



Procedures Manual

Module 3: Application and Licensing Processes

LPM3/DE05.001

December 16th, 2005

**National Telecommunications Regulatory Commission
Saint Lucia**

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Module 3: Application and Licensing Process

3.1 General

3.1.1 The Act, at Section 29 requires that any person wishing to establish or operate a telecommunications network or provide a telecommunications service, must apply for and obtain a licence from the Commission. In cases where a frequency authorization is required for the operation of the network, or the offering of the service, such authorization must be obtained from the Commission before the network is made operational or the service offered to the public.

3.2 Scope

3.2.1 This module presents the application and licensing processes that have been instituted under the Telecommunications Act 2000 and the Telecommunications (Licensing and Authorisation) Regulations, 2002, for the following instruments: Individual Licences, Class Licences, Special Licences, Frequency Authorisation. Specifically, the module describes the processes from the time an application for a licence is filed with the Commission, to the communication of the recommendation to the Minister as to whether or not the licence or frequency authorisation ought to be granted.

3.3 Licence Classifications (Reg. 4, 8 & 13)

3.3.1 Licence classes are technology neutral. The determining factor for licence classification will be the service that will be provided. Under the Act, four (4), licence categories have been developed. The following summaries given are not definitions for the licences identified. For the definitions of the licences, prospective applicants must be guided by the information provided in the Telecommunications Act 2000.

Individual Licence

The services that fall under this licence are generally infrastructure-oriented, requiring the establishment of networks for their deployment. For this reason, the term for such licences is normally 15 years. Those services often provide the network/foundation upon which other services (such as Value-Added Services) can be supported.

Class Licence (Type A)	The services that fall under Type A Class Licence are those for which applicants seek to be providers of telecommunications services, such as Internet Service Provision and International Simple Voice Resale.
Class Licence (Type B)	The services that fall under Type B Class Licence are those for which applicants would be users of telecommunications services. They include Amateur Radio, Land Mobile Radio, Maritime Mobile Radio and Aeronautical Mobile Radio Services.
Class Licence (Type C)	The services that fall under Type C Class Licence are those that can be construed as other support services and controls for the sector. They include Type Approval, Terminal Equipment Dealer's Certification and Customer Premises Wiring. Note: Although these services have been categorised as Class Licences, they will be discussed in <i>Module 5: Terminal Equipment and Public Networks</i> .
Frequency Authorization Licence	This is an ancillary licence, which would be required in addition to the Individual or Class Licence for wireless applications or services that require use of the spectrum. In some cases, specifically for services under Class Licence Type C, the requirements for an Application for Frequency Authorization are satisfied within the respective licence application forms.
Special Licence	This is a special licence to be issued under the discretion of the Minister and only in emergency or exigent circumstances. These licences are not to exceed ten (10) days.

The Application Forms for these licences are available from the local National Telecommunications Regulatory Commission or on its web site at www.ntrc.org.lc .

3.4 Applications for Individual Licences (Reg. 4)

3.4.1 Applications for Individual Licences can be filed for the following services:

- (a) Fixed Public Telecommunications;
- (b) Public Mobile Telecommunications;
- (c) Internet Networks & Services;
- (d) Broadband Networks and services;
- (e) Public Radio Paging; and
- (f) Submarine Cable.

Application Process

3.4.2 Three copies of the application for an individual licence shall be submitted to the Commission, and shall be

- (a) in the prescribed form and contain such information and particulars as set out in the application form, which can be found in Annex III-A to this module and on the NTRC web site, and
- (b) accompanied by the prescribed application fee, which is found in the Fees Section of this manual.

3.4.3 Upon receipt of an application for an individual licence, the Commission shall:

- (i) Issue a receipt in respect of the application fees paid;
- (ii) Send an acknowledgement of receipt of the application;
- (iii) If omissions have been identified in the application as submitted, notify and invite the applicant to supply outstanding information;
- (iv) Upon receipt of outstanding information, conduct a preliminary review of the application;
- (v) When the application is deemed complete and comprehensive, forward it to ECTEL for its review and recommendation;
- (vi) Notify the applicant of the status of its application.

Assessment of Individual Licence Applications by ECTEL

3.4.4 ECTEL will assess the application and when necessary, it might request additional information either directly from the applicant or through the Commission.

3.4.5 Upon completion of its evaluation, ECTEL will forward its recommendation on whether or not the applicant should be awarded an individual licence to the Commission for onward transmission to the Minister.

Notification of Minister's Decision

- 3.4.6 The Minister shall notify the applicant of his or her decision within 30 days of receipt of the recommendation from ECTEL.
- 3.4.7 Where ECTEL has recommended that an individual license be granted, and the Minister so decides, the Minister shall issue the individual licence consistent with the provisions of the Act and upon payment of the prescribed fees set out in the Fees section of this manual.

3.5 Applications for Class Licences (Reg. 8)

- 3.5.1 Class Licences have been categorized as follows:

Class Licence – Type A

- (i) Restricted Internet Service Provision¹
- (ii) Full Internet Service Provision²;
- (iii) Value Added Services³
- (iv) Audiotext / Videotext
- (v) International Simple Voice Resale
- (vi) Private Network/Services

Class Licence – Type B

- (i) Amateur Radio
- (ii) Citizen Band Radio
- (iii) Aeronautical Mobile Radio
- (iv) Maritime Mobile Radio
- (v) Land Mobile Radio

¹ For up to 15 units, particularly suitable for Internet Cafes

² To the public at large

³ Value Added Services – A communications facility using common carrier networks for transmission and providing extra features with separate equipment; services that add value to the basic telecommunications service. An approved list of services that have been categorised as Value Added Services is given in Annex III-B

- (vi) Ship Station Radio
- (vii) Aircraft Station Radio
- (viii) Family Radio Service Band⁴

Class Licence – Type C⁵

- (i) Type Approval⁶
- (ii) Terminal Equipment Dealer's Registration⁷
- (iii) Customer Premises Wiring Registration⁸

Application Process

3.5.2 An application for a Class Licence shall be submitted to the Commission, and shall be:

- (a) in the prescribed form and contain such information and particulars as specified in the form, which can be found in Annex III-C to this module and on the NTRC web site, and
- (b) accompanied by the prescribed application fee found in the Fees Section of this manual.

3.5.3 Upon receipt of an application for a Class Licence, the Commission shall:

- (i) Issue a receipt in respect of the application fees paid;
- (ii) Send an acknowledgement of receipt of the application;
- (iii) Conduct a preliminary review of the application to ensure that all sections of the application have been completed and that all stated supporting documents have been supplied;

⁴ Restricted to non-commercial use.

⁵ Strictly speaking, the topics listed under this heading do not require licences, but have been deemed Other Services, which include support services and controls for sector management. A fuller treatment of their requirements has been given in *Module 5: Terminal Equipment and Public Networks*.

⁶ Certificate of type approval must be issued in order to install, sell for use or use any item of telecommunications equipment in St. Lucia.

⁷ Registration is required for the provision of installation, maintenance and repair of terminal equipment.

⁸ Registration is required for the supply of cables or the installation, maintenance and repair of cable-associated services.

- (iv) If omissions have been identified in the application as submitted, notify and invite the applicant to supply outstanding information;
- (v) When the outstanding information has been supplied, promptly initiate its review procedure.

