

**THE
PUBLIC UTILITIES COMMISSION
OF THE
STATE OF COLORADO**

COMMISSION RULES CONCERNING THE COLORADO NO-CALL LIST

4 CODE OF COLORADO REGULATIONS (CCR) 723-__

BASIS, PURPOSE AND STATUTORY AUTHORITY

The basis and purpose of these rules is to implement the Colorado No-Call List Act, §§ 6-1-901 et. seq., C.R.S. The Act intends that the Commission, primarily through oversight of the Designated Agent, develop a mechanism by which the privacy of residential telephone subscribers and the commercial interests of telephone solicitors are reasonably and fairly balanced.

The No-Call List Act establishes procedures under which individual residential telephone subscribers can decide whether or not to receive telephone solicitations by phone or fax. It allows residential subscribers to give notice to telephone solicitors of their objection to receiving solicitations by placing their telephone numbers and zip codes on the Colorado No-Call List. Business subscribers may not place their numbers and zip codes on the Colorado No-Call List. A residential subscriber of telephone service may give notice of his or her objection to receiving telephone solicitations by one of two methods: (1) by entering the area code, phone number and zip code of the subscriber directly into the database via an Internet application housed on the designated website, or (2) by entering the area code, phone number and zip code of the subscriber directly into the

database via the designated statewide toll-free telephone number. There is to be no charge to the residential subscriber for placing his or her telephone number on the No-Call List. The Act requires telephone solicitors to remove from their calling lists the numbers of any residential subscriber who has given notice of an objection to receiving telephone solicitations.

The statute directs the Commission to administer the Colorado No-Call List program, in part, by promulgating rules to such end. The Commission is empowered to contract for No-Call List services with a Designated Agent; establish, by rule, guidelines for the Designated Agent; and set the annual registration fees charged to telephone solicitors by the Designated Agent.

The No-Call List Act and these rules establish annual registration fees to be paid by persons or entities that wish to make telephone solicitations or otherwise access the database of telephone numbers and zip codes contained in the Colorado No-Call List database.

The statutory authority for these rules is found in §§ 6-1-905(3) and 40-2-108, C.R.S.

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RULE (4 CCR) 723-__-1. APPLICABILITY.

These Rules apply to the Designated Agent and local exchange providers regulated by the Commission.

RULE (4 CCR) 723-__-2. DEFINITIONS.

723-__-2.1 "Colorado No-Call List" means the database of Colorado residential subscribers that have given notice, in accordance with rules promulgated by the Public Utilities Commission, of such subscribers' objection to receiving telephone solicitations.

723-__-2.2 "Conforming List Broker" means any person or entity that provides lists for the purpose of telephone solicitation, if such lists shall have removed, at a minimum of every thirty days, any phone numbers that are included on the Colorado No-Call List.

723-__-2.3 "Designated Agent" means the party with which the Public Utilities Commission contracts to administer the Colorado No-Call List program.

723-__-2.4 "Electronic Mail" means an electronic message that is transmitted between two or more computers or electronic terminals. Electronic Mail includes electronic messages that are transmitted within or between computer networks.

723-__-2.5 "Established Business Relationship" means a relationship that:

723-__-2.5.1 Was formed, prior to the telephone solicitation, through a voluntary, two-way communication

between a seller or telephone solicitor and a residential subscriber, with or without consideration, on the basis of an application, purchase, ongoing contractual agreement, or commercial transaction between the parties regarding products or services offered by such seller or telephone solicitor; and

723-__-2.5.2 Has not been previously terminated by either party; and

723-__-2.5.3 Currently exists or has existed within the immediately preceding eighteen months.

723-__-2.5.4 Established Business Relationship with respect to a financial institution or affiliate, as those terms are defined in section 527 of the federal "Gramm-Leach-Bliley Act of 1999", includes any situation in which a financial institution or affiliate makes solicitation calls related to other financial services offered, if the financial institution or affiliate is subject to requirements regarding privacy of Title V of the Federal "Gramm-Leach-Bliley Act of 1999", and the financial institution or affiliate regularly conducts business in Colorado.

723-__-2.6 "Internet" means the international computer Network consisting of Federal and nonfederal, interoperable packet-controlled switched data networks.

