

**DOCKET NO. UM 1768**

**Cover Sheet for Submission of  
2016 Annual ETC Certification Reports**

Name of Eligible Telecommunications Carrier: Helix Telephone Company

Filing date: \_\_\_\_\_

Is this: Original submission?  X \_\_\_\_\_

OR

Revised submission? \_\_\_\_\_

Person to contact for questions:

Name James Smith

Phone number 541-457-2385

E-mail address htc@helixtel.com

Documents included in this filing (please check applicable items):

CAF/ICC Support (47 CFR § 54.304)

X Rate Floor Data (47 CFR § 54.313(h)) – if separate from Form 481

X Form 481 (High-cost per 47 CFR § 54.313, Low-income per 54.422)<sup>1</sup>

Form 690 (Mobility Fund per 47 CFR § 54.1009)

X Affidavit for High-Cost Support

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**Filing deadlines:** The deadlines for filing items required by 47 CFR § 54 are the same as the deadlines for filing with the FCC. The notarized affidavit for high-cost support must be filed no later than the due date for the FCC Form 481. Based on current information, it appears that all items other than CAF/ICC support data are due by July 1, 2016. The CAF/ICC support data are due the same day as the ETC's interstate access tariff filing.

If revisions to an original submission are filed with the FCC or USAC, a copy of the revisions must be filed with the Oregon Commission no later than five business days following submission to the FCC or USAC.

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<sup>1</sup> Lifeline-only ETCs must provide all information specified in 47 CFR § 54.422(b) even if the ETC does not submit this information to the FCC.

**FCC Form 481 - Carrier Annual Reporting  
Data Collection Form**FCC Form 481  
OMB Control No. 3060-0986/OMB Control No. 3060-0819  
July 2013

<010> Study Area Code	532376
<015> Study Area Name	HELIX TEL CO.
<020> Program Year	2017
<030> Contact Name: Person USAC should contact with questions about this data	James Smith
<035> Contact Telephone Number: Number of the person identified in data line <030>	5414572385 ext.
<039> Contact Email Address: Email of the person identified in data line <030>	htc@helixtel.com
Form Type	54.313 and 54.422

<b>(100) Service Quality Improvement Reporting Data Collection Form</b>	FCC Form 481 OMB Control No. 3060-0986/OMB Control No. 3060-0819 July 2013
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<010>	Study Area Code	532376
<015>	Study Area Name	HELIX TEL CO.
<020>	Program Year	2017
<030>	Contact Name - Person USAC should contact regarding this data	James Smith
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<039>	Contact Email Address - Email Address of person identified in data line <030>	htc@helixtel.com

<110>	Has your company received its ETC certification from the FCC?	(yes / no) <input type="radio"/> <input checked="" type="radio"/>
<111>	If your answer to Line <110> is yes, do you have an existing §54.202(a) "5 year plan" filed with the FCC?	(yes / no) <input type="radio"/> <input type="radio"/>

If your answer to Line <111> is yes, please file a progress report, on line <112> delineating the status of your company's existing § 54.202(a) "5 year plan" on file with the FCC, as it relates to your provision of voice telephony service.

<112> Attach Five-Year Service Quality Improvement Plan or, in subsequent years, your annual progress report filed pursuant to 47 C.F.R. § 54.313(a)(1). If your company is a CETC which only receives frozen support, your progress report is only required to address voice telephony service.

532376or112.pdf

Name of Attached Document

Please select the appropriate responses below (Yes, No, Not Applicable) to confirm that the attached document(s), on line 112, contains a progress report on its five-year service quality improvement plan pursuant to §54.202(a). The information shall be submitted at the wire center level or census block as appropriate.

- <113> Maps detailing progress towards meeting plan targets
- <114> Report how much universal service (USF) support was received
- <115> How much (USF) was used to improve service quality and how support was used to improve service quality
- <116> How much (USF) was used to improve service coverage and how support was used to improve service coverage
- <117> How much (USF) was used to improve service capacity and how support was used to improve service capacity
- <118> Provide an explanation of network improvement targets not met in the prior calendar year.

Yes
Yes
Yes
Yes
Yes
Not Applicable



**(300) Unfulfilled Service Request  
Data Collection Form**

FCC Form 481  
OMB Control No. 3060-0986/OMB Control No. 3060-0819  
July 2013

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<039> Contact Email Address - Email Address of person identified in data line <030>	htc@helixtel.com

<300> Unfulfilled service request (voice)

<310> Detail on attempts (voice)  
\_\_\_\_\_  
Name of Attached Document

<320> Unfulfilled service request (broadband)

<330> Detail on attempts (broadband)  
\_\_\_\_\_  
Name of Attached Document

(400) Number of Complaints per 1,000 customers  
Data Collection Form

FCC Form 481  
OMB Control No. 3060-0986/OMB Control No. 3060-0819  
July 2013

<010>	Study Area Code	532376	
<015>	Study Area Name	HELIX TEL CO.	
<020>	Program Year	2017	
<030>	Contact Name - Person USAC should contact regarding this data	James Smith	
<035>	Contact Telephone Number - Number of person identified in data line <030>	5414572385 ext.	
<039>	Contact Email Address - Email Address of person identified in data line <030>	htc@helixtel.com	
<400>	Select from the drop-down list to indicate how you would like to report voice complaints (zero or greater) for voice telephony service in the prior calendar year for each service area in which you are designated an ETC for any facilities you own, operate, lease, or otherwise utilize.	Offered only fixed voice	
<410>	Complaints per 1000 customers for fixed voice	0 . 0	
<420>	Complaints per 1000 customers for mobile voice		
<430>	Select from the drop-down list to indicate how you would like to report end-user customer complaints (zero or greater) for broadband service in the prior calendar year for each service area in which you are designated an ETC for any facilities you own, operate, lease, or otherwise utilize.	Offered only fixed broadband	
<440>	Complaints per 1000 customers for fixed broadband	0 . 0	
<450>	Complaints per 1000 customers for mobile broadband		

**(500) Compliance With Service Quality Standards and Consumer Protection Rules  
Data Collection Form**FCC Form 481  
OMB Control No. 3060-0986/OMB Control No. 3060-0819  
July 2013

<010>	Study Area Code	532376
<015>	Study Area Name	HELIX TEL CO.
<020>	Program Year	2017
<030>	Contact Name - Person USAC should contact regarding this data	James Smith
<035>	Contact Telephone Number - Number of person identified in data line <030>	5414572385 ext.
<039>	Contact Email Address - Email Address of person identified in data line <030>	htc@helixtel.com
<500>	Certify compliance with applicable service quality standards and consumer protection rules	Yes

