

Received _____

Examined _____

CLASS A
WATER UTILITIES

U# 162W

2012
ANNUAL REPORT
OF

Great Oaks Water Company

(NAME UNDER WHICH CORPORATION, PARTNERSHIP, OR INDIVIDUAL IS DOING BUSINESS)

PO Box 23490

San Jose, California 95153

(OFFICIAL MAILING ADDRESS)

ZIP

TO THE
PUBLIC UTILITIES COMMISSION
STATE OF CALIFORNIA
FOR THE
YEAR ENDED DECEMBER 31, 2012

REPORT MUST BE FILED NOT LATER THAN MARCH 31, 2013

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GENERAL INSTRUCTIONS

1. Two completed and signed hard copy of this report and one electronic copy must be filed **NOT LATER THAN APRIL 2, 2013**, with:

CALIFORNIA PUBLIC UTILITIES COMMISSION
DIVISION OF WATER AND AUDITS
ATTN: KAYODE KAJOPAIYE
505 VAN NESS AVENUE, ROOM 3105
SAN FRANCISCO, CALIFORNIA 94102-3298
kok@cpuc.ca.gov

2. Failure to file the report on time may subject a utility to the penalties and sanctions provided by the Public Utilities Code.
3. The Oath, on Page 60, must be signed by an officer, partner or owner.
4. The report must be prepared in ink or by the use of a typewriter. Computer generated report forms may be substituted.
5. The report must be filled in, and every question answered. **LEAVE NO SCHEDULE BLANK.** Insert the words "none" or "not applicable" or "n/a" when appropriate.
6. Certain balance sheet and income statement accounts refer to supplemental schedules. The totals of the details in the latter must agree with the balances of the accounts to which they refer.
7. Some schedules provide for a "balance at beginning of year." The amount shown should agree with the "balance at end of year" as shown in the report for the previous year. If there is a difference it should be explained by footnote.
8. When there is insufficient space in a schedule to permit a complete statement of the requested information, insert sheets should be prepared and identified by the number of the schedule to which it refers. Be certain that the inserts are securely attached to the report. If inserts are needed, prepare all inserts in one separate electronic file in Microsoft Excel format and file it with the electronic file of this report.
9. This report must cover a calendar year, from January 1, 2012, through December 31, 2012. Fiscal year reports will not be accepted.
10. Your company's external auditor information, such as external auditor's name, phone number, and address, must be included in Page 12, Item 12, of this report.

I N S T R U C T I O N S

FOR PREPARATION OF SELECTED FINANCIAL DATA SHEET FOR ALL WATER UTILITIES

To prepare the attached data sheets, refer to the Balance Sheet, Income Statement and supporting detail schedules in the annual report for the required data.

Please follow the instructions below:

1. Common plant allocated to water should be indicated with water plant figures in Net Plant Investment.
2. The capitalization section for those reporting on both California Only and Total System Forms should be identical and completed with Total Company Data. Be sure that Advances for Construction include California water data only.
3. Complete the operation section with California water revenues and expenses, but if necessary, remove interdepartmental revenues and expenses.
4. All other utility and nonutility revenues and expenses are netted on Line No. 38.

BALANCE SHEET AND CAPITALIZATION DATA

Calendar Year 2012

NAME OF UTILITY Great Oaks Water Company PHONE (408) 227-9540

PERSON RESPONSIBLE FOR THIS REPORT Ron Ceolla
(Prepared from Information in the 2012 Annual Report)

	<u>1/1/12</u>	<u>12/31/12</u>	<u>Average</u>
BALANCE SHEET DATA			
1 Intangible Plant	8,000	8,000	8,000
2 Land and Land Rights	140,546	140,546	140,546
3 Depreciable Plant	<u>37,197,111</u>	<u>38,078,967</u>	<u>37,638,039</u>
4 Gross Plant in Service	37,345,657	38,227,513	37,786,585
5 Less: Accumulated Depreciation	<u>(17,947,171)</u>	<u>(18,902,600)</u>	<u>(18,424,885)</u>
6 Net Water Plant in Service	19,398,486	19,324,913	19,361,700
7 Water Plant Held for Future Use	0	0	0
8 Construction Work in Progress	493,070	88,637	290,853
9 Materials and Supplies	0	0	0
10 Less: Advances for Construction	(6,454,778)	(6,290,258)	(6,372,518)
11 Less: Contributions in Aid of Construction	(2,523,954)	(2,855,682)	(2,689,818)
12 Less: Accumulated Deferred Income and Investment Tax Credits	<u>(1,178,528)</u>	<u>(1,462,168)</u>	<u>(1,320,348)</u>
13 Net Plant Investment	<u>9,734,296</u>	<u>8,805,442</u>	<u>9,269,869</u>
CAPITALIZATION			
14 Common Stock	360,110	360,110	360,110
15 Proprietary Capital (Individual or Partnership)	0	0	0
16 Paid-in Capital	347,324	347,324	347,324
17 Retained Earnings (includes non-regulated income)	<u>23,420,323</u>	<u>25,227,622</u>	<u>24,323,973</u>
18 Common Stock and Equity (Lines 14 through 17)	24,127,757	25,935,057	25,031,407
19 Preferred Stock	122,665	0	61,333
20 Long-Term Debt	0	0	0
21 Notes Payable	<u>0</u>	<u>0</u>	<u>0</u>
22 Total Capitalization (Lines 18 through 21)	<u>24,250,422</u>	<u>25,935,057</u>	<u>25,092,739</u>

INCOME STATEMENT AND OTHER DATA

Calendar Year 2012

NAME OF UTILITY Great Oaks Water Company PHONE (408) 227-9540

INCOME STATEMENT	Annual Amount
23 Unmetered Water Revenue	8,900
24 Fire Protection Revenue	76,263
25 Irrigation Revenue (consolidated with metered water revenues)	0
26 Metered Water Revenue	<u>13,937,362</u>
27 Total Operating Revenue	<u>14,022,525</u>
28 Operating Expenses	10,613,215
29 Depreciation Expense (Composite Rate = <u>2.25%</u>)	994,410
30 Amortization and Property Losses	<u>(144,609)</u>
31 Property Taxes	154,296
32 Taxes Other Than Income Taxes	125,503
33 Total Operating Revenue Deduction Before Taxes	<u>11,742,815</u>
34 California Corp. Franchise Tax	179,081
35 Federal Corporate Income Tax	<u>684,206</u>
36 Total Operating Revenue Deduction After Taxes	<u>12,606,102</u>
37 Net Operating Income (Loss) - California Water Operations	1,416,423
38 Other Operating and Nonoper. Income and Exp. - Net (Exclude Interest Expense)	<u>68,562</u>
39 Income Available for Fixed Charges	1,484,985
40 Interest Expense	<u>1,725</u>
41 Net Income (Loss) Before Dividends	1,483,260
42 Preferred Stock Dividends	<u>0</u>
43 Net Income (Loss) Available for Common Stock	<u><u>1,483,260</u></u>

OTHER DATA

44 Refunds of Advances for Construction	<u>244,519</u>
45 Total Payroll Charged to Operating Expenses	<u>2,175,410</u>
46 Purchased Water	<u>0</u>
47 Power	<u>762,853</u>

48 Class A Water Companies Only:

a. Pre-TRA 1986 Contributions in Aid of Construction	<u>0</u>
b. Pre-TRA 1986 Advances for Construction	<u>0</u>
c. Post TRA 1986 Contributions in Aid of Construction	<u>0</u>
d. Post TRA 1986 Advances for Construction	<u>0</u>

<u>Active Service Connections</u> (Exc. Fire Protect.)	Jan. 1	Dec. 31	Annual Average
49 Metered Service Connections	20,498	20,490	20,494
50 Flat Rate Service Connections	<u>0</u>	<u>0</u>	<u>0</u>
51 Total Active Service Connections	<u>20,498</u>	<u>20,490</u>	<u>20,494</u>

Adjusted to Exclude Non-Regulated Activity

Calendar Year 2012

NAME OF UTILITY Great Oaks Water Company PHONE (408) 227-9540

PERSON RESPONSIBLE FOR THIS REPORT Ron Ceolla
 (Prepared from Information in the 20__ Annual Report)

	1/1/2012	12/31/2012	Average
BALANCE SHEET DATA			
1 Intangible Plant	N/A	N/A	N/A
2 Land and Land Rights	_____	_____	_____
3 Depreciable Plant	_____	_____	_____
4 Gross Plant in Service	_____	_____	_____
5 Less: Accumulated Depreciation	_____	_____	_____
6 Net Water Plant in Service	_____	_____	_____
7 Water Plant Held for Future Use	_____	_____	_____
8 Construction Work in Progress	_____	_____	_____
9 Materials and Supplies	_____	_____	_____
10 Less: Advances for Construction	()	()	()
11 Less: Contributions in Aid of Construction	()	()	()
12 Less: Accumulated Deferred Income and Investment Tax Credits	()	()	()
13 Net Plant Investment	_____	_____	_____
 CAPITALIZATION			
14 Common Stock	N/A	N/A	N/A
15 Proprietary Capital (Individual or Partnership)	_____	_____	_____
16 Paid-in Capital	_____	_____	_____
17 Retained Earnings	_____	_____	_____
18 Common Stock and Equity (Lines 14 through 17)	_____	_____	_____
19 Preferred Stock	_____	_____	_____
20 Long-Term Debt	_____	_____	_____
21 Notes Payable	_____	_____	_____
22 Total Capitalization (Lines 18 through 21)	_____	_____	_____

INCOME STATEMENT AND OTHER DATA

Adjusted to Exclude Non-Regulated Activity

Calendar Year 2012

NAME OF UTILITY Great Oaks Water Company PHONE (408) 227-9540

		Annual Amount
INCOME STATEMENT		
23	Unmetered Water Revenue	<u>N/A</u>
24	Fire Protection Revenue	<u> </u>
25	Irrigation Revenue	<u> </u>
26	Metered Water Revenue	<u> </u>
27	Total Operating Revenue	<u> </u>
28	<u>Operating Expenses</u>	<u> </u>
29	Depreciation Expense (Composite Rate _____)	<u> </u>
30	Amortization and Property Losses	<u> </u>
31	Property Taxes	<u> </u>
32	Taxes Other Than Income Taxes	<u> </u>
33	Total Operating Revenue Deduction Before Taxes	<u> </u>
34	California Corp. Franchise Tax	<u> </u>
35	Federal Corporate Income Tax	<u> </u>
36	Total Operating Revenue Deduction After Taxes	<u> </u>
37	Net Operating Income (Loss) - California Water Operations	<u> </u>
38	Other Operating and Nonoper. Income and Exp. - Net (Exclude Interest Expense)	<u> </u>
39	Income Available for Fixed Charges	<u> </u>
40	Interest Expense	<u> </u>
41	Net Income (Loss) Before Dividends	<u> </u>
42	Preferred Stock Dividends	<u> </u>
43	Net Income (Loss) Available for Common Stock	<u> </u>

OTHER DATA		
44	Refunds of Advances for Construction	<u> </u>
45	Total Payroll Charged to Operating Expenses	<u> </u>
46	Purchased Water	<u> </u>
47	Power	<u> </u>
48	Class A Water Companies Only:	
	a. Pre-TRA 1986 Contributions in Aid of Construction	<u> </u>
	b. Pre-TRA 1986 Advances for Construction	<u> </u>
	c. Post TRA 1986 Contributions in Aid of Construction	<u> </u>
	d. Post TRA 1986 Advances for Construction	<u> </u>

				Annual Average
	<u>Active Service Connections</u> (Exc. Fire Protect.)_____	Jan. 1	Dec. 31	
49	Metered Service Connections	<u> </u>	<u> </u>	<u> </u>
50	Flat Rate Service Connections	<u> </u>	<u> </u>	<u> </u>
51	Total Active Service Connections	<u> </u>	<u> </u>	<u> </u>

Notes to Adjusted Selected Financial Data

Instructions: Provide reasons for each adjustment to the Selected Financial Data due to non-regulated activities. Detail this information by name of line item (Gross Plant, Operating Revenues, etc.), account number, dollar amount, and by point in time (end of year, beginning of year, or average).

