

**DOCKET**

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**DATE** DEC 03 2007

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**BEFORE THE PUBLIC UTILITIES COMMISSION  
OF THE STATE OF CALIFORNIA**

Order Instituting Rulemaking to Implement the  
Commission's Procurement Incentive  
Framework and to Examine the Integration of  
Greenhouse Gas Emissions Standards into  
Procurement Policies.

Rulemaking 06-04-009  
(Filed April 13, 2006)

Order Instituting Informational Proceeding –  
AB-32

CEC Docket Number 07-OIP-01

**COMMENTS OF KENNETH C. JOHNSON  
PERTAINING TO MODELING-RELATED ISSUES**

Kenneth C. Johnson  
2502 Robertson Rd  
Santa Clara, CA 95051  
408-244-4721  
kjinnovation@earthlink.net

December 3, 2007

**COMMENTS OF KENNETH C. JOHNSON  
PERTAINING TO MODELING-RELATED ISSUES**

Kenneth C. Johnson, an unaffiliated individual, U.S. citizen, and resident of California having a personal interest in and concern about climate change, respectfully submits the following comments in response to the *Administrative Law Judge's Ruling Requesting Comments on Modeling-Related Issues* (11/09/2007).

The November 9 ALJ ruling requests comments on the Energy and Environmental Economics, Inc. (E3) modeling methodology. The ruling also seeks comment on the Public Utilities Commission Staff workpaper entitled "Greenhouse Gas Emissions Reduction Measures for the Electricity and Natural Gas Sectors Under Consideration as Part of R.06-04-009," included with the ruling as Attachment A.

Much of the E3 modeling effort is focused on issues of resource availability and costs of technology and infrastructure associated with decarbonization of California's electricity resources. Other issues of importance are the regulatory costs associated with GHG caps and standards, distributional impacts of alternative allocation methods, and the efficacy of regulatory incentives in inducing emission reductions. Regarding regulatory incentives, Attachment A to the ruling states the following:

As many of the opportunities identified on the outer margin of potential emission reduction measures are in early stages of technological development, any GHG framework's ability to stimulate innovation is particularly valuable for capturing these potential reductions. By providing an economic incentive to exceed compliance with existing regulations where possible, a cap and trade program can spur innovation to pursue potentially cost effective opportunities outside the realm of existing control measures.

Under a cap and trade program, marginal incentives for emission reductions are reflected by the emission price, but the economic and practical feasibility of imposing a stringent target and high price can be limited by distributional costs of the regulations. A variety of distributional policy objectives and allocation methodologies were discussed in the October 15 ALJ ruling on allowance allocation issues and in respondents' comments.

These include grandfathering, distribution proportionate to “economic harm”, direct distribution to the public or “in the public interest”, and output-based refunding. The discussions were primarily non-quantitative and conceptual in nature, but serious consideration of any of these proposals requires at least an estimate of the quantitative economic impacts of such policies in terms of both their cost burden and their efficacy in incentivizing decarbonization of electricity generation.

The following comments provide such an estimation for several allocation methods. The purpose of this analysis is not just to advocate a particular allocation method, but rather to propound an accounting methodology that provides a high degree of transparency, accountability, and administrative control over the distributional impacts of regulation. This approach determines not only the total regulatory cost incurred, or gain accrued, by any particular entity, but also provides a complete accounting of where that particular entity’s costs are going or where the subsidies are coming from. Individual cross-subsidies between specific industry sub-sectors can be administratively controlled to manage distributional impacts and regulatory incentives in an efficacious manner.

The analysis applies to a cap-and-trade system with 100% auctioning, but the same principles apply to administrative allowance allocation, which is substantially equivalent to a refunded auction that uses the same proportionate allocation formula for refund distribution. Three policies are modeled, including an unrefunded auction, an auction with 100% output-based refunding, and a modified output-based refunding method that is administratively modified to selectively eliminate large cross-subsidies that do not serve useful policy objectives.

In these examples, the CA 2004 electricity market is subdivided into sub-sectors defined by fuel type. The same approach could be used to further subdivide the market into individual regulated entities or geographic regions and account for cross-subsidies between specific entities or regions. If the auction revenue is not all returned to the regulated sector, then the state or any beneficiaries of the revenue should be included in the accounting, which should specify what portion of any particular entity’s regulatory cost goes to any such beneficiary.

The analysis approach can be extended to cover CHP or other types of industrial combustion, e.g., by defining a MWh-equivalent valuation metric for usable heat output.

The data for the analysis was recently provided by ARB in two spreadsheets, one that provides a breakdown of California electricity generation and emission by fuel type, and one that provides a similar breakdown of California electricity imports.<sup>1</sup> The data is tabulated in Appendix A.

Table 1 shows a fuel breakdown of the 2004 CA electricity market in terms of generation, emissions, and emission intensity. Table 2 shows what the regulatory costs would be for an unrefunded auction with an emission price of \$10 per MTCO<sub>2</sub>e. Industry-average emission charges would be \$4.05/MWh, and aggregate revenue would be \$1.2 billion.

Under a refunded auction with pure output-based allocation the revenue would be distributed to regulated entities in proportion to generation output, at a refund rate (\$4.05/MWh) determined to achieve revenue neutrality. This is shown in Table 3. (The formulas underlying Table 3 are outlined in the Appendix B.) Marginal incentives for emission intensity reduction would not be affected by the refund, and the relative competitiveness of alternative fuels would not be affected, but regulatory costs would be greatly diminished (e.g. the emission charge for CA Coal would be reduced from \$11.55/MWh to \$7.50/MWh, and non-emitting sources receive subsidies of \$4.05/MWh).

The aggregate net emission charges in Table 3 can be disaggregated into individual cross-sector revenue flows, shown in Table 4. For example, there would be a \$103.31 million cross-subsidy from Import Coal to CA NG. (The disaggregation formula is outlined in Appendix B.) If the auction is not revenue-neutral within the electricity sector, then this table would be augmented with additional rows and columns to account for all additional revenue sources and sinks.

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<sup>1</sup> This data was received from Larry Hunsaker (lhunsake@arb.ca.gov) on Nov. 27, 2007. The file names are Electricity Generation (November 27, 2007).xls  
Electricity Profile for CA Imports (November 26, 2007).xls  
Mr. Hunsaker noted that "This is an update to the frozen numbers on our site which we will go to the Board with, this update will make its way into future inventory improvements ..."

Sub-sector	Generation (GWh)	Emissions (MMT-CO2e)	Generation (%)	Emissions (%)	Emission Intensity (MT/MWh)
CA Coal	2244.00	2.59	0.77%	2.18%	1.16
Import Coal	57838.00	58.47	19.75%	47.56%	0.98
CA NG	100455.00	45.77	34.31%	38.55%	0.46
Import NG	9013.00	4.43	3.08%	3.73%	0.49
CA Nuclear	30268.00	0.00	10.34%	0.00%	0.00
CA Hydro	33324.00	0.00	11.38%	0.00%	0.00
Import NonEmitting	31170.00	0.00	10.64%	0.00%	0.00
CA WindSolar	4877.00	0.00	1.67%	0.00%	0.00
CA Biomass	6335.00	0.35	2.16%	0.29%	0.05
CA Geothermal	13105.00	2.07	4.48%	1.75%	0.16
CA OtherGas	1862.00	4.64	0.64%	3.91%	2.49
CA Petroleum	2310.00	2.40	0.79%	2.02%	1.04
Import Distillate	21.00	0.02	0.01%	0.01%	0.76
Total:	292822.00	118.73	100.00%	100.00%	0.41

Table 1. California 2004 electricity market.

Sub-sector	Emission Charge (\$/MWh)	Aggregate Charge (M\$)
CA Coal	11.55	25.92
Import Coal	9.76	564.65
CA NG	4.56	457.67
Import NG	4.91	44.27
CA Nuclear	0.00	0.00
CA Hydro	0.00	0.00
Import NonEmitting	0.00	0.00
CA WindSolar	0.00	0.00
CA Biomass	0.55	3.47
CA Geothermal	1.58	20.74
CA OtherGas	24.94	46.44
CA Petroleum	10.39	24.01
Import Distillate	7.62	0.16
Total:	4.05	1187.33

Table 2. Unrefunded auction at \$10/MTCO2e.

Sub-sector	Emission Charge (\$/MWh)	Refund (\$/MWh)	Net Charge (\$/MWh)	Aggregate Charge (M\$)	Aggregate Refund (M\$)	Agg.Net Charge (M\$)
CA Coal	11.55	4.05	7.50	25.92	9.10	16.82
Import Coal	9.76	4.05	5.71	564.65	234.52	330.13
CA NG	4.56	4.05	0.50	457.67	407.32	50.35
Import NG	4.91	4.05	0.86	44.27	36.55	7.72
CA Nuclear	0.00	4.05	-4.05	0.00	122.73	-122.73
CA Hydro	0.00	4.05	-4.05	0.00	135.12	-135.12
Import NonEmitting	0.00	4.05	-4.05	0.00	126.39	-126.39
CA WindSolar	0.00	4.05	-4.05	0.00	19.78	-19.78
CA Biomass	0.55	4.05	-3.51	3.47	25.69	-22.22
CA Geothermal	1.58	4.05	-2.47	20.74	53.14	-32.40
CA OtherGas	24.94	4.05	20.89	46.44	7.55	38.89
CA Petroleum	10.39	4.05	6.34	24.01	9.37	14.64
Import Distillate	7.62	4.05	3.56	0.16	0.09	0.07
Total:	4.05	4.05	0.00	1187.33	1187.33	0.00

Table 3. Pure output-based refund allocation at \$10/MTCO<sub>2e</sub>.

Table 3 shows that Hydro and Nuclear would receive large subsidies (\$4.05/MWh), primarily from Coal and NG (cf. Table 4). Unless it is a policy objective to expand Hydro and Nuclear to replace Coal and NG, this subsidy does not serve a useful purpose – it only diverts economic resources that might be more usefully spent on sequestration or renewable energy. (For simplicity, this analysis assumes that “non-emitting” imports are Hydro or Nuclear, and no distinction is made between small and large Hydro.) Also, the cross subsidy from Coal to NG may be counterproductive because of the economic impact of NG demand on other industries that rely on NG, and because substitution of NG for Coal is not a viable long-term decarbonization strategy. Therefore, it may be advantageous to selectively eliminate these cross-subsidies, as illustrated in Table 5 (shaded cells). Alternatively, the cross-subsidies might be phased in over a period of time, gradually evolving toward pure output-based allocation.

Table 6 shows the effect of the cross-subsidy elimination on regulatory costs. The net charges per MWh (middle column) are reduced substantially for both Coal and NG. (Compare Net Charge columns in Tables 3 and 6.) Hydro and Nuclear subsidies are eliminated, there is no change for Wind/Solar, and the net subsidies for Biomass and Geothermal are slightly increased because they are not subsidizing Hydro and Nuclear.

	CA Coal	Import Coal	CA NG	Import NG	CA Nuclear	CA Hydro	Import Non-Emitting	CA Wind-Solar	CA Biomass	CA Geothermal	CA Other Gas	CA Petroleum	Import Distillate
CA Coal	0.00	0.79	5.38	0.46	2.68	2.95	2.76	0.43	0.53	1.00	-0.19	0.02	0.00
Import Coal	-0.79	0.00	103.31	8.64	58.37	64.26	60.11	9.40	11.53	21.17	-5.58	-0.29	0.01
CA NG	-5.38	-103.31	0.00	-1.10	47.31	52.08	48.72	7.62	8.71	13.37	-13.02	-4.63	-0.02
Import NG	-0.46	-8.64	1.10	0.00	4.58	5.04	4.71	0.74	0.85	1.34	-1.15	-0.39	0.00
CA Nuclear	-2.68	-58.37	-47.31	-4.58	0.00	0.00	0.00	0.00	-0.36	-2.14	-4.80	-2.48	-0.02
CA Hydro	-2.95	-64.26	-52.08	-5.04	0.00	0.00	0.00	0.00	-0.39	-2.36	-5.29	-2.73	-0.02
Import NonEmitting	-2.76	-60.11	-48.72	-4.71	0.00	0.00	0.00	0.00	-0.37	-2.21	-4.94	-2.56	-0.02
CA WindSolar	-0.43	-9.40	-7.62	-0.74	0.00	0.00	0.00	0.00	-0.06	-0.35	-0.77	-0.40	0.00
CA Biomass	-0.53	-11.53	-8.71	-0.85	0.36	0.39	0.37	0.06	0.00	-0.29	-0.98	-0.49	0.00
CA Geothermal	-1.00	-21.17	-13.37	-1.34	2.14	2.36	2.21	0.35	0.29	0.00	-1.95	-0.91	-0.01
CA OtherGas	0.19	5.58	13.02	1.15	4.80	5.29	4.94	0.77	0.98	1.95	0.00	0.21	0.00
CA Petroleum	-0.02	0.29	4.63	0.39	2.48	2.73	2.56	0.40	0.49	0.91	-0.21	0.00	0.00
Import Distillate	0.00	-0.01	0.02	0.00	0.02	0.02	0.02	0.00	0.00	0.01	0.00	0.00	0.00

Table 4. Cross-sector revenue flows (M\$) for pure output-based refund allocation.

