

## **NEUSTAR, INC. NEUTRALITY REQUIREMENTS**

NeuStar, Inc. (“NeuStar”), in its role as the North American Numbering Plan Administrator (“NANPA”) and Local Number Portability Administrator (“LNPA”), is required to treat all applicants for NANP resources and LNP services in a fair and non-discriminatory manner. If you believe that NeuStar has violated this requirement, you should use the procedures described below to file a complaint. These procedures are only for alleged neutrality violations, not for other types of issues, such as the inconvenience associated with the proliferation of new area codes. Issues concerning number administration that do not involve neutrality should be reported to NeuStar management if NeuStar employees are involved, or to your state regulatory commission or the Federal Communications Commission (“FCC”) if you have issues concerning numbering policy.

These procedures establish a process by which complaints alleging favoritism or discrimination by NeuStar in the performance of its services as the NANPA or LNPA may be submitted to and addressed by NeuStar. This process is intended to facilitate NeuStar’s compliance with the FCC’s neutrality regulations at 47 C.F.R. § 52.12(a)(1), the NeuStar Code of Conduct and the NeuStar Neutrality Compliance Procedures. It is not intended, and should not be interpreted, to create any legal rights or remedies under the Communications Act of 1934, the Telecommunications Act of 1996, any FCC rules, regulations or orders issued thereunder or under any other statute, rule, regulation or any contract. Accordingly, in the event that NeuStar determines that it may have discriminated or shown favoritism in the performance of its NANPA or LNPA functions, it will not award damages to any party claiming to have been injured thereby, nor may such a determination be interpreted or submitted as an admission of liability in any litigation or arbitration or other proceeding under any statute or regulation. Instead, a finding of possible discrimination or favoritism will serve only as the basis for NeuStar’s development of an action plan to remedy the effects of such possible discrimination and to prevent the recurrence of such conduct.

# **NeuStar Neutrality Complaint Process**

## **Section 100: General Administration**

**100.1** The NeuStar Neutrality Officer has the ultimate responsibility to ensure that these complaint procedures, including any modifications of the procedures, are properly posted on NeuStar's web page at all times ([www.neustar.com](http://www.neustar.com)), as well as the NANPA and Number Portability Administration Center web pages.

**100.2** The Neutrality Officer will maintain records of all complaints and responses thereto, including remedial plans, submitted under these procedures as required by the NeuStar Neutrality Compliance Procedures.

**100.3** The NeuStar mailroom will time-stamp all correspondence addressed to the Neutrality Officer and will ensure that such correspondence is delivered to the Neutrality Officer immediately.

## **Section 200: Complaints**

**200.1** Any telecommunications service provider (“TSP”) or other entity needing numbering resources and entitled to access NeuStar's NANPA or LNPA services may submit a complaint to NeuStar alleging discrimination or favoritism by NeuStar in any of its NANPA or LNPA operations or functions. Such a complaint must be submitted in writing and either hand delivered during normal business hours or mailed, by first-class mail, postage prepaid, to:

Neutrality Officer  
NeuStar, Inc.  
46000 Center Oak Plaza  
Sterling, VA 20166

**200.2** Such a complaint need not follow any set format, but it must include: the name, address and telephone number of the complainant, a clear statement of facts and of the nature of the favoritism or discrimination alleged sufficient to enable NeuStar to investigate such complaint, and the relief or resolution requested. The complaint should also identify the name, office address, e-mail address and telephone number of a contact to receive correspondence subsequent to the complaint and who will be available to NeuStar for consultation concerning the issues raised in the complaint. Such a complaint will not be considered unless it alleges actions or omissions by NeuStar occurring after January 1, 2000 and within six months of the receipt of the complaint. If the complaint alleges that NeuStar has discriminated in favor of another carrier or entity, such carrier or entity should be identified. If the complainant has filed a complaint based on the same claim or set of facts before the FCC or any other agency or court, such other complaint should be identified, including the full caption, the full name of such agency, court or other forum, and the docket or file number. Upon its receipt, a complaint submitted under these procedures will be time and date-stamped by the mailroom and forwarded to the Neutrality Officer.