Assessment of Class Licence Applications by the Commission

- 3.5.4 The Commission will assess the application and when necessary, it might request additional information from the applicant.
- 3.5.5 In reviewing applications for services categorised under Class Licence Type A, the Commission will ensure that
 - (a) the legal requirements are satisfied,
 - (b) the source of funds have been clearly identified,
 - (c) adequate funding is available to establish business,
 - (d) the proposed business (as per the business plan) is financially viable,
 - (e) the required technical content has been provided and the requisite technical expertise is available.
- 3.5.6 In reviewing applications for services categorised under Class Licence Type B, the Commission will ensure, in addition to receiving all stated supporting documents, that the required technical content and equipment listings have been provided.
- 3.5.7 The Commission may decide to issue a public notice for consultation with the public, experts, industry or other interested parties, or adopt any other reasonable process to aid in deciding whether to grant a licence to an applicant to operate under a class licence.
- 3.5.8 Upon completion of its evaluation and ratification of its decision, the Commission will forward to the Minister its recommendation on whether or not the applicant should be awarded a Class Licence, and notify the applicant that the Commission's assessment has been completed.

Notification of Minister's Decision

- 3.5.9 The Minister shall decide whether or not to grant a class licence to the applicant and shall notify the applicant of that decision within 90 days of receipt of the application;

3.6 Frequency Authorizations (*Reg. 13-18*)

- 3.6.1 An Application for Frequency Authorization shall normally be submitted to the Commission when the proposed service requires exclusive use of specific frequencies. Such an application would be required in addition to an Individual, Class or Special licence when use of the radio frequency spectrum is required. The table presented in Annex III-D provides some guidelines as to when Frequency Authorization would be required
- 3.6.2 A separate Application for Frequency Authorisation is not required for services categorised under Class Licence Type B, as their application forms include the requirements to support the authorization of specified frequencies for the exclusive use of the applicant.
- 3.6.3 When frequency authorisation is required for Television Broadcast, Radio Broadcast or Community Radio Services, the applicant shall first seek the necessary licence from the Ministry of Information (or other relevant agency). After licence approval has been granted, the applicant will apply for frequency authorization through the Commission on the prescribed form, with evidence that a broadcast licence has been issued.
- 3.6.4 Generally, where the frequency bands to be used are shared by various users, no separate frequency application would be required. The licence, however, would impose the obligations with respect to the use of the band, especially in respect of harmful interference. Maritime Mobile Radio, Amateur Radio and Citizen Band Radio are cases of this principle of shared frequency bands that do not require separate applications for use of the spectrum.

Application Process

- 3.6.5 An application for a frequency authorization shall be submitted in writing to the Commission and shall be
- (a) in the prescribed form and contain such information and particulars as specified in the form, which can be found in Annex III-E to this module and on the NTRC web site, and
 - (b) accompanied by the prescribed application fee found in the Fees Section of this manual.
- 3.6.7 Upon receipt of an Application for Frequency Authorisation, the Commission shall ensure that the application has been filed to support an existing licence or an application for a licence.

- 3.6.8 The Commission will follow the procedures (i) to (v), as stated in paragraph 3.4.3, if the application is filed in conjunction with an Application for an Individual Licence and procedures (i) to (v), as stated in paragraph 3.5.3, if the application is filed in conjunction with an Application for a Class Licence.
- 3.6.9 If the Application for Frequency Authorisation is filed in conjunction with an Application for an Individual Licence, the Commission will forward both applications to ECTEL for its review and recommendation.
- 3.6.10 If the Application for Frequency Authorisation is filed in conjunction with an Application for a Class Licence, the Commission will evaluate the licence application first. Upon successful completion of that review, the Commission will consult with ECTEL on the frequency authorisation and will forward a copy of the application and supporting documents to ECTEL for its recommendation.
- 3.6.11 Upon receipt of a Class Licence Type B Application for which frequency authorisation is required, the Commission shall follow the procedures (i) to (v), as stated in paragraph 3.5.3. Upon successful completion of its review, the Commission will consult with ECTEL on the frequency authorisation and will forward a copy of the application and supporting documents to ECTEL for its recommendation.

Recommendations by the Commission

- 3.6.12 The evaluation of frequency authorisation applications would be based on, among other things, the technical integrity of the proposed services, the availability of spectrum and potential interference issues.
- 3.6.13 Upon completion of the review process and consultation with ECTEL, the Commission will make a recommendation to the Minister on the issuance of a frequency authorization, which shall be made within 60 days of receipt of a complete application.
- 3.6.14 The Commission shall not favourably recommend the issuance of frequency authorisation if the applicant has not been favourably recommended for the award of a licence.
- 3.6.15 Upon completion of the evaluation, the Commission shall notify the applicant of the status of its application.

Notification of the Minister's Decision

- 3.6.16 The Minister shall notify the applicant in writing, within 30 days of receipt of the recommendation of the Commission.

3.6.17 Where the application is approved, the Minister shall issue the frequency authorization upon payment of the applicable fee.

3.6.18 Where the application is refused, the Minister shall state in writing the reasons for the refusal.

3.7 Special Licence

3.7.1 Special licences are granted by the Minister only in emergency or other exigent circumstances. Such licences are normally valid for 10 days, and are not renewable.

3.7.2 An application for a Special Licence shall be submitted to the Minister, and shall be:

- (a) in the prescribed form and contain such information and particulars as specified in the form, a copy of which found in the annex to this module and on the NTRC web site, and
- (b) accompanied by the prescribed application fee found in the Fees Section of this manual

3.8 Licence and Frequency Authorisation Register

3.8.1 The Commission shall maintain registers at its principal office containing

- (a) each Individual Licence, Class Licence Frequency Authorisation and Special Licence issued by the Commission;
- (b) the names and registered office of each person licensed or authorised to operate under the Telecommunications Act

3.8.2 The Commission will publish and maintain register (b) on its website.

3.8.3 Both registers shall be open to public inspection and copies of entries in the Register shall be available on payment a fee, as prescribed in Module 1.

3.9 Limited Issue of Individual and Class Licences

3.9.1 In instances, particularly those where limited spectrum resources are employed, or when it has been proposed that the number of licences granted for the operation of a particular type of telecommunications network or for the provision of a

particular type of telecommunications service should be limited, on ECTEL's recommendation, the Commission shall have a Public Consultation on the subject, in keeping with Module 2, containing detailed reasons for the proposed limitation, and shall consider any representations made to it in respect of the proposed limitation.

- 3.9.2 On completion of the consultation exercise, the Commission shall publish a notice in the Gazette and in a local newspaper having a wide circulation, stating the grounds and period during which licences will be granted and the reasons for proposing to limit the number of licences.
- 3.9.3 The Commission shall undertake a periodic review of any limitations imposed on the number of licences that may be granted.

3.10 Policy Regarding the Issuance of Individual Licence

- 3.10.1 The Minister shall issue an individual licence on terms that are non-discriminatory.
- 3.10.2 For the purpose of subparagraph 1 above, a licence is considered to be issued on non-discriminatory terms if:
- (a) telecommunications providers of similar types of telecommunications networks are treated similarly;
 - (b) the licence does not favour any one telecommunications provider or class of telecommunications providers; and
 - (c) the issuance of the licence does not, and is not likely to, adversely affect competition in any market.
- 3.10.3 In granting an individual licence, in addition to the recommendation of ECTEL, the Minister shall also take into account the other factors set out in Section 32 of the Act.
- 3.10.4 The Minister shall not grant an individual licence unless ECTEL so recommends.

