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Case Management System - KY Public Service Commission*Regular Cases Before the Commission as of November 28, 2024***2011-00124**

RECEIVED: 04/04/11

FILED: 04/04/11

FINAL: 12/05/11

REOPENED: 08/09/11

SUSPENSION DATE:

CASE CODE

Transfer / Sale / Purchase / Merger

UTILITIES:

Duke Energy Kentucky, Inc.

INTERVENORS: Cook - AG

HEARINGS:

09/13/11 Informal Conference
 08/26/11 Informal Conference
 07/11/11 Formal Hearing
 07/08/11 Formal Hearing
 07/06/11 Formal Hearing
 06/17/11 Informal Conference
 06/08/11 Informal Conference
 05/19/11 Informal Conference

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10/16/17	POST CASE: Duke Energy Kentucky Inc. Financial Statements
09/14/17	POST CASE: Duke Energy Financial Statements for the End of July 2017
08/11/17	POST CASE: Duke Energy financial statements for the end of June 2017
07/13/17	POST CASE: Duke Energy financial statements for the end of May 2017
06/20/17	POST CASE: Duke Energy 2015 affiliate management audit final report

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03/31/17	POST CASE: Duke Energy Kentucky Inc. Compliance Report
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09/08/16	POST CASE: Duke Energy Kentucky Inc. Financial Reports in Compliance with Order
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05/13/16	POST CASE: Duke Energy Kentucky Inc. Financial Statements
04/15/16	POST CASE: Duke Energy Kentucky February Financial Report
03/31/16	POST CASE: Duke Energy Kentucky Inc. Updated Status Report
03/29/16	POST CASE: Duke Energy Kentucky Inc. Corrected Financial Statements for January 2016
02/17/16	POST CASE: Duke Energy Kentucky Inc. Financial Statements for December 2015
01/15/16	POST CASE: Duke Energy Kentucky Inc. Financial Statements for the End of November 2015
12/10/15	POST CASE: Duke Energy Kentucky Inc. Oct. 2015 Financial Statements
11/16/15	POST CASE: Duke Energy KY Inc. Financial Report in Compliance with Order
10/06/15	POST CASE: Duke Energy Kentucky, Inc. Financial Statements
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05/15/15	POST CASE: Duke Energy Kentucky Financial Statements
04/07/15	POST CASE: Duke Energy Kentucky Inc. Merger Commitment Report
03/26/15	POST CASE: Duke Energy Kentucky, Inc. Amendment to Merger Commitment Report
03/16/15	POST CASE: Duke Energy Kentucky Inc. Merger Commitment Report
03/11/15	POST CASE: Duke Energy Kentucky Merger Commitment Report
01/14/15	POST CASE: Duke Energy Kentucky Merger Commitment Report
12/12/14	POST CASE: Duke Energy Kentucky, Inc. Merger Commitment Report
10/09/14	POST CASE: Duke Energy financial statements for the end of Aug 2014 per Order
09/17/14	POST CASE: Duke Energy financial statements for the end of July 2014 per PSC Order
08/25/14	POST CASE: Duke Energy Kentucky Second Quarter 2014 Financial Statements
07/15/14	POST CASE: Duke Energy Kentucky, Inc. Report on Merger Commitments
06/17/14	POST CASE: Duke Energy Report on Merger Commitments
05/15/14	POST CASE: Duke Energy Kentucky Report on Merger Commitments
03/24/14	POST CASE: Duke Energy Kentucky, Inc.'s Update on Merger Commitments
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02/13/14	POST CASE: Duke Energy Kentucky Report on Merger Commitments
01/14/14	POST CASE: Duke Energy Kentucky Report on Merger Commitments
12/11/13	POST CASE: Duke Energy Kentucky Inc. Report on Merger Commitments
11/15/13	POST CASE: Duke Energy Kentucky Q4 FERC Forms 1 and 2 & 2012 Duke Energy Annual Report
10/16/13	POST CASE: Duke Energy Report on Merger Commitments
09/13/13	POST CASE: Duke Energy Report on Merger Commitments
07/18/13	POST CASE: Duke Energy Kentucky Inc Report on Merger Commitments
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04/30/13	POST CASE: Duke Energy Kentucky Reports
04/16/13	POST CASE: Duke Energy Kentucky Inc Report on Merger Commitments
04/15/13	POST CASE: Duke Energy Kentucky Inc Update Regarding Merger Commitments
03/28/13	POST CASE: Duke Energy Report on Merger Commitments
03/22/13	Duke Energy Kentucky Executed Affiliate Agreements
03/15/13	Duke Energy Report on Merger Commitments
01/18/13	POST CASE: Duke Energy Kentucky's Update Regarding Merger Commitments
12/18/12	POST CASE: Duke Energy Kentucky Merger Commitment Update

