

## **APPENDIX E**

### **ADOPTED SURCHARGE TRANSMITTAL FORM**

**COMBINED CALIFORNIA PUC  
TELEPHONE SURCHARGE TRANSMITTAL**

MONTH ENDED \_\_\_\_/\_\_\_\_/\_\_\_\_ SIX-MONTH ENDED \_\_\_\_/\_\_\_\_/\_\_\_\_  
(MM) (YYYY) (6, 12) (YYYY)

Carrier Name: \_\_\_\_\_

Utility Identification Number: \_\_\_\_\_ or \_\_\_\_\_ check here, if application/registration pending.

**1. Total Intrastate end-user billings subject to surcharge for the period:** \$ \_\_\_\_\_

**2. UNIVERSAL LIFELINE TELEPHONE SERVICE PROGRAM (ULTS)**

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_ +/(-) \_\_\_\_\_ + \_\_\_\_\_ = \_\_\_\_\_  
Surcharge Amount Due Adjustments Interest/Penalty Total

**Make check payable to ULTS. Send check and a signed copy of this form to: Bank Of America NA,  
Mail Code CA 9-703-18-02, a/c# 66-01-100-8446565 ULTS, 333 S. Beaudry Avenue, Los Angeles, CA. 90017-1466.**

**3. CALIFORNIA RELAY SERVICE AND COMMUNICATIONS DEVICE FUND (CRS/CDF)**

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_ +/(-) \_\_\_\_\_ + \_\_\_\_\_ = \_\_\_\_\_  
Surcharge Amount Due Adjustments Interest/Penalty Total

**Make check payable to DEAF Trust. Send check and a signed copy of this form to: Bank Of America NA,  
Mail Code CA 9-703-18-02, a/c#66-01-100-5219780 DEAF, 333 S. Beaudry Avenue, Los Angeles, CA. 90017-1466**

**4. CALIFORNIA HIGH COST FUND A (CHCF-A)**

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_ +/(-) \_\_\_\_\_ + \_\_\_\_\_ = \_\_\_\_\_  
Surcharge Amount Due Adjustments Interest/Penalty Total

**Make check payable to CHCF-A. Send check and a signed copy of this form to: California Public Utilities Commission,  
Telecommunications Division, Public Programs Branch, 505 Van Ness Avenue, San Francisco, CA 94102**

**5. CALIFORNIA HIGH COST FUND B (CHCF-B)**

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_ +/(-) \_\_\_\_\_ + \_\_\_\_\_ = \_\_\_\_\_  
Surcharge Amount Due Adjustments Interest/Penalty Total

**Make check payable to CHCF-B. Send check and a signed copy of this form to: California High Cost Fund-B, File No. 73755,  
PO Box 60000, San Francisco, CA 94160-3755.**

**6. CALIFORNIA TELECONNECT FUND (CTF)**

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_ +/(-) \_\_\_\_\_ + \_\_\_\_\_ = \_\_\_\_\_  
Surcharge Amount Due Adjustments Interest/Penalty Total

**Make check payable to CTF. Send check and a signed copy of this form to: California Teleconnect Fund,  
PO Box 45254, CA 94145-9852.**

I hereby certify that this return, including accompanying schedules and statements, has been examined by me and to the best of my knowledge and belief is a true, correct and complete return.

\_\_\_\_\_  
SIGNATURE DATE TELEPHONE NUMBER EXT.

Typed Name \_\_\_\_\_ Title \_\_\_\_\_

Name of Reporting Agent if not carrier: \_\_\_\_\_

Street \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

SEND A SIGNED COPY OF THIS FORM TO:  
CALIFORNIA PUBLIC UTILITIES COMMISSION  
PUBLIC PROGRAMS BRANCH, TELECOMMUNICATIONS DIVISION  
505 VAN NESS AVE  
SAN FRANCISCO, CA 94102

TRUST OFFICE USE ONLY  
INPUT DATE \_\_\_\_\_  
STATEMENT DATE \_\_\_\_\_  
BY \_\_\_\_\_

**INSTRUCTIONS  
FOR  
THE COMBINED CALIFORNIA PUC TELEPHONE SURCHARGE TRANSMITTAL**

**Background**

1. All telecommunications carriers (carriers) authorized by the California Public Utilities Commission (CPUC or Commission) to operate in California are required to assess surcharges on their end-users and to remit the monies so collected in accordance with the directions of the Commission. A description of the telecommunications programs funded by these surcharges and historical surcharge rates since inception of the programs are available in the Telecommunications Division's Telecommunications Surcharges, Taxes and Form web-page at the Commission's web site ([www.cpuc.ca.gov/telecommunications/taxsur.htm](http://www.cpuc.ca.gov/telecommunications/taxsur.htm)).
2. Carriers must assess the surcharges on all of their billings for intrastate telecommunications services except for the following:
  - a. discounted services under the Universal Lifeline Telephone Service (ULTS) program;
  - b. charges to other carriers for resale purposes;
  - c. public phone coin in box and telephone debit cards;
  - d. contracts effective before 9/15/94;
  - e. usage charges to coin operated pay telephones;
  - f. sale and/or lease of customer premises equipment;
  - g. directory advertising; and
  - h. one-way radio paging.
3. Carriers shall report and remit surcharges using a Combined California PUC Telephone Surcharge Transmittal form (Transmittal Form). These instructions and the Transmittal Form will be revised periodically as necessary. A current copy of these instructions and the Transmittal Form are available in the Telecommunications Division's Telecommunications Surcharges, Taxes and Form web-page at the Commission's web site.
4. Carriers should file the Transmittal Form even if the amount due is zero.

