



**UNITED STATES OF AMERICA
DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY
WASHINGTON, D.C.**

Issued by the Department of Transportation
on the 22rd day of October, 2008

Applications of

PRESCOTT SUPPORT COMPANY, INC.

for certificates of public convenience and necessity
under 49 U.S.C. § 41102 to engage in interstate and
foreign charter air transportation of property and mail

**Dockets DOT-OST-2008-0187
and
DOT-OST-2008-0188**

**ORDER TO SHOW CAUSE
PROPOSING ISSUANCE OF CERTIFICATES**

Summary

By this order, we tentatively conclude that Prescott Support Company, Inc. (“PSC”), is a citizen of the United States and is fit, willing, and able to provide interstate and foreign charter air transportation of property and mail, and should be issued certificates of public convenience and necessity authorizing such operations, subject to conditions.

Background

Section 41102 of Title 49 of the United States Code (“the Transportation Code”) directs us to determine that applicants for certificate authority to provide interstate and foreign charter air transportation of property and mail are “fit, willing, and able” to perform such transportation and to ensure that all operations relating to this authority conform to the provisions of the Transportation Code and the regulations and requirements of the Department. In making fitness findings, the Department uses a three-part test that reconciles the Airline Deregulation Act’s liberal entry policy with Congress’ concern for operational safety and consumer protection. The three areas of inquiry that must be addressed in order to determine a company’s fitness are whether the applicant (1) will have the managerial skills and technical ability to conduct the proposed operations, (2) will have access to resources sufficient to commence operations without posing an undue risk to consumers, and (3) will comply with the Transportation Code and regulations imposed by Federal and State agencies. We must also find that the applicant is a U.S. citizen.

On June 10, 2008, PSC filed applications in Dockets DOT-OST-2008-0187 and DOT-OST-2008-0188 requesting certificates issued under 49 U.S.C. § 41102 authorizing it to

engage in interstate and foreign charter air transportation of property and mail. PSC accompanied its applications with information required by section 204.3 of our regulations for an examination of its fitness to hold such authority.¹

We have received no answers to the applications and no special issues regarding the applicant have come to our attention. Under these circumstances, we propose to decide the issue of PSC's fitness on the basis of the written record. As discussed below, we tentatively conclude that PSC is a U.S. citizen and is fit, willing, and able to operate its proposed air service, subject to conditions. However, we will give interested persons an opportunity to show cause why we should not adopt as final these tentative findings and conclusions.

FITNESS

The Applicant

PSC, based in Myrtle Beach, South Carolina, is a corporation that organized under the laws of the State of Tennessee on March 12, 2004. It holds a 14 CFR Part 121 certificate from the Federal Aviation Administration ("FAA") and currently operates one Lockheed L-382-G aircraft in private contract carriage air transportation. PSC is wholly-owned by Mr. George G. Cannady, a U.S. citizen.

Managerial Competence

The following individuals, each of whom is a U.S. citizen, serve as PSC's key management and technical personnel:

President and Director of Operations	George G. Cannady
Chief Pilot	Douglas Upton
Director of Maintenance	James A. Brewer
Safety Officer	Duncan G. Wolford
Chief Inspector	Stephen D. Knag

Mr. George G. Cannady, the air carrier's President and Director of Operations since 2004, is a certified Airline Transport Pilot and Flight Engineer, having logged over 11,000 total flight hours. He has also served as President for Atlanta Air Service, LLC (2003-2006), Vice President and General Manager for Air First, Inc. (1989-2003), and Vice President of Operations for Gulf Air Transport, Inc. (1980-1989). Additionally, Mr. Cannady graduated with a Bachelor's degree in Aeronautics from Embry-Riddle Aeronautical University.

Mr. Douglas M. Upton, an Airline Transport Pilot with over 7,000 total flight hours logged, joined PSC in 2005 as its Chief Pilot. Previously, he was employed as Captain by East, Inc. (2002-2005), and by US Airways, Inc. (1999-2002) and as First Officer for Atlas Air, Inc. (1998-1999). Prior to that, Mr. Upton served in the U.S. Air Force (1978-1998).

¹ PSC filed additional information supplementing its applications on August 22, 2008.