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11/15/12	POST CASE: Duke Energy 3rd Qtr Financial Statements for 2012
11/14/12	POST CASE: Duke Energy Financial Statements in Response to Order
10/18/12	POST CASE: Duke Energy Notice of Debt Issuance
07/09/12	POST CASE: Joint Status Report and Notice of Acquisition
06/18/12	POST CASE: Joint Applicants Tenth Status Report
05/29/12	POST CASE: Joint Applicants' Ninth Status Report
05/07/12	POST CASE: Joint Applicants' Eighth Status Report
04/30/12	POST CASE: Duke Energy Kentucky Reports
04/16/12	POST CASE: Joint Applicants' Seventh Status Report
03/26/12	POST CASE: Joint Applicants' Sixth Status Report
03/05/12	POST CASE: Joint Applicants' Fifth Status Report
02/13/12	POST CASE: Joint Applicants' Fourth Status Report
01/23/12	POST CASE: Joint Applicants' Third Status Report
01/03/12	POST CASE: Joint Applicants' 2nd Status Report
12/14/11	POST CASE: Joint Applicants' First Status Report
12/13/11	POST CASE: Duke Energy's NRC Order
12/12/11	POST CASE: Duke Energy's Documentation Re Transfer Control
12/05/11	Order Entered: the petition for rehearing is granted and confidentiality is granted to the Joint Applicants' responses to AG Nos. 41, 48, 52, 54, 55, 57, 64, 67, and Staff no. 32.
11/22/11	Letter to Mark David Goss granting Duke Energy's petition for confidentiality filed 6/24/11 for protection of certain information
11/14/11	Joint Petition For Rehearing of Staff Denial of 051011 Petition for Confidentiality
11/03/11	Joint Applicants' Certifications Indicating Acceptance of Appendix B of 102811 Order
10/28/11	Order Entered: (1) The joint motion to accept a supplemental stipulation is granted and the supplemental stipulation is approved. (2) The Commission's August 2, 2011 Order is modified to the limited extent that Appendix B is superseded by the Appendix attached hereto and incorporated herein by reference. (3) The indirect transfer of control of Duke Kentucky via the acquisition of Progress by Duke is approved, subject to the filing within seven days of the date of this Order of the written acknowledgements described in the findings above. (4) All other provisions of the Commission's August 2, 2011 Order shall remain in full force and effect.
10/26/11	Letter to Mark David Goss granting in part and denying in part Duke's petition for confidentiality filed 5/10/11 for protection of certain information
09/16/11	Memorandum dated 9/15/11 for Informal Conference of 9/13/11; Comments, if any, due within five days of receipt
09/16/11	Duke Energy's Verification Page of Julia S. Janson
09/15/11	Joint Motion to Accept Supplemental Stipulation and Supporting Exhibits
09/09/11	COMMISSION STAFF'S NOTICE OF INFORMAL CONFERENCE
09/07/11	Memorandum dated 9/6 for Informal Conference of 8/26; Comments, if any, due within 5 days of receipt
09/02/11	Order Entered: The Applicants' petition for rehearing of the August 2, 2011 Order is granted.
08/29/11	Duke Energy's Request for IC
08/25/11	Commission Staff's Notice of Informal conference
08/19/11	Joint Applicants' Petition for Rehearing
08/12/11	Order Entered: Applicants shall have until August 23, 2011 to file the written acknowledgements referenced in Ordering Paragraph No. 6 of the Commission's August 2, 2011 Order.
08/09/11	Joint Applicant's Motion to Extend Deadline for Filing
08/02/11	Final Order Entered: (1) The indirect transfer of control of Duke Kentucky via the acquisition of Progress by Duke is approved, subject to the filing within seven days of the date of this Order of the written acknowledgements described in Finding No. 6 above. (2) The affiliate agreements as amended to add Progress and as filed in this case are approved. (3) Duke Kentucky shall file copies of the final approval orders, or other notifications received from FERC, the United States Department of Justice, the Federal Communications Commission, the Nuclear Regulatory Commission, the North Carolina Utilities Commission, and the South Carolina Public Service Commission within 10 days of their receipt.(4) Twenty days after the date of this Order and every 20 days thereafter, the Applicants shall file a written report on the status and expected closing date of the acquisition approved herein. (5) Within five days of the consummation of the acquisition, Duke Kentucky shall file a written notice with

