

## **Request For Information to HBO Regarding Its HBO Go Service**

1. Identify, for the month of June, 2014, the 20 U.S. ISPs to whom the Company delivered the most traffic, measured by the total volume in Gigabytes of traffic terminated on the ISP in Gigabytes.

2. For each of the 20 ISPs identified in response to Request 1 and for all other ISPs in the United States combined, by Method(s) of Interconnection and during the Relevant Period, state:

- a. the total volume of the Company's traffic delivered to the ISP(s) in Gigabytes;
- b. the 95th percentile measurement of the Company's traffic delivered to the ISP(s) in Mbps;
- c. the total hours of programming delivered to the ISP(s); and
- d. the Company's total cost of delivering traffic to the ISP(s), and a description of how this amount was calculated, including all data needed to calculate this amount.

3. For each of the 20 ISPs identified in response to Request 1 and for all other ISPs in the United States combined, for the Relevant Period, state:

- a. the number of the Company's subscribers or users that use the ISP(s) as their primary means of accessing the Company's OVD service; and
- b. the average bit rate of traffic, the percentage of packet loss and other measures of the quality of the service provided by the ISP(s) to the Company, measured during the prime time viewing hours and overall. For ISP service provided by telephone companies, these measures should be provided separately for DSL, FTTN and FTTP technologies, if available, in addition to for the telephone company as a whole.

4. a. For each Person contained on the list attached as Attachment A, state whether the Person could deliver, in whole or in part, the Company's OVD service to consumers in the United States during the Relevant Period. Briefly describe the characteristics of the service (e.g., CDN, transit), the benefits, restrictions, detriments and risks associated with each service, and any reasons that the service could not be obtained from each Person on commercially reasonable terms, including but not limited to price and limited capacity. Identify any other Person that the Company believes could deliver, in whole or in part, the Company's OVD service to consumers in the United States during the

Relevant Period who is not listed on Attachment A.

- b. Identify all firms that have bid, negotiated, or otherwise sought to provide service to the Company to deliver its OVD service to consumers in the United States during the relevant period, including but not limited to transit or CDN services, and whether the option would be available to the Company on commercially reasonable terms. Describe the service and provider options and the benefits, restrictions, detriments and risks associated with each option, and any reasons that the service could not be obtained from each provider on commercially reasonable terms, and identify the option(s) and provider(s) selected and the reasons that the Company selected the option(s) it used to deliver its OVD service.
- c. For any non-ministerial changes to the Company's interconnection arrangements with any ISP since January 1, 2012, describe the change and the reasons for the change and identify the Person who initiated the change.

5. Separately for each ISP in the United States with whom the Company has a paid peering interconnection arrangement, for the Relevant Period state:

- a. the total interconnection capacity made available to the Company at the end of the month in Mbps;
- b. a description of the method used to determine monthly recurring charges, sufficient to allow calculation of monthly recurring charges for any level of usage;
- c. the Company's total interconnection payments to the ISP (excluding payments related to facilities and utilities in cases where the Company locates equipment within the ISP's facilities);
- d. the Company's interconnection payments to the ISP for port installation and other non-recurring charges (excluding payments related to facilities and utilities in cases where the Company locates equipment within the ISP's facilities);
- e. the Company's recurring interconnection payments to the ISP (excluding payments related to facilities and utilities in cases where the Company locates equipment within the ISP's facilities). If a recurring payment is determined on an annual basis, divide the annual recurring payment by twelve;
- f. the Company's payments related to facilities and utilities to the ISP in cases where the Company locates equipment within the ISP's

facilities. (If the Company locates equipment within the ISP's facilities but is not charged for this, report a payment of 0. If the Company does not locate equipment within the ISP's facilities report "NA."); and

- g. the basis for determining capacity that is required to be made available to the Company under the contract, if such a requirement exists.

(The sum of the amounts stated in response to Requests 5(d) and 5(e) should be equal to the amount stated in response to Request 5(c).)

6. Separately for each ISP in the United States with whom the Company has a settlement-free peering interconnection arrangement, state the total interconnection capacity in Mbps available to the Company at the end of the month during the Relevant Period.

7. Provide one copy of the Company's most recent strategic plans, business plans and studies, forecasts, budgets or projections relating to the Company's OVD service, including, but not limited to, discussion of competition, competitors, video programming acquisition, capacity constraints, customer trends, prices, plans to provide video programming in ultra-high definition format or linear channels, paid peering and any risks associated with such arrangements, margins, profits, costs, peering, transit, or other industry trends affecting the Company's services.

