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October 17, 2013

*REGISTERED TO PRACTICE BEFORE U.S.
PATENT AND TRADEMARK OFFICE

*OF COUNSEL

VIA HAND DELIVERY

ACCEPTED/FILED

Marlene H. Dortch
Secretary
Federal Communications Commission
445 12th Street, S.W.
Room TW-A325
Washington, D.C. 20554

OCT 17 2013

Federal Communications Commission
Office of the Secretary

Re: *AU Docket No. 13-53*
Second Amendment to Petition of NTUA Wireless, LLC for Designation as an Eligible Telecommunications Carrier for Lifeline Service and for Conditional ETC Status to Participate in the Tribal Mobility Fund Phase I (Auction 902) on the Navajo Nation

Dear Ms. Dortch:

On behalf of NTUA Wireless, LLC, please find attached the Second Amendment to its Petition for Designation as an Eligible Telecommunications Carrier for Lifeline Service and for Conditional ETC Status to Participate in the Tribal Mobility Fund Phase I (Auction 902) on the Navajo Nation.

I note that the Confidential Version of this filing was hand-delivered and filed with the Federal Communications Commission ("Commission") on September 30, 2013 in this docket, AU Docket No. 12-25, as well as WC Docket No. 09-197 and WT Docket No. 10-208. The redacted, public version—the identical version that is enclosed with this cover letter—was also electronically filed on September 30, 2013 via the Commission's Electronic Comment Filing System (ECFS) in WC Docket No. 09-197 and WT Docket No. 10-208, but was not ultimately

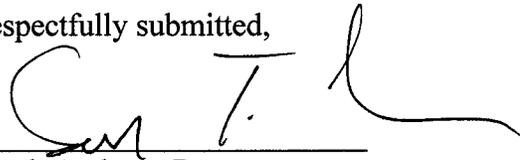
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filed in AU Docket No. 13-53. For unknown technical reasons, the ECFS service was unavailable to process this filing on September 30, 2013 only for AU Docket No. 13-53.

Today, October 17, 2013, is the first day the Commission has been re-opened following the end of the federal government's lapse in funding that closed the Commission from October 1, 2013 to October 16, 2013. Similar to September 30, 2013, the ECFS system is not processing filings today for AU Docket No. 13-53 at this time today. In order to ensure that this filing is made in AU Docket No. 13-53, NTUA Wireless, LLC is hand-delivering an original and five copies. This letter explains the potential discrepancy in the filing date of the redacted, public version made in this docket, AU Docket No. 13-53, and the same filing that was submitted prior to the lapse in government funding on September 30, 2013 in the other dockets, WC Docket No. 09-197 and WT Docket No. 10-208.

Please contact me with any questions.

Respectfully submitted,



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**Before the
FEDERAL COMMUNICATIONS COMMISSION
Washington, DC**

In the Matter of		
Petition of NTUA WIRELESS, LLC for Designation as an Eligible Telecommunications Carrier pursuant to Section 214(e)(6) of the Communications Act of 1934, as Amended		WC Docket No. 09-197
Universal Service Reform - Mobility Fund		WT Docket No. 10-208
Tribal Mobility Fund Phase I Auction		AU Docket No. 13-53

**SECOND AMENDMENT TO PETITION OF NTUA WIRELESS, LLC
FOR DESIGNATION AS AN ELIGIBLE TELECOMMUNICATIONS CARRIER FOR
LIFELINE SERVICE AND FOR CONDITIONAL ETC STATUS TO PARTICIPATE IN
THE TRIBAL MOBILITY FUND PHASE I (AUCTION 902) ON THE NAVAJO
NATION**

NTUA WIRELESS, LLC (“NTUA Wireless”) a telecommunications service provider on the Navajo Nation, majority owned by the Navajo Tribal Utility Authority (“NTUA” or “Navajo Tribal Utility Authority”), respectfully submits this Second Amendment to its Petition (“Second Amendment Petition”) for Designation as an Eligible Telecommunications Carrier¹ (“ETC”), pursuant to Section 214(e)(6) of the Communications Act of 1934, as amended (“Act”), for

¹ NTUA Wireless filed its initial Petition for ETC designation with the FCC in this proceeding on March 3, 2011, a Correction to its ETC Petition on August 18, 2011, and an Amendment to its ETC Petition on September 5, 2012.

purposes of receiving federal universal service support as an ETC to provide Lifeline service throughout its service area within the boundaries of the Navajo Nation and for a conditional ETC designation to participate in the Tribal Mobility Fund Phase I Auction (“Auction 902”) for unserved areas of the Navajo Nation.² As detailed further below, NTUA Wireless seeks expeditious consideration and approval of both its requested Lifeline ETC designation for the requested service area of the entire Navajo Nation, and for a conditional ETC designation to participate in Auction 902 and ensure its ability to receive Tribal Mobility Fund Phase I support in the event that NTUA Wireless submits a winning bid in Auction 902.

Grant of this Second Amendment Petition will significantly benefit the Navajo Nation and its people by, among other things:

- (a) Enabling a new carrier, majority-owned by a Navajo Nation enterprise, whose top priority is providing telecommunications services to the Navajo people;
- (b) Allowing the expertise and resources of the Navajo Tribal Utility Authority (“NTUA”) to be utilized to address the communications and employment needs of the Navajo Nation residents;

² *Tribal Mobility Fund Phase I Auction Rescheduled for December 19, 2013 Notice and Filing Requirements and Other Procedures for Auction 902*, FCC Public Notice AU Docket No. 13-53, DA 13-1672 Released. August 7, 2013 (“*Auction 902 Public Notice*”).

- (c) Providing low-income consumers throughout the NTUA Wireless service area within the Navajo Nation with access to discounted Lifeline telephone service tailored to their needs;³ and
- (d) Qualifying NTUA Wireless to participate in Auction No. 902 for the right to serve unserved areas of the Navajo Nation.

I. BACKGROUND

NTUA Wireless submitted its initial petition (“Petition”) in this docket on March 3, 2011 and filed a Correction to its initial Petition on August 18, 2011. Subsequently, NTUA Wireless filed an Amendment to its Petition on September 5, 2012 to ensure, among other things, compliance with amended Lifeline rules and consistency with revised ETC application requirements.⁴ NTUA Wireless’ Petition is unopposed by any other party and the record is long-closed. In light of the Commission’s release of the *Lifeline Reform Order*⁵ and the upcoming Tribal Mobility Fund Phase I Auction,⁶ NTUA Wireless submits this Second Amendment Petition to further ensure consistency with the amended Lifeline rules and to make clear that NTUA Wireless seeks a conditional ETC designation to participate in Auction 902, separate and in addition to NTUA Wireless’ long-pending request for Lifeline ETC designation.

³ Consistent with Section 1.21002 of the Commission’s Rules, nothing in this Amendment should be construed as a commitment to participate in the Mobility Fund Auction No. 902 nor, if participating, the geographic areas or amounts that would be the subject of any bid. This Amendment seeks only the *right* to participate.

⁴ See, e.g., *Lifeline and Link Up Reform and Modernization et al.*, Report and Order and Further Notice of Proposed Rulemaking, WC Dkt. Nos. 11-42 *et al.*, CC Dkt. No. 96-45, FCC 12-11 (rel. Feb. 6, 2012) (*Lifeline Reform Order*).

⁵ *Id.* at ¶ 98.

⁶ *Auction 902 Public Notice*.

The Commission has scheduled the Tribal Mobility Fund Phase I reverse auction (Auction 902) for December 19, 2013.⁷ The Commission in its August 7, 2013 Public Notice addressing the Filing Requirements and Other Procedures for Auction 902 makes clear that a Tribally-owned or controlled applicant may participate in Auction 902 at the short-form stage if it has a pending application to become an ETC at the short form deadline, which is October 9, 2013.⁸ Nevertheless, “[a] Tribal entity that wins support in Auction 902 while its ETC petition is pending must receive an ETC designation prior to support being authorized” to receive funding.⁹ Consistent with this requirement, NTUA Wireless may participate in the short form portion of Auction 902 because it currently has a pending ETC application before the Commission. However, in the event that NTUA Wireless submits a winning bid in Auction 902, in accordance with the Auction 902 requirements, NTUA Wireless must secure the ETC designation prior to being awarded support. Therefore, to eliminate any uncertainty related to its participation in the Tribal Mobility Fund Phase I auction with only a pending ETC application, NTUA Wireless specifically requests ETC designation conditioned upon it winning support in Auction 902 that is currently scheduled for December 19, 2013.

The Commission has previously granted requests for such conditional designations.¹⁰ Therefore, NTUA Wireless requests the Commission or relevant Bureaus grant NTUA Wireless’

⁷ See *Auction 902 Public Notice* at ¶¶ 6, 46, and 145.

⁸ *Id.* at ¶ 43, fn102 and ¶ 50.

⁹ *Auction 902 Public Notice* at ¶ 43; *see also* ¶ 104.

¹⁰ *See, e.g.*, WC Docket No. 09-197; WT Docket No. 10-208; AU Docket No. 12-25, *Order*, DA 12-1014

request for conditional ETC status as soon as possible so that NTUA Wireless has adequate time to prepare and participate in Auction 902 without any concerns of submitting a winning bid in Auction 902 without having secured the ETC designation, which is required to be awarded support. NTUA understands that if it is granted a conditional ETC designation to participate in the Tribal Mobility Fund Phase I auction, such an ETC designation will not adversely affect the status or continuing need for the Commission to address NTUA Wireless' pending request for a full Lifeline ETC designation for the entire proposed service area of the Navajo Nation.

A. NTUA WIRELESS

NTUA Wireless is a limited liability company ("LLC") that was created by the Navajo Tribal Utility Authority ("NTUA") and Commnet Wireless LLC ("Commnet"). NTUA Wireless is majority-owned by NTUA, a Tribal enterprise of the Navajo Nation.¹¹ NTUA is contributing to NTUA Wireless, among other things, various existing infrastructure assets, intellectual property, and NTUA office locations to optimize the development of a retail wireless telecommunications business. NTUA Wireless has contracted with NTUA to utilize current and future NTUA-owned backhaul infrastructure throughout the Navajo Nation.

(*rel.* July 3, 2012) (granting the petition of four wholly-owned T-Mobile subsidiaries for conditional ETC designation to participate in Auction 901); and WC Docket No. 09-197; WT Docket No. 10-208; AU Docket No. 12-25;

Order, DA 12-1013 (*rel.* July 3, 2012) (granting the petition of Carolina West Wireless, Inc. for conditional ETC designation to participate in Auction 901).

¹¹ As set forth in Title 21, Sections 5 and 7 of the Navajo Code, NTUA's governing board is "authorized to direct the operations to accomplish the purposes" of promoting telecommunications services. Moreover, NTUA's governing board is empowered with "the capacity to act ... to accomplish the purposes of 21 N.N.C. § 5" which include promoting telecommunications services to the residents of the Navajo Nation, and the NTUA board is authorized to "act in any state, territory, district, or possession of the United States ... for and on behalf of the tribal enterprise." *See* 21 N.N.C. § 7(b)(2) and (4).

By utilizing existing NTUA resources and partnering with Commnet, an established wireless service provider, NTUA Wireless is uniquely positioned to offer competitive retail wireless telecommunications services within the Navajo Nation. NTUA Wireless can utilize the utility business expertise of NTUA to offer a deeper penetration of retail wireless telecommunications service into the Navajo Nation.

