

**BEFORE THE PUBLIC UTILITIES COMMISSION  
OF THE STATE OF CALIFORNIA**

**SAMPLE COVER PAGE TO SECTION 1013 REGISTRATION FORM**

Registration of [Applicant Name] for a certificate of public convenience and necessity to provide [switchless reseller/non-facilities based competitive local exchange service; and interexchange services, and/or Fixed Interconnected VoIP services]

Application

**1013 REGISTRATION OF [APPLICANT NAME] FOR  
A CERTIFICATE OF PUBLIC CONVENIENCE AND NECESSITY**

**( [PUBLIC/CONFIDENTIAL] )**

Dated: Month Day Year

Filer Name  
Title  
Mailing Address  
Telephone No.  
Fax No.  
Email Address

**BEFORE THE PUBLIC UTILITIES COMMISSION  
OF THE STATE OF CALIFORNIA**

**SAMPLE Registration Form Pursuant to Public Utilities Code Section 1013**

<b>1. APPLICANT INFORMATION</b>			
Applicant Name:			
Business Address:			
Telephone No.:			
E-mail Address:			
<b>1.a.</b> Principal Place of Business: (if different from address above)			
<b>1.b.</b> List all fictitious business names under which Applicant has done business in the last five years:			
<b>1.c.</b> Applicant is (check one only)			
	Incorporation		General Partnership
	Limited Partnership		Sole Proprietor
	Limited Liability Company		Trust
	Other, specify:		
Attach <b>Appendix A</b> with the following: 1) a copy of the entity's organizing documents; (2) evidence of the Applicant's qualification to transact business in California; and (3) a copy of its Certificate of Good Standing Status certified by the Secretary of State of California.			
<b>1.d.</b> Applicant has a foreign ownership interest	<input type="checkbox"/>	NO	<input type="checkbox"/>
	Foreign entity interest:		YES, list foreign entity interest below.
<b>2. APPLICANT REGISTERED AGENT FOR SERVICE OF PROCESS</b>		Agent Name:	
		Address:	
		Telephone No.:	
<b>3. APPLICANT LEGAL DOMICILE</b> (check one only)			
	California		Other, specify:

<b>4. APPLICANT WILL OPERATE AS</b> (check all that apply)					
	Competitive Local Exchange Service Provider		Interexchange (Intra/Inter-LATA) Service Provider		Fixed Interconnected Voice over Internet Protocol (VoIP) Service Provider
<b>4.a. Proposed Facilities</b>		<b>4.b. Proposed Facilities</b>		<b>4.c. Proposed Facilities</b>	
	Switchless-Reseller/ Non-facilities-based		Switchless-Reseller/ Non-facilities-based		Non-facilities-based
<b>4.d. Service Territories</b>		<b>4.e. Service Territories</b>		<b>4.f. Service Territories</b>	
	Within <u>ALL</u> the Service Territories of Uniform Regulatory Framework Incumbent Local Exchange Carriers		Throughout the State of California.		Within the Service Territories of Uniform Regulatory Framework Incumbent Local Exchange Carriers
	Within <u>ALL</u> the Service Territories of the Small Incumbent Local Exchange Carriers		In specific portions of the State only <b>(Appendix B)</b>		Within the Service Territories of Small Incumbent Local Exchange Carriers
	In specific portions of the State only <b>(Appendix B)</b>				In specific portions of the State only <b>(Appendix B)</b>
<p><b>Appendix B</b> must include a list of the specific portion(s) or geographical location(s) of the State, and/or ILEC territory(ies); and a copy of the map(s).</p> <p>Applicant seeking to operate in any Small Incumbent Local Exchange Carriers territories must meet the requirements contained in Appendix A of D.20-08-011.</p>					
<b>5. DATE APPLICANT EXPECTS TO BEGIN OR HAS BEGUN OFFERING SERVICE(S) IN CALIFORNIA (Appendix C)</b>					[Month Day Year]