1	N/A
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Excess Capacity and Non-Tariffed Services

NOTE: In D.00-07-018, D.03-04-028, and D. 04-12-023, the CPUC set forth rules and requirements regarding water utilities provision of non-tariffed services using excess capacity. These decisions require water utilities to: 1) file an advice letter requesting Commission approval of that service, 2) provide information regarding non-tariffed goods/services in each companies Annual Report to the Commission.

Based on the information and filings required in D.00-07-018, D.03-04-028, and D.04-12-023, provide the following information by each individual non-tariffed good and service provided in 2012:

Applies to All Non-Tariffed Goods/Services that require Approval by Advice Letter											
Row Number	Description of Non-Tariffed Goods/Services	Active or Passive	Total Revenue Derived from Non-tariffed Goods/ Services (by account)	Revenue Account Number	Total Expenses Incurred to Provide Non-tariffed Goods/ Services (by account)	Expense Account Number	Advice Letter and/or Resolution Number Approving Non-tariffed Goods/ Services	Total Income Tax Liability Incurred Because of Non- tariffed Goods/ Services (by account)	Income Tax Liability Account Number	Gross Value of Regulated Assets Used in the Provision of a Non- tariffed Goods/ Services (by account)	Regulated Asset Account Number
1	Wireless communications transmission - Clearwire	Passive	15,927	521.001	1,200	521.002	N/A	5,867	527.000	77,035	101.342
2	Wireless communications transmission - Metro-PCS	Passive	19,113	521.001	0	521.002	N/A	7,614	527.000	0	101.342
3	Wireless communications transmission - T-Mobile	Passive	21,600	521.001	2,400	521.002	N/A	7,648	527.000	0	101.342
4	Total		56,640		3,600			21,128		77,035	

GENERAL INFORMATION

1. Name under which utility is doing business: Great Oaks Water Company

2. Official mailing address: PO Box 23490, San Jose, California 95153

3. Name and title of person to whom correspondence should be addressed: John W. S. Roeder, Chairman & CEO Telephone: (408) 227-9540

4. Address where accounting records are maintained: 20 Great Oaks Boulevard, Suite 120, San Jose, California 95119

5. Service Area (Refer to district reports if applicable): Southeast San Jose and Santa Clara County areas including Coyote & East Almaden Valleys

6. Service Manager (If located in or near Service Area.) (Refer to district reports if applicable.)
Name: John Roeder, CEO Telephone: (408) 227-9540
Address: Same as above

7. OWNERSHIP. Check and fill in appropriate line:
 Individual (name of owner) _____
 Partnership (name of partner) _____
 Partnership (name of partner) _____
 Partnership (name of partner) _____
 Corporation (corporate name) _____
Organized under laws of (state) California Date: April 1959

Principal Officers:
Name: John W. S. Roeder Title: Chairman & CEO
Name: Timothy Guster Title: Secretary & General Counsel
Name: Ron Ceolla Title: Treasurer & CFO
Name: _____ Title: _____

8. Names of associated companies: Great Oaks Water LLC

9. Names of corporations, firms or individuals whose property or portion of property have been acquired during the year, together with date of each acquisition:
Name: _____ Date: _____
Name: _____ Date: _____
Name: _____ Date: _____
Name: _____ Date: _____

10. Use the space below for supplementary information or explanations concerning this report:

11. List Name, Grade, and License Number of all Licensed Operators:
SEE ATTACHED LIST ON FOLLOWING PAGE

12. List Name, Address, and Phone Number of your company's external auditor:
Name: Wright Ford Young & Company Telephone: (949) 910-2727
Address: 16140 Sand Canyon Avenue, Irvine, California 92618

Great Oaks Water Certified Operators

Distribution

Name	Cert #	Grade	Expires
Jared Ajlouny	34723	D4	8/1/2014
Justin Bullock	32480	D1	4/1/2013
Mike Carey	28205	D5	4/1/2013
Chuck Croom	16475	D3	9/1/2013
Sam Cruz	29310	D2	11/1/2014
Bobby Dartez	16477	D5	12/1/2015
Ben Newmeyer	28070	D2	1/1/2015
John Roeder	16479	D3	1/1/2013
Corey Rondeau	16474	D4	9/1/2015

Treatment

Name	Cert #	Grade	Expires
Chuck Croom	27087	T1	1/1/2015
Bobby Dartez	26086	T2	6/1/2013
Ben Newmeyer	30126	T1	8/1/2014

**SCHEDULE A
COMPARATIVE BALANCE SHEETS
Assets and Other Debits**

Line No.	Acct.	Title of Account (a)	Schedule No. (b)	Balance End-of-Year (c)	Balance Beginning of Year (d)
1		I. UTILITY PLANT			
2	100	Utility plant	A-1	38,316,149	37,838,727
3	107	Utility plant adjustments			
4		Total utility plant		38,316,149	37,838,727
5	250	Reserve for depreciation of utility plant	A-3	18,902,600	17,947,171
6	251	Reserve for amortization of limited term utility investments	A-3		
7	252	Reserve for amortization of utility plant acquisition adjustment	A-3		
8		Total utility plant reserves		18,902,600	17,947,171
9		Total utility plant less reserves		19,413,550	19,891,556
10					
11		II. INVESTMENT AND FUND ACCOUNTS			
12	110	Other physical property	A-2		
13	253	Reserve for depreciation and amortization of other property	A-3		
14		Other physical property less reserve			
15	111	Investments in associated companies	A-4	2,893,260	2,893,260
16	112	Other investments	A-5	7,264,293	6,791,828
17	113	Sinking funds	A-6		
18	114	Miscellaneous special funds	A-7		
19		Total investments and fund accounts		10,157,553	9,685,089
20					
21		III. CURRENT AND ACCRUED ASSETS			
22	120	Cash		5,244,759	2,637,299
23	121	Special deposits	A-8		
24	122	Working funds			
25	123	Temporary cash investments (currently SCVWD funds held)			
26	124	Notes receivable	A-9	1,672,458	1,679,060
27	125	Accounts receivable		1,516,446	1,493,404
28	126	Receivables from associated companies	A-10	121,000	157,584
29	131	Materials and supplies			
30	132	Prepayments	A-11	37,350	58,441
31	133	Other current and accrued assets	A-12	1,344,733	1,844,396
32		Total current and accrued assets		9,936,745	7,870,184
33					
34		IV. DEFERRED DEBITS			
35	140	Unamortized debt discount and expense	A-13		
36	141	Extraordinary property losses	A-14		
37	142	Preliminary survey and investigation charges			
38	143	Clearing accounts			
39	145	Other work in progress			
40	146	Other deferred debits	A-15	1,951	52,121
41		Total deferred debits		1,951	52,121
42		Total assets and other debits		39,509,800	37,498,950
43					

SCHEDULE A
COMPARATIVE BALANCE SHEETS
Liabilities and Other Credits

Line No.	Acct.	Title of Account (a)	Schedule No. (b)	Balance End-of-Year (c)	Balance Beginning of Year (d)
1		I. CORPORATE CAPITAL AND SURPLUS			
2	200	Common capital stock	A-18	360,110	360,110
3	201	Preferred capital stock	A-18	0	122,665
4	202	Stock liability for conversion			
5	203	Premiums and assessments on capital stock	A-19	349,539	349,539
6	150	Discount on capital stock	A-16		
7	151	Capital stock expense	A-17	(2,236)	(2,236)
8	270	Capital surplus	A-20	21	21
9	271	Earned surplus	A-21	25,227,622	23,420,323
10		Total corporate capital and surplus		25,935,057	24,250,422
11					
12		II. PROPRIETARY CAPITAL			
13	204	Proprietary capital (Individual or partnership)	A-22		
14	205	Undistributed profits of proprietorship or partnership	A-23		
15		Total proprietary capital			
16					
17		III. LONG-TERM DEBT			
18	210	Bonds	A-24		
19	211	Receivers' certificates			
20	212	Advances from associated companies	A-25		
21	213	Miscellaneous long-term debt	A-26		
22		Total long-term debt			
23					
24		IV. CURRENT AND ACCRUED LIABILITIES			
25	220	Notes payable	A-28		
26	221	Notes receivable discounted			
27	222	Accounts payable		111,542	101,382
28	223	Payables to associated companies	A-29		
29	224	Dividends declared			
30	225	Matured long-term debt			
31	226	Matured interest			
32	227	Customers' deposits		47,163	68,788
33	228	Taxes accrued	A-31	5,471	5,055
34	229	Interest accrued			
35	230	Other current and accrued liabilities	A-30	960,730	933,577
36		Total current and accrued liabilities		1,124,906	1,108,803
37					
38		V. DEFERRED CREDITS			
39	240	Unamortized premium on debt	A-13		
40	241	Advances for construction	A-32	6,290,258	6,454,778
41	242	Other deferred credits	A-33	2,191,565	1,995,566
42	243	Long-term Defined Benefit Pension Liability		1,165,428	1,165,428
43		Total deferred credits		9,647,251	9,615,771
44					
45		VI. RESERVES			
46	254	Reserve for uncollectible accounts	A-34		
47	255	Insurance reserve	A-34		
48	256	Injuries and damages reserve	A-34		
49	257	Employees' provident reserve	A-34		
50	258	Other reserves	A-34		
51		Total reserves			
52					
53		VII. CONTRIBUTIONS IN AID OF CONSTRUCTION			
54	265	Contributions in aid of construction	A-35	2,855,682	2,523,954
55		Total liabilities and other credits		39,562,896	37,498,950

SCHEDULE B
Income Account for the Year

Line No.	Acct.	Account (a)	Schedule Page No. (b)	Amount (c)
1		I. UTILITY OPERATING INCOME		
2	501	Operating revenues	B-1	14,022,525
3				
4		Operating Revenue Deductions:		
5	502	Operating expenses	B-2	10,613,215
6	503	Depreciation (net of CIAC)	A-3	849,801
7	504	Amortization of limited-term utility investments	A-3	
8	505	Amortization of utility plant acquisition adjustments	A-3	
9	506	Property losses chargeable to operations	B-3	
10	507	Taxes	B-4	1,143,086
11		Total operating revenue deductions		12,606,102
12		Net operating revenues		1,416,423
13	508	Income from utility plant leased to others		
14	510	Rent for lease of utility plant		
15		Total utility operating income		1,416,423
16				
17		II. OTHER INCOME		
18	521	Income from nonutility operations (Net)	B-6	11,015
19	522	Revenue from lease of other physical property		
20	523	Dividend revenues		83,822
21	524	Interest revenues		38,735
22	525	Revenues from sinking and other funds		
23	526	Miscellaneous nonoperating revenues	B-7	(6,448)
24	527	Nonoperating revenue deductions - Dr.	B-8	(89,938)
25	528	Gain (Loss) On Sale Of Funds/Stock		35,802
26		Total other income		72,987
27		Net income before income deductions		1,489,410
28				
29		III. INCOME DEDUCTIONS		
30	530	Interest on long-term debt		
31	531	Amortization of debt discount and expense		
32	532	Amortization of premium on debt - Cr.		
33	533	Taxes assumed on interest		
34	534	Interest on debt to associated companies		
35	535	Other interest charges	B-9	1,725
36	536	Interest charged to construction - Cr.		
37	537	Miscellaneous amortization		
38	538	Miscellaneous income deductions	B-10	4,425
39		Total income deductions		6,150
40		Net income		1,483,260
41				
42		IV. DISPOSITION OF NET INCOME		
43	540	Miscellaneous reservations of net income		
44				
45		Balance transferred to Earned Surplus or		
46		Proprietary Accounts scheduled on page 21		
47				

