Summary of VI Proposal Principles

		tar	edia	/xr		Doiler, ba	201e	a129e	io	"it "rr		Hevet & Hevet	Mon	
Ret. principle	.0	Neustar	nd Media Origi	Neve COP	E Origi	Dorier Pr	orial P	c /.01	P Nright	ingham Afil	125	Nevett & Neunanes' C Neunanes' C	evior selder sreimann or Go Dadr	A
Repair	Orit	Der	Orits	~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~	Orist	in ber 4	in bit	Salt	BUC	Afin	Per.	Herrigi Jari	ste co	
General Registry and Registrar Ow	nersh	ip Resti	rictions											
Ry may purchase, own, or														
affiliate with a registrar (no limit														
on amount/percentage of														
1 ownership)		agree										agree		
Rr may purchase, own, or affiliate														
with a registry (no limit on														
2 amount/percentage of ownership)		agree												
Ry may not own or acquire more														
than 15% of, nor control, a														
registrar serving the Ry's TLD														
3 without ICANN approval			agree		agree						agree			
Criteria for ICANN approval of														
ownership of greater than 15% of			agree											
a Rr by a Ry fixed for [n] mos.,			: 18-											
but subject to community review			24										agree:	
4 after that time			mos.										12 mos.	
Ry (or Rr) with over 40% market														
share may not own greater than														
15% interest in Rr (or Ry) in														
5 same TLD					agree									
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														
6 (whichever is earlier).						agree								
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														
7 review/approval					agree									

		rat	nd Media	×.		" Palage " Palage 1' Palage 1' Palage 1' Palage 1' Palage 1' Palage 1' Palage 1' Palage 1' Palage 1' Palage	alage	P Buck	r m		Hevetto Mananes' (wion	
Ret. No. ciple		Neustar	nd Media	ever .	Orig Doris	x, bouler,		NNN.	tingham Afilia	9 4	Hevett & Mananes Manual Aleunianes (evicering seldering sreingo Dadr	k k
Ret. No. ciple	Ori ⁹	Denne	Orig.	CORE	Original or	ren Muer PIP	5310	Buck	ing. Afili	Pen.	Aentiduau (stell GOV	
Ry may not own more than 15% 8 of a Rr				gree		agree			agre e			agree	
Rr may not own more than 15% 9 of a Ry									agre				
			a	gree					e			agree	
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													
10 ("Notification and Potential Stay")							agree						

7

/

/

/

/

/

7

Ret. No.	Orig	Neustar Demar	nd Media	Nevett COR	E Origin	Doila' Pal	age Jorian P Juellern HUEPTR	alage	P Nright Buck	it singham Afili	.25 Rev.	Nevet & N Neuran est Neuran van	evion selder Greinannad Greinannad	84
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 11 action. ("Notification Only") ICANN might choose a hybrid approach (of #10 & 11 above), whereby a relatively lower market share (e.g., 40%) would trigger								agree						
Notification-Only while a higher market share (e.g., 60%) would trigger the Notification and														
12 Potential Stay 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 13 ("orphan TLDs")							agree	agree						
20 April 2010								hu Dra						

/

 $\overline{}$

/

			Neustar	odia	x		Doita' Pal Doiter' R Lueler' Rev w	age	129e	P Buc	nt s	. /	Neverta Neuranes, Neuranes, Neuronanes, nction/ro	, Ion	
	10. ible	/	Neustar	ndMe	Nevett		p_{i}^{i}	orian p	ð.	, Wriz	nt kinghan Afil	6	Nevette Ne	evierin Gelderin Greinan Greinan Go Greinan	М
~	et principle	Ori9	Derne	orig	Necop	t origi	hell per 4	IUell PIR	Salot	r Buc	kingt. Afii	a. Per	Neurignean	Grein GO	
Cas	ses Where Registry or its Affilia	ted Re	gistrar	May Cr	eate g	TLD Re	gistrat	ions (i	n tradi	tional	regis	trar fu	nction/ro	le)	Í
	Ry/Affiliated Rr may create														
	registrations in other TLDs														
14	(without further restriction)	agree	agree	agree											
	Ry/Affiliated Rr may create														
	registrations in its own single-														
	<i>registrant TLD</i> (without further														
15	restriction)	agree													
	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												
	Ry may register single-														
	registrant TLD through ICANN-														
17	accredited registrar		agree												
	Ry/Affiliated Rr may create														
	registrations in its own single-														
1.0	registrant TLD with restrictions							_			agre				
18	/ safeguards / limitations							agree			e				
	Ry/Affiliated Rr may create														
	registrations in its own														
	<i>community TLD</i> with restrictions										agre				
10	/ safeguards / limitations	agree	aaree			agree		agree			e				
19	Ry/Affiliated Rr may create	agree	agree			agree		lagree							
	registrations in its own TLD with														
	restrictions / safegaurds /														
20	limitations		agree			agree									
	With exceptions for <i>single-</i>													1	
	registrant and community														
	TLDs and TLDs lacking registrar														
	support/interest (" orphan														
	TLDs "), Ry may not act as										agre				
21	registrar in its own TLD .							agree			e				

