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AMERICAN ELECTRIC POWER CO INC

Form U-9C-3

March 28, 2002

File No. 074-00015

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

FORM U-9C-3

QUARTERLY REPORT

For the quarter ended December 31, 2001

Filed Pursuant to Rule 58 of the Public Utility Holding Company  
Act of 1935

by  
AMERICAN ELECTRIC POWER COMPANY, INC.  
1 Riverside Plaza, Columbus, Ohio 43215

AMERICAN ELECTRIC POWER COMPANY, INC.  
FORM U-9C-3  
For the Quarter Ended December 31, 2001

CONTENTS

	Page
ITEM 1 - Organization Chart	1
ITEM 2 - Issuances and Renewals of Securities and	

# Edgar Filing: AMERICAN ELECTRIC POWER CO INC - Form U-9C-3

Capital Contributions	9
ITEM 3 - Associated Transactions	10
ITEM 4 - Summary of Aggregate Investment	11
ITEM 5 - Other Investments	11
ITEM 6 - Financial Statements and Exhibits	12
Statements of Income	
Balance Sheet	
Exhibits	

## ITEM 1 - ORGANIZATION CHART

Company names are indented and numbered to identify them as subsidiaries of the company that is listed immediately above them at the next tier. Some companies are subsidiaries of more than one company. The reference code for each subsidiary refers to the supplemental schedule to the organization chart that provides details regarding date and state of organization, nature of business, etc. required to be reported under Item 1.

Reference Code

00. American Electric Power Company, Inc.	
01. American Electric Power Service Corporation	
01. AEP C&I Company, LLC	1
02. AEP Ohio Commercial & Industrial Retail Company, LLC	2
02. AEP Texas Commercial & Industrial Retail GP, LLC	3
03. AEP Texas Commercial & Industrial Retail Limited Partnership	4
02. AEP Texas Commercial & Industrial Retail Limited Partnership	4
02. AEP Gas Power GP, LLC	5
03. AEP Gas Power Systems, LLC	6
01. AEP Coal, Inc.	7
02. Snowcap Coal Company, Inc.	8
02. AEP Kentucky Coal, LLC	9
02. AEP Ohio Coal, LLC	10
02. AEP West Virginia Coal, Inc.	11
01. AEP Energy Services, Inc.	12
02. Energy Trading Platform Holding Company, Inc.	13
02. Intercontinental Exchange, Inc.	91
01. AEP Investments, Inc.	
02. AEP EmTech, LLC	14
03. Altra Energy Technologies, Inc.	15
03. Amperion, Inc.	16
01. Mutual Energy L.L.C.	17
02. Mutual Energy Service Company, L.L.C.	18
02. AEP Ohio Retail Energy, LLC	19
01. AEP Power Marketing, Inc.	20
01. AEP T&D Services, LLC	21
01. AEP Pro Serv, Inc.	
02. Power-span Corp	22
02. PHPK Technologies, Inc.	23
01. AEP Retail Energy LLC	24
01. AEP Texas POLR, LLC	25
02. AEP Texas POLR GP, LLC	26
03. POLR Power, L.P.	27

