

**New gTLD Program**  
**Initial Evaluation Report**  
 Report Date: 28 June 2013

Application ID:	1-1942-41146
Applied-for String:	UBS
Priority Number:	934
Applicant Name:	UBS AG

**Overall Initial Evaluation Summary**

<b>Initial Evaluation Result</b>	<b>Pass</b>
<p>Congratulations!</p> <p>Based on the review of your application against the relevant criteria in the Applicant Guidebook (including related supplemental notes and advisories), your application has passed Initial Evaluation.</p>	

**Background Screening Summary**

<b>Background Screening</b>	<b>Eligible</b>
<p>Based on review performed to-date, the application is eligible to proceed to the next step in the Program. ICANN reserves the right to perform additional background screening and research, to seek additional information from the applicant, and to reassess and change eligibility up until the execution of the Registry Agreement.</p>	

**Panel Summary**

<b>String Similarity</b>	<b>Pass - No Contention</b>																								
<p>The String Similarity Panel has determined that your application is consistent with the requirements in Sections 2.2.1.1 and 2.2.1.2 of the Applicant Guidebook, and your applied-for string is not in contention with any other applied-for strings.</p>																									
<b>DNS Stability</b>	<b>Pass</b>																								
<p>The DNS Stability Panel has determined that your application is consistent with the requirements in Section 2.2.1.3 of the Applicant Guidebook.</p>																									
<b>Geographic Names</b>	<b>Not a Geographic Name - Pass</b>																								
<p>The Geographic Names Panel has determined that your application does not fall within the criteria for a geographic name contained in the Applicant Guidebook Section 2.2.1.4.</p>																									
<b>Registry Services</b>	<b>Pass</b>																								
<p>The Registry Services Panel has determined that the proposed registry services do not require further review.</p>																									
<b>Technical &amp; Operational Capability</b>	<b>Pass</b>																								
<p>The Technical &amp; Operational Capability Panel determined that:</p> <p>Your application meets the Technical &amp; Operational Capability criteria specified in the Applicant Guidebook.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Question</th> <th style="text-align: right;">Score</th> </tr> </thead> <tbody> <tr><td>24: SRS</td><td style="text-align: right;">1</td></tr> <tr><td>25: EPP</td><td style="text-align: right;">1</td></tr> <tr><td>26: Whois</td><td style="text-align: right;">2</td></tr> <tr><td>27: Registration Life Cycle</td><td style="text-align: right;">1</td></tr> <tr><td>28: Abuse Prevention and Mitigation</td><td style="text-align: right;">2</td></tr> <tr><td>29: Rights Protection Mechanism</td><td style="text-align: right;">2</td></tr> <tr><td>30: Security Policy</td><td style="text-align: right;">2</td></tr> <tr><td>31: Technical Overview of Registry</td><td style="text-align: right;">1</td></tr> <tr><td>32: Architecture</td><td style="text-align: right;">2</td></tr> <tr><td>33: Database Capabilities</td><td style="text-align: right;">2</td></tr> <tr><td>34: Geographic Diversity</td><td style="text-align: right;">2</td></tr> </tbody> </table>		Question	Score	24: SRS	1	25: EPP	1	26: Whois	2	27: Registration Life Cycle	1	28: Abuse Prevention and Mitigation	2	29: Rights Protection Mechanism	2	30: Security Policy	2	31: Technical Overview of Registry	1	32: Architecture	2	33: Database Capabilities	2	34: Geographic Diversity	2
Question	Score																								
24: SRS	1																								
25: EPP	1																								
26: Whois	2																								
27: Registration Life Cycle	1																								
28: Abuse Prevention and Mitigation	2																								
29: Rights Protection Mechanism	2																								
30: Security Policy	2																								
31: Technical Overview of Registry	1																								
32: Architecture	2																								
33: Database Capabilities	2																								
34: Geographic Diversity	2																								

35: DNS Service	1
36: IPv6 Reachability	1
37: Data Backup Policies & Procedures	1
38: Data Escrow	1
39: Registry Continuity	2
40: Registry Transition	1
41: Failover Testing	1
42: Monitoring and Fault Escalation	2
43: DNSSEC	1
44: IDNs (Optional)	0
Total	29
Minimum Required Total Score to Pass*	22

*\*No zero score allowed except on optional Q44*

**Financial Capability** Pass

The Financial Capability Panel determined that:

Your application meets the Financial Capability criteria specified in the Applicant Guidebook.

Question	Score
45: Financial Statements	1
46: Projections Template	1
47: Costs and Capital Expenditures	1
48: Funding and Revenue	2
49: Contingency Planning	2
50: Funding Critical Registry Functions	3
Total	10
Minimum Required Total Score to Pass**	8

*\*\*No zero score allowed on any question*

**Disclaimer:** Please note that these Initial Evaluation results do not necessarily determine the final result of the application. In limited cases the results might be subject to change. All applications are subjected to due diligence at contracting time, which may include an additional review of the Continued Operations Instrument for conformance to Specification 8 of the Registry Agreement with ICANN. These results do not constitute a waiver or amendment of any provision of the Applicant Guidebook or the Registry Agreement. For updated application status and complete details on the program, please refer to the Applicant Guidebook and the ICANN New gTLDs microsite at <[newgtlds.icann.org](http://newgtlds.icann.org)>.