8. Provide documents that discuss the actual or potential effects on the Company's OVD service from the introduction of data caps, usage based billing plans or other methods used by ISPs to measure subscribers' control broadband usage, and the Company's strategies and policies in response to such practices.

9. Provide documents that discuss video "cord-cutting," "cord-shaving" and "cord-nevers" by consumers and their effect on the Company's OVD service.

10. Explain and provide documents that discuss the current and projected minimum and optimum broadband download speed needed by consumers to effectively view the Company's video programming using the Company's OVD service at various resolutions (e.g., standard definition, high definition, and ultra-high definition), the download speeds that the Company recommends to its subscribers and plans to or is likely to recommend in the future, what features subscribers can access with certain download speeds that they cannot access with slower speeds or less bandwidth), and how demand for the Company's OVD service is affected by the broadband speeds that are available to a potential subscriber. Include in your explanation any factors or features other than download speed that could materially affect the subscriber's viewing experience (e.g. latency, packet loss) and how you define "standard definition," "high definition," and "ultra-high definition."

11. Describe or provide documents sufficient to show the effects that an ISP's network management practices have on the delivery of the Company's OVD service, including but not limited to Comcast's network practices reflected in Request for Comment (RFC) 6057

<http://tools.ietf.org/html/rfc6057> (describing how heavy users' packets are deprioritized during times of CMTS congestion), <http://xfinity.comcast.net/terms/network/update/> and TWC's network management practices described on its website ([http://help.twcable.com/description\\_of\\_network\\_management\\_practices.html](http://help.twcable.com/description_of_network_management_practices.html)).

12. Describe or provide documents sufficient to show whether the terms of the Company's interconnection arrangements with ISPs that offer Internet backbone services are different from the terms of the Company's interconnection arrangements with ISPs that do not offer internet backbone services.

13. Identify all video programming that the Company sought the right to distribute as part of the Company's OVD service, but was ultimately unable to obtain rights to distribute on terms acceptable to the Company, which you have reason to believe was related to a provision in another video programming provider's agreement with another MVPD or OVD. Include in your response the specific circumstances leading to your belief. Identify any contractual clauses, including but not limited to "Most Favored Nations" clauses, "alternative distribution methods" clauses, or other contractual limitations that were identified as a reason for prohibiting or limiting distribution of the video programming by the Company's OVD service. Provide documents discussing the implications or strategic significance for the Company's OVD service of clauses in contracts between the licensors of video programming and MVPDs that limit the Company's ability to distribute the video programming.

14. For the years 2012 and 2013, and from January 1, 2014, through September 30, 2014, describe and state what percent of the Company's annual costs were associated with content acquisition, marketing to end users, paid peering, third-party transit, third-party CDN services, and owned and operated CDN service costs excluding interconnection fees, and other costs. State the amount in dollars and the percent of content acquisition costs were attributable to purchase of (a) original content production or licensing, (b) Comcast-affiliated content, and (c) other content.

15. Submit all market studies, forecasts, surveys, reports and analyses discussing demographic and other characteristics of your viewers and your target audience (age, gender, geographic location, etc.).

16. Submit all studies, reports, analyses and surveys discussing (a) customer response to degradation of streaming quality of your Company's OVD service including the effect on hours watched through the Company's service, churn rates, conversion of trial customers to paid service customers, and the likelihood of customers switching ISPs as a result of such issues, and (b) the value or importance to your customers of having the Company's application on a Media Streaming Platform or other customer premises equipment (e.g. Roku).

17. Describe and provide documents sufficient to show (a) the importance and value to the Company of exclusive rights to video programming, and (b) the impact of such rights on the Company's ability to acquire and retain subscribers when competing with an MVPD with an extensive Video On Demand library and TV Everywhere platform.

18. Identify the Media Streaming Platforms that feature the Company's Video Programming, and for each such platform describe: (a) the negotiations for placement of the Company's Video Programming; (b) the tier or screen on which the Company's Video Programming is featured; and (c) the relevant term of the agreement governing the arrangement with the Media Streaming Platform.

19. Submit documents discussing any potential effects of the Proposed Transactions on the Company or any other person, including but not limited to the inputs and results of any economic modeling commissioned by the Company, as well as other documents or information given to or relied upon by any economic expert or other third party engaged by the Company to analyze the Proposed Transactions.

20. State the volume, in (a) Gigabytes, (b) the 95th percentile measurement of the Company's traffic delivered in Mbps, and (c) hours, of the Company's OVD service viewed using Mobile Wireless Data Services, and the percentage of the volume of traffic utilization and the total hours of the Company's OVD service viewed in this manner during the Relevant Period.

21. Identify each Smart TV or connected TV that allows its users to directly access the Company's services, and a description of the terms and conditions under which the device manufacturer provides such access.

