**Section 340.60 Required Filings and Procedures**

a) This Section does not apply to small utilities or electing providers.

b) All filings required by this Section shall be signed and verified under oath by an executive officer having knowledge of the facts and filed with the Office of the Chief Clerk of the Commission in duplicate with a copy provided to the Manager of the Finance Department. Each filing shall state on its face the Docket number of the proceeding authorizing the utility's participation in the money pool agreement.

c) Documentation of transactions. Utilities are required to file a quarterly report documenting all daily deposits, borrowings, interest income, and interest expense relating to transactions with affiliates. The first report shall be filed within 30 days after the end of the applicable calendar or fiscal quarter in which the order authorizing the agreement is entered or by August 14, 2004 for filings made pursuant to an agreement entered into before June 15, 2004. Thereafter, reports shall be filed covering the transactions during each successive calendar or fiscal quarter, each report to be filed within 30 days after the end of each quarter. The written documentation shall include the following:

1) Utilities subject to the requirements of Section 340.30 shall provide the daily balances of loans outstanding from an affiliate to the utility for each day of the calendar or fiscal quarter.

2) Utilities subject to the requirements of Section 340.40 shall provide:

A) The daily net balances of transactions that increase the loan balances;

B) The daily net balances of transactions that decrease the loan balances;

C) Total accrued interest for the applicable quarter;

D) The applicable interest rate for each day of the quarter;

E) The maturity date of each loan and any renewal dates;

F) The qualification of affiliates to borrow from a utility pursuant to Section 340.40(b);

G) For borrowers meeting the requirements of Section 340.40(b)(2) or (b)(5), the report shall provide detailed statements documenting the unused amount of the borrower's or its guarantors' high-grade committed credit facility, the amount of funds invested in the securities described in Section 340.50(a)(1) and (2), the balance of funds invested in each of the investments available under Section 340.50(a), exclusive of the amount invested in the securities described in Section 340.50(a)(1) and (2), and the total amount the utility loaned to affiliates as of the end of the applicable quarter; and

H) For borrowers meeting the requirements of Section 340.40(b)(1), (b)(3) or (b)(4), the report shall provide the credit ratings of the applicable affiliates.

d) The utility shall file a report listing all of the affiliates with which it can participate in the money pool agreement. An update of the report shall be filed as a part of the quarterly report described in subsection (b). An additional update shall be filed within 10 days after an affiliate that has a direct borrowing relationship with the utility is added to the money pool agreement. The updated reports shall contain a list of all companies involved and indicate which companies have been added and the date those companies entered into the money pool agreement.

e) Any credit rating downgrades to any affiliate that has a direct borrowing relationship with the utility by a credit ratings agency, which results in the affiliate no longer being a high-grade credit issuer, shall be reported to the utility and the Manager of the Commission's Finance Department within 10 days after any such downgrade. Each filing shall state on its face the Docket number of the proceeding authorizing the utility's participation in the money pool agreement.

f) Confidential Treatment of Filings Made Pursuant to this Section

1) For filings made pursuant to a proceeding authorizing the utility's participation in the money pool agreement in which the petition was filed after June 15, 2004, the filing entity shall include in its petition a request for confidential treatment for any documents for which it desires confidential treatment after the filing of the documents.

2) For filings made pursuant to a money pool agreement entered into before June 15, 2004, a filing utility seeking confidential treatment of these documents shall file a petition pursuant to 83 Ill. Adm. Code 200.

(Source: Amended at 41 Ill. Reg. 15718, effective December 15, 2017)