723-__-2.7 "Residential Subscriber" means a person who has subscribed to residential telephone service with a local exchange provider, as defined in section 40-15-102(18) C.R.S. or with a wireless provider. "Person" also includes any other persons living or residing with such person.

723-__-2.8 "Residential Telephone Service" includes both wireline and wireless transmission of voice or telefacsimile communication to residential telephone customers.

723-__-2.9 "Telephone Solicitation" means the use of either wireline or wireless technology to transmit any voice or telefacsimile communications for the purpose of encouraging the purchase or rental of, or investment in, property, goods, or services, whether such communication originates from a live operator, through the use of automated dialing and recorded message equipment, or by other means.

723-__-2.9.1 "Telephone Solicitation" does not include communications:

723-__-2.9.1.1 To any residential subscriber with that subscriber's prior express invitation or permission;

723-__-2.9.1.2 By or on behalf of any person or entity with whom a residential subscriber has an established business relationship;

723-__-2.9.1.3 For thirty days after a residential subscriber has contacted a business to inquire about the potential purchase of goods or services or until the subscriber requests that no further calls be made, whichever occurs first;

723-__-2.9.1.4 By or on behalf of a charitable organization that is required to and that has complied with the notice and reporting requirements of Section 6-16-104 C.R.S. or is excluded from such notice and reporting requirements by section 6-16-103(7) C.R.S.;

723-__-2.9.1.5 Made for the sole purpose of urging support for or opposition to a political candidate or ballot issue; or

723-__-2.9.1.6 Made for the sole purpose of conducting political polls or soliciting the expression of opinions, ideas, or votes.

723-__-2.10 "Telephone solicitor" means any person or entity that makes or causes to be made a telephone solicitation.

RULE (4 CCR) 723-__-3. ADMINISTRATIVE PROCEDURES.

723-__-3.1 **Telephone Solicitor Registration Fee:**
Persons or entities that wish to make telephone solicitations or otherwise access the database of telephone numbers and zip codes contained in the Colorado No-Call List database shall pay to the Designated Agent the annual registration fee set by the Commission. . Persons or entities with fewer than five employees shall pay no fees. Conforming list brokers or nonprofit corporations, as defined in Section 7-121-401 (26), C.R.S. shall pay no fee. The maximum fee set by the Commission shall be charged only to persons or entities with more than 1,000 employees.

723-__-3.2 **Determination of Annual Registration Fee:**
The Commission will set the annual registration fee on a sliding scale. The sliding scale ranges from zero for persons or entities with fewer than five employees to the maximum fee of no more than \$500 for persons or entities with more than 1,000 employees. The sliding scale between five and 1,000 employees is directly related to the number of employees a particular entity has within that range. Moneys from such fees shall be used by the Designated Agent to cover the direct and indirect costs related to the creation and operation of the Colorado No-Call List. Moneys from such fees shall be collected and paid directly to the Designated Agent. The Commission may adjust the fees annually based on the revenue history of the fees received by the Designated Agent. The

annually adjusted fees will become effective on January 1 of each year.

723-__-3.3 **Audit and Inspection of Records:** The Designated Agent shall permit the Commission to audit, inspect, examine, excerpt, copy or transcribe any of its records relating to the No-Call List program. The Designated Agent shall make all requested information available to Commission Staff for audit on request including, but not limited to: salaries and benefits associated with both operators and managerial employees, local exchange access charges, operating expenses, building rent and utilities costs, equipment depreciation, corporate overhead allocations, advertising and marketing expenses, expenses for consultants and temporary employees, and expenses for account management.

RULE (4 CCR) 723-__-4. DESIGNATED AGENT'S RESPONSIBILITIES.

723-__-4.1 **Implementation:** No later than June 1, 2002, the Designated Agent shall implement that portion of the No-Call List program enabling residential telephone subscribers, at no cost to such subscribers, to register their objection to receiving telephone solicitations. No later than July 1, 2002, the Designated Agent shall fully implement the No-Call List program, including providing the means for telephone solicitors to register and obtain the No-Call List data, and providing full access to the automated complaint system. The Designated Agent shall update the database on an ongoing basis with information provided by residential subscribers and local exchange providers as required in these rules.

723-__-4.2 **Annual Registration:** The Designated Agent shall provide means for on-line registration and credit card

payment of annual registration fees charged to any telephone solicitor that wishes to make telephone solicitations or otherwise access the database.

