

# OIX MEMBERSHIP APPLICATION FORM

## MEMBERSHIP, REGISTRATION AND QUALIFICATION REQUIREMENTS

### 1. Definitions

The following terms when used in this OIX Membership Application Form shall have the meanings set forth below. Defined terms used, but not defined herein shall have the meaning set forth in the “OIX Member Rules” documents (defined in the OIX Membership Agreement).

**1.1 “Applicant”** means a person that applies for membership in OIX under these Application Rules. Applicants include persons applying for general membership and for Listed membership such as Identity Management Services Providers, Assessors and Trust Communities. Application processes and procedures applicable to all memberships (both general and Listed) are set forth in these Application Rules. Additional requirements for individual classes of Listed memberships are set forth in the “Listed Membership Addenda.” The term “Applicant” applies to persons submitting applications for either general or Listed membership.

**1.2 “Assessor”** means a party that performs evaluations of information systems of providers of one or more types of Identity Management Related Services with respect to one or more Trust Frameworks for the purpose of certifying the conformity of such services to the technical specifications and policy, legal and other requirements of such Trust Frameworks.

**1.3 “Auditor”** means a party that performs review and analysis similar to that of an Assessor, but for the purpose of certifying continuing conformity following an initial certification by an Assessor.

**1.4 “Digital Data”** means any data stored, transferred, or otherwise mediated in any electronic, optical, or other data system or combination thereof. As used herein, the term “data” is used to describe the quantities, characters or symbols on which operations are performed by computers, communications networks and other automatic equipment, and which may be stored or transmitted in the form of electrical signals, light, magnetic, electron spin, quantum or other states of matter.

**1.5 “Director”** means a member of the OIX Board.

**1.6 “Division”** means the division of OIX that is in charge of administering the Membership application process.

**1.7 “Identity Data”** is data that is applied, combined, aggregated or referenced to convey Information about an individual (or, by extension, an entity or living or inanimate thing).

**1.8 “Identity Management Related Services”** means any one or more of the services offered by an Identity Management Service Provider, Assessor, Auditor, or Online Dispute Resolution Provider.

**1.9 “Identity Management Services”** means services associated with creating, maintaining, and managing identity information and of providing services associated with identification, authentication, authorization, identity attribute and claims assertion, and affinity and group formation.

**1.10 “Identity Management Service Provider”** means a party that provides Identity Management Services.

**1.11 “Information”** means knowledge communicated concerning some particular fact, subject or event. “Information” is conveyed using multiple instances of data.

**1.12 “Material Change in Business Operations”** includes, but is not limited to:

- (1) removing or modifying a membership agreement restriction; and
- (2) offering a particular type of Identity Management Services for the first time.

**1.13 “OIX Board”** means the Board of Directors of OIX.

**1.14 “Online Dispute Resolution Provider”** means a party that performs a service associated with an online and/or automated means of dealing with opposing claims following the point at which they are asserted by a party.

**1.15 “Interested OIX Staff”** means an employee or independent contactor of OIX who directly participates in the consideration and rendering of a decision under these Application Rules, a party who directly supervises such party with respect to such decision, a party who conducted an investigation or examination of a member that files an application under and the chair of the Division.

**1.16 “Registration Information”** means all Application responses, reports, transcripts and notes of oral communications, materials and other information and data supplied by or with respect to an application for Membership in OIX.

**1.17 “Relying Party”** means an individual, entity or the information system node associated with a thing that receives an Identity attribute assertion or claim through the use of the systems and services of one or more Identity Management Service Providers.

**1.18 “Application Rules”** means the requirements set forth in this OIX Membership Application Form. References to Rule numbers are to sections in this Form.

**1.19 “Service Practice Event”** means any dispute, customer complaint, arbitration, or civil litigation that has been reported to OIX or is required to be so reported under these Application Rules.

**1.20 “Trust Community”** means an entity or group that has identity management services requirements that are described in a Trust Framework.

**1.21 “Trust Framework”** means a document or series of documents that set forth the needs and requirements of a particular Trust Community regarding identity management services, including, but not limited to, specifications and descriptions of technological tools (the “Tools”) and summaries or descriptions of the legal, policy and institutional/cultural requirements of the system (the “Rules”). Trust Frameworks may provide more or less detail of the Tools and Rules.

## **2 General Provisions**

### **2.1 Acceptable Forms of Filing by Applicant and OIX Service**

2.1.1 An Applicant desiring membership in OIX shall file an application in the manner prescribed in Rule 3.

2.1.2 The default method for filing a membership application with OIX is an electronic filing process. Upon prior approval by OIX, an Applicant may file an application or any document or information requested under these Application Rules by first-class mail, overnight courier, hand delivery or facsimile.

