In the Matter of: RF Micro Devices, Inc. 7628 Thorndike Road Greensboro, NC 27409

Respondent

ORDER RELATING TO RF MICRO DEVICES, INC.

The Bureau of Industry and Security, U.S. Department of Commerce ("BIS") has notified RF Micro Devices, Inc. ("RFMD") of its intention to initiate an administrative proceeding against RFMD pursuant to Section 766.3 of the Export Administration Regulations (the "Regulations"),\(^1\) and Section 13(c) of the Export Administration Act of 1979, as amended (the "Act"),\(^2\) through the issuance of a proposed charging letter to RFMD that alleged that it committed forty one violations of the Regulations. Specifically, these charges are:

Charges 1-14 15 C.F.R. § 764.2(a) - Engaging in Prohibited Conduct by Exporting Spread-Spectrum Modems to the People's Republic of China ("PRC") Without the Required License

On fourteen occasions between on or about May 17, 2002 and on or about November 24, 2003, RFMD engaged in conduct prohibited by the Regulations by exporting spread-spectrum modems, items classified under Export Control Classification Number ("ECCN") 5A001 and


controlled for national security reasons, to the PRC without the Department of Commerce license required by Section 742.4 of the Regulations. In so doing, RFMD committed fourteen violations of Section 764.2(a) of the Regulations.

Charges 15-27 15 C.F.R. § 764.2(e) – Acting with Knowledge

On thirteen occasions between or about May 17, 2002 and on or about November 24, 2003, in connection with the transactions described in Charges 1-13 above, RFMD sold spread-spectrum modems, classified under ECCN 5A001, that were to be exported from the United States to the PRC, with knowledge that a violation of the Regulations was occurring, was about to occur or was intended to occur in connection with the spread-spectrum modems. RFMD had knowledge that exports of these items required authorization from the U.S. Government because, *inter alia*, on or about January 3, 2002, RFMD received a memorandum from outside consultants stating that the consultants’ initial review determined that the RF3000 model spread-spectrum modem may have required a license for export to the PRC. The consultants, who had been hired to work with RFMD to address import and export related issues of concern to RFMD, identified review of the export classification and license requirements for the RF3000 as a priority issue for the company. In so doing, RFMD committed thirteen violations of Section 764.2(e) of the Regulations.

Charge 28 15 C.F.R. § 764.2(e) – Acting with Knowledge

On one occasion on or about November 6, 2003, in connection with the transaction described in Charge 14 above, RFMD sold spread-spectrum modems, classified under ECCN 5A001, that were to be exported from the United States to the PRC, with knowledge that a violation of the Regulations was occurring, was about to occur or was intended to occur in connection with the spread-spectrum modems. RFMD had knowledge that exports of these items required authorization from the U.S. Government because, *inter alia*, on or about January 3, 2002, RFMD received a memorandum from outside consultants stating that the consultants’ initial review determined that the RF3000 model spread-spectrum modem may have required a license for export to the PRC. The consultants, who had been hired to work with RFMD to address import and export related issues of concern to RFMD, identified review of the export classification and license requirements for the RF3000 as a priority issue for the company. As the RF3000 and RF3002 models have similar technical specifications, when informed that the RF3000 may require a license, RFMD had reason to know that the RF3002 also may have required a license. In so doing, RFMD committed one violation of Section 764.2(e) of the Regulations.

Charges 29-41 15 C.F.R. § 764.2(g) - False Statements on Shipper’s Export Declarations (“SEDS”)

On thirteen occasions between or about May 17, 2002 and on or about November 24, 2003, RFMD, in connection with the transactions described in Charges 1-2 and 4-14, made false or misleading statements to the U.S. Government in connection with the submission of export control documents. Specifically, RFMD submitted thirteen Shipper’s Export Declarations (“SEDS”) to the U.S. Government stating that the items that were the subject of the SEDs qualified for export as “NLR,” i.e., that no license was required. This representation was false,
as a license was required for the spread-spectrum modems included in the shipments. In so doing, RFMD committed thirteen violations of Section 764.2(g) of the Regulations.

WHEREAS, BIS and RFMD have entered into a Settlement Agreement pursuant to Section 766.18(a) of the Regulations, whereby they agreed to settle this matter in accordance with the terms and conditions set forth therein; and

WHEREAS, I have approved of the terms of such Settlement Agreement;

IT IS THEREFORE ORDERED:

FIRST, RFMD shall be assessed a civil penalty in the amount of $190,000, the payment of which shall be made to the U.S. Department of Commerce within 30 days of the date of this Order. Payment shall be made in the manner specified in the attached instructions.

