



Annual Reports
Frequently Asked Questions

Annual Report FAQ's

This document contains general technical assistance for common questions about the annual report process and requirements. The information contained in this document is not a substitute for the statutes and rules that govern the annual report requirements but is intended to assist persons responsible for complying with those statutes and rules. If a discrepancy exists between information provided in this document and the statute or rule that covers the topic, the statute or rule controls.

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Who needs to file an Annual Report?

Any company/person regulated by the commission must file an annual report with the commission except Common Carriers. Regulated industries include: Energy/Gas, Telecommunications, Water, Transportation (Auto Transportation, Charter & Excursion, Commercial Ferries, Household Goods Carriers, Low-Level Radioactive Waste, Non-Profit Buses, Railroads, Solid Waste Carriers and Pipeline).

When are Annual Reports available/mailed to regulated companies?

Annual report forms are made available on the commission website by March 1 each year. As a courtesy, the commission also mails the reports to the address on file for the company. It is the company's responsibility to ensure the report is received.

Are the Annual Report forms available in electronic format?

Yes, the Annual Reports are available in electronic format and posted to the commission website by March 1 each year. The electronic documents are located at:

<http://www.utc.wa.gov/regulatedIndustries/Pages/annualReports.aspx>.

When are Annual Reports due and is a postmark date acceptable?

Annual Reports must be received by the commission no later than May 1 each year. A postmark date is no longer accepted by the commission.

Where do I send the report?

Reports may be mailed, faxed or submitted online.

Mail to:
Utilities and Transportation Commission
PO Box 47250
Olympia, WA 98504

Physical Address:
1300 S. Evergreen Park Dr. S.W.
Olympia, WA 98504

Fax to: (360) 664-1289

File online: <http://www.utc.wa.gov/docs/Pages/ElectronicFiling.aspx>

What method of payment does the commission accept?

Personal/Business Check

Money Order

ACH

Credit Card (American Express, Discover/Novus, MasterCard, Visa)

To pay online visit: payments.utc.wa.gov

Do I still need to file if I have ceased operations within Washington state?

If you operated at any time during the reporting year, you are required to file an annual report. To avoid being required to file in subsequent years you must contact the commission to cancel your operating authority. Please refer to the Regulated Industries section of the commission's website for specific instructions related to your industry.

What timeframe do my regulatory fees cover?

Regulatory fees cover the subsequent year from the reporting year shown on the report. For instance, when filing the 2014 Annual Report your fees cover regulation for calendar year 2015.

What do I do if I will not be able to submit my annual report by May 1?

You may file a written request for an extension to file the completed annual report; however, the commission will not extend the deadline for paying regulatory fees.

Any extension request must be filed with the commission prior to May 1 and must state a valid reason for why the extension is needed and identify a specific date which the report will be filed with the commission.

Extension requests should be submitted by April 15 to allow the request to be presented during the April Open Meeting as required. If your request is not submitted in time to make the April Open Meeting, and your request is ultimately denied, you will be liable for any applicable late filing penalties.

The commission will notify you of the extension request decision following the Open Meeting. Failure to file your completed annual report by the date indicated in your request will result in late filing penalties.

You must reasonably estimate and pay the expected regulatory fee by May 1. Failure to make the regulatory fee payment by May 1 will result in a late payment fee and interest being charged.

What happens if I do not file my annual report and/or pay my regulatory fees by May 1?

Failure to file the annual report by the May 1 deadline will result in a financial penalty of \$100 for each business day after May 1. Failure to pay the regulatory fees by the above deadline will result in a 2 percent penalty on the amount due and a 1 percent monthly interest charge on the unpaid balance.

Can I file my annual report as confidential?

Only certain industries are provided the authority to submit specific annual report information and request the commission to treat it as confidential. The annual report and regulatory fee sheet itself is a public document and may not be submitted as confidential or contain redactions (blacked-out information).

Industries permitted to file under the confidential rule ([WAC 480-07-160](#)) are: Energy, Water, and Telecommunications companies only. Failure to follow the requirements under WAC 480-07-160 will result in the report being considered incomplete and subject to all late payment fees, interest and penalties until a correctly formatted report is received by the commission.

Companies with confidential filings, which are not permitted to file as confidential, will result in the report being considered incomplete and subject to all late payment fees, interest and penalties until an unredacted report without confidential references or markings is received by the commission.

Credit card information provided on the annual report document is treated as confidential and is not shared/posted to any internal or external website. Your annual report **should not** be marked as “confidential” to protect this information.