2.1.3 Notices or decisions issued under these Application Rules by OIX shall be served by electronic process or first-class mail, to the Applicant or its counsel, unless a Rule hereunder specifies a different method of service.

2.1.4 Service by OIX or a filing by an Applicant shall, for purposes of these Application Rules, be deemed complete as follows:

2.1.4.1 Where a filing is made by an electronic system, it shall be deemed complete on the date specified on the confirmation page generated by the electronic filing system.

2.1.4.2 Where a service or filing is made by first-class mail it shall be deemed complete on the date of postmark;

2.1.4.3 Where a service or filing is made by overnight courier, it shall be deemed complete on the date of delivery to the overnight courier as specified in the airbill;

2.1.4.4 Where a service or filing is made by hand delivery, it shall be deemed complete on the date of receipt as evidenced by a date stamp; and

2.1.4.5 Where a service or filing is made by facsimile, it shall be deemed complete on the date specified in the document and on the written confirmation of transmission.

## **2.2 Lapse of Application**

2.2.1 An application that is filed under Rule 3 shall, absent a showing of good cause (determined by OIX in its sole discretion), automatically lapse if an Applicant:

2.2.1.1 fails to provide a full and complete response within thirty (30) days following service of an initial or subsequent written request from OIX for information and/or documents under Rule 3, or within such other time period agreed to in writing by the Division and the Applicant; or

2.2.1.2 fails to file an executed OIX Membership Agreement within 30 days after service by OIX of the agreement, or within such other period agreed to in writing by the Division and the Applicant.

2.2.2 In the event that an application lapses under this section, an Applicant wishing to continue to seek membership or approval of a change in ownership, control, or business operations, then such Applicant shall be required to submit a new application and an additional fee under Rule 3, respectively. OIX shall not be required to refund any fee that was paid for a lapsed application.

## **2.3 Ex Parte Communications**

2.3.1 Following the date on which OIX staff has knowledge that an Applicant intends to file a written request for review by the Identity Management Services Market Review Council, the restrictions on ex parte communications provided in this section shall apply.

2.3.2 Other than those circumstances where there is notice and opportunity for an Applicant and Interested OIX Staff to participate:

2.3.2.1 an Applicant, representative of an Applicant (including legal counsel), or an Interested OIX Staff shall not engage in an ex parte communication that is relevant to the merits of a membership proceeding under these Application Rules to a member of the Identity Management Services Market Review Council, or an OIX employee or independent contractor who is participating in or advising with respect to a decision relating to such a person with respect to that proceeding; and

2.3.2.2 a member of the Identity Management Services Market Review Council, or an OIX employee or independent contractor who is participating in or consulting with respect to the decision with respect to such a person relating to a membership proceeding shall not make an ex parte communication relevant to the merits of that proceeding to an Applicant, a counsel or representative of the Applicant, or an Interested OIX Staff.

2.3.3 A member of the Identity Management Services Market Review Council, or a OIX employee or independent contractor who is participating in or consulting with respect to the decision relating to such a person, who receives, makes, or knowingly causes to be made a communication that is prohibited by this section shall place in the record of the membership proceeding:

2.3.3.1 a record of any and all such electronic and written communications, including any responses thereto; and

2.3.3.2 a document that describes the substance of any and all such oral communications, including any responses thereto.

## **2.4 Recusal or Disqualification**

2.4.1 OIX Policy. It is critical to the proper functioning of the Identity Management Services Market that the registration and other member-related processes of OIX maintain and be appropriately perceived as manifesting impartiality, transparency, objectivity, fairness and high integrity. In furtherance of these goals, a member of the Identity Management Services Market Review Council shall not participate in a matter governed by Rule 3 with respect to which they have a conflict of interest or bias, or if circumstances otherwise exist where his or her objectivity, fairness or impartiality might reasonably be questioned or which might reasonably result in even the appearance of impropriety. In such a case, the person shall recuse himself or shall be disqualified from participating in the consideration, discussion or decision regarding such matter as follows:

2.4.1.1 The Chair of the OIX Board shall have authority to require and cause the disqualification of a Director, and a majority of the Directors of the OIX Board (excluding the Chair) shall have authority to require and cause the disqualification of the Chair of the OIX Board.

2.4.1.2 The Chair of the Identity Management Services Market Review Council shall have authority to direct the disqualification of a member of the Identity Management Services Market Review Council, and the Vice Chair of the Identity Management Services Market Review Council shall have authority to direct the disqualification of the Chair of the Identity Management Services Market Review Council.

