



User Identification Module ID Manufacturer's Code Assignment Guidelines and Procedures

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1 **Foreword**

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3 This foreword is not part of this specification.

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5 This specification contains the guidelines and procedures for the assignment and use of User Identity
6 Module IDs (UIM_IDs) for R-UIM equipped Mobile Stations.

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8 This specification was prepared by the Third Generation Partnership Project 2 (3GPP2).

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1 1.0 SCOPE

2 1.1 These guidelines are based on the content of the ANSI TIA/EIA-41 “Family of Standards” (e.g.
3 AMPS (*EIA/TIA-553*), CDMA (*TIA/EIA-95 and TIA/EIA/IS-2000*), and TDMA (*IS-54, IS-136*)). It
4 is recommended that systems which are based on the ANSI TIA/EIA-41 family of standards and
5 which are deployed outside of the United States follow these guidelines. This is to facilitate
6 international roaming and to minimize fraud.

7 1.2 For the purpose of these assignment guidelines, the UIM_ID is entered onto the R-UIM by the
8 manufacturer of the R-UIM. The UIM_ID is composed of two basic components, the R-UIM
9 manufacturer’s code and the serial number. These guidelines specify the procedure to be followed
10 pertaining to the acquisition, transfer, return and regulation of the UIM_ID Manufacturer’s (MFR)
11 Codes.

12 1.3 These assignment guidelines pertain, in one section or another, to all segments of the UIM_ID.
13 The UIM_ID administrator manages all segments of the UIM_ID, but directly administers only
14 the UIM_ID MFR Code segment. The remaining segment of the UIM_ID, the Serial Number, is
15 directly administered by the manufacturer to which the UIM_ID MFR Code is assigned.

16 1.4 These guidelines were developed by the consensus of representatives of entities within the
17 wireless sector of the telecommunications industry.

18 1.5 These guidelines apply globally; however, they do not supersede the regulations, procedures or
19 requirements of any appropriate legal or regulatory authority.

20 1.6 Equipment identifiers for non TIA/EIA-41 operating modes are not addressed here. If the R-UIM
21 card manufacturer of a multi-mode R-UIM that supports at least one “TIA/EIA-41 mode” wishes
22 to use only a single equipment identifier, that identifier must conform to these UIM_ID guidelines.
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1 2.0 INFORMATIVE REFERENCES

- 2 2.1 *3GPP2 X.S0004-000-E v1.0, Cellular Radiotelecommunications Intersystem Operations*
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4 *TIA/EIA-553, Cellular System Mobile Station - Land Station Compatibility Standard*
5
6 *TIA/EIA-95, CDMA Mobile Station - Base Station Compatibility Standard for Dual-Mode*
7 *Wideband Spread Spectrum Cellular System*
8
9 *TIA/EIA-136, TDMA Cellular System Mobile Station - Land Station Compatibility Standard*

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1 3.0 ASSUMPTIONS AND CONSTRAINTS

2 These guidelines are based on the following assumptions and constraints:

3 3.1 These guidelines and procedures should provide the greatest latitude to manufacturers of R-UIMs
4 while permitting the effective and efficient management of a finite resource.

5 3.2 The function of the UIM_ID administration will be performed by the UIM_ID Administrator.

6 3.3 The guidelines and procedures for UIM_ID assignment as set forth in this document remain in
7 effect until there is either industry consensus or regulatory policy direction to change them.

8 3.4 These guidelines do not describe the method by which UIM_IDs are transmitted across and
9 processed by networks. Network interworking arrangements are contained in other standards,
10 documents, or business agreements.

11 3.5 The Administrator cannot guarantee that any code is not already in use, whether previously
12 authorized and incorrectly returned or unauthorized.

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1 4.0 UIM_ID FORMAT AND FUNCTION

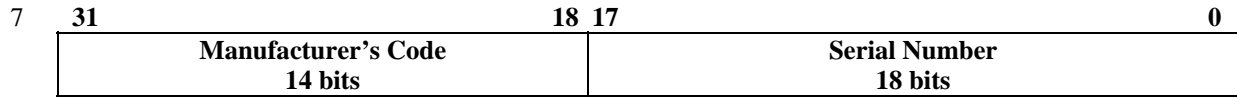
2 4.1 The UIM_ID is a 32-bit binary value which is assigned to the R-UIM.

3 4.2 Each UIM may be assigned a unique UIM_ID.

4 4.3 The UIM_ID identifies the manufacturer of the R-UIM.

5 4.4 The format of the UIM_ID is:

6 **UIM_ID MFR CODES AND BIT STRUCTURE**



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9 In this case the UIM_ID MFR Code is designated as the high order 14 bits while the low order 18
10 bits identify the unit.