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the Commission setting forth the date of acquisition. (6) Any documents filed in the future pursuant to ordering paragraphs 1, 2, 3, 4, and 5 herein shall reference this case number and shall be retained in the utility's general correspondence file.

07/19/11 Notice of Filing

07/06/11 Duke Energy's Notices and Affidavits of Publications

07/05/11 Duke Energy's Verification Pages of Jim Stanley and John Swez

07/05/11 Joint Applicants' Supplemental Filing of Form S-4

07/01/11 Joint Applicants' Responses to Commission Staff's 3rd Information Request

06/28/11 Commission Staff's Second Information Request to Joint Applicants

06/28/11 Letter to Mark Goss and Rocco O D'Ascenzo granting Duke Energy Business Services's petition for confidentiality filed 6/7/11

06/28/11 Letter to Mark Goss and Rocco O DAscenzo granting Duke Energy's petition for confidentiality filed 6/2/11

06/27/11 Joint Applicants' Supplemental Direct Testimony of William D. Johnson

06/24/11 Notice of Filing of Stipulation and Settlement Agreement with Confidential Petition and Maps

06/23/11 Memorandum dated 6/23/11 for Informal Conference of 6/8/11 and 6/17/11; Comments, if any, due 7/5/11.

06/14/11 Commission Staff's Notice of Informal Conference

06/14/11 Joint Applicant's Request for Informal Conference for 061711 at PSC Offices at 10:30am

06/08/11 Letter to Rocco D'Ascenzo and Mark David Goss granting Duke, et al's petition for confidentiality filed 5/19/11 for protection of certain information

06/07/11 Joint Applicants Request for Informal Conference for 060811

06/07/11 Joint Applicants Petition for Confidentiality and Response to Initial Information Request 32

06/06/11 Commission Staff's Notice of Informal Conference

06/02/11 Joint Applicants' Response to Commission Staff and AG's Data Requests with Confidential Petition

05/25/11 Order Entered: The hearing previously scheduled on July 6, 2011 is rescheduled to July 8, 2011 and July 11, 2011 to commence each day at 10:00 a.m. in Hearing Room 1 of the commission's offices.

05/24/11 Memorandum dated 5/24/11 for Informal Conference of 5/19/11; Comments, if any, due within five days of receipt

05/24/11 Commission Staff's Supplemental Information Request to Joint Applicants

05/24/11 Attorney General's Supplemental Data Requests

05/20/11 Joint Applicants' Motion to Reschedule Hearing

05/19/11 Order Entered:
 (1) The procedural schedule appended to the Commission's April 21, 2011 Order is modified to the limited extent that supplemental data requests to the Joint Applicants shall be filed no later than May 24, 2011 and the Joint Applicants' responses to supplemental data requests shall be filed no later than June 2, 2011.
 (2) All other provisions of the April 21, 2011 procedural schedule shall remain in full force and effect.

