



Annual Reports Frequently Asked Questions

Important:

The commission requires that official communications are conducted in electronic format. Annual reports are considered an official communication.

Household Goods Carriers:

Staff has requested the commission waive the requirement of WAC 480-15-480 (1)(b) which states the commission will mail a copy of the annual report to the address of record. A link to the form will be emailed to the email address on record.

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/emailed to regulated companies?

Annual report forms are made available on the commission website by March 1 each year. As a courtesy, an email notification will be sent to the companies with email addresses on file. 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>.

NEW: I don't have Microsoft Office! What should I do?

The commission does not endorse any particular package, however, the commission has tested several alternative office suite packages.

You will find a write-up on tested alternatives here:

<https://www.utc.wa.gov/regulatedIndustries/Pages/fileformats.aspx>

Where do I send the report?

In 2017, the commission changed procedural rule WAC 480-07-140 to require all formal communications with the commission be submitted electronically. Annual reports are required to be submitted through the commission's portal.

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: <https://www.utc.wa.gov/regulatedIndustries/Pages/online-payments.aspx>

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

If you were active with the Commission at any portion of 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 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.

Extension requests must be filed with the commission prior to May 1st. The request must state a valid reason for the extension, and specify the date you expect to file the report 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.

If a company does not submit an annual report and/or pay regulatory fees, the commission may cancel the company's permits.

Starting in 2019, for the 2018 reporting year, the penalties will adjust to \$250 if filed after May 1st and before June 1st, \$500 if filed after June 1st and before July 1st, and \$1,000 if filed after July 1st, in 2019. The penalty and fees on late payment remain unchanged.

Can I file my annual report as confidential?

Only certain industries have 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, Solid Waste, and Telecommunications companies. 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 filing as confidential when not permitted to file as confidential will result in the report being considered incomplete and accrue all late payment fees, interest and penalties until the commission receives an unredacted report without confidential references or markings.

The commission treats credit card information as confidential and does not share/post it to any internal or external website. You **should not** mark your annual report as "confidential" to protect credit card information.

Summary of Confidentiality Requirements (WAC 480-07-160):

- Company must submit a letter stating the basis under which confidentiality is claimed.
- Each copy must be marked with “Designated information is 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 clearly mark and e-file an **unredacted AND redacted version** of the document.
- The company must select “Confidential” after attaching both clearly marked documents 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).

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

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

Please contact the Annual Reports analyst, currently Benjamin Sharbono, at 360-664-1157 or email at Benjamin.Sharbono@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

If you are filing confidentially, you may submit both public and redacted versions to a single filing

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 says "submit failed", please **do not** stop and re-submit unless you receive a confirmation message. Have any Questions? Contact the UTC Records Center: 360-664-1234