

Electronic Filing of Form 175 and Overview of Auction and DE Rules

AWS-1 and Broadband PCS Auction

(Auction 78)

Lisa Stover, Auctions Marketing Specialist, ASAD Stephen Johnson, Attorney, ASAD



Disclaimer

Nothing herein is intended to supersede any provision of the Commission's rules or public notices. These slides should not be used as a substitute for a prospective applicant's review of the Commission's relevant orders, rules, and public notices. Prospective applicants must familiarize themselves thoroughly and remain current with the Commission's rules relating to the Advanced Wireless and Broadband Personal Communications Services, rules relating to application and auction procedures, and the procedures, terms and conditions contained in the Auction 78 public notices.





Questions?

If you are viewing this presentation live over the web, please feel free to email your questions to...

auction78@fcc.gov





Integrated Spectrum Auction System

Applicant/Bidder Access FRN Password LOG IN Public Access Auction Applications Auction Information GO (select an auction) ▶ ULS License Search ▶ FCC Auctions Home

Log In Information

The Applicant/Bidder Access section is password protected. Please type your FCC Registration Number (FRN) and its associated password to access the Auction Application or Bidding system. An FRN/password is not required for the Public Access section of the system.

- Forgot your Password?
 FRN hotline information
- Need an FRN?
 Register with the FCC
- Not sure if you have an FRN?

 Search the FCC Registration System

 database to determine if you have been assigned an FRN.



Integrated Spectrum Auction System



GO

Public Access

- Auction Applications
- Auction Information (select an auction)
- ▶ <u>ULS License Search</u>
- ▶ FCC Auctions Home

Log In Information

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- Forgot your Password?
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 Search the FCC Registration System

 database to determine if you have been assigned an FRN.

My Auctions Page

Logged In: FRN 0010845105 (Log Out)

GO

Pre-Auction

- File new or modify an existing auction application Enter Auction Application Manager
- How do I request a refund of my upfront payment? See Wire Transfer for Refund Purposes

Online Bidding

There are no LIVE auctions available.

There are no MOCK auctions available.

Post-Auction

- How do I make my downpayment or final payment? Making a downpayment or final payment See FCC Form 159
- Where do I file my license application? See Universal Licensing System
- How do I request a refund of my upfront payment? See Wire Transfer for Refund Purposes

Public Access

- Auction Applications
- Auction Information (select an auction)
- ULS License Search
- FCC Auctions Home



FCC > Wireless > Auctions > Auction Application

Logged In: FRN 0010845105 (Log Out)



Auction Application Manager

Create or Review Auction Applications

Approved by OMB 3060-0600 (Notice to Applicants)

Create New Application

Auction 101 Sample SMR Auction -- Initial Filing Window closes 3/16/2007, 6:00 PM

Review or Modify Existing Applications

Auction	Applicant Name	Application Status	Last Modified	Last Submitted	
65 Initial Filing Windo	Bidder One Corporation ow Closed 4/3/2006, 6:00 PM	Submitted	3/8/2006, 3:40 PM	3/7/2006, 4:00 PM	\$ 2 2
185 Initial Filing Windo	Bidder One Corporation ow Closed 4/10/2006, 4:31 PM	Not Submitted	4/3/2006, 11:46 AM		
\$ - Upfront Payı	ment Calculator and Form 159	🔽 - Refund Form 🛮 🕜 - E	dit Application 🏻 📳 - Withdraw App	lication 🍳 - Search	

Documentation

Auction:

3 - PCS Narrowband Region





FCC > Wireless > Auctions > Auction Application

Logged In: FRN 0010845105 (Log Out)

Auction 101

Sample SMR Auction

Applicant:

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

Summary

📤 Attachments 🕒 Print Preview 🛭 Help 🗵 Quit



Applicant Information

Applicant information identifies the applicant, its responsible parties (where applicable), its auction contact party, and its bidding eligibility. The contact person will receive all auction correspondence. The applicant name will be used as the bidder name during the auction.

Applicant Legal Classification

Гο	determine the	applicant informat	ion required h	vithe ECC please	provide vour	Legal Classification.
ıv	uecemme me	applicant initionina	JOH FEGUNEU D	v ule ruu blease	DIOVIGE VOGE	Leuai Ciassilicacioni.

- Consortium
- Corporation
- General Partnership
- Government Entity
- Individual
- Limited Liability Company
- Limited Liability Partnership
- Limited Partnership
- Trust
- Unincorporated Association

_		L
	Other:	
	Outer.	- 1

Description of Legal Classification

Δn	nlicant	Status	(not	ren	mired'
np	pncanc	Julia	(moc		jun cu,

What is your status? Check all that apply.