22. For the Relevant Period, state (a) the total number of complaints received by the Company from its subscribers, and (b) the number of complaints received by the Company from its subscribers about problems with the quality and timing of the delivery of the Company's content.

## **Definitions**

The following definitions apply only to this Information and Data Request. They are not intended to set or modify precedent outside the context of this document. In this Information and Data Request, the following terms shall have the following meanings (such meanings to be equally applicable to both the singular and plural forms of the terms defined):

1. The term "Company" means the HBO Go service offered by Home Box Office, Inc. ("HBO") and its Subsidiaries.
2. The term "Affiliate" means, as to any Person, any other Person that, directly or indirectly, controls, is controlled by or is under common control with such Person.
3. The terms "and" and "or" have both conjunctive and disjunctive meanings.
4. The word "any" shall be construed to include the word "all," and the word "all" shall be construed to include the word "any." The word "each" shall be construed to include the word "every," and the word "every" shall be construed to include the word "each." All words used in the singular should be construed to include the plural, and all words used in

the plural should be construed to include the singular.

5. The term “Capacity” means capacity for efficient production of service, stated in the measure customarily used in the particular industry involved. When stating capacity, state each assumption used to calculate capacity, including the customary period over which capacity is measured, and the customary unit of time in which the service is provided. If you know of no customary measure for a service, state the maximum amount of the service that could be provided efficiently over a one month period given existing facilities, equipment and personnel.

6. The term “Content Delivery Network” or “CDN” means a distributed system of servers that cache content closer to end users.

7. The term “discussing” when used to refer to documents means analyzing, constituting, summarizing, reporting on, considering, recommending, setting forth, or describing a subject. Documents that contain reports, studies, forecasts, analyses, plans, proposals, evaluations, recommendations, directives, procedures, policies, or guidelines regarding a subject should be treated as documents that discuss the subject. However, documents that merely mention or refer to a subject without further elaboration should not be treated as documents that discuss that subject.

8. The term “documents” means computer files and written, recorded, and graphic materials of every kind in the possession, custody, or control of the Company. The term “documents” includes without limitation, drafts of documents, copies of documents that are not identical duplicates of the originals, and copies of documents the originals of which are not in the possession, custody, or control of the Company. In addition, the term “documents” includes without limitation any amendments, side letters, appendices, or attachments. The term “computer files” includes without limitation information stored in, or accessible through, computer or other information retrieval systems. Thus, the Company should produce documents that exist in machine-readable form, including documents stored in personal computers, portable computers, workstations, minicomputers, mainframes, servers, backup disks and tapes and archive disks and tapes, and other forms of offline storage, whether on or off the Company’s premises. Electronic mail messages should also be provided, even if only available on backup or archive tapes or disks. Computer files shall be printed and produced in hard copy or produced in machine-readable form (provided that Commission staff determine prior to submission that it would be in a format that allows the Commission to use the computer files), together with instruction and all other materials necessary to use or interpret the data. Unless otherwise specified, the term “documents” excludes bills of lading, invoices, purchase orders, customs declarations, and other similar documents of a purely transactional nature and also excludes architectural plans and engineering blueprints. Where more than one identical copy of a requested document exists, the Company shall only produce one representative copy.

9. The term “Edge Provider” means entities that provide content, applications, or services over the Internet, and include but are not limited to OVDs, Voice over Internet Protocol (“VoIP”) providers, and gaming companies.

10. The term “End User” means a residential or business customer (a private or public entity or an institution) that purchases a Relevant Service. With respect to Internet Access Service, the term “End User” means a Person who originates, receives, or otherwise interacts with information, data and content on the Internet.

11. The term “identify,” when used with reference to a Person or Persons, means to state his/her full legal name, current or last known business address, current or last known telephone number, current or last known organization, and position therewith. “Identify,” when used with reference to a document, means to state the date, author, addressee, type of document (e.g., the types of document, as described above), a brief description of the subject matter, its present or last known location, and its custodian, who must also be identified. “Identify,” when used with reference to an entity other than a Person, means to state its name, current or last known business address, and current or last known business telephone number. The term “identify” when used with reference to a census block means to geocode the census block using the 2010 Census Block Identifier.

12. The term “Interconnection” means the linking together of interoperable systems, and the linkage used to join two or more communications units, such as systems, networks, links, nodes, equipment, circuits and devices.

13. The term “Interconnection Agreement” means an agreement for the purchase of Transit Service, the sale of Transit Service, Settlement-Free Peering, Paid Peering, or equivalent agreements.