SCHEDULE A-1
Account 100 - Utility Plant

Line No.	Acct	Title of Account (a)	Balance Beg of Year (b)	Additions During Year (c)	Retirements During Year (d)	Other Debits or (Credits) (e)	Balance End of Year (f)
1	100 - 1	Utility plant in service (Schedule A-1a)	37,345,657	920,837	(38,981)	0	38,227,513
2	100 - 2	Utility plant leased to others					
3	100 - 3	Construction work in progress	493,070	609,314		(1,013,748)	88,637
4	100 - 4	Utility plant held for future use (Sch A-1c)					
5	100 - 5	Utility plant acquisition adjustments					
6	100 - 6	Utility plant in process of reclassification					
7		Total utility plant	37,838,727	1,530,151	(38,981)	(1,013,748)	38,316,149

SCHEDULE A-1a
Account 100.1 - Utility Plant in Service

Line No.	Acct	Title of Account (a)	Balance Beg of Year (b)	Additions During Year (c)	Retirements During Year (d)	Other Debits or (Credits) (e)	Balance End of Year (f)
1		I. INTANGIBLE PLANT					
2	301	Organization					
3	302	Franchises and consents (Schedule A-1b)					
4	303	Other intangible plant	8,000	0	0	0	8,000
5		Total intangible plant	8,000	0	0	0	8,000
6							
7		II. LANDED CAPITAL					
8	306	Land and land rights	140,546	0	0	0	140,546
9							
10		III. SOURCE OF SUPPLY PLANT					
11	311	Structures and improvements	865	0	0	0	865
12	312	Collecting and impounding reservoirs					
13	313	Lake, river and other intakes					
14	314	Springs and tunnels					
15	315	Wells	2,167,365	11,026	0	0	2,178,391
16	316	Supply mains					
17	317	Other source of supply plant					
18		Total source of supply plant	2,168,230	11,026	0	0	2,179,256
19							
20		IV. PUMPING PLANT					
21	321	Structures and improvements	1,193	0	0	0	1,193
22	322	Boiler plant equipment					
23	323	Other power production equipment	251,277	0	0	0	251,277
24	324	Pumping equipment	1,980,914	0	0	0	1,980,914
25	325	Other pumping plant	89,076	0	0	0	89,076
26		Total pumping plant	2,322,460	0	0	0	2,322,460
27							
28		V. WATER TREATMENT PLANT					
29	331	Structures and improvements					
30	332	Water treatment equipment	74,630	0	0	0	74,630
31		Total water treatment plant	74,630	0	0	0	74,630

SCHEDULE A-1a
Account 100.1 - Utility Plant in Service (Continued)

Line No.	Acct	Title of Account (a)	Balance Beg of Year (b)	Additions During Year (c)	Retirements During Year (d)	Other Debits or (Credits) (e)	Balance End of Year (f)
32		VI. TRANSMISSION AND DIST. PLANT					
33	341	Structures and improvements	1,511	0	0	0	1,511
34	342	Reservoirs and tanks	2,374,325	0	0	0	2,374,325
35	343	Transmission and distribution mains	21,368,573	720,902	0	0	22,089,475
36	344	Fire mains	16,884	0	0	0	16,884
37	345	Services	4,521,421	23,849	0	0	4,545,270
38	346	Meters	1,394,998	14,683	(38,981)	0	1,370,700
39	347	Meter installations	29,838	2,682	0	0	32,520
40	348	Hydrants	587,279	5,495	0	0	592,775
41	349	Other transmission and distribution plant					
42		Total transmission and distribution plant	30,294,830	767,611	(38,981)	0	31,023,460
43							
44		VII. GENERAL PLANT					
45	371	Structures and improvements	533,111	9,599	0	0	542,710
46	372	Office furniture and equipment	1,299,282	97,300	0	0	1,396,582
47	373	Transportation equipment	343,133	20,300	0	0	363,433
48	374	Stores equipment					
49	375	Laboratory equipment					
50	376	Communication equipment	6,681	0	0	0	6,681
51	377	Power operated equipment	114,485	15,000	0	0	129,485
52	378	Tools, shop and garage equipment	40,270	0	0	0	40,270
53	379	Other general plant					
54		Total general plant	2,336,962	142,199	0	0	2,479,161
55							
56		VIII. UNDISTRIBUTED ITEMS					
57	390	Other tangible property					
58	391	Utility plant purchased					
59	392	Utility plant sold					
60		Total undistributed items	0	0	0	0	0
61		Total utility plant in service	37,345,657	920,837	(38,981)	0	38,227,513

SCHEDULE A-1b
Account 302 - Franchises and Consents

Line No.	Name of Original Grantor (a)	Date of Grant (b)	Amount at Which Carried In Account ¹ (e)
1	NONE		
2			
3			
4			
5	Total		

¹ The total should agree with the balance at the end of the year in Account 302 in Schedule A-1a Line 10.

SCHEDULE A-1c
Account 100.4 - Utility Plant Held for Future Use

Line No.	Description and Location of Property (a)	Date of Acquisition (b)	Approximate Date When Property Will be Placed in Service (c)	Balance End of Year (d)
1	NONE			
2				
3				
4				
5				
6				
7				
8				
9	Total			0

SCHEDULE A-2
Account 110 - Other Physical Property

Line No	Name and Description of Property (a)	Book Value End of Year (b)
1	NONE	
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
13		
14		
15	Total	

**SCHEDULE A-1d
RATE BASE AND WORKING CASH**

Line No.	Acct.	Title of Account (a)	Balance 12/31/2012 (c)	Balance 1/1/2012 (d)
		RATE BASE		
1		Utility Plant		
2		Plant in Service	38,227,513	37,345,657
3		Construction Work in Progress	88,637	493,070
4		General Office Prorate		
5		Total Gross Plant (Line 2 + Line 3 + Line 4)	38,316,149	37,838,727
6		Less Accumulated Depreciation		
7		Plant in Service	18,902,600	17,947,171
8		General Office Prorate		
9		Total Accumulated Depreciation (Line 7 + Line 8)	18,902,600	17,947,171
10		Less Other Reserves		
11		Deferred Income Taxes	827,382	677,466
12		Deferred Investment Tax Credit	40,375	49,177
13		Other Reserves		
14		Total Other Reserves (Line 11 + Line 12 + Line 13)	867,757	726,642
15		Less Adjustments		
16		Contributions in Aid of Construction	2,855,682	2,523,954
17		Advances for Construction	6,290,258	6,454,778
18		Other		
19		Total Adjustments (Line 16 + Line 17 + Line 18)	9,145,940	8,978,732
20		Add Materials and Supplies	0	0
21		Add Working Cash (From Schedule A-1d(2))	1,660,144	1,472,586
22		TOTAL RATE BASE	11,059,996	11,658,768
23		=Line 5 - Line 9 - Line 14 - Line 19 + Line 20 + Line 21		

Working Cash				
24		Determination of Operational Cash Requirement		
25		1. Operating Expenses, Excl Taxes, Depr. & Uncoll.	10,590,330	9,278,304
26		2. Purchased Power & Commodity for Resale*	6,554,100	5,524,732
27		3. Meter Revenues: Bimonthly Billing	13,937,362	12,020,686
28		4. Other Revenues: Flat Rate Monthly Billing	0	0
29		5. Total Revenues (3 + 4)	13,937,362	12,020,686
30		6. Ratio - Flat Rate to Total Revenues (4 / 5)	0.0000	0.0000
31		7. $5/24 \times \text{Line 1} \times (100\% - \text{Line 6})$	2,206,319	1,932,980
32		8. $1/24 \times \text{Line 1} \times \text{Line 6}$	0	0
33		9. $1/12 \times \text{Line 2}$	546,175	460,394
34		10. Operational Cash Requirement (7 + 8 - 9)	1,660,144	1,472,586
		* Electric power, gas or other fuel purchased for pumping and/or purchased commodity for resale billed after receipt (metered).		

SCHEDULE A-3
Accounts 250 to 253, Inclusive - Depreciation and Amortization Reserves

Line No.	Item (a)	Account 250 Utility Plant (b)	Account 251 Limited-Term Utility Investments (c)	Account 252 Utility Plant Acquisition Adjustments (d)	Account 253 Other Property (e)
1	Balance in reserves at beginning of year (GL)	17,947,171			
2	Add: Credits to reserves during year				
3	(a) Charged to Account 503, 504, 505 ⁽¹⁾	849,801			
4	(b) Charged to Account 265	144,609			
	Sub-total depreciation	994,410			
5	(c) Charged to clearing accounts				
6	(d) Salvage recovered	0			
7	(e) All other credits ⁽²⁾				
8	Total credits	994,410			
9	Deduct: Debits to reserves during year				
10	(a) Book cost of property retired	38,981			
11	(b) Cost of removal				
12	(c) All other debits ⁽³⁾				
13	Total debits	38,981			
14	Balance in reserve at end of year	18,902,600			
15					
16	(1) COMPOSITE DEPRECIATION RATE USED FOR STRAIGHT LINE REMAINING LIFE:				2.25%
17					
18	(2) EXPLANATION OF ALL OTHER CREDITS:				
19					
20					
21					
22					
23					
24					
25					
26					
27	(3) EXPLANATION OF ALL OTHER DEBITS:				
28					
29					
30					
31					
32					
33					
34					
35	METHOD USED TO COMPUTE INCOME TAX DEPRECIATION:				
36	(a) Straight Line	()			
37	(b) Liberalized	()			
38	(1) Double declining balance	()			
39	(2) ACRS	()			
40	(3) MACRS	()			
41	(4) Others	()			
42	(c) Both straight line and liberalized	(x)			

SCHEDULE A-3a

Account 250 - Analysis of Entries in Depreciation Reserve

(This schedule is to be completed if records are maintained showing depreciation reserve by plant accounts)

Line No.	Acct.	DEPRECIABLE PLANT (a)	Balance Beginning of Year (b)	Credits to Reserve During Year Excl. Salvage (c)	Debits to Reserves During Year Excl. Cost Removal (d)	Salvage and Cost of Removal Net (Dr.) or Cr. (e)	Balance End of Year (f)
1		I. SOURCE OF SUPPLY PLANT					
2	311	Structures and improvements	865	0	0	0	865
3	312	Collecting and impounding reservoirs					
4	313	Lake, river and other intakes					
5	314	Springs and tunnels					
6	315	Wells	888,516	72,791	0	0	961,307
7	316	Supply mains					
8	317	Other source of supply plant					
9		Total source of supply plant	889,381	72,791	0	0	962,172
10							
11		II. PUMPING PLANT					
12	321	Structures and improvements	1,193	0	0	0	1,193
13	322	Boiler plant equipment					
14	323	Other power production equipment	151,173	7,338	0	0	158,511
15	324	Pumping equipment	676,832	84,189	0	0	761,021
16	325	Other pumping plant	89,076	0	0	0	89,076
17		Total pumping plant	918,273	91,527	0	0	1,009,800
18							
19		III. WATER TREATMENT PLANT					
20	331	Structures and improvements					
21	332	Water treatment equipment	71,510	3,829	0	0	75,339
22		Total water treatment plant	71,510	3,829	0	0	75,339
23							
24		IV. TRANS. AND DIST. PLANT					
25	341	Structures and improvements	1,511	0	0	0	1,511
26	342	Reservoirs and tanks	899,394	63,633	0	0	963,027
27	343	Transmission and distribution mains	9,246,487	499,151	0	0	9,745,638
28	344	Fire mains	11,558	388	0	0	11,946
29	345	Services	3,121,004	118,796	0	0	3,239,800
30	346	Meters	938,514	53,173	(38,981)	0	952,706
31	347	Meter installations	29,838	35	0	0	29,873
32	348	Hydrants	172,328	706	0	0	173,034
33	349	Other transmission and distribution plant					
34		Total trans. and distrubtion plant	14,420,634	735,882	(38,981)	0	15,117,535
35							
36		V. GENERAL PLANT					
37	371	Structures and improvements	319,867	107,582	0	0	427,449
38	372	Office furniture and equipment	1,015,510	(54,501)	0	0	961,009
39	373	Transportation equipment	198,967	31,654	0	0	230,621
40	374	Stores equipment					
41	375	Laboratory equipment					
42	376	Communication equipment	6,681	0	0	0	6,681
43	377	Power operated equipment	78,331	5,152	0	0	83,483
44	378	Tools, shop and garage equipment	28,016	494	0	0	28,510
45	379	Other general plant					
46	390	Other tangible property					
47	391	Water plant purchased					
48		Total general plant	1,647,372	90,381	0	0	1,737,753
49		Total	17,947,171	994,410	(38,981)	0	18,902,600