NTUA Wireless will also provide jobs for Tribal members. In an area of the country with an unemployment rate that exceeds 50% (which far exceeds the current national U.S. average unemployment rate of 7.6%), NTUA Wireless will employ Navajo residents in technical and retail jobs and grow the telecommunications expertise of the Navajo people.

NTUA Wireless' assets include spectrum usage authorizations and infrastructure equipment of Commnet that are located in the Navajo Nation and several surrounding communities. Commnet also is contributing services related to NTUA Wireless' wholesale telecommunications business and retail operations, including, importantly, piggybacking onto the automatic roaming arrangements that Commnet has with all four major domestic commercial mobile radio services ("CMRS") providers, as well as with over a hundred other domestic and international providers.¹² Commnet is contributing these assets to NTUA Wireless as part of its minority ownership interest in NTUA Wireless. NTUA Wireless' board consists of both NTUA and Commnet representatives.

¹² Thus customers will have automatic roaming when they travel outside the NTUA Wireless service area.

Because of its composition, NTUA Wireless has a first-hand understanding of the setting and how to overcome the challenges of providing utility services to the Navajo Nation. Therefore, NTUA Wireless is uniquely qualified to provide unserved areas and low income residents much-needed wireless telecommunications services tailored to the needs of the Navajo Nation. The Navajo Nation covers a land area of over 27,000 square miles and extends into all or part of 13 counties in the states of Arizona, New Mexico and Utah. The vast scale of the Navajo Nation, along with its remote and isolated nature, has constrained the penetration of communication services and utility services within much of the Navajo Nation in the past, thus resulting in many unserved areas. As described above, NTUA Wireless will uniquely be able to address this challenge through its partners NTUA and Commnet.

ETC designation for both Lifeline service support and for purposes of participating in the Tribal Mobility Fund Phase I Auction (Auction 902) is critically important for NTUA Wireless. ETC designation will allow NTUA Wireless to seek funding for infrastructure development and operational costs in unserved areas and enable Lifeline service to Tribal residents throughout the NTUA Wireless service area of the Navajo Nation. It will also lead to improvements on the Navajo Nation by facilitating much needed local technical and sales jobs. NTUA Wireless will exclusively focus on the needs of residents of the Navajo Nation, including the need for local 911 emergency services, service to unserved areas, and affordable voice and data services.

II. THE COMMISSION HAS JURISDICTION OVER THIS PETITION FOR ETC DESIGNATION.

The Commission established a process for carriers seeking ETC designation on Tribal lands in which a carrier submits an application with the Commission demonstrating that the carrier is subject to the jurisdiction and laws of the Tribe and not subject to the jurisdiction of the state commissions.¹³ As demonstrated herein and in its initial Petition filed on March 3, 2011, NTUA Wireless is subject to the laws of the Navajo Nation and the jurisdiction of Navajo Nation Telecommunications Regulatory Commission (“NNTRC”). The NNTRC is the Navajo Nation’s telecommunications regulatory authority.

A. THE NAVAJO NATION HAS INHERENT AUTHORITY OVER ALL ECONOMIC AFFAIRS ON THE NAVAJO NATION AND THE NAVAJO NATION TELECOMMUNICATIONS REGULATORY COMMISSION ADDRESSES TELECOMMUNICATIONS MATTERS.

The government of the Navajo Nation exercises authority over the commercial activities that occur within the Navajo Nation by virtue of its inherent Tribal sovereignty, as recognized in binding treaties with the United States government and reiterated in the Navajo Nation Code. Specifically, the Treaty of 1868 preserves inherent Tribal sovereignty to the Navajo Nation and provides the basis of territorial civil jurisdiction over, *inter alia*, economic affairs.¹⁴ Courts, including the U.S. Supreme Court, have guarded the authority of the Navajo Nation over its

¹³ Federal-State Joint Board on Universal Service; Promoting Deployment and Subscriberhip in Unserved and Underserved Areas, Including Tribal and Insular Areas, *Twelfth Report and Order, Memorandum Opinion and Order, and Further Notice of Proposed Rulemaking*, 15 FCC Rcd 12208 (2000).

¹⁴ *See generally*, Treaty of Fort Sumner with the Navajo Tribe, June 1, 1868, 15 stat. 667.

jurisdiction, including over economic affairs, and Congress has recognized such authority in its Treaty of 1868.¹⁵

The Navajo Nation established the NNTRC in 1985, pursuant to Tribal Council Resolution ACAP-62-85. The Navajo Nation Code recognizes the ability of the Navajo Nation to exercise jurisdiction over commercial activities within the Navajo Nation. Section 201 of Title 5 of the Navajo Nation Code explains that the Navajo Nation's sovereign status authorizes the Navajo Nation "to regulate all commercial activities within the Navajo Nation, including those of non-Indians and non-member Indians, [and that] engaging in business within the Navajo Nation is a privilege granted by the Navajo Nation" subject to applicable federal law.¹⁶ Similarly, the same section of the Navajo Nation Code pronounces the "Navajo Nation's authority to regulate the conduct and operations of business within the Navajo Nation," subject to applicable laws of the United States.¹⁷

As the Navajo Nation Code explains, "by virtue of its inherent sovereign powers, [the Navajo Nation] has the authority to assert jurisdiction over telecommunications not preempted by applicable law and regulation of the federal government of the United States."¹⁸ Pursuant to this authority, the Navajo Nation established the NNTRC. From its establishment, the NNTRC was created to "act upon and regulate any and all matters of the telecommunications industry on

¹⁵ See, e.g., *Williams v Lee*, 358 U. S. 217, 223 (1959).

¹⁶ 5 N.N.C. § 201(B)(7) (2008).

¹⁷ *Id.*

¹⁸ 21 N.N.C. § 502 (2008).

the Navajo Nation, including ... telecommunications services transmitted by ... wireless technology ... and provide orderly growth and development of the telecommunications industry, and the operations thereby.”¹⁹

B. THE STATES DO NOT HAVE JURISDICTION OVER NTUA WIRELESS

The Navajo Nation includes a geographic area that covers portions of Arizona, New Mexico, and Utah. NTUA Wireless periodically coordinates with the state regulatory commissions in those states. The Commission has previously exercised jurisdiction under 47 U.S.C. § 214(e)(6) and designated telephone companies in Arizona proposing ETC areas co-terminous with the boundaries of Tribal lands as ETCs.²⁰ Similarly, NTUA Wireless comes before this Commission for designation as an ETC for an area co-terminous with the Navajo Nation Tribal lands.²¹

III. NTUA WIRELESS MEETS THE STATUTORY AND REGULATORY PREREQUISITES FOR DESIGNATION AS AN ELIGIBLE TELECOMMUNICATIONS CARRIER ON THE NAVAJO NATION.

NTUA Wireless satisfies each of the statutory and regulatory prerequisites set forth in the Act and the rules and orders of the Commission to be designated as an ETC, for the purpose of providing Lifeline service throughout its service area in the Navajo Nation, and to provide its full

¹⁹ 2 N.N.C. § 3452 (2008). The NNTRC is further empowered by the Navajo Nation to establish methods and conditions of accessing permits for telecommunications services on the Navajo Nation.

²⁰ Designation of Hopi Telecommunications, Inc. as an Eligible Telecommunications Carrier for the Hopi Reservation, Memorandum and Order, CC Docket No. 96-45 (2007).

²¹ As noted, NTUA Wireless will be subject to the jurisdiction of the NNTRC, similar to the way other ETCs are subject to the jurisdiction of their respective state public utility commissions.

complement of services in those areas of the Navajo Nation, if any, where it may be the successful Tribal Mobility Fund Phase I bidder in Auction 902.

A. NTUA WIRELESS IS A COMMON CARRIER.

NTUA Wireless will provide CMRS throughout its requested designated service area and, as a CMRS provider, NTUA Wireless is regulated as a common carrier. NTUA Wireless therefore meets the ETC requirement of being a common carrier.

B. NTUA WIRELESS WILL OFFER THE SUPPORTED SERVICES THROUGH A COMBINATION OF FACILITIES-BASED AND (IF NECESSARY) RESALE OR ROAMING.

NTUA Wireless will provide the supported services specified in Section 54.101(a) of the Commission's Rules, as described herein and in the initial Petition, throughout its service area in the Navajo Nation and in any unserved area where it is the successful Tribal Mobility Fund Phase I bidder using its own facilities and resale or roaming if necessary. NTUA Wireless' proposed ETC service Area is identified in Section IV of this Application. NTUA Wireless' facilities will include its cellular network infrastructure, which consists of switching, trunking, cellular sites and network equipment.

C. NTUA WIRELESS WILL OFFER ALL OF THE SERVICES AND FUNCTIONALITIES SUPPORTED BY THE UNIVERSAL SERVICE PROGRAM

To be designated an ETC, an Applicant must certify that it will provide each of the supported services. NTUA Wireless affirmatively certifies that it will provide each of the supported

services. Attached hereto as Exhibit A is a sworn declaration that NTUA Wireless offers or will offer each of the services designated for support throughout the ETC designated service area.²²

1. Voice Grade Access To The Public Switched Telephone Network

NTUA Wireless offers customers voice grade access to the Public Switched Telephone Network as required by Section 54.101(a)(1) of the Commission's Rules. "Voice grade access" permits a telecommunications user to transmit voice communications, including signaling the network that the caller wishes to place a call, and receive voice communications, including receiving a signal that there is an incoming call. NTUA Wireless will provide its customers "voice grade access" by providing mobile voice communications services and by enabling such customers to make and receive calls on the Public Switched Telephone Network.

2. Local Usage.

NTUA Wireless' services will include local usage that allows customers to originate and terminate calls within a local calling area without incurring toll charges. NTUA Wireless will offer service plans that include varying amounts of local usage and will comply with any and all minimum local usage requirements the Commission may adopt with respect to universal service offerings. Further, NTUA Wireless plans will offer consumers numerous benefits, such as including larger "local" calling areas, and free value-added features, such as caller ID; three-way calling and call waiting. A description of NTUA Wireless' rate plans is attached hereto as

²² 47 C.F.R. §§ 54.101 and 54.202.

Confidential Exhibit B. Therefore, NTUA Wireless satisfies the local usage requirement for designation as an ETC.

3. Access to Emergency Services.

“Access to emergency services” includes access to services, such as 911 and enhanced 911 (“E-911”), provided by local governments or other public safety organizations. NTUA Wireless will provide its voice customers in the ETC Designation Area access that is capable of delivering automatic numbering information (“ANI”) and automatic location information (“ALI”) over its existing network to PSAPs that are capable of receiving and processing such information in satisfaction with applicable state and federal E-911 requirements.

4. Toll Limitation.

“Toll limitation” includes the offering of either “toll control” or “toll blocking” to qualifying low-income customers, as a means of limiting or blocking the completion of outgoing toll calls. Section 54.401(a)(2) of the Commission’s adopted rules provides that toll limitation service is not necessary for any Lifeline service that does not distinguish between toll and non-toll calls in the pricing of the service. NTUA Wireless’ calling plans do not distinguish between local and toll calls at the point of dialing, and there is no additional charge within its plans for any call that would otherwise be considered a toll call. However, if for any reason NTUA Wireless changes the structure of its service plans to distinguish between local and toll calls, NTUA Wireless will meet the toll limitation requirement by providing toll blocking.