11 4.5 The UIM_ID does not specify the frequency band, air-interface technology or supported service
12 associated with the MS.

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1 5.0 ASSIGNMENT PRINCIPLES

2 The assignment principles are defined below.

3 5.1 UIM_ID MFR Codes are to be assigned and used only for the R-UIM that will be used with ANSI
4 TIA/EIA-41 family of air interface standard mobile stations. (Section 1.2).

5 5.2 UIM_ID MFR Codes shall be assigned to permit the most effective and efficient use of a finite
6 resource in order to maximize the existing allocated resource inventory and to defer, as long as
7 practical, the need to request additional UIM_ID MFR Code resources.

8 5.3 Upon application, the UIM_ID Administrator will assign UIM_ID MFR Code(s) for each valid R-
9 UIM manufacturer. The number of UIM_ID manufacturer codes assigned shall be based on
10 Section 6 Criteria for Assignments. The maximum number of UIM_ID manufacturer codes that
11 may be issued on a single application shall be no greater than 64.

12 5.4 The UIM_ID MFR Code, as part of the 32 bit UIM_ID, shall not be simultaneously assigned to
13 more than one manufacturer. An unused UIM_ID MFR Code that is recovered or returned from
14 the previous assignee may be reassigned to another manufacturer without limitation. A partially
15 used UIM_ID MFR Code may be reassigned to another manufacturer for use with limited serial
16 numbers if a significant block of serial numbers associated to that UIM_ID MFR Code remained
17 unassigned.

18 5.5 UIM_ID Serial Numbers are assigned by manufacturers to their produced R-UIMs. A UIM_ID is
19 unique to a single R-UIM card. The manufacturer will exercise due diligence in the design and
20 manufacture of the R-UIM card to ensure that alteration of the factory set UIM_ID is not possible
21 outside of an authorized service center.

22 5.6 UIM_ID MFR Codes are a global public resource. The assignment of any UIM_ID MFR Code
23 does not imply ownership of the resource by either the entity to which it is assigned or by the
24 entity performing the administrative function. There shall be no monetary value assigned to
25 UIM_ID MFR Code.

26 5.7 Should a manufacturer transfer production of a type of R-UIM to a different manufacturer, then
27 the use of the assigned UIM_ID MFR Code is transferable to the new manufacturer. See *Form D*
28 – *Request for Change in UIM_ID Manufacturer's Code Assignment Information* in Attachment 2.

29 5.8 The UIM_ID administrator shall:

- 30 • Assign UIM_ID MFR Codes in a fair, timely and impartial manner to any applicant that
31 meets the criteria for assignment (Section 6).
- 32 • Address applications in the order they are received and assign UIM_ID MFR Codes from the
33 available pool of unassigned codes based on applicant information provided and historical
34 data.
- 35 • Make all assignments based on the procedures in these guidelines (Section 8).
- 36 • Treat sensitive information received from applicants as proprietary and confidential, and not
37 to be shared with non-administrator personnel. Sensitive information is defined as
38 information that divulges billing and financial data as well as rate of production, deployment
39 or any data revealed during an audit.

40 5.9 Information that is requested of applicants in support of a UIM_ID MFR Code application shall be
41 uniform and kept to a minimum.

42 5.10 An entity which is denied a UIM_ID MFR Codes assignment under these guidelines has the right
43 to appeal that decision (Section 13).

- 1 5.11 Entities applying for assignment of or assigned UIM_ID MFR Code(s) under these assignment
2 principles shall comply with these guidelines. Entities already assigned or using one or more
3 UIM_ID MFR Codes prior to the implementation of these assignment principles shall comply with
4 these guidelines.
- 5 5.12 A UIM_ID MFR Code(s) recovered or returned to the administrator for reassignment may remain
6 dormant. If no R-UIMs have been manufactured by the previous assignee, the code(s) may be
7 reissued. If, however, R-UIMs have been produced and sold the code(s) may be blocked from
8 future use. As the need for UIM_ID MFR Codes becomes critical (i.e. only 25% of available
9 codes remain), codes which have been partially used by a previous assignee may be re-assigned
10 with serial number range limitations. That is, if the previous assignee had only produced a limited
11 number of R-UIMs using a contiguous serial number range, the present assignee may use the code
12 to produce R-UIMs with serial numbers that do not duplicate those of the previous assignee.
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- 14 5.13 There will be an administrative fee associated with an application for a UIM_ID MFR Code(s).
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- 16 5.14 As required, applicants for UIM_ID MFR Codes must comply with all applicable regulations.
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- 18 5.15 UIM_ID codes are derived from ESN resources and ESN resources have exhausted. It should be
19 recognized that the re-issue of ESN MFR Codes 167 and 221 are considered to be exceptional and
20 use of these exceptional codes for ESN assignment as recommended by TIA committee TR-45
21 (see v2.1 ESN Guidelines found at <http://www.tiaonline.org/standards/resources/esn>) is only
22 supported until June 30, 2010. These exceptional codes may also be made available for UIM_ID
23 derivation once all outstanding ESN requests have been processed, but few if any are anticipated.
24 In addition, other previously used ESNs utilized for AMPS and/or TDMA (no CDMA use)
25 designated for UIM_ID derivation have reached imminent exhaust. Therefore, **June 30, 2010** is
26 the last date for receipt of a UIM_ID MFR Code block request. 3GPP2 will consider extending
27 the deadline upon a recommendation of the UIMID Administrator. The wireless industry should
28 immediately implement the replacement for UIM_ID MFR Codes i.e., E-UIMID.
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1 6.0 CRITERIA FOR UIM_ID ASSIGNMENT