	CA Coal	Import Coal	CA NG	Import NG	CA Nuclear	CA Hydro	Import Non-Emitting	CA Wind-Solar	CA Biomass	CA Geothermal	CA Other Gas	CA Petroleum	Import Distillate
CA Coal	0.00	0.79						0.43	0.53	1.00	-0.19	0.02	0.00
Import Coal	-0.79	0.00						9.40	11.53	21.17	-5.58	-0.29	0.01
CA NG			0.00	-1.10				7.62	8.71	13.37	-13.02	-4.63	-0.02
Import NG			1.10	0.00				0.74	0.85	1.34	-1.15	-0.39	0.00
CA Nuclear					0.00	0.00	0.00						
CA Hydro					0.00	0.00	0.00						
Import NonEmitting					0.00	0.00	0.00						
CA WindSolar	-0.43	-9.40	-7.62	-0.74				0.00	-0.06	-0.35	-0.77	-0.40	0.00
CA Biomass	-0.53	-11.53	-8.71	-0.85				0.06	0.00	-0.29	-0.98	-0.49	0.00
CA Geothermal	-1.00	-21.17	-13.37	-1.34				0.35	0.29	0.00	-1.95	-0.91	-0.01
CA OtherGas	0.19	5.58	13.02	1.15				0.77	0.98	1.95	0.00	0.21	0.00
CA Petroleum	-0.02	0.29	4.63	0.39				0.40	0.49	0.91	-0.21	0.00	0.00
Import Distillate	0.00	-0.01	0.02	0.00				0.00	0.00	0.01	0.00	0.00	0.00

Table 5. Cross-sector revenue flows (M\$) for modified output-based refund allocation.

Sub-sector	Agg.Net Charge (M\$)	Net Charge (\$/MWh)	Refund (\$/MWh)
CA_Coal	2.59	1.15	10.40
Import_Coal	35.45	0.61	9.15
CA_NG	10.93	0.11	4.45
Import_NG	2.49	0.28	4.64
CA_Nuclear	0.00	0.00	0.00
CA_Hydro	0.00	0.00	0.00
Import_NonEmitting	0.00	0.00	0.00
CA_WindSolar	-19.78	-4.05	4.05
CA_Biomass	-23.34	-3.68	4.23
CA_Geothermal	-39.11	-2.98	4.57
CA_OtherGas	23.86	12.81	12.13
CA_Petroleum	6.87	2.98	7.42
Import_Distillate	0.02	1.10	6.52
Total:	0.00	0.00	4.05

Table 6. Modified output-based allocation at \$10/MTCO<sub>2</sub>e.

All of the dollar-dimensioned values in the above tables scale in proportion to the emission price, assumed here to be \$10/MTCO<sub>2</sub>e. By mitigating the distributional impacts of regulation, it becomes possible to apply a more stringent cap (or higher price floor) consistent with the 2020 emission target and with the AB 32 mandate requiring “the maximum technologically feasible and cost-effective greenhouse gas emission reductions”.

Respectfully submitted,

/s/ *Kenneth C. Johnson*

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Kenneth C. Johnson  
2502 Robertson Rd  
Santa Clara, CA 95051  
408-244-4721  
kjinnovation@earthlink.net

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## Appendix A: California Electricity Sector Data

November 27, 2007		Generation for CA (GWh)													
Generation Source	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004
Imports (ARB Method)	109,035	102,392	84,659	88,559	89,468	92,233	96,110	102,528	102,366	104,181	78,557	80,905	94,766	93,249	98,043
Specified	41,209	41,435	44,037	42,430	42,866	40,763	41,319	44,536	47,262	46,571	47,347	48,276	47,337	46,680	47,930
Unspecified	67,826	60,956	40,622	46,128	46,602	51,470	54,791	57,992	55,104	57,610	31,210	32,629	47,430	46,569	50,113
In-State (EIA Data)	165,785	158,948	177,155	186,991	186,192	181,463	175,263	172,798	189,601	188,319	208,083	198,586	184,210	192,789	194,780
Wind/Solar	3,126	3,386	3,263	3,446	3,873	3,583	3,600	3,648	3,260	3,725	4,011	4,042	4,357	4,429	4,877
Biomass	6,148	6,500	6,949	6,663	6,777	5,297	5,203	5,332	5,462	5,793	6,172	5,610	6,349	6,373	6,335
Geothermal	14,521	14,785	14,771	14,948	13,660	11,450	12,340	12,716	12,840	13,046	12,309	12,181	13,074	12,982	13,105
Hydroelectric	24,779	22,057	20,163	40,775	23,947	50,540	46,946	42,068	50,757	40,350	39,272	25,192	30,900	35,458	33,324
Nuclear	32,693	31,542	35,244	31,581	33,752	30,246	34,097	30,512	34,594	33,372	35,176	33,220	34,362	35,594	30,268
Natural Gas	74,168	74,006	88,705	79,644	94,432	72,579	64,414	71,002	75,132	85,099	103,219	111,932	89,624	91,432	100,455
Other Gases	2,147	1,978	2,715	3,097	2,959	2,595	3,217	2,984	3,077	2,418	2,687	1,130	1,240	1,759	1,862
Petroleum	5,565	2,061	2,045	3,706	3,519	2,386	2,918	2,203	2,320	2,220	2,873	3,056	1,987	2,435	2,310
Coal	2,638	2,632	3,300	3,130	3,272	2,787	2,529	2,332	2,159	2,296	2,364	2,233	2,328	2,326	2,244

		Emissions (MMTCO2E)													
Generation Source	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004
Imports (ARB Method)	61,910	57,581	50,226	55,878	56,487	54,979	50,791	57,639	60,684	57,574	42,632	50,857	50,955	57,558	60,908
Specified	29,605	28,496	31,168	29,901	30,247	27,474	26,859	28,645	30,312	30,061	30,732	32,838	31,349	31,983	33,179
Unspecified	32,305	29,085	19,058	25,978	26,240	27,505	23,932	28,994	30,371	27,513	11,900	18,019	19,606	25,575	27,729
In-State (EIA Data)	47,489	44,911	53,172	49,744	56,991	44,009	40,876	42,919	46,685	50,602	60,141	64,274	50,566	49,219	57,824
Wind/Solar															
Biomass	0.439	0.391	0.417	0.404	0.406	0.364	0.364	0.357	0.355	0.374	0.375	0.379	0.396	0.378	0.347
Geothermal	2.307	2.338	2.326	2.354	2.151	1.803	1.948	2.007	2.032	2.065	1.948	1.928	2.069	2.054	2.074
Hydroelectric															
Nuclear															
Natural Gas	36.591	36.721	43.872	38.799	46.050	34.744	30.980	34.370	35.654	39.793	48.744	54.569	41.374	39.271	45.767
Other Gases	0.923	1.000	1.456	1.790	2.059	1.839	2.074	1.723	4.105	3.738	3.907	2.064	1.536	2.694	4.644
Petroleum	4.697	1.912	1.978	3.298	3.152	2.471	3.076	2.315	2.501	2.383	2.897	3.196	2.790	2.647	2.401
Coal	2.531	2.550	3.122	3.098	3.173	2.787	2.433	2.148	2.038	2.250	2.271	2.138	2.401	2.174	2.592

**Imported Power (November 26, 2007)**

Import Type	Region	Fuel	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004
Specified	PNW	Coal	1,160	1,510	1,701	1,546	1,688	1,236	1,007	896	1,560	1,154	747	706	601	684	564
Specified	PNW	Natural Gas															
Specified	PNW	Distillate	2	3	2	2	2	3	2	3	2	1	1	0	1	2	1
Specified	PNW	Residual Fuel Oil															
Specified	PNW	Non-Emitting															
Unspecified	PNW	Coal	7,126	6,458	4,327	3,397	3,346	4,404	6,680	5,695	4,303	5,926	4,333	3,742	5,799	8,406	6,942
Unspecified	PNW	Natural Gas												1,247	1,883	2,151	2,597
Unspecified	PNW	Non-Emitting															
Specified	PSW	Coal	28,505	25,834	17,310	13,589	13,386	17,616	26,720	22,781	17,211	23,704	17,330	8,004	22,209	14,460	14,072
Specified	PSW	Natural Gas	29,612	27,991	30,525	30,429	29,823	27,086	26,722	29,291	30,608	30,795	32,046	33,826	32,390	32,967	34,564
Specified	PSW	Distillate	258	221	215	257	234	196	173	213	212	224	217	253	205	131	135
Specified	PSW	Residual Fuel Oil	35	32	25	22	17	13	18	19	19	16	29	48	24	31	20
Specified	PSW	Non-Emitting	1	0		0	0		3	0							
Specified	PSW	Non-Emitting	10,142	11,678	11,568	10,174	11,101	12,230	13,394	14,114	14,862	14,381	14,306	13,443	14,117	12,865	12,646
Unspecified	PSW	Coal	23,824	21,212	14,049	21,565	22,104	21,793	15,829	21,841	24,856	20,705	7,065	11,486	10,611	13,255	15,768
Unspecified	PSW	Natural Gas												3,416	3,367	4,224	6,281
Unspecified	PSW	Non-Emitting	8,371	7,453	4,936	7,577	7,766	7,657	5,562	7,674	8,733	7,275	2,482	4,732	3,560	4,073	4,452
<b>Total Generation</b>			<b>109,035</b>	<b>102,392</b>	<b>84,659</b>	<b>88,559</b>	<b>89,468</b>	<b>92,233</b>	<b>96,110</b>	<b>102,528</b>	<b>102,366</b>	<b>104,181</b>	<b>78,557</b>	<b>80,905</b>	<b>94,766</b>	<b>93,249</b>	<b>98,043</b>

**Imported Power Emissions (MMTCOE)**

Import Type	Region	Fuel	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004
Specified	PNW	Coal	1,208	1,546	1,666	1,538	1,739	1,304	1,045	0,906	1,616	1,155	0,744	0,674	0,570	0,675	0,545
Specified	PNW	Natural Gas															
Specified	PNW	Distillate	0,002	0,002	0,001	0,002	0,002	0,002	0,002	0,002	0,002	0,001	0,001	0,000	0,001	0,002	0,001
Specified	PNW	Residual Fuel Oil															
Specified	PNW	Non-Emitting															
Unspecified	PNW	Coal	7,673	6,981	4,534	3,623	3,526	4,756	7,382	6,238	4,661	6,356	4,696	3,904	6,244	8,944	7,436
Unspecified	PNW	Natural Gas												0,646	0,947	1,034	1,309
Unspecified	PNW	Non-Emitting															
Specified	PSW	Coal	28,216	26,797	29,356	28,200	28,358	26,045	25,691	27,596	28,551	28,757	29,807	31,951	30,634	31,200	32,531
Specified	PSW	Natural Gas	0,153	0,126	0,126	0,147	0,134	0,112	0,104	0,126	0,129	0,135	0,152	0,167	0,127	0,083	0,087
Specified	PSW	Distillate	0,025	0,024	0,019	0,015	0,013	0,010	0,014	0,015	0,014	0,012	0,030	0,045	0,017	0,024	0,015
Specified	PSW	Residual Fuel Oil	0,001	0,000		0,000	0,000		0,003	0,000							
Specified	PSW	Non-Emitting															
Unspecified	PSW	Coal	24,632	22,104	14,524	22,354	22,714	22,748	16,550	22,756	25,710	21,157	7,203	11,590	10,745	13,407	15,953
Unspecified	PSW	Natural Gas												1,876	1,670	2,190	3,031
Unspecified	PSW	Non-Emitting															
<b>Total Emissions</b>			<b>61,910</b>	<b>57,581</b>	<b>50,226</b>	<b>55,878</b>	<b>58,487</b>	<b>54,979</b>	<b>50,791</b>	<b>57,639</b>	<b>60,684</b>	<b>57,574</b>	<b>42,632</b>	<b>50,857</b>	<b>50,955</b>	<b>57,558</b>	<b>60,908</b>

## **Appendix B: Calculation formulas for output-based refund allocation.**

A conceptual overview of the output-based allocation method is provided in my November 12, 2007 reply comments (Appendix) responding to the October 15 ALJ ruling on allowance allocation issues. Following the same notation conventions, the electricity sector is segmented into sub-sectors Coal, NG, etc. which will be indicated by the symbol  $S$ . During a particular compliance period, sub-sector  $S$  generates emissions  $E^{[S]}$  in connection with generation output  $Q^{[S]}$ . The auction effectively imposes a tax  $T^{[S]}$  on the emissions from  $S$ , and the refund to  $S$  is  $R^{[S]}$ . Aggregate quantities over the entire electricity sector are indicated without the superscript,

$$\begin{aligned} E &= \sum_S E^{[S]}, & Q &= \sum_S Q^{[S]} \\ T &= \sum_S T^{[S]}, & R &= \sum_S R^{[S]} \end{aligned}$$

For simplicity, it is assumed that a uniform emission price  $p$  applies to all emissions; and a uniform refund rate  $c$  applies to generation output,

$$\begin{aligned} T^{[S]} &= p E^{[S]} \\ R^{[S]} &= c Q^{[S]} \end{aligned}$$

(As noted in my November 12 reply comments, the refund rate should be prorated to the price if the latter is nonuniform.) Based on the revenue-neutrality condition, the refund rate is equal to the price times the electricity sector's aggregate emission intensity,

$$R = T \rightarrow c = p \frac{E}{Q}$$

The Refund (\$/MWh) column in Table 3 is based on the above equation.