Summary of WAC 480-07-160 Requirements:

- Company must submit a letter stating the basis under which confidentiality is claimed.
- Each copy must be marked with “confidential per WAC 480-07-160.”
- The confidential marking must appear on the first page of a multipage document and each specific page where the provider claims there is confidential information.
- The company must submit one copy (original) of the unredacted version of the document.
- The company must submit one copy (original) of the redacted version of the document.
- The unredacted version must be on canary-colored paper.
- If filing online or via email, each version must be clearly marked and separately submitted.
- If filing online, select “Confidential” after attaching the document to the electronic filing form on the UTC website. Please note: Filing “Highly Confidential” does not provide any different treatment of the document with regard to annual reports as the “Confidential” designation.
- Redacted versions should be in .pdf format only when filing electronically.
- Regulatory fee calculation sheet may **NOT** be classified as confidential and redacted.

How do I file my annual report electronically?

You will need to download and save the [electronic version](#) of the respective industry document to your computer. Save your document after you have completed the required information (or a blank document will be uploaded to the UTC website).

Navigate to the [Electronic Filing form](#) on the UTC website. Complete the required information marked with an asterisk (*). Scroll down the form to add your annual report document using the “Browse...” button. When all required documents have been added click “Submit Request.”

You will receive a submission report with an online filing number at the email address provided. Please keep this report for verification purposes. *Please note:* The successful online filing email notification is not a notification that your report is considered acceptable or complete. If there is a problem with the document submitted you will be contacted by a commission staff member to notify you of the specific issue(s).

If you have submitted your annual report online, you do not need to mail the document to the commission. Your online submission will satisfy your filing requirement subject to commission staff review for completeness.

Refer to **Appendix A** for screen-print of the Electronic Filing form.

Who can I contact for technical assistance in completing the Annual Report?

Please contact the staff listed below by industry:

Industry	Staff Member	Staff Contact Number	Staff email
Energy (Electric/Gas)	Amber George	(360) 664-1156	AGeorge@utc.wa.gov
Water	Sean Bennett	(360) 664-1157	sbennett@utc.wa.gov
Telecommunications	Amy Clark	(360) 664-1152	aclark@utc.wa.gov
Household Goods	Sean Bennett	(360) 664-1157	sbennett@utc.wa.gov
Railroad	Kim Anderson	(360) 664-1153	kanderso@utc.wa.gov
Commercial Ferries	Amber George	(360) 664-1156	AGeorge@utc.wa.gov
Low-Level Radioactive Waste	Amber George	(360) 664-1156	AGeorge@utc.wa.gov
Petroleum Pipeline	Amber George	(360) 664-1156	AGeorge@utc.wa.gov
Solid Waste	Sean Bennett	(360) 664-1157	sbennett@utc.wa.gov
Auto Transportation	Sean Bennett	(360) 664-1157	sbennett@utc.wa.gov
Non-Profit Buses	Amber George	(360) 664-1156	AGeorge@utc.wa.gov
Charter & Excursion	Amber George	(360) 664-1156	AGeorge@utc.wa.gov

All messages related to annual reports will receive a return communication within 24 business hours. Please take into consideration the week immediately preceding the May 1 deadline, we receive a heavy volume of phone and email correspondence. We will get back to you in the shortest response duration possible but we may not be immediately available to assist you.

Appendix A

Electronic Filing

Please complete this form if you'd like to submit an Annual Report, any new filing, such as tariff, contract, etc., or submit a comment, revision, or other documents in a case that already has a docket number.

Attention: Do not use this form to submit motions, briefs, testimony, or other pleadings in adjudications, unless you have specific permission from the presiding officer in that adjudication to use the web portal. Parties in adjudications must use the electronic filing process specified in the procedural order for the specified case.

Fields marked with an asterisk (*) are required.

Your Name*

Email Address*

Re-enter Email Address*

Filing Type*
 If Other, please specify

Company Name*

Company Advice #

Docket Number(if applicable)

Filing Description

Attach up to six documents. If you have more than six documents to file, please compress them into two .zip files: one for non-confidential documents, and another for confidential documents. Please limit your attachments to 40 megabytes in combined size.
A file name cannot contain any of the following characters: \ / : * ? " < > | # { } % ~ &
File Size Limit: 50 MB

Locate the file saved on your coputer →

Document 1*
Description
Confidentiality None Confidential Highly confidential

Only mark if allowable under WAC 480-07-160

Document 2
Description
Confidentiality None Confidential Highly confidential

Document 3
Description
Confidentiality None Confidential Highly confidential

Instructions, clarifications, or comments for this filing

→ **Click HERE after you have added your document(s)**

Note: It may take a few minutes to send your submission. If your browser indicates that the page is not responding, please **do not** stop and re-submit unless you receive a confirmation message. Questions? Contact the UTC Records Center: 360-664-1234