14. The term “Internet Access Service” means the provision to end users of connectivity to the Internet by any means, including, for instance, hybrid-coaxial, optical fiber or coaxial cable, xDSL, satellite systems, fixed or mobile wireless services, ultra-high frequency microwave (sometimes referred to as “LMDS”), or multichannel multipoint distribution services (“MMDS”).

15. The term “Internet Backbone Services” means services that route traffic between Internet Access Service, other Internet Backbone Services, Edge Providers, and CDNs, and, when exchanging traffic with third-party services or networks, the exchange of traffic by means of Settlement-Free Peering, Paid Peering or Transit Service.

16. The term “Internet Traffic Exchange” means interconnection between Internet Access Service, Internet Backbone Services, Edge Providers, CDNs, and other Internet networks and services, where traffic is exchanged pursuant to an interconnection agreement or arrangement.

17. The term “IP Point of Presence” means any point where an Internet Access Service or an Internet Backbone Services interconnects, offers to interconnect, or intends to offer interconnection with other Internet networks, services or Edge Providers.

18. The term “Multichannel Video Programming Distributor” or “MVPD” means

an entity, including but not limited to, a cable operator, which is engaged in the business of making available for purchase, by subscribers or customers, multiple channels of Video Programming.

19. The term “MVPD Service” means the distribution of Video Programming or Online Video Programming by an MVPD to consumers, including but not limited to, distribution as part of a programming package or tier or on an individual basis, and distribution as part of TV Everywhere or Specialized Services, regardless of whether such programming is distributed inside or outside of the MVPD’s footprint. The term “Online Video Programming” means Video Programming that is intended for distribution by means of the Internet or other IP-based transmission path.

20. The term “Online Video Distributor” or “OVD” means any entity that provides Video Programming by means of the Internet or other IP-based transmission path provided by a person other than the OVD. Unless otherwise stated, an OVD does not include an MVPD inside its MVPD footprint or an MVPD to the extent it is offering Online Video Programming as a component of an MVPD subscription to customers whose homes are inside its MVPD footprint.

21. “Media Streaming Platform” means a product or service designed to receive or access video programming through an Internet or cable connection and display it on a television, including but not limited to products or services that allow the delivery of programming to or through DVRs, set top boxes, Internet-equipped televisions, gaming consoles, Blu-Ray and DVD players, and devices such as Roku, Amazon Fire TV, Apple TV, Android TV and Comcast’s X1 platform.

22. The term “Method of Interconnection” means, and information shall be provided separately for the following different methods that an OVD may use to interconnect with an ISP that it wishes to terminate traffic on: (i) a transit arrangement with a third party transit provider, (ii) settlement-free peering, (iii) paid peering, (iv) CDN service from a third party CDN, or (v) some other method (if other method(s) are used, describe the other method(s) and report separately for each other method.)

23. The term “Mobile Wireless Data Services” means any data communications service using radio transmission between mobile or fixed stations and a network providing communication of packet data information, including but not limited to, broadband data, video, remote file access, status reporting, facsimile, and internet/intranet access.

24. The term “Paid Peering” is peering in which one peer pays another for the exchange of traffic. Paid peering is sometimes referred to as “Non Transit” interconnection.

25. The term “Pay Per View” or “PPV” means a service that allows MVPD subscribers, for an additional fee, to order individual programs, generally live event programming.

26. The term “Peer” means a Person who is a party to a peering arrangement.



27. The term “Peering” means an interconnection arrangement between Persons, pursuant to which Internet traffic is exchanged between Persons and their customers, however, there is no Transit Service through networks to other Peers or Transit Service providers.

28. The term “Person” includes the Company, and means any individual, partnership, corporation (including a business trust), joint stock company, trust, unincorporated association, joint venture, limited liability company or other entity, or a government or any political subdivision or agency thereof.

29. The term “plans” means tentative and preliminary proposals, recommendations, or considerations, whether or not finalized or authorized, as well as those that have been adopted.

30. The term “Prime Time Viewing Hours” means the hours of 7 PM to 11 PM, local time of the subscriber viewing the content.

31. The term “relating to” means in the whole or in part constituting, containing, concerning, discussing, describing, analyzing, identifying, or stating.

32. The term “Relevant Area” means, and information shall be provided separately for:

- a. with respect to Internet Access Service, the Cable System in which the Company provides such services;
- b. with respect to Internet Backbone Services, the United States;
- c. with respect to Internet Traffic Exchange, the United States; and
- d. with respect to an OVD, the United States.

33. The term “Relevant Period” means, and information shall be provided separately for, each month in the period beginning January, 2013, and ending November, 2014.