## **2.5 Computation of Time**

### **2.5.1 Calendar Day**

In these Rule, the term "day" is intended to refer to a calendar day.

### **2.5.2 Counting Conventions**

For purposes of computing a period of time under these Application Rules, the day of an act, event, default, or lapse from which the period of time indicated begins to run shall not be included. In addition, the last day of the period so computed shall be included in such period unless it is a Saturday, Sunday, or United States federal holiday, in which event the period shall be considered to end on the next day that is not a Saturday, Sunday, or U.S. federal holiday.

## **3. New Member Application**

### **3.1 Filing of Application**

#### **3.1.1 How to File**

An Applicant for OIX membership shall file its application in the manner prescribed by the Division and approved by the Board. An application shall include:

3.1.1.1 For new General OIX Members, a fully completed, current form of new OIX General Member Information Report (see Attachment A) [**Note: When membership applications will be made online, reference to “Attachment A” will be replaced by a link to the online form.**];

3.1.1.2 For existing General OIX Members that desire to be Registered as Listed OIX Members in one or more categories of Identity Management Related Service, a fully completed, current form of “Listed Member Addendum” (see Attachment B) [**Note: see note to section 3.1.1.1**];

3.1.1.3 payment of the appropriate Membership Dues and Listing fee (see schedule A).

#### **3.1.2 Request for Additional Documents or Information**

3.1.2.1 Within thirty (30) days after the filing of an application, the Division shall serve an initial request for any additional information or documents necessary to render a decision on the application. The Division may serve subsequent requests for additional information or documents at any time during the membership application process.

3.1.2.2 Unless otherwise agreed by the Division and the Applicant, the Applicant shall file any additional information and documents with the Division within thirty

(thirty) days after service of the Division's initial request and fifteen (15) days after service of any subsequent request.

### **3.1.3 Rejection of Application That Is Not Substantially Complete**

If the Division determines within forty-five (45) days after the serving a request for additional information or documents that the application is not substantially complete, and that the Applicant has not adequately responded to such request, the Division may reject the application and deem it not to have been filed. In such a case, the Division shall serve a written notice on the Applicant of the Division's determination and the reasons therefore within such thirty (30) day period. OIX shall refund the application fee, less an amount reasonably retained by OIX as an administration fee. If the Applicant decides to continue to seek membership in OIX, the Applicant shall be required to submit a new application and fee under this Rule.

### **3.1.4 Information from Other Sources**

During the application review process, the Division shall provide to the Applicant's representative or representatives any information or document that the Division has obtained from a source other than the Applicant and upon which the Division intends to base its decision under Rule 4, and shall provide the Applicant with the opportunity to supplement its application to address any issues raised in such information or document prior to rendering its decision on the application. All information received from the Applicant and from any third party sources is Registration Information for purposes of these Application Rules.

## **4. Division Membership Decisions**

### **4.1 Standards for Admission**

4.1.1 After considering the application, other information and documents provided by the Applicant, other information and documents obtained by the Division, and the public interest and the protection of Data Subjects, Relying Parties and Trust Frameworks, the Division shall determine whether the Applicant meets each of the following standards:

4.1.1.1 For all Applicants for General or Listed Membership, that the application and all supporting documents are complete (taking into account the specific Registration Information requirements associated with the particular application being filed), fully documented (including, where required by a particular Trust Framework, evidence of certification by OIX Listed assessors and accurate (based on Registration Information provided to the Division).

### **4.2 Granting or Denying Application**

4.2.1 In reviewing an application for membership, the Division shall consider whether the Applicant meet each of the standards in paragraph 4.1.

4.2.2 If the Division determines that the Applicant meets each of the standards in paragraph 4.1, the Division shall grant the application for membership.

4.2.3 If the Division determines that the Applicant does not meet one or more of the standards in paragraph 4.1.1 in whole or in part, the Division shall deny the application.

### **4.3 Decision**

#### **4.3.1 Time**

The Division shall serve a written decision on the membership application within thirty (30) days after the conclusion of the membership interview or after the filing of additional information or documents, whichever is later.

#### **4.3.2 Content**

If the Division denies the application, the decision shall explain in detail the reason for denial, referencing the applicable standard or standards in these Application Rules.

#### **4.3.3 Failure to Serve Decision**

If the Division fails to serve a decision within ninety (90) days after the filing of an application or such later date as the Division and the Applicant have agreed in writing, the Applicant may file a written request with the OIX Board requesting that the OIX Board direct the Division to serve a decision. Within seven days after the filing of such a request, the OIX Board shall direct the Division to serve its written decision immediately or to show good cause for an extension of time. If the Division shows good cause for an extension of time, the OIX Board may extend the ninety (90) day time limit by not more than forth five (45) days.