6. APPLICANT WILL PROVIDE THE FOLLOWING SERVICES IN CALIFORNIA				
	Provide voice service (traditional wireline and/or Fixed Interconnected VoIP) directly to customers			
	Other (Describe below other services it offers whether or not they are within Commission’s jurisdiction.)			
7. SWORN AFFIDAVIT		TRUE		NOT TRUE ( <b>Appendix D</b> )
<p>Neither Applicant, any of its affiliates, officers, directors, partners, agents, or owners (directly or indirectly) of more than 10% of Applicant, or anyone acting in a management capacity for Applicant: (a) held one of these positions with a company that filed for bankruptcy; (b) been personally found liable, or held one of these positions with a company that has been found liable, for fraud, dishonesty, failure to disclose, or misrepresentations to consumers or others; (c) been convicted of a felony; (d) been (to his/her knowledge) the subject of a criminal referral by judge or public agency; (e) had a telecommunications license or operating authority denied, suspended, revoked, or limited in any jurisdiction; (f) personally entered into a settlement, or held one of these positions with a company that has entered into settlement of criminal or civil claims involving violations of Sections 17000 et seq., 17200 et seq., or 17500 et seq. of the California Business &amp; Professions Code, or of any other statute, regulation, or decisional law relating to fraud, dishonesty, failure to disclose, or misrepresentations to consumers or others; (g) been found to have violated any statute, law, or rule pertaining to public utilities or other regulated industries; and/or (h) entered into any settlement agreements or made any voluntary payments or agreed to any other type of monetary forfeitures in resolution of any action by any regulatory body, agency, or attorney general.</p> <p>Attach <b>Appendix D</b> if Applicant answer to this question is anything other than an unqualified “True”. Applicant must declare exceptions by attaching documentation and describing any such bankruptcies, findings, judgments, convictions, referrals, denials, suspensions, revocations, limitations, settlements, voluntary payments or any other type of monetary forfeitures.</p>				
<b>7.a. List of all affiliated entities (<b>Appendix E</b>)</b>				

<b>8. APPLICANT HAS THE REQUIRED EXPERTISE TO OPERATE AS A SERVICE PROVIDER OF THE TYPE INDICATED IN SECTION 6 OF THE APPLICATION FORM.</b>		TRUE		NOT TRUE
<b>8.a.</b> Attach <b>Appendix F</b> for List of the names, titles, and street addresses of all officers, directors, partners, agents, or owners (directly or indirectly) of more than 10% of Applicant, or any person acting in such capacity whether or not formally appointed.				
<b>8.b.</b> Attach <b>Appendix G</b> for all Resumes for each personnel identified in Section 8.a. List of all employment for each officer, director, partner, agent, or owner (directly or indirectly) of more than 10% of Applicant, or any person acting in such capacity whether or not formally appointed.				
<b>8.c.</b> Applicant Managerial and Technical Expertise		TRUE		NOT TRUE ( <b>Appendix H</b> )
<p>To the best of Applicant’s knowledge, neither Applicant, any affiliate, officer, director, partner, nor owner of more than 10% of Applicant, or any person acting in such capacity whether or not formally appointed, is being or has been investigated by the Federal Communications Commission or any law enforcement or regulatory agency for failure to comply with any law, rule or order.</p> <p>Attach <b>Appendix H</b> if Applicant answer to this question is anything other than an unqualified “True,” Applicant must declare exceptions by attaching documentation and describing all such investigations, whether pending, settled voluntarily or resolved in another manner.</p>				
<b>9. FINANCIAL REQUIREMENT</b>		TRUE		NOT TRUE
<p>Applicant has a minimum of (a) \$25,000 in the case of a switchless reseller/ non-facilities-based, reasonably liquid and available to meet the firm’s first-year expenses OR (b) has profitable interstate operations to generate the required cash flow.</p> <p>Attach <b>Appendix I</b> for copy of Applicant’s financial instrument used to demonstrate meeting the financial requirement.</p>				
<b>10. APPLICANT IS ELIGIBLE AND SEEKS AN EXEMPTION FROM TARIFFING REQUIREMENTS</b>		TRUE		NOT TRUE ( <b>Appendix J</b> )
<b>11. OTHER LICENSE(S) HELD WITH THE COMMISSION, EITHER CURRENT AND/OR PRIOR</b>				NONE
	CURRENT AND/OR PRIOR, specify:			

I hereby declare under penalty of perjury under the laws of the State of California that the forgoing information, and all attachments, are true, correct, and complete to the best of my knowledge and belief after due inquiry, and that I am authorized to make this application on behalf of the Applicant named above.