2 The assignment criteria in this section should be considered by a potential UIM_ID MFR Code applicant
3 before submitting a UIM_ID MFR Code application and will be used by the UIM_ID administrator in
4 reviewing and processing a UIM_ID MFR Code application:

5 6.1 The number of codes that an applicant may receive per application should be based upon that
6 applicant's historical usage of UIM-IDs and compliance with the UIM_ID Guidelines.

7 6.2 The applicant/assignee of a UIM_ID MFR Code(s) must have and provide evidence of
8 authorization, if required, from the appropriate regulatory authorities to produce R-UIMs.

9 6.3 A UIM_ID MFR Code will only be assigned by the administrator upon receipt and approval of a
10 completed *Form A – UIM_ID Manufacturer's Code Application*.

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1 7.0 RESPONSIBILITIES OF UIM_ID MANUFACTURER’S CODE
2 APPLICANTS AND ASSIGNEES

3 Entities requesting UIM_ID MFR Code assignments shall comply with the following; and entities already
4 assigned one or more UIM_ID MFR Codes should comply with the following:

5 7.1 UIM_ID MFR Code(s) applicants and assignees must meet all conditions specified in these
6 guidelines. Copies of the guidelines may be obtained from the UIM_ID Administrator.

7 7.2 Applicants must apply in writing to the UIM_ID Administrator by completing *Form A - UIM_ID*
8 *MFR Codes Application*. Copies of all required forms are included in Attachment 2 to these
9 guidelines.

10 7.3 UIM_ID MFR Code assignees shall:

11 7.3.1 Assign a different UIM_ID to each R-UIM. The manufacturer shall assign the
12 UIM_ID within the range allocated to the manufacturer.

13 7.3.2 Assign and efficiently manage the Serial Number associated with the assigned UIM_ID
14 MFR Codes. Maintain up-to-date and accurate assignment records that match
15 UIM_IDs of their produced UIMs. These records may be required for audit purposes
16 (Section 10).

17 7.3.3 Inform the UIM_ID Administrator of changes in the information associated with a
18 UIM_ID MFR Code assignment by using *Form D – Request for Change in UIM_ID*
19 *Manufacturer’s Code Assignment Information*. Changes may occur because of the
20 transfer of a UIM_ID MFR Code(s), through merger or acquisition, to a different R-
21 UIM or R-UIM manufacturer (Section 5.7). The initial assignee of the UIM_ID MFR
22 Codes involved in a transfer occurring through merger, acquisition or other means must
23 immediately inform the UIM_ID Administrator when such a change becomes effective.
24 Timely submission of change information enables the UIM_ID Administrator to
25 maintain accurate UIM_ID MFR Code assignment records.

26 7.3.4 Participate in the UIM_ID audit process, when requested (Section 10).

27 7.3.5 Inform the UIM_ID Administrator of UIM_ID MFR Code deployment by submitting
28 *Form C – UIM_ID Manufacturer’s Code Deployment*.

29 7.3.6 Any UIM Card Manufacturer that has terminated manufacturing of UIMs shall return
30 the *Form F –UIM_ID Manufacturer’s Code Assignment Return* within 30 days of the
31 cessation of manufacturing.

32 7.3.7 Return to the UIM_ID Administrator, on an annual basis on the anniversary date of the
33 issuance of the UIM_ID MFR Code, a duly completed and signed *FORM G -*
34 *CERTIFICATION OF COMPLIANCE WITH UIM_ID GUIDELINES*. If no Form G is
35 returned the UIM_ID Administrator will contact the assignee via registered letter
36 requesting the signed Form G. No additional codes will be assigned to the assignee
37 until they are in compliance with this requirement.
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1 8.0 RESPONSIBILITIES OF THE UIM_ID ADMINISTRATOR
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3 The role of the UIM_ID Administrator is to manage the entire UIM_ID resource and to directly administer
4 the UIM_ID MFR Code segment of the UIM_ID. In this context, the UIM_ID Administrator shall:

5 8.1 Provide to the industry general and specific information on the structure, proper use and
6 management of UIM_IDs for R-UIMs.