- Minority Owned Business
- Rural Telephone Company
- Woman Owned Business

Steps

Applicant Information

License Selection

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Certify & Submit

Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

What if my Legal

Classification is not listed?

Why is the FCC requesting an Applicant Status?

What does the Quit link do?

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Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

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Applicant Information

Applicant information identifies the applicant, its responsible parties (where applicable), its auction contact party, and its bidding eligibility. The contact person will receive all auction correspondence. The applicant name will be used as the bidder name during the auction.

Applicant Legal Classification

Г	n datarmina	a tha ai	nnlicant i	oformation	roquired k	v the ECC	nlosco	nrovide vour	Lonal (laccification	

- Consortium
- Corporation
- General Partnership
- Government Entity
- Individual
- Limited Liability Company
- Limited Liability Partnership
- Limited Partnership
- Trust
- Unincorporated Association
- Other:

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tion	·cication
Partnership	A legal Classification
nent Entity	A legal Classified must be selected
al	must be selected in order to proceed
Liability Company	
_iability Partnership	
Partnership	
orated Association	
Description of Legal Classific	ation

Applicant Status (not required)

What is your status? Check all that apply.

- Minority Owned Business
- Rural Telephone Company
- Woman Owned Business



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What if my Legal

Applicant Status?

Classification is not listed? Why is the FCC requesting an

What does the Quit link do?



FCC > Wireless > Auctions > Auction Application

Logged In: FRN 0010845105 (Log Out)

Auction 101

Sample SMR Auction

Applicant:

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

Summary

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Applicant Information

Applicant Name

Please provide the following information. The name entered will be used as the Bidder Name during the auction.

Entity Name:

Bidder One Corporation

Jurisdiction of Formation:

District of Columbia

Applicant Address (PO Boxes are not permitted)

Click here if address is located outside the US.

Address Line 1:

123 Auction Street

Address Line 2:

City:

Washington

State:

District of Columbia



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What is a Jurisdiction of Formation?

Why are P.O. boxes not permitted?

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Bidder

Logged In: FRN 0010845105 (Log Out)

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Sample SMR Auction

Applicant: Bidder One Corporation

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

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Applicant Information

Responsible Party - Corporation

Identify an individual as the responsible party for the Corporation

Name: Imma

Officer or Director

Title: President

Area

First

Telephone Number: 418 - 9999 202 0660

Email Address: Imma.Bidder@fcc.gov

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Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

Do I have to fill in the Telephone Number and Email Address for our responsible party?

Who is considered to be a Responsible Party?



FCC > Wireless > Auctions > Auction Application

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Auction 101

Sample SMR Auction

Applicant: Bidder One Corporation

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

	Summ	ary
--	------	-----







Applicant Information

Contact Information					
Identify an official cont	act to receive all auctio	on corres	spondence.		
Name:	First Imma	MI	Last Bidder	Suffix	
Telephone Number:	Area 202 418 - 9999	Ext. 0660			
Fax Number:	Area 202 418 - 8888				
Email Address:	lmma.Bidder@fcc.gov				
Click here if address COPY APPLICANT ADDRESS	is located outside the l	US. (Copy Address as App	MCG.	
Address Line 1:					
Address Line 2:					
City:					
State:			~		
Zip Code:					
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▶ Applicant Information

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Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

What is the contact information used for?

Our official contact would rather communicate via phone or fax. Do I need to enter their email address?

Why are P.O. boxes not permitted?



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Sample SMR Auction

Applicant: Bidder One Corporation

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

Summary

Suffix









Applicant Information

Contact Information

Identify an official contact to receive all auction correspondence.

Telephone Number:

Fax Number:

Email Address:

Name:

Area 202 418 - 9999

0660

Last

Bidder

Area 202

First

Imma

418 - 8888

lmma.Bidder@fcc.gov

Contact Address (PO Boxes are not permitted)

Click here if address is located outside the US.

COPY APPLICANT ADDRESS

Address Line 1:

123 Auction Street

Address Line 2:

City:

Washington

State:

District of Columbia

Zip Code:

20554





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When is my data saved during the data entry process?

What is the difference between a warning and an error?

What is the contact information used for?

Our official contact would rather communicate via phone or fax. Do I need to enter their email address?

Why are P.O. boxes not permitted?



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Sample SMR Auction

Applicant: Bidder One Corporation

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

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Applicant Information

Authorized Bidders

Identify at least one but no more than three authorized bidders. Only individuals listed here will be authorized to bid on behalf of the applicant. The authorized bidders may be changed during the auction.

	First	MI	Last	Suffix
1.	lmma		Bidder	
2.	Shesa		Bidder	
3.	Hesa		Bidder	

Telephonic or Electronic Bidding Options

Qualified bidders are permitted to bid electronically or telephonically. Select the option you anticipate using as your primary means of placing bids in the auction.

