

## STATE CORPORATION COMMISSION (SCC)

Tyler Building  
1300 E. Main St.  
Richmond, VA 23219

Toll Free (VA only) 1-800-552-7945

Clerk's Office Toll Free (VA only) 1-866-722-2551

General Information: 804-371-9967

Website: [www.scc.virginia.gov](http://www.scc.virginia.gov)

Mailing Address:  
State Corporation Commission  
<Specific Division>  
P.O. Box 1197  
Richmond, VA 23218

Commissioners – (804) 371-9608

Mark C. Christie, Commissioner

James C. Dimitri, Commissioner

Judith Williams Jagdmann, Commissioner

John F. Dudley, Counsel to the Commission – (804) 371-9608

D.J. Geiger, Administrative Counsel – (804) 371-9608

Samuel A. Nixon, Jr., Chief Administrative Officer – (804) 371-9608

The position of SCC chairman is rotated among the three Commissioners on an annual basis. Administrative oversight of the SCC's regulatory divisions is a responsibility shared, as needed, among all three Commissioners and administrative support functions are coordinated by the SCC's Chief Administrative Officer.

<u>Divisions</u>	<u>Director</u>	<u>Telephone Number</u>
<b>Business Entity, UCC and Case Filings</b>		
Clerk's Office	Joel H. Peck	371-9733
Business Entity Information		371-9733
UCC/Federal Tax Lien Info		371-9733
Case Information		371-9838
<b>Regulatory Divisions</b>		
Bureau of Financial Institutions	E. Joseph Face, Jr.	371-9657
Bureau of Insurance	Jacqueline Cunningham	371-9741
Securities & Retail Franchising	Ronald W. Thomas	371-9051
Communications	William Irby	371-9420
Energy Regulation	William F. Stephens	371-9611
Public Service Taxation	Robert S. Tucker	371-9480
Utility Accounting & Finance	(vacant)	371-9950
Utility & Railroad Safety	Massoud Tahamtani	371-9980
<b>Legal</b>		
General Counsel	William H. Chambliss	371-9671
Hearing Examiner	Deborah V. Ellenberg	371-9876

<u>Divisions</u>	<u>Director</u>	<u>Telephone Number</u>
<b>Administrative Support</b>		
Comptroller	Leo A. Padis, Jr.	371-3012
Human Resources	Steven Bradley	371-9000
Information Resources	Kenneth J. Schrad	371-9141
Information Technology	Janet D. LaFleur	371-9518
Information Security	Terri Helfrich	371-1511
Internal Audit	Greg Liptak	371-9362

## ORGANIZATION OF THE STATE CORPORATION COMMISSION

1. *The Commission.* The Commission consists of three members elected by the joint vote of the two houses of the General Assembly for regular staggered terms of six years (Code §12.1-6).
2. *Chairman.* One of its members is elected chairman by the Commission for a one-year term beginning on the first day of February of each year (Code § 12.1-7).
3. *Quorum.* A majority of the Commissioners shall constitute a quorum for the exercise of judicial, legislative, and discretionary functions of the Commission, whether there be a vacancy in the Commission or not, but a quorum shall not be necessary for the exercise of its administrative functions (Code § 12.1-8).

The public responsibilities of the Commission are divided among the following general industry sectors:

### GENERAL BUSINESS

#### Clerk's Office

Administers the provisions of (i) the corporate, limited liability company, limited partnership and business trust statutes related to formation, amendment, merger, termination, cancellation, etc., (ii) the business entity statutes related to qualification/registration of foreign corporations, limited liability companies, limited partnerships and business trusts intending to transact business in Virginia, (iii) the business entity statutes related to assessing and collecting annual registration fees and filing corporate annual reports, (iv) the business entity statutes related to filing changes of registered agents/offices, (v) the partnership statute related to filing partnership statements and registering registered limited liability partnerships; functions as the public depository of business entity formation and related documents required to be filed with the Commission; maintains the records of cases heard before the Commission; provides certified and uncertified copies of documents and information filed with the Commission.

