

CERTIFICATE OF PUBLIC CONVENIENCE AND NECESSITY - INITIAL OPERATIONS WITHOUT TARIFF

Filing Requirements Checklist

(Applicable Authority: 807 KAR 5:001, Section 14 and KRS 278.020(1), KRS 278.160, 807 KAR 5:011)

Case No. _____ Applicant Name _____ Received Date _____ Form Circulation Date _____

Instructions:

- 1) Each division noted by checkmark () is to complete its review and return within three business 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 by email to Filings Branch following review and copy all Team members.**

Reviewed by following Divisions:

<u>Date</u>		<u>Staff Member</u>	
_____	Legal Filings	_____	_____
_____		_____	_____

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement Met</u>		<u>Waiver Requested</u>		<u>Approve Waiver?</u>	
			Yes	No			Yes	No
	807 KAR 5:001:							
Filings	Section 14(1)	Full name, mailing address, and e-mail address of applicant and a reference to KRS 278.020(1).						
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						

Division Responsible	Law/Regulation	Filing Requirement	Requirement Met		Waiver Requested	Approve Waiver?	
			Yes	No		Yes	No
		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 its 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.					
Legal	Section 4(3)	Paper signed by submitting party or attorney.					
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 –					
		- All social security numbers					
		- All birthdates					
		- All financial account numbers					
		- All other personal identification information					
Legal	Section 8(4)(b)	Has submitting party optimized pdf document –					
		- Making all text pages searchable or OCR'd.					
		- Bookmarks added to distinguish sections of the paper.					

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 rejected.