SCHEDULE A-4
Account 111 - Investments in Associated Companies

Line No.	Class of Security (a)	Name of Issuing Company (b)	Par Value End of Year (c)	Ledger Value End of Year (d)	Rate of Interest (e)	Interest Accrued During Year (f)	Interest and Dividends Received During Year (g)
1	Sole Member	Great Oaks Water LLC		2,893,260			
2							
3							
4							
5							
6							
7		Totals ¹		2,893,260			

1 The total should agree with the balance at the end of the year in Account 111 on page 13.

SCHEDULE A-5
Account 112 - Other Investments

Line No.	Name and Description of Property (a)	Balance End of Year (b)
1	Non-utility real estate	2,756,290
2	Corporate stocks & mutual funds	4,486,670
3	6570P LLC	21,333
4		
5		
6		
7		
8		
9	Total	7,264,293

SCHEDULE A-6
Account 113 - Sinking Funds

Line No.	Name of Fund (a)	Balance Beginning of Year (b)	Additions During Year		Deductions During Year (e)	Balance End of Year (f)
			Principal (c)	Income (d)		
1	NONE					
2						
3						
4						
5						
6						
7						
8						
9	Totals					

SCHEDULE A-7
Account 114 - Miscellaneous Special Funds

Line No.		Balance Beginning of Year (b)	Additions During Year		Deductions During Year (e)	Balance End of Year (f)
			Principal (c)	Income (d)		
1	NONE					
2						
3						
4						
5						
6						
7						
8						
9	Totals					

SCHEDULE A-8
Account 121 - Special Deposits

Line No.	Name of Depository (a)	Purpose of Deposit (b)	Balance End of Year (c)
1	NONE		
2			
3			
4			
5			
6	Total		

SCHEDULE A-9
Account 124 - Notes Receivable

Line No.	Maker (a)	Date of Issue (b)	Date Payable (c)	Balance End of Year (d)	Interest Rate (e)	Interest Accrued During Year (g)	Interest Received During Year (g)
1	Roeder Holdings, LLC	12/31/2010	12/31/2019	838,296	1.60%	11,590	11,590
2	Roeder Holdings, LLC	11/9/2010	11/9/2019	716,966	1.59%	11,581	11,581
3	Employee	10/28/2009	10/28/2014	114,696	5.00%	5,949	5,949
4	Consultant	9/28/2012	5/10/2013	2,500	0.00%	0	0
5							
6				1,672,458		29,119	29,119

SCHEDULE A-10
Account 126 - Receivables from Associated Companies

Line No.	Due from Whom (a)	Amount (b)	Interest Rate (c)	Interest Accrued During Year (d)	Interest Received During Year (e)
1	Great Oaks Water LLC	121,000	0.00%	0	0
2					
3					
4					
5					
6					
7					
8					
9					
10	Totals	121,000	0	0	0

SCHEDULE A-11
Account 132 - Prepayments

Line No.	Item (a)	Amount (b)
1	Prepaid/overpaid bills	37,350
2		
3		
4		
5		
6		
7		
8		
9		
10	TOTALS	37,350

SCHEDULE A-12
Account 133 - Other Current and Accrued Assets

Line No.	Item (a)	Amount (b)
1	Balancing Account Asset	2,358
2	Other Receivables	1,124
3	Deferred Rental Income	168
4	Regulatory Asset	1,165,428
5	Developer Receivable	0
6	State Income Taxes Prepaid	49,851
7	Federal Income Taxes Prepaid	125,803
8		
9		
10	Total	1,344,733

SCHEDULE A-13

Accounts 140 and 240 - Unamortized Debt Discount and Expense and Unamortized Premium on Debt

1. Report under separate subheadings for Unamortized Debt Discount and Expense and Unamortized Premium or Debt, particulars of discount and expense of premium applicable to each class and series of long-term debt.
2. Show premium amounts in red or by enclosure in parentheses.
3. In column (b) show the principal amount of bonds or other long-term debt originally issued.
4. In column (c) show the discount and expense or premium with respect to the amount of bonds or other long-term debt originally issued.
5. Furnish particulars regarding the treatment of unamortized debt discount and expense or premium, redemption premiums, and redemption expenses associated with issues redeemed during the year, also, date of the Commission's authorization of treatment other than as specified by the Uniform System of Accounts.
6. Set out separately and identify undisposed amounts applicable to issues which were redeemed in prior years.
7. Explain any debits and credits other than amortization debited to Account 531, Amortization of Debt Discount and Expense, or credited to Account 532, Amortization of Premium on Debt-Credit.

Line No.	Designation of long-term debt (a)	Principal amount of securities to which discount and expense, or premium minus expense, relates (b)	Total discount and expense or net Premium (c)	AMORTIZATION PERIOD		Balance beginning of year (f)	Debits during year (g)	Credits during year (h)	Balance end of year (i)
				From- (d)	To- (e)				
1	NONE								
2									
3									
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									
16									
17									
18									

SCHEDULE A-14
Account 141 - Extraordinary Property Losses

Line No.	Description of Property Loss or Damage (a)	Total Amount of Loss (b)	Previously Written off (c)	WRITTEN OFF DURING YEAR		Balance End of year (f)
				Account Charged (d)	Amount (e)	
1	NONE					
2						
3						
4	Total					

SCHEDULE A-15
Account 146 - Other Deferred Debits

Line No.	Item (a)	Balance End of year (b)
1	Deferred Tax Asset - Current	1,951
2		
3		
4		
5		
6	Total	1,951

SCHEDULE A-16
Account 150 - Discount on Capital Stock

1. Report the balance at end of year of discount on capital stock for each class and series of capital stock.
2. If any change occurred during the year in the balance with respect to any class or series of stock, attach a statement giving particulars of the change. State the reason for any charge-off during the year and specify the account charged.

Line No.	Class and Series of Stock (a)	Balance End of year (b)
1	NONE	
2		
3	Total	

SCHEDULE A-17
Account 151- Capital Stock Expense

1. Report the balance at end of year of capital stock expense for each class and series of capital stock.
2. If any change occurred during the year in the balance with respect to any class or series of stock, attach a statement giving particulars of the change. State the reason for any charge-off of capital stock expense and specify the account charged.

Line No.	Class and Series of Stock (a)	Balance End of year (b)
1	Common	600
2	Preferred	1,636
3	TOTAL	2,236

SCHEDULE A-18
Accounts 200 and 201- Capital Stock

Line No.	Class of Stock (a)	Number of Shares Authorized by Articles of Incorporation (b)	Par Value of Stock Authorized by Articles of Incorporation (c)	Number of Shares Outstanding ¹ (d)	Total Par Value ² Outstanding End of Year (e)	Dividends Declared During Year	
						Rate (f)	Amount (g)
1	Common	100,000	\$5.00	72,022	\$360,110		
2	Non Voting Preferred	200,000	\$5.00	0	\$0		
3	Voting Preferred	100,000	\$2.50	0	\$0		
4							
5							
6	Totals	400,000			\$360,110		\$0

¹ After deduction for amount of reacquired stock held by or for the respondent.

² If shares of stock have no par value, show value assigned to stock outstanding.

Note: All 102,799 issued and outstanding shares of non voting preferred stock were redeemed in November 2010.

SCHEDULE A-18a
Record of Stockholders at End of Year

Line No.	Comon Stock Name (a)	Number Shares (b)	Preferred Stock Name (c)	Number Shares (d)
1	The John W.S. Roeder Continuing Trust	27,211		
2				
3	John WS Roeder	44,811		
4				
5				
6				
7				
8				
9	Total number of shares	72,022	Total number of shares	0

Note: 27,211 shares of common stock plus 27,211 shares of voting preferred stock were gifted to the John WS Roeder Continuing Trust during 2010.

SCHEDULE A-19
Account 203 - Premiums and Assessments on Capital Stock

Line No.	Class of Stock (a)	Balance End of Year (b)
1	Common	349,539
2		
3		
4		
5		
6		
7		
8		
9	Total	349,539

Note: Reflects the 2010 reclassification of residual premium of voting and non voting preferred stock related to the 2009 redemption of Trust A stock

SCHEDULE A-20
Account 270 - Capital Surplus (For use by Corporations only)

Line No.	Item (a)	Amount (b)
1	Balance beginning of year	\$21
2	CREDITS (Give nature of each credit and state account charged)	
3		
4		
5	Total credits	
6	DEBITS (Give nature of each debit and state account credited)	
7		
8		
9		
10	Total debits	
11	Balance end of year	\$21

SCHEDULE A-21
Account 271 - Earned Surplus (For use by Corporations only)

Line No.	Acct	Account (a)	Amount (b)
1		Balance beginning of year	23,420,323
2		CREDITS	
3	400	Credit balance transferred from income account	1,483,260
4	401	Miscellaneous credits to surplus (detail)	
5		Tax deferred gains	
6	380	Unrealized Gain - Investments - AOCI	324,040
7		Total credits	1,807,300
8		DEBITS	
9	410	Debit balance transferred from income account	
10	411	Dividend appropriations - Preferred stock	
11	412	Dividend appropriations - Common stock	
12	413	Miscellaneous reservations of surplus	
13	414	Miscellaneous debits to surplus (detail)	
14	380	Unrealized (Loss) - Investments - AOCI	
15			
16		Total debits	0
17		Balance end of year	25,227,622

SCHEDULE A-22
Account 204 - Proprietary Capital
(Sole Proprietor or Partnership)

Line No.	Item (a)	Amount (b)
1	Balance Beginning of year	N/A
2	CREDITS	
3	Net income for year	
4	Additional investments during year	
5	Other credits (specify)	
6		
7	Total credits	
8	DEBITS	
9	Net loss for year	
10	Withdrawals during year	
11	Other debits (specify)	
12		
13	Total debits	
14	Balance end of year	

SCHEDULE A-23
Account 205 - Undistributed Profits
of Proprietorship or Partnership
 (The use of this account is optional)

Line No.	Item (a)	Amount (b)
1	Balance Beginning of year	N/A
2	CREDITS	
3	Net income for year	
4	Other credits (specify)	
5		
6	Total credits	
7	DEBITS	
8	Net loss for year	
9	Withdrawals during year	
10	Other debits (specify)	
11		
12	Total debits	
13	Balance end of year	

SCHEDULE A-24
Account 210 - Bonds

Line No.	Class of Bond (a)	Date of Issue (b)	Date of Maturity (c)	Principal Amount Authorized (d)	Outstanding ¹ per Balance Sheet (e)	Rate of Interest (f)	Sinking Fund Added in Current Year (g)	Cost of Issuance (h)	Interest Accrued During Year (i)	Interest Paid During Year (j)
1	NONE									
2										
3										
4										
5										
6										
7										
8	Totals									

¹ After deduction for amount of reacquired bonds held by or for the respondent.

SCHEDULE A-24 (a)
CLASS A WATER COMPANIES
SAFE DRINKING WATER BOND ACT DATA

Please provide the following information relating to each Safe Drinking Water Bond Act (SDWBA) loan outstanding during the 12-month reporting period. (Use one sheet for each loan.)