D. NTUA WIRELESS WILL ADVERTISE THE AVAILABILITY OF AND CHARGES FOR ITS UNIVERSAL SERVICE OFFERINGS

In accordance with Section 214(e)(1)(B) of the Act and Section 54.201(d)(2) of the Commission's Rules, NTUA Wireless commits to advertise the availability of, and charges for Lifeline service throughout its service area in the Navajo Nation, and all its services in any unserved area where it is the successful Tribal Mobility Fund Phase I bidder, utilizing local media and promotional events that are applicable and appropriate for the Navajo Nation. Since many potential users reside in relatively remote communities, access to generally recognized electronic and print media is severely limited. For example, the broadband penetration rate is below 10% and unavailable outside of the larger communities. There are no local television or cable services and the single newspaper has a bi-weekly circulation with limited distribution. The most effective advertising on the Navajo Nation is conducted via radio outlets, direct-mail, and through local Chapter Houses, which are the focal point for community outreach and local commerce. Consequently, NTUA Wireless advertising plan includes, but is not limited to:

Direct Mail- Postcards distributed to general PO Box holders throughout the proposed service area.

NTUA – Notices included within NTUA utility billing that reaches more than 30,000 households.

Display Posters and flyers- Distributed to Chapter Houses and other public facilities, such as Health Clinics, Senior Centers, etc.

Radio Advertising- Targeted radio announcements of service offerings and sales promotions.

Print Media- Display ads with general and targeted promotions in local and area newspapers, including the following:

Navajo Times (bi-weekly)

Gallup Independent (Daily)

Farmington Times (Daily)

Hopi-Navajo Observer

In addition, NTUA Wireless will launch with (6) retail store outlets throughout its proposed ETC designated service area, which will be housed within key NTUA customer service and bill collection centers. These facilities are conveniently located in the communities of Ft. Defiance, Chinle, Shiprock, Kayenta, Tuba City, and Dilkon. NTUA Wireless will use these media outlets to advertise its universal service offerings in a manner consistent with applicable requirements. NTUA Wireless will conduct mobile promotional activation events throughout the service area at select Chapter locations, as well as flea markets, sporting, and other public events. These events will be announced well in advance via all available forms of advertising.

E. NTUA WIRELESS WILL SATISFY ITS ADDITIONAL OBLIGATIONS AS AN ETC.

In addition to those requirements set forth in Section 54.201 of the Commission's Rules, NTUA Wireless will satisfy other ETC requirements adopted by the Commission. In particular:

1. *Commitment to Comply With Applicable Service Requirements [47 C.F.R. §54.202(a)(1)(i)].*

NTUA Wireless certifies that it will provide voice telephony service using its standard customer equipment (handsets/wireless devices) throughout the proposed ETC service area. This service will meet the requirements of Section 54.101 discussed in Section III.C, including voice grade access, local service, and access to emergency services.

2. *Service Improvement Plan [47 C.F.R. §54.202(a)(1)(ii)].*

The Commission is in receipt of NTUA Wireless' five year service improvement plan, which was filed as part of NTUA Wireless' initial Petition seeking ETC designation. The service improvement plan contains confidential information and has received confidential treatment in accordance with the Commission's Rules. The service improvement plan satisfies the ETC designation requirements and constitutes a good faith estimate of the universal service benefits, including expanded coverage and service quality, which the residents of the Navajo Nation will enjoy if NTUA Wireless is designated an ETC for the requested service area.

NTUA Wireless certifies that it will comply with the service requirements applicable to the support it receives, including any Tribal Mobility Fund Phase I support that it receives via

Auction 902 to make improvements in unserved areas for which it is the successful bidder to achieve the performance requirements established by the Commission. NTUA Wireless also certifies that it is familiar with and will comply with the minimum coverage requirements, build-out requirements and reporting obligations, including those applicable to winning bids in Auction 902.²³

3. *Ability to Remain Functional in an Emergency [47 C.F.R. § 54.202(a)(2)].*

NTUA Wireless is a facilities-based wireless telecommunications carrier with its own switching, transport, cell sites, and associated telecommunications facilities in the proposed designated ETC service area. NTUA Wireless will be able to function in emergency situations as set forth in Section 54.201(a)(2), which includes a demonstration that it has a reasonable amount of back-up power to ensure functionality without an external power source, is able to reroute traffic around damaged facilities, and is capable of managing traffic spikes resulting from emergency situations. In particular, NTUA Wireless will have the following capabilities to remain functional in emergency situations:

- Availability of fixed and portable back-up power generators at various network locations throughout NTUA Wireless' network that can be deployed in emergency situations.
- Ability to reroute traffic around damaged or out-of-service facilities through the deployment of cell-on-wheels ("COWs"), redundant facilities, and dynamic rerouting of traffic over alternate facilities.
- A network control center that monitors network traffic and anticipates traffic spikes, and can then (i) deploy network facilities to accommodate capacity needs, (ii) change call

²³ Auction 902 Public Notice at ¶¶ 37-39 and 204-209.

routing translations, and (iii) deploy COWs to temporarily meet traffic needs until longer-term solutions, such as additional capacity and antenna towers, can be deployed.

- Sites not equipped with fixed generators typically have battery back-up systems installed to maintain service in the event of a widespread power outage.

4. *Satisfaction of Applicable Consumer Protection and Service Quality Standards [47 C.F.R. § 54.202(a)(3)].*

Pursuant to 47 CFR § 54.202(a)(3), an ETC applicant is required to demonstrate that it will satisfy applicable consumer protection and service quality standards. In this regard, NTUA Wireless commits that it will comply with the CTIA Consumer Code for Wireless Service.

5. *Financial and Technical Capability to Provide Lifeline Service [47 C.F.R. §54.202(a)(4)].*

As described in this petition, NTUA Wireless is an LLC that is majority owned by the NTUA and minority owned by Commnet, a subsidiary of Atlantic Tele-Network, Inc. ("ATNI"). Both the NTUA and ATNI, the parent of Commnet have the financial and technical capability to provide Lifeline service. As demonstrated above, these entities have brought together their respective operational experience and financial and technical resources to create a unique partnership. The NTUA has been providing utility services in the Navajo Reservation since 1959 and ATNI subsidiaries currently provide Lifeline service in 6 states and the USVI. Further, NTUA Wireless also certifies that it is financially and technically qualified to provide, and intends to provide, broadband services meeting the Commission's requirements, *i.e.*, either 3G service in the supported areas within two years after the date NTUA Wireless is authorized to receive Mobility Fund Phase I support, or 4G service within three years after such date.

6. *Service Plan Terms and Conditions [47 C.F.R. §§ 54.202(a)(5), 54.401(d)].*

NTUA Wireless will offer several wireless voice and data service plans specifically designed to meet the needs of Tribal customers residing on the Navajo Reservation. NTUA Wireless is currently building the most expansive and robust 4G LTE network on the Navajo Reservation. On March 25, 2010, NTUA was notified of its selection under the U.S. Department of Commerce's Broadband Initiative for funding to build an extensive, pioneering broadband infrastructure on the Navajo Nation ("Navajo Nation Middle/Last Mile Project" or "Project"). Commnet was NTUA's partner in the Navajo Nation Middle/Last Mile Project, and with the consent of the U.S. Department of Commerce, NTUA Wireless was substituted for Commnet as the last-mile partner. The Project is being funded using a combination of grant funding from the U.S. Department of Commerce and matching funds provided by NTUA and Commnet Wireless. Construction of the Navajo Nation Middle/Last Mile Project is mostly complete and the retail service will be offered in the fourth quarter of 2013. The last-mile portion of the Project will include 700 MHz LTE cell sites, subsidized wireless internet access, hardware and laptop computers for those who need them, retail facilities integrated into NTUA's existing retail outlets, and customer service personnel. The project will enable fixed and mobile broadband service to over 30,694 households and 1,000 businesses in 15 of the largest communities on the Navajo Nation and provide wireless broadband coverage to 72% of the residences on the Navajo Nation. NTUA will leverage this new communications infrastructure to serve the Navajo Nation with reliable, high-performance wireless telecommunications services through NTUA Wireless.

However, given that the Navajo Nation has an unemployment rate over 52%—nearly seven times the U.S. average—and approximately 38% of the Navajo families are below the poverty line and the average per capita income on the Navajo Nation is \$10,695, as compared to the U.S. average per capita income of \$27,915, affordability is a critical barrier to technology adoption rates on the Navajo Nation. Therefore, without an ETC designation enabling NTUA Wireless to receive support for Lifeline service, some residents will not be able to afford service.

7. Tribal Notice [47 C.F.R. § 54.202(c)].

NTUA Wireless is majority-owned by NTUA, a Tribal enterprise of the Navajo Nation. Not surprisingly, NTUA Wireless has consulted closely with the Navajo Nation on NTUA Wireless' efforts to establish telecommunications services in the Navajo Nation, including in its efforts to pursue ETC designation with the Commission. NTUA Wireless has similarly consulted with the NNTRC, the Navajo Nation's telecommunications regulatory authority, in these matters. NTUA Wireless will continue to coordinate with the Navajo Nation and the NNTRC by providing them a public copy of this Second Amendment Petition.²⁴

8. Service Initiation Deposits [47 C.F.R. § 54.401(c)].

NTUA Wireless will not collect service deposits for its plans, and will not do so for Lifeline accounts.

9. Number-Portability Charges [47 C.F.R. § 54.401(e)].

²⁴ 47 C.F.R. § 202(c) (providing that a “common carrier seeking designation as an eligible telecommunications carrier under section 214(e)(6) for any part of Tribal lands shall provide a copy of its petition to the affected tribal government and tribal regulatory authority, as applicable, ...”).

NTUA Wireless will not charge a number-portability fee, and will not do so for Lifeline accounts.

10. Lifeline Certification and Verification [47 C.F.R. § 54.410].

NTUA Wireless will certify and verify consumer eligibility of customers to participate in the Lifeline and Link-Up programs in accordance with the Commission's rules. In instances where a state agency or third-party administrator is responsible for the initial determination and annual recertification of consumer eligibility, NTUA Wireless will rely on the state identification or database.²⁵ In instances where NTUA Wireless is responsible for the initial determination and annual recertification of consumer eligibility, NTUA Wireless will follow the procedures set forth below.

1. One-Per-Household

NTUA Wireless understands that Lifeline is limited to a single subscription per household, and that the Commission has defined household as "any individual or group of individuals who are living together at the same address as one economic unit."²⁶ Upon receiving an application for Lifeline support, NTUA Wireless will check the duplicates database, once in place, to determine whether an individual at the applicant's residential address is currently receiving Lifeline-supported service. NTUA Wireless will also search its own internal database of active customers to ensure that it does not already provide Lifeline-supported service to

²⁵ *In the Matter of Lifeline and Link Up Reform et al.*, Report and Order and Further Notice of Proposed Rulemaking, 27 FCC Rcd 6656 at ¶ 98 (2012) ("*Lifeline Reform Order*").