7 8.2 Provide copies of these guidelines and forms to UIM_ID MFR Code applicants and assignees, and
8 assist them in completing the required forms.

9 8.3 Review and process UIM_ID MFR Code applications as follows:

10 8.3.1 Review the application to determine if all requested information is provided and
11 credible. If not, return the application to the applicant requesting that any deficiency be
12 corrected.

13 8.3.2 Inform applicants of the status of their requests using *Form B – UIM_ID*
14 *Manufacturer’s Code Application Disposition*. There are three possible dispositions:
15 approved, denied, or additional information required. Notify the applicant in writing of
16 the disposition within thirty days from receipt of *Form A –UIM_ID Manufacturer’s*
17 *Code Application*. The response will include:

- 18 • If assigned, the specific UIM_ID MFR Code(s) assigned,
- 19 • If denied, the reasons for denial and instructions on how and where to appeal the
20 decision,
- 21 • If additional information is required, the specific information required.

22 8.3.3 Request completed *Form G – Certification of Compliance with UIM_ID Guidelines*
23 from assignees after 30 days past the required submittal date in accordance with
24 paragraph 7.3.7

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26 8.4 Use the following UIM_ID MFR Code assignment procedures:

27 8.4.1 The UIM_ID Administrator shall generally assign UIM_ID MFR Codes in numerical
28 sequence.

29 8.4.2 There may be technical considerations or limitations on the part of the R-UIM
30 manufacturer that require a specific assignment or preclude them being able to use the
31 next consecutive UIM_ID MFR Code assignment. These exceptions are set forth
32 below and in the addenda (if any) to this document.

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- 1 8.4.3 UIM_ID MFR Code applicants eligible for multiple UIM_ID MFR Codes may request
2 that such codes be assigned in the next available block of numerically sequential codes
3 (excepting those codes reserved or unavailable for assignment, pursuant to Section
4 8.4.2 or any subsequent addenda to these guidelines). In such cases, a separate *Form A*
5 –*UIM_ID Manufacturer’s Code Application* should be submitted for each UIM_ID
6 MFR Code required, along with a cover letter requesting their assignment in a
7 sequential block.
- 8 8.5 Maintain accurate and current UIM_ID MFR Code assignment records. Update the records as
9 required to respond to requests for changes in assignment information reported by UIM_ID MFR
10 Code assignees (Section 7.3.2). Respond to these requests within thirty days using *Form E –*
11 *Confirmation of Change of UIM_ID Manufacturer’s Code Assignment Information*.
- 12 8.6 Publish, at least quarterly, via the agreed medium, a list of assigned UIM_ID MFR Codes. The
13 list will include the UIM_ID MFR Code number, and the manufacturer to which the code is
14 currently assigned, and the entity contact and number. Track the number of UIM_IDs assigned
15 and the assignment rate and report this data regularly.
- 16 8.7 The UIM_ID Administrator shall maintain records of the last manufactured year for a UIM_ID
17 MFR Code range or UIM_ID MFR Code sub range.
- 18 8.8 Reclaim assigned UIM_ID MFR Code(s) (Section 9), as needed.
- 19 8.9 Direct the UIM_ID conservation program and conduct periodic audits, as required, of UIM_ID
20 MFR Code assignee records (Section 10).
- 21 8.10 The term of the UIM_ID Administrator shall be for one (1) year from the date of appointment.
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1 9.0 UIM_ID MANUFACTURER'S CODE RETURN AND RECLAMATION
2 PROCEDURES

3 9.1 Assignee responsibilities:

4 Upon cessation of R-UIM manufacturing activity, assignees will return UIM_ID MFR Code(s)
5 that have not been used either in whole or in part. An assignee that does not completely use
6 UIM_ID MFR(s) assignments should return the unused UIM_ID MFR(s) to the UIM_ID
7 Administrator as soon as possible.

8 Assignees will cooperate with the UIM_ID Administrator in carrying out its reclamation and
9 auditing responsibilities.

10 9.2 Administrator responsibilities:

11 During normal auditing processes, if a direct contact can not be made with the assignee, a
12 registered letter will be sent to the assignee address of record requesting that they contact the
13 Administrator within thirty days regarding the code(s) in question. If the letter is returned as un-
14 delivered, the UIM_ID Administrator will indicate in the subsequent UIM ID Administrator's
15 report that the code will be made available for reassignment, unless advised otherwise within
16 thirty days.

17 9.3 UIM Administrator's responsibilities.