532376or510.pdf

<510> Descriptive document for Service Quality Standards & Consumer Protection Rules Compliance

**(600) Functionality in Emergency Situations  
Data Collection Form**

FCC Form 481

OMB Control No. 3060-0986/OMB Control No. 3060-0819

July 2013

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<020>	Program Year	2017
<030>	Contact Name - Person USAC should contact regarding this data	James Smith
<035>	Contact Telephone Number - Number of person identified in data line <030>	5414572385 ext.
<039>	Contact Email Address - Email Address of person identified in data line <030>	htc@helixtel.com
<600>	Certify compliance regarding ability to function in emergency situations	Yes
<610>	Descriptive document for Functionality in Emergency Situations	532376or610.pdf









**(900) Tribal Lands Reporting  
Data Collection Form**

FCC Form 481  
OMB Control No. 3060-0986/OMB Control No. 3060-0819  
July 2013

<010> Study Area Code	532376
<015> Study Area Name	HELIX TEL CO.
<020> Program Year	2017
<030> Contact Name - Person USAC should contact regarding this data	James Smith
<035> Contact Telephone Number - Number of person identified in data line <030>	5414572385 ext.
<039> Contact Email Address - Email Address of person identified in data line <030>	htc@helixtel.com

<900> Does the filing entity offer tribal land services? (Y/N) Yes

Confederated Tribes of the Umatilla Reservation

<910> Tribal Land(s) on which ETC Serves

532376or920.pdf

<920> Tribal Government Engagement Obligation

Name of Attached Document

If your company serves Tribal lands, please select (Yes,No, NA) for each these boxes to confirm the status described on the attached document(s), on line 920, demonstrates coordination with the Tribal government pursuant to § 54.313(a)(9) includes:

- <921> Needs assessment and deployment planning with a focus on Tribal community anchor institutions.
- <922> Feasibility and sustainability planning;
- <923> Marketing services in a culturally sensitive manner;
- <924> Compliance with Rights of way processes
- <925> Compliance with Land Use permitting requirements
- <926> Compliance with Facilities Siting rules
- <927> Compliance with Environmental Review processes
- <928> Compliance with Cultural Preservation review processes
- <929> Compliance with Tribal Business and Licensing requirements.

Select Yes or No or Not Applicable
Not Applicable
Not Applicable
Not Applicable
Not Applicable
Not Applicable
Not Applicable
Not Applicable
Not Applicable
Not Applicable
Not Applicable

<b>(1000) Voice and Broadband Service Rate Comparability Data Collection Form</b>	FCC Form 481 OMB Control No. 3060-0986/OMB Control No. 3060-0819 July 2013
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<039>	Contact Email Address - Email Address of person identified in data line <030>	htc@helixtel.com

<1000>      Voice services rate comparability certification      Yes

<1010>      Attach detailed description for voice services rate comparability compliance

\_\_\_\_\_

Name of Attached Document

<1020>      Broadband comparability certification      Yes - Pricing is no more than the most recent applicable benchmark announced by the Wireline Competition Bureau

<1030>      Attach detailed description for broadband comparability compliance

\_\_\_\_\_

Name of Attached Document

<b>(1100) No Terrestrial Backhaul Reporting Data Collection Form</b>	FCC Form 481 OMB Control No. 3060-0986/OMB Control No. 3060-0819 July 2013
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<020>	Program Year	2017
<030>	Contact Name - Person USAC should contact regarding this data	James Smith
<035>	Contact Telephone Number - Number of person identified in data line <030>	5414572385 ext.
<039>	Contact Email Address - Email Address of person identified in data line <030>	htc@helixtel.com

<1100> Certify whether terrestrial backhaul options exist (Y/N)

<1130> Please select the appropriate response (Yes, No, Not Applicable) to confirm the reporting carrier offers broadband service of at least 1 Mbps downstream and 256 kbps upstream within the supported area pursuant to § 54.313(g).

<b>(1200) Terms and Condition for Lifeline Customers</b> <b>Lifeline</b> <b>Data Collection Form</b>	FCC Form 481 OMB Control No. 3060-0986/OMB Control No. 3060-0819 July 2013
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<039>	Contact Email Address - Email Address of person identified in data line <030>	htc@helixtel.com

<1210> Terms & Conditions of Voice Telephony Lifeline Plans	532376or1210.pdf          Name of Attached Document
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<1220> Link to Public Website	HTTP
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“Please check these boxes below to confirm that the attached document(s), on line 1210, or the website listed, on line 1220, contains the required information pursuant to § 54.422(a)(2) annual reporting for ETCs receiving low-income support, carriers must annually report:

- <1221> Information describing the terms and conditions of any voice telephony service plans offered to Lifeline subscribers,
- <1222> Details on the number of minutes provided as part of the plan,
- <1223> Additional charges for toll calls, and rates for each such plan.

<b>(2000) Price Cap Carrier Additional Documentation</b> <b>Data Collection Form</b> <i>Including Rate-of-Return Carriers affiliated with Price Cap Local Exchange Carriers</i>	FCC Form 481 OMB Control No. 3060-0986/OMB Control No. 3060-0819 July 2013
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<039>	Contact Email Address - Email Address of person identified in data line <030>	htc@helixtel.com

Select the appropriate responses below (Yes, No, Not Applicable) to note compliance as a recipient of Incremental High Cost support, High Cost support to offset access charge reductions, and Connect America Phase II support as set forth in 47 CFR § 54.313(b),(c),(d),(e). The information reported on this form and in the documents attached below is accurate.