SECOND, that, pursuant to the Debt Collection Act of 1982, as amended (31 U.S.C. §§ 3701-3720E (2000)), the civil penalty owed under this Order accrues interest as more fully described in the attached Notice, and if payment is not made by the due date specified herein, RFMD will be assessed, in addition to the full amount of the civil penalty and interest, a penalty charge and an administrative charge, as more fully described in the attached Notice.

THIRD, that the timely payment of the civil penalty set forth above is hereby made a condition to the granting, restoration, or continuing validity of any export license, license exception, permission, or privilege granted, or to be granted, to RFMD. Accordingly, if RFMD should fail to pay the civil penalty in a timely manner, the undersigned may enter an Order denying all of RFMD’s export privileges under the Regulations for a period of one year from the date of this Order.

FOURTH, that the Proposed Charging Letter, the Settlement Agreement, and this Order shall be made available to the public.
This Order, which constitutes the final agency action in this matter, is effective immediately.

Kevin Delli-Colli
Acting Assistant Secretary of Commerce
for Export Enforcement

Entered this 13th day of August, 2009.
UNITED STATES DEPARTMENT OF COMMERCE
BUREAU OF INDUSTRY AND SECURITY
WASHINGTON, D.C. 20230

In the Matter of:

RF Micro Devices, Inc.
7628 Thorndike Road
Greensboro, NC 27409

Respondent

SETTLEMENT AGREEMENT

This Settlement Agreement ("Agreement") is made by and between RF Micro Devices, Inc. ("RFMD") and the Bureau of Industry and Security, U.S. Department of Commerce ("BIS") (collectively, the "Parties"), pursuant to Section 766.18(a) of the Export Administration Regulations (currently codified at 15 C.F.R. Parts 730-774 (2009)) (the "Regulations"), issued pursuant to the Export Administration Act of 1979, as amended (50 U.S.C. app. §§ 2401-2420 (2000)) (the "Act").

WHEREAS, BIS has notified RFMD of its intention to initiate an administrative proceeding against it, pursuant to the Act and the Regulations;


2 Since August 21, 2001, the Act has been in lapse and the President, through Executive Order 13222 of August 17, 2001 (3 C.F.R. 2001 Comp. 783 (2002)), which has been extended by successive Presidential Notices, the most recent being that of July 23, 2008 (73 Fed. Reg. 43603 (July 25, 2008)), continues the Regulations in effect under the International Emergency Economic Powers Act (50 U.S.C. §§1701-1707).
WHEREAS, BIS has issued a proposed charging letter to RFMD that alleged that RFMD committed forty-one violations of the Regulations, specifically:

Charges 1-14 15 C.F.R. § 764.2(a) - Engaging In Prohibited Conduct by Exporting Spread-Spectrum Modems to the People’s Republic of China (“PRC”) Without the Required License

On fourteen occasions between on or about May 17, 2002 and on or about November 24, 2003, RFMD engaged in conduct prohibited by the Regulations by exporting spread-spectrum modems, items classified under Export Control Classification Number (“ECCN”) 5A001 and controlled for national security reasons, to the PRC without the Department of Commerce license required by Section 742.4 of the Regulations. In so doing, RFMD committed fourteen violations of Section 764.2(a) of the Regulations.

Charges 15-27 15 C.F.R. § 764.2(e) – Acting with Knowledge

On thirteen occasions between on or about May 17, 2002 and on or about November 24, 2003, in connection with the transactions described in Charges 1-13 above, RFMD sold spread-spectrum modems, classified under ECCN 5A001, that were to be exported from the United States to the PRC, with knowledge that a violation of the Regulations was occurring, was about to occur or was intended to occur in connection with the spread-spectrum modems. RFMD had knowledge that exports of these items required authorization from the U.S. Government because, inter alia, on or about January 3, 2002, RFMD received a memorandum from outside consultants stating that the consultants’ initial review determined that the RF3000 model spread-spectrum modem may have required a license for export to the PRC. The consultants, who had been hired to work with RFMD to address import and export related issues of concern to RFMD, identified review of the export classification and license requirements for the RF3000 as a priority issue for the company. In so doing, RFMD committed thirteen violations of Section 764.2(e) of the Regulations.