The net emission charge aggregated over sub-sector  $S$ , denoted as  $F^{[S]}$ , is

$$F^{[S]} = T^{[S]} - R^{[S]} = p E^{[S]} - c Q^{[S]}$$

Substituting the preceding equations for  $c$ ,  $E$  and  $Q$ , the emission charge  $F^{[S]}$  can be represented as a sum of cross-subsidies  $F^{[S \rightarrow S']}$  between sub-sectors  $S$  and  $S'$ ,

$$F^{[S]} = \sum_{S'} F^{[S \rightarrow S']}$$

wherein

$$F^{[S \rightarrow S']} = p \left( \frac{E^{[S]}}{Q^{[S]}} - \frac{E^{[S']}}{Q^{[S']}} \right) \frac{Q^{[S]} Q^{[S']}}{Q}$$

Table 4 is based on this equation. (Note that the above cross-subsidy is proportionate to the difference in emission intensity between sub-sectors  $S$  and  $S'$ , with the direction of revenue flow depending on which sub-sector has better emission performance.)

After the highlighted modifications in Table 5 are made, the redefined  $F^{[S \rightarrow S']}$  terms in each table row are summed over  $S'$  to determine  $F^{[S]}$ . This is the Aggregate Net Charge (M\$) in Table 6. The Net Charge (\$/MWh) is  $F^{[S]} / Q^{[S]}$ . A revised refund rate  $c^{[S]}$  for sub-sector  $S$  is defined according to the relation,

$$F^{[S]} = p E^{[S]} - c^{[S]} Q^{[S]}$$

This yields

$$c^{[S]} = \frac{p E^{[S]} - F^{[S]}}{Q^{[S]}}$$

This is the Refund (\$/MWh) column in Table 6.

### **CERTIFICATE OF SERVICE**

I hereby certify that I have this day served a copy of COMMENTS OF KENNETH C. JOHNSON PERTAINING TO MODELING-RELATED ISSUES on the service list for CPUC Docket No. R.06-04-009 and CEC Docket No. 07-OIIP-01 by serving a copy to each party by electronic mail and/or by mailing a properly addressed copy by first-class mail with postage prepaid.

Executed on December 3, 2007, at Santa Clara, California.

*/s/ Kenneth C. Johnson*

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Kenneth C. Johnson  
2502 Robertson Rd  
Santa Clara, CA 95051  
408-244-4721  
kjinnovation@earthlink.net

# **CALIFORNIA PUBLIC UTILITIES COMMISSION**

## **Service List**

**Proceeding: R0604009**

**Last changed: November 30, 2007**

### **Parties**

CINDY ADAMS  
COVANTA ENERGY CORPORATION  
40 LANE ROAD  
FAIRFIELD, NJ 07004

STEVEN S. SCHLEIMER  
DIRECTOR, COMPLIANCE & REGULATORY AFFAIRS  
BARCLAYS BANK, PLC  
200 PARK AVENUE, FIFTH FLOOR  
NEW YORK, NY 10166

STEVEN HUHMANN  
MORGAN STANLEY CAPITAL GROUP INC.  
2000 WESTCHESTER AVENUE  
PURCHASE, NY 10577

RICK C. NOGER  
PRAXAIR PLAINFIELD, INC.  
2711 CENTERVILLE ROAD, SUITE 400  
WILMINGTON, DE 19808

KEITH R. MCCREA  
ATTORNEY AT LAW  
SUTHERLAND, ASBILL & BRENNAN, LLP  
1275 PENNSYLVANIA AVE., N.W.  
WASHINGTON, DC 20004-2415

ADAM J. KATZ  
MCDERMOTT WILL & EMERY LLP  
600 13TH STREET, NW.  
WASHINGTON, DC 20005

CATHERINE M. KRUPKA  
MCDERMOTT WILL AND EMERY LLP  
600 THIRTEEN STREET, NW  
WASHINGTON, DC 20005

KYLE D. BOUDREAUX  
FPL GROUP  
700 UNIVERSE BLVD., JES/JB  
JUNO BEACH, FL 33408

CATHY S. WOOLLUMS  
MIDAMERICAN ENERGY HOLDINGS COMPANY  
106 EAST SECOND STREET  
DAVENPORT, IA 52801

CYNTHIA A. FONNER  
SENIOR COUNSEL  
CONSTELLATION ENERGY GROUP INC  
550 W. WASHINGTON ST, STE 300  
CHICAGO, IL 60661

KEVIN BOUDREAUX  
CALPINE POWER AMERICA-CA, LLC  
717 TEXAS AVENUE, SUITE 1000  
HOUSTON, TX 77002

THOMAS DILL  
PRESIDENT  
LODI GAS STORAGE, L.L.C.  
1021 MAIN ST STE 1500  
HOUSTON, TX 77002-6509

E.J. WRIGHT  
OCCIDENTAL POWER SERVICES, INC.  
5 GREENWAY PLAZA, SUITE 110  
HOUSTON, TX 77046

PAUL M. SEBY  
MCKENNA LONG & ALDRIDGE LLP  
1875 LAWRENCE STREET, SUITE 200  
DENVER, CO 80202

TIMOTHY R. ODIL  
MCKENNA LONG & ALDRIDGE LLP  
1875 LAWRENCE STREET, SUITE 200  
DENVER, CO 80202

STEPHEN G. KOERNER, ESQ.  
EL PASO CORPORATION  
WESTERN PIPELINES  
2 NORTH NEVADA AVENUE  
COLORADO SPRINGS, CO 80903

JENINE SCHENK  
APS ENERGY SERVICES  
400 E. VAN BUREN STREET, SUITE 750  
PHOENIX, AZ 85004

JOHN B. WELDON, JR.  
SALMON, LEWIS & WELDON, P.L.C.  
2850 EAST CAMELBACK ROAD, SUITE 200  
PHOENIX, AZ 85016

KELLY BARR  
MANAGER, REGULATORY AFFAIRS & CONTRACTS  
SALT RIVER PROJECT  
PO BOX 52025, PAB 221  
PHOENIX, AZ 85072-2025

ROBERT R. TAYLOR  
AGRICULTURAL IMPROVEMENT AND POWER DIST.  
1600 NORTH PRIEST DRIVE, PAB221  
TEMPE, AZ 85281

STEVEN S. MICHEL  
WESTERN RESOURCE ADVOCATES  
2025 SENDA DE ANDRES  
SANTA FE, NM 87501

ROGER C. MONTGOMERY  
VICE PRESIDENT, PRICING  
SOUTHWEST GAS CORPORATION  
PO BOX 98510  
LAS VEGAS, NV 89193-8510

LORRAINE PASKETT  
DIRECTOR, LEGISLATIVE AND REG. AFFAIRS  
LA DEPT. OF WATER & POWER  
PO BOX 51111  
111 N. HOWARD ST., ROOM 1536  
LOS ANGELES, CA 90012

RONALD F. DEATON  
LOS ANGELES DEPARTMENT OF WATER & POWER  
111 NORTH HOPE STREET, ROOM 1550  
LOS ANGELES, CA 90012

SID NEWSOM  
TARIFF MANAGER  
SOUTHERN CALIFORNIA GAS COMPANY  
GT 14 D6  
555 WEST 5TH STREET  
LOS ANGELES, CA 90051

DAVID L. HUARD  
ATTORNEY AT LAW  
MANATT, PHELPS & PHILLIPS, LLP  
11355 WEST OLYMPIC BOULEVARD  
LOS ANGELES, CA 90064

CURTIS L. KEBLER  
J. ARON & COMPANY  
SUITE 2600  
2121 AVENUE OF THE STARS  
LOS ANGELES, CA 90067

DENNIS M.P. EHLING  
ATTORNEY AT LAW  
KIRKPATRICK & LOCKHART NICHOLSON GRAHAM  
10100 SANTA MONICA BLVD., 7TH FLOOR  
LOS ANGELES, CA 90067

GREGORY KOISER  
CONSTELLATION NEW ENERGY, INC.  
350 SOUTH GRAND AVENUE, SUITE 3800  
LOS ANGELES, CA 90071

NORMAN A. PEDERSEN  
ATTORNEY AT LAW  
HANNA AND MORTON, LLP  
444 SOUTH FLOWER STREET, NO. 1500  
LOS ANGELES, CA 90071

MICHAEL MAZUR  
CHIEF TECHNICAL OFFICER  
3 PHASES RENEWABLES, LLC

VITALY LEE  
AES ALAMITOS, LLC  
690 N. STUDEBAKER ROAD

2100 SEPULVEDA BLVD., SUITE 37  
MANHATTAN BEACH, CA 90266

LONG BEACH, CA 90803

TIFFANY RAU  
POLICY AND COMMUNICATIONS MANAGER  
CARSON HYDROGEN POWER PROJECT LLC  
ONE WORLD TRADE CENTER, SUITE 1600  
LONG BEACH, CA 90831-1600

GREGORY KLATT  
ATTORNEY AT LAW  
DOUGLASS & LIDDELL  
411 E. HUNTINGTON DRIVE, STE. 107-356  
ARCADIA, CA 91006

RICHARD HELGESON  
SOUTHERN CALIFORNIA PUBLIC POWER AUTHORITY  
225 S. LAKE AVE., SUITE 1250  
PASADENA, CA 91101

DANIEL W. DOUGLASS  
ATTORNEY AT LAW  
DOUGLASS & LIDDELL  
21700 OXNARD STREET, SUITE 1030  
WOODLAND HILLS, CA 91367

PAUL DELANEY  
AMERICAN UTILITY NETWORK (A.U.N.)  
10705 DEER CANYON DRIVE  
ALTA LOMA, CA 91737

BARRY R. WALLERSTEIN  
EXECUTIVE OFFICER  
SOUTH COAST AQMD  
21865 COPLEY DRIVE  
DIAMOND BAR, CA 91765-4182

AKBAR JAZAYEIRI  
DIRECTOR OF REVENUE & TARIFFS  
SOUTHERN CALIFORNIA EDISON COMPANY  
2244 WALNUT GROVE AVE. ROOM 390  
ROSEMEAD, CA 91770

ANNETTE GILLIAM  
ATTORNEY AT LAW  
SOUTHERN CALIFORNIA EDISON COMPANY  
2244 WALNUT GROVE AVENUE  
ROSEMEAD, CA 91770

CATHY A. KARLSTAD  
SOUTHERN CALIFORNIA EDISON COMPANY  
2244 WALNUT GROVE AVE.  
ROSEMEAD, CA 91770

LAURA I. GENAO  
ATTORNEY  
SOUTHERN CALIFORNIA EDISON  
PO BOX 800  
2244 WALNUT GROVE AVENUE  
ROSEMEAD, CA 91770

RONALD MOORE  
GOLDEN STATE WATER/BEAR VALLEY ELECTRIC  
630 EAST FOOTHILL BOULEVARD  
SAN DIMAS, CA 91773

DON WOOD  
PACIFIC ENERGY POLICY CENTER  
4539 LEE AVENUE  
LA MESA, CA 91941

AIMEE M. SMITH  
ATTORNEY AT LAW  
SEMPRA ENERGY  
101 ASH STREET HQ13  
SAN DIEGO, CA 92101

ALLEN K. TRIAL  
SAN DIEGO GAS & ELECTRIC COMPANY  
HQ-13  
101 ASH STREET  
SAN DIEGO, CA 92101

ALVIN PAK  
SEMPRA GLOBAL ENTERPRISES  
101 ASH STREET  
SAN DIEGO, CA 92101

DAN HECHT  
SEMPRA ENERGY  
101 ASH STREET  
SAN DIEGO, CA 92101



DANIEL A. KING  
SEMPRA ENERGY  
101 ASH STREET, HQ 12  
SAN DIEGO, CA 92101

SYMONE VONGDEUANE  
SEMPRA ENERGY SOLUTIONS  
101 ASH STREET, HQ09  
SAN DIEGO, CA 92101-3017

THEODORE ROBERTS  
ATTORNEY AT LAW  
SEMPRA GLOBAL  
101 ASH STREET, HQ 13D  
SAN DIEGO, CA 92101-3017

DONALD C. LIDDELL, P.C.  
DOUGLASS & LIDDELL  
2928 2ND AVENUE  
SAN DIEGO, CA 92103

MARCIE MILNER  
DIRECTOR - REGULATORY AFFAIRS  
SHELL TRADING GAS & POWER COMPANY  
4445 EASTGATE MALL, SUITE 100  
SAN DIEGO, CA 92121

