**Section 330.40 Filing Requirements**

a) Any utility requesting a temporary rate increase pursuant to Section 9-202(b) of the Act must satisfy the filing requirements specified in this Section in addition to the testimony, exhibits, and information required by 83 Ill. Adm. Code 285, supporting the request for a permanent increase. Within 14 days after the date the utility files the information set forth in Section 330.40(c) and (d), the Manager of the Hearing Examiners Division or his appointed representative (Hearing Examiner) shall provide the utility a list in writing of any deficiencies in the filing and provide the utility 14 days from receipt of the notice to file the additional information. Failure to satisfy the filing requirements shall serve as cause for the Commission to reject the request for the temporary rate increase.

b) Utilities classified as "Large utilities" or "Medium utilities" under 83 Ill. Adm. Code 285.120(a) must provide the information specified in subsections (c), (d), (e), (f), (g), (h), and (i). All other utilities must provide the information specified in subsections (f), (g), (h), and (i).

c) A utility requesting a temporary rate increase must provide the following financial information, where applicable, on a historic basis for the two years preceding the current calendar year and on a projected basis, assuming both the granting and denial of the requested temporary rate increase, for the current calendar year and the calendar year immediately following the current calendar year:

1) Gross cash flow (expressed both as a dollar figure and as a percentage of permanent capital);

2) Expenditures on rate base items (expressed both as a dollar figure and as a percentage of net plant);

3) External financing requirements (expressed as a dollar figure by types of financing);

4) Earnings available for common equity (expressed both as a dollar figure and as a percentage of average common equity);

5) Capital structure ratios (expressed both as a dollar figure and as a percentage of total capitalization);

6) Common Dividends;

7) Pre-tax interest coverage ratio including allowance for funds used during construction ("AFUDC") or interest during construction ("IDC");

8) Pre-tax interest coverage ratio excluding AFUDC or IDC;

9) Post-tax interest coverage ratio including AFUDC or IDC;

10) Post-tax interest coverage ratio excluding AFUDC or IDC;

11) AFUDC or IDC;

12) Net cash flow (expressed both as a dollar figure and as a percentage of permanent capital);

13) Number of common shares outstanding;

14) The embedded cost of long term debt, i.e., debt having an initial maturity period greater than one year (expressed as a percentage of total long term debt outstanding);

15) The embedded cost of preferred stock (expressed as a percentage of total preferred stock outstanding);

16) The cost of short-term debt, i.e., debt having an initial maturity of one year or less (expressed as a percentage of total short-term debt outstanding; and

17) Revenues obtained from Illinois jurisdictional operations.

d) The utility shall provide the following financial information on a projected basis, assuming both the granting and denial of the requested temporary rate increase, for the current calendar year and the year immediately following the current calendar year:

1) sources and uses of funds statements or statements of cash flow;

2) balance sheets; and

3) income statements.

e) The utility shall provide supporting workpapers for all information specified in subsections (c) and (d) above.

f) The utility must explain why the requested temporary rate increase is necessary because of:

1) a loss of revenues or an increase in expenses caused by factors outside the control of the utility which has resulted or will result in an inability to render service in compliance with the standards of service prescribed for the particular utility; or

2) an inability to raise needed capital at a reasonable cost.

g) If the utility claims an inability to raise needed capital at a reasonable cost, it must demonstrate such an inability. In determining what cost is reasonable the Commission will consider general interest rate levels in the economy, interest rates available to public utilities in general, and the impact of raising necessary capital on the utility's embedded cost of long-term debt, cost of short-term debt, embedded cost of preferred stock, cost of common equity, capital structure ratios, and interest coverage ratios.

h) If the utility claims a loss of revenues or an increase in expenses caused by factors outside the control of the utility which results in an inability to render service in compliance with the standards of service prescribed for the particular utility, the utility must specify the factors that caused the loss of revenues or the increase in expenses and demonstrate that such factors are outside its control. The utility must also demonstrate how the loss of revenues or increase in expenses has or will lead to an inability to render service complying with the applicable standards. In addition, the utility must state the nature of the inability and the cost of remedial action, and provide documentation which would include the evaluation of alternative solutions.

i) The utility must specify any indenture requirements that may be violated if the temporary rate increase is not granted, as well as any possibilities of impairment of the ability to pay preferred and/or common dividends.