Individual Licence(s) Application Form

Under section 30.1 of the Telecommunications Act 2000

St. Lucia

Please tick as appropriate:

- Fixed Public Telecommunications Licence
- Public Mobile Telecommunications Licence
- Public Radio Paging Licence
- International Simple Voice Resale Licence
- Internet Networks/Services
- Submarine Cable Licence

St. Lucia National Telecommunications Regulatory Commission
NTRC Secretariat
PO Box GM690
Castries
St. Lucia

June 2001

Guidance Notes

- Three (3) copies of the completed application form should be submitted in an envelope clearly marked "Telecommunications Individual Licence Application" addressed to the Secretary, St. Lucia National Telecommunications Regulatory Commission, NTRC Secretariat, PO Box GM690, Castries, St. Lucia.
- The completed application form must be accompanied by a fee of one thousand Eastern Caribbean Dollars (EC\$1000.00) per licence, payable to the National Telecommunications Regulatory Commission, St. Lucia.

- Please note that this form may also be used for an application to modify an existing licence under section 40.2 of the Telecommunications Act 2000.
- Please indicate which, if any, information provided by the applicant in this application is confidential.
- Please note that any word, phrase or expression used herein shall have the same meaning as it has in the Telecommunications Act 2000.

1. **PART I -THE APPLICANT**

(Please complete fully in type or block letters)

1.1 **Contact Details**

1.1.1 Name and business address of applicant

1.1.2 Designated contact person

1.1.3 Telephone number

1.1.4 Fax number

1.1.5 E-mail address

1.1.6 Website

1.2 **Business Details**

1.2.1 State whether the applicant is a company, partnership, joint venture or other body

1.2.2 If the applicant is a company, partnership, joint venture or other body please give the name(s), private address and nationality of each of the current directors, company secretary, or partners:

Name & Nationality

Address

1.2.3 Name under which applicant proposes to trade, and registered office address if different to above:

1.2.4 In the case of a company or other body corporate, please supply the company's registered number. If not incorporated in St. Lucia, please provide any registration number, which the companies registration office in St. Lucia may have issued.

1.2.5 Please provide certified copies of the Certificate and Memorandum of Incorporation

1.2.6 Address in St. Lucia for service of process or other notices (in case of overseas applicant)¹

1.3 History of the Applicant

1.3.1 Has the applicant ever applied for a licence or registration under any Act in St. Lucia?

[YES] [NO]

If NO, proceed to question 1.3.2

If YES, was the licence granted or refused?

¹ Where the applicant is located overseas, the application must include an address for service of process and any other notice in St. Lucia.

[YES] [NO]

If YES, under what Act(s) was/were the licence(s) granted?

If NO, on what grounds was/were the licence(s) refused?

1.3.2 Has the applicant engaged in any type of business in St. Lucia

[YES] [NO]

If YES, indicate the type of business

1.3.3 Has the applicant ever been licensed under the Telecommunications Act 2000?

[YES] [NO]

1.3.4 If the answer to question 1.3.2 is YES, has any such licence been revoked?

[YES] [NO]

If YES, on what grounds was the licence revoked?

1.3.5 Has any Affiliate of the applicant previously been granted a licence under the Telecommunications Act 2000, which was revoked?

[YES] [NO]

If YES, state reasons

1.3.6 Is the applicant the holder of a telecommunications licence in any other country?

[YES] [NO]

If YES, state which other countries

1.3.7 Has the applicant or any Affiliate been refused a telecommunications licence in any country, or had a licence revoked?

[YES] [NO]

If YES, state the grounds for refusal or revocation

1.3.8 Has the applicant operated under or carried on business under any name other than the name in this application?

[YES] [NO]

If YES, state the name of the business

1.3.9 Does the applicant have any experience in providing telecommunications services?

[YES] [NO]

If YES, indicate the nature, type of service and nature of the experience

If NO, indicate experience of personnel providing the telecommunications service

2. **PART II - APPLICANT'S BUSINESS AND PROPOSED NETWORK AND/OR SERVICE(S)**

2.1 **Financial Information and Business Plan**

2.1.1 Please provide a comprehensive business plan. The plan should outline any assumptions used and should cover a period of at least three (3) years. The information provided must include (with independent confirmation as appropriate):

- Sources of funding (with declaration of source funds, supported by affidavit)
- Availability of funding (e.g. comfort letters);
- Proforma financial statements for three (3) years to include balance sheets, cash flow and income statements; and
- Market forecasts.

2.1.2 For an ongoing concern, please provide Audited Financial Reports including certified Income Statements and Balance Sheets for the last three (3) years in respect of the company, partnership, joint venture or other body, on whose behalf the application is being submitted.

In the case of a new entity, please provide a certified statement of financial affairs of each director

2.1.3 Please provide a diagrammatic representation of the applicant's group structure, including the percentage of shares held. Please indicate which affiliates have, or intend to apply for, other telecommunications licences.

2.1.4 Please provide the names of shareholders with at least 10% of issued shares and their percentage shareholding.

2.1.5 Does the applicant have any shareholdings of over 5% in any other licensed telecommunications provider in the OECS?

[YES] [NO]

If YES, give the name(s) of provider(s) and percentage shareholding

2.1.6 Does the applicant have any other trading activities in or outside the telecommunications market?

[YES] [NO]

If the answer is YES, please provide details of any arrangements made to ensure no cross-subsidisation between the applicant's:

- telecommunications and non-telecommunications activities
- wholesale and retail activities
- telecommunications equipment production or supply and other telecommunications activities.

2.1.7 Please provide brief resumés of key managerial staff, indicating relevant prior experience, qualifications and other sources of expertise as appropriate, and also explain what technical resources exist to help complete plans.

2.1.8 Has any member of the applicant's managerial staff has been bankrupt, filed bankruptcy or filed bankruptcy proceedings?

[YES] [NO]

If the answer is YES, please attach a certified copy of the discharge.

2.1.9 Has any member of the applicant's managerial staff been a director of a company which has become insolvent or has filed bankruptcy proceedings?

[YES] [NO]

If the answer is YES, please provide the name of the company.

2.1.10 Has the applicant or any member of the applicant's managerial staff ever been the defendant or respondent in any proceedings in any court in any jurisdiction involving dishonesty, fraud, theft or violence, or is the applicant or any member of the applicant's managerial staff currently the subject of a charge or indictment under the law of any country for contravention of any law or for any conduct involving dishonesty, fraud, theft or violence?

[YES] [NO]

If YES, provide details

2.2 **Applicant's Current Activities**

Please provide answers to the following questions in relation to

- (a) the applicant's activities in the OECS;
- (b) the applicant's activities elsewhere in the Caribbean;
- (c) the applicant's activities elsewhere in the world.

Networks

- 2.2.1 Please provide a summary of the infrastructure that the applicant has in place, including radio-based infrastructure.
- 2.2.2 If the applicant is using radio frequency spectrum, please provide details of the frequency authorisations held, including the number of frequency authorisations and the reference number of each frequency authorisation.

Services

- 2.2.3 Please provide details of the products and services being provided by the applicant and the terms (including prices) on which they are available. In particular, please provide details on the number of customers and lines installed.
- 2.2.4 Please provide details of current contracts with all classes of customers, as well as copies of all such contracts.