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02. POLR Power, L.P.	27
01. Central and South West Corporation	
02. Public Service Company of Oklahoma	
03. Ash Creek Mining Company	28
03. AEMT, Inc.	29
03. Powerware Solutions, Inc.	30
03. Utility Data Resources, Inc.	31
02. Southwestern Electric Power Company	
03. The Arkklahoma Corporation	32
03. Southwest Arkansas Utilities Corporation	33
03. Dolet Hills Lignite Company, LLC	34
02. CSW Energy, Inc.	
03. CSW Development-I, Inc.	35
04. Polk Power GP II, Inc.	36
05. Polk Power GP, Inc.	37
06. Polk Power Partners, LP	38
07. Mulberry Holdings, Inc.	39
04. CSW Mulberry II, Inc.	40
05. CSW Mulberry, Inc.	41
04. Polk Power Partners, LP	38
05. Mulberry Holdings, Inc.	39
04. Noah I Power GP, Inc.	42
05. Noah I Power Partners, LP	43
06. Brush Cogeneration Partners	44
04. Noah I Power Partners, LP	43
05. Brush Cogeneration Partners	44
04. Orange Cogeneration GP II, Inc.	45
05. Orange Cogeneration G.P., Inc.	46
06. Orange Cogeneration Limited Partnership	47
07. Orange Cogen Funding Corp.	48
08. Orange Holdings, Inc.	49
04. CSW Orange II, Inc.	50
05. CSW Orange, Inc.	51
06. Orange Cogeneration Limited Partnership	47
07. Orange Cogen Funding Corp.	48
08. Orange Holdings, Inc.	49
03. CSW Development-II, Inc.	52
03. CSW Ft. Lupton, Inc.	53
04. Thermo Cogeneration Partnership, L.P.	54
03. CSW Sweeny GP I, Inc.	55
04. CSW Sweeny GP II, Inc.	56
05. Sweeney Cogeneration Limited Partnership	57
03. CSW Sweeny LP I, Inc.	58
04. CSW Sweeny LP II, Inc.	59
05. Sweeney Cogeneration Limited Partnership	57
03. CSW Nevada, Inc.	60
03. CSW Services International, Inc.	61
03. Diversified Energy Contractors Company, LLC	62
04. DECCO II LLC	63
05. Diversified Energy Contractors, LP	64
04. Diversified Energy Contractors, LP	64
04. Industry and Energy Associates, L.L.C.	65
03. CSW Eastex GP I, Inc.	66
04. CSW Eastex GP II, Inc.	67
05. Eastex Cogeneration Limited Partnership	68
03. CSW Eastex LP I, Inc.	69
04. CSW Eastex LP II, Inc.	70
05. Eastex Cogeneration Limited Partnership	68
02. EnerShop Inc.	71
03. Envirotherm, Inc.	72
02. CSW Energy Services, Inc.	73
03. Nuvest, L.L.C.	74

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04. National Temporary Services, Inc.	75
05. Octagon, Inc.	76
04. Numanco, L.L.C.	77
05. NuSun, Inc.	78
06. Sun Technical Services, Inc.	79
06. Calibration and Testing Corporation	80
05. ESG Technical Services, L.L.C.	81
05. National Environmental Services Technology, L.L.C.	82
05. ESG Indonesia, L.L.C.	83
05. ESG, L.L.C.	84
05. Numanco Services, LLC	85
02. REP Holdco, Inc.	86
03. Mutual Energy CPL L.P.	87
03. Mutual Energy WTU L.P.	88
03. Mutual Energy SWEPCO L.P.	89
03. REP General Partner LLC	90
04. Mutual Energy CPL L.P.	87
04. Mutual Energy WTU L.P.	88
04. Mutual Energy SWEPCO L.P.	89