1. Current Fiscal Agent: **NONE**
 Name: _____
 Address: _____
 Phone Number: _____
 Date Hired: _____

2. Total surcharge collected from customers during the 12 month reporting period: \$ _____

3. Summary of the trust bank account activities showing:

Balance at beginning of year	\$	
Deposits during the year	\$	
Withdrawals made for loan payments	\$	
Other withdrawals from this account	\$	
Balance at end of year	\$	

4. Account information:
 Bank Name: _____
 Account Number: _____
 Date Opened: _____

5. Plant amounts included in Schedule A-1a, Account No. 101 -- Water Plant in Service which were funded using SDWBA funds:

Line No.	Acct. No.	Title of Account (a)	Balance Beginning of Year (b)	Plant Additions During Year (c)	Plant Retirements During Year (d)	Other Debits or (Credits) (e)	Balance End of Year (f)
1		NON-DEPRECIABLE PLANT					
2	301	Intangible plant					
3	303	Land					
4		Total non-depreciable plant					
5		DEPRECIABLE PLANT					
6	304	Structures					
7	307	Wells					
8	311	Pumping equipment					
9	317	Other water source plant					
10	320	Water treatment plant					
11	330	Reservoirs, tanks and sandpipes					
12	331	Water mains					
13	333	Services and meter installations					
14	334	Meters					
15	335	Hydrants					
16	339	Other equipment					
17	340	Office furniture and equipment					
18	341	Transportation equipment					
19		Total depreciable plant					
20		Total water plant in service					

SCHEDULE A-25
Account 212 - Advances From Associated Companies

Line No.	Nature of Obligation (a)	Amount of Obligation (b)	Rate of Interest (c)	Interest Accrued During Year (d)	Interest Paid During Year (e)
1	NONE				
2					
3					
4					
5	Totals				

SCHEDULE A-26
Account 213 - Miscellaneous Long Term Debt

Line No.	Nature of Obligation (a)	Date of Issue (b)	Date of Maturity (c)	Principal Amount Authorized (d)	Outstanding ¹ Per Balance Sheet (e)	Rate of Interest (f)	Interest Accrued During Year (g)	Interest Paid During Year (h)
1	NONE							
2								
3								
4								
5								
6								
7								
8	Totals							

¹ After deduction for amount of reacquired debt held by or for the respondent.

SCHEDULE A-27
Securities Issued or Assumed During Year

Line No.	Class of Security (a)	Commission Authorization (b)	Amount Issued During Year (omit cents) (c)	Discount or Premium (d)	Expenses (e)
1	NONE				
2					
3					
4					
5	Totals				

SCHEDULE A-28
Account 220 - Notes Payable

Line No.	In Favor of (a)	Date of Issue (b)	Date of Maturity (c)	Balance End of Year (d)	Rate of Interest (e)	Interest Accrued During Year (f)	Interest Paid During Year (g)
1	NONE						
2							
3							
4							
5							
6							
7	Total			0		0	0

SCHEDULE A-29
Account 223 - Payables to Associated Companies

Line No.	Nature of Obligation (a)	Balance End of Year (b)	Rate of Interest (c)	Interest Accrued During Year (d)	Interest Paid During Year (e)
1	NONE				
2					
3					
4					
5					
6					
7	Total	0		0	0

SCHEDULE A-30
Account 230 - Other Current and Accrued Liabilities

Line No.	Description (a)	Balance End of Year (c)
1	Pump Taxes Payable	261,549
2	Pump Taxes Interest Due	191,783
3	City Taxes Payable	41,364
4	Due to AFLAC - Employee Withholdings	1,119
5	Payroll Payable	40,489
6	Vacation Payable	39,692
7	Pension Plan Payable	135,600
8	PUC Regulatory Fee Payable	49,565
9	San Jose Franchise Fee Payable	15,966
10	Due To GOW LLC	0
11	Other Current Liabilities & Suspense	183,602
12		
13		
14		
15		
16	Total	960,730

SCHEDULE A-31
Account 228 - Accrued and Prepaid Taxes

1. This schedule is intended to give particulars of the combined prepaid and accrued tax accounts and to show the total taxes charged to operations and other accounts during the year. Do not include gasoline and other sales taxes which have been charged to the accounts to which the material on which the tax was levied and charged.
2. Taxes, paid during the year and charged direct to final accounts, that is, not charged to prepaid or accrued taxes, should be included in the schedule. Enter the amounts both in columns (d) and (e). The balancing of the schedule is not affected by the inclusion of these taxes.
3. Taxes charged during the year, column (d), include taxes charged to operations and other accounts through (a) accruals credited to taxes accrued, (b) amounts credited to prepaid taxes for proportions of prepaid taxes chargeable to current year, and (c) taxes paid and charged direct to operations or accounts other than accrued and prepaid tax accounts.
4. If any tax covers more than 1 year, the required information of all columns should be show separately for each year.
5. Enter all adjustments of the accrued and prepaid tax accounts in column (f) and explain each adjustment. Designate debit adjustments by parentheses.
6. See schedule entitled "TAXES CHARGED DURING YEAR," page 32, for a distribution of taxes charged, column (d) according to utility departments and accounts.
7. **Do not include in this schedule entries with respect to deferred income taxes or taxes collected through payroll deductions or otherwise pending transmittal of such taxes to the taxing authority.**

Line No.	Kind of Tax (See instruction5) (a)	Balance Beginning Of Year		Taxes Charged During Year (d)	Paid During Year (e)	(PY adj accrual to actual) Adjustments (f)	Balance End Of Year	
		Taxes Accrued (b)	Prepaid Taxes (c)				Taxes Accrued (Account 228) (g)	Prepaid Taxes (Incl. in Acct. 132) (h)
1	Taxes On Real And Personal Property	0		154,296	(154,296)		0	
2	State Corporation Franchise Tax	0		202,580	(202,580)		0	
3	State Unemployment Insurance Tax	2,001		8,802	(8,539)		2,264	
4	Other State And Local Taxes	0		0	0		0	
5	Federal Unemployment Insurance Tax	194		939	(908)		225	
6	Fed. Ins. Contr. Act (Old Age Retire.)	0		0	0		0	
7	Other Federal Payroll Taxes	2,861		120,453	(120,333)		2,982	
8	Federal Income Taxes	0		750,645	(750,645)		0	
9	Licenses	0		6,626	(6,626)		0	
10								
11								
12								
13								
14	Totals	5,055	0	1,244,342	(1,243,926)	0	5,471	0

(1) Federal & State income tax on CIAC & Advances

SCHEDULE A-32
Account 241 - Advances for Construction

Line No.	(a)	(b)	Amount (c)
1	Balance Beginning Of Year		6,454,778
2	Additions During Year		80,000
3	Subtotal - Beginning Balance Plus Additions During Year		6,534,778
4	Charges During Year		
5	Refunds		
6	Percentage Of Revenue Basis		
7	Proportionate Cost Basis	244,519	
8	Present Worth Basis		
9	Total Refunds		244,519
10	Transfers to Acct 265 - Contributions in Aid of Construction		
11	Due To Expiration Of Contracts		
12	Due To Present Worth Discount		
13	Total Transfers To Acct. 265		0
14	Securities Exchanged for Contracts (enter detail below)		
15	Subtotal - Charges During Year		
16	Balance End Of Year		6,290,258

If stock, bonds, etc., were issued in exchange for construction advance contracts give details below:

Line No.	Type of Security or Other Consideration (Other than Cash) (a)	Dividend or Interest Rate (b)	PUC Decision Number (c)	Amount Issued (d)
17	Common Stock N/A			
18	Preferred Stock			
19	Bonds			
20	Other (describe)			
21				
22				

SCHEDULE A-33
Account 242 - Other Deferred Credits

Line No.	Item (a)	Balance End of Year (b)
1	Developers Deposits	62,046
2	Deferred Tax Liability - Non Current	1,387,723
3	FIN 48 Reserve	76,396
4	Deferred Rent	10,599
5	Water Contamination Proceeds	654,800
6	Total	2,191,565

SCHEDULE A-34
Accounts 254 to 258, Inclusive - Miscellaneous Reserves

Line No.	Account (a)	Balance Beginning of Year (b)	DEBITS		CREDITS		Balance End of Year (g)
			Nature of Items (c)	Amount (d)	Account Charged (e)	Amount (f)	
1	254	0.00	Uncollectibles	22,885	502.775	22,885	0
2							
3							
4							
5							
6							
7	Totals	0		22,885		22,885	0

SCHEDULE A-35
Account 265 - Contributions in Aid of Construction

Instructions for Preparation of Schedule of Contributions in Aid of Construction:

¹ The credit balance in the account other than that portion of the balance relating to nondepreciable property (column d), to property retired prior to January 1, 1995 (column e), and to the estimated amount of depreciation accrued to January 1, 1955 (column f), shall be written off through charges to this account and credits to Account 250 - Reserve for Depreciation of Utility Plant over a period equal to the estimated service life of the property involved. Upon retirement of depreciable property for which a depreciation reserve has been created through charges to this account, the cost thereof shall be credited to the appropriate plant account and concurrently charged to Account 250. If the property is retired prior to the service life originally estimated, the balance in this account with respect to the retired property shall be transferred to the depreciation reserve account.

² That portion of the balance applicable to nondepreciable property shall remain unchanged until the property is sold or otherwise retired. Upon retirement, the cost of such nondepreciable property acquired by donation or through use of donated funds shall be credited to the appropriate plant account and charged to this account to clear the credit balance carried herein.

³ That portion of the balance representing donations on property retired prior to January 1, 1955 (column e), and the amount of depreciation accrued to January 1, 1955, on property in service (column f), shall not be transferred from this account or otherwise disposed of without first receiving written authorization from the Commission.

Line No.	Item (a)	Total All Columns (b)	Subject to Amortization		Not Subject to Amortization	
			Property in Service After Dec. 31, 1954		Property Retired Before Jan. 1, 1955 (e)	Depreciation Accrued through Dec. 31, 1954 on Property in Service at Dec. 31, 1954 (f)
			Depreciable (c)	Non-Depreciable (d)		
1	Balance Beginning Of Year	2,523,954	2,498,020	25,934		
2	Add: Credits To Account During Year					
3	Contributions Received During Year	476,337	476,337	0		
4	Other Credits*					
5	Total Credits	476,337	476,337	0	0	0
6	Deduct: Debits To Account During Year					
7	Depreciation Charges For Year	144,609	144,609			
8	Nondepreciable Donated Property Retired					
9	Other Debits*					
10	Total Debits	144,609	144,609	0	0	0
11	Balance End Of Year	2,855,682	2,829,748	25,934	0	0

*Indicate nature of these items and show the accounts affected by the contra entries.

SCHEDULE B-1
Account 501 - Operating Revenues

Line No.	Acct.	ACCOUNT (a)	Amount Current Year (b)	Amount Preceding Year (c)	Net Change During Year Show Decrease in (Brackets) (d)
1		I. WATER SERVICE REVENUES			
2	601	Metered sales to general customers	13,937,362	12,020,686	1,916,676
3		601.1 Commercial sales			
4		601.2 Industrial sales			
5		601.3 Sales to public authorities			
6		Sub-total	13,937,362	12,020,686	1,916,676
7	602	Unmetered sales to general customers			
8		602.1 Commercial sales			
9		602.2 Industrial sales			
10		602.3 Sales to public authorities			
11		Sub-total	0	0	0
12	603	Sales to irrigation customers			
13		603.1 Metered sales			
14		603.2 Unmetered sales			
15		Sub-total	0	0	0
16	604	Private fire protection service	76,263	70,171	6,092
17	605	Public fire protection service			0
18	606	Sales to other water utilities for resale			
19	607	Sales to governmental agencies by contracts			
20	608	Interdepartmental sales			
21	609	Other sales or service			
22		Sub-total	76,263	70,171	6,092
23		Total water service revenues	14,013,625	12,090,856	1,922,769
24		II. OTHER WATER REVENUES			
25	611	Miscellaneous service revenues	8,900	9,000	(100)
26	612	Rent from water property			
27	613	Interdepartmental rents			
28	614	Other water revenues-book balancing accts		2	(2)
29		Total other water revenues	8,900	9,002	(102)
30	501	Total operating revenues	14,022,525	12,099,858	1,922,667

SCHEDULE B-1a
Operating Revenues Apportioned to Cities and Towns

Line No.	Location (a)	Operating Revenues (b)
1	Operations not within incorporated cities ¹	86,061
2		
3		
4		
5	Operations within incorporated territory	
6	City or town of San Jose	13,936,464
7	City or town of	
8	City or town of	
9	City or town of	
10	City or town of	
11		
12		
13		
14		14,022,525

¹ Should be segregated to operating districts.

