

J. Registration Process

To ensure rapid acceptance and vigorous marketing of the usTLD by existing and future registrars, as well as to introduce strong competition and innovation, NeuStar will implement a stable, straightforward, and familiar initial registration process for the usTLD domain name based upon the proven business model supported by ICANN.

In many ways, the expansion and enhancement of the usTLD is not unlike the introduction of a new top level domain. Therefore, a new usTLD administrator must take into account the same sets of issues and potential problems relevant to the introduction of a new gTLD. To address these issues and concerns, the chosen usTLD administrator will need a high level of experience in the DNS space, as well as significant resources to ensure stability, integrity, and accuracy of operations in a very dynamic start-up and transition process. NeuStar meets these requirements and has developed strong solutions for the usTLD expansion.

Drawing on the experience and successes of the shared registry business model developed in the context of the gTLDs, NeuStar will implement for the usTLD a clear and familiar process for domain name registration.

NeuStar's expansion of the usTLD will comprise a measured, controlled development of the usTLD consistent with the growth and development of the DNS as a whole. Thus, the expanded usTLD registration processes will be broken into three stages:

1. The Sunrise Program,
2. The Land Rush Implementation, and
3. Post Start-up Registration Process.

Sunrise Program

The Sunrise program will address the important issue of intellectual property rights in names that will become available in an expanded usTLD space. NeuStar agrees that it is critical to have a mechanism for dealing with the problem of "cybersquatting." NeuStar's Sunrise Program is described in detail in Section I of this proposal.

Land Rush Implementation

Subsequent to the Sunrise program for intellectual property holders, the next issue to address is the "Land Rush" phenomenon during a TLD's initial start-up period. This phenomenon, at its most basic level, describes an expected rush of registration requests as potential registrants attempt to capture the most valuable, from their perspective, names in the usTLD space. The

HIGHLIGHTS

- NeuStar will follow proven start-up and past start-up registration processes used for new gTLDs to ensure stable and robust name registration in the expanded usTLD
- The Sunrise Program will provide trademark holders the opportunity to protect their valuable marks
- NeuStar's Land Rush Implementation provides a strong, single solution to the complex problem of heavy registration traffic during the start-up of the new domain space
- NeuStar's proven ICANN-like registry/registrar name registration model will encourage rapid acceptance of the expanded usTLD, driving use and innovation of the space

expanded usTLD must be introduced in a manner that manages the technical system issues associated with extremely high traffic volumes. In addition, domain names must be allocated in an entirely impartial manner so that no party or parties may claim special privileges in registering a domain name in the expanded usTLD space. The principle of neutrality should be the cornerstone of the registry's operation, and it is even more critical during the start-up period. While it is a given that this principle should underpin the registry's operation in general, this is especially true during the start-up period.

It is extremely difficult to accurately predict the initial volume of registration requests. While some basic assumptions will assist in defining boundaries, any solution to the start-up issues must take into account a degree of uncertainty and be able to provide contingencies if demand greatly exceeds predictions. Thus, Land Rush represents a significant issue that the new administrator must deal with immediately upon award by DOC. Indeed, NeuStar submits that the absence of a well-reasoned and comprehensive Land Rush solution in a party's quotation is an indicator of probable failure of transition and implementation after award.

There are several possible ways to approach the issues raised by the Land Rush phenomenon:

1. **Attempt to compensate for increased volumes with hardware**—This approach has several shortcomings, not the least of which is an exorbitant cost that would seriously impact the price competitiveness of registry services. In addition, it does not take into account the high degree of uncertainty in estimating initial volumes.
2. **Use higher price points to control demand**—Higher price points would have a significant impact on the perceived fairness of the process since they would restrict access to registrations—an outcome incompatible with the public resource nature of the usTLD. In addition, it would involve an arbitrary allocation of price points to domain names.
3. **Moderate registrations via a start-up-specific policy**—In this scenario, lists of domain names are submitted to the registry by registrars. These lists are then randomized and processed to create a list containing only one application for each name submitted (i.e., the process would randomly select one of a number of duplicate requests for a given name, such as "neustar.us"). This initial randomization and processing prevents registrars or registrants from attempting to "game" the Land Rush system by submitting large numbers of duplicate registration requests to increase the chance that they will be selected as the name registrant in the final random processing. The registrar lists are then combined into a single file and again randomized. Names are selected for registration from this final list. The strength of this solution is that it will provide an effective means of moderation regardless of the size of registration volumes. In effect, it will function efficiently whether the demand for registrations is ten or ten million. Moreover, the Land Rush solution ensures complete impartiality in domain name allocation at the registry level. Hence, this is the solution proposed by NeuStar.

An Overview of the Land Rush Solution

As demonstrated in Exhibit J-1, the Land Rush process will provide an effective and fair method for ensuring the stability of the new TLD and the Internet during the initial registration period.

Phase 1: Communication of the Process—To ensure the smooth implementation of the start-up procedures, NeuStar will undertake a proactive educational campaign with registrars. This will involve distribution of information kits by e-mail as well as personal contact from the registry customer support staff and account managers. In this way, registrars will have the opportunity

to completely understand the procedures and processes involved in the Land Rush solution. Fortunately, many registrars already are familiar with this process from the introduction of the new ICANN-sponsored gTLDs.