**Incremental Connect America Phase I reporting**

<2010> 2nd Year Certification 47 CFR § 54.313(b)(1)(i) - Note that for the July 1 2016 certification, this applies to Round 2 recipients of Incremental Support	<input style="width: 100%; height: 20px;" type="text"/>	
<2011> 3rd Year Certification 47 CFR § 54.313(b)(1)(ii) - Note that for the July 1 2016 certification, this applies to Round 1 recipients of Incremental Support	<input style="width: 100%; height: 20px;" type="text"/>	
<2022> Recipient certifies, representing year two after filing a notice of acceptance of funding pursuant to 54.312(c), that the locations in question are not receiving support under the Broadband Initiatives Program or the Broadband Technology Opportunities Program for projects that will provide broadband with speeds of at least 4 Mbps/1Mbps - 54.313(b)(2)(i). Round 2 recipients only.	<input style="width: 100%; height: 20px;" type="text"/>	
<2023> The attachment on line 2024 includes a statement of the total amount of capital funding expended in the previous year in meeting Connect America Phase I deployment obligations, accompanied by a list of census blocks indicating where funding was spent. This covers year two - 54.313(b)(2)(ii). Round 2 recipients only.	<input style="width: 100%; height: 20px;" type="text"/>	
<2024A> Round 2 Recipient of Incremental Support?	<input style="width: 100%; height: 20px;" type="text"/>	
<2024B> Attach list of census blocks indicating where funding was spent in year two - 54.313(b)(2)(ii). Round 2 recipients only.	Name of Attached Document Listing Required Information	<input style="width: 100%; height: 60px;" type="text"/>
<2025A> Round 1 or Round 2 Recipient of Incremental Support?		
<2025B> Attach geocoded Information for Phase I milestone reports (Round 1 for year three and Round 2 for year two) - Connect America Fund , WC Docket 10-90, Report and Order, FCC 13-	Name of Attached Document Listing Required Information	<input style="width: 100%; height: 60px;" type="text"/>
<2015> 2016 and future Frozen Support Certification 47 CFR § 54.313(c)(4)		<input style="width: 100%; height: 20px;" type="text"/>



**(2000) Price Cap Carrier Additional Documentation (Continued)**

**Data Collection Form**

*Including Rate-of-Return Carriers affiliated with Price Cap Local Exchange Carriers*

FCC Form 481

OMB Control No. 3060-0986/OMB Control No. 3060-0819

July 2013

**Price Cap Carrier Connect America ICC Support {47 CFR § 54.313(d)}**

<2016> Certification support used to build broadband

**Connect America Phase II Reporting {47 CFR § 54.313(e)}**

<2017A> Connect America Fund Phase II recipient?

<2017B> Attach information for Phase II - 54.313(e)(1) - list of geocoded locations already meeting the 54.309 public interest obligations at the end of calendar year 2015 and total amount of Phase II support, if any, the price

Name of Attached Document Listing  
Required Information

cap carrier used for capital expenditures in 2015.

<2018> Attach the number, names, and addresses of community anchor institutions to which the carrier newly began providing access to broadband service in the preceding calendar year - 54.313(e)(2)(ii)

Name of Attached Document Listing  
Required Information

<2019> Recipient certifies that it bid on category one telecommunications and Internet access services in response to all FCC Form 470 postings seeking broadband service that meets the connectivity targets for the schools and libraries universal service support program for eligible schools and libraries located within any area in a census block where the carrier is receiving Phase II model-based support, and that such bids were at rates reasonably comparable to rates charged to eligible schools and libraries in urban areas for comparable offerings - 54.313(e)(2)(v)

<2020> Recipient certifies that it offered broadband meeting the requisite public interest obligations specified in §54.309 to 40% of its supported locations in the state on December 31, 2017 - 54.313(e)(3)

<2021> Recipient certifies that it offered broadband meeting the requisite public interest obligations specified in §54.309 to 60% of its supported locations in the state on December 31, 2018 - 54.313(e)(4)

<2026> Recipient certifies that it offered broadband meeting the requisite public interest obligations specified in §54.309 to 80% of its supported locations in the state on December 31, 2019 - 54.313(e)(5)

<2027> Recipient certifies that it offered broadband meeting the requisite public interest obligations specified in §54.309 to 100% of its supported locations in the state on December 31, 2020 - 54.313(e)(6)

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Complete the items below to note compliance with five year service quality plan (pursuant to 47 CFR § 54.202(a)) and, for privately held carriers, ensuring compliance with the financial reporting requirements set forth in 47 CFR § 54.313(f)(2). I further certify that the information reported on this form and in the documents attached below is accurate.

(3009) Progress Report on 5 Year Plan  
Carrier certifies to 54.313(f)(1)(iii)

(3010A) Milestone Certification {47 CFR § 54.313(f)(1)(i)} Yes - Attach Certification

(3010B) Please Provide Attachment Name of Attached Document Listing Required Information

(3012A) Community Anchor Institutions {47 CFR § 54.313(f)(1)(ii)} No - No New Community Anchors

(3012B) Please Provide Attachment Name of Attached Document Listing Required Information

(3013) Is your company a Privately Held ROR Carrier {47 CFR § 54.313(f)(2)} (Yes/No)

(3014) If yes, does your company file the RUS annual report (Yes/No)

Please check these boxes to confirm that the attached PDF, on line 3017, contains the required information pursuant to § 54.313(f)(2) compliance requires:

(3015) Electronic copy of their annual RUS reports (Operating Report for Telecommunications Borrowers)

(3016) Document(s) with Balance Sheet, Income Statement and Statement of Cash Flows

(3017) If the response is yes on line 3014, attach your company's RUS annual report and all required documentation Name of Attached Document Listing Required Information

(3018) If the response is no on line 3014, is your company audited? (Yes/No)

If the response is yes on line 3018, please check the boxes below to confirm your submission on line 3026 pursuant to § 54.313(f)(2), contains:

(3019) Either a copy of their audited financial statement; or   
(2) a financial report in a format comparable to RUS Operating Report for Telecommunications Borrowers

(3020) Document(s) for Balance Sheet, Income Statement and Statement of Cash Flows

(3021) Management letter and/or audit opinion issued by the independent certified public accountant that performed the company's financial audit.

If the response is no on line 3018, please check the boxes below to confirm your submission on line 3026 pursuant to § 54.313(f)(2), contains:

(3022) Copy of their financial statement which has been subject to review by an independent certified public accountant; or 2) a financial report in a format comparable to RUS Operating Report for Telecommunications Borrowers

(3023) Underlying information subjected to a review by an independent certified public accountant

(3024) Underlying information subjected to an officer certification.

(3025) Document(s) for Balance Sheet, Income Statement and Statement of Cash Flows

(3026) Attach the worksheet listing required information Name of Attached Document Listing Required Information

**(3005) Rate Of Return Carrier Additional Documentation (Continued)**

FCC Form 481

**Data Collection Form**

OMB Control No. 3060-0986/OMB Control No. 3060-0819

July 2013

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**Financial Data Summary**

(3027) Revenue	1107835
(3028) Operating Expenses	1036091
(3029) Net Income	-28585
(3030) Telephone Plant In Service(TPIS)	4308129
(3031) Total Assets	392084
(3032) Total Debt	167271
(3033) Total Equity	832205
(3034) Dividends	0

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**4005 Rural Broadband Experiment**

Authorized Rural Broadband Experiment (RBE) recipients must address the certification for public interest obligations, provide a list of newly served community anchor institutions, and provide a list of locations where broadband has been deployed.