Mr. James A. Brewer, an Airframe and Powerplant Mechanic, has been Director of Maintenance for PSC since 2005. Before this, he was employed by Lockheed Martin as its Integrated Product Team Manager (1999-2005) and Production Supervisor and Crew Lead (1986-1999). Additionally, Mr. Brewer served for the U.S. Air Force as a KC-135 Maintenance Technician (1982-1986).

Mr. Duncan G. Wolford has served as the applicant's Vice President and Director of Safety since 2006. He has previously served as a Consultant and Operations Specialist for Air First, Inc., where he negotiated and contracted flight operations (1996-2006). Prior to that, Mr. Wolford was employed by E-Systems as a Program Administrator, negotiating and managing multi-million dollar aviation support contracts and directing domestic and international aircraft ground handling support operations (1989-2006). Before E-Systems, Mr. Wolford was employed by American Trans Air, Inc., as an Aircraft Dispatcher (1985-1989), responsible for preflight planning and operational control of domestic and international flights and for ground handling requirements. Mr. Wolford holds a Bachelor's degree in Science from Embry-Riddle Aeronautical University.

Mr. Stephen D. Knag has served as PSC's Chief Inspector since 2005. He is an Airframe and Powerplant Mechanic and has more than 37 years of experience performing aircraft maintenance. Prior to assuming his current position at PSC, he was employed by Lockheed Martin (2001-2005) and Big Safari (1996-2001) as a Program Manager, providing and scheduling maintenance checks on commercial and military aircraft. Mr. Knag also served in the U.S. Air Force, serving as Chief of Maintenance, Production Superintendent, and Crew Chief on C-130 aircraft (1971-1996).

In light of the experience and background of the applicant's key personnel, we tentatively conclude that PSC's management team possesses the managerial skills and technical ability to conduct its proposed operations using one large aircraft.²

Operating Plan and Financial Position

PSC currently provides private contract carriage air transportation using one Lockheed L-382-G aircraft operated under Part 121 of the Federal Aviation Regulations ("FARs"). If granted the certificate authority it seeks, the applicant intends to transport heavy equipment for construction, drilling, and maritime uses on a global basis, including the Middle East, the southern Mediterranean, and southern Africa. PSC also proposes to offer its services to non-governmental agencies for the transportation of humanitarian relief equipment and to provide subservice and act as an Air, Crew, Maintenance, and Insurance provider for other cargo carriers.

² Before authorizing an air carrier to conduct air transportation operations, the FAA also evaluates certain of the applicant's key personnel with respect to the minimum qualifications for those positions as prescribed in the Federal Aviation Regulations. The FAA's evaluation of these key personnel provides an added practical and in-person test of the skills and technical ability of these individuals. The FAA has advised us that PSC's key technical personnel are acceptable to that agency in their respective positions.

It expects to operate the same aircraft currently used in its private contract operations for its certificated operations.

The applicant provided forecasts of its pre-operating costs and first-year revenues and expenses for its proposed certificated operations. In particular, the applicant expects to incur \$120,000 in pre-operating expenses and approximately \$10.6 million in first year expenses. Based on these forecasts, we find PSC's expense projections to be reasonable and estimate that the applicant will need approximately \$2.8 million to meet the Department's financial fitness criteria.³

In support of its ability to meet our financial fitness requirements, PSC submitted historical financial statements for the past three years showing that it has earned net profits during calendar years 2005 and 2006, and incurred a net loss in 2007. Specifically, for calendar years 2005, 2006, and 2007, the applicant reported net income of \$944,000, \$826,000, and net loss of \$637,000, respectively. The applicant also provided third-party verification that it has, as of July 28, 2008, approximately \$3.3 million on deposit in its name. Further, PSC submitted its most recent balance sheet at March 31, 2008, which showed that the applicant had positive working capital of \$2.9 million. In addition, the applicant reported net equity of \$3.6 million for the same period.

