2026, ALJ Watts-Zagha set an evidentiary hearing for October 5, 2026. On October 6, 2026, ALJ Watts-Zagha sent an email ruling directing CPED to amend Compliance Filing on or before October 26, 2026, and setting telephonic hearing for November 6, 2026. On October 26, 2026, CPED submitted the Amended Compliance Filing for Citation T.2026-07-005 in accordance with Resolution ALJ-377.

K.26-09-004 ALJ: Alberto Rosas CPED: Ming Li/Eric Hooks	Amador Stage Lines, Inc. Sacramento (TCP-40)	Citation T.2026-08-009 served August 19, 2026. Appeal Filed September 14, 2026. CPED Compliance Filing Filed on October 1, 2026. Awaiting ALJ to schedule hearing.

Table 6. Citation Appeal Metrics (Year-to-Date)

Metric	
Citations Issued	100
Appeals Filed	4
Citation Appeal Rate	**4%**
Appeals Open	3
Appeals Closed	1
Appeals Sustained (CPED prevailed)	1
Appeal Sustained Rate	**100%**

Table 7. TEB AV, Field and Airport Operations – Total Vehicles Observed[3]

Month	**Transportation Charter-Party (TCP)**	**Transportation Network Companies (TNC)**	**Passenger Stage Corporations (PSC)**	**Autonomous Vehicle Passenger Service (AV)**
January 2026	40	0	0	0
February 2026	204	294	2	11
March 2026	29	0	0	0
April 2026	181	107	0	0

[3] Effective January 2024, TEB will submit data based on the calendar year.

May 2026	99	1	0	24
June 2026	299	60	0	0
July 2026	182	71	0	0
August 2026	85	164	0	0
September 2026	65	75	1	30
October 2026	135	23	0	0

Table 8. Joint Operations with Law Enforcement Agencies

Agency	Operation
Levi's Stadium Joint Operation with Santa Clara Police Department (SCPD) and California Highway Patrol (CHP)	Levi's Stadium TCP/TNC/PSC Passenger Carrier Joint Operation
Napa Joint Operation Saint Helena Police Department and Napa County District Attorney's Office	Napa TCP/TNC/PSC Passenger Carrier Joint Operation
Cross Border Xpress Terminal (CBX) Joint Operation with Cross Border Xpress Securitas Officers	Cross Border Xpress Terminal (CBX) TCP/TNC Passenger Carrier Joint Operation
San Ysidro Joint Operation with San Diego Police Department (SDPD) - Southern Division	San Ysidro TCP/TNC/PSC Passenger Carrier Joint Operation
San Diego Gaslamp District Joint Operation San Diego Police Department (SDPD)	San Diego Gaslamp District TCP/PSC Passenger Carrier Joint Operation

UTILITIES ENFORCEMENT BRANCH (UEB)

UEB protects California utility consumers from fraud and abuse by developing enforcement mechanisms and ensuring 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 Commission to seek appropriate penalties and remedies for consumers.

Monthly Highlights

- **American Broadband and Telecommunications Company (AMBT) (A.26-03-003):** On October 13, 2026, an Assigned Commissioner's Scoping Memo and Ruling was issued. On October 23, 2026, ALJ Toy issued an email informing the service list that the October 13, 2026, Assigned Commissioner's Scoping Memo and Ruling was inadvertently released, and that the document has been stricken from the proceeding record. Parties are directed to destroy the document and not reference it in any further filings or communications, and will wait for an updated ruling.

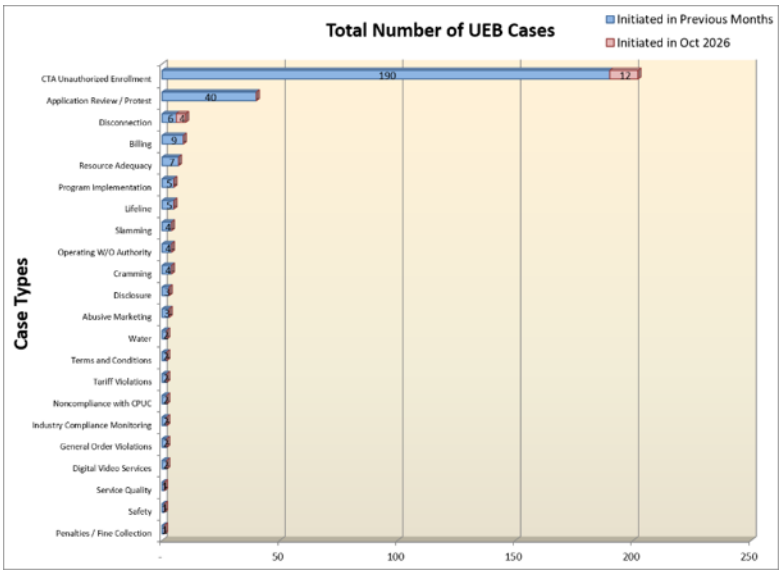
- **United Energy Trading LLC (UET) CTA Citation Appeal (K.26-05-011):** On October 15, 2026, CPED and UET filed a further joint statement clarifying the proposed proceeding schedule for written testimony, hearing, and briefs.

