

Steven L. Beshear  
Governor

Leonard K. Peters  
Secretary  
Energy and Environment Cabinet



Commonwealth of Kentucky  
**Public Service Commission**  
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David L. Armstrong  
Chairman

James W. Gardner  
Vice Chairman

Linda Breathitt  
Commissioner

August 20, 2013

David S. Samford, Esq.  
Goss Samford, PLLC  
2365 Harrodsburg Road, Suite B130  
Lexington, Kentucky 40504

Re: Case No. 2013-00172  
Fern Lake Company

Dear Mr. Samford:

The Statement of Disclosure of Related Party Transactions, ARF Form 3, was not included with the application filed by Fern Lake Company on April 30, 2013. Under 807 KAR 5:076, Section 4(1)(h), an ARF Form 3 must be completed by each member of the board of commissioners or board of directors; each person who has an ownership interest of ten percent or more in the utility, and the utility's chief executive officer. A copy of the ARF Form 3 is attached for your convenience. Please have the required personnel complete the ARF Form 3 and return the form to the Public Service Commission no later than August 30, 2013. Be sure the notary section of each form is completed.

Any questions regarding the ARF Form 3 should be directed to Ann Ramser, Staff Attorney, at (502) 782-2585.

Sincerely,

A handwritten signature in black ink, appearing to read "Jeff Derouen".

Jeff Derouen  
Executive Director

AR/kar  
Enclosure

**STATEMENT OF DISCLOSURE OF  
RELATED PARTY TRANSACTIONS**

I swear or affirm to the best of my knowledge and belief the information set forth below represents all present transactions and those transactions occurring within the past twenty-four (24) months between \_\_\_\_\_ ("Utility") and related parties that exceed \$25.00 in value. For the purpose of this statement, "related party transactions" include, all transactions and payments in excess of \$25.00, except regular salary, wages and benefits, made directly to or on behalf of: 1) the Utility's current or former employees; 2) current or former members of the Utility's board of commissioners or board of directors; 3) persons who have a 10 percent or greater ownership interest in the Utility; 4) family members\* of any current Utility employee, director, commissioner or person with a 10 percent or greater ownership interest in the Utility or 5) a business enterprise in which any current or former Utility employee, director, commissioner or person with a 10 percent or greater ownership interest in the Utility or a family member of such person has an ownership interest.

Name of Related Party (Individual or Business)	Type of Service Provided By Related Party	Amount of Compensation

☐ Check this box if the Utility has no related party transactions.

☐ Check box if additional transactions are listed on the supplemental page.

\_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(Signed)

\_\_\_\_\_  
(Position/Office)

\* "Family Member" means any person who is the spouse, parent, sibling, child, mother-in-law, father-in-law, son-in-law, daughter-in-law, grandparent, or grandchild of any current Utility employee, director, commissioner or person with a 10 percent or greater ownership interest in the Utility; or is a dependent for tax purposes of any Utility employee, director, commissioner or person with a 10 percent or greater ownership interest in the Utility or his or her spouse; or who is a member of the household of any Utility employee, director, commissioner or person with a 10 percent or greater ownership interest in the Utility.

COMMONWEALTH OF KENTUCKY

COUNTY OF \_\_\_\_\_

Subscribed and sworn to before me by \_\_\_\_\_  
(Name)

this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
NOTARY PUBLIC  
State-at-Large