In light of the above, we tentatively conclude that PSC has access to sufficient financial resources to commence the operations it proposes without posing an undue risk to consumers or their funds.⁴

Compliance Disposition

The applicant states that there are no actions or outstanding judgments against it, its owners, or its key personnel nor have there been any charges of unfair, deceptive or anti-competitive business practices, or of fraud, felony or antitrust violations brought against any of these parties in the past ten years. The applicant also states that there are no pending investigations, enforcement actions, or formal complaints filed by the Department against it, its key personnel, or persons having a substantial interest in it with respect to compliance with the Transportation Code or the Department's regulations.

A review of our records and other information available to us has uncovered no information which would reflect negatively on PSC or any of its key personnel. In addition, according to the FAA, the applicant has conducted its operations satisfactorily and the agency knows of no reason why the air carrier should not be granted the authority it is seeking. Moreover, PSC notes that neither it nor any of its key personnel have been involved in an accident or incident in the year

³ In establishing financial fitness, the Department typically asks an applicant to demonstrate that it has access to financial resources sufficient to cover its pre-operating expenses and the expenses that are reasonably projected to be incurred during three months of operations. In determining available resources, projected revenues are generally not included. The \$2.8 million noted above consists of the applicant's pre-operating expense forecast of \$120,000 plus \$2.7 million, which is one-quarter of PSC's estimated first-year expenses.

⁴ As is our practice, prior to making any authority awarded to PSC effective, we will require the company to demonstrate that it continues to have access to the financial resources needed to meet our financial test.

preceding its application or at any time in the past which remains under investigation by the FAA, the NTSB, or the company itself.

In light of these circumstances, we tentatively find that PSC has the proper regard for the laws and regulations governing its services to ensure that its aircraft and personnel conform to applicable safety standards and that acceptable consumer relations practices will be followed.

CITIZENSHIP

Section 41102 of the Transportation Code requires that certificates to engage in air transportation be held only by citizens of the United States as defined in 49 U.S.C. 40102(a)(15). That section specifies that the president and two-thirds of the board of directors and other managing officers be U.S. citizens, that at least 75 percent of the outstanding voting interest be owned by U.S. citizens, and that the applicant must be under the actual control of U.S. citizens. We have also interpreted the Transportation Code to mean that, as a factual matter, the air carrier must actually be controlled by U.S. citizens.

As stated previously, PSC is a corporation organized under the laws of the State of Tennessee. Its sole owner and the applicant's President and Director of Operations, Mr. George G. Cannady, is a U.S. citizen. In addition, PSC has submitted an affidavit attesting that it is a U.S. citizen. Finally, there is no other information before us that would lead us to conclude that PSC is not controlled by U.S. citizens.

In view of the foregoing, we tentatively conclude that PSC is a U.S. citizen and that it is fit, willing, and able to provide air transportation services as a U.S. certificated air carrier, subject to conditions.

PUBLIC CONVENIENCE AND NECESSITY

No finding of consistency with the public convenience and necessity is required for the award of authority for interstate charter air transportation of property and mail under section 41102, although such a finding is required for authority to engage in foreign charter air transportation.

We tentatively find that the foreign charter air transportation proposed by PSC is consistent with the public convenience and necessity. By Order 78-7-106, which instituted the *Former Large Irregular Air Service Investigation*, the Civil Aeronautics Board found that there was a continuing demand and need for additional charter air carriers. These findings remain valid and apply to the authority sought by PSC. Therefore, if PSC meets the fitness requirements of the Transportation Code, it will receive certificates authorizing it to engage in interstate and foreign charter air transportation of property and mail under section 41102.⁵

⁵ Pursuant to 49 U.S.C. § 41307, issuance of foreign authority to the applicant is subject to Presidential review.

OBJECTIONS

We will give interested persons 14 days following the service date of this order to show cause why the tentative findings and conclusions set forth here should not be made final; answers to objections will be due within 7 days thereafter. We expect such persons to direct their objections, if any, to the applications and points at issue and to support such objections with detailed economic analyses. If an oral evidentiary hearing or discovery procedures are requested, the objector should state in detail why such a hearing or discovery is considered necessary, and what material issues of decisional fact the objector would expect to establish through a hearing or discovery that cannot be established in written pleadings. The objector should consider whether discovery procedures alone would be sufficient to resolve material issues of decisional fact. If so, the type of procedure should be specified (*See* Part 302, Rules 19 and 20); if not, the reasons why not should be explained. We will not entertain general, vague, or unsupported objections. If no substantive objections are filed, we will issue an order that will make final our tentative findings and conclusions with respect to PSC's fitness and certification.

