

<http://www.icann.org/en/resources/compliance>

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General Update

ICANN's 51st Public Meeting in Los Angeles 13 – 17 October 2014

Read about our team's ICANN 51 activities and outreach sessions here:
<https://www.icann.org/resources/pages/outreach-2012-02-25-en>

Registrar Update

Privacy/Proxy Service Provider Proactive Monitoring

In October, ICANN launched a program to ensure compliance by Privacy and Proxy Service Providers under the 2013 RAA. The program reviews disclosure and publishing obligations, as well as new data escrow obligations for customer contact information.

Registry Update

Public Interest Commitments

As previously communicated, ICANN launched a proactive effort to assess Registry Operator readiness and compliance with the obligations of Public Interest Commitments (PIC). As of 31 October 2014, over 80% of the gTLDs that responded have:

- Implement mechanisms to detect security threats.
- Maintain statistical reports on identified security threats and the actions taken.

The PIC assessment is ongoing.

Abuse Contact Data

ICANN continues to monitor registry operator obligations to publish email and mailing addresses, as well as the primary contact who manages inquiries about

¹ This update is provided for information purposes only. Please do not rely on the information contained within this update to make conclusions or business decisions.

malicious activity in the TLD. The most common non-compliance matters involve the mailing address and primary contact information not being published.

Registration Data Directory Services

ICANN also proactively monitors compliance with the WHOIS output of Specification 4, Section 1 of the Registry Agreement. This is accomplished through a review of the WHOIS format and output available at Whois.nic.tld. We also ensure that the site is available. WHOIS is the authoritative protocol used to query databases about domain names registered in the TLD.

Some of the deficiencies noted for Specification 4 include:

- (i) Unavailability of whois.nic.tld
- (ii) Extra keys in the WHOIS output
- (iii) Misnamed keys in WHOIS output
- (iv) Incorrect order of keys in WHOIS output

ICANN is collaborating with contracted parties to address those deficiencies, while taking into consideration the following requirements:

- (i) Specification 4 and ICANN's 12 September 2014 *Advisory on Clarifications to the New gTLD Registry Agreement, Specification 4*;
- (ii) *The 2013 Registrar Accreditation Agreement (RAA), Registration Data Directory Service (WHOIS) Specification.*

Compliance with IPv6 obligations

One of the New gTLD Program innovations implemented to support the expansion of Internet addresses involves requiring registry operators to offer IPv6 services.

ICANN launched proactive monitoring of the obligations under Specification 6, the Registry Interoperability and Continuity Specifications Section 1.5. This section requires a registry operator to manage at least two IPv6 name servers, as well as offer services, such as WHOIS, over IPv6.

Audit Program Update

New Registry Agreement Audit Update

In October, registry operators that received audit reports with deficiencies were either working on an action plan, remediating the identified deficiencies or are providing evidence to resolve the issue.

We expect some of these actions to be completed in November 2014. ICANN will verify the remedial actions.

Year Three Audit Program Update

The Year Three Audit program was launched on 6 October 2014 with a pre-audit notification (see timeline below). The audit notice followed on 20 October. A total of 312 registrars and six registries received the request for information notification. In addition, ICANN conducted two outreach sessions with the contracted parties to share the objective, scope and address their questions. Please refer to the frequently asked questions document at this link: <https://www.icann.org/resources/pages/faqs-2012-10-31-en>.

