

## ANNUAL COMPLIANCE INSTRUCTIONS:

Uniform Business Practices (UBP) Section 2.D requires that each eligible ESCO, whether actively marketing or not, currently serving customers or not, must file annual update information. All ESCOs must inform the Department annually by **January 31** that their existing Retail Access Application Package (RAAF) is current, OR provide a description of the revised portions identifying the changes or provide the actual revisions.

In addition, ESCOs must notify the Department if there have been any updates to the Third Party Vendor Information provided to us as required in the February 25, 2014 Order. Please identify if vendors have been removed and the new replacement vendor(s), if any.

If there are no contact or business changes, you must file an attestation letter affirming all information on file is still current and valid.

**Please note the process for submitting your filing has changed. All substantive changes/updates or attestation letter should be filed using our Document Matter Management (DMM) system. No hard copies or e-mails will be accepted.**

## FOR BOTH PUBLIC AND TRADE SECRET FILINGS:

ESCOs are directed to e-file this information with the Secretary by the due date listed above in DMM **Matter Number: 14-02554**. Directions on how to e-file with the Secretary can be found on our website:

<http://www3.dps.ny.gov/W/PSCWeb.nsf/All/4BDF59B70BABE01585257687006F3A57?OpenDocument>

*Please note:* If you are filing with Trade Secret Protection, you are required to submit a trade secret letter addressed to the Records Access Officer, a cover letter addressed to the Secretary, the original document and a redacted document.

You may contact the records access office with questions at [recordsaccessofficer@dps.ny.gov](mailto:recordsaccessofficer@dps.ny.gov).

**For help using DMM please contact the DMM Help Desk at 518-474-3204.**