723-__-4.3 **No-Call Database:** The Designated Agent shall provide the No-Call List database to any telephone solicitor who has properly registered with the No-Call List program.

723-__-4.3.1 The Designated Agent shall make the data in the No-Call List database available online at the No-Call List designated website.

723-__-4.3.2 The Designated Agent must allow telephone solicitors to select and sort the data for downloading by zip code and telephone area code.

723-__-4.3.3 The no-call list shall be made available to registered telephone solicitors as a downloadable extract file from the Colorado No-Call List website. This extract file must meet, at a minimum, the following requirements:

723-__-4.3.3.1 The file created shall be a standard ASCII text file. The file must be operating system and applications program independent.

723-__-4.3.3.2 The file should be generated using, at a minimum, a standard comma-delimited file format. At the discretion of the Designated Agent, other format options (tab-delimited, fixed-width, html, etc.) may also be provided to the registered telephone solicitor downloading the file.

723-__-4.3.3.3 Registered telephone solicitors shall have the option to download the No-Call List file using zip code or telephone area code as the sort and selection criteria:

723-__-4.3.3.4 For each extract file created, a separate informational, or "Readme", file should also be generated. This file should include at least the following information: general information about the No-Call List extract file created; the date the extract file was created; the user defined selection and sort criteria used to create the extract file; the number of records included in the extract file; the file layout used; information about all fields included within the file and how they are delimited

723-__-4.4 Use of Existing Data:

723-__-4.4.1 Some Colorado residents have already placed their telephone numbers and zip codes on an unofficial No-Call database maintained by the Bighorn Center for Public Policy. The Designated Agent shall accept this information for use in instituting the Colorado No-Call List, if the Bighorn Center makes its database available electronically to the Designated Agent on or before June 1, 2002. No later than June 2, 2002 the Designated Agent shall begin the process of verifying that the residential subscribers who placed their telephone numbers and zip codes on the Bighorn Center's No-Call database wish to have their telephone numbers and zip codes transferred to the Colorado No-Call List. All telephone numbers and zip codes that have been so verified by June 30, 2002 will be added to the Colorado No-Call List July 1, 2002. The Designated Agent shall complete this verification of all numbers on the Bighorn Center's No-Call database by September 30, 2002. All the telephone numbers and zip codes that have been verified by September 30, 2002 will be included on the Colorado No-Call List October 1, 2002.

723-__-4.4.2 Upon expiration of the Designated Agent's contract to operate and maintain the Colorado No-Call

List, the Designated Agent shall cooperate fully in the transfer of operations to any new Designated Agent selected by the Commission so that the No-Call List program continues without interruption. Such cooperation shall include providing the new Designated Agent with the current No-Call List in an electronic format such that it can be used immediately by the new Designated Agent.

723-__-4.5 **Record Maintenance:** The Designated Agent shall maintain electronically the current business name, business address, email address (if available), and telephone number of each person or entity registering to make telephone solicitations or otherwise accessing the No-Call List. This information must be updated when changes occur.

723-__-4.6 **Toll-Free Telephone Number:** The Designated Agent must pay for and maintain a toll-free statewide telephone number for use to register objections to receiving telephone solicitations.

723-__-4.7 **Notice of Objection:** The Designated Agent shall provide the means by which each residential subscriber of telephone service may give notice of objection to receiving telephone solicitations. The Designated Agent is required to provide two methods by which residential subscribers can provide notice of objection to receiving telephone solicitations:

723-__-4.7.1 By entering the area code, phone number and zip code of the subscriber directly into the database via an Internet application housed on the designated website.

723-__-4.7.2 By entering the area code, phone number and zip code of the subscriber directly into the

database via the designated statewide toll-free telephone number.

723-__-4.8 **Revocation of Notice:** The Designated Agent shall provide means by which each residential subscriber of telephone service may revoke his or her Notice of Objection to receiving telephone solicitations. The Designated Agent is required to provide two means by which residential subscribers can revoke his or her Notice of Objection.

723-__-4.8.1 By entering the area code, phone number and zip code of the subscriber directly into the database via an Internet application housed on the designated website.

723-__-4.8.2 By entering the area code, phone number and zip code of the subscriber directly into the database via the designated statewide toll-free telephone number.