EFFECTIVE CERTIFICATE CONDITIONS AND LIMITATIONS

If PSC is found fit and issued the certificates it seeks, its authority will not become effective until the air carrier has fulfilled all of the requirements for effectiveness as set forth in the terms and conditions attached to its certificates. Among other things, this includes (1) our receipt of evidence of PSC's authority from the FAA authorizing such operations, (2) evidence of liability insurance coverage that meets the requirements of section 205.5(b) of our rules, (3) a statement of changes it may have undergone since its fitness was examined, and (4) evidence that PSC continues to have adequate financial resources available to it.

We also wish to remind PSC of the requirements of 49 U.S.C. § 41110(e). Specifically, that section requires that, once an air carrier is found fit initially, it must remain fit in order to hold its authority. To be assured that certificated air carriers continue to be fit after effective authority has been issued to them, we require that they supply information describing any subsequent substantial changes they may undergo in areas affecting fitness. Therefore, if PSC is issued effective certificate authority and subsequently proposes substantial changes in its ownership, management, or operations, it must first comply with the requirements of section 204.5 of our rules.⁶

Moreover, as discussed in the **FITNESS** section of this order, our finding of fitness for PSC is based on the operating plans described in its application, namely, performing cargo charter air transportation using one large aircraft. Should the applicant propose to expand its operations to

⁶ The air carrier may contact our Air Carrier Fitness Division to report proposed substantial changes in its operations, ownership, or management, and to determine what additional information, if any, will be required under section 204.5. In addition, by notice dated July 21, 1998, the Department requested air carriers to provide a 30-day advance notification of any proposed change in ownership, restructuring, or recapitalization. If the air carrier fails to file this updated information or if the information fails to demonstrate that the air carrier will continue to be fit upon implementation of the substantial change, the Department may take such action as is appropriate, including enforcement action or steps to modify, suspend, or revoke the air carrier's certificate authority.

include additional large aircraft, our fitness findings, particularly involving the adequacy of PSC's management and financial resources, might no longer apply. Therefore, should PSC desire to operate additional large aircraft, it must first provide the Department with at least 45 days advance notice of such plans and provide updated information establishing its fitness for such expansion. The compliance of the company with this requirement is essential if we are to carry out our responsibilities under section 41110(e).⁷

Finally, if PSC is granted effective authority, it would be required to submit a detailed progress report, within 45 days following the end of the first year of certificated flight operations, to the Air Carrier Fitness Division. The submission of a first year progress report is conditioned upon all newly certificated air carriers and was adopted as policy by the Department to aid in monitoring the fitness of new air carriers. The report should include a description of the air carrier's current operations (number and type of aircraft, principle markets served, total number of full-time employees), a summary of how its operations have changed during the year, a discussion of any changes it anticipates from its current operations during its second year, current financial statements,⁸ and a listing of current senior management and key technical personnel. The air carrier should also be prepared to meet with staff members of the Fitness Division to discuss its current and future operations.

ACCORDINGLY,

1. We direct all interested persons to show cause why we should not issue orders making final our tentative findings and conclusions stated above and award certificates to Prescott Support Company, Inc., authorizing it to engage in interstate and foreign charter air transportation of property and mail, subject to the attached specimen Terms, Conditions, and Limitations.
2. We direct any interested persons having objections to the issuance of orders making final any of the proposed findings, conclusions, or the certificate awards set forth here to file such objections with the Department of Transportation Dockets, 1200 New Jersey Avenue, S.E., West Building Ground Floor, Rm. W12-140, Washington, D.C. 20590, in Dockets DOT-OST-2008-0187 and DOT-OST-2008-0188 and serve them upon all persons listed in Attachment A no later than 14 days after the service date of this order; answers to objections shall be filed no later than 7 days thereafter.
3. If timely and properly supported objections are filed, we will accord full consideration to the matters or issues raised by the objections before we take further action.