Licence obligations

- 2.2.5 Please provide details of how the applicant currently complies with the following obligations in relation to its existing networks and/or services (where relevant):
 - (a) any build-out obligations
 - (b) any public payphone obligations
 - (c) any obligations to provide access to emergency services
 - (d) any universal service obligations
 - (e) any customer obligations, including the provision of information services, quality of service obligations, and dispute resolution procedures
 - (f) any interconnection or facility-sharing obligations, including details of the cost accounting system to be adopted by the applicant in order to allow unbundling of interconnection charges and the calculation of component costs
 - (g) any leased line and resale obligations
 - (h) any privacy and confidentiality obligations

- (i) any non-discrimination obligations

2.3 Applicant's Proposed Activities

Networks

- 2.3.1 Please provide a summary of the infrastructure that the applicant is planning to put in place within the next three (3) years, including radio-based infrastructure.
- 2.3.2 If the applicant is planning to use radio frequency spectrum, please indicate whether an application has been submitted for a frequency authorisation and provide details (copies may be enclosed if preferred).

Services

- 2.3.3 Please provide a description of each proposed service, including details on the following:
 - all technical aspects of the services (including equipment)
 - how access to the service is to be provided (e.g. indirect access, direct access, leased lines, etc.)
 - targeted customer base, including number of customers targeted
- 2.3.4 Please provide details of any proposed supply relationships in respect of the proposed network and/or services.

Licence obligations

- 2.3.5 Please provide details of how the applicant proposes to comply with the following obligations in relation to its proposed networks and/or services (where relevant):
 - (a) any build-out obligations
 - (b) any public payphone obligations
 - (c) any obligations to provide access to emergency services
 - (d) any universal service obligations
 - (e) any customer obligations, including the provision of information services, quality of service obligations, and dispute resolution procedures
 - (f) any interconnection or facility-sharing obligations, including details of the cost accounting system to be adopted by the applicant in order to allow unbundling of interconnection charges and the calculation of component costs

- (g) any leased line and resale obligations
- (h) any privacy and confidentiality obligations
- (i) any non-discrimination obligations

3. **PART III - DECLARATION²**

On behalf of the applicant, I declare that the information provided by me on behalf of the applicant is accurate and complete in all respects.

Signed:

Full name of signatory:

Position held:

Date:

² This declaration must be signed:

- (i) in the case of an **individual**, by the person in whose name the application is made;
- (ii) in the case of a **partnership**, by a partner; or
- (iii) in the case of a **company or other body corporate**, by a director, company secretary or other authorised officer.

Approved List of Value-Added Services

- Sending and receiving emails on mobile phone
- Receiving emails on pagers
- Broadband entertainment available with internet access
- Wholesale calling card
- Enhanced call routing
- International toll free services
- Universal international freephone number
- Electronic mail
- Voice mail
- Direct Access Code Dialling
- Bulletin Board Service
- Video conferencing
- Morning Alarm Service
- Virtual office services
- Fax store and forward
- Internet access through mobile phone
- Fax transmission through mobile phone
- Mobile Originated Short Messaging Service (SMS) - messages sent from mobile phone
- Transmission of SMS between mobile phones
- Accessing general public information through mobile phone, e.g. exchange rates, flight schedule, news and sports
- Mobile conference calls
- Call forward
- Mobile Call forward
- Call barring
- Mobile Call barring
- Calling Line Identification Presentation (CLIP)
- Calling Line Identification Restriction (CLIR)
- Call wait
- Call hold
- Mobile voice mail
- Alert of SMS received mail

Class Licence(s) Application Form – Type A

Under section 33.1 of the Telecommunications Act 2000

Saint Lucia

Please tick as appropriate:

- Private Telecommunications Network Licence
- Value-Added Services Licence
- Restricted Internet Service Provision Licence (= 15 units)
- Full Internet Service Provision Licence (>15 units)
- International Simple Voice Resale Licence
- Short Term Licence (< 15 days)
- Audio-text Services
- Video-text Services

National Telecommunications Regulatory Commission

NTRC Secretariat

Vide Boutie lle

P. O. Box GM 690

Castries

Guidance Notes

- Three (3) copies of the completed application form should be submitted in an envelope clearly marked "Telecommunications Licence Application" addressed to the Secretary, National Telecommunications Regulatory Commission, Vide Boutielle, P. O. Box GM 690, Castries, St. Lucia.
- The completed application form must be accompanied by a fee of five hundred (EC\$500.00) Eastern Caribbean dollars per licence, payable to the National Telecommunications Regulatory Commission, St. Lucia.
- Please indicate which, if any, information provided by the applicant in this application is confidential.
- Please note that any word, phrase or expression used herein shall have the same meaning as it has in the Telecommunications Act 2000.

1. **PART I -THE APPLICANT**
(Please complete fully in type or block letters)

1.1 **Contact Details**

1.1.1 Name and business address of applicant

1.1.2 Designated contact person

1.1.3 Telephone number

1.1.4 Fax number

1.1.5 E-mail address

1.1.6 Website

1.2 **Business Details**

1.2.1 State whether the applicant is a company, partnership, joint venture or other body

1.2.2 If the applicant is a company, partnership, joint venture or other body please give the name(s), private address(es) and nationality of each of the current directors, company secretary, or partners:

Name & Nationality

Address

1.2.3 Name under which applicant proposes to trade, and registered office address if different to above:

1.2.4 In the case of a company or other body corporate, please supply the company's registered number. If not incorporated in St. Lucia, please provide any registration number, which the Registry of Companies in St. Lucia may have issued.

1.2.5 Please provide certified copies of the Certificate and Memorandum of Incorporation

1.2.6 Address in St. Lucia for service of process or other notices (in case of overseas applicant)¹

1.3 **History of the Applicant**

1.3.1 Has the applicant ever applied for a licence or registration under any Act in St. Lucia?

YES NO

If NO, proceed to question 1.3.2

If YES, was the licence granted or refused?

YES NO

If YES, under what Act(s) was/were the licence(s) granted?

¹ Where the applicant is located overseas, the application must include an address for service of process and any other notice in St. Lucia.

—

If NO, on what grounds was/were the licence(s) refused?

—

1.3.2 Has the applicant engaged in any type of business in St. Lucia?

YES NO

If YES, indicate the type of business

—

1.3.3 Has the applicant ever been licensed under the Telecommunications Act 2000?

YES NO

—

1.3.4 If the answer to question 1.3.2 is YES, has any such licence been revoked?

YES NO

If YES, on what grounds was the licence revoked?

—

1.3.5 Has any Affiliate of the applicant previously been granted a licence under the Telecommunications Act 2000, which was revoked?

YES NO

If YES, state reasons

—

1.3.6 Is the applicant the holder of a telecommunications licence in any other country?

YES NO

If YES, state which other countries

1.3.7 Has the applicant or any Affiliate been refused a telecommunications licence in any country, or had a licence revoked?

YES NO

If YES, state the grounds for refusal or revocation

1.3.8 Has the applicant operated under or carried on business under any name other than the name in this application?

YES NO

If YES, state the name of the business

1.3.9 Does the applicant have any experience in providing telecommunications services?

YES NO

If YES, indicate the nature, type of service and nature of the experience

If NO, indicate experience of personnel providing the telecommunications service

2. **PART II - APPLICANT'S BUSINESS AND PROPOSED NETWORK AND/OR SERVICE(S)**

2.1 **Financial Information and Business Plan**

2.1.1 Please provide a comprehensive business plan. The plan should outline any assumptions used and should cover a period of at least three (3) years. The information provided must include (with independent confirmation as appropriate):

- Sources of funding (with declaration of source funds, supported by affidavit)
- Availability of funding (e.g. comfort letters);
- Proforma financial statements for three (3) years to include balance sheets, cash flow and income statements; and
- Market forecasts.

