

## **Instructions for Application for Direct Marketing Authority for Holders of Indiana State-Issued Video Franchises**

Pursuant to I.C. 8-1-34-30, a holder of an Indiana state-issued video franchise may apply to the Commission, in the manner and form prescribed by the Commission, for direct marketing authority. An Application must include, for each designated employee of the holder (as defined in I.C. 8-1-34-30(a)), the (1) Name, (2) Home Address, (3) Driver's license number, and (4) a certification that each designated employee satisfies the requirements listed in I.C. 8-1-34-30(e). The home address and driver's license number with the exception of the last four (4) digits will be treated confidentially to protect the privacy of the individual employees.

An Application—consisting of a completed cover page, complete responses to the questions on the application form, a completed, initialed, and signed certification for each designated employee, and a signed Proof of Financial Responsibility—must be filed with the Commission to obtain direct marketing authority.

Applicant shall file an original and five (5) paper copies of its notarized Application as well as an electronic version on a CD. Applicant shall provide as a part of the public Application a redacted version of the Certification section (page 2) with the home address and driver's license number (except for the last four digits) of each designated employee redacted. An unredacted version of the Certification section (page 2) on green paper marked as confidential and filed under seal shall be included with the filing of the Application. Applicant shall also include a roster of the eligible employees for which certification is sought in the Application along with the last four digits of their driver's license number. This roster should be in a Word document for the Commission's use in posting the information to the IURC website. The Commission will assign a Cause Number to the Application, which will include the designation of "DM" ("direct marketing"). This Cause Number will become the Certificate Number upon approval of the Application.

Not more than fifteen (15) days after receipt of the Application, the Commission will determine whether the Application is complete and properly verified. If the Commission determines the Application is not completed or properly verified the Commission will notify the applicant in order to allow the holder to correct the deficiency.

If the Commission determines that the Application is complete and properly verified, it will issue an Order approving the Application. The order will be posted to the Communications Services Division page of the Commission website. Additionally, a document will be posted for each holder that is granted authority listing the names of the designated employees and the last 4 digits of their driver's license number.

As a condition of receiving Direct Marketing Authority, the holder is also required to notify the Commission of changes involving the designated employees who were approved in the original grant of authority. If, at a subsequent date, the applicant wishes to add additional designated employees, Applicant must submit to the Commission as a supplemental filing under the original Certificate Number both a redacted and an unredacted (filed on green paper and under seal) Certification (page 2 of the Application Form) for each additional employee at least one (1) week prior to such employee performing any direct marketing activities. Upon review and determination by the Communications Services Division Director that the certifications for those additional employees is complete and properly verified, the employees' information will be added to the roster that is posted on the IURC website. In the event that a

designated employee leaves the employment of the holder or no longer meets the certification requirements, the holder shall notify the Commission, using the electronic Filing System (EFS) or by filing a hard copy of the notice with the Commission within 5 business days that said employee shall be removed from the list of approved designated employees. Upon receipt of such notice those employees' names will be struck through and the date upon which they are no longer designated to perform direct marketing for the holder will be entered in the roster on the IURC Website. Applications to add or remove designated employees should reference the original Certificate Number.

The Application should be submitted to:

Indiana Utility Regulatory Commission  
PNC Center  
101 West Washington Street, Suite 1500 East  
Indianapolis, Indiana 46204

Notice of the receipt of an Application will be posted to the Commission website at [www.in.gov/iurc](http://www.in.gov/iurc).

Questions should be directed to the Communications Services Division at (317) 232-5559.