05/19/11 Joint Applicants' Petition for Confidential Treatment of Information

05/18/11 Joint Applicants' Motion for IC and Amended Procedural Order

05/17/11 COMMISSION STAFF'S NOTICE OF INFORMAL CONFERENCE

05/16/11 Joint Applicants Request for IC and Extension of Time to Respond to DR

05/12/11 Order Entered: Stand Energy's motion to intervene is denied.

05/10/11 Joint Applicants Responses to Commission Staff's Initial Information Requests (Volumes 1 thru 9)

05/10/11 Joint Applicants Response to AGs Initial Data Requests

05/09/11 Order Entered: The Joint Applicants' filing on April 28, 2011 of an errata to the original testimony of Mr. Wathen is rejected as deficient due to the absence of the requisite explanatory information discussed in the findings above and an amendment to the Joint Application with a supporting motion.

05/06/11 Joint Applicants 2nd Filing Relating to Regulatory Approvals Pending

05/03/11 Order Entered: 1. Joint Applicants' motion to amend the existing procedural schedule to allow for the filing of rebuttal testimony is granted and their rebuttal testimony, if any, shall be filed in verified prepared form no later than June 30, 2011. 2. A hearing in this matter shall be held on July 6, 2011 at 10:00 a.m., Eastern Daylight Time, in Hearing Room 1 of the Commission's offices at 211 Sower Boulevard, Frankfort, Kentucky. The official record of these proceedings shall be by video only. Any request to cancel or postpone this hearing shall be made by motion filed with the Commission at least one week before the hearing is scheduled to commence.

04/28/11 Commission Staff's Initial Information Request to Joint Applicants

04/28/11 Joint Applicants copy of applications and other filings relating to the merger transaction

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04/28/11 Joint Applicant's Errata Sheet (Exhibit M) and Updated Exhibit I (Money Pool Agreement)

04/28/11 Stand Energy's First Requests for Information to Duke Energy

04/27/11 Joint Applicant's Motion to Amend Procedural Schedule and Response in Opposition to Stand Energy's Motion to Intervene

04/25/11 Attorney General's Initial Data Requests

04/21/11 Order Entered:
 (1) Joint Applicants' request for approval of the proposed indirect transfer of control is continued for an additional 60 days.
 (2) The procedural schedule for processing the review of the proposed indirect transfer of control shall be followed.
 (3) Any party that files a document with the Commission shall file an original and nine copies, with copies to all parties of record.
 (4) All parties shall respond to any interrogatories or requests for production of documents that Commission Staff submits.
 (5) a. Responses shall be appropriately bound.
 (5) b. Each response shall be answered under oath.
 (5) c. Any party shall make timely amendment to any prior response.
 (5) d. Any request to which a party fails to furnish the requested information, shall provide a written explanation.
 (6) Duke Energy Kentucky shall publish notice of the hearing in accordance with 807 KAR 5:011, Section 8(5).
 (7) At any public hearing in this matter, neither opening statements nor summarization of direct testimony shall be permitted.
 (8) Motions for extensions of time shall be made in writing.

04/21/11 Stand Energy's Motion to Intervene and Supporting Memorandum

04/13/11 Order Entered: The motion is granted, and the Attorney general is hereby made a party to these proceedings.

04/13/11 No Deficiency Letter

04/05/11 Acknowledge Receipt of Filing

04/05/11 Attorney General's Motion to Intervene

04/04/11 Joint Application of Duke Energy Corporation, Cinergy Corp., Duke Energy Ohio, Inc., duke energy Kentucky, Inc., diamond Acquisition Corporation, and Progress Energy, Inc., for Approval of the Indirect Transfer of Control of Duke Energy Kentucky, Inc.

Total Number of Cases: 1