

MAINE PUBLIC UTILITIES COMMISSION

FILING INSTRUCTIONS FOR ANNUAL COMPETITIVE ELECTRICITY PROVIDER REPORTS

The Commission uses an electronic Case Management System (CMS) for all filings, including the annual Competitive Electricity Provider (CEP) reports. **CEP annual reports must be submitted by July 2, 2021. Please electronically file the completed original Excel document in CMS (do not mail a paper copy, do not electronically file a .PDF).**

The cover letter sent to CEPs by the Commission, the filing instructions, and the report templates are available on the Commission's web site at:

<http://www.maine.gov/mpuc/online/forms.shtml>

Please follow the following four easy steps to file your annual report:

- 1) Complete the Excel report and save on your computer
- 2) Register to use our CMS system (see p. 2)
- 3) Login to CMS¹
- 4) Upload your information
 - a. General Information for all CEPs, see page 3
 - b. If providing confidential information, choose from Option i or Option ii:
 - i. A protective order has been issued in Docket No. 2021-00003 allowing for confidential treatment of the following portions of the Excel report template: Tab 0, Tab 2, Tab 3, responses to questions 8, and 13 as well as sales revenue by service territory on Tab A (lines 5-104) and Tabs B through G
 - ii. If additional information needs to be kept confidential
 1. File a request for a protective order in Docket No. 2021-00003 *no later than June 15, 2021.*
 2. Wait until the protective orders have been issued.
 3. THEN file confidential information, see instructions on P. 4
Confidential Report MUST be filed in Excel, and the public report may be filed in Excel OR .PDF format
 - c. For instructions to attach Excel file, see P. 4

If you file the data before receiving the protective order, it will NOT be confidential.

¹Where to login to CMS: <https://mpuc-cms.maine.gov/CQM.Custom.WebUI/UserLogin.aspx>

Registration

In order to file the CEP annual report in CMS, the person actually submitting the report must become a registered user in our system.

You may register at:

<https://mpuc-cms.maine.gov/CQM.Custom.WebUI/Registration/UserRegistrationForm.aspx>

- Fill in all required fields
- After submitting your registration, you will receive an email notification with a hyperlink and instructions.
If you do not receive this email, please check your junk mail for an email from MPUC-CMSnotification@maine.gov.
- Go to the hyperlinked page and confirm your registration.
- You are now registered to submit documents into CMS.

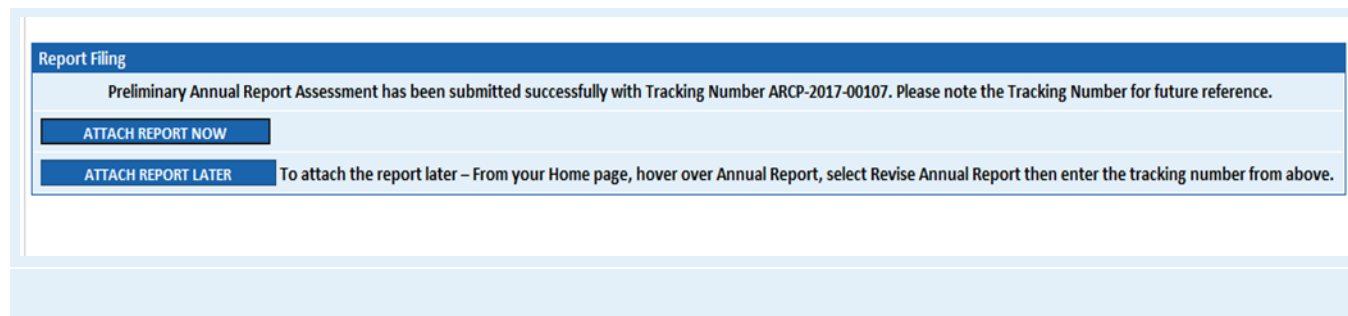
Pointers:

- User IDs must be at least 8 characters long and cannot have spaces
- Passwords must be at least 8 characters long and must include numbers, at least one upper case letter, and at least one special character
- The first Company/Organization field is the company you work for – for example ABC Consulting, which may not be the company you represent for PUC purposes
- The **Representing Company/Organization** field is for the company for which you are submitting an annual report. To populate your profile with the company or companies that you represent, click the “Add” hyperlink. CEPs are listed as Utility/Industry Type: Electricity and Utility/Industry Subtype: Competitive Electricity Provider. Your entity should be on this listing and will be available to choose from.
- You may add more than one company or organization. You may return to the screen in the future to add more companies/organizations or to remove them.