Electronic

Telephonic

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Sample SMR Auction

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Status: Not Submitted

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Applicant Information

Bidding Credit Eligibility

This is the sole opportunity to apply for a bidding credit. There will be no opportunity to apply or modify this information after the Initial Filing Window closes.

Applicant does not seek a bidding credit

Applicant hereby applies for a bidding credit and states that aggregate average gross revenues attributable to the applicant:

- Do not exceed \$15,000,000
- Exceed \$15,000,000 and do not exceed \$40,000,000

Closed Bidding Entrepreneur Eligibility

This is the sole opportunity to apply for closed bidding entrepreneur eligibility. There will be no opportunity to apply or modify this information after the Initial Filing Window closes.

- Not applying to participate in closed bidding entrepreneur eligibility
- Applying to participate in closed bidding entrepreneur eligibility

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Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Applicant: Bidder One Corporation

Applicant Information

License Selection Agreements Ownership Summary Certify & Submit

Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

What is a bidding credit?

What are aggregate average gross revenues?

What makes aggregate average gross revenues attributable to the applicant?

How are addredate average gross revenues calculated?

Will the aggregate average gross revenues equal the average of the gross revenues aggregated by

When do I apply for the tribal land bidding credit?

What does it mean that bidding on certain C Block licenses is "closed?"

Which applicants may bid on the C Block licenses that are "closed?"

How do you define "total assets?"

How do you define gross revenues?

What must an applicant show to support a claim of eligibility for closed bidding?

Does the term "aggregate" gross revenue of an applicant bidding for a closed license differ from "aggregate" gross revenues in determining eligibility for bidding credits on "open" licenses?

Are small business bidding credits available for C Block licenses won in "closed" biddina?

Are small business bidding credits available for licenses in the A, D, or E Blocks?



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Sample SMR Auction

Applicant: Bidder One Corporation

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Summary

Items Per Page: <u>10</u> | 20 | <u>50</u> | <u>100</u>

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Print Preview 2 Help

🗷 Quit

License Selection

Select Licenses View Saved Items - 📝

O Saved Licenses out of 12 Available Licenses



			Page: 1	
	☐ Select	License Name	License Description	Bidding Units
1		SV-BEA001-C	Area 1	500
2		SV-BEA001-D	Area 1	1,000
3		SV-BEA002-C	Area 2	500
4		SV-BEA002-D	Area 2	1,000
5		SV-CMA001-E	Statewide 1	100
6		SV-CMA001-F	Statewide 1	50
7		SV-CMA002-E	Statewide 2	300
8		SV-CMA002-F	Statewide 2	600
9		SV-REAG001-A	Region 1	1,000
10		SV-REAG001-B	Region 1	2,000
11		SV-REAG002-A	Region 2	1,000
12		SV-REAG002-B	Region 2	2,000
			Page: 1	

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What is the difference between a warning and an error?

Can I later change my license selections?

Do I have to bid on all the licenses I select?







FCC > Wireless > Auctions > Auction Application

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Sample SMR Auction

Applicant: Bidder One Corporation

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

Summary

Items Per Page: <u>10</u> | **20** | <u>50</u> | <u>100</u>

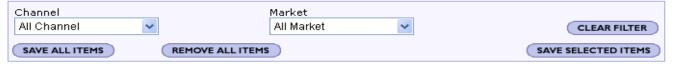
Attachments

Print Preview 2 Help

🗷 Quit

License Selection





			Page: 1	
	☐ Select	License Name	License Description	Bidding Units
1	✓ saved	SV-BEA001-C	Area 1	500
2	✓ saved	SV-BEA001-D	Area 1	1,000
3	✓ saved	SV-BEA002-C	Area 2	500
4	✓ saved	SV-BEA002-D	Area 2	1,000
5	✓ saved	SV-CMA001-E	Statewide 1	100
6	✓ saved	SV-CMA001-F	Statewide 1	50
7	✓ saved	SV-CMA002-E	Statewide 2	300
8	✓ saved	SV-CMA002-F	Statewide 2	600
9	✓ saved	SV-REAG001-A	Region 1	1,000
10	✓ saved	SV-REAG001-B	Region 1	2,000
11	✓ saved	SV-REAG002-A	Region 2	1,000
12	✓ saved	SV-REAG002-B	Region 2	2,000
			Page: 1	

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Do I have to bid on all the licenses I select?