Records and maintains in hard copy, computer systems or microfilm the documents and information filed (i) in the Clerk's Office by business entities and (ii) in Commission cases; takes telephonic requests for copies of such documents and information; provides facilities for walk-in viewing of such documents and information; responds to telephonic requests for specific information concerning business entities of record in the Clerk's Office; processes requests for business entity forms prepared or prescribed by the Commission.

Functions as the central filing office in Virginia under the Uniform Commercial Code-Secured Transactions (Va. Code § 8.9A-101 et seq.) with respect to financing and related statements; discharges the duties of the filing officer under the Uniform Federal Lien Registration Act (Va. Code § 55-142.1 et seq.).

The Clerk of the Commission may be an agent for service of process pursuant to numerous statutes, including Va. Code §§ 8.01-299, 8.01-301, 8.01-306, 13.1-517, 13.1-566, 13.1-637, 13.1-766, 13.1-836, 13.1-928, 13.1-1018, 13.1-1223, 38.2-1216, 40.1-68, 50-73.7, and 50-73.135; in general, the Clerk of the Commission has the powers and performs the duties of a clerk of a court of record in all matters within the Commission's jurisdiction.

## REGULATORY DIVISIONS

### Bureau of Financial Institutions

Involved in consumer protection through administration of state laws regarding depository and non-depository financial institutions. Responsible for examination and supervision of all state-chartered banks, trust companies, savings institutions, industrial loan associations, credit union, consumer finance companies, money order sellers, credit counseling agencies, payday lenders, mortgage lenders and brokers, and originators as provided by law. The Bureau also investigates consumer complaints and has an outreach program for the purpose of improving the financial literacy of Virginians.

### Bureau of Insurance

Regulates insurance companies licensed to do business in Virginia; conducts financial examinations of domestic insurance companies; performs market conduct examinations of insurance companies; issues licenses to insurance agents, agencies, and companies; reviews life and health and property and casualty policy forms and rates; and responds to inquiries and assists consumers with insurance matters.

### Securities and Retail Franchising

Responsible for the regulation of securities, broker-dealers, broker-dealer agents, investment advisers and their representatives. It is also responsible for the registration of franchises and trademarks in Virginia; answers inquiries, provides investor education

programs, handles complaints, performs audits, and conducts investigations regarding code violations relating to Securities and Retail Franchising.

### Communications

Assists the Commission in carrying out its duties as prescribed by the Code of Virginia. It oversees and monitors the continued implementation of competition in landline telecommunications markets with the goal of achieving an effective regulatory environment that balances the advancement of competition with the protection of consumers. The Division assists the Commission in developing, implementing, and enforcing alternatives to traditional forms of regulation as competition evolves. It monitors, enforces, and makes interpretations on certain rates, tariffs, and operating procedures of investor-owned telecommunications utilities. The Division enforces service standards and investigates and resolves consumer inquiries and complaints. It assures compliance with tariff regulations, maintains territorial maps, coordinates extended area service studies, enforces pay telephone regulations, and performs special studies. The Staff testifies in rate, service, and generic hearings, and meets with the public on communications issues and problems. The Staff also assists in carrying out provisions of the Federal Telecommunications Act of 1996, monitors developments at the federal level, and prepares Commission responses where appropriate.

### Energy Regulation

Under Virginia's hybrid model of rate regulation; monitors rates and services of investor-owned and member-owned electric, gas, water and sewer utilities, including administrative interpretations and rulings relating to rules, regulations, rates and charges; investigates consumer complaints; maintains territorial maps; prepares testimony for rate and service proceedings; develops special studies, including depreciation prescriptions; monitors construction programs and service quality; and administers the Utility Facilities Act.

### Public Service Taxation

Administration of Code §§ 58.1-2600 to 58.1-2690 and §§ 58.1-2900 to 58.1 - 2907, Evaluates and assesses local taxation of all real and tangible personal property of public service corporations: electric, gas, water, and telecommunications companies. Assesses state taxes of public service corporations: consumption tax, gross receipts tax, and special revenue tax. Also handles the assessment, collection and distribution of taxes to localities for the rolling stock of certain certificated motor vehicle carriers.