Submitting CEP Annual Report

(PLEASE NOTE THAT YOU SHOULD NOT START THIS PROCESS UNTIL YOU HAVE COMPLETED THE FULL REPORT AND SAVED IT ON YOUR COMPUTER)

- Log into CMS (<https://www.maine.gov/mpuc/online/index.shtml>)
- Hover cursor over "Annual Report File" on menu on left hand of screen; click on "Submit Annual Report"
- Select Utility Name from drop down listing for "Pertaining to Utility/Company"
- If the regulatory contact information from the records in the system is incorrect, please contact the Commission at maine.puc@maine.gov with the updated information
- Report for Year – It is always the prior year for which you are filing the report. (Example: the report filed TODAY (in 2021) is for 2020)
- Click on "Verify Contact Information of Person Completing this Annual Report" to verify that the contact information is correct
 - is it correct? Click "confirm";
 - Is it wrong? Click "update", and correct it on the next screen
- Docket Number Granting License docket numbers are used in lieu of a license number – The docket number format is YYYY-00000 – if your docket number was for example 1999-1, you would insert 1999-00001.
- Use radio buttons to select whether your Company is an Aggregator/Broker or Supplier -- if you are licensed as both, select Supplier
- Click Submit
- Click OK to confirm submission – you will receive the following message:



Report Filing

Preliminary Annual Report Assessment has been submitted successfully with Tracking Number ARCP-2017-00107. Please note the Tracking Number for future reference.

ATTACH REPORT NOW

ATTACH REPORT LATER To attach the report later – From your Home page, hover over Annual Report, select Revise Annual Report then enter the tracking number from above.

- Click "Attach Report Now" to proceed to next screen to attach your completed report – **upload the completed Excel workbook.**

Filing Annual Report(s)

The radio button at the bottom of the page will allow you to upload either public or confidential versions of your annual report.

If you are filing a confidential document of your annual report:

At bottom of the page, click the “Confidential” radio button, then click button that says “Attach Confidential Document”.

- A second window will open to allow you to Browse your computer for the electronic copy of the annual report -- click Attach
- For confidential documents, you **must** attach a redacted copy (Excel or pdf) as well as the confidential version (Excel) -- you will also be required to associate the proper protective order.
- Click Submit

The confidential report *MUST* be the active Excel workbook. You may post a .pdf version of the redacted information if you would prefer, but the confidential version **must** be the active Excel Workbook.

Protective Order No. 1 has been issued in Docket No. 2021-00003 for Tab 0, Tab 2, Tab 3, responses to questions 8, and 13 as well as sales revenue by service territory on Tab A (lines 5-104) and Tabs B through G of the Excel report template of the Excel report template. If you wish additional information be kept confidential, you must file a request for a protective order in Docket No. 2021-00003 and additional protective orders will be issued when appropriate.

Do not file any confidential information until the Protective Order is issued. **DO NOT FILE THE REQUEST FOR PROTECTIVE TREATMENT IN THE ANNUAL REPORT MODULE.** Instead, file it in Docket No. 2021-00003.

If you have completed the key analysis fields and those fields contain confidential information, click the box before the statement “This data includes confidential information pursuant to the Commission issued Protective Order”

If you are filing a public document of your annual report:

At bottom of the page, click the “Public” radio button, then click the “Attach Document” button

- A second window will open to allow you to Browse your computer for the electronic copy of the annual report -- click Attach
- You must attach the Excel version of your report
- Click Submit

A. Troubleshooting

- Check that your browser allows pop-ups from <https://mpuc-cms.maine.gov>
- In some cases, a small window will open up in back of the larger browser window – if you click on "Attach document" and nothing seems to happen, minimize the larger screen or look to the bottom of your screen to see if there is another window opened
- If the utility company is not on the list form which you may choose, check your profile to ensure that you have included that Company as one you are representing
- If you exit prior to attaching the files, please select "Revise Annual Report" from the Annual Report menu in CMS, to attach the report files

If you have any questions about the filing process or annual reports, please contact Matthew Rolnick at 207.287.1390 or by email at: matthew.rolnick@maine.gov OR Lucretia A. Smith at (207) 287-1383 or by email at Lucretia.smith@maine.gov