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Sample SMR Auction

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Change Item Selection - 📝

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License Selection

View/Edit Saved Licenses

12 Saved Licenses out of 12 Available Licenses

Channel Market All Channel All Market CLEAR FILTER

Items Per Page: 10 | 20 | 50 | 100

Page: 1

	License Name	License Description	Bidding Units
1	SV-BEA001-C	Area 1	500
2	SV-BEA001-D	Area 1	1,000
3	SV-BEA002-C	Area 2	500
4	SV-BEA002-D	Area 2	1,000
5	SV-CMA001-E	Statewide 1	100
6	SV-CMA001-F	Statewide 1	50
7	SV-CMA002-E	Statewide 2	300
8	SV-CMA002-F	Statewide 2	600
9	SV-REAG001-A	Region 1	1,000
10	SV-REAG001-B	Region 1	2,000
11	SV-REAG002-A	Region 2	1,000
12	SV-REAG002-B	Region 2	2,000
		D 4	

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Sample SMR Auction

Applicant: Bidder One Corporation

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Agreements

Agreements with Other Parties and Joint Bidding Arrangements

Has the applicant entered into partnerships, joint ventures, consortia or other agreements, arrangements or understandings of any kind relating to the licenses being auctioned, including any such agreements relating to the post-auction market structure?

O Yes O No

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Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

What is the specific rule governing agreements, arrangements, and the like?



- Anti-Collusion Rule: Unless an agreement is properly disclosed, communications concerning bids, bidding strategies, or settlement agreements (including post-auction market structures) are prohibited among applicants that bid for licenses in any of the same or overlapping geographic areas (Section 1.2105(c)).
- Information on applicants' license selections, upfront payment amounts, and bidding eligibility will not be made public at least until after the close of bidding. The Commission will inform applicants by letter of the other applicants that have applied for licenses in any of the same geographic areas.
- To be in compliance, applicants must certify under penalty of perjury that they have not entered and will not enter into any explicit or implicit agreements, arrangements or understandings of any kind with any parties other than those they have identified regarding the amount of their bids, bidding strategies or particular licenses on which they will or will not bid.



- Prohibition period starts with the short-form deadline June 19, 2008, at 6:00 p.m. ET and continues until the down payment deadline, which will be specified in a future public notice. (Section 1.2105(c)(1)).
- The rule prohibits an auction applicant from discussing a competing applicant's bids or bidding strategies even if the first applicant does not discuss its own bids or bidding strategies.
- Any applicant that submits a short-form application to participate in Auction 78 remains subject to the Commission's anti-collusion rule until the down payment deadline, regardless of whether an upfront payment is made, the applicant becomes a qualified bidder, or it places a bid.



- The rule requires auction applicants that make or receive a prohibited communication of bids or bidding strategies to report the communication immediately to the Commission in writing. (Section 1.2105(c)(6)).
- Parties reporting prohibited communications must be careful that such reports do not themselves violate the anti-collusion rule. For example, a report of a prohibited communication could violate the rule by communicating prohibited information to other applicants through the use of FCC filing procedures that would allow public inspection of the report.
- A party seeking to report prohibited communications should consider submitting its report with a request that it be withheld from public inspection.
- Such parties are encouraged to consult with Auction staff if they have any questions about submitting a report. (Auction 78 Procedures Public Notice, paragraphs 38-41 (DA 08-1090)).



- Parties submitting application-related information should ensure that their submissions do not contain information that would violate the anti-collusion rule or the limited information procedures adopted for Auction 78. Parties seeking to submit any information that might reflect non-public information, e.g., license selection or upfront payment amount, should consider including a request that the information be withheld from public inspection until the end of the anti-collusion period.
- Parties are encouraged to consult with Auction staff if they have any questions about whether a filing might contain information that should be withheld from public inspection.



Agreements with Other Parties and Joint Bidding Arrangements

- Applicants must identify all parties with whom they have entered into agreements, arrangements, or understandings of any kind relating to the licenses being auctioned, including post-auction market structure. (Section 1.2105(a)(2)(viii)). Any applicant that submits an auction application to participate in Auction 78 regardless of whether an upfront payment is submitted or a bid is made, remains subject to the Commission's anti-collusion rule until the post-auction down payment deadline.
- For the anti-collusion rule, "applicant" includes controlling interests, ownership interests, and officers and directors. (Section 1.2105(c)(7)(i)).



FCC > Wireless > Auctions > Auction Application

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Auction 101

Sample SMR Auction

Applicant: Bidder One Corporation

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Status: Not Submitted

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Agreements

Agreements with Other Parties and Joint Bidding Arrangements

Has the applicant entered into partnerships, joint ventures, consortia or other agreements, arrangements or understandings of any kind relating to the licenses being auctioned, including any such agreements relating to the post-auction market structure?

Yes No

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What is the difference between a warning and an error?

What is the specific rule governing agreements, arrangements, and the like?



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Sample SMR Auction

Applicant: Bidder One Corporation

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

Summary

FINISH THIS AGREEMENT

ADD MORE PARTIES

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Agreements

Create New Agreement

Identify all parties with whom Applicant has entered into partnerships, joint ventures, consortia or other agreements, arrangements or understandings of any kind relating to the licenses being auctioned, including any such agreements relating to the post-auction market structure.