Summary of VI Proposal Principles

						.,		<u> </u>							/ /1
	st. No. ciple	Orig	Neustar	nd Media Orig	Nevett	e nigi	Joilar Pal	age oria' P ueller	alage	P Nright Buck	it ingham Afili	.25 nev	Nevets N Neuran es (Neuronan es (evion' selder'n selder o Dadd	A
$ \sim$		<u> </u>	∕ ⊻	$\overline{}$		<u> </u>	<u>, </u>	V V	<u></u>	<u> </u>	~~	~~		<i>9</i> / 0	
	Ry/Affiliated Rr may create														
	registrations in its own TLD														
	lacking registrar support/interest														
~~	(" orphan TLD ") only in limited										agre				
	circumstances.							agree			е			agree	
D	les (Criteria Anglicable in Cases	14/h a va	Duran	A 66:1:-+		ie Down	itted to	Denie	tor oT			lione			
	les/Criteria Applicable in Cases Consistent Treatment of Ry/Af							Regis	ler gri	LD Reg	JISLIA	IONS			
25	Affiliated Rr gets no preferential				AIIIIa										
	<i>pricing</i> (whether direct or													agree	
24	indirect)	agree				agree								(rec 19)	
21	<i>Rr-selection criteria</i> (if any, by	agree				ugree									
25	Ry) must be equitable to all rrs	agree		agree											
	Ry may impose <i>access</i> -	ugree		ugi cc											
	requirements for all rrs, at Ry's														
	sole discretion, if reasonably														
26	related to purpose of TLD	agree		agree		agree									
	Ry may impose reasonable														
	access-requirements (allow														
	connections) for all rrs that are														
	[equitable] / [equivalent] to all														
27	rrs		agree	agree		agree									
	Ry must provide an equal number														
28	of <i>connections</i> to all registrars							agree							
	Ry software (including updates)														
	should be made available to all														
29	rrs at the same time							agree							
	All rrs receive equivalent <i>access</i>													agree	
30	to Ry customer support							agree						(rec 19)	
	All rrs receive equivalent <i>access</i>													agree	
31	to available registry data							agree						(rec 19)	
	Where Ry controls pricing, policy,														
	or selection of rrs, restrictions														
	applicable to Ry/Ry Service														
	Provider are also applicable to														
32	Affiliated Rr.	agree				agree									

Summary of VI Proposal Principles

			-at	nd Media Orig	×		Dotia' paint	age	129 ^e	P Wrigh	,it of	. /	Heuristes N Heuristes N	,ion'	
	o. »e	/	Neustar	d Me	Nevett COR		oria1 83	· · · · · · ·	o` /	Wris	ingham Afili		event	evider'inn a	84
/	et. No. riple	,19	, P and	n	Net	¢ (19.	veller ?	Jeller A	alor	°' , d	ingi Afil	185 or	Number	ceime Dau	
		<u> </u>		<u> </u>	<u> </u>	0, 4	10 AC 4	Nº/ Q¥	<u> </u>	<u> </u>	<u> </u>	\ 4 ° ·	40 7 10 To	<u>o⁄ o°</u>	
33	<i>Limits on Number of Registrati</i> Ry may not create registrations	ions ar	la Prere	quisite	estor	egistra									
	after [n] registrations exist in							20100							
21	TLD							agree : 50k							
34	Ry/Affiliated Rr may not create							: 50K							
	registrations in its TLD if Ry/Aff.										ara				
	Rr. sponsors [n] or more	29500									agre	29500			
25	registrations [in] of more	agree : 30k									e: 30k	agree : 30k			
- 33	Ry may create registrations in its	: 30K									JUK	: 30K			
	own TLD lacking registrar														
	support/interest ("orphan TLDs")														
	only <i>after failing to enroll</i>														
	registrars in the TLD prior to														
	launch of the TLD and only until														
	[n] registrations exist in the							agree							
36	TLD.							: 50k							
-50	Ry may create registrations in its							. JUK							
	own TLD lacking registrar														
	support/interest ("orphan TLDs")														
	with a showing of good faith														
	efforts to obtain registrar														
	<i>carriage</i> of the TLD and to a														
	maximum number of										agre				
37	registrations										e	agree			
	Separation of Businesses										•	a.g. ee			
	Data controls in place between														
39	Ry and Affiliated Rr	agree				agree									
	Neither Ry nor Ry Service														
1	Provider may share confidential														
	Ry data with Affiliated Rr (except														
40	as necessary for Ry ops)	agree	agree			agree									
	Affiliated Rr may not share its					_									
1	confidential Aff. Rr data with														
1	Ry (except as necessary for Ry/Rr														
41	ops)		agree												