Charge 28 15 C.F.R. § 764.2(e) – Acting with Knowledge

On one occasion on or about November 6, 2003, in connection with the transaction described in Charge 14 above, RFMD sold spread-spectrum modems, classified under ECCN 5A001, that were to be exported from the United States to the PRC, with knowledge that a violation of the Regulations was occurring, was about to occur or was intended to occur in connection with the spread-spectrum modems. RFMD had knowledge that exports of these items required authorization from the U.S. Government because, inter alia, on or about January 3, 2002, RFMD received a memorandum from outside consultants stating that the consultants’ initial review determined that the RF3000 model spread-spectrum modem may have required a license for export to the PRC. The consultants, who had been hired to work with RFMD to address import and export related issues of concern to RFMD, identified review of the export classification and license
requirements for the RF3000 as a priority issue for the company. As the RF3000 and RF3002 models have similar technical specifications, when informed that the RF3000 may require a license, RFMD had reason to know that the RF3002 also may have required a license. In so doing, RFMD committed one violation of Section 764.2(e) of the Regulations.

**Charges 29-41 15 C.F.R. § 764.2(g) - False Statements on Shipper's Export Declarations ("SEDs")**

On thirteen occasions between on or about May 17, 2002 and on or about November 24, 2003, RFMD, in connection with the transactions described in Charges 1-2 and 4-14, made false or misleading statements to the U.S. Government in connection with the submission of export control documents. Specifically, RFMD submitted thirteen Shipper's Export Declarations ("SEDs") to the U.S. Government stating that the items that were the subject of the SEDs qualified for export as "NLR," i.e., that no license was required. This representation was false, as a license was required for the spread-spectrum modems included in the shipments. In so doing, RFMD committed thirteen violations of Section 764.2(g) of the Regulations.

WHEREAS, RFMD has reviewed the Proposed Charging Letter and is aware of the allegations made against it and the administrative sanctions which could be imposed against it if the allegations are found to be true;

WHEREAS, RFMD fully understands the terms of this Agreement and the Order ("Order") that the Assistant Secretary of Commerce for Export Enforcement will issue if he approves this Agreement as the final resolution of this matter;

WHEREAS, RFMD enters into this Agreement voluntarily and with full knowledge of its rights;

WHEREAS, RFMD states that no promises or representations have been made to it other than the agreements and considerations herein expressed;

WHEREAS, RFMD neither admits nor denies the allegations contained in the Proposed Charging Letter;
WHEREAS, RFMD wishes to settle and dispose of all matters alleged in the
Proposed Charging Letter by entering into this Agreement; and

WHEREAS, RFMD agrees to be bound by the Order, if entered;

NOW THEREFORE, the Parties hereby agree, for purposes of this Settlement Agreement, as follows:

1. BIS has jurisdiction over RFMD, under the Regulations, in connection with the matters alleged in the Proposed Charging Letter.

2. The following sanction shall be imposed against RFMD in complete settlement of the alleged violations of the Regulations relating to the transactions specifically detailed in the Proposed Charging Letter:
   a. RFMD shall be assessed a civil penalty in the amount of $190,000, the payment of which shall be made to the U.S. Department of Commerce within 30 days of the date of the Order. Payment shall be made in the manner specified in the attached instructions.
   b. The timely payment of the civil penalty agreed to in paragraph 2.a is hereby made a condition to the granting, restoration, or continuing validity of any export license, permission, or privilege granted, or to be granted, to RFMD. Failure to make timely payment of the civil penalty set forth above may result in the denial of all of RFMD’s export privileges for a period of one year from the date of imposition of the penalty.

3. Subject to the approval of this Agreement pursuant to paragraph 8 hereof, RFMD hereby waives all rights to further procedural steps in this matter (except with respect to any alleged violations of this Agreement or the Order, if entered), including,
without limitation, any right to: (a) an administrative hearing regarding the allegations in any charging letter; (b) request a refund of any civil penalty paid pursuant to this Agreement and the Order, if entered; and (c) seek judicial review or otherwise contest the validity of this Agreement or the Order, if entered.

4. BIS agrees that, upon entry of the Order, it will not initiate any further administrative proceeding against RFMD in connection with any violation of the Act or the Regulations arising out of the transactions specifically detailed in the Proposed Charging Letter.