Signed	[signature field]
Name	[single line text field]
Title	[single line text field]
Dated	[MM/DD/YYYY]
Address	[single line text field]
Telephone	[(XXX) XXX-XXXX]
Email Address	[single line text field]

**ATTACHMENT A**

**SAMPLE ATTACHMENT TO SECTION 1013 REGISTRATION FORM**

SWORN AFFIDAVIT

Name of Applicant/Company \_\_\_\_\_

My name is \_\_\_\_\_. I am \_\_\_\_\_[Title] of \_\_\_\_\_ (Applicant). My personal knowledge of the facts stated herein has been derived from my employment with \_\_\_\_\_ (Applicant)

I affirm that \_\_\_\_\_ [Name of Applicant]:

- Agrees to comply with all federal and state statutes, rules, and regulations, Commission requirements as a Telephone Corporation, and state contractual rules and regulations, if granted the request as stated in this application;
- Certifies that all answers to the attached 1013 Registration for CPCN are true and correct; and

I affirm and declare under penalty of perjury under the laws of the State of California, including Rule 1.1 of the California Public Utilities Commission’s Rules of Practice and Procedure, that, to the best of my knowledge, all of the statements and representations made in this Application are true and correct.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name and Title

## SAMPLE APPLICANT INSTRUCTION FOR 1013 REGISTRATION FORM

1. Complete the Cover page. The docket office will provide an application number.
2. Complete the 1013 Registration Form. Do not leave the fields blank. If no response, mark “Not Applicable” or “N/A”

- a. In Section 1 of the form, the Applicant must enter its complete legal name exactly as it appears on its articles or certificate of incorporation or similar charter document. The Applicant must also include its business address, telephone number and email address. Complete Section 1.b. by listing all fictitious business names under which Applicant has done business in the last five years. If the company does not have any fictitious business names or “doing business as” (DBA) names, please enter “Not Applicable.” Do not leave it blank.

In Section 1.c. of the form, select only one type of organization and attach as Appendix A to the completed application form: (1) a copy of the entity’s organizing documents; (2) evidence of the Applicant’s qualification to transact business in California; and (3) a copy of its Certificate of Good Standing Status certified by the Secretary of State of California. If current documentation has previously been filed with the Commission, the application need only make specific reference to such filing. A Good Standing certificate is available from the office of the Secretary of State of the State of California and should be dated not more than 60 days prior to the date of filing the application.

In Section 1.d. of the form, if answer is “Yes”, list foreign entity interest.

- b. In Section 2 of the form, provide the name, mailing address, and telephone number of Applicant’s registered agent for service of process.
- c. In Section 3 of the form, the Applicant must check one of the options provided to identify Applicant’s Legal Domicile. For individuals, domicile is the place of legal residence; for entities, it is the state of incorporation or organization.
- d. In Section 4 of the form, the Applicant must select the appropriate boxes to clearly describe the operating authority it is seeking approval for. The Applicant should select all the type of service(s) it proposes to provide, the type of proposed facilities, and the service territories it proposes to offer its services.
  - Facilities-based service providers are defined as service providers that own or control facilities used to provide communications for compensation, including the line to the end-user’s location. Full facilities-based service



providers install telecommunications facilities other than equipment in or on existing buildings or structures; whereas limited facilities-based service providers install telecommunications facilities in or on existing structures.<sup>1</sup> Full facilities-based service is subject to California Environmental Quality Act (CEQA) review while limited facilities-based service is not subject to CEQA.