34. The term “Relevant Service” as used herein means, and information shall be provided separately for, each of the Company’s service(s) in the following categories:

- a. Content Delivery Network;
- b. Internet Access Service, and information shall be provided separately for:
  - i. Subscribers; and
  - ii. Edge Providers;
- c. Internet Traffic Exchange, and information shall be provided separately for interconnection between the Company and each provider of:
  - i. Internet Access Service;
  - iv. Internet Backbone Services;
  - ii. Edge Providers;
  - iii. CDNs;
  - iv. other Internet networks and services; and
  - v. OVDs.

- d. Video Programming; and
- e. Video Programming Distribution.

35. The term “Settlement-Free Peering” means peering where there are no payments exchanged between network providers for the exchange of traffic.

36. The term “Specialized Services” means services that share capacity with Internet Access Service over providers’ last-mile facilities.

37. The term “Subsidiary” as to any Person means any corporation, partnership, joint venture, limited liability company, or other entity of which shares of stock or other ownership interests having ordinary voting power to elect a majority of the board of directors or other managers of such corporation, partnership, joint venture, limited liability company or other entity are at the time owned, or the management of which is otherwise controlled, directly or indirectly, through one or more intermediaries, or both, by such Person.

38. The term “System Technology” means techniques including but not limited to encoding, frequency banding, modulation, physical connections, protocols, and security (including authentication and conditional access).

39. The term “Time-Shifted and Place-Shifted Video Programming” means Video Programming that may be viewed by consumers at the time and place of their choosing, usually via an Internet-connected device or on a VOD basis.

40. The term “Transit Service” means a service arrangement where customer pays Internet Backbone Services provider to send and receive traffic to and from destinations that can be either on or off the provider’s network.

41. The term “TV Everywhere” means the MVPD initiative, which allows consumers of certain services to access Video Programming on a variety of fixed and mobile Internet-connected devices.

42. “United States” or “U.S.” means the United States, its possessions, territories, and outlying areas.

43. The term “Video-on-Demand” or “VOD” means a service which allows subscribers to MVPD Service to view individual programs at the time of their choosing including, but not limited to, motion pictures, professional video, Broadcast Programming Networks, or Non-Broadcast Programming Networks. VOD includes without limitation both free programs and programs for which there is a charge.

44. The term “Video Programming” means programming provided by, or generally considered comparable to programming provided by, a television broadcast station or cable network, regardless of the medium or method used for distribution, and includes but is not limited to: programming prescheduled by the programming provider (also known as scheduled 8 programming or a linear feed); programming offered to viewers on an

on-demand, point-to-point basis (also known as VOD or PPV); short programming segments (also known as clips); programming that includes multiple video sources (also known as feeds, including camera angles); programming that includes video in different qualities or formats (including high-definition, 3D and 4K); and films.

45. The term “Video Programming Distribution” means the provision of Video Programming to consumers.

### **Instructions:**

1. Submit responsive documents (including materials containing Highly Confidential or Confidential Information) in electronic form only, unless otherwise specified, as set forth in the Instructions for Submission of Electronic Documents. The Commission does not require the submission of paper copies of these documents at this time, but reserves the right to require their submission at a later time.

2. Each responsive document shall be submitted in its entirety, even if only a portion of that document is responsive to a request made herein. This means that the document shall not be edited, cut, or expunged, and shall include all appendices, tables, or other attachments, and all other documents referred to in the document or attachments. All written materials necessary to understand any document responsive to these Requests shall also be submitted.

3. Data provided in response to this Request should include a list of all parameters/assumptions on which the data are based.

### **Instructions for Electronic Production of Documents and Electronically Stored Information**

#### **Introduction**

This document contains the standard specifications and procedures for submitting to the Federal Communications Commission electronic versions of documents in response to an Information Request.

- a. In many cases, it is useful for the party producing the documents, its vendor and the FCC staff to review the technical details of the production prior to submitting the response.
  - Take care to ensure that all responsive data and metadata are preserved in the collection process.
  - Submit two copies of the response: file one copy in the docket with the Secretary’s Office and provide one copy to FCC staff or the FCC’s contractor, as directed, for loading and review.

#### **1. Categories of Documents**

There are seven major categories of relevant documents: (1) email and other electronic messages (*e.g.*, instant messaging, text messages), (2) other electronic documents, (3) hard copy documents, (4) shared resources, (5) databases, (6) audio and video data, and (7) foreign-language materials. Typically, responsive documents will come from the first four categories, although databases will be used to respond to Data Requests. The general requirements for each category of document are outlined below. The attached Metadata Table of Requested Fields provides information regarding document-specific metadata and bibliographic information (identifying information).