Name of Reporting Company	Energy or Gas-related Company	Date of Organization	State of Organization	Percentage Of Voting Securities Held	Nature
-----	-----	-----	-----	-----	-----
1AEP C&I Company, LLC	Energy	10/10/00	Delaware	100%	Market energy
2AEP Ohio Commercial & Industrial Retail Company, LLC	Energy	10/10/00	Delaware	100%	Market energy
3AEP Texas Commercial & Industrial Retail GP, LLC	Energy	12/11/00	Delaware	100%	Market energy
4AEP Texas Commercial & Industrial Retail Limited Partnership	Energy	12/12/00	Delaware	100%	Market energy
5AEP Gas Power GP, LLC	Energy	12/19/00	Delaware	100%	Distrib
6AEP Gas Power Systems, LLC	Energy	07/09/96	Delaware	75%	Distrib
7AEP Coal, Inc.	Energy	10/29/01	Nevada	100%	Coal M
8Snowcap Coal Company, Inc.	Energy	10/29/01	Delaware	100%	Coal M
9AEP Kentucky Coal, LLC	Energy	10/29/01	Delaware	100%	Coal M
10AEP Ohio Coal, LLC	Energy	10/26/01	Delaware	100%	Coal M
11AEP West Virginia Coal, Inc.	Energy	10/29/01	Nevada	100%	Coal M
12AEP Energy Services, Inc.	Energy	09/24/96	Ohio	100%	Broker
13Energy Trading Platform Holding Company, Inc.	Energy	04/28/00	Delaware	16.7%	Energy
14AEP EmTech, LLC	Energy	01/03/01	Delaware	100%	Develop
15Altra Energy Technologies, Inc.	Energy	08/19/97	Delaware	5%	Electr
16Amperion, Inc.	Energy	02/16/01	Delaware	38.30%	Energy
17Mutual Energy L.L.C.	Energy	12/17/99	Delaware	100%	Non-re
18Mutual Energy Service Company, L.L.C.	Energy	09/05/00	Delaware	100%	and pr
19AEP Ohio Retail Energy, LLC	Energy	09/05/00	Delaware	100%	Market
20AEP Power Marketing, Inc.	Energy	07/22/96	Ohio	100%	Market
21AEP T&D Services, LLC	Energy	12/12/00	Delaware	100%	energy

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22Powerspan Corp	Energy	05/14/97	Delaware	9.80%	Pollut
23PHPK Technologies, Inc.	Energy	07/01/91	Ohio	40.40%	Cryoge
24AEP Retail Energy LLC	Energy	06/28/00	Delaware	100%	Manufa
25AEP Texas POLR, LLC (fka AEP Texas Retail GP, LLC)	Energy	12/11/00	Delaware	100%	Market
26AEP Texas POLR GP, LLC	Energy	11/14/01	Delaware	100%	energy
27POLK Power, L.P.	Energy	11/14/01	Delaware	100.00%	Market
28Ash Creek Mining Company	Energy	11/04/76	Oklahoma	100%	energy
29AEMT, Inc.	Energy	12/23/97	Florida	0%	Coal m
30Powerware Solutions, Inc.	Energy	02/15/94	Texas	4.00%	Power
31Utility Data Resources, Inc.	Energy	12/30/97	Delaware	4.50%	Energy
32The Arklahoma Corporation	Energy	05/16/47	Arkansas	44.20%	utilit
33Southwest Arkansas Utilities Corporation	Energy	03/22/28	Arkansas	100.00%	Electr
34Dolet Hills Lignite Company, LLC	Energy	04/09/01	Delaware	100%	consul
35CSW Development-I, Inc.	Energy	12/06/90	Delaware	100%	Electr
36Polk Power GP II, Inc.	Energy	03/20/95	Delaware	50%	Inacti
37Polk Power GP, Inc.	Energy	09/18/91	Delaware	100%	Coal M
38Polk Power Partners, LP	Energy	02/19/92	Delaware	50%	Qualif
39Mulberry Holdings, Inc.	Energy	10/28/99	Delaware	100%	Qualif
40CSW Mulberry II, Inc.	Energy	03/21/95	Delaware	100%	Qualif
41CSW Mulberry, Inc.	Energy	02/03/94	Delaware	100%	Qualif
42Noah I Power GP, Inc.	Energy	05/14/91	Delaware	100%	Qualif
43Noah I Power Partners, LP	Energy	05/16/91	Delaware	100%	Qualif
44Brush Cogeneration Partners	Energy	06/17/94	Delaware	50%	Qualif
45Orange Cogeneration GP II, Inc.	Energy	03/16/95	Delaware	50%	Qualif
46Orange Cogeneration G.P., Inc.	Energy	02/05/93	Delaware	100%	Qualif
47Orange Cogeneration Limited Partnership	Energy	02/05/93	Delaware	50.00%	Qualif
48Orange Cogen Funding Corp.	Energy	06/11/92	Delaware	100%	Qualif
49Orange Holdings, Inc.	Energy	10/28/99	Delaware	100%	Qualif
50CSW Orange II, Inc.	Energy	03/16/95	Delaware	100%	Qualif
51CSW Orange, Inc.	Energy	04/21/93	Delaware	100%	Qualif
52CSW Development-II, Inc.	Energy	06/11/92	Delaware	100%	Qualif
53CSW Ft. Lupton, Inc.	Energy	04/01/93	Delaware	50%	Qualif
54Thermo Cogeneration Partnership, L.P.	Energy	03/17/93	Delaware	100%	Qualif
55CSW Sweeny GP I, Inc.	Energy	09/06/95	Delaware	100%	Qualif
56CSW Sweeny GP II, Inc.	Energy	09/06/95	Delaware	100%	Qualif
57Sweeney Cogeneration Limited Partnership	Energy	10/10/95	Delaware	50%	Qualif
58CSW Sweeny LP I, Inc.	Energy	09/06/95	Delaware	100%	Qualif
59CSW Sweeny LP II, Inc.	Energy	09/06/95	Delaware	100%	Qualif
60CSW Nevada, Inc.	Energy	06/29/93	Delaware	100%	Energy
61CSW Services International, Inc.	Energy	03/19/97	Delaware	100%	Non-re
62Diversified Energy Contractors Company, LLC	Energy	07/03/97	Delaware	100%	and pr
63DECCO II LLC	Energy	08/08/97	Delaware	100%	Non-re
64Diversified Energy Contractors, LP	Energy	08/18/98	Delaware	100%	and pr
65Industry and Energy Associates, L.L.C.	Energy	05/26/98	Delaware	100%	Non-re
66CSW Eastex GP I, Inc.	Energy	09/04/98	Delaware	100%	and pr
67CSW Eastex GP II, Inc.	Energy	09/04/98	Delaware	100%	Qualif