REID A. WINTHROP  
PILOT POWER GROUP, INC.  
8910 UNIVERSITY CENTER LANE, SUITE 520  
SAN DIEGO, CA 92122

THOMAS DARTON  
PILOT POWER GROUP, INC.  
SUITE 520  
8910 UNIVERSITY CENTER LANE  
SAN DIEGO, CA 92122

STEVE RAHON  
DIRECTOR, TARIFF & REGULATORY ACCOUNTS  
SAN DIEGO GAS & ELECTRIC COMPANY  
8330 CENTURY PARK COURT, CP32C  
SAN DIEGO, CA 92123-1548

GLORIA BRITTON  
ANZA ELECTRIC COOPERATIVE, INC.  
58470 HWY 371  
PO BOX 391909  
ANZA, CA 92539

LYNELLE LUND  
COMMERCE ENERGY, INC.  
600 ANTON BLVD., SUITE 2000  
COSTA MESA, CA 92626

TAMLYN M. HUNT  
ENERGY PROGRAM DIRECTOR  
COMMUNITY ENVIRONMENTAL COUNCIL  
26 W. ANAPAMU ST., 2ND FLOOR  
SANTA BARBARA, CA 93101

JEANNE M. SOLE  
DEPUTY CITY ATTORNEY  
CITY AND COUNTY OF SAN FRANCISCO  
1 DR. CARLTON B. GOODLETT PLACE, RM. 234  
SAN FRANCISCO, CA 94102

JOHN P. HUGHES  
MANAGER, REGULATORY AFFAIRS  
SOUTHERN CALIFORNIA EDISON COMPANY  
601 VAN NESS AVENUE, STE. 2040  
SAN FRANCISCO, CA 94102

LAD LORENZ  
V.P. REGULATORY AFFAIRS  
SEMPRA UTILITIES  
601 VAN NESS AVENUE, SUITE 2060  
SAN FRANCISCO, CA 94102

MARCEL HAWIGER  
THE UTILITY REFORM NETWORK  
711 VAN NESS AVENUE, SUITE 350  
SAN FRANCISCO, CA 94102

NINA SUETAKE  
ATTORNEY AT LAW  
THE UTILITY REFORM NETWORK  
711 VAN NESS AVE., STE. 350  
SAN FRANCISCO, CA 94102

DIANA L. LEE

F. JACKSON STODDARD

CALIF PUBLIC UTILITIES COMMISSION  
LEGAL DIVISION  
ROOM 4300  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

CALIF PUBLIC UTILITIES COMMISSION  
EXECUTIVE DIVISION  
ROOM 5125  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

AUDREY CHANG  
STAFF SCIENTIST  
NATURAL RESOURCES DEFENSE COUNCIL  
111 SUTTER STREET, 20TH FLOOR  
SAN FRANCISCO, CA 94104

DONALD BROOKHYSER  
ATTORNEY AT LAW  
ALCANTAR & KAHL  
120 MONTGOMERY STREET  
SAN FRANCISCO, CA 94104

EVELYN KAHL  
ATTORNEY AT LAW  
ALCANTAR & KAHL, LLP  
120 MONTGOMERY STREET, SUITE 2200  
SAN FRANCISCO, CA 94104

KRISTIN GRENFELL  
PROJECT ATTORNEY, CALIF. ENERGY PROGRAM  
NATURAL RESOURCES DEFENSE COUNCIL  
111 SUTTER STREET, 20TH FLOOR  
SAN FRANCISCO, CA 94104

MICHAEL P. ALCANTAR  
ATTORNEY AT LAW  
ALCANTAR & KAHL, LLP  
120 MONTGOMERY STREET, SUITE 2200  
SAN FRANCISCO, CA 94104

SEEMA SRINIVASAN  
ATTORNEY AT LAW  
ALCANTAR & KAHL, LLP  
120 MONTGOMERY STREET, SUITE 2200  
SAN FRANCISCO, CA 94104

WILLIAM H. CHEN  
DIRECTOR, ENERGY POLICY WEST REGION  
CONSTELLATION NEW ENERGY, INC.  
SPEAR TOWER, 36TH FLOOR  
ONE MARKET STREET  
SAN FRANCISCO, CA 94105

BRIAN K. CHERRY  
DIRECTOR REGULATORY RELATIONS  
PACIFIC GAS AND ELECTRIC COMPANY  
77 BEALE STREET, B10C  
SAN FRANCISCO, CA 94106

EDWARD G POOLE  
ANDERSON DONOVAN & POOLE  
601 CALIFORNIA STREET SUITE 1300  
SAN FRANCISCO, CA 94108

ANN G. GRIMALDI  
MCKENNA LONG & ALDRIDGE LLP  
101 CALIFORNIA STREET, 41ST FLOOR  
SAN FRANCISCO, CA 94111

BRIAN T. CRAGG  
ATTORNEY AT LAW  
GOODIN, MACBRIDE, SQUERI, RITCHIE & DAY  
505 SANSOME STREET, SUITE 900  
SAN FRANCISCO, CA 94111

JAMES D. SQUERI  
ATTORNEY AT LAW  
GOODIN MACBRIDE SQUERI RITCHIE & DAY LLP  
505 SANSOME STREET, STE 900  
SAN FRANCISCO, CA 94111

JEANNE B. ARMSTRONG  
ATTORNEY AT LAW  
GOODIN MACBRIDE SQUERI DAY & LAMPREY  
505 SANSOME STREET, SUITE 900  
SAN FRANCISCO, CA 94111

KAREN BOWEN  
ATTORNEY AT LAW  
WINSTON & STRAWN LLP  
101 CALIFORNIA STREET  
SAN FRANCISCO, CA 94111

LISA A. COTTLE  
ATTORNEY AT LAW  
WINSTON & STRAWN LLP  
101 CALIFORNIA STREET, 39TH FLOOR

SEAN P. BEATTY  
ATTORNEY AT LAW  
COOPER, WHITE & COOPER, LLP  
201 CALIFORNIA ST., 17TH FLOOR

SAN FRANCISCO, CA 94111

SAN FRANCISCO, CA 94111

VIDHYA PRABHAKARAN  
GOODIN, MACBRIDE, SQUERI, DAY, LAMPREY  
505 SANSOME STREET, SUITE 900  
SAN FRANCISCO, CA 94111

JOSEPH M. KARP  
ATTORNEY AT LAW  
WINSTON & STRAWN LLP  
101 CALIFORNIA STREET  
SAN FRANCISCO, CA 94111-5802

JEFFREY P. GRAY  
DAVIS WRIGHT TREMAINE, LLP  
505 MONTGOMERY STREET, SUITE 800  
SAN FRANCISCO, CA 94111-6533

CHRISTOPHER J. WARNER  
PACIFIC GAS AND ELECTRIC COMPANY  
77 BEALE STREET, PO BOX 7442  
SAN FRANCISCO, CA 94120-7442

SARA STECK MYERS  
ATTORNEY AT LAW  
122 28TH AVENUE  
SAN FRANCISCO, CA 94121

LARS KVALE  
CENTER FOR RESOURCE SOLUTIONS  
PRESIDIO BUILDING 97  
PO BOX 39512  
SAN FRANCISCO, CA 94129

ANDREW L. HARRIS  
PACIFIC GAS & ELECTRIC COMPANY  
PO BOX 770000 MAIL CODE B9A  
SAN FRANCISCO, CA 94177

ANDREA WELLER  
STRATEGIC ENERGY  
3130 D BALFOUR RD., SUITE 290  
BRENTWOOD, CA 94513

JENNIFER CHAMBERLIN  
STRATEGIC ENERGY, LLC  
2633 WELLINGTON CT.  
CLYDE, CA 94520

BETH VAUGHAN  
CALIFORNIA COGENERATION COUNCIL  
4391 N. MARSH ELDER COURT  
CONCORD, CA 94521

KERRY HATTEVIK  
MIRANT CORPORATION  
696 WEST 10TH STREET  
PITTSBURG, CA 94565

AVIS KOWALEWSKI  
CALPINE CORPORATION  
3875 HOPYARD ROAD, SUITE 345  
PLEASANTON, CA 94588

WILLIAM H. BOOTH  
ATTORNEY AT LAW  
LAW OFFICES OF WILLIAM H. BOOTH  
1500 NEWELL AVENUE, 5TH FLOOR  
WALNUT CREEK, CA 94596

J. ANDREW HOERNER  
REDEFINING PROGRESS  
1904 FRANKLIN STREET  
OAKLAND, CA 94612

JANILL RICHARDS  
DEPUTY ATTORNEY GENERAL  
CALIFORNIA ATTORNEY GENERAL'S OFFICE  
1515 CLAY STREET, 20TH FLOOR  
OAKLAND, CA 94702

CLIFF CHEN  
UNION OF CONCERNED SCIENTIST  
2397 SHATTUCK AVENUE, STE 203  
BERKELEY, CA 94704

GREGG MORRIS  
DIRECTOR  
GREEN POWER INSTITUTE  
2039 SHATTUCK AVENUE, STE 402  
BERKELEY, CA 94704

R. THOMAS BEACH  
CROSSBORDER ENERGY  
2560 NINTH STREET, SUITE 213A  
BERKELEY, CA 94710-2557

KENNETH C. JOHNSON  
KENNETH CARLISLE JOHNSON  
2502 ROBERTSON RD  
SANTA CLARA, CA 95051

BARRY F. MCCARTHY  
ATTORNEY AT LAW  
MCCARTHY & BERLIN, LLP  
100 PARK CENTER PLAZA, SUITE 501  
SAN JOSE, CA 95113

C. SUSIE BERLIN  
ATTORNEY AT LAW  
MC CARTHY & BERLIN, LLP  
100 PARK CENTER PLAZA, SUITE 501  
SAN JOSE, CA 95113

MIKE LAMOND  
ALPINE NATURAL GAS OPERATING CO. #1 LLC  
PO BOX 550  
VALLEY SPRINGS, CA 95252

JOY A. WARREN  
REGULATORY ADMINISTRATOR  
MODESTO IRRIGATION DISTRICT  
1231 11TH STREET  
MODESTO, CA 95354

UDI HELMAN  
CALIFORNIA INDEPENDENT SYS. OPER. CORP  
151 BLUE RAVINE ROAD  
FOLSOM, CA 95630

JOHN JENSEN  
PRESIDENT  
MOUNTAIN UTILITIES  
PO BOX 205  
KIRKWOOD, CA 95646

MARY LYNCH  
VP - REGULATORY AND LEGISLATIVE AFFAIRS  
CONSTELLATION ENERGY COMMODITIES GROUP  
2377 GOLD MEDAL WAY, SUITE 100  
GOLD RIVER, CA 95670

LEONARD DEVANNA  
EXECUTIVE VICE PRESIDENT  
CLEAN ENERGY SYSTEMS, INC.  
11330 SUNCO DRIVE, SUITE A  
RANCHO CORDOVA, CA 95742

ANDREW BROWN  
ATTORNEY AT LAW  
ELLISON, SCHNEIDER & HARRIS, LLP  
2015 H STREET  
SACRAMENTO, CA 95811

BRUCE MCLAUGHLIN  
BRAUN & BLAISING, P.C.  
915 L STREET, SUITE 1270  
SACRAMENTO, CA 95814

GREGGORY L. WHEATLAND  
ATTORNEY AT LAW  
ELLISON, SCHNEIDER & HARRIS, LLP  
2015 H STREET  
SACRAMENTO, CA 95814

JANE E. LUCKHARDT  
ATTORNEY AT LAW  
DOWNEY BRAND LLP  
555 CAPITOL MALL, 10TH FLOOR  
SACRAMENTO, CA 95814

JEFFERY D. HARRIS  
ATTORNEY AT LAW  
ELLISON, SCHNEIDER & HARRIS LLP  
2015 H STREET  
SACRAMENTO, CA 95814

VIRGIL WELCH  
STAFF ATTORNEY

WILLIAM W. WESTERFIELD, 111  
ATTORNEY AT LAW

ENVIRONMENTAL DEFENSE  
1107 9TH STREET, SUITE 540  
SACRAMENTO, CA 95814

ELLISON, SCHNEIDER & HARRIS L.L.P.  
2015 H STREET  
SACRAMENTO, CA 95814

DOWNEY BRAND  
DOWNEY BRAND  
555 CAPITOL MALL, 10TH FLOOR  
SACRAMENTO, CA 95814-4686

RAYMOND J. CZAHAR, C.P.A.  
CHIEF FINANCIAL OFFICER  
WEST COAST GAS COMPANY  
9203 BEATTY DRIVE  
SACRAMENTO, CA 95826

STEVEN M. COHN  
ASSISTANT GENERAL COUNSEL  
SACRAMENTO MUNICIPAL UTILITY DISTRICT  
PO BOX 15830  
SACRAMENTO, CA 95852-1830