2.1.2 For an ongoing concern, please provide Audited Financial Reports including certified Income Statements and Balance Sheets for the last three (3) years in respect of the company, partnership, joint venture or other body, on whose behalf the application is being submitted.

In the case of a new entity, please provide a certified statement of financial affairs of each director

2.1.3 Please provide a diagrammatic representation of the applicant's group structure, including the percentage of shares held. Please indicate which affiliates have, or intend to apply for, other telecommunications licences.

2.1.4 Please provide the names of shareholders with at least 10% of issued shares and percentage shareholding.

2.1.5 Does the applicant have any shareholdings of over 5% in any other licensed telecommunications provider in the OECS?

- YES NO

If YES, give the name(s) of provider(s) and percentage shareholding

2.1.6 Has any member of the applicant's managerial staff been bankrupt, or filed for bankruptcy?

- YES NO

If the answer is YES, please attach a certified copy of the discharge.

2.1.7 Has any member of the applicant's managerial staff been a director of a company, which has become insolvent or has filed bankruptcy proceedings?

If the answer is YES, please provide the name of the company.

2.1.8 Has the applicant or any member of the applicant's managerial staff ever been the defendant or respondent in any proceedings in any court in any jurisdiction involving violence or dishonesty, or is the applicant or any member of the applicant's managerial staff currently the subject of a charge or indictment under the law of any country for contravention of any law or for any conduct involving dishonesty, fraud, theft or violence??

YES NO

If YES, provide details

2.2 Applicant's Current Activities

Please provide answers to the following questions in relation to

- (a) the applicant's activities in the OECS;
- (b) the applicant's activities elsewhere in the Caribbean; and
- (c) the applicant's activities elsewhere in the world.

2.2.1 Please provide a summary of any infrastructure the applicant has in place, including radio-based infrastructure.

2.2.2 If the applicant is using radio frequency spectrum, please provide details of the frequency authorisations held, including the number of frequency authorisations and the reference number of each frequency authorisation.

2.2.3 Please provide details of the products and services being provided by the applicant and the terms (including prices) on which they are available. In particular, please provide details on the number of customers and lines installed.

2.2.4 Please provide details of current contracts with all classes of customers, as well as copies of all such contracts.

2.3 **Applicant's Proposed Activities**

- 2.3.1 Please provide a summary of any infrastructure the applicant is planning to put in place within the next three (3) years, including radio-based infrastructure.
- 2.3.2 If the applicant is planning to use radio frequency spectrum, please indicate whether an application has been submitted for a frequency authorisation and provide details (copies may be enclosed if preferred).
- 2.3.3 Please provide a description of each proposed service, including details on the following:
- all technical aspects of the services (including equipment)
 - how access to the service is to be provided (e.g. indirect access, direct access, leased lines, etc.)
 - targeted customer base, including number of customers targeted
- 2.3.4 Please provide details of any proposed supply relationships in respect of the proposed network and/or services.

3. **PART III - DECLARATION²**

On behalf of the applicant, I declare that the information provided by me on behalf of the applicant is accurate and complete in all respects.

Signed:

Full name of signatory:

Position held:

Date:

² This declaration must be signed:

in the case of an **individual**, by the person in whose name the application is made;

in the case of a **partnership**, by a partner; or

in the case of a **company or other body corporate**, by a director, company secretary or other authorised officer.

Class Licence(s) Application Form - Type B
Under section 33.1 of the Telecommunications Act 2000

St. Lucia

Please tick as appropriate:

- Aeronautical Mobile Radio Licence
- Land Mobile Radio Licence
- Maritime Mobile Radio Licence

National Telecommunications Regulatory Commission

NTRC Secretariat

Vide Bouteille

P. O. Box GM 690

Castries

St. Lucia

Guidance Notes

- This application form can be used for first issue and renewal of licences.
- Three (3) copies of the completed application form should be submitted in an envelope clearly marked “Telecommunications Licence Application” addressed to the Secretary, National Telecommunications Regulatory Commission, P. O. Box GM 690, Castries, St. Lucia.
- The completed application form must be accompanied by a fee of Four Hundred Eastern Caribbean Dollars (**EC\$ 400.00**), per licence, payable to the National Telecommunications Regulatory Commission, St. Lucia
- For renewal of licence(s), please attach a copy of the present or existing licence to completed application form.
- Please indicate which, if any, information provided by the applicant in this application is confidential.
- Please note that any word, phrase or expression used herein shall have the same meaning as it has in the Telecommunications Act 2000.

1. PART 1 – The Applicant

(Please complete fully in type or block letters)

1.1 Contact Details

1.1.1 Name and address of applicant

1.1.2 (a) Licence No:- _____ (b) Handle _____

1.1.3 Designated contact person: _____

1.1.4 Telephone number: _____

1.1.5 Fax Number: _____

1.1.6 Email address: _____

1.1.7 Website: _____

1.1.8 If the licence is required for a (registered) business

(a) State whether the applicant is a company, partnership, sole proprietorship

(b) Please supply the business's registration number :

1.1.9 If question 9 does not apply, and a licence is being applied for personal use, please answer the following questions:

(a) Date of Birth: _____ Age on last birthday: _____

(b) Nationality _____

(c) Registration Number of Identification Card: _____

(d) Passport Number: _____

(e) Occupation: _____

2 PART II – Technical Details

2.1 Frequency Band:-

VLF - Very Low Frequency

LF - Low Frequency

MF - Medium Frequency

HF - High Frequency

VHF - Very High Frequency

UHF - Ultra High Frequency

SHF - Super High Frequency

EHF - Extra High Frequency

2.2 Class of Station:-

Aeronautical Mobile Radio

Land Mobile Radio

Maritime Mobile Radio

2.3 Required Frequency Range:- _____

2.4 Nature of Service:- _____

2.5 Number of Channels Required:- _____

Voice:- _____ VFT¹:- _____ Data:- _____ Others:- _____

2.7 Details of Communication Points:- (If this space is not sufficient, please use extra paper to indicate the stations)

Type of Station	Location of Station or/Registration No. of Vehicle/Boat/Aircraft	Number of Units	Call Sign
Base/Fixed			
Mobile			
Portable / Handheld			
Repeater			
Any Other Equipment			

¹ VFT – Voice Frequency Telegraphy

2.8 Name and address of the manufacture of Equipment:-

2.9 Details of Equipment:- (Photocopies of the technical specification of equipment manual should be attached)

Type of Station	Make and Model	Serial Number	R.F Output	Class of Emission	Necessary Bandwidth
Base/Fixed					
Mobile					
Portable / Handheld					
Repeater					
Any Other Equipment					

2.10 Details of Antenna:- (Radiation patterns of the antenna must be furnished).

Station	Type	Height	Maximum Gain	Azimuth	Beam Width	Polarization
Base/Fixed						
Mobile						
Portable / Handheld						
Repeater						
Any Other Equipment						

PART III - DECLARATION²

On behalf of the applicant, I declare that the information provided by me on behalf of the applicant is accurate and complete in all respects.

Signed

Full name of signatory:

Position held:

Date:-

² This declaration must be signed:

in the case of an **individual**, by the person in whose name the application is made;

in the case of a **sole proprietorship**, by the sole proprietor, or

in the case of a **partnership**, by a partner; or

in the case of a **company or other body corporate**, by a director, company secretary or other authorised officer.