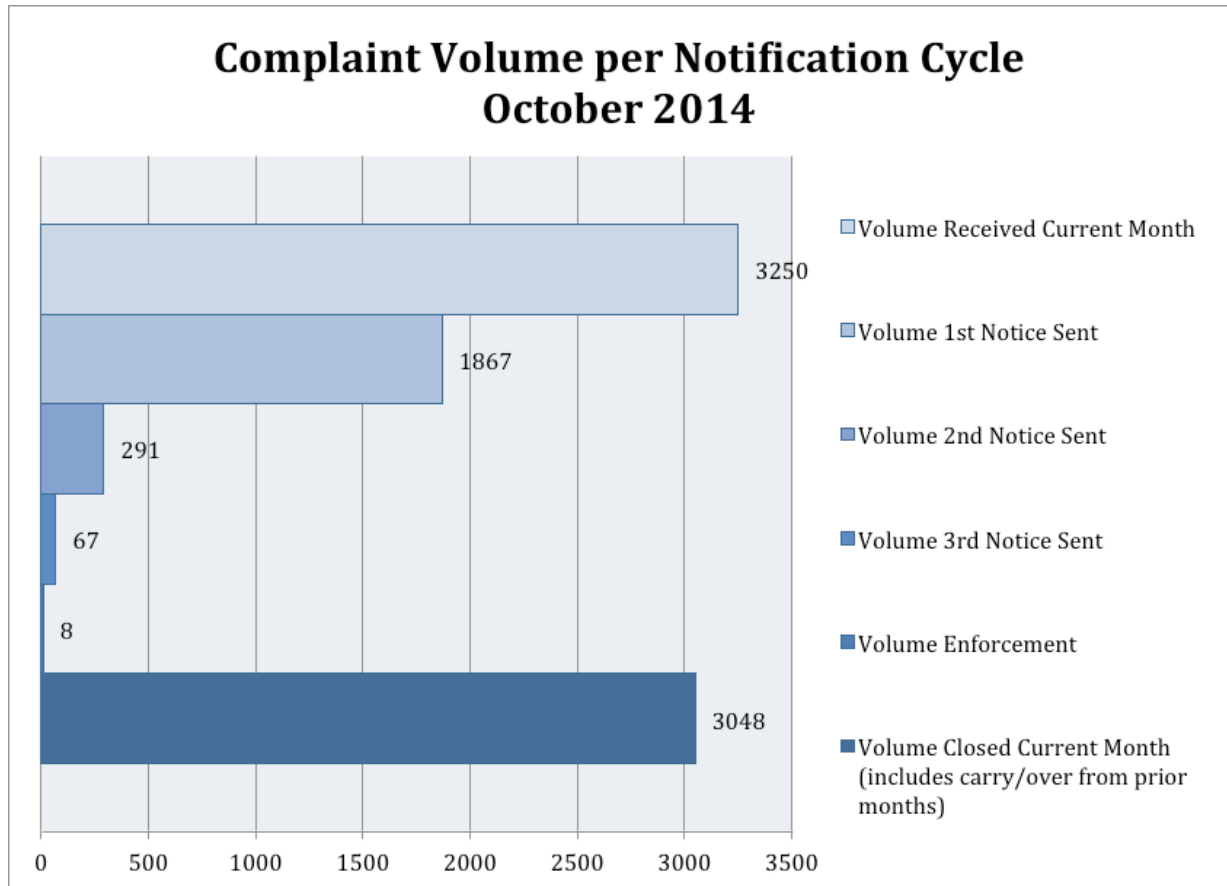
Year Three Audit Program Milestone Dates

| Pre-Audit Notification | RFI Notification Phase | | | | Audi Phase | | Reporting Phase | | Remediation Phase | |
|------------------------|---|------------------|------------------|----------------------|------------|-----------|-----------------|-----------|-------------------|-----------|
| | RFI - 1st Notice | RFI - 2nd Notice | RFI - 3rd Notice | RFI - 3rd Notice Due | Start | End | Start | End | Start | End |
| 06-Oct-14 | 10/20/2014 *Outreach session(s): 21 and 22 Oct 2014 | 11-Nov-14 | 18-Nov-14 | 24-Nov-14 | 01-Dec-14 | 06-Mar-15 | 09-Mar-14 | 23-Mar-15 | 09-Mar-15 | 29-May-15 |

Please refer to <https://www.icann.org/resources/pages/audits-2012-02-25-en> to learn more about this program.