### **4.4. Submission of Membership Agreement**

4.4.1 If the Division grants an application, the Applicant's approval for membership shall be contingent upon the Applicant's filing of an executed written OIX Membership Agreement, satisfactory to the Division, undertaking, among other obligations, to:

4.4.1.1 continue to abide by the Application Rules presented in this Membership Application Form and to update their registration information within thirty (30) days of making a material change in any business practices, or other aspects of their business that renders information previously provided to OIX out-of-date or otherwise not reflective of current practice of a member; and

4.4.1.2 Review, agree to, and abide by the terms and conditions of other Member-related policies (including, but not limited to the Member Agreement) and OIX rules as established, amended, or modified by the Board from time to time.

4.4.2 The Applicant shall not waive the right to file a written request for review under these Application Rules by executing a membership agreement under this paragraph.

#### **4.4.5 Service and Effectiveness of Decision**

The Division shall serve its decision and the membership agreement on the Applicant in accordance with these Application Rules. The decision shall become effective upon service and shall remain in effect during the pendency of any review until a decision constituting final action of OIX is issued under these Application Rules, unless otherwise directed by the Identity Management Services Market Review Council or the OIX Board.

#### **4.4.6 Final Action**

Unless the Applicant files a written request for a review under these Application Rules, the Division's decision shall constitute final action by OIX.

### **5. Review by Identity Management Services Market Review Council**

#### **5.1 Initiation of Review by Applicant**

Within thirty (30) days after service of a decision under these Application Rules, an Applicant may file a written request for review with the Identity Management Services Market Review Council. A request for review shall state with specificity why the Applicant believes that the Division's decision is inconsistent with the membership standards set forth in these Application Rules, or otherwise should be set aside, and state whether a hearing is requested.

#### **5.2 Transmission of Documents**

5.2.1 Within ten (10) days after the filing of a request for review, the Division shall:

5.2.2.1 transmit to the Identity Management Services Market Review Council copies of all documents that were considered in connection with the Division's decision and an index to the documents; and

5.2.2.2 serve on the Applicant a copy of such documents (other than those documents originally submitted by Applicant) and a copy of the index.

#### **5.3 Membership Application Docket**

The Division shall promptly record in OIX's membership application docket each request for review filed with the Identity Management Services Market Review Council under this Rule and each material subsequent event, filing, and change in the status of a membership proceeding.

#### **5.4 Appointment of Subcommittee**

The Identity Management Services Market Review Council shall appoint a Subcommittee to participate in the review. The Subcommittee shall be composed of two or more persons who shall be current or past members of the Identity Management Services Market Review Council or former Directors.

#### **5.5 Powers of Subcommittee**

If a hearing is requested, the Subcommittee shall conduct the hearing. If a hearing is not requested, the Subcommittee may serve a notice directing that a hearing be held. If a hearing is not requested or directed, the Subcommittee shall conduct its review on the basis of the record developed before the Division and any written submissions made by the Applicant or the Division in connection with the request for review.

#### **5.6 Hearing**

##### **5.6.1 Notice**

If a hearing is requested or directed, the hearing shall be held within forty five (45) days after the filing of the request with the Identity Management Services Market Review Council or service of the notice by the Subcommittee. The Identity Management Services Market Review Council shall serve written notice of the date and time of the hearing to the Applicant by facsimile or overnight courier not later than fourteen (14) days before the hearing.

##### **5.6.2 Counsel**

The Applicant and the Division may be represented by counsel at a hearing conducted pursuant to this Rule.

##### **5.6.3 Evidence**

Formal rules of evidence shall not apply to a hearing under this Rule. Not later than five (5) days before the hearing, the Applicant and the Division shall exchange copies of their proposed hearing exhibits and witness lists and provide copies of the same to the Identity Management Services Market Review Council. If the Applicant or the Division fails to provide copies of its proposed hearing exhibits or witness list within such time, the Subcommittee shall exclude the evidence or witnesses from the proceeding, unless the Subcommittee determines that good cause is shown for failure to comply with the production date set forth in this subparagraph.

#### **5.6.4 Transcript**

The hearing shall be recorded and a transcript prepared by a court reporter. A transcript of the hearing shall be available for purchase from the court reporter at prescribed rates. The Applicant, the Division, or a witness may seek to correct the transcript. A proposed correction of the transcript shall be submitted to the Subcommittee within a reasonable period of time prescribed by the Subcommittee. Upon notice to the Applicant and the Division, the Subcommittee may direct the correction to the transcript as requested or sua sponte.