Class Licence(s) Application Form – Type B
Under section 33.1 of the Telecommunications Act 2000

St. Lucia

Please tick as appropriate:

- Amateur Radio Licence
- Citizen's Band Radio Licence

National Telecommunications Regulatory Commission
NTRC Secretariat
Vide Bouteille
GM 690
Castries
St. Lucia

Guidance Notes

- This application form can be used for first issue and renewal of licences.
- Three (3) copies of the completed application form should be submitted in an envelope clearly marked “Telecommunications Licence Application” addressed to the Secretary, National Telecommunications Regulatory Commission, P. O. Box GM 690, Castries, St. Lucia.
- The completed application form must be accompanied by a fee of Twenty-five Eastern Caribbean Dollars (EC\$ 25.00), per licence, payable to the National Telecommunications Regulatory Commission, St. Lucia
- For renewal of licence(s), please attach a copy of the present or existing licence to completed application form.
 - (i) Two (2) passport sized photographs should be attached.
 - (ii) Photocopies of the technical specifications of the equipment should be furnished.
 - (iii) Documentary proof that applicant has passed the Radio Amateur Examination.
 - (iv) Testimonials of applicant from two referees who are not relatives of the applicant.
- Please note that any word, phrase or expression used herein shall have the same meaning as it has in the Telecommunications Act 2000.

1. PART 1 – The Applicant

(Please complete fully in type or block letters)

1.1 Contact Details

1.1.1 Name of applicant:

1.1.2 Address of applicant:

1.1.3 Telephone number: _____

1.1.4 Fax Number: _____

1.1.5 Email address: _____

1.1.6 Date of Birth: _____ Age on last birthday: _____

1.1.7 Nationality _____

1.1.8 Registration Number of Identification Card: _____

1.1.9 Passport Number: _____

1.1.10 Occupation: _____

2 PART II

2.1 Select as appropriate

New Licence
Renewal
Visitor

Equipment Upgrade/Replacement
Class Upgrade

2.2 Call Sign: _____ Class of Licence: _____

2.2 Place of Issue: _____

2.3 Date of Issue: _____

3 PART III

3.1 Details of Communication Points:

STATION	LOCATION OR REGISTRATION NO. OF VEHICLE/BOAT/AIRCRAFT	NO. OF UNITS
BASE/FIXED		
MOBILE		
PORTABLE / HANDHELD		

3.2 Technical Details:

(Photocopies of technical specifications of equipment should be attached)

STATION	MAKE & MODEL	SERIAL NO.	FREQUENCY BANDS	CLASS OF EMISSION	MAXIMUM R.F. POWER
BASE/FIXED					
MOBILES					
PORTABLE / HANDHELD					
ADDITIONAL INFO					

3.3 Antenna Details

STATION	TYPE	MAXIMUM GAIN	HEIGHT
BASE/FIXED			
MOBILES			
PORTABLE			

3.4 Details of additional equipment and purpose of use: _____

3.5 Supplementary Information: _____

PART IV - DECLARATION¹

I declare that the information provided by me on behalf of the applicant is accurate and complete in all respects.

Signed

Full name of signatory:

Position held:

Date:-

FOR OFFICIAL USE ONLY:

Examination Required:

Call Sign Issued:

YES

NO

Date:

¹ This declaration must be signed by the person in whose name the application is made

Class Licence(s) Application Form – Type B
Under section 33.1 of the Telecommunications Act 2000

St. Lucia

Please tick as appropriate:

Family Radio Service Licence

National Telecommunications Regulatory Commission
NTRC Secretariat
Vide Bouteille
P. O. Box GM 690
Castries

St. Lucia

Guidance Notes

- This application form can be used for first issue and renewal of licences.
- Three (3) copies of the completed application form should be submitted in an envelope clearly marked “Telecommunications Licence Application” addressed to the Secretary, National Telecommunications Regulatory Commission, P. O. Box GM 690 Castries, St. Lucia
- The completed application form must be accompanied by a fee of Twenty-five Eastern Caribbean Dollars (EC\$ 25.00), per licence, payable to the National Telecommunications Regulatory Commission, St. Lucia.
- For renewal of licence(s), please attach a copy of the present or existing licence to completed application form.
- Photocopies of the technical specifications of the equipment must be furnished.
- Please note that any word, phrase or expression used herein shall have the same meaning as it has in the Telecommunications Act 2000.

1. PART 1 – The Applicant
(Please complete fully in type or block letters)

1.1 Contact Details

1.1.1 Name of applicant:

1.1.2 Address of applicant:

1.1.3 Telephone number: _____

1.1.4 Fax Number: _____

1.1.5 Email address: _____

1.1.6 Date of Birth: _____ Age on last birthday: _____

1.1.7 Nationality _____

1.1.8 Registration Number of Identification Card: _____

1.1.9 Passport Number: _____

1.1.10 Occupation: _____

Make	Model	Serial No	Type Approval	
			Agency	Reference No

Number of FRS units: _____

Frequencies and/or number of channels on each unit: _____

Purpose for which the units will be used: _____

PART IV - DECLARATION¹

I declare that the information provided by me on behalf of the applicant is accurate and complete in all respects.

Signed

Full name of signatory:

Position held:

Date:-

¹ This declaration must be signed by the person in whose name the application is made;

Class Licence(s) Application Form – Type B
Under section ** of the Telecommunications Act ***

[Country]

Please tick as appropriate:

Aircraft Station Radio Licence

[Country] National Telecommunications Regulatory Commission
[Address]

[Country]

Guidance Notes

- This application form can be used for first issue and renewal of licences.
- Three (3) copies of the completed application form should be submitted in an envelope clearly marked “Telecommunications Licence Application” addressed to the Secretary of the [Commission], [address]
- The completed application form must be accompanied by a fee of Two Hundred Eastern Caribbean Dollars (EC\$ 200.00), per licence, payable to the National Telecommunications regulatory Commission, [Country]
- For renewal of licence(s), please attach the following documents to the completed application form:

A copy of the present or existing

- (a) Aircraft Station Radio License,
- (b) Equipment Installation Certificate
- (c) Radio Operator’s Certificate
- (d) *Ship’s Registration Certificate issued by the Registrar of Ships.*

1. PART I – AIRCRAFT DETAILS

1.1 Name of aircraft: _____

1.2 Country of registration: _____

1.3 Name of the owner: _____

1.4 Address of owner: _____

1.5 Name of Agent: _____

1.6 Address of the Agent: _____

1.7 Name of Accounting Authority: _____

1.8 Address of Accounting Authority: _____

1.9 Accounting Authority Identification Code: _____

1.10 Class of aircraft: _____

1.11 Gross Tonnage: _____

1.12 Size of aircraft: _____

1.13 Distance of operation from nearest land mass: _____

2 PART II – DETAILS OF PRESENT AIRCRAFT STATION LICENCE

(Photocopy of the aircraft station license should be attached)

2.1 Call Sign: _____

2.2 MMSI/DSC Number: _____

2.3 Inmarsat ID: _____

2.4 Country of Issue: _____

2.5 Country of Registration: _____

2.6 Period of Validity: _____

2.7 Public Correspondence Category: _____

2.8 Supplemental Information:

2.9 Details of Radio Operator's Certificates

3 PART III – EQUIPMENT INSTALLATION

(Photocopy of the installation certificate should be attached)

EQUIPMENT TYPE	MAKE & MODEL	TX POWER (Watts)	CLASS OF EMISSION	FREQUENCY BANDS
HF Transceiver				
VHF Transceiver				
ADF Transceiver				
EPIRB				
Marker Receiver				
VHF NAV Receiver				
Glide Slope Receiver				
DME TX				
DME RX				
ATC TX				
ATC RX				
WRT – C Band				
WRT – X Band				
GPC RX				
Radio Altimeter Transceiver				
Doppler NAV Transceiver				
Other				

PART III - DECLARATION¹

On behalf of the applicant, I declare that the information provided by me on behalf of the applicant is accurate and complete in all respects.