- Non-facilities-based is now equivalent to the legacy term “switchless reseller” and the general term “reseller” and is defined as a service provider which does not directly own, control, operate, or manage conduits, ducts, poles, wires, cables, instruments, switches, appurtenances, or appliances in connection with or to facilitate communications within the local exchange portion of the public switched network.<sup>2</sup>

For additional information regarding service provider type definitions refer to:

<https://www.cpuc.ca.gov/industries-and-topics/internet-and-phone/telecommunications-carrier-types-with-definition>.

- e. In Section 5 of the form, enter the date that Applicant expects to begin offering service in California. If Applicant has already begun offering service in California, indicate the date the Applicant commenced providing service and provide as Appendix C an explanation of the reason for operating prior to obtaining authority in California.
- f. In Section 6 of the form, the Applicant must select the type of services that will be provided in California.
- g. In Section 7 of the form, the Applicant must provide a sworn affidavit to the statement identified by marking “True.” If the Applicant’s answer is anything other than an unqualified “True,” attach as Appendix D all documentation and describe any such bankruptcies, findings, judgments, convictions, referrals,

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<sup>1</sup> Decision (D.) 08-04-018 (adopted April 10, 2008) available at:

[https://docs.cpuc.ca.gov/PublishedDocs/WORD\\_PDF/FINAL\\_DECISION/81277.PDF](https://docs.cpuc.ca.gov/PublishedDocs/WORD_PDF/FINAL_DECISION/81277.PDF).

<sup>2</sup> The term switchless reseller originated in D.91-10-041, FoF 23, defined as “A switchless reseller only markets the services of underlying service providers who are certificated to construct and maintain the physical plant for intrastate communications services in California.” The following year, in D.92-06-069 the Commission defined reseller generally as “service providers who do not own transmission facilities but provide service under their own name using the facilities of another provider. They do not directly own, control, operate, or manage any conduits, ducts, poles, wires, cables, instruments, and appliances in connection with or to facilitate communication by telephone.” Finally, in opening the local exchange market to competition, the Commission again defined non-facilities-based CLECs in D.95-07-054, Appendix A at 3.

denials, suspensions, revocations, limitations, settlements, voluntary payments or any other type of monetary forfeitures.

In Section 7.a. of the form, the Applicant must attach as Appendix E the list of all affiliates. If an affiliate is a regulated entity in California, indicate the Utility ID Number assigned by the Commission to the entity. If no affiliates exist, it must clearly be identified in the Appendix E. An affiliated entity is any entity under common control with the Applicant. Common control exists if the same individuals or entities have the direct or indirect power to determine the action of Applicant and such entity through the right to vote shares, by contract or agreement, or otherwise. Note whether any such entity is a reporting company for purposes of the Securities Exchange Act of 1934, as amended.

- h. In Section 8 of the form, the Applicant must demonstrate that it has the technical and managerial qualifications necessary to provide the proposed services in its service territory. The Applicant must select a response from the options provided.

In Section 8.a. and 8.b. of the form, the Applicant must provide the following information as a separate Appendices: Appendix F lists all the Applicant's key management and technical personnel(s), and Appendix G include professional resumes and biographies of the key management and technical personnel(s) that reflects that the Applicant possesses significant technical and managerial expertise for operating a telecommunications corporation, consistent with the Commission's requirements. Website links to online profiles (e.g., LinkedIn and Facebook) are not acceptable.

In Section 8.c. of the form, the Applicant must attest to the statement. If the response is anything other than an unqualified "true", attach as Appendix H the documentation by listing all applicable information including description of all such investigations, whether pending, settled voluntarily, or resolved in another manner.

- i. In Section 9 of the form, the Applicant must attach Appendix I providing a copy of a financial instrument used to comply with the financial requirements as set forth in **Appendix X** of **[VoIP OIR decision]**.
- j. In Section 10 of the form, the Applicant must check one of the options provided. If Applicant is seeking a tariffing requirement exemption, it must comply with the Consumer Protection Rules adopted in Decision 98-08-031. If Applicant is not seeking Tariff requirement exemption, it must attach as Appendix J a draft Tariff.

Refer to General Order 96-B for Tariff Format and/or refer to the Commission website at:

<https://www.cpuc.ca.gov/industries-and-topics/internet-and-phone/carrier-reporting-requirements/tariff-filing-requirements>.