Please send your questions to ComplianceAudit@icann.org

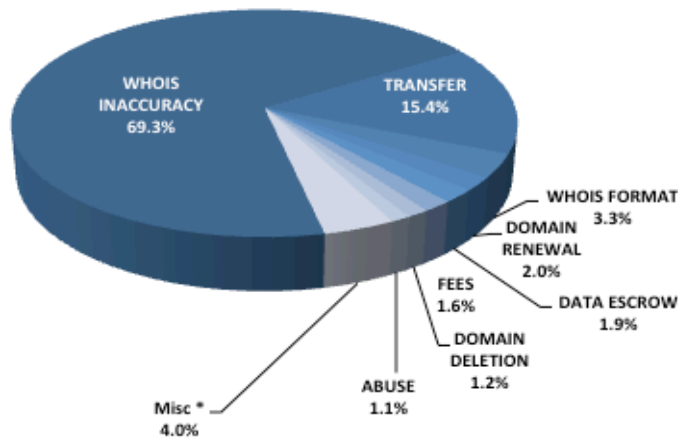
Complaints Handling and Enforcement Summary



- **Volume Received Current Month** = tickets submitted in current month
- **Volume 1st Notice Sent** = number tickets where 1st Notice was sent in current month
- **Volume 2nd Notice Sent** = number tickets where 2nd Notice was sent in current month
- **Volume 3rd Notice Sent** = number tickets where 3rd Notice was sent in current month
- **Volume Enforcement** = number enforcement notices sent in current month
- **Volume Closed** = number tickets closed in current month

Registrar - Volume Received Current Month **October 2014**

Complaint Distribution



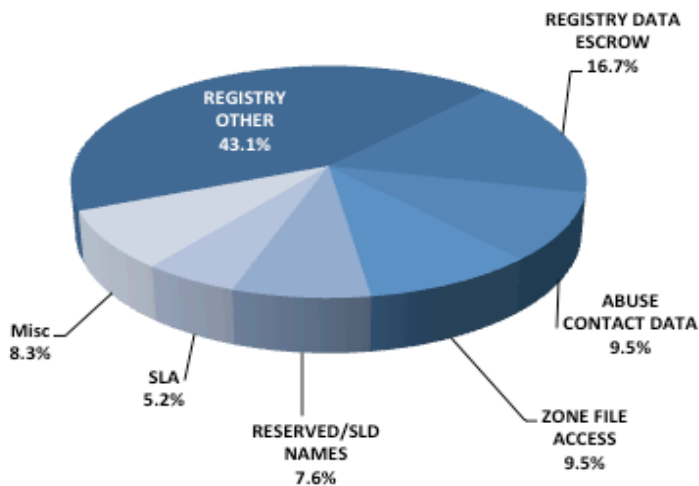
* Complaint types with count < 20

Complaints

| Type | Quantity |
|-----------------------------------|--------------|
| ABUSE | 32 |
| CUSTOMER SERVICE | 8 |
| DATA ESCROW | 54 |
| DNSSEC, IDN, IPV6 | 10 |
| DOMAIN DELETION | 35 |
| DOMAIN RENEWAL | 57 |
| FEES | 46 |
| PRIVACY/PROXY | 6 |
| REGISTRAR CONTACT | 3 |
| REGISTRAR INFO SPEC | 5 |
| RESELLER AGREEMENT | 19 |
| TRANSFER | 437 |
| UDRP | 14 |
| WHOIS FORMAT | 94 |
| WHOIS INACCURACY | 1961 |
| WHOIS QUALITY REVIEW | 1 |
| WHOIS SLA | 28 |
| WHOIS UNAVAILABLE | 20 |
| Total Complaints Processed | 2,830 |
| Total Complaints Closed | 2,870 |

Registry - Volume Received Current Month **October 2014**

Complaint Distribution



- *PIC Complaints are ICANN generated inquiries
- ** Please refer to Registry Update on page 2 for more information.