²⁶ *See id.* at ¶ 74.

someone at that residential address. If NTUA Wireless determines that an individual at the applicant's address is currently receiving Lifeline-supported service, NTUA Wireless will take an additional step to ensure that the applicant and the current subscriber are part of different households. To enable applicants to make this demonstration, NTUA Wireless will require applicants to complete and submit to NTUA Wireless USAC's one-per-household template which is attached hereto as Exhibit C. The proposed form contains the following: (1) an explanation of the Commission's one-per-household rule; (2) a check box that an applicant can mark to indicate that he or she lives at an address occupied by multiple households; (3) a space for the applicant to certify that he or she shares an address with other adults who do not contribute income to the applicant's household and share in the household's expenses or benefit from the applicant's income; and (4) the penalty for a consumer's failure to make the required one-per-household certification (*i.e.*, de-enrollment).²⁷ NTUA Wireless confirms that it will deny the Lifeline application of any individual residing at the same address as a current Lifeline subscriber who is part of the same household, and will advise the applicant of the basis for the denial. Accordingly, NTUA Wireless will not seek and will not receive Lifeline reimbursement unless the prospective subscriber has certified that no one in his or her household is already receiving a Lifeline service.²⁸

2. Address Requirement/Temporary Address/Change of Address

²⁷ See *id.* at ¶ 78.

²⁸ 47 U.S.C. § 54.404(b)(3).

NTUA Wireless will seek to obtain a consumer's permanent residential address (which cannot be a P.O. Box or General Delivery address) unless they only have a temporary address, and a billing address for the service, if different (which may include a P.O. Box or General Delivery address).²⁹ NTUA Wireless will inquire on its certification forms whether or not the applicant's address is a temporary one.³⁰ If it is, NTUA Wireless will notify the consumer that NTUA Wireless will contact the consumer every 90 days, by phone or text, to verify that he or she continues to rely on that address, and that if the consumer fails to respond within 30 days of NTUA Wireless' attempt to verify the temporary address, he or she will be de-enrolled from the Lifeline program.³¹ Also on its application and certification form, NTUA Wireless will explain that if the subscriber moves, they must provide their new address to NTUA Wireless within 30 days of moving.³² If the subscriber has moved, NTUA Wireless will update the duplicates / eligibility database, once in place, with the information within 10 business days of receipt of the information.³³

Although NTUA Wireless will seek an applicant's permanent residential address in the first instance, a unique fact of life on the Navajo Nation is the widespread absence of residential addresses. This reality severely complicates the seemingly simple requirement to gather a

²⁹ See *Lifeline Reform Order* at ¶ 85.

³⁰ See *id.* at ¶ 89.

³¹ See *id.*

³² See *id.* at ¶ 85. See also, Exhibit D herein.

³³ See *Lifeline Reform Order* at ¶ 85.

customer's permanent (or temporary) residential address, which serves as one of the basic features of customer information used to eliminate duplicate support.

The Commission has recognized this precise issue and the need for its rules to balance restricting availability of Lifeline to prevent fraud, waste and abuse without inappropriately denying support to consumers who are genuinely eligible to receive benefits. In the *Lifeline Reform Order*, the Commission recognized that "there are ... circumstances where an applicant may not have a permanent residential address ... because the address is not recognized by the post office."³⁴ In particular, the Commission noted that "some residences on Tribal lands lack U.S. Postal Service addresses" and cautions against rigid rules that "may inappropriately den[y] support" to such eligible customers.³⁵

In situations where applicants do not have U.S. Postal Service addresses, as NTUA Wireless faces on the Navajo Nation, the Commission specifically allows applicants to nevertheless receive Lifeline benefits by providing a descriptive address.³⁶ Namely, the Commission explains that "[i]n the case of addresses not recognized by the post office, including residences on Tribal lands, the applicant must provide a descriptive address which could be used to perform a check for duplicative support and trigger the requirement to complete the one-per-household document."³⁷

³⁴ *Id.* at ¶ 87.

³⁵ *Id.* at ¶ 212.

³⁶ *See id.* at ¶ 87.

³⁷ *Id.*

While descriptive addresses are allowed for ETCs signing up customers, as described above, the Commission ordered a process to address the issue of standardization and address verification requirements as part of the *Lifeline Reform Order*.³⁸ Specifically, the Commission directed the Universal Service Administrative Company (“USAC”) “to work with the ETCs to develop a process to ensure that all Lifeline subscribers’ addresses can be loaded into the database, including the minority of cases where a subscriber’s valid address cannot be verified.”³⁹ The Commission explained that “the database must be able to accommodate those situations, such as on Tribal lands, where a U.S. postal address is not available or recognized.”⁴⁰ Until such a process is formalized, NTUA Wireless will first attempt to obtain the applicant’s address, and in the absence of a U.S. Postal Service address, NTUA Wireless will obtain a descriptive address as permitted by the Commission under its *Lifeline Reform Order* which can be used to perform a check for duplicative support and trigger, if necessary, the requirement to complete the one-per-household document.

3. Initial and Annual Certification

Consumers will be signed up in person or directed, via company literature, collateral or advertising, to a toll-free telephone number and to the NTUA Wireless website, which will provide information regarding NTUA Wireless’ Lifeline service plans, including a detailed description of the program and eligibility criteria. NTUA Wireless will provide Lifeline-specific

³⁸ *Id.* at ¶193.

³⁹ *Id.*

⁴⁰ *Id.*

training to all personnel, whether employees, agents or representatives, that interact with actual or prospective consumers with respect to obtaining, changing or terminating Lifeline services.

NTUA Wireless' initial and annual certification forms will conform to the list of requirements provided in C.F.R. § 54.410(d), as amended. NTUA Wireless' has attached to this filing as Exhibit D a Lifeline application and certification form. This form will require each prospective subscriber to provide the following information:

- (i) The subscriber's full name;
- (ii) The subscriber's full residential address, including a descriptive address, if necessary;
- (iii) Whether the subscriber's residential address is permanent or temporary;
- (iv) The subscriber's billing address, if different from the subscriber's residential address;
- (v) The subscriber's date of birth;
- (vi) The subscriber's social security number, or the subscriber's Tribal identification number, if the subscriber is a member of a Tribal nation and does not have a social security number;
- (vii) If the subscriber is seeking to qualify for Lifeline under the program-based criteria, as set forth in § 54.409, the name of the qualifying assistance program from which the subscriber, his or her dependents, or his or her household receives benefits; and
- (viii) If the subscriber is seeking to qualify for Lifeline under the income-based criterion, as set forth in § 54.409, the number of individuals in his or her household.

Further, the Lifeline application and certification form will also explain in clear, easily understandable language in both English and Navajo that:

- (i) Lifeline is a federal benefit;
- (ii) Lifeline service is available for only one line per household;
- (iii) a household is defined, for purposes of the Lifeline program, as any individual or group of individuals who live together at the same address and share income and expenses;
- (iv) households are not permitted to receive benefits from multiple providers;

- (v) that violation of the one-per-household requirement would constitute a violation of the Commission's rules and would result in the consumer's de-enrollment from the program, and potentially, prosecution by the United States government; and
- (vi) a Lifeline subscriber may not transfer his or her service to any other individual, including another eligible low-income consumer.

NTUA Wireless will also require all consumers, at sign up and annually thereafter, to certify under penalty of perjury that:

- (i) The subscriber meets the income-based or program-based eligibility criteria for receiving Lifeline, provided in § 54.409;
- (ii) The subscriber will notify the carrier within 30 days if for any reason he or she no longer satisfies the criteria for receiving Lifeline including, as relevant, if the subscriber no longer meets the income-based or program-based criteria for receiving Lifeline support, the subscriber is receiving more than one Lifeline benefit, or another member of the subscriber's household is receiving a Lifeline benefit.
- (iii) If the subscriber is seeking to qualify for Lifeline as an eligible resident of Tribal lands, he or she lives on Tribal lands, as defined in 54.400(e);
- (iv) If the subscriber moves to a new address, he or she will provide that new address to the eligible telecommunications carrier within 30 days;
- (v) If the subscriber provided a temporary residential address, he or she will be required to verify his or her temporary residential address every 90 days;
- (vi) The subscriber's household will receive only one Lifeline service and, to the best of his or her knowledge, the subscriber's household is not already receiving a Lifeline service;
- (vii) The information contained in the subscriber's certification form is true and correct to the best of his or her knowledge;
- (viii) The subscriber acknowledges that providing false or fraudulent information to receive Lifeline benefits is punishable by law; and
- (ix) The subscriber acknowledges that the subscriber may be required to re-certify his or her continued eligibility for Lifeline at any time, and the subscriber's failure to re-certify as to his or her continued eligibility will result in de-enrollment and the termination of the subscriber's Lifeline benefits pursuant to § 54.405(e)(4).

Additionally, as demonstrated in Exhibit D attachment, the NTUA Wireless application and certification requires any Lifeline customer to specifically authorize NTUA Wireless to

release required customer records to be used in the Lifeline eligibility database to ensure proper administration of the program.

Enrollment in Person

When a prospective customer applies for Lifeline service in person, NTUA Wireless personnel will ask to see a government issued ID/proof of eligibility and will validate the address. NTUA Wireless personnel will input the name/address combination into the company's aggregate duplicate database to confirm that the applicant is not already receiving a Lifeline subsidy from NTUA Wireless. In cases where a state eligibility database exists, store personnel will contact the Company's internal group dedicated to verifying eligibility who will query the database and either approve or deny the applicant. In states where eligibility databases are not available, the applicant is required to provide proof of participation in one of the Lifeline eligible programs or proof that their annual household income is at or below 135% of the federal poverty guidelines. NTUA Wireless' Lifeline application and certification form contains an "Office Use Only" section, which must be completely filled out and signed by NTUA Wireless personnel in order to record information about the specific documentation reviewed as part of the eligibility verification process. Eligibility documents are returned to the customer after review. Finally, NTUA Wireless personnel will be available to verbally explain, in either English or Navajo, the certifications to consumers before they initial the required disclosures and sign the application. Once the Lifeline application is complete, it is scanned into NTUA Wireless' database. Upon

successful completion of the certification process, the customer is enrolled in NTUA Wireless' Lifeline plan.

Enrollment over the Telephone

With respect to those enrolling via the phone, NTUA Wireless personnel are able to verbally explain, in either English or Navajo, the Lifeline program and its eligibility requirements, including required information and disclosures, as well as collect and input electronically the application form information and obtain the applicant's signature via IVR. If NTUA Wireless personnel are able to gather the information needed to qualify the applicant by accessing necessary databases (duplicates database, eligibility databases) the company will do so and request the customer to mail in or fax documentation to verify the information that was provided on the phone. Upon receipt of copies of the applicant's proof documentation, NTUA Wireless personnel will complete the eligibility verification process and deliver phones to eligible customers by one of the following methods: by mail, at NTUA District Offices, or NTUA Wireless Customer Centers.

Enrollment Online

When enrolling via the Internet, prospective customers will be able to fill out an application form online and sign electronically. NTUA Wireless will highlight the certifications that are required, for example, by requiring consumers to acknowledge each certification before moving on to the next field.⁴¹ NTUA Wireless will qualify the applicant by accessing necessary

⁴¹ *Lifeline Reform Order* at ¶ 123.

databases (duplicates database, eligibility databases). If the customer is deemed to be eligible based on the information provided online, the customer will be requested to mail in or fax documentation to verify the information that was provided online. Upon receipt of the applicant's proof documentation, NTUA Wireless personnel will complete the eligibility verification process and deliver phones to eligible customers by one of the following methods: by mail, at NTUA District Offices, or NTUA Customer Centers.

