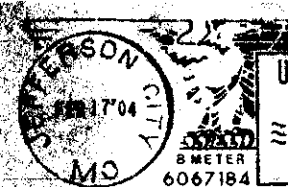


PUBLIC SERVICE COMMISSION  
P O BOX 360  
JEFFERSON CITY MO 65102

MO 419.1 (3-12-91)



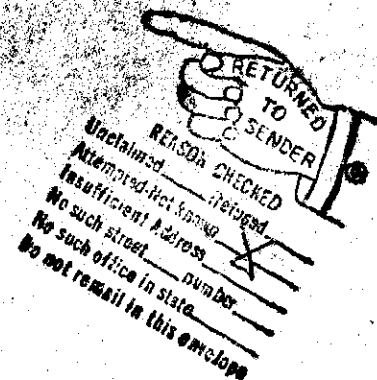
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FILED<sup>2</sup>

MAR 01 2004

Missouri Public  
Service Commission



*Wrong address*

United Services Telephone, L.L.C.  
Legal Department  
475 Metroplex Dr., Suite 106  
Nashville, TN 37211



DO NOT REMOVE FROM THIS DOCUMENT  
NO OTHER OFFICE IN FIELD  
INVESTIGATIVE DIVISION  
FEDERAL BUREAU OF INVESTIGATION  
U.S. DEPARTMENT OF JUSTICE  
WASHINGTON, D.C. 20535  
RECEIVED  
TO  
SENDER



**BEFORE THE PUBLIC SERVICE COMMISSION  
OF THE STATE OF MISSOURI**

The Staff of the  
Missouri Public Service Commission,

Complainant,

v.

United Services Telephone, L.L.C.,

Respondent.

**Case No. TC-2004-0394**

**NOTICE OF COMPLAINT**

United Services Telephone  
475 Metroplex Dr., Suite 106  
Nashville, Tennessee 37211

National Registered Agents, Inc.  
300-B East High Street  
Jefferson City, Missouri 65101

**CERTIFIED MAIL**

On February 13, 2004, the Staff of the Missouri Public Service Commission filed a complaint with the Commission against United Services. A copy of the complaint is enclosed. Under Commission Rule 4 CSR 240-2.070, United Services has 30 days from the date of this notice to file an answer or to file notification that the complaint has been satisfied. United Services is reminded that, as a corporation, it cannot appear before the Commission unless it is represented by an attorney licensed to practice law in Missouri. Therefore, its answer must be signed by a Missouri attorney.

All pleadings must be mailed to:

Secretary of the Public Service Commission  
P.O. Box 360  
Jefferson City, Missouri 65102-0360

A copy must be served upon the Staff of the Commission at the address listed within the enclosed complaint.

**BY THE COMMISSION**

A handwritten signature in black ink, reading "Dale Hardy Roberts". The signature is written in a cursive, slightly slanted style.

**Dale Hardy Roberts  
Secretary/Chief Regulatory Law Judge**

(S E A L)

Dated at Jefferson City, Missouri,  
on this 17th day of February, 2004.

Pridgin, Regulatory Law Judge

**BEFORE THE PUBLIC SERVICE COMMISSION  
OF THE STATE OF MISSOURI**

The Staff of the Missouri Public Service  
Commission, )

Complainant, )

v. )

United Services Telephone, L.L.C., )

Respondent. )

Case No. TC-2004-

**COMPLAINT**

**COMES NOW** the Staff of the Missouri Public Service Commission ("Staff") and initiates its complaint pursuant to Section 386.390 and 4 CSR 240-2.070, against United Services Telephone, L.L.C. (the "Company") for violation of the Commission's statutes and rules relating to annual report filings and annual assessment payments. In support of its complaint, Staff respectfully states as follows:

**GENERAL ALLEGATIONS**

1. Respondent United Services Telephone, L.L.C. is a "telecommunications company" and "public utility" as defined in Section 386.020 RSMo (2000) and is subject to the jurisdiction of the Missouri Public Service Commission pursuant to Section 386.250. The Commission granted the Company a certificate of service authority to provide interexchange telecommunications services in Case No. TA-98-108 on November 19, 1997. The Company has provided the following contact information to the Commission:

United Services Telephone, L.L.C.  
475 Metroplex Dr., Suite 106  
Nashville, TN 37211

The Company's registered agent according to the records of the Missouri Secretary of State's Office is:

National Registered Agents, Inc.  
300-B E. High St.  
Jefferson City, MO 65101

2. Section 386.390.1 authorizes the Commission to entertain a complaint "setting forth any act or thing done or omitted to be done by a public utility in violation of any law, or of any rule, order or decision" of the Commission.