Complaints

| Type | Quantity |
|-----------------------------------|------------|
| ABUSE CONTACT DATA | 40 |
| BANKRUPTCY | 1 |
| CLAIMS SERVICES | 3 |
| CODE OF CONDUCT | 1 |
| MONTHLY REPORT | 2 |
| PIC * | 7 |
| REGISTRY DATA ESCROW | 70 |
| REGISTRY FEES | 15 |
| REGISTRY OTHER ** | 181 |
| NAME COLLISION CI | 32 |
| RR-DRP | 5 |
| SLA | 22 |
| SUNRISE | 1 |
| ZONE FILE ACCESS | 40 |
| Total Complaints Processed | 420 |
| Total Complaints Closed | 178 |

| ENFORCEMENT ACTIVITY for OCTOBER | | | | | | |
|----------------------------------|-----------|-------------------------------------|---------|-------------|--|---|
| SENT DATE | DUE DATE | REGISTRAR | IANA ID | NOTICE TYPE | STATUS | FAILURE NOTICE BASIS |
| 1-Oct-14 | 22-Oct-14 | Homestead Limited dba Namevault.com | 1428 | Breach | Data and Documents Under Review by ICANN; Breaches Cured | Investigate and respond to abuse reports (RAA 3.18) |
| | | | | | | Maintain and provide communication records (RAA 3.4.2/3) |
| | | | | | | Provide a policy consistent with the requirements of 2.1 of the ERRP |
| | | | | | | Maintain accurate and current contact information (RIS/RAA 3.17) |
| | | | | | | Pay accreditation fees (RAA 3.9) |
| 3-Oct-14 | 24-Oct-14 | Internetters Limited | 424 | Breach | Cure Period Extended Until 5 November 2014 | Provide a policy consistent with the requirements of 2.1 of the ERRP |
| | | | | | | Send renewal reminderst to RNH (2.1.1 ERRP) |
| | | | | | | Interrupt the DNS resolution path from expiration to deletion (2.2 ERRP) |
| | | | | | | Maintain and provide communication records (RAA 3.4.2/3) |
| | | | | | | Publish on website information required by the Registrar Information Specification (RAA 3.17) |
| 10-Oct-14 | 31-Oct-14 | Todaynic.com, Inc | 697 | Breach | Data and Documents Under Review by ICANN | Investigate and respond to abuse reports (RAA 3.18) |
| | | | | | | Maintain and provide communication records (RAA 3.4.2/3) |
| | | | | | | Display link to ICANN's Registrant Educational Information (RAA 3.16) |
| | | | | | | Publish on website information required by the Registrar Information Specification (RAA 3.17) |
| | | | | | | Display renewal/redemption fees (ERRP 4.1) |
| | | | | | | Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2) |
| | | | | | | Pay accreditation fees (RAA 3.9) |
| 10-Oct-14 | 31-Oct-14 | FBS Inc. | 1110 | Breach | Data and Documents Under Review by ICANN | ï |
| | | | | | | Display link to ICANN's Registrant Educational Information (RAA 3.16) |
| | | | | | | Publish on website information required by the Registrar Information Specification (RAA 3.17) |
| | | | | | | Publish on website email address for abuse reports (RAA 3.18.1) |
| | | | | | | Display correct ICANN Logo on website (RAA Logo License Appendix) |
| | | | | | | Pay accreditation fees (RAA 3.9) |