- 18 • Accept all referrals of alleged misuse of UIM_ID MFR Codes (also see dispute resolutions
19 [Section 13]),
- 20 • Investigate the referral,
- 21 • Review referrals in the context of these assignment guidelines,
- 22 • Attempt to resolve the referral, and
- 23 • Determine the action, if any, to be taken (If the action to be taken is not in conformance with
24 the existing guidelines, the Administrator will initiate the guidelines revision process
25 [Section 12]).

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1 10.0 UIM_ID RESOURCE CONSERVATION AND ASSIGNMENT AUDITS

2 10.1 Assignment and management of UIM_ID resources are undertaken with the following
3 conservation objectives:

- 4 • To efficiently and effectively administer/manage a limited resource through code
5 conservation, and
- 6 • To eliminate or delay the potential for UIM_ID exhaustion.

7 The process to achieve these objectives should not impede the introduction of competitive wireless
8 services which use UIM_IDs.

9 10.2 To promote the efficient and effective use of numbering resources, audits of UIM_ID MFR Code
10 assignments may be performed to ensure consistent compliance with these guidelines.

11 10.3 The UIM_ID Administrator will track and monitor UIM_ID MFR Code assignments and
12 assignment procedures to ensure that all segments of the UIM_IDs are being used in an efficient
13 and effective manner. Ongoing administrator procedures that foster conservation shall include,
14 but not be limited to, the following:

15 An active reclamation program to reclaim unused or misused UIM_ID MFR Code,

- 16 • Strict conformance with these guidelines by those assigning UIM_ID MFR Codes and
17 UIM_ID Serial Numbers,
- 18 • Appropriate and timely modifications to these guidelines to enhance text that may have
19 allowed inefficient use of UIM_ID MFR Codes,
- 20 • Periodic specific and random audits of assignments and assignment procedures (Section
21 10.4).

22 10.4 The UIM_ID Administrator may initiate an audit of a UIM_ID MFR Code assignee's assignment
23 records. The audit may be precipitated by a complaint from outside the UIM_ID Administrator's
24 organization or by the UIM_ID Administrator. The audit may be initiated if a request for a
25 UIM_ID MFR Code assignment is received from a manufacturer that already has a UIM_ID MFR
26 Code assignment. The purpose of an audit will be to verify the UIM_ID MFR Code assignee's
27 compliance with the provisions set forth in these guidelines. The audit will be performed by the
28 UIM_ID Administrator or by a neutral third party acceptable to the auditee and the UIM_ID
29 Administrator.

30 10.4.1 These audits will be conducted at the UIM_ID MFR Code assignee's premises or at a
31 mutually agreed to location and at a mutually agreed to time.

32 10.4.2 The UIM_ID Administrator will not copy or remove the information from the premises
33 nor will they disclose the information to non-UIM_ID Administrator personnel.

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1 10.4.3 The UIM_ID Administrator will expect to review the following information to ensure
2 conformance with these guidelines and the proper use of the UIM_ID resource:

- 3 • If a new UIM_ID MFR Code has been requested verification that the
4 manufacturer holds no more unassigned UIM_ID MFR Codes that can be
5 reasonably anticipated to be exhausted within six months at given or anticipated
6 production rates,
- 7 • Verification of assignment for each working UIM_ID MFR Code,
- 8 • Date of assignment of each working UIM_ID MFR Code,
- 9 • Implementation date of each working UIM_ID MFR Code,
- 10 • Indication of UIM_ID Serial Number assignment to R-UIMs, and
- 11 • Status and status date of each UIM_ID MFR Code unavailable for assignment;
12 i.e., UIM_ID MFR Codes reserved, aging, pending and/or, suspended.

13 10.5 Audit results should be used to identify and recommend to the appropriate wireless industry forum
14 specific corrective actions that may be necessary. Examples of specific corrective actions that
15 may be proposed are as follows:

- 16 • Modifications to these assignment guidelines to reflect the specific circumstance revealed by
17 the audit,
- 18 • Additional training for UIM_ID MFR Code assignees concerning the assignment guidelines,
- 19 • Requirements for supporting documentation of future UIM_ID MFR Code requests in non-
20 compliant situations, or
- 21 • Modifications to the process in which records are maintained or UIM_ID MFR Codes are
22 assigned.

23 10.6 Audit results with respect to UIM_ID MFR Code assignee information and/or recommended
24 UIM_ID MFR Code assignee process modifications shall be treated on a proprietary and
25 confidential basis.