ANN L. TROWBRIDGE  
ATTORNEY AT LAW  
DAY CARTER & MURPHY, LLP  
3620 AMERICAN RIVER DRIVE, SUITE 205  
SACRAMENTO, CA 95864

DAN SILVERIA  
SURPRISE VALLEY ELECTRIC CORPORATION  
PO BOX 691  
ALTURAS, CA 96101

JESSICA NELSON  
PLUMAS-SIERRA RURAL ELECTRIC CO-OP  
73233 STATE ROUTE 70, STE A  
PORTOLA, CA 96122-7064

DONALD BROOKHYSER  
ALCANTAR & KAHL  
1300 SW FIFTH AVE., SUITE 1750  
PORTLAND, OR 97210

CYNTHIA SCHULTZ  
REGULATORY FILING COORDINATOR  
PACIFIC POWER AND LIGHT COMPANY  
825 N.E. MULTNOMAH  
PORTLAND, OR 97232

KYLE L. DAVIS  
PACIFICORP  
825 NE MULTNOMAH ST., SUITE 2000  
PORTLAND, OR 97232

RYAN FLYNN  
PACIFICORP  
825 NE MULTNOMAH STREET, 18TH FLOOR  
PORTLAND, OR 97232

IAN CARTER  
POLICY COORDINATOR-NORTH AMERICA  
INTERNATIONAL EMISSIONS TRADING ASSN.  
350 SPARKS STREET, STE. 809  
OTTAWA, ON K1R 7S8  
CANADA

JASON DUBCHAK  
ASSOCIATE GENERAL COUNSEL  
WILD GOOSE STORAGE LLC  
C/O NISKA GAS STORAGE, SUITE 400  
607 8TH AVENUE S.W.  
CALGARY, AB T2P 0A7  
CANADA

**Information Only**

BRIAN M. JONES  
M. J. BRADLEY & ASSOCIATES, INC.  
47 JUNCTION SQUARE DRIVE  
CONCORD, MA 01742

MATTHEW MOST  
EDISON MISSION MARKETING & TRADING, INC.  
160 FEDERAL STREET  
BOSTON, MA 02110-1776

KENNETH A. COLBURN

RICHARD COWART

SYMBIOTIC STRATEGIES, LLC  
26 WINTON ROAD  
MEREDITH, NH 03253

REGULATORY ASSISTANCE PROJECT  
50 STATE STREET, SUITE 3  
MONTPELIER, VT 05602

KATHRYN WIG  
PARALEGAL  
NRG ENERGY, INC.  
211 CARNEGIE CENTER  
PRINCETON, NY 08540

SAKIS ASTERIADIS  
APX INC  
1270 FIFTH AVE., SUITE 15R  
NEW YORK, NY 10029

GEORGE HOPLEY  
BARCLAYS CAPITAL  
200 PARK AVENUE  
NEW YORK, NY 10166

ELIZABETH ZELLJADT  
1725 I STREET, N.W. SUITE 300  
WASHINGTON, DC 20006

DALLAS BURTRAW  
1616 P STREET, NW  
WASHINGTON, DC 20036

VERONIQUE BUGNION  
POINT CARBON  
205 SEVERN RIVER RD  
SEVERNA PARK, MD 21146

ANDREW BRADFORD  
SENIOR MARKET RESEARCH ASSOCIATE  
FELLON-MCCORD & ASSOCIATES  
SUITE 2000  
9960 CORPORATE CAMPUS DRIVE  
LOUISVILLE, KY 40223

GARY BARCH  
FELLON-MCCORD & ASSOCIATES, INC.  
SUITE 2000  
9960 CORPORATE CAMPUS DRIVE  
LOUISVILLE, KY 40223

RALPH E. DENNIS  
DIRECTOR, REGULATORY AFFAIRS  
FELLON-MCCORD & ASSOCIATES  
CONSTELLATION NEWENERGY-GAS DIVISION  
9960 CORPORATE CAMPUS DRIVE, STE 2000  
LOUISVILLE, KY 40223

SAMARA MINDEL  
REGULATORY AFFAIRS ANALYST  
FELLON-MCCORD & ASSOCIATES  
9960 CORPORATE CAMPUS DRIVE, SUITE 2000  
LOUISVILLE, KY 40223

BARRY RABE  
1427 ROSS STREET  
PLYMOUTH, MI 48170

BRIAN POTTS  
FOLEY & LARDNER  
PO BOX 1497  
150 EAST GILMAN STREET  
MADISON, WI 53701-1497

JAMES W. KEATING  
BP AMERICA, INC.  
MAIL CODE 603-1E  
150 W. WARRENVILLE RD.  
NAPERVILLE, IL 60563

JAMES ROSS  
RCS, INC.  
500 CHESTERFIELD CENTER, SUITE 320  
CHESTERFIELD, MO 63017

TRENT A. CARLSON  
RELIANT ENERGY  
1000 MAIN STREET  
HOUSTON, TX 77001

GARY HINNERS  
RELIANT ENERGY, INC.  
PO BOX 148  
HOUSTON, TX 77001-0148

JEANNE ZAIONTZ  
BP ENERGY COMPANY  
501 WESTLAKE PARK BLVD, RM. 4328  
HOUSTON, TX 77079

JULIE L. MARTIN  
WEST ISO COORDINATOR  
NORTH AMERICA GAS AND POWER  
BP ENERGY COMPANY  
501 WESTLAKE PARK BLVD.  
HOUSTON, TX 77079

FIJI GEORGE  
EL PASO CORPORATION  
EL PASO BUILDING  
PO BOX 2511  
HOUSTON, TX 77252

ED CHIANG  
ELEMENT MARKETS, LLC  
ONE SUGAR CREEK CENTER BLVD., SUITE 250  
SUGAR LAND, TX 77478

FRANK STERN  
SUMMIT BLUE CONSULTING  
1722 14TH STREET, SUITE 230  
BOULDER, CO 80302

NADAV ENBAR  
ENERGY INSIGHTS  
1750 14TH STREET, SUITE 200  
BOULDER, CO 80302

NICHOLAS LENSSEN  
ENERGY INSIGHTS  
1750 14TH STREET, SUITE 200  
BOULDER, CO 80302

ELIZABETH BAKER  
SUMMIT BLUE CONSULTING  
1722 14TH STREET, SUITE 230  
BOULDER, CO 80304

WAYNE TOMLINSON  
EL PASO CORPORATION  
WESTERN PIPELINES  
2 NORTH NEVADA AVENUE  
COLORADO SPRINGS, CO 80903

KEVIN J. SIMONSEN  
ENERGY MANAGEMENT SERVICES  
646 EAST THIRD AVENUE  
DURANGO, CO 81301

SANDRA ELY  
NEW MEXICO ENVIRONMENT DEPARTMENT  
1190 ST FRANCIS DRIVE  
SANTA FE, NM 87501

BRIAN MCQUOWN  
RELIANT ENERGY  
7251 AMIGO ST., SUITE 120  
LAS VEGAS, NV 89119

DOUGLAS BROOKS  
NEVADA POWER COMPANY  
SIERRA PACIFIC POWER COMPANY  
6226 WEST SAHARA AVENUE  
LAS VEGAS, NV 89151

ANITA HART  
SENIOR SPECIALIST/STATE REGULATORYAFFAIR  
SOUTHWEST GAS CORPORATION  
5241 SPRING MOUNTAIN ROAD  
LAS VEGAS, NV 89193

RANDY SABLE  
SOUTHWEST GAS CORPORATION  
MAILSTOP: LVB-105  
5241 SPRING MOUNTAIN ROAD  
LAS VEGAS, NV 89193

BILL SCHRAND  
SOUTHWEST GAS CORPORATON  
PO BOX 98510  
LAS VEGAS, NV 89193-8510

JJ PRUCNAL  
SOUTHWEST GAS CORPORATION  
PO BOX 98510  
LAS VEGAS, NV 89193-8510

SANDRA CAROLINA  
SOUTHWEST GAS CORPORATION  
PO BOX 98510  
LAS VEGAS, NV 89193-8510

CYNTHIA MITCHELL  
ENERGY ECONOMICS, INC.  
530 COLGATE COURT  
RENO, NV 89503

CHRISTOPHER A. HILEN  
ASSISTANT GENERAL COUNSEL  
SIERRA PACIFIC POWER COMPANY  
6100 NEIL ROAD  
RENO, NV 89511

ELENA MELLO  
SIERRA PACIFIC POWER COMPANY  
6100 NEIL ROAD  
RENO, NV 89520

TREVOR DILLARD  
SIERRA PACIFIC POWER COMPANY  
PO BOX 10100  
6100 NEIL ROAD, MS S4A50  
RENO, NV 89520

DARRELL SOYARS  
MANAGER-RESOURCE PERMITTING&STRATEGIC  
SIERRA PACIFIC RESOURCES  
6100 NEIL ROAD  
RENO, NV 89520-0024

JOSEPH GRECO  
VICE PRESIDENT - WESTERN REGION  
CAITHNESS ENERGY, LLC.  
9590 PROTOTYPE COURT, SUITE 200  
RENO, NV 89521

LEILANI JOHNSON KOWAL  
LOS ANGELES DEPT. OF WATER AND POWER  
111 N. HOPE STREET, ROOM 1050  
LOS ANGELES, CA 90012

RANDY S. HOWARD  
LOS ANGELES DEPT. OF WATER AND POWER  
111 NORTH HOPE STREET, ROOM 921  
LOS ANGELES, CA 90012

ROBERT K. ROZANSKI  
LOS ANGELES DEPT OF WATER AND POWER  
111 NORTH HOPE STREET, ROOM 1520  
LOS ANGELES, CA 90012

ROBERT L. PETTINATO  
LOS ANGELES DEPARTMENT OF WATER & POWER  
111 NORTH HOPE STREET, SUITE 1151  
LOS ANGELES, CA 90012

HUGH YAO  
SOUTHERN CALIFORNIA GAS COMPANY  
555 W. 5TH ST, GT22G2  
LOS ANGELES, CA 90013

RASHA PRINCE  
SOUTHERN CALIFORNIA GAS COMPANY  
555 WEST 5TH STREET, GT14D6  
LOS ANGELES, CA 90013

RANDALL W. KEEN  
ATTORNEY AT LAW  
MANATT PHELPS & PHILLIPS, LLP  
11355 WEST OLYMPIC BLVD.  
LOS ANGELES, CA 90064

S. NANCY WHANG  
ATTORNEY AT LAW  
MANATT, PHELPS & PHILLIPS, LLP  
11355 WEST OLYMPIC BLVD.  
LOS ANGELES, CA 90064

PETER JAZAYERI  
STROOCK & STROOCK & LAVAN LLP

DEREK MARKOLF  
CALIFORNIA CLIMATE ACTION REGISTRY



2029 CENTURY PARK EAST, SUITE 1800  
LOS ANGELES, CA 90067

515 S. FLOWER STREET, SUITE 1640  
LOS ANGELES, CA 90071

DAVID NEMTZOW  
1254 9TH STREET, NO. 6  
SANTA MONICA, CA 90401

HARVEY EDER  
PUBLIC SOLAR POWER COALITION  
1218 12TH ST., 25  
SANTA MONICA, CA 90401

STEVE ENDO  
PASADENA DEPARTMENT OF WATER & POWER  
45 EAST GLENARM STREET  
PASADENA, CA 91105

STEVEN G. LINS  
GENERAL COUNSEL  
GLENDALE WATER AND POWER  
613 EAST BROADWAY, SUITE 220  
GLENDALE, CA 91206-4394

TOM HAMILTON  
MANAGING PARTNER  
ENERGY CONCIERGE SERVICES  
321 MESA LILA RD  
GLENDALE, CA 91208

BRUNO JEIDER  
BURBANK WATER & POWER  
164 WEST MAGNOLIA BLVD.  
BURBANK, CA 91502

RICHARD J. MORILLO  
ASSISTANT CITY ATTORNEY  
CITY OF BURBANK  
215 E. OLIVE AVENUE  
BURBANK, CA 91502

ROGER PELOTE  
WILLIAMS POWER COMPANY  
12736 CALIFA STREET  
VALLEY VILLAGE, CA 91607

AIMEE BARNES  
MANAGER REGULATORY AFFAIRS  
ECOSECURITIES  
206 W. BONITA AVENUE  
CLAREMONT, CA 91711

CASE ADMINISTRATION  
SOUTHERN CALIFORNIA EDISON COMPANY  
2244 WALNUT GROVE AVE., RM. 370  
ROSEMEAD, CA 91770

TIM HEMIG  
NRG ENERGY, INC.  
1819 ASTON AVENUE, SUITE 105  
CARLSBAD, CA 92008

BARRY LOVELL  
15708 POMERADO RD., SUITE 203  
POWAY, CA 92064

ALDYN HOEKSTRA  
PACE GLOBAL ENERGY SERVICES  
420 WEST BROADWAY, 4TH FLOOR  
SAN DIEGO, CA 92101

YVONNE GROSS  
REGULATORY POLICY MANAGER  
SEMPRA ENERGY  
HQ08C  
101 ASH STREET  
SAN DIEGO, CA 92103

JOHN LAUN  
APOGEE INTERACTIVE, INC.  
1220 ROSECRANS ST., SUITE 308  
SAN DIEGO, CA 92106

KIM KIENER  
504 CATALINA BLVD.  
SAN DIEGO, CA 92106

SCOTT J. ANDERS  
RESEARCH/ADMINISTRATIVE DIRECTOR  
UNIVERSITY OF SAN DIEGO SCHOOL OF LAW  
5998 ALCALA PARK  
SAN DIEGO, CA 92110