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|-----------|-----------|-------------------------------|------|-------------|--|--|
| 17-Oct-14 | 7-Nov-14 | Vigson, Inc. | 1646 | Breach | | Maintain current commercial general liability insurance (RAA 3.10) |
| | | | | | | Communicate contact data changes (RAA 5.11) |
| | | | | | | Pay accreditation fees (RAA 3.9) |
| 20-Oct-14 | 10-Nov-14 | Shanghai Yovole Networks, Inc | 1470 | Breach | Data and Documents Under Review by ICANN | Send renewal reminders to RNH (2.1.1 ERRP) |
| | | | | | | Interrupt the DNS resolution path from expiration to deletion (2.2 ERRP) |
| | | | | | | Maintain and provide communication records (RAA 3.4.2/3) |
| | | | | | | Display link to ICANN's Registrant Educational Information (RAA 3.16) |
| | | | | | | Publish on website information required by the Registrar Information Specification (RAA 3.17) |
| 24-Oct-14 | | Domain Services Rotterdam BV | 1450 | Termination | Effective 21 November 2014 | Cure any RAA breach within 21 calendar days (5.5.4 RAA) |
| 31-Oct-14 | 21-Nov-14 | DreamHost, LLC | 431 | Breach | | Take reasonable steps to investigate claimed Whois inaccuracies (RAA 3.7.8) |
| | | | | | | Maintain and provide communication records (RAA 3.4.2/3) |
| | | | | | | Validate and verify Whois contact information (Whois Accuracy Program Specification 2 and 4) |
| | | | | | | Suspend or terminate a domain name after RNH failed to respond for over 15 days (Whois Accuracy Program Specification 5) |
| | | | | | | Provide domain name data in the specified response format (RAA-RDDS 1.4) |
| | | | | | | Publish on website information required by the Registrar Information Specification (RAA 3.17) |
| | | | | | | Publish on website email address for abuse reports (RAA 3.18.1) |
| | | | | | | Provide a policy consistent with the requirements of 2.1 of the ERRP |
| | | | | | | Display renewal/redemption fees (ERRP 4.1) |
| | | | | | | Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2) |
| | | | | | | Include privacy/proxy customer contact information in Registration Data Escrow deposits ("P/P Specification 2.5) |

| ENFORCEMENT ACTIVITIES from PRIOR MONTHS | | | | | | |
|---|-----------|--------------------------------------|---------|-------------|--|--|
| SENT DATE | DUE DATE | REGISTRAR | IANA ID | NOTICE TYPE | STATUS | FAILURE NOTICE BASIS |
| 18-Jul-14 | 8-Aug-14 | Brandon Gray Internet Services, Inc. | 636 | Breach | Cure Period Extended to 12 September 2014; Cure Period Extended to 22 September 2014; Documents and Data Under Review by ICANN; Breaches cured | Ensure that resellers do not subject RNHs to deceptive practices (RAA 3.12.7 and RBRS 3) |
| | | | | | | Publish on website information required by the Registrar Information Specification (RAA 3.17) |
| 13-Aug-14 | 3-Sep-14 | OnlineNIC, Inc | 82 | Breach | Cure Period Extended to 10 September 2014; Data and Documents Under Review by ICANN; Breaches cured | Maintain and provide communication records (RAA 3.4.2/3) |
| | | | | | | Allow RNH to transfer domain name (IRTP 1) |
| | | | | | | Provide AuthInfo code (IRTP 5) |
| | | | | | | Enforce compliance with registrar-reseller agreement re: provision of Registrar Services (RAA 3.12) |
| | | | | | | Ensure reseller's registration agreement includes mandatory provisions and identifies registrar (RAA 3.12.2) |
| | | | | | | Enforce reseller-registrar agreement to cure and prevent instances of non-compliance (3.12.6 RAA) |
| | | | | | | Display renewal/redemption fees (ERRP 4.1) |
| Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2) | | | | | | |
| 22-Aug-14 | 12-Sep-14 | 35 Technology Co., Ltd. | 1316 | Breach | Data and Documents Under Review by ICANN; Cure Period Extended to 24 September 2014; Data and Documents Under Review by ICANN; Cure Period Extended to 14 October 2014; Cure | Take reasonable steps to investigate claimed Whois inaccuracies (RAA 3.7.8) |
| | | | | | | Validate and verify Whois contact information (Whois Accuracy Program Specification 2 and 4) |
| | | | | | | Maintain and provide communication records (RAA 3.4.2/3) |
| | | | | | | Allow RNH to transfer domain name (IRTP 1) |
| | | | | | | Provide AuthInfo code (IRTP 5) |