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1 11.0 UIM_ID RELIEF PLANNING

2 11.1 When 75% of all the available UIM_ID MFR Codes have been assigned, or assignments are
3 exceeding 10% of the resource per year, the administrator will:

- 4 • Conduct an audit of current UIM_ID MFR Codes assignments to ensure that efficient
5 UIM_ID MFR Codes utilization is in effect, and, if not,
- 6 • Recommend additional procedures to be initiated to effect more efficient UIM_ID MFR
7 Codes utilization, or if efficient utilization is in effect,

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1 12.0 MAINTENANCE OF GUIDELINES

2 It may be necessary to modify the guidelines periodically to meet changing and unforeseen circumstances.
3 The need for guidelines modification may be identified by the administrator, any entity in the wireless
4 telecommunications sector or the appropriate wireless industry forum. When need for modification is
5 identified by other than the 3GPP2, the identifying entity will submit the modification issue to the 3GPP2
6 Secretariat. The 3GPP2 Secretariat will coordinate the modification process. Questions or concerns
7 regarding the maintenance of the guidelines may be directed to:

8 3GPP2 Secretariat
9 c/o Telecommunications Industry Association
10 2500 Wilson Boulevard, Suite 300
11 Arlington, VA 22201
12 USA

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14

Phone: +1 703-907-7700
15 Fax: +1 703-907-7728
16 secretariat@3gpp2.org

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1 **13.0 APPEALS PROCESS**

2 Disagreements may arise between the UIM_ID Administrator and UIM_ID MFR Code applicants or
3 assignees in the context of the administration and management of UIM_ID MFR Codes and the application
4 of these guidelines. In all cases, the UIM_ID Administrator and UIM_ID MFR Code applicants/assignees
5 will make reasonable, good faith efforts to resolve such disagreements among themselves in timely manner,
6 consistent with the guidelines, prior to pursuing any appeal. Appeals may include, but are not limited to,
7 one or more of the following options.

8 By submitting an application for UIM_ID Codes, accepting these Guidelines, or accepting any UIM_ID
9 MFR Code Assignments, the company agrees that these Guidelines and all disputes arising out of or
10 relating to the application for or assignment of UIM_ID MFR codes shall be governed by the laws of the
11 state of Virginia without giving effect to applicable conflict of laws provisions. The parties further agree
12 that they will first attempt to resolve any and all disputes, differences, or questions arising out of or relating
13 to these Guidelines, or the validity, interpretation, breach, or violation or termination thereof through a
14 meeting of the principals of the parties. Such meeting may be in person, via telephone or via videoconference.
15 If such a meeting does not resolve the dispute between the parties, the matter must first be brought to a
16 meeting of the TIA TR-45 EUMAG. If that meeting does not resolve the issue, the matter must then be
17 brought to the industry experts participating in TIA TR-45. In the event such meetings are unsuccessful, then
18 such dispute shall be finally and solely determined and settled by arbitration in Washington, D.C. in
19 accordance with the Commercial Arbitration Rules of the American Arbitration Association. In any such
20 arbitration proceedings, the arbitrators shall adopt and apply the provisions of the Federal Rules of Civil
21 Procedure relating to discovery so that each party shall allow and may obtain discovery of any matter not
22 privileged which is relevant to the subject matter involved in the arbitration to the same extent as if such
23 arbitration were a civil action pending in a United States District Court. Judgment upon any arbitration award
24 may be entered and enforced in any court of competent jurisdiction. All notices required hereunder shall be
25 in writing.

26 Reports on any resolution resulting from the above options, the content of which will be mutually agreed
27 upon by the involved parties, will be kept on file by the UIM_ID Administrator. At minimum, the report
28 will contain the final disposition of the appeal; e.g., whether or not a UIM_ID MFR Code(s) was assigned.

29

1 14.0 GLOSSARY

2 *CMRS* - Commercial mobile radio service. A mobile service (or functional equivalent) that is (1) provided
3 for profit, (2) an interconnected service, and (3) available to the public, or to such classes of
4 eligible users as to be effectively available to a substantial portion of the public.

5 *Conservation* - Consideration given to the efficient and effective use of a finite resource in order to
6 minimize the need to expand its availability while at the same time allowing the maximum
7 flexibility in the introduction of new services, capabilities and features.

8 *Mobile station* - Interface equipment used to terminate the radio path at the user side. The mobile station
9 contains an Electronic Serial Number and other identification information, either a Mobile
10 Identification Number (MIN) or an International Mobile Station Identification (IMSI).

11 *Regulatory Approved Licensed two-way CMRS service provider* - Any entity that is authorized, as
12 appropriate, by local, state, or federal regulatory authorities to provide regulatory approved two-
13 way mobile station to the public.

14 *Removable User Identity Module (R-UIM)*- A smart card device that contains the subscription information.

15 *Serial Number* - The portion of the UIM_ID in combination with the UIM_ID MFR Code that uniquely
16 identifies the R-UIM.

17
18 *UIM* - User Identification Module which may be either a fixed module installed in the mobile equipment or
19 an R-UIM.