⁷ We also remind PSC about the requirements of section 204.7 of our rules. This section provides, among other things, that (1) the certificate authority granted to a company shall be revoked if the company does not commence actual flying operations under that authority within one year of the date of the Department's determination of its fitness; (2) if the company commences operations for which it was found fit and subsequently ceases such operations, it may not resume certificated operations unless its fitness has been redetermined; and (3) if the company does not resume operations within one year of its cessation, its authority shall be revoked for dormancy.

⁸ These financial statements should include a balance sheet as of the end of the company's first full year of certificated flight operations and a 12-month income statement ending that same date.

4. In the event that no objections are filed, we will consider all further procedural steps to be waived and we will enter orders making final our tentative findings and conclusions.⁹
5. We will serve a copy of this order on the persons listed in Attachment A.
6. We will publish a notice of this order in the Federal Register.

By:

MICHAEL W. REYNOLDS
Acting Assistant Secretary
for Aviation and International Affairs

*An electronic version of this document is available on the World Wide Web at
<http://www.regulations.gov>*

⁹ Since we have provided for the filing of objections to this order, we will not entertain petitions for reconsideration.



SPECIMEN
Terms, Conditions, and Limitations
PRESCOTT SUPPORT COMPANY, INC.

is authorized to engage in interstate charter air transportation of property and mail between any point in any State, territory, or possession of the United States or the District of Columbia, and any other point in any of those entities.

This authority is subject to the following provisions:

(1) The authority to operate under this certificate will not become effective until six (business) days after the Department has received the following documents; provided, however, that the Department may stay the effectiveness of this authority at any time prior to that date:

(a) A copy of the holder's Air Carrier Certificate and Operations Specifications authorizing such operations from the Federal Aviation Administration (FAA).

(b) A certificate of insurance on OST Form 6410 evidencing liability insurance coverage meeting the requirements of 14 CFR 205.5(b) for all of its aircraft.

(c) A statement of any changes the holder has undergone in its ownership, key personnel, operating plans, financial posture, or compliance history, since the date of the Show Cause Order in this case.

(d) A revised list of pre-operating expenses already paid and those remaining to be paid, as well as independent verification that the holder has available to it funds sufficient to cover any remaining pre-operating expenses and to provide a working capital reserve equal to the operating costs that would be incurred in three months of operations.

(2) Pending receipt of effective authority, the holder may not accept payment of any kind (i.e., cash, check, or credit card), or enter into contracts for the operations proposed under this certificate, and any advertisement by the holder must prominently state: "This service is subject to receipt of government operating authority."

(3) The holder shall at all times conduct its operations in accordance with the regulations prescribed by the Department of Transportation for the services authorized by this certificate, and with such other reasonable terms, conditions, and limitations as the Department of Transportation may prescribe in the public interest.

(4) The holder is not authorized to carry passengers (other than cargo attendants accompanying freight shipments).

(5) *The holder's authority under this certificate is effective only to the extent that such operations are also authorized by the Federal Aviation Administration (FAA), and comply with all U.S. Government requirements concerning security, including, but not limited to 49 CFR Part 1544.**

(6) *The holder shall at all times remain a "Citizen of the United States" as required by 49 U.S.C. 40102(a)(15).*

(7) *The holder shall maintain in effect liability insurance coverage as required under 14 CFR Part 205. Failure to maintain such insurance coverage will render a certificate ineffective, and this or other failure to comply with the provisions of Subtitle VII of Title 49 of the United States Code or the Department's regulations shall be sufficient grounds to revoke this certificate.*

(8) *The holder is not authorized to engage in air transportation operations between points within the State of Alaska.*

(9) *Should the holder propose any substantial change in its ownership, management, or operations (as defined in 14 CFR 204.2(1)), it must first comply with the requirements of 14 CFR 204.5.*

(10) *In the event that the holder does not commence actual flying operations under this certificate within one year of the date of the Department's determination of its fitness, its authority shall be revoked for dormancy, unless the holder is conducting operations under another type of certificate authority. Further, in the event that the holder commences operations for which it was found "fit, willing, and able" and subsequently ceases all such operations, its authority under all certificates held shall be suspended under the terms of 14 CFR 204.7 and the holder may neither recommence nor advertise such operations unless its fitness to do so has been redetermined by the Department. Moreover, if the holder does not resume operations within one year of its cessation, its authority shall be revoked for dormancy.*

** To assure compliance with all applicable U.S. Government requirements concerning security, the holder shall, before commencing any new service (including charter flights) to or from a foreign airport, contact its Principal Security Inspector (PSI) to advise the PSI of its plans and to find out whether the Transportation Security Administration has determined that security is adequate to allow such airport(s) to be served.*



SPECIMEN
Terms, Conditions, and Limitations
PRESCOTT SUPPORT COMPANY, INC.

is authorized to engage in foreign charter air transportation of property and mail:

Between any place in the United States and any place outside thereof.