SCHEDULE B-2

Account 502 - Operating Expenses - Class A, B, and C Water Utilities

Respondent should use the group of accounts applicable to its class

Line No.	Acct.	Account (a)	Class			Amount Current Year (b)	Amount Preceding Year (c)	Net Change During Year Show Decrease in [Brackets] (d)
			A	B	C			
1		I. SOURCE OF SUPPLY EXPENSE						
2		Operation - Pump Tax				5,791,247	4,767,741	1,023,506
3	701	Operation supervision and engineering	A	B				
4	701	Operation supervision, labor and expenses			C			
5	702	Operation labor and expenses	A	B		20,958	15,783	5,176
6	703	Miscellaneous expenses	A					
7	704	Purchased water	A	B	C			
8		Maintenance						
9	706	Maintenance supervision and engineering	A	B				
10	706	Maintenance of structures and facilities			C			
11	707	Maintenance of structures and improvements	A	B				
12	708	Maintenance of collect and impound reservoirs	A					
13	708	Maintenance of source of supply facilities		B				
14	709	Maintenance of lake, river and other intakes	A					
15	710	Maintenance of springs and tunnels	A					
16	711	Maintenance of wells	A			84,276	89,178	(4,902)
17	712	Maintenance of supply mains	A					
18	713	Maintenance of other source of supply plant	A	B				
19		Total source of supply expense				5,896,482	4,872,701	1,023,780
20		II. PUMPING EXPENSES						
21		Operation						
22	721	Operation supervision and engineering	A	B		117,677	91,171	26,506
23	721	Operation supervision labor and expense			C			
24	722	Power production labor and expense	A					
25	722	Power production labor, expenses and fuel		B				
26	723	Fuel for power production	A					
27	724	Pumping labor and expenses	A	B				0
28	725	Miscellaneous expenses	A			10,479	8,533	1,946
29	726	Fuel or power purchased for pumping	A	B	C	762,853	756,991	5,862
30		Maintenance						
31	729	Maintenance supervision and engineering	A	B				
32	729	Maintenance of structures and equipment			C			
33	730	Maintenance of structures and improvements	A	B				
34	731	Maintenance of power production equipment	A	B				
35	732	Maintenance of pumping equipment	A	B		1,689	2,650	(962)
36	733	Maintenance of other pumping plant	A	B				
37		Total pumping expenses				892,697	859,345	33,352

SCHEDULE B-2

Account 502 - Operating Expenses - For Class A, B, and C Water Utilities (Continued)

Respondent should use the group of accounts applicable to its class

Line No.	Acct.	Account (a)	Class			Amount Current Year (b)	Amount Preceding Year (c)	Net Change During Year Show Decrease in [Brackets] (d)
			A	B	C			
38		III. WATER TREATMENT EXPENSES						
39		Operation						
40	741	Operation supervision and engineering	A	B				
41	741	Operation supervision, labor and expenses			C			
42	742	Operation labor and expenses	A					
43	743	Miscellaneous expenses	A	B				
44	744	Chemicals and filtering materials	A	B				
45		Maintenance						
46	746	Maintenance supervision and engineering	A	B				
47	746	Maintenance of structures and equipment			C			
48	747	Maintenance of structures and improvements	A	B				
49	748	Maintenance of water treatment equipment	A	B				
50		Total water treatment expenses			0	0	0	
51		IV. TRANS. AND DIST. EXPENSES						
52		Operation						
53	751	Operation supervision and engineering	A	B	166,278	159,362	6,915	
54	751	Operation supervision, labor and expenses			C			
55	752	Storage facilities expenses	A					
56	752	Operation labor and expenses		B				
57	753	Transmission and distribution lines expenses	A					
58	754	Meter expenses	A		208,611	179,676	28,934	
59	755	Customer installations expenses	A					
60	756	Miscellaneous expenses	A		10,479	7,891	2,588	
61		Maintenance						
62	758	Maintenance supervision and engineering	A	B	249,881	247,762	2,119	
63	758	Maintenance of structures and plant			C			
64	759	Maintenance of structures and improvements	A	B				
65	760	Maintenance of reservoirs and tanks	A	B				
66	761	Maintenance of trans. and distribution mains	A		60,228	32,143	28,085	
67	761	Maintenance of mains		B				
68	762	Maintenance of fire mains	A					
69	763	Maintenance of services	A		62,474	87,872	(25,398)	
70	763	Maintenance of other trans. and distribution plant		B				
71	764	Maintenance of meters	A		0	(445)	445	
72	765	Maintenance of hydrants	A		47,979	34,418	13,561	
73	766	Maintenance of miscellaneous plant	A					
74		Total transmission and distribution expenses			805,929	748,679	57,250	

SCHEDULE B-2

Account 502 - Operating Expenses - For Class A, B, and C Water Utilities (Continued)

Respondent should use the group of accounts applicable to its class

Line No.	Acct.	Account (a)	Class			Amount Current Year (b)	Amount Preceding Year (c)	Net Change During Year Show Decrease in [Brackets] (d)
			A	B	C			
75		V. CUSTOMER ACCOUNT EXPENSES						
76		Operation						
77	771	Supervision	A	B		208,013	176,148	31,865
78	771	Superv., meter read., other customer acct expenses			C			
79	772	Meter reading expenses	A	B		80,336	74,748	5,588
80	773	Customer records and collection expenses	A			518,683	473,520	45,163
81	773	Customer records and accounts expenses		B				
82	774	Miscellaneous customer accounts expenses	A					
83	775	Uncollectible accounts	A	B	C	22,885	33,278	(10,393)
84		Total customer account expenses				829,916	757,693	72,223
85		VI. SALES EXPENSES						
86		Operation						
87	781	Supervision	A	B				
88	781	Sales expenses			C			
89	782	Demonstrating and selling expenses	A					
90	783	Advertising expenses	A					
91	784	Miscellaneous sales expenses	A					
92	785	Merchandising, jobbing and contract work	A					
93		Total sales expenses				0	0	0
94		VII. ADMIN. AND GENERAL EXPENSES						
95		Operation						
96	791	Administrative and general salaries	A	B	C	487,664	470,590	17,074
97	792	Office supplies and other expenses	A	B	C	55,040	57,622	(2,581)
98	793	Property insurance	A			83,425	66,681	16,745
99	793	Property insurance, injuries and damages		B	C			
100	794	Injuries and damages	A			31,971	34,566	(2,595)
101	795	Employees' pensions and benefits	A	B	C	370,459	268,882	101,577
102	796	Franchise requirements	A	B	C	245,216	215,008	30,208
103	797	Regulatory commission expenses	A	B	C	257,661	314,093	(56,432)
104	798	Outside services employed	A			193,465	304,819	(111,355)
105	798	Miscellaneous other general expenses		B				
106	798	Miscellaneous other general operation expenses			C			
107	799	Miscellaneous general expenses	A			78,442	70,455	7,988
108		Maintenance						
109	805	Maintenance of general plant	A	B	C	83,681	80,552	3,129
110		Total administrative and general expenses				1,887,024	1,883,266	3,757
111		VIII. MISCELLANEOUS						
112	800	Rate Case Expense	A	B	C	124,951	12,746	112,205
113	811	Rents	A	B	C	176,730	176,730	0
114	812	Administrative expenses transferred - Cr.	A	B	C			
115	813	Duplicate charges - Cr.	A	B	C			
116	901	General Clearing	A	B	C	(514)	420	(934)
117		Total miscellaneous				301,167	189,897	111,270
118		Total operating expenses				10,613,215	9,311,582	1,301,633

SCHEDULE B-3
Account 506 - Property Losses Chargeable to Operations

Line No.	Description (a)	Amount
1	NONE	
2		
3		
4		
5		
6		
7		
8	Total	0

SCHEDULE B-4
Account 507 - Taxes Charged During Year

1. This schedule is intended to give the account distribution of total taxes charged to operations and other final accounts during the year.
2. Do not include gasoline and other sales taxes which have been charged to accounts to which the material on which the tax was levied was charged. If the actual or estimated amounts of such taxes are known, they should be shown as a footnote and designated whether estimated or actual amounts.
3. The accounts to which taxes charged were distributed should be shown in columns (c) to (f). Show both the utility department and number of account charged except for taxes capitalized.
4. For any tax which it was necessary to apportion to more than one utility department or account, state in a footnote the basis of apportioning such tax.
5. The total taxes charged as shown in column (b) should agree with the amounts shown by column (d) of schedule entitled "Accrued and Prepaid Taxes," page 35.
6. Do not include in this schedule entries with respect to deferred income taxes, or taxes collected through payroll deductions or otherwise pending transmittal of such taxes to the taxing authority.

Line No.	Kind of Tax (a)	Total Taxes Charged During Year (b)	DISTRIBUTION OF TAXES CHARGED (Show utility department where applicable and account charged)			
			Water (Account 507) (c)	Nonutility (Acct 521 & 527) (d)	Other (Account 62X) (e)	Capitalized (Omit Account) (f)
1	Taxes On Real And Personal Property	178,861	154,296	24,565		
2	State Corporation Franchise Tax	202,580	179,081	23,499		
3	State Unemployment Insurance Tax					
4	Other State And Local Taxes	0	0	0		
5	Federal Unemployment Insurance Tax, FICA, SUI, Fees	125,503	125,503	0		
6	Federal Insurance Contributions Act					
7	Other Federal Taxes					
8	Federal Income Tax	750,645	684,206	66,439		
9						
10						
11						
12						
13						
14	Totals	1,257,589	1,143,086	114,503	0	0

SCHEDULE B-5
Reconciliation of Reported Net Income With Taxable Income for Federal Taxes

1. Report hereunder a reconciliation of reported net income for the year with taxable income used in computing Federal income tax accruals and show computation of such tax accruals. The reconciliation shall be submitted even though there is no taxable income for the year. Descriptions should clearly indicate the nature of each reconciling amount.
2. If the utility is a member of a group which files a consolidated Federal tax return, reconcile reported net income with taxable net income as if a separate return were to be filed, indicating, however, inter-company amounts to be eliminated in such consolidated return. State names of group members, tax assigned to each group member, and basis of allocation, assignment, or sharing of the consolidated tax among the group members.
3. Show taxable year if other than calendar year from-----to-----.

Line No.	Particulars (a)	Amount (b)
1	Net Income For The Year Per Schedule B, Page 15	1,483,260
2	Reconciling amounts (list first additional income and unallowable deductions, followed by additional	
3	deductions for non-taxable income):	
4		
5		
6	Add Back: Federal Income Tax Expense In The P&L - Operating	543,092
7	Add Back: Federal Income Tax Expense In The P&L - Non Operating	66,439
8	Add Back: State Income Tax Expense In The P&L - Operating	179,081
9	Add Back: State Income Tax Expense In The P&L - Non Operating	23,499
10	Add: GOW LLC Income (Loss) Not In The P&L	109,200
11	Add: Federal Income Tax Expense In The P&L From the Amortization Of Deferred Tax Assets & Liabilities	141,114
12	Add: Gain (Loss) On Sale Of Equipment Charged To Accumulated Depreciation	0
13	Add Back: Prior Year Tax Adjustment Included In The P&L	0
14	Add Back: PUC Depreciation, Net of CIAC Amortization	849,801
15	Subtract: Federal & State Depreciation, Net of CIAC Amortization	(1,143,173)
16	Less: State Income Tax From Prior Year Tax Return	(124,472)
17	Less: Dividend Exclusion	(71,081)
18	Less: Deductible Rebates	(126,910)
19	Less: DPAD	(137,112)
20		
21		
22		
23		
24		
25		
26		
27		
28		
29		
30	Federal Tax Net Income	1,792,739
31	Computation of Tax:	
32	Calculated Tax	609,531
33		
34		
35	Tax Per Return (estimated)	609,531

SCHEDULE B-6
Account 521 - Income from Nonutility Operations

Line No.	Description (a)	Revenue (b)	Expenses (c)	Net Income (d)
1	Non-Utility Rental Income	63,196	(52,181)	11,015
2				
3				
4				
5	Totals	63,196	(52,181)	11,015

SCHEDULE B-7
Account 526 - Miscellaneous Nonoperating Revenue

Line No.	Description (a)	Amount (b)
1	Miscellaneous Income	0
2	Other Miscellaneous Income	(6,448)
3		
4		
5		
6		
7		
8	Totals	(6,448)

SCHEDULE B-8
Account 527 - Nonoperating Revenue Deductions (Dr.)