A. Email, Attachments, and Other Electronic Messages

Email and other electronic messages (*e.g.*, instant messages (IMs), text messages) should be produced as image files with related searchable text, metadata and bibliographic information. Depending on how the Company's systems represent names in email messages, IMs or text messages, we may require a table of names or contact lists from custodians.

Each IM or text conversation should be produced as one document.

Email repositories, also known as email databases (*e.g.*, Outlook .PST, Lotus .NSF), can contain a variety of items, including messages, calendars, contacts, tasks, etc. For purposes of production, responsive items should include the "Email", "Other ESI", or "Calendar Items" metadata/database fields outlined in the Metadata Table, including but not limited to all parent items (mail, calendar, contacts, tasks, notes, etc.) and child files (attachments of files to email or other items), with the parent/child relationship preserved. Similar items found and collected outside an email repository (*e.g.*, .MSG, .EML, .HTM, .MHT) should be produced in the same manner.

Graphic objects embedded in emails such as logos, letterheads, or backgrounds should remain as part of the email and not be extracted as separate attached documents.

Pay special attention to the PARENTID, ATTACHMENTIDS, and FAMILYRANGE fields, which are used to track email families. While the example below relates to email families, all attachment relationships for all responsive documents are to be produced in this format.

EXAMPLE: Consider ABC-JD-00000001 a 10-page parent email, with records ABC-JD-00000011 to ABC- JD-00000015, ABC-JD-00000016 to ABC-JD-00000020, and ABC-JD-00000021 to ABC-JD-00000025 as its attachments. Fields should be populated exactly as follows using the semicolon as the multi-entry delimiter for ATTACHMENTIDS:

BEGDOC#	ENDDOC#	PARENTID	ATTACHMENTIDS	FAMILYRANGE
---------	---------	----------	---------------	-------------

ABC-JD-0000001	ABC-JD-0000010		ABC-JD-0000011; ABC-JD-0000016; ABC-JD-0000021	ABC-JD-0000001 – ABC-JD-0000025
ABC-JD-0000011	ABC-JD-0000015	ABC-JD-0000001		ABC-JD-0000001 – ABC-JD-0000025
ABC-JD-0000016	ABC-JD-0000020	ABC-JD-0000001		ABC-JD-0000001 – ABC-JD-0000025
ABC-JD-0000021	ABC-JD-0000025	ABC-JD-0000001		ABC-JD-0000001 – ABC-JD-0000025

## B. Electronic Documents

Electronic documents include word-processing documents, spreadsheets, presentations, and all other electronic documents not specifically discussed elsewhere. Production of these items should include image files with related searchable text, metadata, and bibliographic information. All passwords and encryption must be removed from electronic documents prior to production. Note that the following apply to both attachments of files to email or other items and loose native files:

1. *Spreadsheets:* Spreadsheets should be produced in native format (*e.g.*, as .XLSX files), with searchable text for the entire document, metadata, and bibliographic information. Provide only a single image of the first page of the spreadsheet or provide a single placeholder image. The placeholder image must contain at a minimum the BEGDOC#, FILENAME, and FILEPATH. The Identification range for a spreadsheet should be a single number (*e.g.*, ABC-JD-0000001 – ABC- JD-0000001). The linked native file name should match the BEGDOC#/DOCID with the appropriate file extension.
2. *Presentations:* Presentations should be produced in full slide image format along with speaker notes (which should follow the full images of the slides) with related searchable text, metadata, bibliographic information and linked native file. Presentations should also be produced in native format (*e.g.*, as .PPT files). The linked native file name should match the BEGDOC#/DOCID with the appropriate file extension.
3. *Hidden Text.* All hidden text (*e.g.*, track changes, hidden columns, hidden slides, mark-ups, notes) shall be expanded and rendered in the extracted text file. For files that cannot be expanded linked native files shall be produced with the image files.
4. *Embedded Files.* All embedded objects (*e.g.*, graphical files, Word documents, Excel spreadsheets, .wav files) that are found within a file shall be produced so as to maintain the integrity of the source document as a single document. For purposes of production the embedded files shall remain embedded as part of the original source document. Hyperlinked files must be produced as separate, attached documents upon request. Any objects that cannot be rendered to images and extracted text (*e.g.*, .wav, .avi files) must be produced as

separate extracted files with linked native files and placeholder images and be treated as attachments to the original file.

5. *Image-Only Files.* All image-only files (non-searchable .PDFs, multi-page TIFFs, Snipping Tool screenshots, etc., as well as all other images that contain text) shall be produced with associated OCR text, metadata, and bibliographic information.