20
21 *UIM_ID* - The 32 bit Serial Number which may identify mobile equipment equipped with a R-UIM.

22
23 *UIM_ID Manufacturer's Code (UIM_ID MFR Code)* - The portion of the UIM_ID that uniquely identifies
24 the manufacturer of a mobile station.

25
26 *UIM_ID Manufacturer's Code assignee* - The entity to which a UIM_ID Manufacturer's Code has been
27 assigned for the manufacture of mobile stations.

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1 15.0 UIM MANUFACTURER'S CODE APPLICATION AND FORMS
2 PACKAGE

3 The forms in this package are used for communication between the UIM_ID administrator and
4 applicants for and assignees of these resources. Forms included in this package are:

5 Form A –UIM_ID Manufacturer's Code Application

6 Applicants complete, sign, and return this form to apply for a UIM_ID
7 Manufacturer's Code.

8 Form B –UIM_ID Manufacturer's Code Application Disposition

9 The administrator uses this form to notify the applicant of the outcome of their
10 application, which may be a code assignment, denial, or a request for additional
11 clarifying information.

12 Form C –UIM_ID Manufacturer's Code Deployment

13 The recipient of a UIM_ID Manufacturer's Code assignment uses this form to
14 notify the administrator that the assigned code has been deployed.

15 Form D – Request for Change in UIM_ID Manufacturer's Code Assignment Information

16 UIM_ID Manufacturer's Code assignees use this form to notify the administrator
17 of a change in any of the assignment information; for example, a change in the
18 name, address, or phone number of the contact person in the company holding
19 the UIM_ID Manufacturer's Code. As a more complex example, this form
20 should also be used to record the transfer of a UIM_ID Manufacturer's Code to a
21 new company, as might happen as a result of a merger or acquisition.

22 Form E – Confirmation of Change of UIM_ID Manufacturer's Code Assignment Information

23 The administrator uses this form to acknowledge a change initiated by a UIM_ID
24 Manufacturer's Code assignee through submission of Form D.

25 Form F –UIM_ID Manufacturer's Code Assignment Return

26 UIM_ID Manufacturer's Code assignees use this form to return to the pool any
27 UIM_ID Manufacturer's Codes which are no longer required. This activity is
28 carried out when assignee is no longer actively engaged in the manufacture of R-
29 UIMs.

30 Form G – Certification of Compliance with UIM_ID Guidelines

31 UIM_ID Manufacturer's Code assignee use this form to certify compliance with
32 the UIM_ID Guidelines and report the status of issued codes

33 Return completed forms to: UIM_ID Administrator

34 c/o Telecommunications Industry Association

35 2500 Wilson Boulevard, Suite 300

36 Arlington, VA 22201 USA

37 Phone: +1 703-907-7700 Fax: +1 703-907-7728

38 uimadmin@tiaonline.org

FORM A – UIM_ID MANUFACTURER’S CODE APPLICATION – page 1 of 3

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Entity requesting assignment:

General description of the mobile station to be provided:

.....

.....

.....

Regulatory Agency Approval Code (if required).....

Is this request associated with a request for multiple UIM_ID Manufacturer’s Codes, per Section 8.4.3? YES NO

If YES, please list the other wireless UIM_ID Manufacturer’s Codes associated with this request.....

.....

.....

Number of UIM ID Manufacturer Codes requested:

.....

Do special considerations apply, per section 8.4.2 or an addendum?

YES NO

If YES, please specify the special consideration needed

.....

.....

1 **FORM A –UIM_ID MANUFACTURER’S CODE APPLICATION page 2 of 3 (CONTINUED)**

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Where the UIM_ID resides with other memory, the encoding technique shall include multiplication or division by a polynomial, cyclical coding, or the spreading of UIM_ID bits over non-sequential memory locations.

Contact name:

Company:

Address:

Room:

City, State, Country, ZIP:

Phone: Fax: E-mail:

Signature below indicates that the applicant:

- Certifies the accuracy of the information provided in this application,
- Certifies that the service to be provided with the UIM_ID Manufacturer’s Code for mobile sets used in public two-way CMRS,
- Certifies that any required authorization has been secured from the appropriate federal, state or local regulatory bodies, and
- Understands and agrees that the use of any assigned assigned UIM_ID Manufacturer’s Code(s) in a manner other than in conformance with the assignment guidelines may result in forfeiture.