3. Commission practice Rule 4 CSR 240-2.070(1) provides that the Commission's Staff, through the General Counsel, may file a complaint.

4. The Missouri courts have imposed a duty upon the Public Service Commission to first determine matters within its jurisdiction before proceeding to those courts. As a result, "[t]he courts have ruled that the Division cannot act only on the information of its staff to authorize the filing of a penalty action in circuit court; it can authorize a penalty action only after a contested hearing." *State ex rel. Sure-Way Transp., Inc. v. Division of Transp., Dept. of Economic Development, State of Mo.*, 836 S.W.2d 23, 27 (Mo.App. W.D. 1992) (relying on *State v. Carroll*, 620 S.W.2d 22 (Mo. App. 1981)); see also *State ex rel. Cirese v. Ridge*, 138 S.W.2d 1012 (Mo.banc 1940). If the Commission determines after a contested hearing that the Company failed, omitted, or neglected to file its annual report and/or pay its annual assessment, the Commission may then authorize its General Counsel to bring a penalty action in the circuit court as provided in Section 386.600.

#### COUNT ONE

5. Section 392.210.1 states that telecommunications companies must "file an annual report with the Commission at a time and covering the yearly period fixed by the commission."

6. Commission Rule 4 CSR 240-3.540(1) requires all telecommunications companies to file their annual reports on or before April 15 of each year.

7. On February 3, 2003, the Executive Director of the Commission sent all regulated utilities, including United Services Telephone, L.L.C., a letter notifying them of the requirement

to file an annual report covering the calendar year 2002, together with the appropriate form for the Company to complete and return to the Commission and instructions on how the Company may complete its filing electronically. The letter was sent to the address that was current in the Commission's Electronic Filing and Information System ("EFIS") at that time, and the letter was not returned.

8. The Company never returned a completed form, nor did it file its annual report electronically; and as of the date of this pleading, has not filed its 2002 Annual Report. See Affidavit of Janis Fischer, attached to this Complaint as Exhibit A.

9. Section 392.210.1 provides that "[i]f any telecommunications company shall fail to make and file its annual report as and when required or within such extended time as the commission may allow, such company shall forfeit to the state the sum of one hundred dollars for each and every day it shall continue to be in default with respect to such report...."

#### COUNT TWO

10. Section 386.370 authorizes the Commission to determine the amount of an annual assessment for expenses of the Commission to be collected from public utilities operating in this state. This statute provides that the public utility shall pay the amount assessed by July 15 or may at its election pay the assessment in four equal installments not later than July 15, October 15, January 15 and April 15.

11. Pursuant to Section 386.370, the Commission promulgated its *Assessment Order for Fiscal Year 2003* in Case No. AO-2002-1156, "In the Matter of the Assessment Against the Public Utilities in the State of Missouri for the Expenses of the Commission for the Fiscal Year Commencing July 1, 2002."

12. As called for by the *Assessment Order* in Case No. AO-2002-1156, the Budget and Fiscal Services Department calculated the amount of the 2003 Fiscal Year annual assessment

for the Company and the Commission's Director of Administration rendered the statement of its assessment on behalf of the Commission by letter on June 26, 2002.

13. Also in the *Assessment Order*, the Commission directed "[t]hat each public utility shall pay its assessment as set forth herein."

14. If the Company elected to pay on a quarterly basis, quarterly installments were due on July 15, 2002; October 15, 2002; and January 15, 2003. The Company is delinquent on the entirety of its 2003 annual assessment.

15. On January 29, 2003, the Executive Director of the Commission sent a letter to an address that the Company had provided and that was contained in the EFIS system, informing the Company of its unpaid assessment for Fiscal Year 2003.