Line No.	Description (a)	Amount (b)
1	Federal Income Tax Expense - Non Operating	66,439
2	State Income Tax Expense - Non Operating	23,499
3		0
4		
5	Total	89,938

SCHEDULE B-9
Account 535 - Other Interest Charges

Line No.	Description (a)	Amount (b)
1	Interest Paid To Customers - Deposits	1,725
2	Other Interest Expense	0
3		
4	Total	1,725

SCHEDULE B-10
Account 538 - Miscellaneous Income Deductions

Line No.	Description (a)	Amount (b)
1	Penalties	67
2	Airplane	4,358
3		
4		
5	Total	4,425

SCHEDULE C-2

Compensation of Individual Proprietor or Partner

Do operating expenses include any charge for owner's compensation in the form of salary or wages, rental allowances, or for the use of a private automobile? (If the word "none" truly states the fact it should be given as the answer to this inquiry.)

Line No.	Nature of Allowance (a)	Account Charged (b)	Amount (c)
1	NONE		
2			
3			
4			
5			
6	Total		

SCHEDULE C-3

Employees and Their Compensation

(Charged to Account 502 - Operating Expenses - Schedule B-2)

Line No.	Classification (a)	Number at End of Year (b)	Total Salaries and Wages Paid During Year (c)
1	Employeees - Source Of Supply		
2	Employeees - Pumping		
3	Employeees - Water Treatment		
4	Employeees - Transmission And Distribution	10	760,779
5	Employeees - Customer Account	4	278,505
6	Employeees - Sales		
7	Employeees - Administrative		
8	General Officers	3	1,394,061
9	General Office		
10	Totals	17	2,433,345

SCHEDULE C-4

Record of Accidents During Year

Line No.	Date of Accident (a)	To Persons				To Property				
		Employees on Duty		Public ¹		Total Number (f)	Company		Other	
		Killed (b)	Injured (c)	Killed (d)	Injured (e)		Number (g)	Amount (h)	Number (i)	Amount (j)
1	1/9/2012				1	1				
2						0				
3						0				
4						0				
5	Totals	0	0	0	1	1	0	\$0	0	\$0

¹ Accidents to employees not on duty should be included in "Public" accidents

SCHEDULE C-5 Expenditures for Political Purposes

Hereunder report all direct or indirect expenditures incurred or made to elect or defeat a candidate for public office; or to place any measure on the ballot; at any election, or to keep it from being placed on the ballot at any election, or to support or defeat any measure on the ballot; at an election, or to support or defeat any proposed legislation, also name the account or accounts to which the expenditures herein mentioned have been charged. (If the word "none" truly states the fact, it should be given as the answer to this inquiry.)

1	NFIB	500
2	Committee To Elect Tim Murphy	500
3	Committee To Elect Johnny Khamis For City Counsel 2012	1,000
4	Committee To Elect Tam Truong For City Counsel 2012	250
5	Values Advocacy Council	500
6	Drew Spitzer For Santa Clara Valley Water District Director 2012	250
7	Benjamin Cogan	99
8	The Independent Institute	1,000
9	TOTAL	4,099

SCHEDULE C-6 Loans to Directors, or Officers, or Shareholders

Show hereunder the amount of loans to directors, or officers, or shareholders and the terms and conditions of such loans. Among other things, show the name of each director, or officer, or shareholder, receiving a loan or loans, the amount of each loan, the rate of interest payable on such loan or loans, the maturity date of each loan or loans, the security given and the date when the shareholders authorized each loan. If such authorization was given. (If the word "none" truly states the fact, it should be given as the answer to this inquiry.)

1	None
2	
3	
4	
5	
6	

SCHEDULE C-7 Bonuses Paid to Executives & Officers

Show hereunder the amount of bonuses paid to Executives and Officers, both cash and non-cash. List by the name of each Executive or Officer receiving the bonus, the dollar value of that bonus, and a description of the bonus if it is non-cash.

1	John W.S. Roeder	\$625,000
2		
3		
4		
5		
6		

SCHEDULE D-1
Sources of Supply and Water Developed

STREAMS				FLOW IN(unit) ²				Annual Quantities Diverted(Unit) ²	Remarks
Line No.	Diverted into*	From Stream or Creek (Name)	Location of Diversion Point	Priority Right		Diversions			
				Claim	Capacity	Max.	Min.		
1	NONE								
2									
3									
4									
5									
WELLS							Annual Quantities Pumped AF (Unit) ²	Remarks	
Line No.	At Plant (Name or Number)	Location	Number	Dimensions	¹ Depth to Water	Pumping Capacity GPM (Unit) ²			
6			19			26,900	11,429		
7									
8									
9									
10									
TUNNELS AND SPRINGS				FLOW IN(Unit) ²		Annual Quantities Used(Unit) ²	Remarks		
Line No.	Designation	Location	Number	Maximum	Minimum				
11	NONE								
12									
13									
14									
15									
Purchased Water for Resale									
16	Purchased From		NONE						
17	Annual Quantities Purchased		(Unit chosen) ²						
18									
19									

* State ditch, pipe line, reservoir, etc., with name, if any.

1 Average depth to water surface below ground surface.

2 The quantity unit in established use for expressing water stored and used in large amounts is the acre foot, which equals 42,560 cubic feet: in domestic use the thousand gallon or the hundred cubic feet. The rate of flow or discharge in larger amounts is expressed in cubic feet per second, in gallons per minute, in gallons per day, or in the miner's inch. Please be careful to state the unit used.

SCHEDULE D-2
Description of Storage Facilities

Line No.	Type	Number	Combined Capacity (Gallons or Acre Feet)	Remarks
1	A. Collecting Reservoirs			
2	Concrete			
3	Earth			
4	Wood			
5	B. Distribution Reservoirs			
6	Concrete			
7	Earth			
8	Wood			
9	C. Tanks			
10	Wood			
11	Metal	6	6,228,000	
12	Concrete	1	30,000	
13	Totals	7	6,258,000	

SCHEDULE D-3
Description of Transmission and Distribution Facilities

A. LENGTH OF DITCHES, FLUMES AND LINED CONDUITS IN MILES FOR VARIOUS CAPACITIES
 Capacities in Cubic Feet Per Second or Miner's Inches (State Which) _____

Line No.		0 to 5	6 to 10	11 to 20	21 to 30	31 to 40	41 to 50	51 to 75	76 to 100
1	Ditch								
2	Flume								
3	Lined Conduit								
4									
5	Totals	0	0	0	0	0	0	0	0

A. LENGTH OF DITCHES, FLUMES AND LINED CONDUITS IN MILES FOR VARIOUS CAPACITIES - Concluded
 Capacities in Cubic Feet Per Second or Miner's Inches (State Which) _____

Line No.		101 to 200	201 to 300	301 to 400	401 to 500	501 to 750	751 to 1000	over 1000	Total All Lengths
6	Ditch								
7	Flume								
8	Lined Conduit								
9									
10	Totals	0	0	0	0	0	0	0	0

B. FOOTAGES OF PIPE BY INSIDE DIAMETERS IN INCHES - NOT INCLUDING SERVICE PIPING

Line No.		1	1 1/2	2	2 1/2	3	4	5	6	8
11	Cast Iron									
12	Cast Iron (cement lined)									
13	Concrete									
14	Copper									
15	Riveted Steel									
16	Standard Screw									
17	Screw Or Welded Casing									
18	Cement - Asbestos						4,157		64,130	156,940
19	Welded Steel- DIP			34		68	5,918		186,481	176,377
20	Wood									
21	Other (specify) PVC					61	47,263		13,099	69,101
22	Totals	0	0	34	0	129	57,338	0	263,710	402,418

B. FOOTAGES OF PIPE BY INSIDE DIAMETERS IN INCHES - NOT INCLUDING SERVICE PIPING - Concluded

Line No.		10	12	14	16	18	20	Other Sizes (Specify Sizes)		Total All Sizes
23	Cast Iron									
24	Cast Iron (cement lined)									
25	Concrete									
26	Copper									
27	Riveted Steel									
28	Standard Screw									
29	Screw Or Welded Casing									
30	Cement - Asbestos	41,192	85,751		468					352,638
31	Welded Steel- DIP	44,293	102,448		43,690	13,281	9,563			582,051
32	Wood									
33	Other (specify) PVC	4,300	10,762		827					145,352
34	Totals	89,785	198,961	0	44,985	13,281	9,563	0	0	1,080,204

**SCHEDULE D-4
Number of Active Service Connections**

Classification	Metered - Dec 31		Flat Rate - Dec 31	
	Prior Year	Current Year	Prior Year	Current Year
Residential	19,790	19,803		
Commercial	284	285		
Industrial	42	34		
Public Authorities	164	154		
Irrigation	176	176		
Other (specify): Schools	34	34		
Agriculture	8	4		
Subtotal	20,498	20,490		
Private Fire Connections			296	296
Public Fire Hydrants				
Total	20,498	20,490	296	296

**SCHEDULE D-5
Number of Meters and Services on
Pipe Systems at End of Year**

Size	Meters	Services
5/8 x 3/4 - in	19,195	
3/4 - in	40	
1 - in	514	
1.5 - in	216	
2 - in	407	
3 - in	56	
4 - in	39	
6 - in	12	
8 - in	8	
10 - in	3	
12 - in	0	
Total	20,490	0

**SCHEDULE D-6
Meter Testing Data**

A. Number of Meters Tested During Year as Prescribed in Section VI of General Order No. 103:		
1. New, after being received . . .		
2. Used, before repair		5
3. Used, after repair		
4. Found fast, requiring billing adjustment		
B. Number of Meters in Service Since Last Test		
1. Ten years or less		340
2. More than 10, but less than 15 years		1,044
3. More than 15 years		19,106
TOTAL (= current active svc connections)		20,490

SCHEDULE D-7

Water delivered to Metered Customers by Months and Years in CCF (Unit Chosen)¹

Classification of Service	During Current Year							Subtotal
	January	February	March	April	May	June	July	
Commercial & Residential	346,237	277,249	256,797	309,120	216,840	335,819	522,340	2,264,402
Industrial	5,758	4,742	6,240	6,556	7,917	9,664	13,363	54,240
Public Authorities (& Schools)	16,146	12,949	15,717	19,447	32,122	46,590	67,027	209,998
Irrigation	14,384	15,108	8,439	14,042	16,059	26,753	41,710	136,495
Other (specify): Agriculture	16	9	12	9	56	40	79	221
Total	382,541	310,057	287,205	349,174	272,994	418,866	644,519	2,665,356

Classification of Service	During Current Year						Total
	August	September	October	November	December	Subtotal	Prior Year
Commercial & Residential	483,749	444,613	471,223	268,120	259,502	1,927,207	4,191,609
Industrial	11,337	10,654	10,864	5,549	3,833	42,237	96,477
Public authorities	56,855	55,847	50,441	18,298	10,823	192,264	402,262
Irrigation	50,629	28,684	51,210	11,391	7,935	149,849	286,344
Other (specify): Agriculture	66	70	60	2	2	200	421
Total	602,636	539,868	583,798	303,360	282,095	2,311,757	4,977,113

¹ Quantity units to be in hundreds of cubic feet, thousands of gallons, acre-feet, or miner's inch-days.