Provide an identifiying name for your agreement.

Agreement Identifier:	Agreement 1

Add Parties

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Add up to three parties below. You may add more parties later.

Party	to Agreement				
•	Entity Name:	Party 1 Company	,		
	FRN:	000123456	(Search FRN)		
0	Individual Name:	First	MI Last	Suffix	
	FRN:		(Search FRN)		RESET
Party	to Agreement			<u> </u>	
•	Entity Name:	Party 2 Company			
	FRN:		(Search FRN)		
0	Individual Name:	First	MI Last	Suffix	
	FRN:		(Search FRN)		RESET
Party	to Agreement				
	Entity Name:				
	FRN:		(Search FRN)		
0	Individual Name:	First	MI Last	Suffix	
	FRN:		(Search FRN)		RESET

Steps

Applicant Information License Selection

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Certify & Submit

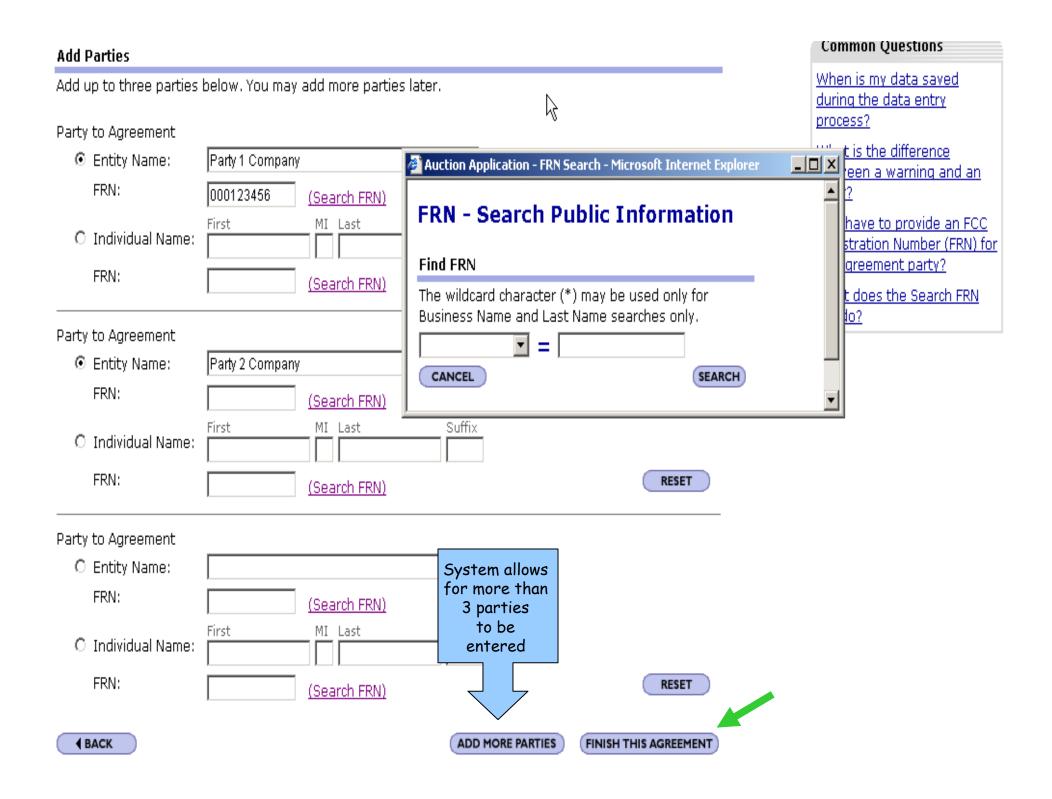
Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

Do I have to provide an FCC Registration Number (FRN) for my agreement party?

What does the Search FRN link do?





FCC > Wireless > Auctions > Auction Application

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Sample SMR Auction

Applicant: Bidder One Corporation

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Status: Not Submitted

Summary

▶ Delete This Agreement

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Agreements

View/Edit Agreements

Agreements with Other Parties and Joint Bidding Arrangements

Edit - 📝

Agreements? Yes

You currently have 1 agreement

Agreement: Agreement 1

2 parties in this agreement

Party: Party 1 Company

Party: Party 2 Company

▶ Add Party To This Agreement

Applicant Information

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Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

CREATE NEW AGREEMENT

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Remove - 🟢



Ownership Disclosure

- Rules listing the required information for short-form ownership disclosure are contained in Sections 1.2105 and 1.2112 of the Commission's rules, as well as Section 1.2110, where applicable.
- Attachment C of the Auction 78 Procedures
 Public Notice (DA 08-1090) provides detailed
 guidelines on meeting the ownership
 disclosure requirements.