| | | | | | | |
|-----------|-----------|---|-------------|--------|--|---|
| | | | | | Period Extended Until 27 October 2014; Data and Documents Under Review by ICANN | <p>Display link to ICANN's Registrant Educational Information (RAA 3.16)</p> <p>Publish on website information required by the Registrar Information Specification (RAA 3.17)</p> |
| 3-Sep-14 | 23-Sep-14 | Black Ice Domains | 1017 | Breach | Data and Documents Under Review by ICANN; Cure Period Extended Until 31 October 2014 | <p>Pay accreditation fees (RAA 3.9)</p> <p>Display renewal/redemption fees (ERRP 4.1)</p> <p>Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2)</p> <p>Provide Whois Services (RAA 3.3.1)</p> |
| 9-Sep-14 | 30-Sep-14 | Tong Ji Ming Lian (Beijing) Technology Corporation | 1523 | Breach | Data and Documents Under Review by ICANN; Breaches cured | <p>Pay accreditation fees (RAA 3.9)</p> <p>Provide Whois Services (RAA 3.3.1)</p> <p>Communicate contact data changes (RAA 5.11)</p> |
| 9-Sep-14 | 30-Sep-14 | PT Ardh Global Indonesia | 1503 | Breach | Data and Documents Under Review by ICANN; Cure Period Extended Until 31 October 2014 | <p>Take reasonable steps to investigate claimed Whois inaccuracies (RAA 3.7.8)</p> <p>Maintain and provide communication records (RAA 3.4.2/3)</p> <p>Link to ICANN's registrant rights & responsibilities website (RAA 3.15)</p> <p>Display renewal/redemption fees (ERRP 4.1)</p> |
| 11-Sep-14 | 2-Oct-14 | Domain Services Rotterdam BV | 1450 | Breach | <i>Escalated to termination</i> | Pay accreditation fees (RAA 3.9) |
| 16-Sep-14 | 7-Oct-14 | GKG.NET, INC. | 93 | Breach | Data and Documents Under Review by ICANN; Cure Period Extended Until 17 October 2014; Breaches Cured | <p>Pay accreditation fees (RAA 3.9)</p> <p>Display renewal/redemption fees (ERRP 4.1)</p> <p>Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2)</p> |
| 17-Sep-14 | 8-Oct-14 | Registration Technologies, Inc | 321 | Breach | Data and Documents Under Review by ICANN; Cure Period Extended Until 20 October 2014; Cure Period Extended Until 29 October 2014; Breaches | <p>Maintain and provide communication records (RAA 3.4.2/3)</p> <p>Allow RNH to transfer domain name (IRTP 1) or provide valid reason for denial (IRTP 3)</p> <p>Provide AuthInfo code (IRTP 5)</p> <p>Link to ICANN's registrant rights & responsibilities website (RAA 3.15)</p> |

| | | | | | | |
|-----------|-----------|-------------------------------|-------------|------------|--|--|
| | | | | | Cured | Provide a policy consistent with the requirements of 2.1 of the ERRP |
| 18-Sep-14 | 9-Oct-14 | Times Internet Limited | 1457 | Breach | Cure Period Extended Until 23 October 2014 | Provide Whois Services (RAA 3.3.1) |
| | | | | | | Display link to ICANN's Registrant Educational Information (RAA 3.16) |
| | | | | | | Publish on website information required by the Registrar Information Specification (RAA 3.17) |
| | | | | | | Display renewal/redemption fees (ERRP 4.1) |
| | | | | | | Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2) |
| 22-Sep-14 | | Dotname Korea Corp. | 1132 | Suspension | Effective from 7-Oct-14 to 5-Jan-15 | Cure breaches of the RAA within 21 days (RAA 5.5.4) |
| 24-Sep-14 | 15-Oct-14 | Dotname Korea Corp. | 1132 | Breach | Data and Documents Under Review by ICANN | Take reasonable steps to investigate claimed Whois inaccuracies (RAA 3.7.8) |
| | | | | | | Maintain and provide communication records (RAA 3.4.2/3) |
| | | | | | | Validate and verify Whois contact information (Whois Accuracy Program Specification 2 and 4) |
| | | | | | | Suspend or terminate a domain name after RNH failed to respond for over 15 days (Whois Accuracy Program Specification 5) |
| | | | | | | Provide domain name data in the specified response format (RAA-RDDS 1.4) |

Please refer to <http://www.icann.org/en/resources/compliance/notices> for up-to-date information on enforcement activities.