



## The **Compliance** Group Compliance & Reporting (“C&R”) Service

The **Compliance** Group provides nationwide regulatory reporting support to meet all federal and state regulatory reporting obligations. The Federal Communications Commission (“FCC”), state utility commissions and other state agencies require regulated telecommunications companies to file a vast number and variety of reports. Many of these reports are required annually, semi-annually and even monthly. Failure to pay attention to these reporting requirements can lead to fines, forced customer refunds and even revocation of your operating authority. Whether you need someone to prepare and file all your reports or simply need information to stay abreast of reporting requirements, The **Compliance** Group will help your company remain in compliance with these complex and often burdensome requirements.

With The Compliance Group’s C&R Service, you can be assured you will always receive:

- ✓ **Prompt and personalized attention!** This is one of our firm’s strengths. Our team is dedicated to spending as much time as necessary to guide each client through the intricacies of telecommunications rules and requirements.



- ✓ **Professional and timely handling of all of your regulatory reporting and filing requirements!** With The Compliance Group’s C&R Service, you can be assured that you will never miss a deadline or regulatory reporting requirement.



- ✓ **Expert interpretation and application of rules, regulations and statutory requirements!** We are confident that no other firm or service can match the depth of our firm’s knowledge and expertise with respect to the regulatory requirements applicable to telecommunications providers.

By subscribing to our C&R Service, we will also help you stay abreast of important regulatory developments. We constantly monitor and track important developments in the telecommunications industry and communicate those developments to our clients through “**Client Advisories.**” As a subscriber to our C&R Service, you will receive all Client Advisories applicable to your business model at no additional charge.

HELEIN & MARASHLIAN, LLC  
THE **COMPLIANCE** GROUP

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## The **Compliance** Group

**We work to minimize your compliance burdens and costs!**

**The following services are offered by The **Compliance** Group through our C&R Service:**

**FCC Reporting** – All regulatory compliance filings and reports mandated by the FCC for interstate telecommunications services, interconnected VoIP, and prepaid calling card providers, including FCC Forms 499-A and 499-Q, CPNI Certification, international traffic reports, PIU reports and certification, and more.

**State PUC Reporting** – All scheduled monthly, quarterly, and annual reports mandated by state Public Utility Commissions for regulated local exchange, long distance, prepaid, and other in-state service providers, including annual reports, revenue reports, access line reports, slamming complaint reports, regulatory fee filings, state TRS and USF fund reports.

**Secretary of State Reporting** – All annual reports mandated by the Secretaries of States for purposes of maintaining corporate qualification to conduct business in each affected state.

**Section 214 Applications** – Legal and regulatory services to prepare, file and prosecute an International Section 214 application at the FCC.

**Licensing & Certification Services** – Legal and regulatory services to begin providing all types of regulated and unregulated communications services in all 50 states.

**Tariff Preparation & Maintenance Service** – Preparation of state rate schedules (“tariffs”) to enable your company to begin offering or maintain local exchange service.

**Complaint Response Service** – Research and prepare responses to consumer complaints filed with regulatory agencies, such as the FCC, state PUCs, Attorneys General, and Better Business Bureaus.

**Through trusted relationships with specialized professional services firms, The Compliance Group is able to offer the following additional compliance services:**

**Sales, Use & Transaction Tax Compliance Services** – All state tax compliance reports expertly prepared by highly-experienced tax professionals.

**FCC Traffic Studies** – Assist clients with traffic studies that can reduce USF and other FCC program liabilities substantially.



### Who Must Comply With USF Reporting Requirements?

- ✓ **Interexchange Carriers**
- ✓ **Interconnected VoIP Providers**
- ✓ **Prepaid Calling Card Providers**
- ✓ **Wireless Carriers**
- ✓ **Payphone Providers**
- ✓ **Resale Services**
- ✓ **Data and Non-Voice Services**
- ✓ **Teleconferencing Services**

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The **Compliance** Group  
Rates & Fees

The **Compliance** Group offers the most cost-effective and professional regulatory compliance solution to telecommunications, VoIP, prepaid, and mobile service providers. We are confident that we offer the most competitive rates available. In fact, our rates are generally between **15-25% lower** than other regulatory compliance consulting firms.

**Our lowest-cost guarantee:**

**We promise to match, or beat, any offer for comparable regulatory compliance and reporting services!**

**Section 214 Authorization**

<b>No Foreign Ownership Issues</b>	<b>\$ 500.00</b>
<b>Foreign Ownership Issues</b>	<b>\$ 1300.00</b>

**Compliance & Reporting Services**

<b>Direct Contributors – Includes all FCC USF reporting, including annual FCC Form 499-A, and quarterly FCC Form 499-Q.</b>	<b>\$ 3,000.00</b>
<b>De Minimis Providers – Includes FCC Form 499-A, and quarterly “de minimis” status checks</b>	<b>\$ 1,500.00</b>

<b>FCC 499 Registration (exclusive of registered agent service, which is billed separately by agent)</b>	<b>\$ 350.00</b>
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## The **Compliance Group** Interconnected VoIP Fact Sheet

### **E911 Requirements**

- ❖ Transmit all 911 calls and customer ANI to the caller's PSAP.
- ❖ 911 call routing must be accomplished through ANI.
- ❖ PSAP must know the caller's Registered Location.
- ❖ Registered Location information must be collected from customers prior to service initiation.
- ❖ Customers must be notified of 911 limitations.
- ❖ Customer warning labels must be distributed.

### **CALEA**

- ❖ Must facilitate Law Enforcement Agency wiretaps, traces, and other lawful surveillance.

### **Universal Service Fund (USF)**

- ❖ Must contribute to the USF and may be required to contribute to state universal service funds.
- ❖ Providers who do not rely on FCC Safe Harbor to report interstate revenue must submit Traffic Studies for USF purposes.

### **Customer Proprietary Network Information (CPNI)**

- ❖ Subject to section 222 privacy laws and FCC CPNI regulations.
- ❖ Required to obtain customer consent to use CPNI in certain instances.
- ❖ Prohibited from releasing call detail records and other private customer information without a customer-provided password.
- ❖ Must provide notice to customers of account changes.
- ❖ Must provide notice of unauthorized disclosure of CPNI to subscribers and government agencies.
- ❖ Must file annual CPNI officer certification with FCC by March 1.

### **Disabled Access (TRS)**

- ❖ Subject to disability access laws and regulations.
- ❖ Must pay an annual contribution to TRS Fund.
- ❖ Must make 711-dialed access available to users of relay services.
- ❖ Must designate an agent for receipt and processing of customer complaints regarding disability access.

### **Local Number Portability (LNP)**

- ❖ LNP requirement is satisfied by submitting FCC Form 499-Q by April 1 each year.
- ❖ Contribution is based on interstate, international, and intrastate end-user revenues.

### **North American Numbering Plan (NANP)**

- ❖ NANP filing requirement is satisfied by filing FCC Form 499-A every year.
- ❖ Contribution is based on interstate, international, and intrastate end-user revenue.

### **499-A Registration**

In lieu of domestic 214 licensing, the FCC directs all interstate common carriers and Interconnected VoIP providers to register with the FCC before providing interstate service to the public. In addition, providers that offer service to other entities that will resell those services have an affirmative duty to ensure those resellers are also registered.

### **Section 214 Authorization**

The Communications Act and the FCC's regulations direct entities to obtain prior FCC approval to provide international common carrier service between the U.S. and foreign point. Although the FCC has not officially extended section 214's requirements to interconnected VoIP providers, most VoIP providers are nonetheless obligated by practical circumstances and carrier-to-carrier contractual duties to obtain an International Section 214.

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