- Under Section 1.2105(a)(2)(ii), each applicant is required to disclose all real parties in interest.
- Real party in interest is defined in Section 1.2112.
- Disclose all parties having a 10 percent or greater interest in the applicant. Section 1.2112(a).
- Disclose all FCC-regulated entities of which the applicant or its owners own 10 percent or more. Include a description of each entity's principal business and its relationship to the applicant. Section 1.2112(a)(7).



Form 175 Ownership Disclosures: DIHs, FRBs and Affiliates

- In the FCC Form 175 application, ownership information is divided into three groups:
 - Disclosable Interest Holders of the Applicant (DIHs)
 - FCC-Regulated Businesses of the Applicant (FRBs)
 - Affiliates of the Applicant



What is a DIH?

- A DIH is a "disclosable interest holder." A DIH is a party that is required to be disclosed pursuant to Section 1.2112 of the FCC's rules.
- DIHs include:
 - (1) the real party or parties in interest in the applicant or application;
 - (2) parties holding 10% or more of stock;
 - (3) limited partners whose interest is 10% or greater;
 - (4) general partners;
 - (5) members of a limited liability company whose interest is 10% or greater; and
 - (6) parties holding indirect ownership interests in the applicant equaling 10% or greater.
 - 47 C.F.R. Section 1.2112(a).



What is an FRB?

- An FRB is an FCC-regulated business entity.
- You must provide information on all FCCregulated entities of which the applicant or its owners own 10 percent or more. You must also include information which describes each FRB's principal business and its relationship to the applicant. Section 1.2112(a)(7).



- Bidding credits and entrepreneur status are available to qualifying entities.
- The next few slides will cover the disclosures and information that must be submitted by applicants seeking to claim eligibility for bidding credits or entrepreneur status in Auction 78.



- Bidding credits are available to "small" and "very small businesses."
- Small Business Attributed average gross revenues that exceed \$15 million and do not exceed \$40 million for the preceding three years, receives a 15 percent bidding credit.
- Very Small Business Attributed average gross revenues that do not exceed \$15 million for the preceding three years, receives a 25 percent bidding credit.



Closed Bidding for Entrepreneurs: Who is Eligible?

- 9 broadband PCS C Block licenses in Auction 78 are "closed," only entrepreneurs may bid on them.
- To qualify for entrepreneur status, an applicant and its attributable interests must have:
 - combined total assets of less than \$500 million;
 and
 - have had combined gross revenues of less than \$125 million in each of the last two years.



Bidding Credits and Entrepreneur Status: How to Establish Eligibility

- To determine eligibility, applicants must figure out their attributable gross revenues. Note that entrepreneurs must also determine their attributable total assets.
- For this purpose, gross revenues (and total assets) of related parties are attributed to the applicant. These parties include:
 - the <u>applicant</u>,
 - its affiliates,
 - its <u>controlling interests</u>,
 - <u>affiliates of its controlling interests</u>, and
 - entities with which it has an <u>attributable material relationship.</u>
- An applicant with an "<u>impermissible material relationship</u>" is <u>ineligible</u> for the award of designated entity benefits.
- For bidding credit eligibility, average gross revenues for the last 3 years are considered.
- For entrepreneur eligibility, gross revenues for the last 2 years are considered.



Bidding Credit and Entrepreneur Eligibility: Disclosure Requirements

- Affiliate, attribution, controlling interests, attributable material relationship, and impermissible material relationship are terms described in Section 1.2110.
- Applicants seeking to claim either bidding credits or entrepreneur status must provide information on ownership and agreements, as described in Sections 1.2112(a) and (b) of the FCC's rules.



- An affiliate, for purposes of Form 175, is any individual or entity that:
 - 1) directly or indirectly controls or has the power to control the applicant; or
 - 2) is directly or indirectly controlled by the applicant; or
 - 3) is directly or indirectly controlled by a third party that also controls or has the power to control the applicant.
- Control may be established through facts, including the existence of an identity of interest or common management with the applicant.
- Sections 1.2110(c)(5)(i) and (ii) of the FCC's rules provide further details concerning affiliates.



- An "attributable material relationship" occurs when an applicant has one or more agreements with any individual entity, including entities and individuals attributable to that entity, for the lease (under either spectrum manager or de facto transfer leasing arrangements) or resale (including under a wholesale arrangement) of, on a cumulative basis, more than 25% of the spectrum capacity of any individual license that is held by the applicant or licensee.
- Applicants seeking eligibility for designated entity benefits must disclose all parties with which the applicant has an attributable material relationship, and provide, separately and in the aggregate, the gross revenues of entities with which the applicant has an attributable material relationship. 47 C.F.R. Section 1.2110(b)(3)(iv)(B).