**Public Interest Obligations – FCC 14-98 (paragraphs 26-29, 78)**

Please address Line 4001 regarding compliance with the Commission's public interest obligations. All RBE participants must provide a response to Line 4001.

**4001.** Recipient certifies that it is offering broadband to the identified locations meeting the requisite public interest obligations consistent with the category for which they were selected, including broadband speed, latency, usage capacity, and rates that are reasonably comparable to rates for comparable offerings in urban areas?

**Community Anchor Institutions – FCC 14-98 (paragraph 79)**

**4003a.** RBE participants must provide the number, names, and addresses of community anchor institutions to which they newly deployed broadband service in the preceding calendar year. On this line, please respond (yes – attach new community anchors, no – no new anchors) to indicate whether this list will be provided.

**If yes to 4003A, please provide a response for 4003B.**

**4003b.** Provide the number, names and addresses of community anchor institutions to which the recipient newly began providing access to broadband service in the preceding calendar year. Name of Attached Document Listing Required Information

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**Broadband Deployment Locations – FCC 14-98 (paragraph 80)**

**4004a.** Attach a list of geocoded locations to which broadband has been deployed as of the June 1st immediately preceding the July 1st filing deadline for the FCC Form 481. Name of Attached Document Listing Required Information

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**4004b.** Attach evidence demonstrating that the recipient is meeting the relevant public service obligations for the identified locations. Materials must at least detail the pricing, offered broadband speed and data usage allowances available in the relevant geographic area. Name of Attached Document Listing Required Information

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<b>Certification - Reporting Carrier Data Collection Form</b>	FCC Form 481 OMB Control No. 3060-0986/OMB Control No. 3060-0819 July 2013
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**TO BE COMPLETED BY THE REPORTING CARRIER, IF THE REPORTING CARRIER IS FILING ANNUAL REPORTING ON ITS OWN BEHALF:**

<b>Certification of Officer as to the Accuracy of the Data Reported for the Annual Reporting for CAF or LI Recipients</b>	
I certify that I am an officer of the reporting carrier; my responsibilities include ensuring the accuracy of the annual reporting requirements for universal service support recipients; and, to the best of my knowledge, the information reported on this form and in any attachments is accurate.	
Name of Reporting Carrier:	HELIX TEL CO.
Signature of Authorized Officer:	CERTIFIED ONLINE <span style="float: right;">Date 06/15/2016</span>
Printed name of Authorized Officer:	James Smith
Title or position of Authorized Officer:	President
Telephone number of Authorized Officer:	5414572385 ext.
Study Area Code of Reporting Carrier:	532376 <span style="float: right;">Filing Due Date for this form: 07/01/2016</span>
Persons willfully making false statements on this form can be punished by fine or forfeiture under the Communications Act of 1934, 47 U.S.C. §§ 502, 503(b), or fine or imprisonment under Title 18 of the United States Code, 18 U.S.C. § 1001.	

<b>Certification - Agent / Carrier Data Collection Form</b>	FCC Form 481 OMB Control No. 3060-0986/OMB Control No. 3060-0819 July 2013
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<039>	Contact Email Address - Email Address of person identified in data line <030>	htc@helixtel.com

**TO BE COMPLETED BY THE REPORTING CARRIER, IF AN AGENT IS FILING ANNUAL REPORTS ON THE CARRIER'S BEHALF:**

Certification of Officer to Authorize an Agent to File Annual Reports for CAF or LI Recipients on Behalf of Reporting Carrier	
<p>I certify that (Name of Agent) _____ is authorized to submit the information reported on behalf of the reporting carrier. I also certify that I am an officer of the reporting carrier; my responsibilities include ensuring the accuracy of the annual data reporting requirements provided to the authorized agent; and, to the best of my knowledge, the reports and data provided to the authorized agent is accurate.</p>	
Name of Authorized Agent:	
Name of Reporting Carrier:	
Signature of Authorized Officer:	Date:
Printed name of Authorized Officer:	
Title or position of Authorized Officer:	
Telephone number of Authorized Officer:	
Study Area Code of Reporting Carrier:	Filing Due Date for this form:
<small>Persons willfully making false statements on this form can be punished by fine or forfeiture under the Communications Act of 1934, 47 U.S.C. §§ 502, 503(b), or fine or imprisonment under Title 18 of the United States Code, 18 U.S.C. § 1001.</small>	

**TO BE COMPLETED BY THE AUTHORIZED AGENT:**

Certification of Agent Authorized to File Annual Reports for CAF or LI Recipients on Behalf of Reporting Carrier	
<p>I, as agent for the reporting carrier, certify that I am authorized to submit the annual reports for universal service support recipients on behalf of the reporting carrier; I have provided the data reported herein based on data provided by the reporting carrier; and, to the best of my knowledge, the information reported herein is accurate.</p>	
Name of Reporting Carrier:	
Name of Authorized Agent Firm:	
Signature of Authorized Agent or Employee of Agent:	Date:
Name of Authorized Agent Employee:	
Title or position of Authorized Agent or Employee of Agent:	
Telephone number of Authorized Agent or Employee of Agent:	
Study Area Code of Reporting Carrier:	Filing Due Date for this form:
<small>Persons willfully making false statements on this form can be punished by fine or forfeiture under the Communications Act of 1934, 47 U.S.C. §§ 502, 503(b), or fine or imprisonment under Title 18 of the United States Code, 18 U.S.C. § 1001.</small>	

## Attachments











**AKT**

CPAs AND BUSINESS CONSULTANTS

## INDEPENDENT AUDITORS' REPORT

Board of Directors  
Helix Telephone Company  
Helix, Oregon

We have audited the accompanying financial statements of Helix Telephone Company (the Company), which comprise the balance sheets as of December 31, 2015 and 2014, and the related statements of operations and comprehensive income, changes in stockholders' equity, and cash flows for the years then ended, and the related notes to the financial statements.

### MANAGEMENT'S RESPONSIBILITY FOR THE FINANCIAL STATEMENTS

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

### AUDITORS' RESPONSIBILITY

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America, and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

### OPINION

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Helix Telephone Company at December 31, 2015 and 2014, and the results of its operations and cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America.

### OTHER REPORTING REQUIRED BY GOVERNMENT AUDITING STANDARDS

In accordance with *Government Auditing Standards*, we have also issued a report dated March 3, 2016, on our consideration of Helix Telephone Company's internal control over financial reporting and our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering Helix Telephone Company's internal control over financial reporting and compliance.