This authority is subject to the following provisions:

(1) The authority to operate under this certificate will not become effective until six (business) days after the Department has received the following documents; provided, however, that the Department may stay the effectiveness of this authority at any time prior to that date:

(a) A copy of the holder's Air Carrier Certificate and Operations Specifications authorizing such operations from the Federal Aviation Administration (FAA).

(b) A certificate of insurance on OST Form 6410 evidencing liability insurance coverage meeting the requirements of 14 CFR 205.5(b) for all of its aircraft.

(c) A statement of any changes the holder has undergone in its ownership, key personnel, operating plans, financial posture, or compliance history, since the date of the Show Cause Order in this case.

(d) A revised list of pre-operating expenses already paid and those remaining to be paid, as well as independent verification that the holder has available to it funds sufficient to cover any remaining pre-operating expenses and to provide a working capital reserve equal to the operating costs that would be incurred in three months of operations.

(2) Pending receipt of effective authority, the holder may not accept payment of any kind (i.e., cash, check, or credit card), or enter into contracts for the operations proposed under this certificate, and any advertisement by the holder must prominently state: "This service is subject to receipt of government operating authority."

(3) The holder shall at all times conduct its operations in accordance with the regulations prescribed by the Department of Transportation for the services authorized by this certificate, and with such other reasonable terms, conditions, and limitations as the Department of Transportation may prescribe in the public interest.

(4) The holder is not authorized to carry passengers (other than cargo attendants accompanying freight shipments).

(5) *The holder shall at all times conduct its operations in accordance with all treaties and agreements between the United States and other countries, and the exercise of the privileges granted by this certificate is subject to compliance with such treaties and agreements and with any orders of the Department of Transportation issued under them or for the purpose of requiring compliance with them.*

(6) *The exercise of the authority granted here is subject to the holder's first obtaining from the appropriate foreign governments such operating rights as may be necessary.*

(7) *The holder's authority under this certificate is effective only to the extent that such operations are also authorized by the Federal Aviation Administration (FAA), and comply with all U.S. Government requirements concerning security, including, but not limited to 49 CFR Part 1544.**

(8) *The holder shall at all times remain a "Citizen of the United States" as required by 49 U.S.C. 40102(a)(15).*

(9) *The holder shall maintain in effect liability insurance coverage as required under 14 CFR Part 205. Failure to maintain such insurance coverage will render a certificate ineffective, and this or other failure to comply with the provisions of Subtitle VII of Title 49 of the United States Code or the Department's regulations shall be sufficient grounds to revoke this certificate.*

(10) *Should the holder propose any substantial change in its ownership, management, or operations (as defined in 14 CFR 204.2(1)), it must first comply with the requirements of 14 CFR 204.5.*

(11) *In the event that the holder does not commence actual flying operations under this certificate within one year of the date of the Department's determination of its fitness, its authority shall be revoked for dormancy, unless the holder is conducting operations under another type of certificate authority. Further, in the event that the holder commences operations for which it was found "fit, willing, and able" and subsequently ceases all such operations, its authority under all certificates held shall be suspended under the terms of 14 CFR 204.7 and the holder may neither recommence nor advertise such operations unless its fitness to do so has*

** To assure compliance with all applicable U.S. Government requirements concerning security, the holder shall, before commencing any new service (including charter flights) to or from a foreign airport, contact its Principal Security Inspector (PSI) to advise the PSI of its plans and to find out whether the Transportation Security Administration has determined that security is adequate to allow such airport(s) to be served.*

been redetermined by the Department. Moreover, if the holder does not resume operations within one year of its cessation, its authority shall be revoked for dormancy.

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