- Impermissible material relationships occur when an applicant has agreements with one or more other entities for the lease (under either spectrum manager or de facto transfer leasing arrangements) or resale (including under a wholesale arrangement) of, on a cumulative basis, more than 50% of its spectrum capacity of any individual license.
- Such applicants are <u>ineligible</u> for the award of designated entity benefits.





Bidding Credits and Entrepreneur Status: Very Small/Small Business or Entrepreneur Consortium

- Small business or entrepreneur entities may form a consortium to participate in bidding. The gross revenues (and total assets) of the consortium members are not aggregated.
- Each consortium member must be a separate, distinct and independent legal entity.
- The consortium may file one short-form application. The consortium should obtain a separate FRN number.
- Note that, if the consortium is a winning bidder, the individual members of the consortium, or a new legal entity comprising two or more members of the consortium, will need to file separate long-form applications. 47 C.F.R. § 1.2107(g).

Foreign Ownership

- Section 310 of the Communications Act governs ownership of licenses by foreign interests or entities.
- Section 310(a) prohibits grant of an FCC license to any foreign government or one of its representatives.
- Section 310(b) restricts ownership of licenses by:
 - •(1) Any alien or the representative of any alien;
 - •(2) Any corporation organized under the laws of any foreign government;
 - •(3) Any corporation of which more than one-fifth of the capital stock is owned of record or voted by aliens or their representatives or by a foreign government or representative thereof or by any corporation organized under the laws of a foreign country; and
 - •(4) Any corporation directly or indirectly controlled by any other corporation of which more than one-fourth of the capital stock is owned of record or voted by aliens, their representatives, or by a foreign government or representative thereof, or by any corporation organized under the laws of a foreign country, if the Commission finds that the public interest will be served by the refusal or revocation of such licenses.
- All applicants must certify on their short-form applications that they are in compliance with Section 310's foreign ownership provisions. See Sections 1.2105(a)(2)(v) and (vi) of the FCC's rules.
- Potential applicants are encouraged to contact FCC staff before filing their short-form applications if they have any questions about complying with these requirements.

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Auction 101

Sample SMR Auction

Summary

📤 Attachments 🕒 Print Preview 🔹 Help 🗵 Quit

Status: Not Submitted

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Applicant: Bidder One Corporation

Ownership View/Edit Ownership Disclosure Information

Revenue and Asset Summary

Aggregate Average Gross Revenue:

Addredate Gross Revenue:

Most recent reportable year:

One year prior to most recent reportable year:

Two years prior to most recent reportable year:

Aggregate Total Assets:

Revenue Information for Applicant

Add Disclosable Interest Holder to Applicant

Add FCC Regulated Business to Applicant

Add Affiliate to Applicant

▶ View all FCC Regulated Businesses of the Applicant ▶ View all Affiliates of the Applicant

Disclosable Interest Holders of this Applicant

You currently have specified 1 Disclosable Interest Holder(s)

Disclosable Interest Holder: <u>DIH Company</u>

You currently have specified 0 FCC Regulated Businesses held by this Disclosable Interest Holder

▶ Add Revenue Information to this Disclosable Interest Holder

▶ Add FCC Regulated Business to this Disclosable Interest Holder

DELETE SELECTED

▶ Top

FCC Regulated Businesses of this Applicant

You currently have specified 1 FCC Regulated Business(es)

☐ FCC Regulated Business: FRB Corporation

DELETE SELECTED

► Top

Affiliates of this Applicant

You currently have specified 1 Affiliate(s)

- Affiliate: Affiliate One LLC
- ▶ Add Revenue Information to this Affiliate

DELETE SELECTED

▶ Top

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Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

How are aggregate average gross revenues calculated?

Will the aggregate average gross revenues equal the average of the gross revenues aggregated by year?

Which applicants may bid on the C Block licenses that are "closed?"

How do you define "total assets?"

How do you define gross revenues?

What must an applicant show to support a claim of eligibility for closed bidding?

Does the term "aggregate" gross revenue of an applicant bidding for a closed license differ from "aggregate" gross revenues in determining eligibility for bidding credits on "open" licenses?



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Auction 101

Sample SMR Auction

Applicant: Bidder One Corporation
Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

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Edit - 📝

Year End Date:

Year End Date:

Year End Date:

🖴 <u>Print Preview</u>

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Ownership

FRN:

Detail for Disclosable Interest Holder: DIH Company

You have submitted the following information for Disclosable Interest Holder DIH Company. Please review and edit the information as necessary. Once you are confident that the information is correct, click the View/Edit button below to view a complete summary of your Ownership Disclosure information.