5. BIS will make the Proposed Charging Letter, this Agreement, and the Order, if entered, available to the public.

6. This Agreement is for settlement purposes only. Therefore, if this Agreement is not accepted and the Order is not issued by the Assistant Secretary of Commerce for Export Enforcement pursuant to Section 766.18(a) of the Regulations, no Party may use this Agreement in any administrative or judicial proceeding and the Parties shall not be bound by the terms contained in this Agreement in any subsequent administrative or judicial proceeding.

7. No agreement, understanding, representation or interpretation not contained in this Agreement may be used to vary or otherwise affect the terms of this Agreement or the Order, if entered; nor shall this Agreement serve to bind, constrain, or otherwise limit any action by any other agency or department of the U.S. Government with respect to the facts and circumstances addressed herein.

8. This Agreement shall become binding on the Parties only if the Assistant Secretary of Commerce for Export Enforcement approves it by entering the Order, which
will have the same force and effect as a decision and order issued after a full administrative hearing on the record.

9. Each signatory affirms that he has authority to enter into this Settlement Agreement and to bind it respective party to the terms and conditions set forth herein.

BUREAU OF INDUSTRY AND SECURITY
U.S. DEPARTMENT OF COMMERCE

Thomas Madigan
Director
Office of Export Enforcement

Date: August 10, 2009

Suzanne B. Rudy
Vice President and Corporate Treasurer
RF Micro Devices, Inc.

Date: August 10, 2009
PROPOSED CHARGING LETTER

REGISTERED MAIL - RETURN RECEIPT REQUESTED

RF Micro Devices, Inc.
7628 Thorndike Road
Greensboro, NC 27409

Attn: Robert A. Bruggeworth
President and Chief Executive Officer

Dear Mr. Bruggeworth:

The Bureau of Industry and Security, U.S. Department of Commerce ("BIS"), has reason to believe that RF Micro Devices, Inc., ("RFMD"), of Greensboro, North Carolina, has committed 41 violations of the Export Administration Regulations (the "Regulations"), which are issued under the authority of the Export Administration Act of 1979, as amended (the "Act"). Specifically, BIS charges that RFMD committed the following violations:

Charges 1-14 15 C.F.R. § 764.2(a) - Engaging in Prohibited Conduct by Exporting Spread-Spectrum Modems to the People's Republic of China ("PRC") Without the Required License

As described in greater detail in the attached Schedule of Violations, which is incorporated herein by reference, on fourteen occasions between on or about May 17, 2002 and on or about November 24, 2003, RFMD engaged in conduct prohibited by the Regulations by exporting spread-spectrum modems, items classified under Export Control Classification Number ("ECCN") 5A001 and controlled for national security reasons, to the PRC without the Department of Commerce license required by Section 742.4 of the Regulations. In so doing, RFMD committed fourteen violations of Section 764.2(a) of the Regulations.

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Charges 15-27  

15 C.F.R. § 764.2(e) – Acting with Knowledge

On thirteen occasions between or about May 17, 2002 and or about November 24, 2003, in connection with the transactions described in Charges 1-13 above (including in pertinent part the attached Schedule of Violations, which is incorporated herein by reference), RFMD sold spread-spectrum modems, classified under ECCN 5A001, that were to be exported from the United States to the PRC, with knowledge that a violation of the Regulations was occurring, was about to occur or was intended to occur in connection with the spread-spectrum modems. RFMD had knowledge that exports of these items required authorization from the U.S. Government because, inter alia, on or about January 3, 2002, RFMD received a memorandum from outside consultants stating that the consultants’ initial review determined that the RF3000 model spread-spectrum modem may have required a license for export to the PRC. The consultants, who had been hired to work with RFMD to address import and export related issues of concern to RFMD, identified review of the export classification and license requirements for the RF3000 as a priority issue for the company. In so doing, RFMD committed thirteen violations of Section 764.2(e) of the Regulations.

Charge 28  

15 C.F.R. § 764.2(e) – Acting with Knowledge

On one occasion on or about November 6, 2003, in connection with the transaction described in Charge 14 above (including in pertinent part the attached Schedule of Violations, which is incorporated herein by reference), RFMD sold spread-spectrum modems, classified under ECCN 5A001, that were to be exported from the United States to the PRC, with knowledge that a violation of the Regulations was occurring, was about to occur or was intended to occur in connection with the spread-spectrum modems. RFMD had knowledge that exports of these items required authorization from the U.S. Government because, inter alia, on or about January 3, 2002, RFMD received a memorandum from outside consultants stating that the consultants’ initial review determined that the RF3000 model spread-spectrum modem may have required a license for export to the PRC. The consultants, who had been hired to work with RFMD to address import and export related issues of concern to RFMD, identified review of the export classification and license requirements for the RF3000 as a priority issue for the company. As the RF3000 and RF3002 models have similar technical specifications, when informed that the RF3000 may require a license, RFMD had reason to know that the RF3002 also may have required a license. In so doing, RFMD committed one violation of Section 764.2(e) of the Regulations.