- **Southern California Edison's (SCE) Billing for Security Deposits (Resolution UEB-018**): On October 29, 2026, the Commission approved the Administrative Consent Order between CPED and SCE to resolve all issues involving SCE's compliance with Resolutions M-4842, M-4849, UEB-006, and Decision (D.) 20-06-003 regarding customer service deposit requirements. Specifically, CPED alleged that SCE unlawfully billed 65,773 residential customers credit deposits totaling $10,495,000 for the establishment of service. SCE will pay $7,767,700 using shareholder funds as follows: $3,119,350 paid to residential accounts that were billed a service deposit on or after April 1, 2020; $3,948,350 paid to SCE's Energy Assistance Fund (EAF); and $700,000 as penalties paid to the State of California's General Fund.

Key Activities

UEB is working on a total of 314 cases. Investigations center primarily on Core Transport Agent (CTA) Unauthorized Enrollment and CPCN Application Review/Protest. UEB's cases come from a variety of sources, with Inter-Division referrals and UEB's own scanning activities playing key roles.

Figure 5. UEB Total Number of Cases by Type as of October 31, 2026



Citations/Fines/Reparation/Appeals

The Commission issued Resolution UEB-018 approving an ACO and Settlement Agreement between CPED and SCE. SCE agrees to pay $7,767,700.00 in penalties at shareholders' expense to resolve the alleged violations.

In October 2026, UEB issued four (4) CTA citations totaling $4,000. One (1) citation in the amount of $1,000 was issued each to Wave Energy, LLC and Big Tree Energy CA, LLC and two (2) citations were issued to Spark Energy Gas, LLC in the amount of $2,000. All citations were issued for failure to provide valid proof of enrollment authorization.

Cumulative 2026 fines, reparations and penalties imposed from UEB's cases are shown below.

Table 8. UEB Fines, Reparations, and Penalties

Date	Citations/Fines/Reparation
January to September 2026	$744,764
October 2026	$7,771,700
Cumulative 2026	$8,516,464

- **Resource Adequacy (RA) Citation Program:** UEB issues citations and levies fines to enforce Load Serving Entities' (LSE) compliance with system, local, and flexible resource adequacy requirements pursuant to Resolution E-4195, as modified by Decisions 10-06-038, 11-06-022, 14-06-050, 19-06-026, 20-06-031, 21-06-029, 22-06-050, 23-04-010, 23-06-029, 24-06-004, 24-12-

003, 25-06-048, and 26-07-008. For the month of October 2026, UEB did not issue any RA citations.

- **Disconnection Citation Program:** UEB issues citations to enforce compliance with the disconnections-related consumer protection rules in D.20-06-003. This citation program is applicable to Southern California Edison Company (SCE), Pacific Gas and Electric Company (PG&E), San Diego Gas & Electric Company (SDG&E), and Southern California Gas Company (SoCalGas), collectively referred to as California's large investor-owned utilities (IOUs). There are no Disconnection Citation Program activities for the month of October 2026.

- **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 of registration pursuant to Pub. Util. Code Section 983.5.

In October 2026, UEB reviewed 283 CTA-related complaints that Consumer Affairs Branch (CAB) received during the prior month (September 2026) and identified 77 needing investigations for potential unauthorized enrollment. Staff issued 12 data requests for proof of enrollment authorization. UEB received proof of enrollment authorization for 20 customers. Therefore, CTA investigations from September are still ongoing.

UEB issued four (4) CTA citations totaling $4,000 for failure to provide valid proof of enrollment authorization related to the following:

- On October 7, 2026, UEB issued Citation No. UEB-003-0677 against Wave Energy, LLC for $1,000.
- On October 27, 2026, UEB issued Citation No. UEB-003-0679 against Big Tree Energy CA, LLC for $1,000.
- On October 27, 2026, UEB issued Citation Nos. UEB-003-0715 to 0716 against Spark Energy Gas, LLC for $2,000.

On October 6, 2026, UEB issued a Warning Letter to Spark Energy Gas, LLC (Spark) notifying the CTA that it is required to provide valid proof of enrollment authorization per D.18-02-002 and Resolution UEB-003 for all customers, no matter when the customer was enrolled. Spark did not retain an active customer's proof of authorization from their enrollment back on September 24, 2014. In addition, UEB recommended Spark revise its record retention policy to retain proof of enrollment authorization for customers as long as they remain with the company, including customers who remained on a month-to-month basis after their initial term ended.