#### **5.7 Additional Information, Briefs**

At any time during its consideration, the Subcommittee or the Identity Management Services Market Review Council may direct the Applicant or the Division to file additional information or briefs. Any additional information or brief filed shall be provided to all parties before the Identity Management Services Market Review Council renders its decision.

#### **5.8 Abandonment of Request for Review**

If an Applicant fails to specify the grounds for its request for review under these Application Rules, appear at a hearing for which it has notice, or file information or briefs as directed, the Identity Management Services Market Review Council or the Review Subcommittee may dismiss the request for review as abandoned, and the decision of the Division shall become the final action of OIX. Upon a showing of good cause, the Identity Management Services Market Review Council or the Review Subcommittee may withdraw a dismissal entered pursuant to this paragraph.

#### **5.9 Subcommittee Recommendation**

The Subcommittee shall present a recommended decision in writing to the Identity Management Services Market Review Council within sixty (60) days after the date of the hearing held pursuant to paragraph 5.6, and not later than seven days before the meeting of the Identity Management Services Market Review Council at which the membership proceeding shall be considered.

#### **5.10 Decision**

##### **5.10.1 Proposed Written Decision**

After considering all matters presented in the review and the Subcommittee's recommended written decision, the Identity Management Services Market Review Council may affirm, modify, or reverse the Division's decision or remand the membership proceeding with instructions. The Identity Management Services Market Review Council shall prepare a proposed written decision pursuant to subparagraph (2).

### **5.10.2 Contents**

The decision shall include:

- 5.10.2.1 a description of the Division's decision, including its rationale;
- 5.10.2.2. a description of the principal issues raised in the review;
- 5.10.2.3 a summary of the evidence on each issue; and
- 5.10.2.4 a statement whether the Division's decision is affirmed, modified, or reversed, and a rationale therefor that references the applicable standards in these Application Rules.

### **5.10.3 Issuance of Decision After Expiration of Call for Review Periods**

The Identity Management Services Market Review Council shall provide its proposed written decision to the OIX Board. The OIX Board may call the membership proceeding for review pursuant to these Application Rules. If the OIX Board does not call the membership proceeding for review, the proposed written decision of the Identity Management Services Market Review Council shall become final. The Identity Management Services Market Review Council shall serve the Applicant with a written notice specifying the date on which the call for review period expired and stating that the final written decision will be served within fifteen (15) days after such date. The Identity Management Services Market Review Council shall serve its final written decision within fifteen (15) days after the date on which the call for review period expired. The decision shall constitute the final action of OIX, unless the Identity Management Services Market Review Council remands the membership proceeding.

### **5.10.4 Failure to Issue Decision**

If the Identity Management Services Market Review Council fails to serve its final written decision within the time prescribed in subparagraph (3), the Applicant may file a written request with the OIX Board requesting that the OIX Board direct the Identity Management Services Market Review Council to serve its decision immediately or to show good cause for an extension of time. Within seven (7) days after the filing of such a request, the OIX Board shall direct the Identity Management Services Market Review Council to serve its written decision immediately or to show good cause for an extension of time. If the Identity Management Services Market Review Council shows good cause for an extension of time, the OIX Board may extend the fifteen (15) day time limit by not more than fifteen (15) days.

## **6. Discretionary Review by OIX Board**

### **6.1 Call For Review By Director**

A Director may call a membership proceeding for review by the OIX Board if the call for review is made within the period prescribed in paragraph 6.2.

### **6.2 Fifteen (15) Day Period; Waiver**

A Director shall make his or her call for review at the next meeting of the OIX Board that is at least fifteen (15) days after the date on which the OIX Board receives the proposed written decision of the Identity Management Services Market Review Council. By unanimous vote of the OIX Board, the OIX Board may shorten the period to less than fifteen (15) days. By an affirmative vote of the majority of the OIX Board then in office, the OIX Board may, during the fifteen (15) day period, vote to extend the period to more than fifteen (15) days.

### **6.3 Review At Next Meeting**

If a Director calls a membership proceeding for review within the time prescribed in paragraph (b), the OIX Board shall review the membership proceeding not later than the next meeting of the OIX Board. The OIX Board may order the Applicant and the Division to file briefs in connection with review proceedings pursuant to this paragraph.

### **6.4 Decision of OIX Board, Including Remand**

After review, the OIX Board may affirm, modify, or reverse the proposed written decision of the Identity Management Services Market Review Council. Alternatively, the OIX Board may remand the membership proceeding with instructions. The OIX Board shall prepare a written decision that includes all of the relevant elements described in these Application Rules.