Determining Eligibility

NTUA Wireless will determine eligibility utilizing the income and program criteria currently described in federal regulations, *see* 47 C.F.R. § 54.409(a),(b)), as well as any additional state-specific criteria. Prior to enrolling a new subscriber, NTUA Wireless will check the eligibility of low-income consumers first by accessing state or federal social services electronic eligibility databases, where available.⁴² If a database is used to establish eligibility, NTUA Wireless will not require documentation of the consumer's participation in a qualifying federal program; instead, NTUA Wireless or its representative will note in its records what specific data was relied upon to confirm the consumer's initial eligibility for Lifeline.⁴³ However, where such information is not available, NTUA Wireless will review documentation to determine eligibility for new subscribers until such time as a qualifying eligibility database is available.⁴⁴ NTUA Wireless will require acceptable documentation both for income eligibility

⁴² *See id.* at ¶ 97.

⁴³ *See id.* at ¶ 98.

⁴⁴ *See id.* at ¶ 99.

and for program eligibility. NTUA Wireless will not retain copies of the documentation but rather will establish policies and procedures to review such documentation and keep accurate records detailing how the consumer demonstrated his or her eligibility.⁴⁵ NTUA Wireless understands that it may permit agents or representatives to review documentation of consumer program eligibility for Lifeline, and in such cases NTUA Wireless remains liable for ensuring the agent or representative's compliance with the Lifeline program rules.⁴⁶

NTUA Wireless provides employees with training designed to give them an understanding of Lifeline program requirements and permit them to review customer documentation and determine whether it is sufficient to establish a customer's eligibility to participate in the Lifeline program under the Commission's rules. No NTUA Wireless employee may accept a Lifeline application unless he or she has first completed this training program and demonstrated an understanding of the underlying material. Among other things, the Lifeline program training discusses NTUA Wireless' Lifeline application form (*see* Exhibit D) on a section-by-section basis. The training explains what sections of the form must be completed by the customer and reviews the form disclosures in detail, to facilitate an employee's ability to explain each item contained therein and answer any customer questions.

4. Annual Re-Certification

NTUA Wireless understands that it must re-certify the eligibility of its entire Lifeline subscriber base each year after the ETC designation is granted and report the results to USAC by

⁴⁵ *See id.* at ¶ 101.

⁴⁶ *See id.* at ¶ 110.

January 31 of the following year, and NTUA Wireless may elect to perform this re-certification on a rolling basis throughout the year.⁴⁷ By December 31, of the same year, NTUA Wireless will re-certify the continued eligibility of all of its subscribers by contacting them—either in person, in writing, by phone, by text message, by email, or otherwise through the Internet—to confirm their continued eligibility.⁴⁸ The re-certification notice will explain the actions the customer must take to retain Lifeline benefits, when Lifeline benefits may be terminated, and how to contact NTUA Wireless. NTUA Wireless will obtain a signed certification from the subscriber that meets the certification requirements of 47 C.F.R. § 54.410(d), as amended. NTUA Wireless will provide written notice of impending service termination to subscribers who do not respond to the annual re-certification within 30 days. NTUA Wireless understands that such certifications may be obtained through a written format, an IVR system, or a text message, and will use one or more of such options for its certifications.⁴⁹ Alternatively, where a database containing consumer eligibility data is available, NTUA Wireless (will instead query the database by the end of the year after the ETC designation is approved and maintain a record of what specific data was used to re-certify eligibility and the date of re-certification. If a subscriber's address cannot be verified through the data, NTUA Wireless will contact the subscriber every year during the annual certification process.⁵⁰ NTUA Wireless will annually certify the continued eligibility of

⁴⁷ *See id.* at ¶ 130.

⁴⁸ *See id.*

⁴⁹ *See id.* at ¶ 132.

⁵⁰ *See id.* at ¶ 131.

its entire subscriber base, either by accessing a qualifying database, or by electing to have USAC administer the self-certification process on NTUA Wireless' behalf.⁵¹

NTUA Wireless will certify its compliance with Commission rules on an annual Lifeline eligible telecommunications carrier certification form and when submitting FCC Forms 497 to USAC for reimbursement. As part of NTUA Wireless' submission of re-certification data pursuant to 47 C.F.R. § 54.416, an officer of NTUA Wireless will certify annually to USAC:

- (1) that NTUA Wireless has procedures in place to review consumers' documentation of income-and program-based eligibility. In instances where NTUA Wireless confirms consumer eligibility by relying on official program eligibility data, such as a state or federal database, an officer of NTUA Wireless will attest to what data NTUA Wireless uses to confirm consumer eligibility in each state;
- (2) that NTUA Wireless is in compliance with all federal Lifeline certification procedures;⁵² and
- (3) that NTUA Wireless shall conduct a final review of a customer's eligibility to receive Lifeline services at its corporate offices.

A. Other Reforms to Eliminate Waste, Fraud and Abuse

NTUA Wireless is committed to taking steps to prevent customers from engaging in abuse of the program, inadvertently or intentionally. Therefore, NTUA Wireless will implement enrollment procedures designed to prevent subsidies for duplicate, ineligible, or inactive subscribers. NTUA Wireless has processes in place to ensure that it removes (1) any name/address that is already receiving a Lifeline subsidy from receiving a second Lifeline

⁵¹ See *id.* at ¶ 133.

⁵² See *id.* at ¶ 126-27.

subsidy in that same month; and (2) that subsidies are requested only for active lines. Through the processes described herein, NTUA Wireless ensures that it does not over-request from support funds.

NTUA Wireless first validates each applicant's identity via a government issued ID card. Additionally, as mentioned above, NTUA Wireless requires the applicant to provide their date of birth (DOB) and their social security number (SSN), or the applicant's Tribal identification number if the subscriber is a member of a Tribal nation and does not have an SSN. Requiring DOB and SSN (or Tribal identification number) ensures that neither the applicant nor NTUA Wireless representative can forge certification forms based on false names and addresses. Once the applicant's identity is confirmed, NTUA Wireless verifies that the applicant is eligible to receive the Lifeline subsidy. To do this, NTUA Wireless checks available eligibility databases. If one is not available, the applicant is required to provide proof of income or program participation. This prevents ineligible applicants from receiving the subsidy.

NTUA Wireless verifies the address of the applicant via the applicant's government issued ID. Next the name/address combination is entered into the company's aggregate duplicate database to confirm that the applicant is not already receiving a Lifeline subsidy from NTUA Wireless. These steps prompt the representative to detail the one-per-household rule with the applicant.

1. National Lifeline Accountability Database

NTUA Wireless will participate in the National Lifeline Accountability Database.⁵³ As required by the *Lifeline Reform Order* and the Commission's Rules, an ETC in states without a Commission-approved valid database certification must query the database to ensure that the prospective customer is not seeking duplicate support prior to enrolling a customer for Lifeline service.⁵⁴ NTUA Wireless will provide to the database subscriber name, address, phone number, the last four digits of Social Security number, date of birth, Lifeline service initiation and de-enrollment date (when applicable), and amount of federal Lifeline support being sought for that subscriber.⁵⁵ NTUA Wireless will provide the information listed above for existing subscribers within 60 days of Commission notice that the database is capable of accepting subscriber information.⁵⁶

Furthermore, on its certification form, NTUA Wireless will obtain acknowledgement and consent from each of its subscribers that is written in clear, easily understandable language that the subscriber's name, telephone number, and address will be divulged to USAC (the administrator of the program) and/or its agents for the purpose of verifying that the subscriber does not receive more than one Lifeline benefit.⁵⁷

⁵³ See 47 C.F.R. § 54.404.

⁵⁴ 47 U.S.C. § 54.404(b)(1)-(3).

⁵⁵ See *Lifeline Reform Order* at ¶ 189.

⁵⁶ See *id.* at ¶ 190.

⁵⁷ See *id.*, Appendix C.

Within 30 days following Commission notice that the database is capable of accepting queries, NTUA Wireless will query the database to check to see if a prospective subscriber is already receiving service from another ETC at a residential address prior to seeking reimbursement from the Universal Services Fund.⁵⁸ If the database indicates that the prospective subscriber is currently receiving service, NTUA Wireless will not provide and will not seek or receive Lifeline reimbursement for that subscriber.⁵⁹ Similarly, if the database indicates that another individual at the prospective subscriber's address is currently receiving service, the NTUA Wireless will not seek and will not receive Lifeline reimbursement unless the prospective subscriber has certified that no one in his or her household is already receiving a Lifeline service.⁶⁰

2. Subscriber Usage

NTUA Wireless will not seek reimbursement from the Universal Services Fund for new subscribers until they have personally activated the service, either by initiation and/or actual use of the service by the subscriber. Furthermore, NTUA Wireless will not seek reimbursement from the Universal Services Fund for inactive subscribers who have not used the service for a consecutive 60-day period.⁶¹ NTUA Wireless will notify its subscribers at service initiation about the non-transferability of the phone service, its usage requirements, and the de-enrollment

⁵⁸ See *id.* at ¶ 203.

⁵⁹ 47 U.S.C. § 54.404(b)(2).

⁶⁰ 47 U.S.C. § 54.404(b)(3).

⁶¹ See *id.* at ¶ 257.

and deactivation that will result following non-usage in any 60-day period of time.⁶² An account will be considered active if during any 60-day period the authorized subscriber does at least one of the following: makes a monthly payment; purchases minutes from NTUA Wireless to add to an existing pre-paid Lifeline account; completes an outbound call; answers an incoming call from anyone other than NTUA Wireless, its representative, or agent; or affirmatively responds to a direct contact from NTUA Wireless confirming that he or she wants to continue.⁶³

3. Audits

If NTUA Wireless draws \$5 million or more in the aggregate on an annual basis from the low-income program, as determined on a holding company basis taking into account all operating companies and affiliates, NTUA Wireless will hire an independent licensed certified public accounting firm to conduct a biennial audit according to government accounting standards to assess NTUA Wireless's overall compliance with the program's requirements.⁶⁴ NTUA Wireless will comply with applicable rules regarding the dissemination of audit findings to the Commission, USAC, and relevant state and Tribal governments within 30 days upon issuance.⁶⁵

B. De-Enrollment

NTUA Wireless will de-enroll consumers from its Lifeline program in the following instances, according to C.F.R. § 54.405(e):

⁶² See *id.*

⁶³ See *id.* at ¶ 261.

⁶⁴ See *id.* at ¶¶ 291, 294.

⁶⁵ See *id.* at ¶ 294.