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68Eastex Cogeneration Limited Partnership	Energy	09/09/98	Delaware	50%	Qualif
69CSW Eastex LP I, Inc.	Energy	09/04/98	Delaware	100%	Qualif
70CSW Eastex LP II, Inc.	Energy	09/04/98	Delaware	100%	Qualif
71EnerShop Inc.	Energy	09/11/95	Delaware	100%	Energy
72Envirotherm, Inc.	Energy	01/18/82	Texas	100%	Energy
73CSW Energy Services, Inc.	Energy	09/24/97	Delaware	100%	Energy
74Nuvest, L.L.C.	Energy	02/20/96	Delaware	92.90%	Staff
75National Temporary Services, Inc.	Energy	12/31/90	Pennsylvania	100%	Staff
76Octagon, Inc.	Energy	11/05/93	Delaware	100%	Staff
77Numanco, L.L.C.	Energy	04/08/96	Oklahoma	100%	Staff
78NuSun, Inc.	Energy	04/26/88	Delaware	100%	Staff
79Sun Technical Services, Inc.	Energy	01/16/91	California	100%	Staff
80Calibration and Testing Corporation	Energy	01/02/80	California	100%	Staff
81ESG Technical Services, L.L.C.	Energy	07/16/99	Oklahoma	100%	Staff
82National Environmental Services Technology, L.L.C.	Energy	11/13/98	Oklahoma	100%	Staff
83ESG Indonesia, L.L.C.	Energy	11/13/98	Oklahoma	100%	Staff
84ESG, L.L.C.	Energy	11/27/96	Oklahoma	50%	Staff
85Numanco Services, LLC	Energy	04/08/96	Oklahoma	100%	Staff
86REP Holdco, Inc.	Energy	04/04/01	Delaware	100%	Market energy
87Mutual Energy CPL L.P.	Energy	04/04/01	Delaware	100%	Market energy
88Mutual Energy WTU L.P.	Energy	04/04/01	Delaware	100%	Market energy
89Mutual Energy SWEPCO L.P.	Energy	04/04/01	Delaware	100%	Market energy
90REP General Partner LLC	Energy	04/04/01	Delaware	100%	Market energy
91Intercontinental Exchange, Inc.	Energy	06/16/00	Delaware	4.87	Energy