### **6.5 Issuance of Decision**

The OIX Board shall serve its written decision on the Applicant within fifteen (15) days after the meeting at which it conducted its review. The decision shall constitute the final action of OIX, unless the OIX Board remands the membership proceeding.

## **7. Non-U.S. Members**

### **7.1 Additional Application Requirements.**

Because OIX is administered from within the United States, applicants must:

7.1.1 pay any required fees associated with membership application in U.S. dollars, and

7.1.2 file their application materials and other documents in English, and provide links to documents and agreements that are submitted with the application in English and, upon request of the Division, in the other major languages (excluding local dialects) that

are used by the parties that are included in the Trust Communities that will be served by the Identity Management Service Providers and any relevant Relying Parties and Data Subjects.

## **8. Contact Information Requirements**

8.1. Each member shall report to OIX all contact information required by OIX via such means as OIX may specify.

8.2 Each member shall update its required contact information promptly, but in any event not later than thirty (30) days following any change in such information. In addition, each member shall review and, if necessary, update its required contact information within twenty (20) days after the end of each calendar year.

Attachment A

**New OIX General Member Information Report**

Note to Applicants:

This form is intended to be filed for new members of OIX seeking to become OIX General Members. This information will be included in the OIX Listing Service. General Members are not Registered as Listed Members. To become a Listed Member, you must first file a Listed Member Addendum with respect to the Identity Management Services for which you would like to be Listed, which is separately reviewed by OIX.

Please fill in all requested information below.

ORGANIZATIONAL INFORMATION

Legal name of Organization seeking OIX General Membership:

---

DBAs or other Trade Names for this Organization:

---

---

---

---

Jurisdiction of Incorporation or Formation:

---

Date of Incorporation or Formation:

---

Reference to Certificate of Incorporation (or equivalent proof of formation):

---

Is this Entity Publicly or Privately owned? \_\_\_\_\_

If Public, Reference to Public Filing Statements:

---

---

---

URI (Web Address) Uniquely Identifying this Organization:

---

Other Websites for this Organization:

---

---

---

CONTACT INFORMATION

EXECUTIVE CONTACT

The following information applies to the individual who is authorized to execute this Membership Application and to terminate OIX Membership for this Organization.

Name:

---

Title:

---

Email Addresses:

---

---

Telephone Numbers:

---

---

---

Mailing Addresses:

---

---

---

---

**BILLING CONTACT**

The following information applies to the individual who is authorized to process invoices for this Organization.

Name:

---

Title:

---

Email Addresses:

---

---

Telephone Numbers:

---

---

---

Mailing Addresses:

---

---

---

---

ADMINISTRATIVE CONTACTS

The following information applies to the individual(s) who are authorized to make administrative changes to Organization's OIX General Membership Application and Listed Membership Application(s).

ADMINISTRATIVE CONTACT #1

Name:

---

Title:

---

Email Addresses:

---

---

Telephone Numbers:

---

---

---

Mailing Addresses:

---

---

---

---

ADMINISTRATIVE CONTACT #2

Name:

---

Title:

---

Email Addresses:

---

---

Telephone Numbers:

---

---

---

Mailing Addresses:

---

---

---

---

ADMINISTRATIVE CONTACT #3

Name:

---

Title:

---

Email Addresses:

---

---

Telephone Numbers:

---

---

---

Mailing Addresses:

---

---

---

---

Attachment B

**Listed Member Addendum**  
**to the**  
**OIX Membership Application Form**

Note to Applicants:

Application for Listed Membership in OIX is accomplished by providing additional information in response section 3.1.1 of the OIX Membership Application Form as requested below.

All of the terms, conditions and requirements of the OIX Membership Application Form apply to the submission of additional information under this OIX Listed Member Addendum.

This Listed Member Addendum is divided into several parts. Each part is associated with a separate category of OIX Listed Member. Please only fill out the parts that are applicable to the category of OIX Listed Membership that you are seeking through your current application.

The parts are as follows:

Part I – Additional Registration Information Requirements for OIX Identity Management Services Listed Membership

Part II – Additional Registration Information Requirements for OIX Assessor Listed Membership

Part III – Additional Registration Information Requirements for OIX Auditor Listed Membership

Part IV – Additional Registration Information Requirements for OIX Trust Framework/Trust Community Listed Membership

Part V – Additional Registration Information Requirements for OIX Online Dispute Resolution Provider Listed Membership

Part VI – Additional Registration Information Requirements for OIX Relying Parties (When required by a particular trust framework)

Note that the Board may expand or reduce the categories of OIX Listed Membership and the requirements for each such category in its sole discretion at any time.

Part I - Additional Registration Information Requirements for Identity Management Services Listed Membership.