Summary of VI Proposal Principles

			/	<i>,</i>						/	/		/ /		
			Neustar Demar	, Media	Nevett	e origi	Dotia' pal	age ,181 P	alage	P Nright Buck	ingham Atil	. /	Nevette Neunanes, or Neunanes, or Neunanes, or	evion'	4
	10' iple	/	Net	<u>,</u> o /	Ner	. /	0.et/c	ol et 1		\mathcal{N}	in ^{gr}	6 /	New an si	ellation	. /
/	et. No. ciple	, o	, anio	()	Necor	¥ /;0.	Jelle J.	ell'A	Jor	ર (પ્ર	ingi. Afii	,a" / ~	· antique ue	ein Do	
	re/ 81.	01	/ De	01	<u> </u>	01.4	12 to 4	× 94.	<u> </u>	/ & ^v	AI	\ 4 6 ·	4671378	or 60	
	Ry may not share/use other rrs'														
	confidential data with/for														
	benefit of Affiliated Rr (except as														
42		agree				agree		agree							
	Ry and Affiliated Rr must be fully														
	structurally separated,														
43	operationally and financially													agree	
	Audits and Monitoring	1													
	Ry/Affiliated Rr must obtain														
	independent annual review of														
	practices and effects on														
45	consumers		agree												
	Ry/Ry Service Provider/Affiliated														
	Rr undertakes its own <i>periodic</i>														
	<i>neutrality reviews</i> or monitors														
46	on ongoing basis	agree	agree												
	3rd party (possibly ICANN)														
	audits neutrality of Ry/Ry														
	Service Provider/Affiliated Rr,														
47	costs borne by Ry/RSP/Aff. Rr	agree	agree			agree									
	Penalties														
	Penalties/sanctions for														
49	violation of rules	agree	agree agree -			agree		agree							
			1st												
			violatio												
			n 30d,												
			2nd												
			90d,												
	Penalties include suspension		3rd												
	of registrations by Affiliated Rr/Ry	agree	180d			agree									
51	Penalties may be monetary					agree									
	Appeals by Ry/Affiliated Rr at														
	Ry/Affiliated Rr's own cost		agree												
53	Accreditation / Use of Registra	irs													

		/	,		/ /	Doria' pal	<u> </u>	0./	/ /	•	/ /	Heuran St.		
		Neustar Dema	nd Media	Nevett		A	305	21295	P Wrigh Buck	it inghan Afil	. /	Nevett & Nevett & Neutranes, N Neutranes, N	aylor.	
Ret. No. ciple	/	Neus	^d m	Jeve		orier pe	01'2' Q		(n.	aghar		lever an an	elder in de	14
Ret. Principle	, Q	in and	, i 0	Necop	€ / ₃ 9.	Jelle J.	elle a		لار ` ۹	ingi. Afii	.25 N.	Aunonest	seime Day	
Ac or	01.	\ \ \$	01.	<u> </u>	01.4	is to the	12/ 21.	<u> </u>	A	Att	\ 4 e .	40 Jis 18.	GIE GO	
Ry/Affiliated Rr must be ICANN-														
accredited (i.e., all registrations														
must be subject to a Registrar														
54 Accreditation Agreement)		agree											agree	
Ry may create registrations in its														
own TLD without an RAA if otherwise bound to all														
55 terms/safeguards of the RAA					aroo									
					agree									
Applicability of Rules														
Rules apply to new gTLDs only														
(irrespective of whether gTLD														
56 operator is new or existing)		agree												
Rules apply to all rrs, including														
rrs who are shareholders of														
57 existing gTLD rys							agree							
Rules applicable to Rys also apply														
to back-end registry service														
providers if affiliated with Ry or otherwise control pricing, policies,													partial	
58 or selection of rrs in the TLD											agroo		agree	
Rules applicable to Affiliated Rr											agree		ayree	
59 also applicable to reseller											agree			
											agree			
ICANN Fees														
ICANN fees reduced to less than														
60 Ry fee + Rr fee		agree												
There is need for a forum in														
which ICANN reviews and														
perhaps revises its pricing														
61 models.					agree	ļ								
Miscellaneous														
Proposed registry agreement in	<u> </u>													
the Guidebook should be														
62 renamed and restructured					agree									
20 April 2010					3	to Corr				<u> </u>				Dage 9

Summary of VI Proposal Principles

et No. ciple	Orig	Neustar Dema	nd Media Orig	Nevett	e origin	Doria' Pal	age oria' p ueler' pp	alage 5310	P Wrigh	nt kingham Atili	.25 Rev.	Heunanes C Heunanes C Heunanes C	evon' selder'n seinenn bede	N
Individual rrs may seek ry support of specific marketing initiatives.							agree							
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					