**200.3** If requested by NeuStar, the complainant shall cooperate in NeuStar's investigation of the complaint and in the development of any remedial plan.

## **Section 300: NeuStar Response**

**300.1** The Neutrality Officer will answer any complaint in writing by providing one of the following responses within 30 calendar days from the time-stamped receipt of the complaint:

- (a) The complaint does not provide sufficient information for NeuStar to investigate the allegations or concerns alleged actions occurring more than six months prior to NeuStar's receipt of the complaint or prior to January 1, 2000. If the response is that the complaint provides insufficient information for NeuStar to investigate, the response will explain why the information provided is insufficient and will state that the complainant may file a revised complaint providing the missing information;
- (b) NeuStar has investigated the complaint and determined that the allegations are incorrect or that they do not demonstrate that NeuStar has discriminated against or shown favoritism toward any carrier or other entity in its NANPA or LNPA activities. Such response will contain a factual statement explaining why the allegations in the complaint are incorrect and/or will provide the basis for the conclusion that NeuStar has not discriminated against or shown favoritism toward any carrier or other entity.
- (c) NeuStar has investigated the complaint and determined that there is at least a possibility that NeuStar may have discriminated or shown favoritism in carrying out some aspect of its NANPA or LNPA functions. Such a response will also state that NeuStar will develop a plan to address any perceived favoritism or discrimination and to prevent the recurrence of such conduct, as set forth below in Section 400.
- (d) Because of the complexity of the issues presented or some other factor causing delay, an additional 21 calendar days are required to respond properly to the complaint.
- (e) Because the same claim or set of facts has been raised by the complainant in another proceeding, NeuStar has not yet determined whether it should investigate or take further action and may decide not to do so until such other proceeding is resolved.

**300.2** In the event that the complainant files another complaint after receiving response (a) or (b) above concerning the same alleged incident or conduct, NeuStar will respond to such subsequent complaint in the same manner as it would to any new complaint.

## **Section 400: Remedial Action Plan**

**400.1** In the event that NeuStar's response to a complaint falls within category (c) of Section 300.1, based on its finding of possible discrimination or favoritism, the Neutrality Officer, in conjunction with the NeuStar personnel involved in the alleged discrimination or favoritism and any other NeuStar personnel that the Neutrality Officer designates, will develop an action plan to provide a remedy for the effects of such conduct, if any, and to prevent the recurrence of such conduct in the future. Such remedial action plan may involve the reassignment or reallocation of numbering resources, the modification of the NeuStar Neutrality Compliance Procedures or other internal procedures, and/or appropriate sanctions against the responsible personnel.

**400.2** To the extent that other parties would be affected by any such remedial actions, such parties will be notified prior to the implementation of such remedies. The Neutrality Officer will also attempt to involve such other parties, as well as the complainant, in the development of any remedial plan that may affect them. NeuStar reserves the right, however, to formulate a plan that it views as the most effective means of remedying any possible discrimination and preventing such conduct in the future, irrespective of whether it fully meets with the approval of the complainant or other parties. In any event, NeuStar shall not devise a remedial plan that would violate any industry guidelines, the FCC's neutrality regulations or the NeuStar Code of Conduct.

**400.3** Once the Neutrality Officer has developed the remedial action plan, in consultation with the complainant and other affected parties, where appropriate, the Neutrality Officer will present it to the Audit Committee of the NeuStar Board of Directors for their approval. If the Audit Committee rejects the plan or requires changes in it, the Neutrality Officer will make whatever changes or adjustments are necessary to secure the approval of the Audit Committee for a revised action plan. If such revisions would affect the complainant or other parties, the Neutrality Officer will consult with them in making revisions. Once the Audit Committee approves the remedial plan, the Neutrality Officer will:

- (a) send a copy of the remedial plan to the complainant; and
- (b) instruct the appropriate NeuStar personnel to implement the plan.