**Reporting and Remitting the Surcharges**

5. All carriers must report and remit surcharges on a monthly basis, except for those that bill a *de minimis* amount of surcharges (the *de minimis* rule). The *de minimis* rule permits a carrier to report and remit all surcharges semi-annually on a cumulative basis covering a six-month period from January through June and from July through December. The *de minimis* rule applies to carriers whose average intrastate billings subject to surcharge are equal to or less than \$10,000 a month. Carriers that meet this criteria and wish to report and remit surcharges semi-annually must send a letter that includes: the carrier's legal name, the 4-digit utility identification number assigned by the Commission, and a statement to the fact that the average intrastate billings subject to surcharge are equal to or less than \$10,000 per month. For semi-annual reporting that begins in January, the letter must be sent prior to the date the January Transmittal Form is due. Similarly, for semi-annual reporting that begins in July, the letter must be sent prior to the date the July Transmittal Form is due. The letter should be addressed to:

California Public Utilities Commission  
Public Programs Branch, Telecommunications Division  
505 Van Ness Ave  
San Francisco, CA 94102

6. In the event that the total intrastate billings subject to surcharge exceeds \$60,000 for carriers reporting under the *de minimis* rule, the carrier must revert to the monthly reporting for all subsequent periods.
7. Carriers shall report all surcharges to the Commission using one Transmittal Form. The total intrastate billings subject to surcharge, i.e. line 1 in the Transmittal Form, must be filled in. For each of the telecommunications programs, i.e. line 2, line 3, and so on, the Surcharge Amount Due should include surcharges billed for the reporting period less estimated uncollectibles. If the surcharge amount due is less than one dollar (\$1), enter zero (\$0). Any adjustments that are not reflected in the billings should be distinctively identified in the Adjustments. These adjustments may include, but are not limited to, prior period adjustments, accounting adjustments, etc.
8. The Transmittal Form must be filed and surcharge monies must be remitted, i.e. postmarked or electronically posted, no later than the 10<sup>th</sup> day of the second month, i.e. approximately 40 days, following the close of the reporting period. Carriers that file the Transmittal Form and/or remit the surcharge monies after the due date must include a penalty equal to an annual rate of 10%. The penalty is to be assessed on the surcharge amount due, including any adjustments, starting from the 41<sup>st</sup> day after the close of the reporting period to the date that the Transmittal Form is filed or surcharge monies are remitted, whichever is later.
9. Remittances may be made by check. If remittance is by check, the checks should be made payable to the appropriate program or fund. Depending on the program or fund, it may be possible to make electronic remittances by (i) Automated Clearing House (ACH) credit transfers, or (ii) wire transfers. Prior approval is necessary for remittance by ACH or wire transfer. For more information on the availability of electronic remittances, and to obtain approval for electronic remittance, please call the Universal Lifeline Telephone Service Program at 1 510-452-2757; the California Relay Service and Communications Device Fund at 510-302-1100; and the California High Cost Fund-A, the California High Cost Fund-B, and the California Teleconnect Fund at call 415-703-1638.
10. A signed copy of the Transmittal Form must be filed with the Commission at the following address:

California Public Utilities Commission  
Telecommunications Division, Public Programs Branch  
505 Van Ness Ave  
San Francisco, CA 94102

The Transmittal Form should be mailed on the same date that the funds are remitted. Carriers utilizing the Electronic Filing (EF) program in reporting surcharges to the Commission are not required to file the Transmittal Form with the Commission; but a signed copy of the Transmittal Form and the check must be mailed together to the banks.

11. Carriers are encouraged to use the EF program at <http://TELSQL1.cpuc.ca.gov> to report surcharges. The EF program is an Internet-based program allowing carriers to maintain regulatory contact information, report surcharges, and report PUC Utility Reimbursement Account activities online. A copy of the EF Program User Manual is available at the same web-site. Carriers may direct their questions regarding this program by e-mail to [telcofiling@cpuc.ca.gov](mailto:telcofiling@cpuc.ca.gov).

### **Verification and Revocation of Certificate of Public Convenience and Necessity**

12. All Transmittal Forms are subject to audit verification by the Commission or Commission designee(s). Carriers should remit surcharges for each of the public programs identified in the Surcharge Table below. Carriers that are 90 days or more in arrears on reporting and remitting surcharges may be subject to revocation of their authority to operate in California.

### **Surcharges Rates from February 1, 1997, to Present**

<b>Surcharge Table *</b>					
<u>Effective Period</u>	<u>ULTS</u>	<u>CRS/CDF</u>	<u>CHCF-A</u>	<u>CHCF-B</u>	<u>CTF</u>
Effective 01/01/2000	0.500%	0.192%	0.000%	2.600%	0.050%
01/01/99 to 12/31/99	0.000%	0.192%	0.000%	3.800%	0.050%
08/01/98 to 12/31/98	2.400%	0.250%	0.000%	2.870%	0.050%
01/01/98 to 08/01/98	2.400%	0.250%	0.000%	2.870%	0.410%
02/01/97 to 12/31/97	3.200%	0.360%	0.000%	2.870%	0.410%

\* This table will be revised periodically to reflect the appropriate public programs and their applicable surcharge rates as adopted by the Commission.

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END

(End of Appendix E)