JOSEPH R. KLOBERDANZ  
SAN DIEGO GAS & ELECTRIC  
PO BOX 1831  
SAN DIEGO, CA 92112

ANDREW MCALLISTER  
DIRECTOR OF OPERATIONS  
CALIFORNIA CENTER FOR SUSTAINABLE ENERGY  
8690 BALBOA AVE., SUITE 100  
SAN DIEGO, CA 92123

JACK BURKE  
LEGISLATIVE AFFAIRS MANAGER  
CALIFORNIA CENTER FOR SUSTAINABLE ENERGY  
8690 BALBOA AVE., SUITE 100  
SAN DIEGO, CA 92123

JENNIFER PORTER  
POLICY ANALYST  
CALIFORNIA CENTER FOR SUSTAINABLE ENERGY  
8690 BALBOA AVENUE, SUITE 100  
SAN DIEGO, CA 92123

SEPHRA A. NINOW  
POLICY ANALYST  
CALIFORNIA CENTER FOR SUSTAINABLE ENERGY  
8690 BALBOA AVENUE, SUITE 100  
SAN DIEGO, CA 92123

DESPINA NIEHAUS  
SAN DIEGO GAS AND ELECTRIC COMPANY  
8330 CENTURY PARK COURT, CP32H  
SAN DIEGO, CA 92123-1530

JOHN W. LESLIE  
ATTORNEY AT LAW  
LUCE, FORWARD, HAMILTON & SCRIPPS, LLP  
11988 EL CAMINO REAL, SUITE 200  
SAN DIEGO, CA 92130

ORLANDO B. FOOTE, III  
ATTORNEY AT LAW  
HORTON, KNOX, CARTER & FOOTE  
895 BROADWAY, SUITE 101  
EL CENTRO, CA 92243

ELSTON K. GRUBAUGH  
IMPERIAL IRRIGATION DISTRICT  
333 EAST BARIONI BLVD.  
IMPERIAL, CA 92251

THOMAS MCCABE  
EDISON MISSION ENERGY  
18101 VON KARMAN AVE., SUITE 1700  
IRVINE, CA 92612

JAN PEPPER  
CLEAN POWER MARKETS, INC.  
PO BOX 3206  
418 BENVENUE AVENUE  
LOS ALTOS, CA 94024

GLORIA D. SMITH  
ADAMS, BROADWELL, JOSEPH & CARDOZO  
601 GATEWAY BLVD., SUITE 1000  
SOUTH SAN FRANCISCO, CA 94080

MARC D. JOSEPH  
ADAMS BRADWELL JOSEPH & CARDOZO  
601 GATEWAY BLVD. STE 1000  
SOUTH SAN FRANCISCO, CA 94080

DIANE I. FELLMAN  
DIRECTOR, REGULATORY AFFAIRS  
FPL ENERGY PROJECT MANAGEMENT, INC.  
234 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102

HAYLEY GOODSON  
ATTORNEY AT LAW  
THE UTILITY REFORM NETWORK  
711 VAN NESS AVENUE, SUITE 350  
SAN FRANCISCO, CA 94102

MICHEL FLORIO  
ATTORNEYS AT LAW  
711 VAN NESS AVE., STE. 350  
SAN FRANCISCO, CA 94102

DAN ADLER  
DIRECTOR, TECH AND POLICY DEVELOPMENT  
CALIFORNIA CLEAN ENERGY FUND  
5 THIRD STREET, SUITE 1125  
SAN FRANCISCO, CA 94103

MICHAEL A. HYAMS  
POWER ENTERPRISE-REGULATORY AFFAIRS  
SAN FRANCISCO PUBLIC UTILITIES COMM  
1155 MARKET ST., 4TH FLOOR  
SAN FRANCISCO, CA 94103

THERESA BURKE  
REGULATORY ANALYST  
SAN FRANCISCO PUC  
1155 MARKET STREET, 4TH FLOOR  
SAN FRANCISCO, CA 94103

NORMAN J. FURUTA  
ATTORNEY AT LAW  
FEDERAL EXECUTIVE AGENCIES  
1455 MARKET ST., SUITE 1744  
SAN FRANCISCO, CA 94103-1399

AMBER MAHONE  
ENERGY & ENVIRONMENTAL ECONOMICS, INC.  
101 MONTGOMERY STREET, SUITE 1600  
SAN FRANCISCO, CA 94104

ANNABELLE MALINS  
CONSUL-SCIENCE AND TECHNOLOGY  
BRITISH CONSULATE-GENERAL  
ONE SANSOME STREET, SUITE 850  
SAN FRANCISCO, CA 94104

DEVRA WANG  
NATURAL RESOURCES DEFENSE COUNCIL  
111 SUTTER STREET, 20TH FLOOR  
SAN FRANCISCO, CA 94104

KAREN TERRANOVA  
ALCANTAR & KAHL, LLP  
120 MONTGOMERY STREET, STE 2200  
SAN FRANCISCO, CA 94104

NORA SHERIFF  
ATTORNEY AT LAW  
ALCANTAR & KAHL, LLP  
120 MONTGOMERY STREET, SUITE 2200  
SAN FRANCISCO, CA 94104

OLOF BYSTROM  
DIRECTOR, WESTERN ENERGY  
CAMBRIDGE ENERGY RESEARCH ASSOCIATES  
555 CALIFORNIA STREET, 3RD FLOOR  
SAN FRANCISCO, CA 94104

SETH HILTON  
ATTORNEY AT LAW  
STOEL RIVES  
111 SUTTER ST., SUITE 700  
SAN FRANCISCO, CA 94104

SHERYL CARTER  
NATURAL RESOURCES DEFENSE COUNCIL  
111 SUTTER STREET, 20TH FLOOR  
SAN FRANCISCO, CA 94104

ASHLEE M. BONDS  
THELEN REID BROWN RAYSMAN&STEINER LLP  
SUITE 1800  
101 SECOND STREET  
SAN FRANCISCO, CA 94105

CARMEN E. BASKETTE  
CORPORATE DEVELOPMENT PRINCIPAL  
ENERNOC  
594 HOWARD ST., SUITE 400  
SAN FRANCISCO, CA 94105

COLIN PETHERAM  
DIRECTOR-REGULATORY  
SBC CALIFORNIA  
140 NEW MONTGOMERY ST., SUITE 1325  
SAN FRANCISCO, CA 94105

JAMES W. TARNAGHAN  
DUANE MORRIS LLP  
SUITE 2000

KEVIN FOX  
WILSON SONSINI GOODRICH & ROSATI  
ONE MARKET STREET, SPEAR TOWER, 3300

ONE MARKET, SPEAR TOWER  
SAN FRANCISCO, CA 94105

SAN FRANCISCO, CA 94105

KHURSHID KHOJA  
ASSOCIATE  
THELEN REID BROWN RAYSMAN & STEINER  
101 SECOND STREET, SUITE 1800  
SAN FRANCISCO, CA 94105

PETER V. ALLEN  
THELEN REID BROWN RAYSMAN & STEINER  
101 SECOND STREET, SUITE 1800  
SAN FRANCISCO, CA 94105

SHERIDAN J. PAUKER  
WILSON SONSINI GOODRICH & ROSATI  
SPEAR TOWER, SUITE 3300  
ONE MARKET ST  
SAN FRANCISCO, CA 94105

ROBERT J. REINHARD  
MORRISON AND FOERSTER  
425 MARKET STREET  
SAN FRANCISCO, CA 94105-2482

CALIFORNIA ENERGY MARKETS  
517-B POTRERO AVENUE  
SAN FRANCISCO, CA 94110

HOWARD V. GOLUB  
NIXON PEABODY LLP  
2 EMBARCADERO CENTER, STE. 2700  
SAN FRANCISCO, CA 94111

JANINE L. SCANCARELLI  
ATTORNEY AT LAW  
FOLGER, LEVIN & KAHN, LLP  
275 BATTERY STREET, 23RD FLOOR  
SAN FRANCISCO, CA 94111

JOSEPH F. WIEDMAN  
ATTORNEY AT LAW  
GOODIN MACBRIDE SQUERI DAY & LAMPREY LLP  
505 SANSOME STREET, SUITE 900  
SAN FRANCISCO, CA 94111

MARTIN A. MATTES  
NOSSAMAN, GUTHNER, KNOX & ELLIOTT, LLP  
50 CALIFORNIA STREET, SUITE 3400  
SAN FRANCISCO, CA 94111

JEN MCGRAW  
CENTER FOR NEIGHBORHOOD TECHNOLOGY  
PO BOX 14322  
SAN FRANCISCO, CA 94114

LISA WEINZIMER  
ASSOCIATE EDITOR  
PLATTS MCGRAW-HILL  
695 NINTH AVENUE, NO. 2  
SAN FRANCISCO, CA 94118

STEVEN MOSS  
SAN FRANCISCO COMMUNITY POWER COOP  
2325 3RD STREET, SUITE 344  
SAN FRANCISCO, CA 94120

SHAUN ELLIS  
2183 UNION STREET  
SAN FRANCISCO, CA 94123

ARNO HARRIS  
RECURRENT ENERGY, INC.  
220 HALLECK ST., SUITE 220  
SAN FRANCISCO, CA 94129

BIANCA BOWMAN  
RATE CASE COORDINATOR  
PACIFIC GAS AND ELECTRIC COMPANY  
PG&E MAIL CODE B9A  
PO BOX 770000  
SAN FRANCISCO, CA 94177

ED LUCHA  
CASE COORDINATOR  
PACIFIC GAS AND ELECTRIC COMPANY  
PO BOX 770000, MAIL CODE B9A  
SAN FRANCISCO, CA 94177

GRACE LIVINGSTON-NUNLEY  
ASSISTANT PROJECT MANAGER  
PACIFIC GAS AND ELECTRIC COMPANY  
PO BOX 770000 MAIL CODE B9A  
SAN FRANCISCO, CA 94177

JASMIN ANSAR  
PG&E  
MAIL CODE B24A  
PO BOX 770000  
SAN FRANCISCO, CA 94177

JONATHAN FORRESTER  
PG&E  
MAIL CODE N13C  
PO BOX 770000  
SAN FRANCISCO, CA 94177

RAYMOND HUNG  
PG&E  
PO BOX 770000 MAIL CODE B9A  
SAN FRANCISCO, CA 94177

SEBASTIEN CSAPO  
PROJECT MANAGER  
PACIFIC GAS AND ELECTRIC COMPANY  
MAIL CODE B9A  
PO BOX 770000  
SAN FRANCISCO, CA 94177

SOUMYA SASTRY  
PACIFIC GAS AND ELECTRIC COMPANY  
MAIL CODE B9A  
PO BOX 770000  
SAN FRANCISCO, CA 94177

STEPHANIE LA SHAWN  
PACIFIC GAS AND ELECTRIC COMPANY  
PO BOX 770000, MAIL CODE B9A  
SAN FRANCISCO, CA 94177

VALERIE J. WINN  
PACIFIC GAS AND ELECTRIC COMPANY  
PO BOX 770000, B9A  
SAN FRANCISCO, CA 94177-0001

KARLA DAILEY  
CITY OF PALO ALTO  
UTILITIES DEPARTMENT  
BOX 10250  
PALO ALTO, CA 94303

FARROKH ALBUYEH  
VICE PRESIDENT  
OPEN ACCESS TECHNOLOGY INTERNATIONAL INC  
SUITE 910  
1875 SOUTH GRANT STREET  
SAN MATEO, CA 94402

DEAN R. TIBBS  
PRESIDENT  
ADVANCED ENERGY STRATEGIES, INC.  
1390 WILLOW PASS ROAD, SUITE 610  
CONCORD, CA 94520

JEFFREY L. HAHN  
COVANTA ENERGY CORPORATION  
876 MT. VIEW DRIVE  
LAFAYETTE, CA 94549

ANDREW J. VAN HORN  
VAN HORN CONSULTING  
12 LIND COURT  
ORINDA, CA 94563

JOSEPH M. PAUL  
SENIOR CORPORATE COUNSEL  
DYNEGY, INC.  
4140 DUBLIN BLVD., STE. 100  
DUBLIN, CA 94568

SUE KATELEY  
EXECUTIVE DIRECTOR  
CALIFORNIA SOLAR ENERGY INDUSTRIES ASSN  
PO BOX 782  
RIO VISTA, CA 94571

GREG BLUE  
ENXCO DEVELOPMENT CORP  
5000 EXECUTIVE PARKWAY, STE.140  
SAN RAMON, CA 94583

SARAH BESERRA

MONICA A. SCHWEBS, ESQ.