Note to Applicants:

The information that you supply in response to the questions in Part IA may be included in whole or part in the OIX Listing Service for your Identity Management Services Listed Membership category upon acceptance of this Listed Membership Application by OIX, and is subject to the terms set forth in the Membership Application Form and the Membership Agreement, as applicable.

Information specified in Part IB must be supplied directly to the Listed Assessor (specified in Part IA) to enable Assessor's assessment of Applicant's qualifications for this Listed Membership, and should not be provided to OIX. The information that you supply to the Assessor will be subject to the terms pursuant to which you receive the Assessment services.

Part IA: OIX Listing Information

LISTED MEMBERSHIP SELECTION

Selected OIX Listed Trust Framework:

---

Selected Levels of Assurance:

---

Selected Levels of Protection:

---

Selected Technical Profiles:

---

---

---

Selected OIX Listed Assessor:

---

LISTED MEMBERSHIP CONTACT(S)

Select at least one of the checkboxes below (you may check as many as desired):

- General Membership Executive Contact
- General Membership Billing Contact
- General Membership Administrative Contact #1
- General Membership Administrative Contact #2
- General Membership Administrative Contact #3
- Listed Membership Contact

LISTED MEMBERSHIP CONTACT INFORMATION

Fill in this section only if you checked “Listed Membership Contact” above.

Name:

---

Title:

---

Email Addresses:

---

---

Telephone Numbers:

---

---

Mailing Addresses:

---

---

## Part IB: Assessment Information

The additional Member Information that must be provided by any Applicant for Listed Membership as an Identity Management Service Provider is specified in the Identity Provider Application Requirements for the selected trust framework.

*Note: for the US ICAM LOA I VI Trust Framework, this information is specified in Appendix B of the OIX Trust Framework Provider Assessment Package.*

Part II – Additional Registration Information Requirements for OIX Assessor Listed Membership

Note to Applicants:

The information in Part IIA will be included in the OIX Listing Service for your Assessor Listed Membership upon acceptance of this Listed Membership by OIX. Additional information specified in Part IIB must be supplied to the Special Assessor specified in Part IIA to enable evaluation of Applicant’s qualifications for this Listed Membership.

Part IIA: OIX Listing Information

LISTED MEMBERSHIP SELECTION

Selected OIX Listed Trust Framework:

---

Selected Levels of Assurance:

---

Selected Levels of Protection:

---

Selected Technical Profiles:

---

---

---

OIX Special Assessor:

---

LISTED MEMBERSHIP CONTACT(S)

Select at least one of the checkboxes below (you may check as many as desired):

- General Membership Executive Contact
- General Membership Billing Contact
- General Membership Administrative Contact #1
- General Membership Administrative Contact #2
- General Membership Administrative Contact #3
- Listed Membership Contact

LISTED MEMBERSHIP CONTACT INFORMATION

Fill in this section only if you checked "Listed Membership Contact" above.

Name:

---

Title:

---

Email Addresses:

---

---

Telephone Numbers:

---

---

Mailing Addresses:

---

---

## Part II B: Assessment Information

The additional Member Information that must be provided by any Applicant for Listed Membership as an Assessor is specified in the Assessor Application Requirements for the selected trust framework.

*Note: for the US ICAM LOA I VI Trust Framework, this information is specified in Appendix A of the OIX Trust Framework Provider Assessment Package.*

Part III – Additional Registration Information Requirements for OIX Auditor Listed  
Membership

[To be provided in future versions of this document]

Part IV – Additional Registration Information Requirements for OIX Trust  
Framework/Trust Community Listed Membership

[To be provided in future versions of this document]

Part V – Additional Registration Information Requirements for OIX Online Dispute Resolution Provider Listed Membership

[To be provided in future versions of this document]

Part VI – Additional Registration Information Requirements for OIX Relying Parties  
(When required by a particular trust framework)

[To be provided in future versions of this document]

**Attachment B (continued)**  
**Instructions and Qs & As**  
**for the**  
**OIX Listed Member Addendum**  
**to the**  
**OIX Membership Application Form**

**Instructions:**

OIX General Members are eligible to file for Listed membership in a number of categories.

Current OIX Listed Member categories include:

- Identity Management Service Provider
- Assessor
- Auditor
- Trust Framework/Trust Community
- Online Dispute Resolution Provider

OIX may add categories of Listed membership as the needs of the identity management sector of the information services market changes over time.

The requirements of this Addendum should be completed by any OIX General Member who would like to be considered for admission, registration and listing as a Listed Member in any one of the listed categories.