*AKT LLP*

Salem, Oregon  
March 3, 2016

680 HAWTHORNE AVENUE SE, SUITE 140, SALEM, OR 97301  
PHONE: 503.585.7774 FAX: 503.364.8405

ANCHORAGE, AK | CARLSBAD, CA | ESCONDIDO, CA | PORTLAND, OR | SALEM, OR | SAN DIEGO, CA

# HELIX TELEPHONE COMPANY

## Balance Sheets

December 31, 2015 and 2014

ASSETS	2015	2014
Current Assets:		
Cash	\$ 111,033	\$ 139,174
Marketable securities	133,611	133,642
Accounts receivable, less allowance for doubtful accounts of zero	140,777	144,607
Prepaid expenses	6,663	6,423
Total Current Assets	<u>392,084</u>	<u>423,846</u>
Other Investments	-	100,000
Property, Plant, and Equipment:		
In service	4,308,129	4,164,883
Nonregulated	21,635	-
	<u>4,329,764</u>	<u>4,164,883</u>
Less accumulated depreciation	<u>3,576,705</u>	<u>3,404,964</u>
Property, Plant, and Equipment, net	<u>753,059</u>	<u>759,919</u>
	<u>\$ 1,145,143</u>	<u>\$ 1,283,765</u>
<b>LIABILITIES AND STOCKHOLDERS' EQUITY</b>		
Current Liabilities:		
Current portion of long-term debt	\$ 43,834	\$ 44,048
Accounts payable	13,725	7,475
Accrued expenses	88,108	90,462
Total Current Liabilities	<u>145,667</u>	<u>141,985</u>
Long-Term Debt	<u>167,271</u>	<u>213,676</u>
Other Liabilities - Deferred Compensation	-	60,000
Stockholders' Equity:		
Common stock, \$1 par value, 800 shares authorized, issued and outstanding	800	800
Paid-in capital	13,043	13,043
Retained earnings	812,268	840,853
Accumulated other comprehensive income - unrealized holding gain on marketable securities	6,094	13,408
Total Stockholders' Equity	<u>832,205</u>	<u>868,104</u>
	<u>\$ 1,145,143</u>	<u>\$ 1,283,765</u>

See accompanying notes to financial statements.

# HELIX TELEPHONE COMPANY

## Statements of Operations and Comprehensive Income

Years Ended December 31, 2015 and 2014

	<u>2015</u>	<u>2014</u>
Operating Revenues:		
Local network service	\$ 47,482	\$ 50,964
Network access service	1,036,315	955,838
Miscellaneous	<u>24,038</u>	<u>41,809</u>
Total Operating Revenues	<u>1,107,835</u>	<u>1,048,611</u>
Operating Expenses:		
Plant specific operations	350,733	349,082
Plant nonspecific operations	40,757	30,557
Depreciation	171,739	182,767
Customer operations	73,354	72,269
Corporate operations	399,508	377,023
Other operating taxes	<u>15,668</u>	<u>22,151</u>
Total Operating Expenses	<u>1,051,759</u>	<u>1,033,849</u>
Operating Income	<u>56,076</u>	<u>14,762</u>
Other Income:		
Realized gains on marketable securities	764	2,414
Loss on sale of investment	(80,000)	-
Other	<u>412</u>	<u>7,183</u>
Total Other Income (Loss)	<u>(78,824)</u>	<u>9,597</u>
Income (Loss) Available for Fixed Charges	(22,748)	24,359
Fixed Charges - Interest on Long-Term Debt	<u>5,837</u>	<u>6,720</u>
Net Income (Loss)	<u>(28,585)</u>	<u>17,639</u>
Other Comprehensive Loss:		
Unrealized holding losses on marketable securities	(6,550)	(2,689)
Reclassifications for realized gains included in net income	<u>(764)</u>	<u>(2,414)</u>
Total Other Comprehensive Loss	<u>(7,314)</u>	<u>(5,103)</u>
Total Comprehensive Income (Loss)	<u>\$ (35,899)</u>	<u>\$ 12,536</u>

See accompanying notes to financial statements.

# HELIX TELEPHONE COMPANY

## Statements of Cash Flows

Years Ended December 31, 2015 and 2014

	<u>2015</u>	<u>2014</u>
Cash Flows from Operating Activities:		
Net income (loss)	\$ (28,585)	\$ 17,639
Adjustments to reconcile net income to net cash provided by operating activities:		
Depreciation	171,739	182,767
Realized gain on sales of marketable securities	(764)	(2,414)
Loss on sale of investment	80,000	-
Change in deferred compensation	(60,000)	(60,000)
RUS cushion of credit interest	(2,567)	(394)
Changes in assets and liabilities:		
Accounts receivable	3,830	12,404
Prepaid expenses	(240)	(418)
Accounts payable	6,250	(2,625)
Accrued expenses	<u>(2,354)</u>	<u>430</u>
Net Cash Provided by Operating Activities	<u>167,309</u>	<u>147,389</u>
Cash Flows from Investing Activities:		
Capital expenditures	(164,879)	(121,450)
Proceeds from sale of marketable securities	50,834	19,392
Purchase of marketable securities	(57,353)	(21,990)
Proceeds from the sale of investment	<u>20,000</u>	<u>-</u>
Net Cash Used by Investing Activities	<u>(151,398)</u>	<u>(124,048)</u>
Cash Flows from Financing Activities:		
Additions to RUS cushion of credit	-	(50,000)
Payments on long-term debt	(44,052)	(95,555)
Distributions to stockholders	<u>-</u>	<u>(47,200)</u>
Net Cash Used by Financing Activities	<u>(44,052)</u>	<u>(192,755)</u>
Net Decrease in Cash	(28,141)	(169,414)
Cash, beginning	<u>139,174</u>	<u>308,588</u>
Cash, ending	\$ <u><u>111,033</u></u>	\$ <u><u>139,174</u></u>
Cash Paid During the Year for Interest	\$ <u><u>5,837</u></u>	\$ <u><u>6,720</u></u>

See accompanying notes to financial statements.

# Helix Telephone Company

## Program Year 2017

### PROGRESS REPORT ON SERVICE QUALITY IMPROVEMENT PLAN

#### PREAMBLE

This document is an integral part of the Company's 2015 Annual Report, as attached to Form 481. It is in compliance with §54.313(a)(1) adopted in the FCC's USF/ICC Transformation Order (11-161) and incorporates all further clarifications identified in subsequent Reconsideration Orders, as applicable, that were in effect at the time the Annual Report was due by Rule to the requisite regulatory authorities.

Helix Telephone Company ("HTC") advises that the environment in which the Company operates is dynamic, not static. As a result, certain network targets identified in its initial 5 Year Network Improvement Plan, filed in 2014, may be modified in response to regulatory decisions that have been subsequently adopted, and as their implication upon the Company's financial viability in providing the required services and service level quality became known.