16. The Company, as of the date of this pleading, has not paid its Fiscal Year 2003 assessment and therefore has not complied with the Commission's *Assessment Order*. See Affidavit of Helen Davis, attached to this Complaint as Exhibit B.

17. Any public utility that fails, omits, or neglects to obey an order of the Commission "is subject to a penalty of not less than one hundred dollars nor more than two thousand dollars" for each offense, if there is no penalty otherwise provided. Section 386.570.1. The statute further states that "in the case of a continuing violation each day's continuance thereof shall be and be deemed to be a separate and distinct offense." Section 386.570.2. No penalty for failing to pay annual assessments is otherwise provided in Chapter 386 or elsewhere in the Commission's statutes.

18. As part of the Commission *Order* in this case, the Staff requests that the Commission formally find that it may publicly release the amount of the overdue assessment. As the assessment is derived from statements of revenue provided by regulated utilities and thus subject to the provisions of Section 386.480 ("No information furnished to the commission by a ... public utility ... shall be open to public inspection or made public except on order of the



commission ...”), Staff is concerned that in the absence of a Commission order directing its release, the revelation of the assessment amounts in circuit court or elsewhere may be improper.

### COUNT THREE

19. Section 386.370 authorizes the Commission to determine the amount of an annual assessment for expenses of the Commission to be collected from public utilities operating in this state. This statute provides that the public utility shall pay the amount assessed by July 15 or may at its election pay the assessment in four equal installments not later than July 15, October 15, January 15 and April 15.

20. Pursuant to Section 386.370, the Commission promulgated its *Assessment Order for Fiscal Year 2004* in Case No. AO-2003-0573, “In the Matter of the Assessment Against the Public Utilities in the State of Missouri for the Expenses of the Commission for the Fiscal Year Commencing July 1, 2003.”

21. As called for by the *Assessment Order* in Case No. AO-2003-0573, the Budget and Fiscal Services Department calculated the amount of the 2004 Fiscal Year annual assessment for the Company and the Commission’s Director of Administration rendered the statement of its assessment on behalf of the Commission by letter on June 27, 2003.

22. Also in the *Assessment Order*, the Commission directed “[t]hat each public utility shall pay its assessment as set forth herein.”

23. If the Company elected to pay on a quarterly basis, quarterly installments were due on July 15, 2003; October 15, 2003; and January 15, 2004. Thus, the Company is delinquent on at least the first three-quarters of its 2004 annual assessment.

24. On October 29, 2003, the Executive Director of the Commission sent a letter to an address that the Company had provided and that was contained in the EFIS system, informing the Company of its unpaid assessment for Fiscal Year 2004.

25. The Company, as of the date of this pleading, has not paid its Fiscal Year 2004 assessment and therefore has not complied with the Commission's *Assessment Order*. See Affidavit of Helen Davis, attached to this Complaint as Exhibit B.

26. Any public utility that fails, omits, or neglects to obey an order of the Commission "is subject to a penalty of not less than one hundred dollars nor more than two thousand dollars" for each offense, if there is no penalty otherwise provided. Section 386.570.1. The statute further states that "in the case of a continuing violation each day's continuance thereof shall be and be deemed to be a separate and distinct offense." Section 386.570.2. No penalty for failing to pay annual assessments is otherwise provided in Chapter 386 or elsewhere in the Commission's statutes.

27. As part of the Commission *Order* in this case, the Staff requests that the Commission formally find that it may publicly release the amount of the overdue assessment. As the assessment is derived from statements of revenue provided by regulated utilities and thus subject to the provisions of Section 386.480 ("No information furnished to the commission by a ... public utility ... shall be open to public inspection or made public except on order of the commission ..."), Staff is concerned that in the absence of a Commission order directing its release, the revelation of the assessment amounts in circuit court or elsewhere may be improper.

#### PRAYER FOR RELIEF

**WHEREFORE**, Staff now requests that the Commission open a complaint case pursuant to Section 386.390; and, after hearing, find that United Services Telephone, L.L.C. failed, omitted, or neglected to file its 2002 Annual Report with the Commission as required by Missouri statute and Commission orders; for failure to pay its FY 2003 and 2004 annual assessments as so required: authorize its General Counsel to bring a penalty action against the Company in the circuit court as provided in Section 386.600, based on the statutory penalties set forth in Section 392.210.1 (for failing to file annual reports) and 386.570 and 386.590 (for failing

to pay assessments); and order that the amount of the overdue assessment may be publicly released.