Authorized name:

Authorized signature:

Date of application:

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FORM A – UIM_ID MANUFACTURER’S CODE APPLICATION page 3 of 3 (CONTINUED)

There is a non-refundable application fee. (see Administrator for current cost structure)

Payment of the non-refundable application fee is:

- by enclosed check (made payable to “TIA”) or
- by credit card (mark one):
 - MasterCard
 - Visa
 - American Express

Credit card number_____

Expiration date_____

Signature of card holder_____

Printed name of card holder_____

Dated:_____

Return completed application forms to:

UIM_ID Administrator
 c/o Telecommunications Industry Association
 2500 Wilson Boulevard, Suite 300
 Arlington, VA 22201 USA
 Phone: +1 703-907-7700 Fax: +1 703-907-7728
uimadmin@tiaonline.org

FORM B – UIM_ID MANUFACTURER’S CODE APPLICATION DISPOSITION

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Your application filed for assignment of a UIM_IDManufacturer’s Code has been reviewed by the Administrator. The box checked below indicates the action taken:

Your application has been approved. The UIM_ID Manufacturer’s Code assigned for your use is:
.....

The assignment is effective as of:

The information recorded for this assignment is shown below. Please notify the Administrator immediately of any errors in or changes to this information.

(Display computer generated assignment information here.)

Your application has been denied for the following reason(s):
.....
.....

You are entitled to appeal this denial as specified in Section 13 of the assignment guidelines.

The following additional information is needed to process your application:
.....
.....

Authorized name:

Authorized signature:

Date:

FORM C – UIM_ID MANUFACTURER’S CODE DEPLOYMENT FORM

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By submitting this form, I certify that

UIM_ID Manufacturer’s Code:

Assigned to:

Is deployed effective (date):

Authorized name:

Authorized signature:

Date of this notification:

Return completed application forms to:

UIM_ID Administrator
c/o Telecommunications Industry Association
2500 Wilson Boulevard, Suite 300
Arlington, VA 22201 USA
Phone: +1 703-907-7700 Fax: +1 703-907-7728
uimadmin@tiaonline.org

1 **FORM D – REQUEST FOR CHANGE IN UIM_ID MANUFACTURER’S CODE INFORMATION**

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Effective (date):

The assignment information for UIM_ID Manufacturer’s Code: should be changed. The changes are described below:

Authorized name:

Authorized signature:

Date of this notification:

Return completed application forms to the:

UIM_ID Administrator
c/o Telecommunications Industry Association
2500 Wilson Boulevard, Suite 300
Arlington, VA 22201 USA
Phone: +1 703-907-7700 Fax: +1 703-907-7728
uimadmin@tiaonline.org

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**FORM E – CONFIRMATION OF CHANGE IN UIM_ID MANUFACTURER’S CODE
ASSIGNMENT INFORMATION**

Your request dated _____ for change(s) to the assignment information for UIM_ID
Manufacturer’s Code _____ has been processed by the administrator and the changes have been
made. Please verify the revised assignment information below and report any errors or discrepancies to the
administrator.

(Display computer generated assignment information here.)

Authorized name:

Authorized signature:

Date of this notification:

Report discrepancies to the:

UIM_ID Administrator
c/o Telecommunications Industry Association
2500 Wilson Boulevard, Suite 300
Arlington, VA 22201 USA
Phone: +1 703-907-7700 Fax: +1 703-907-7728
uimadmin@tiaonline.org

FORM F – UIM_ID MANUFACTURER’S CODE ASSIGNMENT RETURN

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UIM_ID Manufacturer’s Codes:thru

Currently held by:

Is/are no longer required effective (date)

Because assignee is no longer actively engaged in the manufacture of UIMs. The manufacturing code(s) above may be returned to the pool for assignment to another entity.

Authorized name:

Authorized signature:

Date of this notification:

Return completed forms to the:

UIM_ID Administrator
c/o Telecommunications Industry Association
2500 Wilson Boulevard, Suite 300
Arlington, VA 22201 USA
Phone: +1 703-907-7700 Fax: +1 703-907-7728
uimadmin@tiaonline.org

FORM G - CERTIFICATION OF COMPLIANCE WITH UIM_ID GUIDELINES

We, _____, certify that UIM_ID Code _____, has been used in accordance
(Assignee)
with all of the terms and provisions set forth in the UIM_ID Guidelines as published by The Third
Generation Partnership Project 2 (3GPP2) and posted on the latter's web site on the date of this certification
("UIM_ID Guidelines"). We further specify that we have complied in specific with Sections 5, 6, and 7 of
the UIM_ID Guidelines.

We understand that failure to comply with the UIM_ID Guidelines (including but not limited to Sections 5,
6, and 7) will result in the forfeiture of the above UIM_ID Code(s).

Serial Numbers used thus far are in the range of _____ to _____.

Signed: _____

Title: _____

Date: _____

Return completed Form G to:

UIM_ID Administrator
c/o Telecommunications Industry Association
2500 Wilson Boulevard, Suite 300
Arlington, VA 22201 USA
Phone: +1 703-907-7700 Fax: +1 703-907-7728
uimadmin@tiaonline.org