## ITEM 2 - ISSUANCES AND RENEWALS OF SECURITIES AND CAPITAL CONTRIBUTIONS

### SECURITIES:

Company Issuing Security	Type of Security Issued	Principal Amount of Security	Issue or Renewal	Cost of Capital	Person to Whom Security Was Issued	Collateral Given With Security
-----	-----	-----	-----	-----	-----	-----
(in thousands)						

NONE

### FINANCING AMONG ASSOCIATE COMPANIES:

Company Issuing Security	Type of Security Issued	Principal Amount of Security	Issue or Renewal	Cost of Capital	Person to Whom Security Was Issued
-----	-----	-----	-----	-----	-----
(in thousands)					
Sweeny Cogen Unit #4	Loan Note	9,876	-	-	CSW Energy, Inc.
CSW Power Marketing, Inc.	Loan Note	220	-	-	CSW Energy, Inc.

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## CAPITAL CONTRIBUTIONS:

Company Contributing Capital -----	Company Receiving Capital -----	Amount of Capital Contributions ----- (in thousands)
---	--	---

None

## ITEM 3 - ASSOCIATED TRANSACTIONS

Part I -- Transactions performed by reporting companies on behalf of associate companies

Reporting Company Rendering Services -----	Associate Company Receiving Services -----	Types of Services Rendered -----	Direct Costs Charged -----	Indirect Costs Charged -----	Cost of Capital -----	Total Amount Billed -----
(in thousands)						

Nuvest, LLC	South Texas Project	Engineering	\$ 307	-	-	\$ 307
Nuvest, LLC	D.C. Cook	Engineering	4,733	-	-	4,733

Part II -- Transactions performed by associate companies on behalf of reporting companies

Associate Company Rendering Services -----	Reporting Company Receiving Services -----	Types of Services Rendered -----	Direct Costs Charged -----	Indirect Costs Charged -----
(in thousands)				

American Electric Power Service Corporation	AEPES	Administrative & Marketing	\$25,997	\$3,976
AEP Resources Gas Holding Company	AEPES	Administrative	11,428	-
CSW Energy, Inc.	Polk Power Partners, L.P.	Plant Services	355	203
CSW Energy, Inc.	Orange Cogeneration L.P.	Plant Services	634	206
CSW Dev I, Inc.	Polk Power Partners, L.P.	Plant Services	136	-
CSW Services International Inc.	Eastex Cogeneration L.P.	Plant Services	328	-
CSW Services International Inc.	Sweeny Cogeneration L.P.	Plant Services	384	275
Total			\$39,262	\$4,660

## ITEM 4 - SUMMARY OF AGGREGATE INVESTMENT

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Investments in energy-related companies:

(in thousands)

Total consolidated capitalization as of December 31, 2001	\$23,914,561(a)	Line 1
Total capitalization multiplied by 15% (line 1 multiplied by 0.15)	3,587,184	Line 2
Greater of \$50 million or line 2	\$3,587,184	Line 3
Total current aggregate investment: (categorized by major line of energy-related business)		
Energy-related Category 1: Energy Services	19,302	
Energy-related Category 5: Energy Marketing	680,948	
Energy-related Category 7: Maintenance Services	53,133	
Energy-related Category 8: Qualifying Facility	1,440,955	
Energy-related Category 10: Other Form of Energy	85,716	
Energy-related Category 2,3,4,6,9	62,200	
Total current aggregate investment	2,342,254	Line 4
-----		
Difference between the greater of \$50 million or 15% of capitalization and the total aggregate investment of the registered holding company system (line 3 less line 4)	\$1,244,930	Line 5
=====		

(a) Includes short-term debt.

Investments in gas-related companies:

NONE

## ITEM 5 - OTHER INVESTMENTS

Major Line of Energy-Related Business -----	Other Investment in Last U-9C-3 Report -----	Other Investment in This U-9C-3 Report -----	Reason for Difference in Other Investment -----
(in thousands)			
CSW Energy services Invested prior to April 1, 1997	\$ 2,696	\$ 2,696	Amounts are excluded from Item
Qualifying facility Invested prior to April 1, 1997	\$194,644	\$194,644	Amounts are excluded from Item

## ITEM 6 - FINANCIAL STATEMENTS AND EXHIBITS

List all financial statements and exhibits filed as a part of this report.