Charges 29-41  

15 C.F.R. § 764.2(g) - False Statements on Shipper’s Export Declarations (“SEDs”)

On thirteen occasions between or about May 17, 2002 and or about November 24, 2003, RFMD, in connection with the transactions described in Charges 1-2 and 4-14, made false or misleading statements to the U.S. Government in connection with the submission of export control documents. Specifically, RFMD submitted thirteen Shipper’s Export Declarations (“SEDs”) to the U.S. Government stating that the items that were the subject of the SEDs qualified for export as “NLR,” i.e., that no license was required. This representation was false,
as a license was required for the spread-spectrum modems included in the shipments. In so doing, RFMD committed thirteen violations of Section 764.2(g) of the Regulations.

* * * * *

Accordingly, RFMD is hereby notified that an administrative proceeding is instituted against it pursuant to Section 13(c) of the Act and Part 766 of the Regulations for the purpose of obtaining an order imposing administrative sanctions, including any or all of the following:

- The maximum civil penalty allowed by law of up to the greater of $250,000 per violation or twice the value of the transaction that is the basis of the violation;\(^3\)
- Denial of export privileges; and/or
- Exclusion from practice before BIS.

If RFMD fails to answer the charges contained in this letter within 30 days after being served with notice of issuance of this letter, that failure will be treated as a default. See 15 C.F.R. §§ 766.6 and 766.7. If RFMD defaults, the Administrative Law Judge may find the charges alleged in this letter are true without a hearing or further notice to RFMD. The Under Secretary of Commerce for Industry and Security may then impose up to the maximum penalty for the charges in this letter.

RFMD is further notified that it is entitled to an agency hearing on the record if it files a written demand for one with its answer. See 15 C.F.R. § 766.6. RFMD is also entitled to be represented by counsel or other authorized representative who has power of attorney to represent it. See 15 C.F.R. §§ 766.3(a) and 766.4.

The Regulations provide for settlement without a hearing. See 15 C.F.R. § 766.18. Should RFMD have a proposal to settle this case, RFMD or its representative should transmit it to the attorney representing BIS named below.

RFMD is further notified that under the Small Business Regulatory Enforcement Flexibility Act, RFMD may be eligible for assistance from the Office of the National Ombudsman of the Small Business Administration in this matter. To determine eligibility and get more information, please see: http://www.sba.gov/ombudsman/.

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The U.S. Coast Guard is providing administrative law judge services in connection with the matters set forth in this letter. Accordingly, RFMD’s answer must be filed in accordance with the instructions in Section 766.5(a) of the Regulations with:

U.S. Coast Guard ALJ Docketing Center
40 S. Gay Street
Baltimore, Maryland 21202-4022

In addition, a copy of RFMD’s answer must be served on BIS at the following address:

Chief Counsel for Industry and Security
Attention: Elias Wolfberg, Esq.
Room H-3839
United States Department of Commerce
14th Street and Constitution Avenue, N.W.
Washington, D.C. 20230

Elias Wolfberg is the attorney representing BIS in this case; any communications that RFMD may wish to have concerning this matter should occur through him. Mr. Wolfberg may be contacted by telephone at (202) 482-5301.

Sincerely,

Thomas Madigan
Director
Office of Export Enforcement
## Schedule of Violations

<table>
<thead>
<tr>
<th>Charge Number</th>
<th>Date of Export</th>
<th>Description of Commodity</th>
<th>Quantity</th>
<th>Unit Value</th>
<th>Total Value</th>
<th>ECCN</th>
<th>Destination</th>
<th>RF Micro Invoice #</th>
<th>Violations</th>
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<tbody>
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<td>1, 15, 29</td>
<td>5/17/2002</td>
<td>RF3000 Spread-Spectrum Modem</td>
<td>750</td>
<td>$2.25</td>
<td>$1,687.50</td>
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<td>Charge Number</td>
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<td>Description of Commodity</td>
<td>Quantity</td>
<td>Unit Value</td>
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<td>ECCN</td>
<td>Destination</td>
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<td>Violations</td>
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<td>PRC</td>
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