CALIFORNIA REPORTS  
39 CASTLE HILL COURT  
VALLEJO, CA 94591

BINGHAM MCCUTCHEN LLP  
PO BOX V  
1333 N. CALIFORNIA BLVD., SUITE 210  
WALNUT CREEK, CA 94596

PETER W. HANSCHEN  
ATTORNEY AT LAW  
MORRISON & FOERSTER, LLP  
101 YGNACIO VALLEY ROAD, SUITE 450  
WALNUT CREEK, CA 94596

JOSEPH HENRI  
31 MIRAMONTE ROAD  
WALNUT CREEK, CA 94597

PATRICIA THOMPSON  
SUMMIT BLUE CONSULTING  
2920 CAMINO DIABLO, SUITE 210  
WALNUT CREEK, CA 94597

WILLIAM F. DIETRICH  
ATTORNEY AT LAW  
DIETRICH LAW  
2977 YGNACIO VALLEY ROAD, 613  
WALNUT CREEK, CA 94598-3535

BETTY SETO  
POLICY ANALYST  
KEMA, INC.  
492 NINTH STREET, SUITE 220  
OAKLAND, CA 94607

GERALD L. LAHR  
ABAG POWER  
101 EIGHTH STREET  
OAKLAND, CA 94607

JODY S. LONDON  
JODY LONDON CONSULTING  
PO BOX 3629  
OAKLAND, CA 94609

STEVEN SCHILLER  
SCHILLER CONSULTING, INC.  
111 HILLSIDE AVENUE  
PIEDMONT, CA 94611

MRW & ASSOCIATES, INC.  
1814 FRANKLIN STREET, SUITE 720  
OAKLAND, CA 94612

REED V. SCHMIDT  
VICE PRESIDENT  
BARTLE WELLS ASSOCIATES  
1889 ALCATRAZ AVENUE  
BERKELEY, CA 94703

ADAM BRIONES  
THE GREENLINING INSTITUTE  
1918 UNIVERSITY AVENUE, 2ND FLOOR  
BERKELEY, CA 94704

STEVE KROMER  
3110 COLLEGE AVENUE, APT 12  
BERKELEY, CA 94705

CLYDE MURLEY  
1031 ORDWAY STREET  
ALBANY, CA 94706

BRENDA LEMAY  
DIRECTOR OF PROJECT DEVELOPMENT  
HORIZON WIND ENERGY  
1600 SHATTUCK, SUITE 222  
BERKELEY, CA 94709

CARLA PETERMAN  
UCEI  
2547 CHANNING WAY  
BERKELEY, CA 94720

EDWARD VINE  
LAWRENCE BERKELEY NATIONAL LABORATORY  
BUILDING 90R4000  
BERKELEY, CA 94720

RYAN WISER  
BERKELEY LAB  
MS-90-4000  
ONE CYCLOTRON ROAD  
BERKELEY, CA 94720

CHRIS MARNAY  
BERKELEY LAB  
1 CYCLOTRON RD MS 90R4000  
BERKELEY, CA 94720-8136

PHILLIP J. MULLER  
SCD ENERGY SOLUTIONS  
436 NOVA ALBION WAY  
SAN RAFAEL, CA 94903

RITA NORTON  
RITA NORTON AND ASSOCIATES, LLC  
18700 BLYTHSWOOD DRIVE,  
LOS GATOS, CA 95030

CARL PECHMAN  
POWER ECONOMICS  
901 CENTER STREET  
SANTA CRUZ, CA 95060

MAHLON ALDRIDGE  
ECOLOGY ACTION  
PO BOX 1188  
SANTA CRUZ, CA 95060

RICHARD SMITH  
MODESTO IRRIGATION DISTRICT  
1231 11TH STREET  
MODESTO, CA 95352-4060

ROGER VAN HOY  
MODESTO IRRIGATION DISTRICT  
1231 11TH STREET  
MODESTO, CA 95354

THOMAS S. KIMBALL  
MODESTO IRRIGATION DISTRICT  
1231 11TH STREET  
MODESTO, CA 95354

WES MONIER  
STRATEGIC ISSUES AND PLANNING MANAGER  
TURLOCK IRRIGATION DISTRICT  
333 EAST CANAL DRIVE, PO BOX 949  
TURLOCK, CA 95381-0949

BARBARA R. BARKOVICH  
BARKOVICH & YAP, INC.  
44810 ROSEWOOD TERRACE  
MENDOCINO, CA 95460

JOHN R. REDDING  
ARCTURUS ENERGY CONSULTING  
44810 ROSEWOOD TERRACE  
MENDOCINO, CA 95460

CLARK BERNIER  
RLW ANALYTICS  
1055 BROADWAY, SUITE G  
SONOMA, CA 95476

RICHARD MCCANN, PH.D  
M. CUBED  
2655 PORTAGE BAY, SUITE 3  
DAVIS, CA 95616

CAROLYN M. KEHREIN  
ENERGY MANAGEMENT SERVICES  
1505 DUNLAP COURT  
DIXON, CA 95620-4208

CALIFORNIA ISO  
LEGAL AND REGULATORY DEPARTMENT  
151 BLUE RAVINE ROAD  
FOLSOM, CA 95630

GRANT ROSENBLUM, ESQ.  
CALIFORNIA ISO  
LEGAL AND REGULATORY DEPARTMENT  
151 BLUE RAVINE ROAD  
FOLSOM, CA 95630

KAREN EDSON  
151 BLUE RAVINE ROAD  
FOLSOM, CA 95630

ROBIN SMUTNY-JONES  
CALIFORNIA ISO  
151 BLUE RAVINE ROAD  
FOLSOM, CA 95630

SAEED FARROKHPAY  
FEDERAL ENERGY REGULATORY COMMISSION  
110 BLUE RAVINE RD., SUITE 107  
FOLSOM, CA 95630

DAVID BRANCHCOMB  
BRANCHCOMB ASSOCIATES, LLC  
9360 OAKTREE LANE  
ORANGEVILLE, CA 95662

KENNY SWAIN  
NAVIGANT CONSULTING  
3100 ZINFANDEL DRIVE, SUITE 600  
RANCHO CORDOVA, CA 95670

KIRBY DUSEL  
NAVIGANT CONSULTING, INC.  
3100 ZINFANDEL DRIVE, SUITE 600  
RANCHO CORDOVA, CA 95670

GORDON PICKERING  
PRINCIPAL  
NAVIGANT CONSULTING, INC.  
3100 ZINFANDEL DRIVE, SUITE 600  
RANCHO CORDOVA, CA 95670-6078

LAURIE PARK  
NAVIGANT CONSULTING, INC.  
3100 ZINFANDEL DRIVE, SUITE 600  
RANCHO CORDOVA, CA 95670-6078

DAVID REYNOLDS  
MEMBER SERVICES MANAGER  
NORTHERN CALIFORNIA POWER AGENCY  
180 CIRBY WAY  
ROSEVILLE, CA 95678-6420

SCOTT TOMASHEFSKY  
NORTHERN CALIFORNIA POWER AGENCY  
180 CIRBY WAY  
ROSEVILLE, CA 95678-6420

ELLEN WOLFE  
RESERO CONSULTING  
9289 SHADOW BROOK PL.  
GRANITE BAY, CA 95746

AUDRA HARTMANN  
DYNEGY INC.  
980 NINTH STREET, SUITE 1420  
SACRAMENTO, CA 95814

BOB LUCAS  
LUCAS ADVOCATES  
1121 L STREET, SUITE 407  
SACRAMENTO, CA 95814

CURT BARRY  
717 K STREET, SUITE 503  
SACRAMENTO, CA 95814

DAN SKOPEC  
CLIMATE & ENERGY CONSULTING  
1201 K STREET SUITE 970  
SACRAMENTO, CA 95814

DANIELLE MATTHEWS SEPERAS  
CALPINE CORPORATION

DAVID L. MODISETTE  
EXECUTIVE DIRECTOR



1127 11TH STREET, SUITE 242  
SACRAMENTO, CA 95814

CALIFORNIA ELECTRIC TRANSP. COALITION  
1015 K STREET, SUITE 200  
SACRAMENTO, CA 95814

DOUGLAS K. KERNER  
ATTORNEY AT LAW  
ELLISON, SCHNEIDER & HARRIS, LLP  
2015 H STREET  
SACRAMENTO, CA 95814

JUSTIN C. WYNNE  
BRAU & BLAISING, P.C.  
915 L STREET, SUITE 1270  
SACRAMENTO, CA 95814

KASSANDRA GOUGH  
CALPINE CORPORATION  
1127 11TH STREET, SUITE 242  
SACRAMENTO, CA 95814

KELLIE SMITH  
SENATE ENERGY/UTILITIES & COMMUNICATION  
STATE CAPITOL, ROOM 4038  
SACRAMENTO, CA 95814

KEVIN WOODRUFF  
WOODRUFF EXPERT SERVICES  
1100 K STREET, SUITE 204  
SACRAMENTO, CA 95814

MICHAEL WAUGH  
AIR RESOURCES BOARD  
1001 10TH STREET  
SACRAMENTO, CA 95814

PANAMA BARTHOLOMY  
ADVISOR TO CHAIR PFANNENSTIEL  
CALIFORNIA ENERGY COMMISSION  
1516 9TH STREET  
SACRAMENTO, CA 95814

PATRICK STONER  
PROGRAM DIRECTOR  
LOCAL GOVERNMENT COMMISSION  
1303 J STREET, SUITE 250  
SACRAMENTO, CA 95814

RACHEL MCMAHON  
CEERT  
1100 11TH STREET, SUITE 311  
SACRAMENTO, CA 95814

RYAN BERNARDO  
BRAUN & BLAISING, P.C.  
915 L STREET, SUITE 1270  
SACRAMENTO, CA 95814

STEVEN A. LIPMAN  
STEVEN LIPMAN CONSULTING  
500 N. STREET 1108  
SACRAMENTO, CA 95814

STEVEN KELLY  
INDEPENDENT ENERGY PRODUCERS  
1215 K STREET, SUITE 900  
SACRAMENTO, CA 95814

WEBSTER TASAT  
AIR RESOURCES BOARD  
1001 I STREET  
SACRAMENTO, CA 95814

EDWARD J. TIEDEMANN  
ATTORNEY AT LAW  
KRONICK, MOSKOVITZ, TIEDEMANN & GIRARD  
400 CAPITOL MALL, 27TH FLOOR  
SACRAMENTO, CA 95814-4416

LAURIE TEN HOPE  
ADVISOR TO COMMISSIONER BYRON  
CALIFORNIA ENERGY COMMISSION  
1516 9TH STREET, MS-32  
SACRAMENTO, CA 95814-5512

JOSHUA BUSHINSKY  
WESTERN POLICY COORDINATOR  
PEW CENTER ON GLOBAL CLIMATE CHANGE  
2101 WILSON BLVD., SUITE 550  
ARLINGTON, VA 95816

LYNN HAUG  
ELLISON, SCHNEIDER & HARRIS, LLP  
2015 H STREET  
SACRAMENTO, CA 95816

OBADIAH BARTHOLOMY  
MECHANICAL ENGINEER  
SACRAMENTO MUNICIPAL UTILITY DISTRICT  
M.S. B257  
6201 S. STREET  
SACRAMENTO, CA 95817

BUD BEEBE  
SACRAMENTO MUNICIPAL UTIL DIST  
MS B257  
6201 S STREET  
SACRAMENTO, CA 95817-1899

BALWANT S. PUREWAL  
DEPARTMENT OF WATER RESOURCES  
3310 EL CAMINO AVE., LL-90  
SACRAMENTO, CA 95821

DOUGLAS MACMULLEN  
CHIEF, POWER PLANNING SECTION  
CA DEPARTMENT OF WATER RESOURCES  
3310 EL CAMINO AVE., ROOM 356  
SACRAMENTO, CA 95821