Financial Statements:

Balance sheets and Income Statements for period ended December 31, 2001 are  
filed confidentially under a separate cover for: AEP Energy Services,

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Inc.  
AEP Retail Energy, LLC  
CSW Development-I, Inc. (consolidated)  
CSW Ft. Lupton, Inc.  
Sweeny Companies (consolidated)  
Enershop, Inc.  
CSW Energy Services, Inc.  
CSW Power Marketing, Inc.  
Diversified Energy Contractors Company (DECCO)  
CSW Services International  
Eastex Cogeneration LP Nuvest, LLC  
AEP C&I Company, LLC  
AEP Gas Power GP, LLC  
AEP Gas Power System GP, LLC  
AEP Ohio C&I Retail Company  
AEP Retail Energy, LLC  
AEP T&D Services, LLC  
AEP Texas C&I Retail GP, LLC  
AEP Texas Retail GP, LLC  
Mutual Energy LLC  
Mutual Energy Service Company  
Dolet Hills Lignite Company  
CSW Energy Consolidated  
CSWI Consolidated

### Exhibits:

1. Certificate stating that a copy of the U-9C-3 for the previous quarter has been filed with the Ohio, Kentucky, Virginia, West Virginia, Tennessee, Indiana, Arkansas, Louisiana, Oklahoma, Michigan and Texas State Commissions.

### CERTIFICATE

The undersigned certifies that he is the duly designated and acting Treasurer of American Electric Power Company, Inc., a New York corporation ("AEP"), and that:

AEP's Quarterly Report on Form U-9C-3 filed pursuant to Rule 58 for the quarter ended September 30, 2001 (the "Quarterly Report on Form U-9C-3") was filed with each state commission having jurisdiction over the retail rates of the public utility companies that are associate companies of any of the reporting companies (the "Specific State Commissions").

The names and addresses of the Specific State Commissions are:

Indiana Utility Regulatory Commission  
302 West Washington Street, E 306  
Indianapolis, Indiana 46204

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Kentucky Public Service Commission  
730 Schenkel Lane  
P.O. Box 615  
Frankfort, Kentucky 40602

Michigan Public Service Commission  
6545 Mercantile Way  
P.O. Box 30221  
Lansing, Michigan 48909

Public Service Commission of West Virginia  
201 Brooks Street  
P.O. Box 812  
Charleston, West Virginia 25323

Tennessee Regulatory Authority  
460 James Robertson Parkway  
Nashville, Tennessee 37243-0505

The Public Utilities Commission of Ohio  
180 East Broad Street  
Columbus, Ohio 43215

Virginia State Corporation Commission  
1300 East Main Street  
P.O. Box 2118  
Richmond, Virginia 23216

Arkansas Public Service Commission  
1000 Center  
P.O. Box 400  
Little Rock, AR 72203-0400

Louisiana Public Service Commission  
One American Place  
P.O. Box 91154  
Baton Rouge, LA 70821-9154

Oklahoma Corporation Commission  
2102 N. Lincoln Blvd.  
P.O. Box 52000-2000  
Oklahoma City, OK 73152-2000

Public Utility Commission of Texas  
1701 N. Congress Avenue  
Austin, TX 78701

IN WITNESS WHEREOF, I have hereunto set my hand as of the 28th day of  
March, 2002.

/s/ A. A. Pena

-----  
A. A. Pena  
Treasurer

SIGNATURE

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The undersigned system company has duly caused this quarterly report to be signed on its behalf by the undersigned, thereunto duly authorized, pursuant to the requirements of the Public Utility Holding Company Act of 1935.

AMERICAN ELECTRIC POWER COMPANY, INC.

By /s/ A. A. Pena

-----  
A. A. Pena  
Treasurer

March 28, 2002