

REP ANNUAL and SEMI-ANNUAL REPORTS – INSTRUCTIONS

1. Option 1 REPs must file an Annual Report each year. The REP Annual Report comprises two parts: (1) an online portion (referred to below as the *REP Annual Report – Technical and Managerial*) filed via the PUC Portal which comprises operating results for the fiscal year just ended; and (2) a financial portion (referred to below as the *REP Annual Report – Financial*) which comprises financial results for the fiscal year just ended and which is filed in hard copy (usually confidentially).

Both portions of the *REP Annual Report* are due March 5, or 65 days after the end of the REP's or guarantor's fiscal year. Option 1 REPs must also file a *Semi-Annual Report (financial only)* each year which is due on August 15 or 225 days after the end of the REP's or guarantor's fiscal year. Please review 16 TAC §§ [25.107\(i\)\(5\)\(A\)\(i\)-\(vi\)](#) and [25.491\(c\)\(1\)-\(6\)](#) for additional details regarding the information necessary to satisfy the financial reporting requirements.

2. Only Option 1 REPs file the *REP Annual Report* (both online and hard copy). Option 2 and Option 3 REPs are not required to file the *REP Annual Report* (neither online nor hard copy).
3. A REP may have multiple representatives authorized to access its online *REP Annual Report – Technical and Managerial*. After a representative has logged into the PUC home page (top right corner - "login") they may select the *REP Annual Report* and then proceed to fill out the report as required.
4. The online *REP Annual Report – Technical and Managerial* gathers technical and managerial information regarding the prior years' operating results for each REP. See below ***REP Annual Report – Technical and Managerial*** for more detail on the data entry format for the online *REP Annual Report – Technical and Managerial*.

Questions regarding the online *REP Annual Report – Technical and Managerial* should be directed to Fred Goodwin, Licensing and Compliance Analyst, Customer Protection Division (512-936-7454 or fred.goodwin@puc.texas.gov).

5. The *REP Annual Report – Financial* and the *REP Semi-Annual Report* must be physically filed with Central Records (512-936-7180 or CentralRecords@puc.texas.gov). See below ***REP Annual Report – Financial*** and ***REP Semi-Annual Report*** for more details.

Questions regarding the content of the *REP Annual Report - Financial* and the *REP Semi-Annual Report* should be directed to Mariah Benson, Economist, Market Analysis Division (512-936-7229 or mariah.benson@puc.texas.gov).

Questions about how to file the paper copies of the *REP Annual Report – Financial* and the *REP Semi-Annual Report* should be directed to Central Records.

REP Annual Report – Technical and Managerial

INFORMATION REQUIRED BY 16 TAC § 25.491

REP Annual Report (Option 1 REPs only)

Please use the following formatting when submitting the online REP Annual Report – Technical and Managerial:

Online Data Entry Values

Field	Type	Format	Note
Year	Number	2019	Current year for data being submitted
Month	Number	1 - 12	Data Month
No. of Customers	Number	Whole number - 0 for empty	Number of customers served
Denial of service	Number	Whole number	Number of complaints recorded as Denial of Service
No. of Deposits	Number	Whole number	Number of Deposits held by REP
Amount of Deposits	Number	Decimal number - No decimal present indicates .00 cents	Amount of Deposits held by REP
Refusal of electric service	Number	Whole number	Complaint total for this type of complaint
Marketing and quality of customer service	Number	Whole number	Complaint total for this type of complaint
Unauthorized charges (cram)	Number	Whole number	Complaint total for this type of complaint
Unauthorized change of REP (slam)	Number	Whole number	Complaint total for this type of complaint
Accuracy of billing services	Number	Whole number	Complaint total for this type of complaint
Collection and service termination and disconnection	Number	Whole number	Complaint total for this type of complaint

REP Annual Report – Technical and Managerial
INFORMATION REQUIRED BY 16 TAC § 25.491
REP Annual Report (Option 1 REPs only)

Please use a CSV (Comma Separated Values) file or an Excel spreadsheet for your data using the following format:

File Upload Data Specification

Field	Type	Format	Note
TrackNo	varchar(8)	Assigned by PUC RE0900##	Company Tracking number that uniquely identifies each company
Year	Number	2020	Current year for data being submitted
Month	Number	1 - 12	Data month
Zip Code	Char(5)	78753	First five digits of zip code
Zip Code Ext	varchar(5)	1236	Last 4 digits of zip code
Census Tract	Char(5)	12420	Five-digit census tract code
Customer Class	varchar(30)	Residential	One of the following values: Residential, Small Commercial*, Commercial**, Industrial
No of Customers	Number	Whole number - 0 for empty	Number of customers served
Denial of service	Number	Whole number	Number of complaints recorded as Denial of Service
No of Deposits	Number	Whole number	Number of Deposits held by REP
Amount of Deposits	Number	Decimal number - No decimal present indicates .00 cents	Amount of Deposits held by REP
Refusal of electric service	Number	Whole number	Complaint total for this type of complaint
Marketing and quality of customer	Number	Whole number	Complaint total for this type of complaint
Unauthorized charges (cram)	Number	Whole number	Complaint total for this type of complaint
Unauthorized change of REP (slam)	Number	Whole number	Complaint total for this type of complaint
Accuracy of billing services	Number	Whole number	Complaint total for this type of complaint
Collection and service termination and disconnection	Number	Whole number	Complaint total for this type of complaint

* Small Commercial (maximum peak load less than or equal to 50 kW)

** Commercial (maximum peak load greater than 50 kW), or Industrial customers

REP Annual Report – Financial
INFORMATION REQUIRED BY 16 TAC § 25.107(i)(5)(A)(vii)

The following information must be **physically filed** if the REP is an **Option 1 REP**.

- ***The REP MUST file with the financial portion of the annual report:***
 - A sworn affidavit with notarization by a notary public that attests that the certificate holder is not in material violation of any of the requirements of its certificate and that all the information provided is accurate; **and**
 - Proof of its access to capital as certificated under 16 TAC § 25.107(f)(1). This must include one of the following three items:
 - A credit rating; *or*
 - Balance sheets demonstrating (1) tangible net worth, (2) current debt-to-equity ratio, **and** (3) total debt to total capitalization ratio; *or*
 - Reference to the letter of credit on file with the Commission, and if necessary, balance sheets demonstrating shareholders' equity.

- ***If the REP collects customer deposits or advance payments, it MUST file:***
 - The amount of customer deposits or advance payments held, as of the month of filing; **and**
 - Proof of adequate protection of the customer deposits, as certified under 16 TAC § 25.107(f)(2), as of the month of filing. This must be provided through one of the three items:
 - A bank statement for an escrow account; *or*
 - A bank statement for a segregated account; *or*
 - A reference to the letter of credit on file with the Commission.

REP Semi-Annual Report
INFORMATION REQUIRED BY 16 TAC § 25.107(i)(5)(B)

The following information must be **physically filed** if the REP is an **Option 1 REP**.

- ***The REP MUST file with the financial portion of the annual report:***
 - A sworn affidavit with notarization by a notary public that attests that the certificate holder is not in material violation of any of the requirements of its certificate and that all the information provided is accurate; **and**
 - Proof of its access to capital as certificated under 16 TAC § 25.107(f)(1). This must include one of the following three items:
 - A credit rating; *or*
 - Balance sheets demonstrating (1) tangible net worth, (2) current debt-to-equity ratio, **and** (3) total debt to total capitalization ratio; *or*
 - Reference to the letter of credit on file with the Commission, and if necessary, balance sheets demonstrating shareholders' equity.

- ***If the REP collects customer deposits or advance payments, it MUST file:***
 - The amount of customer deposits or advance payments held, as of the month of filing; **and**
 - Proof of adequate protection of the customer deposits, as certified under 16 TAC § 25.107(f)(2), as of the month of filing. This must be provided through one of the three items:
 - A bank statement for an escrow account; *or*
 - A bank statement for a segregated account; *or*
 - A reference to the letter of credit on file with the Commission.

- ***ALL Option 1 REPs, except those whose access to capital certification is an investment grade credit rating, MUST file:***
 - Audited financial statements for the most recent completed quarter with a note from the independent auditor; **and**
 - Unaudited financial statements for the past six months before the month of filing.