Summary of VI Proposal Principles

Ref. No.	Principle	Orig. Neustar	Demand Media	Orig. Nevett	CORE	Orig. Doria, Mueller, Palage	Rev. Doria, Mueller, Palage	PIR	Salop / Wright	Buckingham	Afilias	Rev. Nevett & Neuman	Vignes, Neylon, Van Gelder, Greimann	Go Daddy	
General Registry and Registrar Ownership Restrictions															
1	Ry may purchase, own, or affiliate with a registrar (no limit on amount/percentage of ownership)	agree										agree			
2	Rr may purchase, own, or affiliate with a registry (no limit on amount/percentage of ownership)	agree													
3	Ry may not own or acquire more than 15% of, nor control, a registrar serving the Ry's TLD without ICANN approval		agree		agree						agree				
4	Criteria for ICANN approval of ownership of greater than 15% of a Rr by a Ry fixed for [n] mos., but subject to community review after that time		agree: 18-24 mos.										agree: 12 mos.		
5	Ry (or Rr) with over 40% market share may not own greater than 15% interest in Rr (or Ry) in same TLD				agree										
6	All gTLD Ry applications undergo review by appropriate competition authority, as identified by ICANN [staff?], and are approved upon resolution of issues or at end of hold period if no concerns are flagged for further review or action (whichever is earlier).					agree									
7	Ry (or Rr) with 40% or less market share may own greater than 15% interest in Rr (or Ry) after comment period and opportunity for appropriate gov't review/approval				agree										

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8	Ry may not own more than 15% of a Rr				agree		agree			agree			agree	
9	Rr may not own more than 15% of a Ry				agree					agree			agree	
10	If the share of the Rr or the Ry that applies to acquire a significant ownership interest in any new or existing entity at the other vertical level exceeds the relevant market share threshold, then ICANN will notify the appropriate governmental competition authority. ICANN will place the application on hold for a period not to exceed 45 days. If the authority notifies ICANN and the Ry or Rr during that 45 day period that the acquisition of the entity at the other vertical level may violate its competition laws, ICANN will place the application on hold for another period not to exceed 120 days to allow the authority and the applicant to resolve any concerns. At the end of this period, or sooner if notified by the authority that any issues have been resolved, ICANN will resume processing the application ("Notification and Potential Stay")							agree						

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11	If the share of the Rr or the Ry exceeds the relevant market share threshold, then ICANN will notify the appropriate governmental competition enforcement authority. ICANN will place the application on hold for a period not to exceed 45 days to allow the authority to take whatever action, if any, it deems appropriate. At the end of that 45 day period, ICANN will continue to process the application, and the Rr or Ry will bear the risk of any subsequent enforcement action. ("Notification Only")							agree							
12	ICANN might choose a hybrid approach (of #10 & 11 above), whereby a relatively lower market share (e.g., 40%) would trigger Notification-Only while a higher market share (e.g., 60%) would trigger the Notification and Potential Stay							agree							
13	Rys and rrs must be fully structurally separated, operationally, financially, and by way of control, with exceptions for single-registrant and community TLDs and TLDs lacking registrar support/interest ("orphan TLDs")						agree								

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	Cases Where Registry or its Affiliated Registrar May Create gTLD Registrations (in traditional registrar function/role)													
14	Ry/Affiliated Rr may create registrations in **other TLDs** (without further restriction)	agree	agree	agree										
15	Ry/Affiliated Rr may create registrations in its own **single-registrant TLD** (without further restriction)	agree												
16	Ry/Affiliated Rr may create registrations in its own **single-registrant TLD** only under terms of Registrar Accreditation Agreement (RAA) - with no equal access requirement		agree											
17	Ry may register **single-registrant TLD** through ICANN-accredited registrar		agree											
18	Ry/Affiliated Rr may create registrations in its own **single-registrant TLD** with restrictions / safeguards / limitations							agree			agree			
19	Ry/Affiliated Rr may create registrations in its own **community TLD** with restrictions / safeguards / limitations	agree	agree		agree			agree			agree			
20	Ry/Affiliated Rr may create registrations in its **own TLD** with restrictions / safegaurds / limitations		agree		agree									
21	With exceptions for **single-registrant** and **community TLDs** and TLDs lacking registrar support/interest ("**orphan TLDs**"), Ry may not act as registrar in its **own TLD**.							agree			agree			