Respectfully submitted,

DANA K. JOYCE  
General Counsel

/s/ Bruce H. Bates

Bruce H. Bates  
Associate General Counsel  
Missouri Bar No. 35442

Attorney for the Staff of the  
Missouri Public Service Commission  
P.O. Box 360  
Jefferson City, MO 65102  
(573) 751-7434 (Telephone)  
(573) 751-9285 (Fax)  
bruce.bates@psc.mo.gov (E-Mail)

### Certificate of Service

I hereby certify that copies of the foregoing have been mailed, hand-delivered, transmitted by facsimile or electronically mailed to all counsel of record this 13<sup>th</sup> day of February 2004.

/s/ Bruce H. Bates

United Services Telephone, L.L.C.  
475 Metroplex Dr., Suite 106  
Nashville, TN 37211

National Registered Agents, Inc. (Registered Agent)  
300-B E. High St.  
Jefferson City, MO 65101

John Coffman, Esq.  
Office of the Public Counsel  
P. O. Box 7800  
Jefferson City, MO 65102

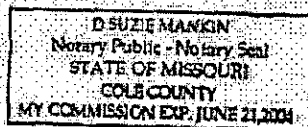
AFFIDAVIT

STATE OF MISSOURI     )  
                                  )  
COUNTY OF COLE        )

I, Janis E. Fischer, Utility Regulatory Auditor IV, of the Commission's Auditing Department, first being duly sworn on my oath state that the Public Service Commission's records do not reflect the receipt of the 2002 Annual Report from United Services Telephone, L.L.C.

Janis E. Fischer  
Janis E. Fischer

Subscribed and sworn to before me this 13<sup>th</sup> day of February, 2004.



D. Suzie Manion  
NOTARY PUBLIC

Exhibit A

AFFIDAVIT

STATE OF MISSOURI }

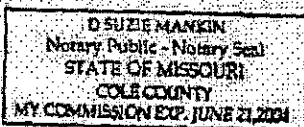
COUNTY OF COLE }

I, Janis E. Fischer, Utility Regulatory Auditor IV, of the Commission's Auditing Department, first being duly sworn on my oath state that the Public Service Commission's records do not reflect the receipt of the 2002 Annual Report from United Services Telephone, L.L.C.

*Janis E. Fischer*

Janis E. Fischer

Subscribed and sworn to before me this 13<sup>th</sup> day of February, 2004.



*D. Suzie Mankin*

NOTARY PUBLIC

**STATE OF MISSOURI**

**OFFICE OF THE PUBLIC SERVICE COMMISSION**

**I have compared the preceding copy with the original on file in this office and  
I do hereby certify the same to be a true copy therefrom and the whole thereof.**

**WITNESS my hand and seal of the Public Service Commission, at Jefferson City,  
Missouri, this 17<sup>th</sup> day of Feb. 2004 .**

*Dale Hardy Roberts*

---

**Dale Hardy Roberts  
Secretary/Chief Regulatory Law Judge**

**MISSOURI PUBLIC SERVICE COMMISSION**

**February 17, 2004**

**Case No. TC-2004-0394**

Dana K Joyce  
P.O. Box 360  
200 Madison Street, Suite 800  
Jefferson City, MO 65102

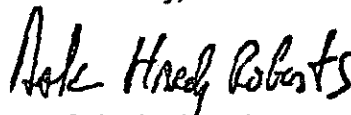
John B Coffman  
P.O. Box 7800  
200 Madison Street, Suite 640  
Jefferson City, MO 65102

National Registered Agents, Inc.  
300-B East High Street  
Jefferson City, MO 65101

United Services Telephone, L.L.C.  
Legal Department  
475 Metroplex Dr., Suite 106  
Nashville, TN 37211

***Enclosed find a certified copy of a NOTICE in the above-numbered case(s).***

**Sincerely,**



**Dale Hardy Roberts  
Secretary/Chief Regulatory Law Judge**