- k. In Section 11 of the form, Applicant must list other licenses, whether current and/or prior, which the Applicant obtained from the Commission.
  - l. Appendices that do not apply to Applicant must be included and identified as “Not Applicable”. Applicant may include additional Appendix to provide additional and supporting information.
3. Complete Attachment A of the form: Sworn Affidavit. The document must be signed by an officer of the Applicant.
  4. Pay the Registration Filing Fee
    - Refer to the filing fee schedule posted at <https://www.cpuc.ca.gov/-/media/cpuc-website/divisions/administrative-law-judge-division/documents/2024-filing-fees.pdf>
    - Payee: California Public Utilities Commission
    - Memo line: 1013 Registration Fee of [Name of Applicant]
    - Send to Payment to: ATTN: CPUC ALJ Docket Office  
505 Ness Avenue  
San Francisco, CA 94102
    - Failure to include the filing fee may result in a delay or rejection of the filing.
  5. Refer to the [Practitioner’s Page](#) for additional filing instructions and guidelines.
  6. Submit completed Cover Page, 1013 Registration Form, Attachment A, and all applicable Appendices via [CPUC Electronic Filing System](#).

## Section 1013 Registration Process

The sequence of steps for the updated Section 1013 Registration process is:

1. The Applicant files its completed Section 1013 registration form with the Commission's Docket Office electronically and submits a \$250 fee to the Commission's Fiscal Office. All documents for which an applicant requests confidential treatment shall be uploaded as supporting documents and, as long as marked as "CONFIDENTIAL PURSUANT TO DECISION xx-xx-xxx [*insert number of this decision*]", are presumptively confidential pursuant to General Order 66-D, Sections 3.4, 5, and 6.
2. The Commission's Docket Office evaluates the form for completeness (*i.e.*, the Applicant must submit fill out the form completely and submit all required documents).
3. If the application is accepted by the Commission's Docket Office, the application is noticed in the Commission's Daily Calendar, and the application is forwarded to the Commission's Communications Division for review.
4. If the Commission's Communications Division determines that the application is incomplete or otherwise deficient, the Commission's Communications Division staff may notify the applicant of the deficiency. Applicant will have 10 days after notice of the deficiency to file an amended application to cure the deficiency.
5. Section 1013 applications will be approved through an executive director decision unless the application is removed from the simplified registration process.
6. If a protest is filed, the application is automatically removed from the registration process and reassigned to an ALJ and a Commissioner for review as an application for a CPCN requested pursuant Pub. Util. Code Section 1001. See item 8 below.
7. If the Commission's Communication Division determines that: (1) the application is incomplete and the applicant fails to cure the deficiency or (2) the application does not otherwise meet the requirements for the simplified application process, the Communications division may reject the application or

reassign the application to the ALJ and Commissioner for consideration as a CPCN requested pursuant to Pub. Util. Code Section 1001. See item 8 below.

8. The Applicant will receive a reassignment notice. The Applicant will have 15 days from the reassignment notice to pay a fee equivalent to the difference between the cost of the registration fee and the CPCN application fee to the Commission's Fiscal Office to process the application as a CPCN pursuant to Pub. Util. Code Section 1001. The Applicant will submit one cashier's check or money order payable to the California Public Utilities Commission for correct payment amount owed either by mail or in-person delivery to: CPUC Fiscal Office, Room 3000, 505 Van Ness Avenue, San Francisco, CA 94102. The applicant must include a written identification on the check indicating the application number, such as the following: "Transfer Fee to CPCN for [insert Application number]." The applicant must email the Commission's Communications Division notice of payment made at [CDCompliance@cpuc.ca.gov](mailto:CDCompliance@cpuc.ca.gov) as well as the [service list for the proceeding, including the assigned ALJ for the proceeding](#). If payment is not made within 15 days of the notice of the assignment, the application may be dismissed unless the assigned ALJ grants an extension of time for the applicant to comply. Once the additional fee is paid, the registration will be processed as an application for a CPCN pursuant to Pub. Util. Code Section 1001.