KAREN NORENE MILLS  
ATTORNEY AT LAW  
CALIFORNIA FARM BUREAU FEDERATION  
2300 RIVER PLAZA DRIVE  
SACRAMENTO, CA 95833

KAREN LINDH  
LINDH & ASSOCIATES  
7909 WALERGA ROAD, NO. 112, PMB 119  
ANTELOPE, CA 95843

ELIZABETH W. HADLEY  
CITY OF REDDING  
777 CYPRESS AVENUE  
REDDING, CA 96001

ANNE-MARIE MADISON  
TRANSALTA ENERGY MARKETING INC.  
222 SW COLUMBIA STREET, STE 1105  
PORTLAND, OR 97201

ANNIE STANGE  
ALCANTAR & KAHL  
1300 SW FIFTH AVE., SUITE 1750  
PORTLAND, OR 97201

ELIZABETH WESTBY  
ALCANTAR & KAHL, LLP  
1300 SW FIFTH AVENUE, SUITE 1750  
PORTLAND, OR 97201

ALEXIA C. KELLY  
THE CLIMATE TRUST  
65 SW YAMHILL STREET, SUITE 400  
PORTLAND, OR 97204

ALAN COMNES  
WEST COAST POWER  
3934 SE ASH STREET  
PORTLAND, OR 97214

KYLE SILON  
ECOSECURITIES CONSULTING LIMITED  
529 SE GRAND AVENUE  
PORTLAND, OR 97214

CATHIE ALLEN  
CA STATE MGR.  
PACIFICORP  
825 NE MULTNOMAH STREET, SUITE 2000  
PORTLAND, OR 97232

PHIL CARVER  
OREGON DEPARTMENT OF ENERGY  
625 MARION ST., NE  
SALEM, OR 97301-3737

SAM SADLER  
OREGON DEPARTMENT OF ENERGY  
625 NE MARION STREET  
SALEM, OR 97301-3737

LISA SCHWARTZ  
SENIOR ANALYST  
ORGEON PUBLIC UTILITY COMMISSION  
PO BOX 2148  
SALEM, OR 97308-2148

CLARE BREIDENICH  
224 1/2 24TH AVENUE EAST  
SEATTLE, WA 98112

DONALD SCHOENBECK  
RCS, INC.  
900 WASHINGTON STREET, SUITE 780  
VANCOUVER, WA 98660

JESUS ARREDONDO  
NRG ENERGY INC.  
4600 CARLSBAD BLVD.  
CARLSBAD, CA 99208

CHARLIE BLAIR  
DELTA ENERGY & ENVIRONMENT  
15 GREAT STUART STREET  
EDINBURGH, UK EH2 7TP  
UNITED KINGDOM

THOMAS ELGIE  
POWEREX CORPORATION  
1400, 666 BURRAND ST  
VANCOUVER, BC V6C 2X8  
CANADA

#### State Service

CLARENCE BINNINGER  
DEPUTY ATTORNEY GENERAL  
DEPARTMENT OF JUSTICE  
455 GOLDEN GATE AVENUE, SUITE 11000  
SAN FRANCISCO, CA 94102

DAVID ZONANA  
DEPUTY ATTORNEY GENERAL  
CALIFORNIA ATTORNEY GENERAL'S OFFICE  
455 GOLDEN GATE AVENUE, SUITE 11000  
SAN FRANCISCO, CA 94102

ANDREW CAMPBELL  
CALIF PUBLIC UTILITIES COMMISSION  
EXECUTIVE DIVISION  
ROOM 5203  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

ANNE GILLETTE  
CALIF PUBLIC UTILITIES COMMISSION  
ENERGY RESOURCES BRANCH  
AREA 4-A  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

BETH MOORE  
CALIF PUBLIC UTILITIES COMMISSION  
ELECTRICITY RESOURCES & PRICING BRANCH  
ROOM 4103  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

CATHLEEN A. FOGEL  
CALIF PUBLIC UTILITIES COMMISSION  
ENERGY RESOURCES BRANCH  
AREA 4-A  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

CHARLOTTE TERKEURST  
CALIF PUBLIC UTILITIES COMMISSION  
DIVISION OF ADMINISTRATIVE LAW JUDGES  
ROOM 5117  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

CHRISTINE S. TAM  
CALIF PUBLIC UTILITIES COMMISSION  
ELECTRICITY RESOURCES & PRICING BRANCH  
ROOM 4209  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

DONALD R. SMITH  
CALIF PUBLIC UTILITIES COMMISSION  
ELECTRICITY RESOURCES & PRICING BRANCH  
ROOM 4209  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

ED MOLDAVSKY  
CALIF PUBLIC UTILITIES COMMISSION  
LEGAL DIVISION  
ROOM 5037  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

EUGENE CADENASSO  
CALIF PUBLIC UTILITIES COMMISSION  
RATEMAKING BRANCH  
AREA 4-A  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

HARVEY Y. MORRIS  
CALIF PUBLIC UTILITIES COMMISSION  
LEGAL DIVISION  
ROOM 5036  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

HENRY STERN  
CALIF PUBLIC UTILITIES COMMISSION  
DIVISION OF ADMINISTRATIVE LAW JUDGES  
ROOM 2106  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

JACLYN MARKS  
CALIF PUBLIC UTILITIES COMMISSION  
EXECUTIVE DIVISION  
ROOM 5306  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

JACQUELINE GREIG  
CALIF PUBLIC UTILITIES COMMISSION  
ENERGY COST OF SERVICE & NATURAL GAS BRA  
ROOM 4102  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

JAMIE FORDYCE  
CALIF PUBLIC UTILITIES COMMISSION  
DIVISION OF STRATEGIC PLANNING  
AREA 5-B  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

JASON R. SALMI KLOTZ  
CALIF PUBLIC UTILITIES COMMISSION  
ENERGY RESOURCES BRANCH  
AREA 4-A  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

JEORGE S. TAGNIPES  
CALIF PUBLIC UTILITIES COMMISSION  
ENERGY RESOURCES BRANCH  
AREA 4-A  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

JOEL T. PERLSTEIN  
CALIF PUBLIC UTILITIES COMMISSION  
LEGAL DIVISION  
ROOM 5133  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

JONATHAN LAKRITZ  
CALIF PUBLIC UTILITIES COMMISSION  
DIVISION OF ADMINISTRATIVE LAW JUDGES  
ROOM 5020  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

JUDITH IKLE  
CALIF PUBLIC UTILITIES COMMISSION  
ENERGY RESOURCES BRANCH  
ROOM 4012  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

JULIE A. FITCH  
CALIF PUBLIC UTILITIES COMMISSION  
DIVISION OF STRATEGIC PLANNING  
ROOM 5119  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

KRISTIN RALFF DOUGLAS  
CALIF PUBLIC UTILITIES COMMISSION  
DIVISION OF STRATEGIC PLANNING  
ROOM 5119  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

LAINIE MOTAMEDI  
CALIF PUBLIC UTILITIES COMMISSION  
DIVISION OF STRATEGIC PLANNING  
ROOM 5119  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

LANA TRAN  
CALIF PUBLIC UTILITIES COMMISSION

MATTHEW DEAL  
CALIF PUBLIC UTILITIES COMMISSION

ELECTRIC GENERATION PERFORMANCE BRANCH  
AREA 2-D  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

EXECUTIVE DIVISION  
ROOM 5215  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

NANCY RYAN  
CALIF PUBLIC UTILITIES COMMISSION  
EXECUTIVE DIVISION  
ROOM 5217  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

PAMELA WELLNER  
CALIF PUBLIC UTILITIES COMMISSION  
ENERGY RESOURCES BRANCH  
AREA 4-A  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

PAUL S. PHILLIPS  
CALIF PUBLIC UTILITIES COMMISSION  
ELECTRICITY RESOURCES & PRICING BRANCH  
ROOM 4101  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

PEARLIE SABINO  
CALIF PUBLIC UTILITIES COMMISSION  
ENERGY COST OF SERVICE & NATURAL GAS BR  
ROOM 4209  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

RAHMOM MOMOH  
CALIF PUBLIC UTILITIES COMMISSION  
ELECTRICITY RESOURCES & PRICING BRANCH  
ROOM 4205  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

RICHARD A. MYERS  
CALIF PUBLIC UTILITIES COMMISSION  
RATEMAKING BRANCH  
AREA 4-A  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

SARA M. KAMINS  
CALIF PUBLIC UTILITIES COMMISSION  
ENERGY RESOURCES BRANCH  
AREA 4-A  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

SCOTT MURTISHAW  
CALIF PUBLIC UTILITIES COMMISSION  
ENERGY DIVISION  
AREA 4-A  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

SEAN A. SIMON  
CALIF PUBLIC UTILITIES COMMISSION  
ENERGY RESOURCES BRANCH  
AREA 4-A  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

STEVE ROSCOW  
CALIF PUBLIC UTILITIES COMMISSION  
RATEMAKING BRANCH  
AREA 4-A  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

THERESA CHO  
CALIF PUBLIC UTILITIES COMMISSION  
EXECUTIVE DIVISION  
ROOM 5207  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3214

BILL LOCKYER  
STATE ATTORNEY GENERAL  
STATE OF CALIFORNIA, DEPT OF JUSTICE  
PO BOX 944255  
SACRAMENTO, CA 94244-2550

KEN ALEX  
PO BOX 944255  
1300 I STREET, SUITE 125  
SACRAMENTO, CA 94244-2550

BALDASSARO DI CAPO  
151 BLUE RAVINE ROAD  
FOLSOM, CA 95630

JUDITH B. SANDERS  
ATTORNEY AT LAW  
CALIFORNIA INDEPENDENT SYSTEM OPERATOR  
151 BLUE RAVINE ROAD  
FOLSOM, CA 95630

JULIE GILL  
EXTERNAL AFFAIRS MANAGER  
CALIFORNIA INDEPENDENT SYSTEM OPERATOR  
151 BLUE RAVINE ROAD  
FOLSOM, CA 95630

MARY MCDONALD  
DIRECTOR OF STATE AFFAIRS  
CALIFORNIA INDEPENDENT SYSTEM OPERATOR  
151 BLUE RAVINE ROAD  
FOLSOM, CA 95630

PHILIP D. PETTINGILL  
CALIFORNIA INDEPENDENT SYSTEM OPERATOR  
151 BLUE RAVINE ROAD  
FOLSOM, CA 95630

MICHAEL SCHEIBLE  
DEPUTY EXECUTIVE OFFICER  
CALIFORNIA AIR RESOURCES BOARD  
1001 I STREET  
SACRAMENTO, CA 95677

EVAN POWERS  
CALIFORNIA AIR RESOURCES BOARD  
1001 I ST, PO BOX 2815  
SACRAMENTO, CA 95812

JEFFREY DOLL  
CALIFORNIA AIR RESOURCES BOARD  
PO BOX 2815 1001 I STREET  
SACRAMENTO, CA 95812

PAM BURMICH  
AIR RESOURCES BOARD  
1001 I STREET, BOX 2815  
SACRAMENTO, CA 95812

B. B. BLEVINS  
EXECUTIVE DIRECTOR  
CALIFORNIA ENERGY COMMISSION  
1516 9TH STREET, MS-39  
SACRAMENTO, CA 95814

DARYL METZ  
CALIFORNIA ENERGY COMMISSION  
1516 9TH ST., MS-20  
SACRAMENTO, CA 95814

DEBORAH SLON  
DEPUTY ATTORNEY GENERAL, ENVIRONMENT  
OFFICE OF THE ATTORNEY GENERAL  
1300 I STREET, 15TH FLOOR  
SACRAMENTO, CA 95814

DON SCHULTZ  
CALIF PUBLIC UTILITIES COMMISSION  
ELECTRICITY RESOURCES & PRICING BRANCH  
770 L STREET, SUITE 1050  
SACRAMENTO, CA 95814

KAREN GRIFFIN  
EXECUTIVE OFFICE  
CALIFORNIA ENERGY COMMISSION  
1516 9TH STREET, MS 39  
SACRAMENTO, CA 95814

LISA DECARLO  
STAFF COUNSEL  
CALIFORNIA ENERGY COMMISSION  
1516 9TH STREET MS-14  
SACRAMENTO, CA 95814

MARC PRYOR  
CALIFORNIA ENERGY COMMISSION  
1516 9TH ST., MS-20  
SACRAMENTO, CA 95814

MICHELLE GARCIA  
AIR RESOURCES BOARD  
1001 I STREET  
SACRAMENTO, CA 95814

PIERRE H. DUVAIR  
CALIFORNIA ENERGY COMMISSION  
1516 NINTH STREET, MS-41  
SACRAMENTO, CA 95814

WADE MCCARTNEY  
CALIF PUBLIC UTILITIES COMMISSION  
DIVISION OF STRATEGIC PLANNING  
770 L STREET, SUITE 1050  
SACRAMENTO, CA 95814

CAROL J. HURLOCK  
CALIFORNIA DEPT. OF WATER RESOURCES  
JOINT OPERATIONS CENTER  
3310 EL CAMINO AVE. RM 300  
SACRAMENTO, CA 95821

HOLLY B. CRONIN  
STATE WATER PROJECT OPERATIONS DIV  
CALIFORNIA DEPARTMENT OF WATER RESOURCES  
3310 EL CAMINO AVE., LL-90  
SACRAMENTO, CA 95821

ROSS A. MILLER  
ELECTRICITY ANALYSIS OFFICE  
CALIFORNIA ENERGY COMMISSION  
1516 9TH STREET MS 20  
SACRAMENTO, CA 96814-5512