Phase 2: Submission of Registration Lists—Each accredited registrar will provide a list of domain names and registration details. There will be no minimum or maximum limit for the lists. The registration files will be submitted via a secure transport mechanism before a specified closing time for first submissions. Registration lists cannot be modified until the first batch is processed and completed.

Phase 3: Randomization of Registrar Submitted Lists—The lists submitted by each registrar will be individually randomized and processed to eliminate duplicate domain name registration requests (e.g., four different parties request unclesam.us; one of the requests will be selected, and the others will be deleted from the list).

Phase 4: Compilation and Randomization of Registrar Lists—After initial processing, the entire set of registrar lists will be combined into a single processing file and randomized.

Phase 5: Processing of Randomized List—Once the registration system is activated, a domain name will be randomly selected from the processing list. This domain name will be entered into the registry database. This process repeats until the entire list has been processed. If a chosen domain name is unavailable, then another name is chosen at random from the list until one of the following occurs:

- A successful registration is complete, or
- The registrar has no more available names on its list.

Phase 6: Results—At the end of the list processing, the results of registrations are returned to the registrar.

Land Rush Process



004.usTLD

Exhibit J-1. *The NeuStar Land Rush Process ensures complete impartiality in domain name allocation at the registry level—critical to maintaining the integrity of the usTLD.*

Phase 7: Commencing Normal Registration Procedures—After returning the results of the Land Rush process to the registrars, the registrars and the public will be advised that the registry will be activated on April 1, 2002 to accept new registrations directly into the registry.

The Benefits of NeuStar's Land Rush Implementation Approach

Incorporating the Land Rush solution into our overall solution provides the following benefits:

- Neutral and impartial allocation of domain names during the start-up period,
- Effective management of technical resource issues,
- Nondiscriminatory application process for all parties of new domain names,
- Scalable and effective support for any volume of registrations,
- Inexpensive solution implementation, and
- Affordable registration for all members of the Internet community.

The Land Rush solution will moderate the anticipated volume of registration requests without having any significant impact on fairness, stability, or system resources. The NeuStar solution is fully scalable so that stability is ensured, even if registration volumes greatly exceed predictions.

Registrant Post Start-up Registration Process and Requirements

NeuStar's plan to introduce changes in the usTLD that are designed to bring the usTLD into the global Internet infrastructure mandates that such changes be consistent wherever possible with the structures already in place in the global Internet community. Such consistency is required to encourage rapid acceptance of the expanded usTLD space by the Internet community, especially the registrar industry. Strong competition and the rapid uptake of the usTLD will drive the kind of use and innovation of the usTLD desired by the DOC and NeuStar as an applicant for administering the space.

Therefore, following the Land Rush period of name registration, NeuStar intends to implement the ICANN registry/registrar business model for the expanded usTLD. This model has proven to be highly successful yet sufficiently flexible to support any modifications necessary to address specific usTLD requirements. This process will apply also to direct registrations performed by NeuStar in the locality-based usTLD.

In this model, the application requires the registrants to provide the necessary registration information through registrars who will have a functional interface with the registry. Registrants will be asked to provide the owner's contact information along with contact information from the administrative, technical, and billing contacts. They will be asked to provide the name and IP address for a primary and secondary nameserver and to certify that these nameservers are located within the United States to ensure compliance with the usTLD Nexus Requirement.

In addition to these items (which are already required for registrations in the existing generic TLDs, with the exception of the nameserver Nexus certification), the registrant will be asked to represent, warrant, and acknowledge that it meets the Nexus Requirement. The Nexus Requirement is set forth in Section B.3.1. Prior to acceptance of a registration, the information provided will be checked to verify that the contact addresses and nameserver addresses meet the Nexus Requirement. If they do not, the registration will be held for a period of 30 days and

the potential registrant will be given an opportunity to prove compliance with the Nexus Requirement. Failure to demonstrate compliance will result in cancellation of the registration.

Nexus Requirement Enforcement

NeuStar will require that registrars obtain from the registrant certification that it meets the Nexus Requirement and the manner in which the requirement is met (i.e., citizenship, residence, or bona fide presence). In addition, NeuStar will check selected data provided by the potential registrant to ensure that the contact information establishes the proper US Nexus (e.g., a valid U.S. ZIP code is provided). NeuStar will also check the information provided for the primary and secondary nameservers identified by the potential registrant. The required certification will form the basis for the deletion of a registered name through a usTLD dispute resolution process if the information provided is false. A registration will not be made without a completed certification. The dispute resolution process is discussed in Section B.3.1

Appeal Process

To ensure fairness and neutrality in operations, any individual who is denied a registration will be given an opportunity to ask the usTLD Administrator to review its decision and also to demonstrate that the requested name meets usTLD domain registration requirements. Upon an adequate showing, the individual will be permitted to register the requested name. As a general matter, however, NeuStar does not intend to deny initial registrations unless a given registration does not meet the Nexus Requirement as discussed above.

Registration Cancellation

As discussed above, third parties will have the opportunity to challenge registrations, for example for lack of proper US Nexus, through the usTLD Dispute resolution process discussed in Section B.3.3