1. Ineligibility.

Any subscriber who indicates that he or she is receiving more than one Lifeline-supported service per household, or neglects to make the required one-per-household certification on his or her certification form, will be de-enrolled from Lifeline pursuant to the process for resolving duplicative Lifeline subscriptions described in section 54.405(e)(2).⁶⁶

If a customer does not respond to NTUA Wireless' annual verification survey within 30 days, or if NTUA Wireless has reasonable basis to believe that the subscriber no longer meets the Lifeline-qualifying criteria (including instances where a subscriber informs NTUA Wireless that he or she is ineligible for Lifeline), NTUA Wireless will provide a written notice of impending service termination to the subscriber and then give the subscriber 30 days after the date of the letter to demonstrate that his or her Lifeline service should not be terminated.⁶⁷ Similarly, NTUA Wireless will de-enroll a subscriber if they fail to respond to NTUA Wireless' attempt to verify a temporary address within 30 days.⁶⁸

2. Duplicative Support.

Subject to USAC's Duplicate Resolution Process and anticipated Duplicate Scrubbing Process,⁶⁹ NTUA Wireless will de-enroll a subscriber within 5 business days if NTUA Wireless is informed by USAC that the subscriber is receiving Lifeline service from another ETC or that more than one member of a subscriber's household is receiving Lifeline service.

⁶⁶ See *id.* at ¶ 122.

⁶⁷ See *id.* at ¶ 142.

⁶⁸ See *id.* at ¶ 89.

⁶⁹ See *id.* at ¶ 214-16.

3. *Non-Usage.*

NTUA Wireless will de-enroll any subscriber that has not used NTUA Wireless' Lifeline service for 60 consecutive days. NTUA Wireless will provide the subscriber 30 days' notice, using clear, easily understood language, whether in English or Navajo, that the subscriber's failure to use the Lifeline service within the 30-day notice period will result in service termination for non-usage; such notice may be initiated after 30-days of non-usage. NTUA Wireless will update the national database, once in place, within one business day of de-enrolling a subscriber for non-use and will submit a non-usage de-enrollment report annually to USAC.⁷⁰

IV. **NTUA WIRELESS' REQUESTED ETC SERVICE AREA FOR LIFELINE SERVICE IS ITS LICENSED SERVICE AREA WITHIN THE BOUNDARIES OF THE NAVAJO NATION.**

As identified in the Correction to the initial Petition, filed August 18, 2011, NTUA Wireless requests a designated service area that includes the area within the exterior boundaries of the Navajo Nation for Lifeline purposes. Given that NTUA Wireless only seeks to serve areas within the exterior boundaries of the Navajo Reservation, and cream-skimming is not a concern for Lifeline purposes,⁷¹ NTUA Wireless requests that the Commission expeditiously grant its request for the ETC designation within the exterior boundaries of the Navajo Nation for purposes

⁷⁰ See *id.* at ¶ 257.

⁷¹ See *Petition of Carolina West Wireless, Inc.*, WC Docket No. 09-197; WT Docket No. 10-208; AU Docket No. 12-25; *Order*, DA 12-1013 (*rel.* July 3, 2012) at ¶ 21; see also, *Petition of T-Mobile for FCC Designation as an Eligible Telecommunications Carrier for Mobility Fund Phase I (Auction 901)*, WC Docket No. 09-197; WT Docket No. 10-208; AU Docket No. 12-25; *Order*, DA 12-1014 (*rel.* July 3, 2012) at ¶ 21.

of offering Lifeline service on the Navajo Nation. Attached hereto as Exhibit E is a list of the wire centers that fall within the exterior boundaries of the Navajo Nation.

V. CONDITIONAL ETC DESIGNATION TO PARTICIPATE IN THE TRIBAL MOBILITY FUND PHASE I AUCTION

A. NTUA WIRELESS SEEKS CONDITIONAL ETC STATUS TO PARTICIPATE IN THE TRIBAL MOBILITY FUND PHASE I AUCTION (AUCTION 902), IN ADDITION TO SEEKING A LIFELINE ETC DESIGNATION.

In addition to the full Lifeline ETC designation that NTUA Wireless seeks, NTUA Wireless makes clear its desire to separately receive conditional ETC designation to participate in the Tribal Mobility Fund Phase I Auction to ensure NTUA Wireless' ability to receive support if it is a winning bidder. With regard to any conditional ETC designation to participate in Auction 902, NTUA Wireless understands that such an ETC designation may be conditioned on NTUA Wireless winning the right to receive support through Auction 902 and the designation may apply only to those eligible areas where NTUA Wireless is the successful bidder in Auction 902.

NTUA Wireless also notes that the Commission has granted forbearance in the Mobility Fund Phase I, Auction 901 proceeding from the requirement that the service area of an applicant requesting conditional ETC designation conform to the underlying service area of any rural telephone company.⁷² For purposes of clarity, and contemporaneous with this filing, NTUA Wireless is separately petitioning the Commission in AU Docket No. 13-53 to similarly issue an

⁷² See *Connect America Fund*, WC Docket No. 10-90 et al., Second Report and Order, FCC 12-70 (rel. June 27, 2012), 77 FR 39435 (rel. July 3, 2012) ("*Forbearance Order*").

order granting forbearance from its service area conformance requirements for entities receiving conditional ETC designations in the Tribal Mobility Fund proceeding for the same reasons forbearance was granted to such entities in the Mobility Fund Phase I proceeding.

B. NTUA WIRELESS SEEKS A SERVICE AREA FOR A CONDITIONAL ETC DESIGNATION THAT INCLUDES THE UNSERVED AREAS (IF ANY) FOR WHICH NTUA WIRELESS IS THE SUCCESSFUL BIDDER IN AUCTION 902 AND NTUA WIRELESS HAS ACCESS TO NECESSARY SPECTRUM.

The request for ETC designation on the Navajo Nation to participate in the Tribal Mobility Fund Phase I Auction (Auction 902) is necessary for NTUA Wireless to receive support in the event that it becomes a winning bidder in Auction No. 902, consistent with Section 54.1003 of the Commission's Rules, which states: "The applicant's designation as an Eligible Telecommunications Carrier may be conditional subject to the receipt of [Tribal] Mobility Fund support."⁷³

NTUA Wireless, through its partners NTUA and Commnet, has an advanced telecommunications network that, with the additional Mobility Fund support, will be capable of delivering the supported services throughout the service areas for which NTUA Wireless may be a winning bidder in Auction 902. In such service areas where NTUA Wireless successfully bids for Tribal Mobility Fund Phase I support, NTUA Wireless intends to offer the supported services throughout the applicable service areas. Further, NTUA Wireless certifies that it has access to

⁷³ *Auction 902 Public Notice* at ¶ 104 (citing to Commission Rule 54.1003(a) and explaining that "prior to Auction 901, ... the Commission granted a conditional designation ... contingent only on the applicant winning Mobility Fund Phase I support, thus requiring no additional substantive determinations post-auction. We anticipate that the Commission will grant any request for conditional designation in the same manner for Auction 902").

spectrum to fulfill its performance obligations in the areas in which it intends to seek support in Auction 902 for which ETC designation is sought, and NTUA Wireless will retain such access for at least five years after it is authorized to receive support.⁷⁴

VI. GRANT OF THIS PETITION WILL SERVE THE PUBLIC INTEREST

Grant of this Petition will significantly benefit the Navajo Nation and its people by enabling NTUA Wireless, which is majority owned by a Navajo Nation enterprise, to provide Lifeline service to members of the Navajo Nation who cannot otherwise afford telephone service by providing critical funding for Lifeline service in the Navajo Nation. Because of its ability to penetrate the Navajo Nation and through infrastructure and expertise of its partners NTUA and Commnet, NTUA Wireless will provide unique and cost-effective advantages in its service offerings to the people of the Navajo Nation. As described herein, NTUA Wireless' designation will bring improved coverage and service quality to the Navajo Nation.

Being designated as an ETC will serve the public interest by allowing NTUA Wireless to improve mobile voice and broadband coverage in the Navajo Nation, including unserved areas using Tribal Mobility Fund Phase I support, if NTUA Wireless successfully pursues such support in Auction 902. As such, granting NTUA Wireless' petition for ETC status is in the public interest.⁷⁵

A. BENEFITS OF NTUA WIRELESS SERVING THE COMMUNICATIONS NEEDS OF THE NAVAJO PEOPLE.

⁷⁴ 47 C.F.R. § 54.1003(b).

⁷⁵ 47 C.F.R. § 54.202(b).

As mentioned above, NTUA Wireless understands the unique setting of the Navajo Nation and will provide much-needed wireless telecommunications services tailored to the needs of the Navajo Nation. The vast scale of NTUA's service territory, along with its remote and isolated nature, has inhibited the penetration of communications and utility services to much of the Navajo Nation resulting in many without service. NTUA Wireless will uniquely be able to address this challenge in part by leveraging a large-scale telecommunications infrastructure project, which NTUA is currently constructing.

The ETC designation will greatly benefit life on the Navajo Nation by enabling NTUA Wireless to serve the communications needs of Navajo residents and provide much needed local technical and sales jobs. NTUA Wireless will exclusively focus on the needs of residents of the Navajo Nation, including the need for local 911 emergency service, service to unserved areas, and affordable voice and data services. Furthermore, NTUA Wireless promotes majority ownership by Navajo enterprises and creates a model to improve the quality of life for the Navajo people through economic development.

B. BENEFITS OF INCREASED COMPETITION

The benefits of competition are widely recognized and extend to all markets, including the universal service market, as recognized by the FCC:

We note that an important goal of the Act is to open local telecommunications markets to competition. Designation of competitive ETCs promotes competition and benefits consumers in rural and high-cost areas by increasing customer choice, innovative services, and new technologies. We agree with Western Wireless that competition will result not only in the deployment of new facilities and technologies, but will also provide an incentive to the incumbent rural telephone companies to improve their existing network to remain competitive,

resulting in improved service to Wyoming consumers [consumers in the proposed ETC service area]. In addition, we find that the provision of competitive service will facilitate universal service to the benefit of consumers in Wyoming by creating incentives to ensure that quality services are available at “just, reasonable, and affordable rates.”

In the Matter of the Federal-State Joint Board on Universal Service, Western Wireless Corp. Petition for Designation as an Eligible Telecommunications Carrier in the State of Wyoming, CC Docket No. 96-45, Memorandum Opinion and Order, DA. 00-2896, ¶ 17 (rel. Dec. 26, 2000).

Consumers rely on wireless services for their telecommunications needs. NTUA Wireless’ designation as an ETC will result in consumers having greater access to wireless telecommunications services in rural areas, thereby advancing the basic goal of preserving and advancing universal service. *See* 47 U.S.C. § 254(b). In rural areas, the universal service goal is

clear:

Consumers in all regions of the Nation, including low-income consumers and those in rural, insular, and high cost areas, should have access to telecommunications and information services, including interexchange services and advanced telecommunications and information services, that are reasonably comparable to those services provided in urban areas and that are available at rates that are reasonably comparable to rates charged for similar services in urban areas.

47 U.S.C. § 254(b)(3). To accomplish this goal, a competitive universal service framework has been established with consumers benefiting from competing carriers vying for their business based upon price, service offerings, coverage, and service quality. NTUA Wireless is uniquely positioned to serve the wireless needs of consumers in the Navajo Nation. Furthermore, NTUA Wireless being majority owned by an enterprise of the Navajo Nation positions the company to

utilize the best practices of the Navajo Tribal Utility Authority in serving the needs of consumers in the Navajo Nation.

C. THE NAVAJO NATION GOVERNMENT SUPPORTS NTUA WIRELESS' AMENDED ETC PETITION.

Attached as Exhibit F is a letter dated March 1, 2011 from Navajo Nation Office of the President and Vice President, supporting NTUA Wireless' request for ETC designation on the Navajo Nation. That letter is consistent with other statements of support on behalf of the Navajo Nation.