### Utility Accounting & Finance

Provides the Commission with accounting and financial information to use when deliberating utility cases involving rates and services; affiliate transactions, mergers and

acquisitions; certificates of public convenience and necessity; alternative regulatory plans; and the restructuring of utility markets.

### Utility and Railroad Safety

Administers safety programs involving natural gas and hazardous liquid pipeline facilities, railroads and underground utility damage prevention. The pipeline safety section is responsible for inspecting facilities, reviewing records and investigating incidents. The railroad regulation section is responsible for the inspection of railroad facilities including track and equipment, to ensure safe operation of railroads in Virginia. The damage prevention section investigates reports of “probable violations” of the Underground Utility Damage Prevention Act. This division also provides free training regarding the Damage Prevention Act to stakeholders and conducts public education programs.

## ADMINISTRATIVE DIVISIONS

### Chief Administrative Officer

Assists the Commissioners with the administrative functions of the Commission. Directly oversees the six divisions responsible for the Commission’s budget, human resources management, information technology, data security and public and government relations.

### Information Resources

Serves as Commission liaison with the news media, the Virginia General Assembly, Congress, other governmental agencies, and community and industry groups. Coordinates public information activities of the SCC; handles inquiries from the news media and the general public; issues SCC news releases and serves as the SCC's official spokesman.

### Office of Information Security

Provides information security governance to the Commission through policy guidance, standards and processes that protect the confidentiality, integrity and availability of the information and systems maintained at the Commission.

### Information Technology

Provides information technology leadership and planning to support Commission activities, technical support for all SCC employees and facilitates the efficient performance of all SCC technology-related systems.

### Office of Internal Audit

Serves as an advisory function of the Commission providing independent and objective assurance and consulting services. The goal of the internal audit program is to help the Commission accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and the governance process.

#### Human Resources

A strategic business partner to the Commission, its employees, and the public in the areas of compensation, benefits, work experience, recruitment, retention, and employee development.

#### Office of the Commission Comptroller

Responsible for the Commission's finances. The office prepares and implements the Commission budget; ensures fiscal control of SCC operations, and oversees management of the Tyler Building. The Office is also responsible for all procurement on behalf of the Commission including development and issuance of Requests for Proposals and Invitations for Bid.

#### LEGAL SUPPORT

##### Counsel to the Commission

Provides advice and legal counsel to the Commissioners.

##### Office of General Counsel

Provides legal advice and representation to the Commission and its divisions. It represents the staff in proceedings before the Commissioners or Hearing Examiners, prepares orders at the direction of the Commissioners, prepares appellate pleadings and defends Commission orders on appeal to the Supreme Court of Virginia.

##### Office of Hearing Examiners

Conducts hearings on behalf of the Commission, as directed by the Commissioners. Following a hearing, the examiner prepares a written final report and recommended decision for consideration by the Commissioners. The final report is advisory only; the Commissioners make the final decisions.

## **ADMINISTRATIVE DIVISIONS**

provide support services for the entire Commission.

**Chief Administrative Officer** - assists the Commissioners with the administrative functions of the Commission. Directly oversees the six divisions responsible for the Commission's budget, human resource management, information technology, data security, and public and government relations.

**Information Resources** - serves as Commission liaison with the news media, the Virginia General Assembly, Congress, industry groups, government agencies, and the public.

**Office of Information Security** - provides information security governance to the Commission through policy guidance, standards and processes that protect the confidentiality, integrity and availability of the information and systems maintained at the Commission.

**Information Technology** - provides information technology leadership and planning to support Commission activities; supports the effective use of technology throughout the SCC.

**Office of Internal Audit** - provides an advisory function at the SCC by offering independent and objective assurance and consulting services. The goal of the internal audit program is to help the SCC accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and the governance process.

**Human Resources** - provides human resources services and information to employees and the general public comprising recruitment, career development and training, consulting, and compensation and benefits.

**Office of Commission Comptroller** - prepares and implements the Commission budget; ensures fiscal control of SCC operations; oversees management of the Tyler Building, procurement policies and procedures, printing and reproduction center, and mail/supply center.

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