Modifications to the network plan may also have been taken due to changes in market conditions, technology, vendor-driven support, weather, or emergency related contingencies.

Targets not met or changed since the initial 5 Year Plan filing are identified and reasons provided for those changes.

#### UNIVERSAL SERVICE SUPPORT RECEIVED IN 2015

Per the Universal Service Administrative Company (USAC), Helix Telephone Company received a total of \$203,334 in USF support fund (as of 6/14/16). The breakdown of the funding to the point of filing is:

\$ 98,136	Interstate Common Line Support
\$105,198	Connect America Fund-Intercarrier Compensation Support

Universal Service Support funds are used to: 1) maintain, upgrade, and improve the Company's network and, 2) cover operating expenses and debt commitments as necessary to permit it to offer a high level of service for both voice and broadband within the authorized serving area.

The proportionate share of the above USF expenditures in 2015 is based upon total company expense booked for CAPEX which is \$164,879 (14%) and for OPEX \$1,051,759 (86%).

In the accompanying 2015 project detail, expenditures for network improvements sometimes involve service quality, coverage and capacity as an integrated improvement project and are not mutually exclusive from one another. In terms of cost, projects involving multiple qualifiers are of equal dollar equivalence. Where a project involves a single qualifier, it is so noted.

## **PROGRESS REPORT**

### **2015**

Repair of fiber optic cable to Butler Grade: In 2015 HTC replaced fiber optic cable to Butler Grade and placed a new 120 AFC cabinet at this location. The cabinet provides better service quality for four existing customers and provides WiFi to 15 new customers.

Actual cost of project in 2015 was \$79,532

This project provides service quality, coverage and capacity upgrades

Build hut replacing fiber cabinet: Build hut at Century Link meet point in Adams Oregon. This fiber cabinet has limited space and no room for additional equipment. Building the hut will be better for the equipment and allow space for new equipment we plan to add at a later date. Replacing the fiber cabinet will affect all customers in the Helix Exchange.

Due to time constraints on the contractor we were unable to complete this project in 2015.

Actual cost of project in 2015 was \$1,305

This project will provide service quality, coverage and capacity upgrade

Replace batteries existing AFC cabinets: Replaced batteries in existing cabinet to maintain backup power generation, affecting approximately 80 customers. All are related to service quality.

All are related to service quality.

Actual cost of project in 2015 was \$5,588.00.



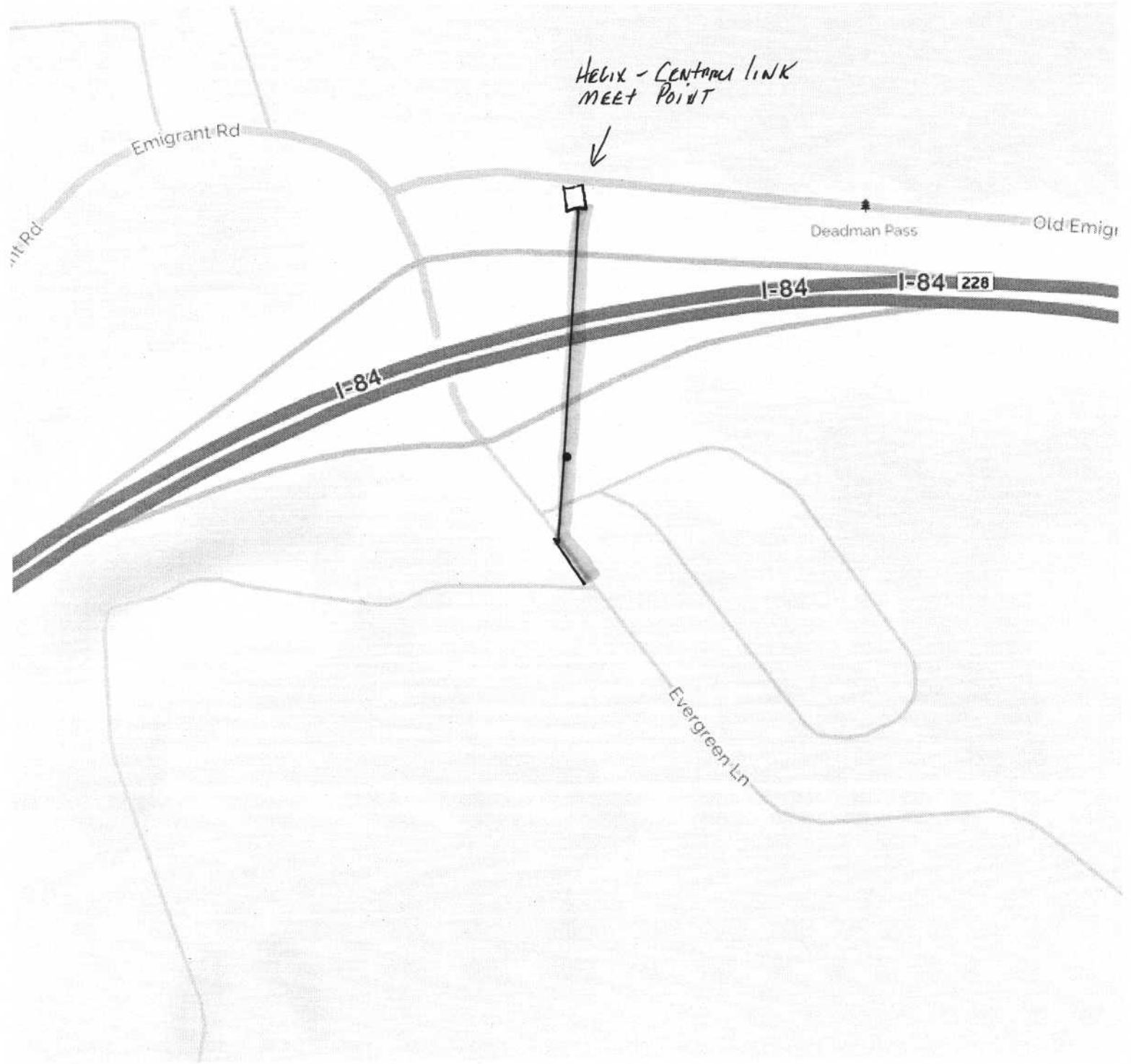
**2015 Alternative Progress Report Meacham Exchange:**

Push freeway I 84 Meacham Exchange:

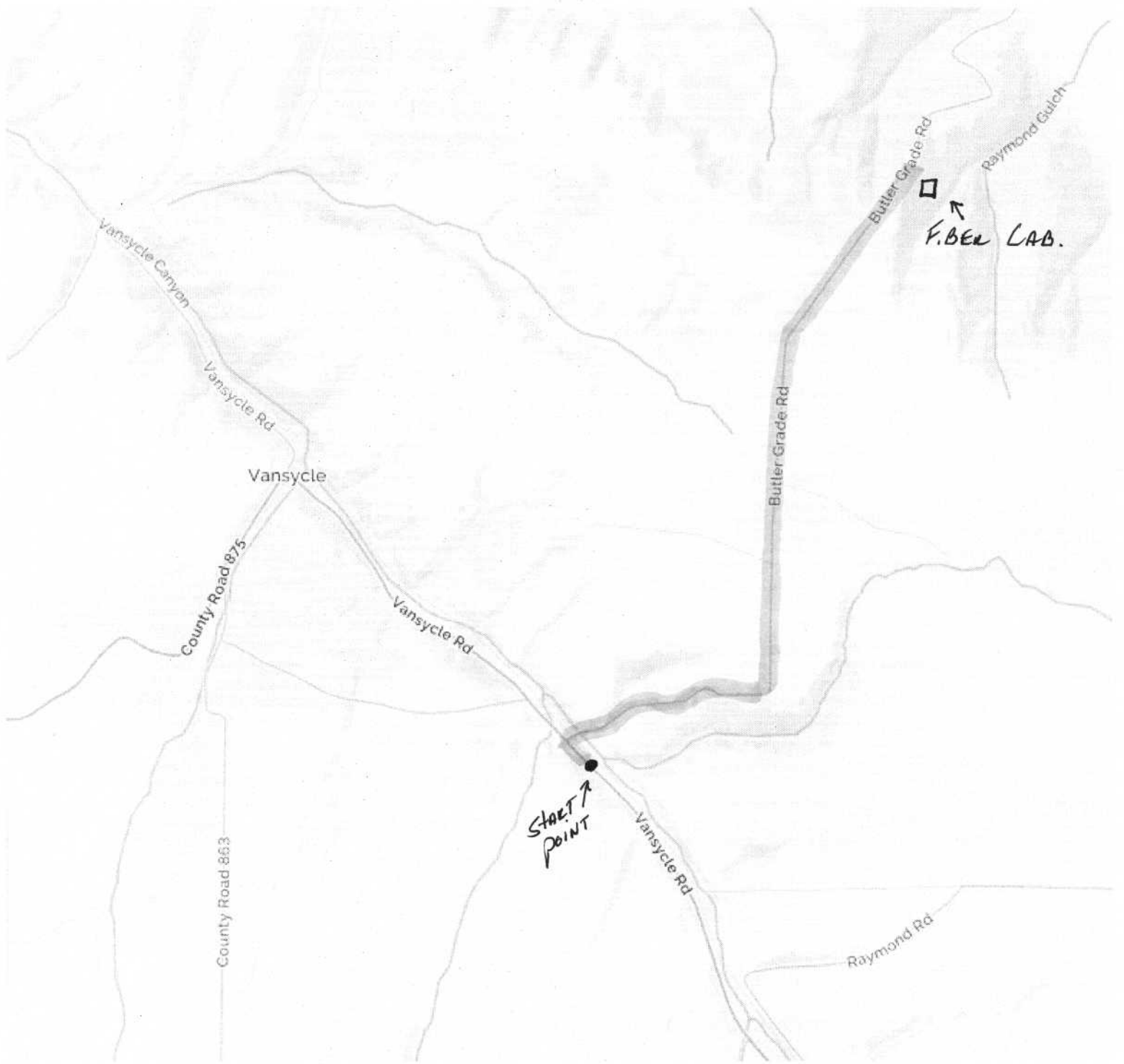
Pushed a 6 fiber and a 25 pair cable under I 84 freeway in Meacham Oregon.  
Actual cost of project in 2015 was \$54536

This project provides service quality, coverage and capacity upgrades.

\*\*\*\*



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**Consumer Protection**

Helix Telephone Company complies with the requirements of 47 CFR Part 64 Subpart U, Customer Proprietary Network Information and the Federal Trade Commission Red Flag rules to prevent identity theft. A manual for each of those programs is in place and is part of the employees' handbook. Employee training is conducted annually and new hires are instructed on the programs as required by their job functions.

**Service Quality Standards**

Helix Telephone Company complies with the service standards of the State of Oregon as promulgated in the Oregon Administrative Rules 860-034-0390, Retail Telecommunications Service Standards for Small Telecommunications Utilities. Helix Telephone Company is committed to providing the highest quality of services to its subscribers.

**Broadband**

Helix Telephone Company follows the service standards noted in NECA Tariff #5 and is committed to provide the highest quality service to its broadband customers.

Helix Telephone Company  
Functionality in Emergency Situations

Helix Telephone Company has the following back-up power capabilities

Switch A is a stand alone it has a 10kw generator fueled by 120 gal. Of propane will run for 5+ days. It also has 6 100 amp. Hrs. batteries that can run the switch for 2 or more days.

Switch B is a stand alone it has a 10kw generator fueled by 120 gal. Of propane and will run for 5+ days. It also has 12 100amp. Hrs. batteries that can run the switch for 2 or more days.

Helix telephone Company uses all Tellabs subscriber carrier that has battery backup that will operate for 12 to 15 hrs. we also have a portable generator that can be moved to the site within one hour. Powered by 2 gallons of gas that will run for 2 hrs.

Helix Telephone Company has the ability to reroute its local facilities around damaged plant in the form of a fiber ring. We have the ability to repair damaged facilities between Helix Telephone and Century Link our connecting company within 4 hrs.

Helix Telephone Company has 146 customers and the switching capacity to handle all 146 simultaneously and a transport capacity for 44 simultaneous calls. Helix Telephone takes no responsibility for the capabilities of the interconnected networks to manage traffic spikes resulting from emergency situations, but will continue its best efforts for its networks during such events.

J.A. SMITH, President  
T.J. SMITH, Sec/Treas.

## HELIX TELEPHONE COMPANY

Phone 541-457-2385  
Fax 541-457-2111

*Serving the Public*  
Box 326  
Helix Oregon, 97835

March 21, 2016

Mr. Alan Crawford  
General Council Chairman CTUIR  
Nixyaawii Governance Center  
46411 Timine Way  
Pendleton, OR 97801

Dear Mr. Crawford:

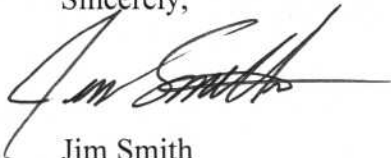
I send greetings to you from your neighbors at the Helix Telephone Company.