Signed

Full name of signatory:

Position held:

Date:-

¹ This declaration must be signed:

- in the case of an **individual**, by the person in whose name the application is made;
- in the case of a **sole proprietorship** by the sole proprietor, or
- in the case of a **partnership**, by a partner; or
- in the case of a **company or other body corporate**, by a director, company secretary or other authorised officer.

Class Licence(s) Application Form – Type B
Under section 33.1 of the Telecommunications Act 2000

St. Lucia

Please tick as appropriate:

Ship Station Radio Licence

National Telecommunications Regulatory Commission
NTRC Secretariat
Vide Bouteille
P. O. Box GM 690
Castries

St. Lucia

Guidance Notes

- This application form can be used for first issue and renewal of licences.
- Three (3) copies of the completed application form should be submitted in an envelope clearly marked “Telecommunications Licence Application” addressed to the Secretary, National Telecommunications Regulatory Commission, P. o. Box GM 690, Castries, St. Lucia.
- The completed application form must be accompanied by a fee of Two Hundred Eastern Caribbean Dollars (EC\$ 200.00), per licence, payable to the National Telecommunications Regulatory Commission, St. Lucia.
- For renewal of licence(s), please attach the following documents to the completed application form:

A copy of the present or existing

- (a) Ship Station Radio License,
- (b) Equipment Installation Certificate
- (c) Radio Operator’s Certificate
- (d) Ship’s Registration Certificate issued by the Registrar of Ships,

1. PART I – SHIP DETAILS

1.1 Name of ship/vessel: _____

1.2 Country of Registration: _____

1.3 Name of the owner: _____

1.4 Address of owner: _____

1.5 Name of Agent: _____

1.6 Address of the Agent: _____

1.7 Name of Accounting Authority: _____

1.8 Address of Accounting Authority: _____

1.9 Accounting Authority Identification Code: _____

1.10 Class of Ship/Vessel: _____

1.11 Gross Tonnage: _____

1.12 Size of Ship/Vessel: _____

1.13 Distance of operation from nearest land mass: _____

2 PART II – DETAILS OF PRESENT SHIP STATION LICENCE

(Photocopy of the ship station license should be attached)

2.1 Call Sign: _____

2.2 MMSI/DSC Number: _____

2.3 Inmarsat ID: _____

2.4 Country of Issue: _____

2.5 Country of Registration: _____

2.6 Period of Validity: _____

2.7 Public Correspondence Category: _____

2.8 Supplemental Information:

2.9 Details of Radio Operator's Certificates

3 PART III – EQUIPMENT INSTALLATION

(Photocopy of the installation certificate should be attached)

EQUIPMENT TYPE	MAKE & MODEL	Tx POWER (watts)	CLASS OF EMISSION	FREQUENCY BANDS
MF/HF				
MF/HF DSC				
VHF				
VHF DSC				
HAND VHF				
INMARSAT				
E.P.I.R.B				
RADAR				
SART				
EGC				
WATCH Rx				
GPS				
DIRECTION FINDER				
NAVTEX				
SATNAV				
OTHER				

PART III - DECLARATION¹

On behalf of the applicant, I declare that the information provided by me on behalf of the applicant is accurate and complete in all respects.

Signed

Full name of signatory:

Position held:

Date:-

¹ This declaration must be signed:

- in the case of an **individual**, by the person in whose name the application is made;
- in the case of a **sole proprietorship** by the sole proprietor, or
- in the case of a **partnership**, by a partner; or
- in the case of a **company or other body corporate**, by a director, company secretary or other authorised officer.

Licence & Frequency Authorisation Requirements by Service

TYPE OF SERVICE	LICENCE CATEGORY	FREQUENCY AUTHORISATION REQUIRED
Mobile/Cellular Networks/Services	Individual	Yes
Fixed Public Networks/Services	Individual	Yes
Submarine Cable Crossing/Landing	Individual	No
Public Radio Paging Networks/ Services	Individual	Yes
Internet Network & Services	Individual	For Wireless Applications
Public Radio Paging Networks/ Services	Individual	Yes
TV/Radio Broadcast	Licence/Approval from Gov't Required	Yes
Community Radio	Licence/Approval from Gov't Required	Yes
Subscriber Television (wireless)	Licence/Approval from Gov't Req'd	Yes
Restricted Internet Services	Class – Type A	For Wireless Applications
Full Internet Services	Class – Type A	For Wireless Applications
Audiotext / Videotext	Class – Type A	For Wireless Applications
Value Added Services <i>Includes Data Services</i>	Class – Type A	For Wireless Applications
Private Telecommunications Networks/Services	Class – Type A	For Wireless Applications
International Simple Voice Resale	Class – Type A	No
Short Term Licence	Class – Type A	For Wireless Applications

Annex III-D:

TYPE OF SERVICE	LICENCE CATEGORY	FREQUENCY AUTHORISATION REQUIRED
Aeronautical Mobile	Class – Type B ¹	Yes
Maritime Mobile	Class – Type B	No
Land Mobile	Class – Type B	Yes
Family Radio Service Band	Class – Type B	No
Ship Station Radio Licence	Class – Type B	Yes
Aircraft Station Radio Licence	Class – Type B	Yes
Amateur Radio	Class – Type B	No
Citizen Band Radio	Class – Type B	No
Type Approval	Class – Type C	No
Customer Premises Wiring	Class – Type C	No
Terminal Equipment Dealer's Certification	Class – Type C	No
Special Licence	Special Licence	For Wireless Applications
Domain Name Registration	Agency Licence	No

¹ For services under Class Licence – Type B, the application forms are so designed to incorporate the application for frequency authorization as may be required. Consequently, a separate Application for Frequency Authorization is no longer necessary.

Frequency Authorisation Application Form

Under section [] of the Telecommunications Act 2000

St. Lucia

National Telecommunications Regulatory Commission
NTRC Secretariat
Vide Bouteille
P. O. Box GM690

St. Lucia

Guidance Notes

- **Three (3) copies** of the completed application form should be submitted in an envelope clearly marked "Telecommunications Frequency Authorisation Application" addressed to the Secretary, National Telecommunications Regulatory Commission, P. O. Box GM 690, Castries, St. Lucia.
- The completed application form must be accompanied by a fee of one thousand Eastern Caribbean Dollars (EC\$1000.00), payable to the National Telecommunications Regulatory Commission, St. Lucia.
- Please indicate which, if any, information provided by the applicant in this application is confidential.
- Please note that any word, phrase or expression used herein shall have the same meaning as it has in the Telecommunications Act 2000.