VII. CERTIFICATION FOR USE OF UNIVERSAL SERVICE FUNDS

As detailed further above, NTUA Wireless certifies that it will comply with the service requirements applicable to the support it receives.⁷⁶ NTUA Wireless will make improvements to its network wherever necessary, throughout the applicable service area, to achieve the performance requirements established by the Commission in accordance with the support it receives.⁷⁷ NTUA Wireless will use universal service support for the provision, maintenance, and upgrading of facilities and services for which the support is intended, in accordance with 47 USC § 254(e).

⁷⁶ 47 C.F.R § 54.202(a)(1)(i).

⁷⁷ 47 C.F.R § 54.202(a)(1)(ii).

VIII. ANTI-DRUG ABUSE ACT CERTIFICATION

NTUA Wireless attaches, as Exhibit G, its certification that no party to this petition is subject to a denial of federal benefits, including FCC benefits, pursuant to Section 5301 of the Anti-Drug Abuse Act of 1988, 21 U.S.C. § 862.

IX. CONCLUSION

NTUA Wireless has demonstrated that it possesses sufficient technical, financial and managerial resources and abilities to provide universal service and Lifeline services on the Navajo Nation and that consumers will significantly benefit from its designation as an ETC. NTUA Wireless respectfully requests the Commission designate it as an Eligible Telecommunications Carrier for purposes of receiving federal universal service support for Lifeline service on the Navajo Nation. NTUA Wireless additionally seeks a conditional ETC designation to participate in Auction 902. Obtaining ETC status is essential for NTUA Wireless to plan and roll out retail operations—including Lifeline service—going forward. Moreover, obtaining ETC status is a prerequisite to receiving support under the Tribal Mobility Fund Phase I process, and NTUA Wireless seeks conditional ETC designation to therefore ensure its ability to receive Tribal Mobility Fund Phase I support if NTUA Wireless submits a winning bid in Auction 902. Accordingly, NTUA Wireless requests immediate designation of its unopposed

petition for designation as an Eligible Telecommunications Carrier, as discussed herein.

Respectfully submitted,

NTUA WIRELESS, LLC

By: _____

A handwritten signature in black ink, appearing to read "Seth T. Lucia", written over a horizontal line.

Derek Anthony Dyson
Seth T. Lucia
Duncan, Weinberg, Genzer, & Pembroke, P.C.
1615 M Street, N.W.
Suite 800
Washington, D.C. 20036
202-467-6370 (Office)
202-467-6379 (Fax)
E-Mail: DAD@dwgp.com
E-Mail: STL@dwgp.com

NTUA Wireless, LLC's Attorneys

September 30, 2013

EXHIBIT A:

Sworn Declaration of Michael Scully,
General Manager of NTUA Wireless, LLC

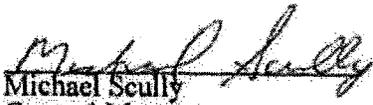
DECLARATION

State of Arizona)
County of Apache)

I, Michael Scully, being duly sworn, state that I file this Petition as the General Manager of NTUA Wireless, LLC ("NTUA Wireless"); that in such capacity, I am qualified and authorized to file and verify such Petition; that I have carefully examined all the statements and matters contained in the Petition; and that all such statements made and matters set forth therein are true and correct to the best of my knowledge, information, and belief.

I further state that NTUA Wireless offers or will be able to offer, all of the services designated for support by the Commission, and for which NTUA Wireless receives support from the Federal Universal Service Low Income Fund and the Tribal Mobility Fund Phase I, throughout the areas in which NTUA Wireless is requesting designation as an Eligible Telecommunications Carrier, that the Petition is made in good faith, with the intention of presenting evidence in support thereof in every particular.

I further certify that, in my capacity as the General Manager of NTUA Wireless that upon being designated an Eligible Telecommunications Carrier by the Commission, NTUA Wireless will use any Universal Service Fund support received only for the purposes for which the support is intended and that I am authorized to make this certification on behalf of NTUA Wireless.


Michael Scully
General Manager
NTUA Wireless, LLC

Subscribed and sworn to before me, this 26th day of September, 2013.

 BERNADETTE KEE
NOTARY PUBLIC - ARIZONA
APACHE COUNTY
My Commission Expires 09/30/14


Notary Public

EXHIBIT B:

(Public Version – Does Not Contain
Confidential Information)

EXHIBIT C:

NTUA Wireless, LLC
One-Per-Household Form

Lifeline Household Worksheet

Name	
Address	
Telephone Number	

Lifeline is a government program that provides a monthly discount on home or mobile telephone services. Only ONE Lifeline discount is allowed per household. Members of a household are not permitted to receive Lifeline service from multiple telephone companies.

Your household is everyone who lives together at your address as one economic unit (including children and people who are not related to you).

The adults you live with are part of your economic unit if they contribute to and share in the income and expenses of the household. An adult is any person 18 years of age or older, or an emancipated minor (a person under age 18 who is legally considered to be an adult). Household expenses include food, health care expenses (such as medical bills) and the cost of renting or paying a mortgage on your place of residence (a house or apartment, for example) and utilities (including water, heat and electricity). Income includes salary, public assistance benefits, social security payments, pensions, unemployment compensation, veteran's benefits, inheritances, alimony, child support payments, worker's compensation benefits, gifts, and lottery winnings.

Spouses and domestic partners are considered to be part of the same household. Children under the age of 18 living with their parents or guardians are considered to be part of the same household as their parents or guardians. If an adult has no income, or minimal income, and lives with someone who provides financial support to that adult, both people are considered part of the same household.

You have been asked to complete this Worksheet because someone else currently receives a Lifeline-supported service at your address. This other person may or may not be a part of your household. Answer the questions below to determine whether there is more than one household residing at your address.

1. Does your spouse or domestic partner (that is, someone you are married to or in a relationship with) already receive a Lifeline-discounted phone? (check no if you do not have a spouse or partner) YES NO

- If you checked YES, you may not sign up for Lifeline because someone in your household already receives Lifeline. Only ONE Lifeline discount is allowed per household.
- If you checked NO, please answer question #2.

2. Other than a spouse or partner, do other adults (people over the age of 18 or emancipated minors) live with you at your address?

- | | | | | | |
|--|------------------------------|-----------------------------|----------------------|------------------------------|-----------------------------|
| A. A parent | <input type="checkbox"/> YES | <input type="checkbox"/> NO | D. An adult roommate | <input type="checkbox"/> YES | <input type="checkbox"/> NO |
| B. An adult son or daughter | <input type="checkbox"/> YES | <input type="checkbox"/> NO | E. Other | <input type="checkbox"/> YES | <input type="checkbox"/> NO |
| C. Another adult relative (such as a sibling, aunt, cousin, grandparent, grandchild, etc.) | <input type="checkbox"/> YES | <input type="checkbox"/> NO | | | |

- If you checked NO for each statement above, you do not need to answer the remaining questions. Please initial line B, below, and sign and date the worksheet.
- If you checked YES, please answer question #3.

3. Do you share living expenses (bills, food, etc.) and share income (either your income, the other person's income or both incomes together) with at least one of the adults listed above in question #2? YES NO

- If you checked NO, then your address includes more than one household. Please initial lines A and B below, and sign and date the worksheet.
- If you checked YES, then your address includes only one household. You may not sign up for Lifeline because someone in your household already receives Lifeline.

CERTIFICATION

Please initial the certifications below and sign and date this worksheet. Submit this worksheet to _____ [insert company or agency name] along with your Lifeline application.

- A. I certify that I live at an address occupied by multiple households.
- B. I understand that violation of the one-per-household requirement is against the Federal Communication Commission's rules and may result in me losing my Lifeline benefits, and potentially, prosecution by the United States government.

Signature _____ Date _____

EXHIBIT D:

NTUA Wireless, LLC
Application and Certification Form

Wireless Lifeline Service Application and Certification

A complete and signed Lifeline Service Application and Certification ("Certification") is required to enroll you in NTUA Wireless' (the Company) Lifeline service program on the Navajo Nation. This Certification is for the purpose of verifying your eligibility for Lifeline service. Service requests will not be processed until this Form has been received and verified by Company.

One Lifeline service per household disclosures: Lifeline is a government assistance program and willfully making false statements to obtain a Lifeline benefit can result in fines, imprisonment, de-enrollment or being barred from the program. Lifeline benefits are limited to a single line of service per household. A household is defined, for purposes of the Lifeline program, as any individual or group of individuals who live together at the same address and share income and expenses. A household may not receive multiple Lifeline discounts. You may apply your Lifeline discount to either one landline or one wireless number, but you cannot have the discount on both and you cannot receive Lifeline benefits from multiple providers. Lifeline is a non-transferable benefit and you may not transfer your benefit to any other person, including another eligible low-income consumer. Violation of the one-per-household limitation constitutes a violation of the Federal Communications Commission's rules and will result in your de-enrollment from the program, and potentially prosecution by the United States Government.

By checking this box, I hereby certify that I have read and understood the disclosures listed above and that, to the best of my knowledge, my household is not already receiving a Lifeline service benefit.

Customer Application Information:

First Name Middle Initial	Last Name	Date of Birth (MM/DD/YY) / /
---------------------------	-----------	---------------------------------

Residential Address w/ street name & Apt Number (PO Box cannot be accepted)	City / State / Zip Code
Billing Address (if different from Residential Address) (P.O. Box IS sufficient)	City / State / Zip Code
<input type="checkbox"/> Residential Address is Permanent (Must Choose One) <input type="checkbox"/> Residential Address is Temporary <input type="checkbox"/> Residential Address is on Tribal Land	<input type="checkbox"/> Service Is New (Choose One) <input type="checkbox"/> Service Is Conversion

Social Security Number or Tribal Number	Home Telephone / Contact Number () -	Email Address
---	--	---------------

Would you like to receive texts or emails from our company about new service offerings or promotions?
 Yes No This information will be for company use only, & will not be shared with a third party company or organization.