We operate under regulatory oversight from the State Public Utility Commission in Salem and the Federal Communications Commission (FCC) in Washington, D.C. The FCC recently adopted rules that encourage local operating telephone companies to engage in productive dialogue with tribal entities in their operating territory.

The FCC anticipates these discussions will include, but might not be limited to: a needs assessment related to tribal anchor institutions, planning issues, and environmental factors including rights of way processes and cultural preservation review processes.

We seek to have an initial meeting with you at a mutually convenient time prior to the end of the calendar year. We look forward to visiting with you soon.

Sincerely,



Jim Smith  
President



J.A. SMITH, President  
T.J. SMITH, Sec/Treas.

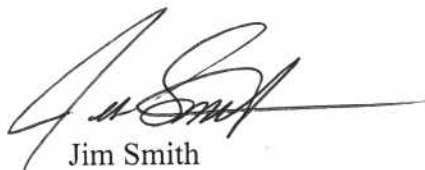
## HELIX TELEPHONE COMPANY

Phone 541-4572385  
Fax 541-457-2111

*Serving the Public*  
Box 326  
Helix Oregon, 97835

June 14, 2016

There has been no response regarding a meeting from  
Mr. Alan Crawford  
General Council Chairman CTUIR  
Nixyaawii Governance Center  
46411 Timine Way  
Pendleton, OR 97801



Jim Smith  
President

Lifeline subscribers receive the same residential service as a regular subscriber, but at a reduced monthly recurring rate. Thus, lifeline subscribers have an unlimited number of local calling minutes. As for toll, lifeline subscribers, similar to every Helix subscriber, are free to choose their own toll usage plans through IXCs that serve Helix.



# Your local telecommunications provider is pleased to offer Lifeline service, which provides discounted service only for eligible customers.

Every person in America should have access to quality, affordable telecommunications service. This principle of "Universal Service" has been the goal of the telecommunications industry for decades.

Lifeline is a government supported service available to qualified, low income customers and offers discounted services for eligible customers. Eligible consumers can receive one Lifeline-subsidized phone service per household. In addition, all new subscribers must demonstrate their eligibility at sign up and must re-certify their eligibility on an annual basis.

## How Do I Qualify for Lifeline Discounts?

The Lifeline program is available to qualifying consumers in every state, territory and commonwealth. To qualify for Lifeline, subscribers must either have an income that is at or below 135% of the Federal Poverty Guidelines, or participate in one of the following assistance programs:

- Low-Income Home Energy Assistance Program (LIHEAP)
- Federal Public Housing Assistance or Section 8
- Medicaid
- Supplemental Nutrition Assistance Program (SNAP), formerly the Food Stamp Program
- Supplemental Security Income (SSI)
- Temporary Assistance for Needy Families (TANF)
- National School Lunch free lunch program
- Bureau of Indian Affairs General Assistance
- Tribally Administered Temporary Assistance for Needy Families (TTANF)
- Food Distribution Program on Indian Reservations (FDPIR)
- Head Start (if income eligibility criteria are met)
- State assistance programs (if applicable)

## How Do I Prove that I Am Eligible?

All new subscribers must demonstrate that they are eligible. If a state database is unavailable, subscribers must show proof of eligibility by demonstrating that they meet the income qualifications or participate in a qualifying program listed above.

## What if I No Longer Qualify for Program Benefits?

You are responsible for notifying your phone provider when you no longer meet the applicable eligibility requirements for the program within 30 days of becoming aware of such ineligibility.

## What Does One Per Household Mean?

Only ONE Lifeline service may be obtained per household. "Household" is defined as any individual or group of individuals

who live together at the same address as one economic unit. An "economic unit" is defined as "all adult individuals contributing to and sharing in the income and expense of a household." Lifeline support is available to eligible low-income consumers living in group living facilities. A Lifeline Household Worksheet for Determining whether there are multiple households at one address is available at <http://www.usac.org/li/>.

A household is not permitted to receive Lifeline benefits from multiple providers. Lifeline is a non-transferable benefit. A subscriber may not transfer his or her benefit to any other person.

**Lifeline is a government benefit available to qualified, low income customers. Willfully making false statements to obtain the benefit can result in fines, imprisonment, de-enrollment or being barred from the program. Only one Lifeline service is available per household whether wired or wireless. A household is defined, for purposes of the Lifeline program, as an individual or group of individuals who live together at the same address and share income and expenses.**

## What If I Have More Than One Lifeline Phone Service?

If you know that you are receiving more than one Lifeline benefit per household, you should immediately contact one of the providers to de-enroll from one of the Lifeline programs.

## 2013 Income Requirements for a Household at or Below 135% of the Federal Poverty Guidelines

Persons in Family/ Household	48 Contiguous States and D.C.	Alaska	Hawaii
1	\$11,490	\$14,350	\$13,230
2	\$15,510	\$19,380	\$17,850
3	\$19,530	\$24,410	\$22,470
4	\$23,550	\$29,440	\$27,090
5	\$27,570	\$34,470	\$31,710
6	\$31,590	\$39,500	\$36,330
7	\$35,610	\$44,530	\$40,950
8	\$39,630	\$49,560	\$45,570
For each additional person, add	\$4,020	\$5,030	\$4,620

Date: June 14, 2016

Ms. Marlene H. Dortch  
Secretary  
Federal Communications Commission  
9300 East Hampton Drive  
Capitol Heights, MD 20743

**Re: WC Docket No. 14-58, 2016 Annual Report for Program Year 2017,  
Form 481 for High-Cost Recipient - 54.313(f)(1) "Milestone Certification"**

Dear Ms Dortch:

In compliance with the filing requirements associated with, and attached to Form 481, we wish to advise the Commission that Helix Telephone Company provided in 2015 High Speed Internet service to its customers and:

- Has taken reasonable steps to provide upon reasonable request broadband service at actual speeds of 10 Mbps downstream/1 Mbps upstream;
- Provides latency suitable for real-time applications including VoIP and usage capacity which is reasonably comparable to those in urban areas and;
- That reasonable requests for service are met within a reasonable timeframe.

If there are questions, I may be contacted at 541-457-2385

Sincerely,  
James A Smith  
President Helix Telephone Company

Anchor institutions within Helix Telephone's Territory

In 2014 Helix Telephone Company established delivery of high-speed broadband to the following "anchor" institution.

1. USPS            209 Concord St. Helix Oregon