



**§ 131.31**

**INSTRUCTIONS FOR COMPLETING ANNUAL REPORT OF INTERLOCKING POSITIONS**

**GENERAL INFORMATION:**

**Purpose of Report**

The data collected by this report will be used by the Federal Energy Regulatory Commission's staff for the review and oversight of interlocking positions between public utilities and certain other entities as described below.

**Who Must Submit**

This report must be completed by all persons holding interlocking positions between public utilities and certain other entities (described in the specific instructions) during any portion of the calendar year.

**When to Submit**

Submit this report on or before April 30 of each year for the preceding calendar year. (For example, the report for the year 1999 would be filed on or before April 30, 2000.)

**What and Where to Submit**

Submit an original and one (1) copy of this report to: Federal Energy Regulatory Commission, Office of the Secretary, Attention FERC 561, 888 First Street NE, Washington, DC 20426

**Sanctions**

This report is mandatory and is prescribed by Section 305(c)(1) of the Federal Power Act and 18 CFR 46.4. Failure to report may result in certain penalties and other sanctions as provided by law.

**Where to Send Comments on Public Reporting Burden**

The public reporting burden for this collection of information is estimated to average 0.25 hours per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information to: Federal Energy Regulatory Commission, Attn: Federal Energy Regulatory Commission Information Clearance Officer, 888 First Street NE., Washington, DC 20426.

You shall not be penalized for failure to respond to this collection of information unless the collection of information displays a valid OMB control number.

**GENERAL INSTRUCTIONS**

1. Prepare this report in conformity with the requirements prescribed in 18 CFR 46.4.
2. Leave blank any columns that are not applicable.

**18 CFR Ch. I (4-1-13 Edition)**

**SPECIFIC INSTRUCTIONS**

*Item and Instruction*

**Respondent Information**

- 1 and 2 Enter your full name and your business address.
- 3 Enter the calendar year for which this report is filed.
- 4 and 5 If you are authorized by this Commission to hold the position of officer or director in accordance with Part 45 of the Commission's regulations: enter in space 4 the complete FERC docket number of such authorization; enter in space 5 the latest date of such authorization. Otherwise, leave these spaces blank.
- 6 Enter the public utility or public utility holding company to which you want next year's Form 561 sent.

**Public Utility Data**

- Col (1) and Col (2) Enter in column (1) the name of each public utility in which you hold an executive position. In column (2) enter the appropriate code for each such position, according to the list below:

*Code and Name*

- Dir Director
- CEO Chief Executive Officer
- PRES President
- VP Vice President
- SEC Secretary
- TREA Treasurer
- GM General Manager
- COMP Comptroller
- PURA Chief Purchasing Agent
- OEP Other Executive Position

**Interlocking Entity Data**

- Col (3) and Col (4) Enter in Column (3) the name of each entity in which you hold an interlocking position. Enter the appropriate code for each executive position you hold in the entity named in Column (3), using the list below:

*Code and Name*

- DIR Director
- CEO Chief Executive Officer
- PRES President
- VP Vice President
- SEC Secretary
- TREA Treasurer
- GM General Manager
- COMP Comptroller
- PURA Chief Purchasing Agent
- PART Partner
- APPT Appointee
- REP Representative
- OEP Other Executive Position

- Col (5) Enter in Column (5) the appropriate code type for each entity listed in Column (3), using the list below:

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*Code and Name*

FIN Investment bank; bank holding company; foreign bank or subsidiary thereof doing business in the United States; other organization primarily engaged in the business of providing financial services or credit; mutual savings bank; or savings and loan association  
 FINI Insurance company  
 SECU Entity authorized by law to underwrite or participate in the marketing of securities of a public utility  
 ELEQ Entity which produces/supplies electric equipment for the use of any public utility  
 FUEL Entity which produces/supplies coal, natural gas, nuclear fuel, or other fuel for the use of any public utility  
 20CL Entity specified in 18 CFR 46.3 (one of the 20 largest purchasers of electric energy from a utility)  
 CNEN Entity which is controlled by any one of the above named entities  
 305B Entity referred to in Section 305(b) of the Federal Power Act (not otherwise identified above)  
 Col (6) For each entity that supplies electric equipment (ELEQ) named in Column (3) enter the aggregate amount of revenues from producing or supplying electrical equipment to any public utility named in column (1) in the subject calendar year, rounded to the nearest \$100,000. Otherwise, leave this column blank.  
 Signature The original of this report must be dated and signed. The copy must bear the date that appeared on the original. The signature on the copy may be stamped or typed on the copy.

[Order 601, 63 FR 72169, Dec. 31, 1998]

**§ 131.43 Report of securities issued.**

(See § 34.10 of this chapter.)  
 (Submit an original and four copies.)

[NAME OF RESPONDENT]

**REPORT OF SECURITIES ISSUED**

Description of security.....

Description	Amount
1. Face value or principal amount .....	.....
2. Plus premium or less discount .....	.....
3. Gross proceeds .....	.....
4. Underwriter's spread or commission .....	.....
5. Securities and Exchange Commission registration fee .....	.....
6. State mortgage registration tax .....	.....
7. State commission fee .....	.....
8. Fee for recording indenture .....	.....
9. United States document tax .....	.....
10. Printing and engraving expenses .....	.....
11. Trustee's charges .....	.....
12. Counsel fees .....	.....
13. Accountant's fees .....	.....

**REPORT OF SECURITIES ISSUED—Continued**

Description of security.....

Description	Amount
14. Cost of listing .....	.....
15. Miscellaneous expenses of issue .....	.....
(Describe large items) .....	.....
16. Total deductions .....	.....
17. Net amount realized .....	.....

[Order 141, 12 FR 8591, Dec. 19, 1947, as amended by Order 182, 46 FR 50517, Oct. 14, 1981]

EFFECTIVE DATE NOTE: At 70 FR 35375, June 20, 2005, §131.43 introductory text was revised, effective at the time of the next e-filing release during the Commission's next fiscal year. For the convenience of the user, the revised text follows:

**§ 131.43 Report of securities issued.**

(See § 34.10 of this chapter)  
 (Submit in electronic format in accordance with § 385.2003 of this chapter.)

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**§ 131.50 Reports of proposals received.**

No later than 30 days after the sale or placement of long-term debt or equity securities or the entry into guarantees or assumptions of liabilities (collectively referred to as "placement") pursuant to authority granted under Part 34 of this chapter, the applicant must file a summary of each proposal or proposals received for the placement. The proposal or proposals accepted must be indicated. The information to be filed must include:

- (a) Par or stated value of securities;
- (b) Number of units (shares of stock, number of bonds) issued;
- (c) Total dollar value of the issue;
- (d) Life of the securities, including maximum life and average life of sinking fund issue;
- (e) Dividend or interest rate;
- (f) Call provisions;
- (g) Sinking fund provisions;
- (h) Offering price;
- (i) Discount or premium;
- (j) Commission or underwriter's spread;
- (k) Net proceeds to company for each unit of security and for the total issue;