# Federal Energy Regulatory Commission

§ 131.31

[Order 141, 12 FR 8588, Dec. 19, 1947, as amended by Order 175, 19 FR 5218, Aug. 18, 1954; Order 541, 57 FR 21734, May 22, 1992; Order 699, 72 FR 45325, Aug. 14, 2007]

# $\S 131.31$ FERC Form No. 561, Annual report of interlocking positions.

(See section 46.4 of this chapter.)

FEDERAL ENERGY REGULATORY COMMISSION ANNUAL REPORT OF INTERLOCKING POSITIONS

Form Approved OMB No. 1902-0099 This report is mandatory under Section 305(c)(i) of the Federal Power Act. Failure to report may result in criminal fines, civil penalties and other sanctions as provided by law. The Federal Energy Regulatory Commission does not consider this report to be of a confidential nature. Please Read THE INSTRUCTIONS ATTACHED BEFORE COMPLETING THIS FORM.

	RESPONDENT INFORMATION	NFORMATION		
L <del>-1</del>	1 Full Name (Last, First, and Middle Initial)	2 Business Address (Street, city, State, and Zip Code)	t, city, State, and	Zip code)
Ш	3 Reporting Year			
•	Docket # 5 Latest Date Authorized			
v	Mail to Company			
	PUBLIC UTILITY DATA	LITY DATA		
ت	(1) Name of Public Utility (2) Position Code(s)	(2) Position Code(s) (1) Name of Public Utility		(2) Position Code(s)
L				
L				
L_				
L				
L	INTERLOCKING ENTITY DATA	ENTITY DATA		
ت	(3) Manue of Entity	(4) Position Code(s)	(5) Type Code	(6) Total Revenue(\$)
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Ш				
Ü	Signature	1		

## **Federal Energy Regulatory Commission**

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, 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  $18\ \mathrm{CFR}\ 46.4.$
- 2. Leave blank any columns that are not applicable.

## 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) Exter in Column (5) th

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

## 18 CFR Ch. I (4-1-18 Edition)

#### 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	Amoun
Face value or principal amount     Plus premium or less discount     Gross proceeds	
Underwriter's spread or commission     Securities and Exchange Commission registration fee	
State mortgage registration tax     State commission fee     Fee for recording indenture	
United States document tax     D. Printing and engraving expenses     Trustee's charges	
12. Counsel fees	

REPORT OF SECURITIES ISSUED—Continued Description of security.....

	Description	Amount
15. M	ost of listing	
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:

## $\S 131.43$ Report of securities issued.

(See §34.10 of this chapter)

(Submit in electronic format in accordance with \$385.2003 of this chapter.)

## § 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;