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22	Ry/Affiliated Rr may create registrations in its own TLD lacking registrar support/interest ("**orphan TLD**") only in limited circumstances.							agree			agree			agree
	Rules/Criteria Applicable in Cases Where Ry or Affiliated Rr is Permitted to Register gTLD Registrations													
23	***Consistent Treatment of Ry/Affiliated Rr and Non-Affiliated Registrars***													
24	Affiliated Rr gets no ***preferential pricing*** (whether direct or indirect)	agree			agree									agree (rec 19)
25	***Rr-selection criteria*** (if any, by Ry) must be equitable to all rrs	agree		agree										
26	Ry may impose ***access-requirements*** for all rrs, at Ry's sole discretion, if reasonably related to purpose of TLD	agree		agree	agree									
27	Ry may impose reasonable ***access-requirements*** (allow connections) for all rrs that are [equitable] / [equivalent] to all rrs		agree	agree	agree									
28	Ry must provide an equal number of ***connections*** to all registrars							agree						
29	***Ry software*** (including updates) should be made available to all rrs at the same time							agree						
30	All rrs receive equivalent ***access to Ry customer support***							agree						agree (rec 19)
31	All rrs receive equivalent ***access to available registry data***							agree						agree (rec 19)
32	Where Ry controls pricing, policy, or selection of rrs, restrictions applicable to Ry/Ry Service Provider are also applicable to Affiliated Rr.	agree			agree									

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33	**Limits on Number of Registrations and Prerequisites to Registration**													
34	Ry may not create registrations after **[n] registrations** exist in TLD						agree: 50k							
35	Ry/Affiliated Rr may not create registrations in its TLD if Ry/Aff. Rr. sponsors **[n] or more registrations** [in its TLD]	agree: 30k								agree: 30k	agree: 30k			
36	Ry may create registrations in its own TLD lacking registrar support/interest ("orphan TLDs") only **after failing to enroll registrars** in the TLD prior to launch of the TLD and only **until [n] registrations exist** in the TLD.						agree: 50k							
37	Ry may create registrations in its own TLD lacking registrar support/interest ("orphan TLDs") with a showing of **good faith efforts to obtain registrar carriage** of the TLD and to a **maximum number of registrations**									agree	agree			
38	**Separation of Businesses**													
39	**Data controls** in place between Ry and Affiliated Rr	agree			agree									
40	Neither Ry nor Ry Service Provider may share **confidential Ry data** with Affiliated Rr (except as necessary for Ry ops)	agree	agree		agree									
41	Affiliated Rr may not share its **confidential Aff. Rr data** with Ry (except as necessary for Ry/Rr ops)		agree											

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42	Ry may not share/use **other rrs' confidential data** with/for benefit of Affiliated Rr (except as necessary for Ry ops)	agree				agree	agree								
43	Ry and Affiliated Rr must be fully **structurally separated**, operationally and financially												agree		
44	**Audits and Monitoring**														
45	Ry/Affiliated Rr must obtain independent **annual review of practices and effects on consumers**		agree												
46	Ry/Ry Service Provider/Affiliated Rr undertakes its own **periodic neutrality reviews** or monitors on ongoing basis	agree	agree												
47	**3rd party** (possibly ICANN) **audits neutrality** of Ry/Ry Service Provider/Affiliated Rr, costs borne by Ry/RSP/Aff. Rr	agree	agree			agree									
48	**Penalties**														
49	**Penalties/sanctions** for violation of rules	agree	agree			agree	agree								
50	**Penalties include suspension** of registrations by Affiliated Rr/Ry	agree	agree - 1st violation 30d, 2nd 90d, 3rd 180d			agree									
51	**Penalties may be monetary**					agree									
52	**Appeals** by Ry/Affiliated Rr at Ry/Affiliated Rr's own cost		agree												
53	**Accreditation / Use of Registrars**														

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54	Ry/Affiliated Rr must be **ICANN-accredited** (i.e., all registrations must be subject to a Registrar Accreditation Agreement)	agree												agree	
55	Ry may create registrations in its own TLD without an RAA if otherwise **bound to all terms/safeguards of the RAA**				agree										
	Applicability of Rules														
56	Rules apply to new gTLDs only (irrespective of whether gTLD operator is new or existing)	agree													
57	Rules apply to all rrs, including rrs who are shareholders of existing gTLD rys							agree							
58	Rules applicable to Rys also apply to back-end registry service providers if affiliated with Ry or otherwise control pricing, policies, or selection of rrs in the TLD										agree		partial agree		
59	Rules applicable to Affiliated Rr also applicable to reseller										agree				
	ICANN Fees														
60	ICANN fees reduced to less than Ry fee + Rr fee	agree													
61	There is need for a forum in which ICANN reviews and perhaps revises its pricing models.				agree										
	Miscellaneous														
62	Proposed registry agreement in the Guidebook should be renamed and restructured				agree										

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63	Individual rrs may seek ry support of specific marketing initiatives.							agree							
64	Create working group teams to evaluate "what-if" scenarios to consider pricing, antitrust issues, transfer pricing compliance/audit, gaming, implementation issues, level of consensus, relevancy of rule to other applications.								agree						