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| Logo  Description automatically generated | **COMMONWEALTH OF PENNSYLVANIA**  PENNSYLVANIA PUBLIC UTILITY COMMISSION  COMMONWEALTH KEYSTONE BUILDING  400 NORTH STREET  HARRISBURG, PENNSYLVANIA 17120 |  |

**Financial Security Reduction Annual Compliance Filing – Checklist**

File **90 days prior** to the current financial security expiration/anniversary date.

Electric Generation Supplier (EGS)

1) An EGS requesting to maintain its current financial security reduction of 5% of its most recent 12 months (or 4 quarters) of gross receipts, must send a Cover Letter requesting to renew its 5% financial security reduction, along with all documentation required in steps 2 through 9, below.

Send the Annual Compliance Filing to:

Rosemary Chiavetta, Secretary

Pennsylvania Public Utility Commission

400 North Street

Harrisburg, PA 17120

2) The EGS must state in the Cover Letter that it requests to maintain its 5% financial security reduction of its most recent 12 months (or 4 quarters) of gross receipts, in accordance with the Commission Order deemed final on October 16, 2018, at Docket No. P-2017-2608078.

3) The EGS must serve the Annual Complince Filing (non-confidential documents only) on the five statutory agencies and all electric distribution companies in which the EGS is licensed to operate. The EGS must also file a signed Certificate of Service to the Commission as proof of service.

4) The EGS must provide:

a) EGS’s PA Licensed Name

b) Docket Number

c) Utility Code

d) EGS Contact Information - including name, address, email, and phone number

e) EGS’s expiration/anniversary date of its current financial security

5) The EGS must provide its most recent 12 months (or 4 quarters) of its Pennsylvania gross receipts.

6) The EGS must provide a recent Tax Status Letter of Good Standing from the Pennsylvania Department of Revenue.

7) The EGS must provide a recent REV-423 Specialty Tax Estimated Payment Form from the Pennsylvania Department of Revenue stating the total amount of gross receipts taxes (GRT) the EGS pre-paid towards the current calendar year. This requirement is a result of the Pennsylvania Department of Revenue’s legislative requirement that all EGSs **must** pre-pay GRT. *Tax Reform Code of 1971 – Omnibus Amendments, Act of May 7, 1997, P. L, 85, No. 7, Cl. 72 Section 3003(a)*

8) The EGS must provide a 5% gross receipt calculation using its most recent 12 months (or 4 quarters) of gross receipts.

9) The EGS must provide an original bond, letter of credit, rider, amendment, or other financial security instrument (effective on the expiration/anniversary date of the EGS’s current financial security) in an amount equal to 5% of the EGS’s most recent 12 months (or 4 quarters) of gross receipts.

10) The EGS must be compliant with its Alternative Energy Portfolio Standard obligations. See contact information below:

Scott Gebhardt

Pennsylvania Public Utility Commission

Bureau of Technical Utility Services – Policy and Planning

[sgebhardt@pa.gov](mailto:sgebhardt@pa.gov)

(717) 425-2860

11) The EGS must be compliant with the Commission’s required annual fees and supplemental annual fees. See contact information below:

Pennsylvania Public Utility Commission

Bureau of Administration – Fiscal

[RA-PCPUCASSESSMENTS@pa.gov](mailto:RA-PCPUCASSESSMENTS@pa.gov)

(717) 265-7548

12) The Commission may require additional information.