**Qs & As about Listed Membership in OIX**

**Is Listed membership required?**

Listed membership, like general membership in OIX, is entirely voluntary. Listed members are, however, required to comply with certain additional filing and member requirements associated with each relevant Listed Membership category.

**Is Listed Member Registration Information made public?**

Yes. As is the case for all OIX membership application information collected directly by OIX (as contrasted with the information that is shared with an Assessor for purposes of assessment), information collected from and about members as part of the Application

process is made available for review by all OIX members and the public. The broad sharing of Registration Information furthers the purposes of OIX to improve conditions for all parties involved in the emerging identity management services industry.

### **How does imposing more comprehensive information-sharing requirements on OIX Listed Members improve the identity management services industry?**

The sharing of information with other members and the public will improve conditions in the industry by enabling greater responsiveness to Trust Community and consumer needs, driving innovation, aiding standardization efforts, increasing interoperability between and among various information systems, expanding market opportunities and reducing development costs and inefficiencies.

The sharing of Registration Information will also permit services consumers and other parties that rely on the quality of such services (such as data subjects, relying parties, etc.) to more readily identify solutions to their particular identity management services needs in a market that will help them to express their identity management services needs in a more standardized way, improving the user experience, the ability of producers to respond to users needs and improved conditions in the information services industry generally and in the identity management services sector of that industry.

Specifically, Listed Members are required to provide additional information to the public registry data base maintained by OIX, called the “OIX Listing Service.” This shared information system will provide certain industry-relevant information about the types and characteristics of services that OIX Listed Members offer. Registration Information requirements vary from one specialty to another. It is for this reason that this addendum is divided into separate sections, each setting forth different information requirements for each “specialty.”

### **What is an example of Registration Information Requested from Listed Members?**

For example, for the Assessor Listed Membership, the registration form calls for information that is intended to provide insight into the range of their experience in evaluating identity management services providers, and the nature of the services that they offer to the identity management services market. Where there are Trust Frameworks that establish particular requirements for assessors for those systems, the Assessor Registration Information will include responses that will be intended to demonstrate how the applicant for Assessor Listed Membership conforms to those particular Trust Framework requirements. Because assessors are relied upon in the OIX market to provide Trust Communities with verification that a particular Identity Management Services Provider (and if required by a particular Trust Framework, Relying Parties) can accommodate their particular needs, this information will include information about their experience in and resources for reviewing the technical systems associated with identity management (the “Tools”) and the policy and legal structures associated with identity management (the “Rules”). It might also include information about their ability to work in various languages, and experience with other existing

regional or culturally-based systems for those Trust Communities that have identity needs that need to be localized.

### **What type of Registration Information would be Requested from Identity Management Services Providers?**

For identity management services providers, the requested Registration Information is intended to include industry-relevant details such as their various certifications by third party assessors, and a listing of the Trust Frameworks to which they are certified. It also calls for information that helps other stakeholders in the identity management services industry learn more about the Applicant's services. This helps participants in the industry to identify potential opportunities for joint development, the establishment of common standards and "best practices" to improve the customer experience. It will also enable Trust Communities/Trust Frameworks with the ability to identify and receive identity management services that are most closely aligned with their needs, and will improve the overall conditions in the industry through greater identity management service reliability, predictability, transparency and system interoperability

### **Why would a party want to be a Listed Member?**

The sharing of information in the OIX improves the emerging identity management sector of the information services market, for all participants in that market. In return for providing the information, Listed members help the market to improve, and the improvements are greatest as the number and percentage of participants in the market increases. OIX has already received the support of leaders in a variety of industries that provide and rely upon identity management services (including the online information industry, the telecom services industry, the data management industry and others).

Listed members also receive the benefit of being able to more readily demonstrate their adherence to emerging standards and best practices in the industry. This will drive a "virtuous cycle" through which standards and "best practices" can emerge across the entire identity services sector (for example with respect to data management services, authentication services and other foundation type services in the identity management space).

It will also help to establish standards within subcategories of the identity management space, such as within special Trust Communities. For example, where there are special language, cultural or licensing and certification needs associated with a particular trust community, that community will have greater access to information about identity service providers that might meet their needs.

### **It sounds like OIX will help companies, but how will it benefit consumers?**

Consumers of identity management services (which includes both Trust Communities and Relying Parties), and other who rely on the integrity of such systems (including individuals as Data Subjects) will benefit from the OIX public registry database called

the OIX Listing Service, since it will permit them to compare the technical and policy standards of various types of identity management services, in order to decide what type of services they need for their particular identity management goals. This allows industry participants to be more responsive to the needs of their customers, and to apply industry resources in a more efficient way to be responsive to these needs.