6. *Proprietary File Types and Non-PC or Non-Windows Based Systems.* Proprietary file types, such as those generated by financial or graphic design software, should be discussed with Commission staff in advance of production to determine the optimal format of production. Also, file types from non-PC or non-Windows based systems (e.g., Apple, UNIX, LINUX systems), should be discussed with Commission staff in advance of production to determine the optimal format of production.

7. *Archive File Types.* Archive file types (e.g., .zip, .rar) must be uncompressed for processing. Each file contained within an archive file should be produced as a child to the parent archive file. If the archive file is itself an attachment, that parent/child relationship must also be preserved.

8. *Processing Errors.* The text of the placeholder image should also be contained in the searchable text of the document in the event of uncorrectable processing errors.

#### C. Hard-Copy (or Paper) Documents

Hard-copy documents are to be produced as black-and-white image files, except where noted below, with related searchable OCR text and bibliographic information. Special attention should be paid to ensure that hard-copy documents are produced as they are kept, reflecting attachment relationships between documents and information about the file folders within which each document is found. In addition, multi-page documents must be produced as single documents (i.e., properly unitized) and not as several single-page documents. Where color is required to interpret the document, such as hard copy photos, and certain charts, that image must be produced in color. These color images are to be produced as .jpg format. Hard-copy photographs should be produced as color .jpg format files, if originally in color, or black-and-white .tif files if originally in black-and-white.

#### D. Shared Resources

Shared Resources should be produced as separate custodians if responsive custodians have access to them or if they contain responsive documents. The name of the group having access would be used as the custodian name, i.e., Marketing Execs or Accounting Dept. The Company will separately provide a brief description of each shared resource that includes a list of the custodians who have access to that shared resource.

#### E. Database Productions

Production of enterprise databases are not addressed in these specifications and must be discussed with the appropriate government legal and technical staff to determine the optimal

production format; these will usually fall outside the scope of an image-based production. Care must be taken to ensure that all responsive databases and their metadata are preserved.

#### F. Audio/Video Data

These specifications do not address the production of audio/video data. Care must be taken to ensure that all responsive audio/video data and their metadata are preserved. These data types may be stored in audio or video recordings, voicemail text messaging, and related/similar technologies. However, such data, logs, metadata, or other files related thereto, as well as other less common but similar data types, should only be produced after consultation with and consent of Commission staff as to the format for the production of such data.

#### G. Foreign-Language Materials

Foreign language materials should be produced after consultation with Commission staff.

## **2. De-duplication**

Before doing any de-duplication, provide Commission staff with a written description of the method used to de- duplicate (including which elements are compared and what hash codes are

used), and what is considered a duplicate. Then confirm that your approach is acceptable to the Commission. The Commission does not allow de-duplication of hard-copy documents, or that of "loose" electronic documents (*e.g.*, presentation slides located on the custodian's C: drive) against email attachment versions of those same documents. The integrity of any produced email and any related "document family" must be maintained except as limited by any claim of privilege. Email attachments may not be de-duplicated against attachments in other email families. De-duplication should occur both vertically within each custodian and horizontally across custodians. Vertical de- duplication is crucial when a production includes electronic documents from back-up tapes. Horizontal de- duplication must be done in a way that preserves (and produces) information on blind copy (Bcc) recipients of emails and other custodians whose files contain the duplicates that will be eliminated from the production as well as original filepath and mailbox folder information.

*Custodian Append File.* A Custodian Append file is to be produced when de-duplicating ACROSS custodians (*i.e.*, horizontal de-duplication) and data is produced on a rolling basis. The file must be provided on an incremental basis starting with the second submission; as more custodians are discovered for previously produced documents, this file is updated with only the new custodian information. The Custodian Append File is a four-field delimited file consisting of the DOCIDs of the previously delivered document, the new custodian names, the Filepath(s) prepended with Custodian Name (multi-entry), and the FolderLabel(s) prepended with Custodian name (multi- entry) for the duplicates of those records that would otherwise have been produced in the subsequent (new) submissions.

These specifications do not allow for near de-duplication or email threading. These forms of de-duplication must be discussed separately with Commission staff and consent obtained prior to the use of such techniques for production.

### **3. Document Numbering**

Documents must be uniquely and sequentially numbered across the entire production, with an endorsement burned into each image. Each number shall be of a consistent length, include leading zeros in the number, and unique for each produced page. Numbers should contain no more than three segments connected by a hyphen. The leading segment must be the Company identifier, a middle segment identifying the custodian, and a sequential page counter with connecting hyphens (*e.g.*, ABCCO-CEO-00000001). The number of digits in the numeric portion of the format should not change in subsequent productions, nor should spaces, hyphens, or other separators be added or deleted. Under no circumstances should Identification numbers contain embedded spaces, slashes (/), backslashes (\), carats (^), underscores (\_), ampersands (&), hash marks (#), plus signs (+), percent signs (%), dollar signs (\$), exclamation marks (!), pipes (|), any character used as a delimiter in the metadata load files, or any character not allowed in Windows file-naming convention (, \ / : \* ? " < > | ~ @ ^).