723-__-4.9 **Transaction Dates:** The Designated Agent must record and maintain the date of each transaction identified in Rules 4.7 and 4.8 above.

723-__-4.10 **No-Call List Updates:** No later than the 10th day of every calendar quarter (i.e. January 10, April 10, July 10, and October 10) the Designated Agent shall electronically update the Colorado No-Call List to include any additions, deletions, changes and modifications made to the Colorado No-Call List by residential subscribers. No later than the 10th day of every calendar quarter the Designated Agent shall remove any telephone number from the No-Call List that has been disconnected or reassigned within the previous calendar quarter. The first update shall occur no later than October 10, 2002. The Designated Agent shall provide

immediate access to the updated list to all registered telephone solicitors.

723-__-4.11 **Information Requirements:**

723-__-4.11.1 The Designated Agent will submit quarterly to the Commission the following information in order for the Commission to accurately adjust the registration fees and to file its reports to the Joint Budget Committee. The information shall be submitted no later than thirty days after the quarter end. The Commission will determine the exact format of this report. The first report will be due no later than April 30, 2002.

723-__-4.11.1.1 Revenues from registration fees for the previous quarter

723-__-4.11.1.2 Capital Investment for the No-Call List for the previous quarter

723-__-4.11.1.3 Operating expense related to the administration of the No-Call List for the previous quarter.

723-__-4.11.1.4 Such other information as the Commission shall request for purposes of determining the annual registration fees.

723-__-4.11.2 The Designated Agent will submit semi-annually to the Commission the following information in order for the Commission to file semi-annual reports to the Joint Budget Committee. The Designated Agent will submit this information no later than October 31 to cover the period April 1 through September 30 and no later than April 30 to cover the period October 1 through March 31. The Commission will determine the exact format of this report. The first report will be due no later than April 30, 2002.

723-__-4.11.2.1 Projected revenues for the next twelve months

723-__-4.11.2.2 Projected operating expenses for the next twelve months

723-__-4.11.2.3 Projected capital investment for the next twelve months

723-__-4.11.2.4 Such other information as the Commission shall request for purposes of submitting its semi-annual reports to the Joint Budget Committee.

723-__-4.12 **Information Distribution:** Neither the Designated Agent nor any person or entity collecting information to be transmitted to the Designated Agent shall make use of, or distribute, subscriber information contained in the No-Call List except as expressly authorized in these rules or by the No-Call List Act.

723-__-4.13 **Complaint System:** The Designated Agent shall maintain an automated, on-line complaint system for residential subscribers to report suspected violations of § 6-1-904 C.R.S. The automated complaint system shall be a web-based system and must have the capability to electronically collect, sort, and report suspected violations to the Colorado Attorney General.

723-__-4.14 **Federal No-Call List Program:** If at any point during the term of the Commission's contract with the Designated Agent a Federal single national database of telephone numbers of residential subscribers who object to receiving telephone solicitations is established, the Designated Agent shall include that portion of such a single national database that relates to Colorado in the Colorado No-Call List.

723-__-4.15 **Help Line:** The Designated Agent shall provide mechanisms on both its website and its statewide toll free telephone number for assisting residential subscribers in placing their telephone number and zip code on the Colorado No Call List.

723-__-4.16 **Verification:** The Designated Agent shall verify through electronic means or by phone that each notice of objection to receiving telephone solicitations or each revocation of a notice of objection is bona-fide.

RULE (4 CCR) 723-__-5. LOCAL EXCHANGE CARRIERS' RESPONSIBILITIES.

723-__-5.1 **Notification of Designated Agent:** Not later than the 5th day of every calendar quarter (i.e. January 5, April 5, July 5, and October 5) local exchange carriers shall provide electronically to the Designated Agent a list containing any changed, transferred, and disconnected telephone numbers of residential subscribers from the previous calendar quarter. The first list shall be provided no later than October 5, 2002. These data must be in the format defined by Rule 4.3.3 such that the Designated Agent can use this information to amend the No-Call List.

723-__-5.2 **Notification of Residential Telephone Subscribers:** Local exchange carriers shall notify their residential subscribers, by a market message in the bills which they receive in May 2002 and annually thereafter, of their rights to add their telephone numbers and zip codes to the Colorado No-Call List.