1. **PART I - THE APPLICANT**

(Please complete fully in type or block letters)

1.1 **Contact Details**

1.1.1 Name and business address of applicant

1.1.2 Designated contact person

1.1.3 Telephone number

1.1.4 Fax number

1.1.5 E-mail address

1.1.6 Website

1.2 **Business Details**

1.2.1 State whether the applicant is a company, partnership, joint venture or other body

1.2.2 If the applicant is a company, partnership, joint venture or other body please give the name(s) and private address(es) of each of the current directors, company secretary, or partners:

Name

Address

1.2.3 Name under which applicant proposes to trade, and registered office address if different to above:

1.2.4 In the case of a company or other body corporate, please supply the company's registered number. If not incorporated in St. Lucia, please provide any registration number which the companies registration office in St. Lucia may have issued.

1.2.5 Address in St. Lucia for service of process or other notices (in case of overseas applicant)¹

1.3 History of the Applicant

1.3.1 Has the applicant ever applied for and been granted a telecommunications licence or any other licence under any Act in St. Lucia requiring frequency authorisation?

[YES] [NO]

If YES, state which Act and the type of service.

1.3.2 Has the applicant ever been issued a frequency authorisation under the Telecommunications Act 2000?

¹ Where the applicant is located overseas, the application must include an address for service of process and any other notice in St. Lucia.

[YES] [NO]

1.3.3 If the answer to question 1.3.2 is YES, has any such frequency authorisation been revoked?

[YES] [NO]

If YES, on what grounds was the frequency authorization revoked?

1.3.4 Has any Affiliate of the applicant previously been granted a frequency authorisation under the Telecommunications Act 2000 which was revoked?

[YES] [NO]

If YES, state reasons

1.3.5 Is the applicant the holder of a frequency authorisation in any other country?

[YES] [NO]

If YES, state which other countries

1.3.6 Has the applicant or any Affiliate been refused a frequency authorisation in any country, or had a frequency authorisation revoked?

[YES] [NO]

If YES, state the grounds for refusal or revocation

1.3.7 Has the applicant operated under or carried on business under any name other than the name in this application?

[YES] [NO]

If YES, state the name of the business

1.3.8 Does the applicant have any experience in providing telecommunications services?

[YES]

[NO]

If YES, indicate the nature, type of service and nature of the experience

If NO, indicate experience of personnel providing the telecommunications service

2. **PART II - THE APPLICANT'S BUSINESS AND THE PROPOSED NETWORK AND/OR SERVICE(S)**

2.1 **The Applicant**

2.1.1 Please provide a diagrammatic representation of the applicant's group structure, including the percentage of shares held. Please indicate which affiliates have, or intend to apply for, other telecommunications licences or frequency authorisations.

2.1.2 Please provide the names of shareholders with at least 10% of issued shares and their percentage shareholding.

2.1.3 Does the applicant have any shareholdings of over 5% in any other licensed telecommunications provider or frequency authorisation holder in the OECS?

[YES] [NO]

If YES, give the name(s) of provider(s) and percentage shareholding

2.2 **Applicant's Current Activities**

Please provide answers to the following questions in relation to

- (a) the applicant's activities in the OECS;
- (b) the applicant's activities elsewhere in the Caribbean; and
- (c) the applicant's activities elsewhere in the world.

Networks

2.2.1 Please provide a summary of any radio-based infrastructure which the applicant currently has in place.

2.2.2 If the applicant is using radio frequency spectrum, please provide details of any frequency authorisations held, including the number of frequency authorisations and the reference number of each frequency authorisation.

Services

2.2.3 Please provide details of the services currently being provided by the applicant through its existing radio-based infrastructure.

Obligations

2.2.4 Please provide details of how the applicant currently complies with any obligations in respect of harmful interference and any other emissions of electromagnetic radiation from equipment of any description.

2.3 **Applicant's Proposed Activities**

Frequencies

2.3.1 Indicate the list of frequencies in order of priority that the applicant is applying for:

Radiocommunications Station

2.3.2 Is the frequency authorisation for which the applicant is applying to be used in relation to a satellite earth station?

[YES] [NO]

If the answer is NO, please proceed to question 2.3.4.

2.3.3 If the answer to question 2.3.1 is YES, please provide the following information:

- (a) A letter from the satellite provider, indicating the name and address of the satellite provider, indicating assigned frequencies for the proposed service and the station to be communicated with.
- (b) A copy of the manufacturer's technical specification for the transmitter, receiver and antenna.
- (c) The following information in respect of the satellite earth station receiving characteristics:
 - (i) Make and model
 - (ii) Assigned frequencies (downlink)
 - (iii) Assigned frequency band
 - (iv) Date of bringing into use
 - (v) Location of station, including country and geographic coordinates
 - (vi) Class of emission

- (vii) Antenna size, antenna gain and receive G/T
 - (viii) Horizontal elevation angle and min/max elevation angle
 - (ix) Azimuth
 - (x) Altitude (a.m.s.l)
 - (xi) Polarisation
 - (xii) Receive noise temperature
 - (xiii) Regular hours of operation
 - (xiv) Maintenance of system
- (d) The following information in respect of the satellite earth station transmitting characteristics:
- (i) Make and model
 - (ii) Assigned frequencies (uplink)
 - (iii) Assigned frequency band
 - (iv) Proposed date of bringing into use
 - (v) Transmitter power, including saturated transmitter power and maximum radiated power
 - (vi) Antenna gain
 - (vii) Polarisation
 - (viii) Modulation (including FDM-FM, PCM/PSK, TV, and other)
 - (ix) Regular hours of operation
 - (x) Agreements with satellite provider
 - (xi) Operating satellite
 - (xii) Name of receiving earth station
 - (xiii) Location of receiving earth station

2.3.4 Please provide a summary of the radio-based infrastructure that the applicant is planning to put in place within the next three (3) years, as per the requested frequencies. In particular, please provide details of the proposed Radiocommunications Station, including:

- (a) Geographical location (latitude and longitude)
- (b) Type of equipment and system (including manufacturer and model number)

- (c) Radio frequency and direction of transmission whether link applied for is uni-directional or bi-directional, and relevant transmission details?
- (d) Transmission power level
- (e) preferred polarisation of emissions (i.e. vertical or horizontal)
- (f) preferred equipment carrier frequency range for channel assignment
- (g) whether system is intended to be duplicated
- (h) Type of antenna, including details of antenna height
- (i) Call signs
- (j) address of location from where equipment is to be operated (if different from Radiocommunications Station location)
- (k) radio frequency feeder loss and hot-standby loss, rounded up to nearest dB. Any radio frequency feeder loss over 10 dB or hot-standby loss over 4 dB must be justified.
- (l) guaranteed maximum boresight gain relative to an isotropic radiator for any antenna specified (rounded up to nearest dB)

Services

- 2.3.5 Please provide a description of the service which the applicant proposes to provide using the frequencies for which it is applying.

Obligations

- 2.3.6 Please provide details of how the applicant proposes to comply with the obligations in the frequency authorisation and in the Frequency Authorisation Regulations in respect of harmful interference, and any other technical regulations in respect of emissions of electromagnetic radiation from equipment of any description

3. **PART III - DECLARATION²**

On behalf of the applicant, I declare that the information provided by me on behalf of the applicant is accurate and complete in all respects.

Signed:

Full name of signatory:

Position held:

Date:

² This declaration must be signed:

- (i) in the case of an **individual**, by the person in whose name the application is made;
- (ii) in the case of a **partnership**, by a partner; or
- (iii) in the case of a **company or other body corporate**, by a director, company secretary or other authorised officer.