Unified Carrier Registration Agreement
Refund Procedure

1. Only (i) carriers, (ii) permitting services, (iii) state users, and (iv) national Seikosoft (SS) support personnel may request a refund for current open registration year(s) only.

2. Refund requests are initiated only in the UCR2.0 National Registration Portal (the portal).

3. Parties in Item #1 above will be required to submit a valid refund request in the portal no later than sixty (60) days for the most recent registration year, and no later than thirty (30) days for any other open prior year registration period(s), after the initial registration was paid and validated in the portal.

4. Validly submitted refund requests through the portal will be captured by SS on a daily basis.

5. Within two (2) business days from the submittal of a valid refund request through the portal, SS will have completed an interrogation of the request confirming all of the following:
   a. The party submitting the request is validly authorized to do so based on Item #1.
   b. All required information was reasonably provided in the refund request.
   c. The refund request was initiated sixty (60) days or less from the payment/validation date in the portal depending on Item #4.
   d. The registrant provided a current DOT or FF number.
   e. The refund request included an acceptable Reason Code and other information supporting the refund request, if required (may be used for FARs or other audit purposes).
   f. Confirming the tier the carrier originally registered in.
   g. Confirming the tier a carrier may be retreating to, based on the circumstance.
   h. The amount paid through the most recent registration, including all prior adjustments and refund requests.
   i. The new amount of the revised registration including the refund amount requested.
   j. Identifying the method of payment used for the registration.
   k. Confirming that the funds for payment have been received by the registration banking system (this step shall not apply if the funds for payment were received directly at a state location or through an independent state registration system, however SS will still confirm that the registration is active in the portal prior to proceeding further with the refund process).

6. Once SS had completed each of the steps above and has confirmed the refund request as being reasonably valid, SS will provide a ticket number to the refund request and will then refer the request to the registrant’s base state for additional review and authorization as defined below.

7. Base states must review and confirm (i) the existence and validity of the carrier requesting a refund, (ii) ensure the carrier is in good-standing and compliant with the UCR requirements, (iii) the refund request is proper in the circumstance and (iv) in cases when the refund request exceeds USD $1,000 the base state must conduct audit procedures to verify the data from the refund request.

8. Base states must complete the review within ten (10) business days and either provide authority to proceed, or reject the refund request in the portal.
9. The portal will maintain a log of base states personnel duly authorized to issue an approval of a refund request, and a Reason Code for a rejection of the request must be provided.

10. All refund requests rejected by the base state and returned to SS with a valid reason code will be reviewed by SS for reasonableness:
   a. Assuming the state has a reasonable basis for rejecting the refund request, then SS will confirm the rejection in the portal, which will return the rejected request to the originator along with the reason code.
   b. A questionable, or unclear rejection will be referred back to the base state by SS for specific action response (SS will be responsible for providing specific questions or action recommendations to base states).

11. All refunds approved by the base state personnel must further be referred for approval to an authorized representative from the UCR Board as may be assigned from time-to-time.

12. Upon the return of the refund request from the Board representative to SS with an approved refund, SS will:
   a. Validate the code provided by the base state.
   b. Ensure refund amount is appropriate, re-confirm original payment method and ensure funds have been received into the registration banking system.

13. Upon completing all of the above steps for proceeding with an approved refund request, SS will perform the following procedure based on the original payment method:
   a. For original payment by **credit/debit card**, SS will initiate the issuance of a credit refund through the appropriate merchant account:
      i. In the event that the refund cannot be applied to the credit/debit card originally used for payment, then the procedures described in Item 14(b) below should be used.
   b. For original payment by either **E-check or mail-in paper check**, after SS has confirmed the receipt of funds in the registration banking system:
      i. The approved request will be assigned to the Depository representative who will complete the refund by check or ACH (via Kellen Company).
      ii. In the event funds are not available in the Depository, refund requests will be referred to the base state for review and potential payment.
      iii. The Depository will retain its right to invoice states for refunds issued by the Depository that are in excess of a given states entitlement.

14. Refunds must always be payable to the entity that originally submitted the registration payment that gave rise to the refund request.

15. Upon successful completion of a refund, the portal will automatically create a system generated refund receipt that will be sent to (i) the party that originally submitted the registration (i.e. a carrier or permitting service), (ii) the base state, and (iii) the Depository administrator (Kellen), regardless of the refund method used (i.e. credit/debit card, check or ACH).
16. For refund request to be paid by Kellen via check or ACH, Kellen will review all materials generated by the portal, SS and the base state for completeness and accuracy, and upon confirming same, will proceed with the refund payment within seven (7) business days

17. Refund requests may result in a FARs or audit capture so due care should be given before any issuance of a refund is requested

18. For any of the states operating their own registration system, refund requests must be initiated through the state rather than in the portal