Table 10. UEB CTA-Related Complaints

	CTA-Related Complaints				

Month Reviewed	Total Reviewed	Unauthorized Enrollment	Data Requests Issued	Proof of Authorization Obtained	Citations Issued	Enforcement Actions Issued
October	283	77	12	20	4	1

- **Citation Appeals:** UEB received 1 CTA citation appeal on May 19, 2026, from United Energy Trading (K.26-06-011). On September 21, 2026, the Commission issued D.26-09-074, denying SJCE's Application for Rehearing of Resolution ALJ-488. As such, K.19-03-024 is closed. One other open RA citation appeal is awaiting ALJ ruling for final decision (K.24-05-026). From January to October 2026, UEB issued 310 citations and received 1 appeal.

Table 11. UEB Total Citation Appeal Metrics (Year-to-Date)

Metric	
Citations Issued January to September 2026	310
Appeals Filed January to October 2026	1
Citation Appeal Rate	**0.3%**
Appeals Open	2
Appeals Closed	1
Appeals Sustained (CPED prevailed)	1
Appeal Sustained Rate	**100%**

Compliance with Ordering Paragraphs

There were five new Ordering Paragraphs added to UEB's COPs Tracker for the month of October 2026. UEB is now responsible for 8 separate Ordering Paragraphs. As of October 2026, five of the Ordering Paragraphs are pending, two are out of compliance, and one is in compliance. Assigned UEB Staff will follow up with Fiscal Office to ensure they will pursue compliance.

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 violation of law and wrongdoing against consumers.

UEB-Related Proceedings

Table 11. UEB-Related Proceedings

Proceeding	Description	ALJ	Commissioner
R.18-07-005	Order Instituting Rulemaking to Consider New Approaches to Disconnections and Reconnections to Improve Energy Access and Contain Costs.	Kelly	Houck
I.22-10-007	Application for Rehearing of D.25-03-011. Order Instituting Investigation into the Operations and Practices of TC Telephone and Order to Show Cause to Determine Whether Respondents Violated the Laws, Rules, and Regulations Governing the California Universal LifeLine Program.	Mason	Baker
H.24-02-005	Application for Rehearing of ALJ-481 in H.24-02-005. In the Matter of FETP Unlawful Participation in The CTF and Violation of CTF Program Rules	Kelly	N/A
K.24-05-026	Appeal of San Diego Community Power to citation E-4195-0173 issued on April 30, 2024, by Consumer Protection & Enforcement Division	Afary	N/A
I.25-08-007	Order Instituting Investigation into the Operations, Maintenance, and Practices of Havasu Water Company (WTD-352) for Failure to Comply With the Laws, Rules, and Regulations of this State Governing the Manner in which California Consumers are Provided with Safe and Reliable Water Service and Order to Show Cause Why the Commission Should Not Petition the Superior Court for the Appointment of a Receiver.	LeQuang	Baker
A.25-10-022	Registration of Easton Telecom Services for a Certificate of Public Convenience and Necessity to Provide Non-Facilities Based Digital Voice Fixed Interconnected VoIP Services Pursuant to Public Utilities Code Section 1013.	Goldberg	Baker
K.26-05-011	Appeal of United Energy Trading, LLC d/b/a Callective Energy from Citation No. UEB-003-0645 in the amount of $1,000 issued by the Consumer Protection and Enforcement Division.	Petersen	N/A
A.26-06-003	Application of American Broadband and Telecommunications Company LLC (U-4457-C) for Appeal Request for Expedited Schedule.	Odell/Toy	Reynolds

Outreach/Training/Other Activities

SNAP Summary: On October 22, 2029, staff attended the SNAP call to discuss two items from the FCC's September meeting.

The first item was the FCC's approval of a Notice of Inquiry (NOI) exploring modernization of the 911 framework to ensure the public can continue to reliably access emergency services (PS Docket No. 26-197)**.** The NOI does not propose adopting any new rules. Instead, it is designed to start a broad examination of the FCC's existing 911 rules framework, with the goal of building a record that the FCC can look at for guidance on future 911 policy decisions. The NOI also considers consumer expectations for reaching 911 from modern technologies, including moving away from legacy 911 networks to next generation 911.

Also at the September meeting, the FCC adopted a Report and Order and Further Notice of Proposed Rulemaking modernizing its Telephone Consumer Protection Act (TCPA) rules to ensure that consumers have easily accessible ways to opt-out of robocalls while streamlining callers' ability to process consent revocation requests.

The FCC receives more complaints about illegal robocalls that defraud and annoy consumers than any other issue that comes through its informal complaints process. At the same time, many lawful robocalls provide important and time-sensitive information, e.g., appointment reminders for a healthcare provider, school closure announcements. The NOI also updates various TCPA-related rules, including revisiting the time frame for callers to honor revocation requests, requiring two-way texting functionality to allow for revocation with a reply text, and requiring callers to provide a method to revoke consent to all robocalls.