### **4. Privilege Designations**

Documents redacted pursuant to any claim of privilege will be designated “Redacted” in the EPROPERTIES field as described in the Metadata Table. Appropriately redacted searchable text (OCR of the redacted images is acceptable), metadata, and bibliographic information must also be provided.

All documents that are part of a document family that includes a document withheld pursuant to any claim of privilege will be designated “Family Member of Privileged Doc” in the EPROPERTIES field as described in the Metadata Fields table for all other documents in its family. Placeholder images with BEGDOC#, FILENAME, FILEPATH and reason withheld (*e.g.*, “Privileged”) should be provided in place of the document images of the privileged document.

### **5. Sample**

Before beginning production, a sample production covering files of all types, including emails with attachments, loose files including spreadsheets and presentations, redacted documents, etc., should be provided, as directed by Commission staff. The sample size should be between 500 to 1000 records to be large enough to be representative and small enough to review quickly. The Commission will take a few business days to evaluate the sample and provide feedback. If there are any problems, corrected samples will need to be resubmitted until the Commission can confirm the problems are resolved.

### **6. Load File Set/Volume Configuration**

Each production must have a unique MEDIAID name associated with it. This MEDIAID name must also appear on the physical label. The MEDIAID naming scheme should start with a 2 or 3 letter prefix identifying the Company followed by a 3-digit counter (*e.g.*, ABC001). Each separate volume delivered on that media must also have a separate VOLUMENAME associated with it. On the root of the media, the top level folder(s) must be named for the volume(s). VOLUMENAME(s) should also be indicated on the physical label of the media. The volume



naming scheme should be based on the MEDIAID name followed by a hyphen, followed by a 3-digit counter (*e.g.*, ABC001-001). Load file volumes should be as large as practical but not contain more than 100,000 records each. The VOLUMENAME should increase sequentially across all productions on the same MEDIAID. Under the VOLUMENAME folder, the production should be organized in 4 subfolders:

1. DOCLINK (contains linked native files, may contain subfolders, with no more than 5,000 files per folder)
2. IMAGES (may contain subfolders, with no more than 5,000 image files per folder)
3. FULLTEXT (may contain subfolders, with no more than 5,000 document-level text files per folder)
4. LOADFILES (should contain the metadata, DII, OPT, LST, and custodian append files)

## **7. Deliverables**

A submission index spreadsheet must be delivered with each submission and should provide statistical information about the volume(s) and media produced. Provide this in hard copy format and electronically on the deliverable media. A sample is included in this PDF.

It is expected that all productions will conform to the structure of the final, approved sample production. Any changes to production procedures that alter output format will require prior submission of another sample production as outlined in section 5. Sample.

The Commission accepts electronic productions loaded onto hard drives, CD-ROMs, or DVD-ROMs; however, production on hard drives minimizes costs and delay and is preferable. Where the size of the production exceeds the capacity of a single DVD-ROM, hard drives should be used as the delivery medium. For each piece of media a unique identifier (MEDIAID) must be provided and must be physically visible *on the exterior* of the physical item.

If the media is encrypted, supply the tool for decryption on or with the same media, as well as instructions for decryption. Provide the password separately.

All documents produced in electronic format shall be scanned for, and free of, viruses. The Commission will return any infected media for replacement, which may affect the timing of the Company's compliance with this Information Request.

The Commission does not accept load file productions via email or those that are posted on download sites (*e.g.*, FTP, secure server).

The Commission recognizes that occasionally unforeseen issues will arise that require replacing documents or data from a previously delivered production with new documents or corrected data. Substantive corrections may require the reproduction of the entire production volume. The production format for all corrections must be agreed upon prior to any submission of corrections. Any productions that have been created but not delivered when the need for corrections is detected must be corrected prior to delivery. Each replacement or corrected production must be named based on the production volume that is being replaced or corrected. For example, if a corrected

metadata file replaces data in the previously delivered volume ABC-001-001 then the file name ABC-001-001-fix.txt should be used. Replacement document image file names, likewise, must be labeled with the same Identification number as the image being replaced. A separate correcting file is required for each volume to be corrected. These replacement or corrected productions must be delivered on separate media from any new productions. In the event that corrections alter the statistical information previously reported in the cover letter spreadsheet, an updated submission index spreadsheet with the corrected final statistical information must accompany each replacement.