Total acres irrigated agriculture 153

Total population served 95,569

SCHEDULE D-8
Status With State Board of Public Health

1. Has the State or Local Health Department reviewed the sanitary condition of your water system during the past year?
Answer: Yes _____ No X

2. Are you having routine laboratory tests made of water served to your consumers?
Answer: Yes X No _____

3. Do you have a permit from the State Board of Public Health for operation of your water system?
Answer: Yes X No _____

4. Date of permit: 6/1/1960

5. If permit is "temporary", what is the expiration date? _____

6. If you do not hold a permit, has an application been made for such permit?
Answer: Yes _____ No _____

7. If so, on what date? _____

SCHEDULE D-9
Statement of Material Financial Interest

Use this space to report the information required by Section 2 of General Order No. 104-A. If no material financial interest existed during the year or contemplated at the end of the year, such fact shall be so stated. If additional space is required, attach a supplementary statement with reference made thereto.

N/A

SCHEDULE E-1
Balancing, Memorandum & Reserve Accounts

Line No.	Description (a)	Authorized by Decision or Resolution No. (b)	Beginning of Year Balance* (c)	Offset Revenues (d)	Offset Expenses (e)	Interest (f)	Surcharge (g)	Surcredit (h)	End of Year Balance* (i)
1	Balancing: Pump Tax - Non Agricultural	PUC code 792.5	0	761,275	655,398	(42)			105,919
2	Balancing: Pump Tax - Agricultural	PUC code 792.5	0	23	1	0			22
3	Balancing: Purchased Power	PUC code 792.5	0		7,403	22			(7,425)
4	Balancing: Interim Rates True Up - 9/1/09 To 3/1/11	Decision 10-11-034	(265,033)	249,184		181			(16,029)
5	Balancing: WRAM - Conservation vs. Uniform Rates - 5/9/11 To 2/11/12	W-4910	(337,211)	191,567		232			(145,876)
6	Balancing: 2009 & 2010 Audit Costs	Decision 10-12-057	(139,261)	42,326		67			(97,002)
7	Balancing: Aggregate (Under) Over Collections	PUC code 792.5	(128,992)	80,972		85			(48,105)
8	Memorandum: Monterey WRAM - Conservation Rates vs. Uniform Rates	Decision 10-11-034	0	(269,238)					(269,238)
9	Memorandum: Contamination Proceeds	Decision 10-10-018	0	654,800					654,800
10	Memorandum: Santa Clara Valley Water District Litigation Costs	W-4534	(2,516,710)		17,553	2,831			(2,537,094)
11	Memorandum: 2011 Audit Costs	Decision 10-12-057	0		48,500	38			(48,538)
12	Memorandum: City of San Jose Litigation Costs	Decision 10-11-034	(873)			1			(874)
13	Memorandum: Low Income Lost Revenue	W-4594	0		70,922	45			(70,966)
14	TOTALS		(3,388,081)	1,710,910	799,776	3,460	0	0	(2,480,407)

Note 1: For Columns d, e, f, g, & h, provide those amounts booked in the current year.

* Over (Under) Collection

Schedule E- 2
Description of Low-Income Rate Assistance Program(s)

For all low income rate assistance programs offered by water utility, provide detailed responses to the following items:

1. Brief description of each low-income rate assistance program provided, by district. This shall include but is not limited to the percent of discount, the dollar amount of discount, what rate is discounted (service charge, quantity, or total bill), qualifying income level, dollar rate increase to remaining customers to pay for this program.

See attached page 54A

2. Participation rate for Year 2012 (as a percent of total customers served) was 11.4%.

3. Detail of balancing or memorandum account authorized to record expenses incurred and revenues collected for low income rate assistance program. Please see Schedule E-1.

Schedule E- 3
Description of Water Conservation Program(s)

For all water conservation programs offered by water utility, provide detailed responses to the following items:

1. Brief description of each water conservation program provided, by district. This description shall include but not be limited to the type of program offered (such as provision of low-flow plumbing fixtures, leak detection, leak repair, written water conservation tips, or other similar programs to its customers) and length of time it was offered.

2. Discuss how each water conservation assistance program is funded, for example, through rates charged to all customers, rates charged to customer receiving water conservation assistance, shareholder contribution, community funding, government funding, or other funding method. Explain why this type of funding was used.

3. Cost of each program. Please see Schedule E-1.

4. The degree of participation in each district by customer group. Tiered rates participation is 100% of single family residential customers.

Rule No.22

LOW INCOME CUSTOMER ASSISTANCE PROGRAM (LICAP) (N)

A. GENERAL

The purpose of the Low Income Customer Assistance Program (LICAP) is to provide qualifying residential applicants with reduced water service charges. Application for the rate may be made by any residential customer entitled to the Pacific Gas and Electric (PG&E) California Alternate Rates for Energy program (CARE) and who is billed in the same manner as being billed by PG&E. (Those customers who are individually metered by PG&E but receive water service through a master meter will not be eligible for this program.)

B. CERTIFICATION

Application for the LICAP will consist of completing an application as provided by the Company and will require the providing of a copy of a current PG&E bill showing eligibility for the CARE program. Certification will apply for 12 months. At the end of the 12 month period, reapplication meeting the same requirements of the original application will be required.

C. NOTIFICATION

The Company will notify all customers of the availability of the program two times a year using an insert in the bi-monthly water bill.

D. WATER SERVICE CHARGE REDUCTION

Qualified customers will receive a 50% reduction in the bi-monthly service charge currently in effect as authorized by the California Public Utilities Commission.

(To be inserted by utility)

Issued by

(To be inserted by Cal. P.U.C.)

Advice Letter No. 177-W

Alan J. Gardner
NAME

Date Filed MAY 24 2006

Decision No.

Chief Operating Officer

Effective JUL - 1 2006

Resolution No. W 4594

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Schedule E- 4
Report on Affiliate Transactions

Affiliate includes all related companies including but not limited to Parent, Affiliates, and Subsidiaries.

INSTRUCTIONS:

* For those utilities with specifically authorized affiliate transaction rules, provide all information required by those rules.

* For those utilities with no specifically authorized affiliate transaction rules, or those utilities whose authorized affiliate transaction rules do not provide the following information, provide the following:

1. Summary of all transactions between regulated water utility and its affiliated companies for the previous calendar year. The summary shall include a description of each transaction and an accounting of all dollars associated with each transaction although each transaction need not be separately identified where multiple transactions occur in the same account. These transactions shall include:

- (a) services provided by regulated water utility to any affiliated company;
- (b) services provided by any affiliated company to regulated water utility;
- (c) assets (both tangible and intangible) transferred from regulated water utility to any affiliated company;
- (d) assets (both tangible and intangible) transferred from any affiliated company to regulated water utility;
- (e) employees transferred from regulated water utility to any affiliated company;
- (f) employees transferred from any affiliated company to regulated water utility; and
- (g) financing arrangements and transactions between regulated water utility and any affiliated company.

Note 1:

On May 15, 2008, Great Oaks Water, LLC purchased an office building at 20 Great Oaks Blvd, San Jose. There has been minimal time spent by employees of Great Oaks Water Company for maintenance and management on behalf of the LLC, unless it was directly charged to the LLC and not included in the utility expenses. Time and expense has been expended and charged either to the LLC directly or to Great Oaks Water Company for the tenant improvements for the office space Great Oaks Water Company occupied as of May 15, 2009.

All employee hours expended for Great Oaks Water, LLC represent excess available time of employees on an as-needed basis, doing any required subsidiary work within their regular eight-hour day. Water company operations have always taken precedence. To the best of everyone's ability, LLC efforts have been scheduled around water company needs, or else postponed. No time has been spent that has reduced the level of water service in any way or resulted in any additional costs to the water company.

Note 2:

The company holds two notes receivable from Roeder Holdings, LLC totaling \$1,555,262 (see schedule A-9). The shareholders of Roeder Holdings, LLC are essentially the same shareholders that own Great Oaks Water Company.

**FOR ALL WATER COMPANIES
SAFE DRINKING WATER BOND ACT/STATE REVOLVING FUND DATA**

NONE

Please provide the following information relating to each Safe Drinking Water Bond Act (SDWBA) or Safe Drinking Water State Revolving Fund loan surcharge collection for the calendar year. Please use one page per loan.

1. Current Fiscal Agent:

Name: _____
 Address: _____
 Phone Number: _____
 Account Number: _____
 Date Hired: _____

2. Total surcharge collected from customers during the 12 month reporting period:

\$ _____

Meter Size	No. of Metered Customers	Monthly Surcharge Per Customer
3/4 inch		
1 inch		
1 1/2 inch		
2 inch		
3 inch		
4 inch		
6 inch		
Number of Flat Rate Customers		
Total		

3. Summary of the bank account activities showing:

Balance at beginning of year	\$ _____
Deposits during the year	_____
Interest earned for calendar year	_____
Withdrawals from this account	_____
Balance at end of year	_____

4. Reason or Purpose of Withdrawal from this bank account:

FOR ALL WATER COMPANIES
SAFE DRINKING WATER BOND ACT/STATE REVOLVING FUND DATA (Continued)

5. Plant amounts included in Schedule A-1a, Account No. 101--Water Plant in Service which were funded using SDWBA or SRF funds:

Line No.	Acct. No.	Title of Account (a)	Balance Beginning of Year (b)	Plant Additions During Year (c)	Plant Retirements During Year (d)	Other Debits* or (Credits) (e)	Balance End of Year (f)
1		NON-DEPRECIABLE PLANT					
2	301	Intangible plant					
3	303	Land					
4		Total non-depreciable plant					
				NONE			
5		DEPRECIABLE PLANT					
6	304	Structures					
7	307	Wells					
8	317	Other water source plant					
9	311	Pumping equipment					
10	320	Water treatment plant					
11	330	Reservoirs, tanks and sandpipes					
12	331	Water mains					
13	333	Services and meter installations					
14	334	Meters					
15	335	Hydrants					
16	339	Other equipment					
17	340	Office furniture and equipment					
18	341	Transportation equipment					
19		Total depreciable plant					
20		Total water plant in service					

FACILITIES FEES DATA

NONE

Please provide the following information relating to Facilities Fees for districts or subsidiaries servicing 2,000 or fewer connections for the calendar year. (Per D.91-04-068)

1. Trust Account Information:

Bank Name: _____
Address: _____
Account Number: _____
Date Opened: _____

2. Facilities Fees collected for new connections during the calendar year:

A. Commercial

<u>NAME</u>	<u>AMOUNT</u>
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____

B. Residential

<u>NAME</u>	<u>AMOUNT</u>
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____

3. Summary of the bank account activities showing:

	<u>AMOUNT</u>
Balance at beginning of year	\$ _____
Deposits during the year	\$ _____
Interest earned for calendar year	\$ _____
Withdrawals from this account	\$ _____
Balance at end of year	\$ _____

4. Reason or Purpose of Withdrawal from this bank account:

DECLARATION

(PLEASE VERIFY THAT ALL SCHEDULES ARE ACCURATE AND COMPLETE BEFORE SIGNING)

I, the undersigned _____ **John W S Roeder**
Officer, Partner, or Owner (Please Print)

of _____ **Great Oaks Water Company**
Name of Utility

under penalty of perjury do declare that this report has been prepared by me, or under my direction, from the books, papers and records of the respondent; that I have carefully examined the same, and declare the same to be a complete and correct statement of the business and affairs of the above-named respondent and the operations of its property for the period of January 1, 2012, through December 31, 2012.

_____ **Chairman & CEO**
Title (Please Print)

_____ */s/*
Signature

_____ **(408) 227.9540**
Telephone Number

_____ **3/29/2013**
Date

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