ELIGIBILITY REQUIREMENTS:

Number of persons in Household _____

Do you or any member of your household currently receive Lifeline benefits from another carrier? YES NO

I hereby certify that I currently participate in at least one the following public assistance programs (Check One):

- | | |
|--|--|
| <input type="checkbox"/> Supplemental Nutrition Assistance Program (SNAP)
<input type="checkbox"/> Federal Public Housing HUD/Section 8 (FPHA) Medicaid (not Medicare)
<input type="checkbox"/> Supplemental Security Income (SSI)
<input type="checkbox"/> Temporary Assistance for Needy Families (TANF)
<input type="checkbox"/> Low Income Home Energy Assistance Program (LIHEAP)
<input type="checkbox"/> National School Lunch Program's free lunch programs
<input type="checkbox"/> Income at or below 135% of Federal Poverty Guidelines | <input type="checkbox"/> Bureau of Indian Affairs General Assistance
<input type="checkbox"/> Tribally Administered Temporary Assistance for Needy Families
<input type="checkbox"/> Head Start (must meet income qualifying standard)
<input type="checkbox"/> Food Distribution Program on Indian Reservations
<input type="checkbox"/> Other State mandated program |
|--|--|

ADDITIONAL CERTIFICATIONS: I hereby certify, under penalty of perjury, that:

- I meet the income-based or program-based eligibility criteria for receiving Lifeline service and have provided documentation of eligibility if required
- I will notify the Company within 30 days if for any reason I no longer satisfy the criteria for receiving Lifeline including, as relevant, if I no longer meet the income-based or program-based eligibility criteria, I begin receiving more than one Lifeline benefit, or another member of my household is receiving a Lifeline benefit. I understand that I may be subject to penalties if I fail to follow this requirement
- I am not listed as a dependent on another person's tax return (unless over the age of 60)
- The address listed below is my primary residence, not a second home or business
- If I move to a new address, I will provide that new address to the Company within 30 days
- If I provided a temporary residential address to the Company, I will verify my temporary residential address every 90 days
- I acknowledge that providing false or fraudulent information to receive Lifeline benefits is punishable by law
- I acknowledge that I may be required to re-certify my continued eligibility for Lifeline at any time, and my failure to re-certify as to my continued eligibility within 30 days will result in de-enrollment and the termination of my Lifeline benefits
- The information contained in this certification form is true and correct to the best of my knowledge

Multiple households sharing and address:

- I hereby certify that I reside at an address occupied by multiple households, including adults who do not contribute income to my household and/or share in my household's expenses, and I will complete a separate additional form.

Activation and usage requirement disclosures: This service is a prepaid service and you must activate your service by making an outgoing call or receiving an incoming call from someone not associated with NTUA Wireless. To keep your account active, you must use your Lifeline service at least once during any 60 day period by completing an outbound call, purchasing additional minutes from Company, answering an in-bound call from someone other than Company, or by responding to a direct contact from Company confirming that you want to continue receiving Lifeline service from Company. If your service goes unused for 60 days, you will no longer be eligible for Lifeline benefits and your service will be suspended (allowing only 911 calls and calls to the Company's customer care center) subject to a 30 day cure period during which you may use the service (as described above) or contact the Company to confirm that you want to continue receiving Lifeline service from Company.

- I hereby certify that I have read and understood the disclosures listed above regarding activation and usage requirements.

Authorizations:

- I hereby authorize the Company to access any records required to verify my statements on this form and to confirm my eligibility for the Lifeline program.
- I also authorize the Company to release any records required for the administration of the Lifeline program (e.g., name, mobile number and address), including to the Universal Service Administrative Company, to be used in a Lifeline eligibility database and to ensure the proper administration of the Lifeline program. Failure to consent will result in denial of service.

Applicant's Signature:

Date:

For Agent Use Only (check only 1 eligibility category and only 1 box under that category; do not copy or retain documentation):

Documents Acceptable Proof for Income-Eligibility:

- The prior year's state, federal, or Tribal tax return,
- Current income statement from an employer or paycheck stub,
- A Social Security statement of benefits,
- A Veterans Administration statement of benefits,
- A retirement/pension statement of benefits,
- An Unemployment/Workmen's Compensation statement of benefits, Federal or Tribal notice letter of participation in General Assistance, or
- A divorce decree, child support award, or other official document containing income information for at least three consecutive months'.

Documents Acceptable Proof for Program-Eligibility:

- The current or prior year's statement of benefits from a qualifying state, federal or Tribal program;
- A notice letter of participation in a qualifying state, federal or Tribal program;
- Program participation documents (e.g., the consumer's Supplemental Nutrition Assistance Program (SNAP) electronic benefit transfer card or Medicaid participation card (or copy thereof)); or
- Another official document evidencing the consumer's participation in a qualifying state, federal or Tribal program

Household Size	135% Income Requirement	Household Size	135% Income Requirement
1	\$ 15,080	5	\$ 38,464
2	\$ 20,428		\$ 41,810
3	\$ 25,772	7	\$ 47,158
4	\$ 31,118	8	\$ 52,502
Each additional person Add \$5,346			

Applicant Account Number	Rep/Agent Signature

EXHIBIT E:

List of Wire Centers Within
Navajo Nation Exterior Boundaries

**NTUA Wireless, LLC
Navajo Nation ETC Service Area**

Telephone Company	Full Study Area/Complete Wire Center/Partial Wire Center	Wire Center
Arizona Telephone Company	Partial Wire Center	MRCNAZXC
Beehive Telephone Company	Partial Wire Center	DNRPUTXC
CenturyTel of Southwest, Inc	Partial Wire Center	PNHLNMXC
Citizens Telecom Co. of Wht Mtns, Inc.	Partial Wire Center	STJHAZXB
Navajo Communications Company	Full Study Area	BLMSAZXF
Navajo Communications Company	Full Study Area	CHNLAZXC
Navajo Communications Company	Full Study Area	DLKNAZXC
Navajo Communications Company	Full Study Area	DNHSAZXC
Navajo Communications Company	Full Study Area	FTDFAZXC
Navajo Communications Company	Full Study Area	GANDAZXC
Navajo Communications Company	Full Study Area	GSWDAZXC
Navajo Communications Company	Full Study Area	KABTAZXC
Navajo Communications Company	Full Study Area	KIVGAZXC
Navajo Communications Company	Full Study Area	KYNTAZXC
Navajo Communications Company	Full Study Area	LCHEAZXC
Navajo Communications Company	Full Study Area	LEPPAZXC
Navajo Communications Company	Full Study Area	LKCHAZXC
Navajo Communications Company	Full Study Area	MNFRAZXC
Navajo Communications Company	Full Study Area	PINNAZXC
Navajo Communications Company	Full Study Area	RDVYAZXC
Navajo Communications Company	Full Study Area	RHRKAZXC
Navajo Communications Company	Full Study Area	RKPNAZXC
Navajo Communications Company	Full Study Area	SHNTAZXC
Navajo Communications Company	Full Study Area	STMCAZXE
Navajo Communications Company	Full Study Area	TBCYAZXC
Navajo Communications Company	Full Study Area	TNPSAZXR
Navajo Communications Company	Full Study Area	TOYIAZXC
Navajo Communications Company	Full Study Area	TSILAZXC
Navajo Communications Company	Full Study Area	WDRNAZXC
Navajo Communications Company	Full Study Area	CRPNMXXC
Navajo Communications Company	Full Study Area	NAVJNMXXC
Navajo Communications Company	Full Study Area	NSCHNMXXC
Navajo Communications Company	Full Study Area	NWCMNMXXC
Navajo Communications Company	Full Study Area	PBPONMXXC
Navajo Communications Company	Full Study Area	SANSNMXXC
Navajo Communications Company	Full Study Area	SHRKNMXXC
Navajo Communications Company	Full Study Area	TBNTNMXXC
Navajo Communications Company	Full Study Area	TDLNNMXXC
Navajo Communications Company	Full Study Area	THTCNMXXC
Navajo Communications Company	Full Study Area	TRNSNMXXC
Navajo Communications Company	Full Study Area	TWLKNMXXC
Navajo Communications Company	Full Study Area	HLCHUTXC
Navajo Communications Company	Full Study Area	MNCKUTXC
Navajo Communications Company	Full Study Area	MNVYUTXC
QWEST CORPORATION	Partial Wire Center	FLGSAZMA

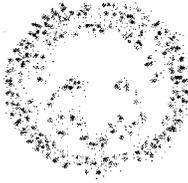
**NTUA Wireless, LLC
Navajo Nation ETC Service Area**

QWEST CORPORATION	Complete Wire Center	GLLPNMFW
QWEST CORPORATION	Partial Wire Center	PAGEAZMA
SACRED WIND	Full Study Area	FRTNNMMA
SACRED WIND	Full Study Area	FRTNNMWE
SACRED WIND	Full Study Area	GLLPNMEA
SACRED WIND	Full Study Area	GLLPNMMA
Table Top Telephone Company	Partial Wire Center	SNDRAZXC
Western New Mexico Telephone	Partial Wire Center	MGDNNMXC

EXHIBIT F:

Letter of Support of NTUA Wireless, LLC from
Navajo Nation Office of the President and Vice-President

THE NAVAJO NATION



BEN SHELLY
REX LEE JIM

March 1, 2011

Chairman Julius Genachowski
Federal Communications Commission
445 12th Street, SW
Washington, DC 20554

**Re: Navajo Nation Support for Petition for Eligible
Telecommunications Carrier ("ETC") Designation**

Dear Chairman Genachowski,

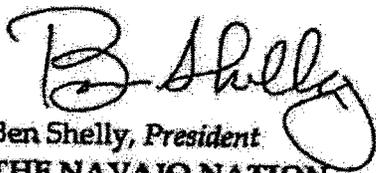
On behalf of the Navajo Nation, I respectfully submit this letter to express my support of the Petition for Designation as an Eligible Telecommunications Carrier ("ETC") for the Navajo reservation ("Petition") to be filed by the Navajo Tribal Utility Authority ("NTUA") and Commnet Wireless, LLC ("Commnet"). NTUA and Commnet have formed a joint venture ("Joint Venture") that leverages NTUA's utility infrastructure and business model within the Navajo Nation with the wireless telecommunications expertise of Commnet to the benefit of the Nation and the surrounding communities. The Navajo Nation recognizes that an ETC designation is critically important for the Joint Venture to: (i) obtain the funding for the capital expenditures to build-out service throughout the reservation; (ii) obtain the benefits necessary to offset the high cost related to operating in the rural area that comprises the Navajo Nation; and (iii) provide Lifeline and emergency services for Navajo residents.

Wireless telecommunications service is a vital means of communication on the reservation and increasingly relied upon by tribal members, residents, and

visitors. The Joint Venture, which is owned 51% by NTUA, is building a state-of-the-art advanced wireless telecommunications infrastructure that will serve as a platform for business, social, educational, and economic development, providing basic telephone and advanced broadband services, jobs for tribal members, and a communications network for the health, safety, and well-being of the Navajo citizens.

I know that the Navajo Nation Telecommunications Regulatory Commission (NNTRC), which pursuant to Navajo Nation statute has jurisdiction over telecommunications services and service providers on the Nation will be reviewing this petition and commenting during this proceeding. I leave it to their expertise to make the ultimate determination of whether the particular service offerings as proposed in the petition are in the best interest of the Navajo people. As presented to me, it appears that granting ETC status to the Joint Venture is necessary to ensure that the Nation receives the benefits of the telecommunication infrastructure described herein. Therefore, I support the NTUA and Commnet Petition for Designation as an Eligible Telecommunications Carrier for the Navajo Nation.

Very Respectfully,



Ben Shelly, President
THE NAVAJO NATION

cc: Commissioner Meredith Baker
Commissioner Michael Copps
Commissioner Mignon Clyburn
Commissioner Robert McDowell

EXHIBIT G:

Anti-Drug Abuse Act Certification

EXHIBIT G

SECTION 5301 ANTI-DRUG ABUSE CERTIFICATION

NTUA Wireless, LLC hereby certifies that neither the applicant nor any party to the application is subject to a denial of Federal Benefits, that include FCC benefits, pursuant to Section 5301 of the Anti-Drug Abuse Act of 1988, 21 U.S.C. § 862 because of conviction for possession or distribution of a controlled substance. *See* 47 C.F.R. § 1.2002(b) for the definition of "party" for these purposes.


Michael Scully
General Manager, NTUA Wireless, LLC

September 26, 2013