Disclosable Interest Holder Name and Type

Disclosable Interest Holder Name: DIH Company
Disclosable Interest Holder Type: Entity
Entity Type: Corporation

Disclosable Interest Holder Address

Address Line 1: 321 Somewhere Ave Address Line 2:

 City:
 Washington

 State:
 DC

 Zip Code:
 20554

Type of Interest in Applicant

Direct Ownership Interest in Applicant

Type of Ownership Interest in Applicant

Common Stock: Voting

Disclosable Interest Held in Applicant

Percent of Interest Held in Applicant: 30.00 %

Jurisdiction of Formation: District of Columbia

Gross Revenues Attributable to Applicant

Gross Revenues for Most Recent Reportable Year: One Year Prior to Most Recent Reportable Year: Two Years Prior to Most Recent Reportable Year:

Average Gross Revenues:

Total assets as of application filing deadline:

Financial Statements

Option not selected.

VIEW/EDIT OWNERSHIP INFORMATION



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Sample SMR Auction

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Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Applicant: Bidder One Corporation

Ownership View/Edit Ownership Disclosure Information

Revenue and Asset Summary

Aggregate Average Gross Revenue:

Addredate Gross Revenue:

Most recent reportable year:

One year prior to most recent reportable year:

Two years prior to most recent reportable year:

Aggregate Total Assets:

Revenue Information for Applicant



Add Disclosable Interest Holder to Applicant

Add FCC Regulated Business to Applicant

Add Affiliate to Applicant

▶ View all FCC Regulated Businesses of the Applicant ▶ View all Affiliates of the Applicant

Disclosable Interest Holders of this Applicant

You currently have specified 1 Disclosable Interest Holder(s)

■ Disclosable Interest Holder: <u>DIH Company</u>

You currently have specified 0 FCC Regulated Businesses held by this Disclosable Interest Holder

▶ Add Revenue Information to this Disclosable Interest Holder

▶ Add FCC Regulated Business to this Disclosable Interest Holder

DELETE SELECTED

▶ Top

FCC Regulated Businesses of this Applicant

You currently have specified 1 FCC Regulated Business(es)

☐ FCC Regulated Business: FRB Corporation

DELETE SELECTED

► Top

Affiliates of this Applicant

You currently have specified 1 Affiliate(s)

- Affiliate: Affiliate One LLC
- ▶ Add Revenue Information to this Affiliate

DELETE SELECTED

► Top

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Common Questions

When is my data saved during the data entry process?

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Will the aggregate average gross revenues equal the average of the gross revenues aggregated by year?

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How do you define gross revenues?

What must an applicant show to support a claim of eligibility for closed bidding?

Does the term "aggregate" gross revenue of an applicant bidding for a closed license differ from "aggregate" gross revenues in determining eligibility for bidding credits on "open" licenses?



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Status: Not Submitted

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Ownership

Edit Revenue Information for Applicant

Gross Revenue Disclosure

Declare the three previous years' gross revenues below.

If the Applicant was in existence and had no gross revenues for a year of the relevant period, disclose Gross Revenues as \$0 for that year. If the Applicant was not in existence for a year of the relevant period. disclose gross revenues for the Applicant's predecessor-in-interest, if any.

If Applicant is not disclosing gross revenues for the most recent three years, and/or is disclosing gross revenues for fewer than three years, please explain why in an attachment.

Most Recent Reportable Year

The Applicant	and any	predecesso	rs-in-interest	t were	not in	existence	for .	a full	year	of the	releva	int
period.												

Year End Date:	12/31/2005	(Date Format:	MM/DD/YYYY

Gross Revenues: \$ 6000000.00 (Format: 99999.99)

One Year Prior to Most Recent Reportable Year

The Applicant and any predecessors-in-interest were not in existence for a full year of the relevant period.

Year End Date: 12/31/2004 (Date Format: MM/DD/YYYY)

Gross Revenues: \$ 3000000.00 (Format: 99999.99)

Two Years Prior to Most Recent Reportable Year

The Applicant and any predecessors-in-interest were not in existence for a full year of the relevant period.

Year End Date: 12/31/2003 (Date Format: MM/DD/YYYY)

Gross Revenues: \$ 0.00 (Format: 99999.99)

Asset Disclosure

Total assets as of application filing deadline: \$ 8500000.00 (Format: 99999.99)







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Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an

Can I enter a negative number for gross revenues?

Why must the Year End Date for each year be exactly one year (12 months) prior to the Year End Date for the following year?

How do you define "total assets?"

How do you define gross revenues?

What must an applicant show to support a claim of eligibility for closed bidding?

Does the term "aggregate" gross revenue of an applicant bidding for a closed license differ from "aggregate" gross revenues in determining eligibility for bidding credits on "open" licenses?



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Auction 101

Sample SMR Auction

Applicant: Bidder One Corporation

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Status: Not Submitted

Summary









Ownership

Add Revenue Information to Applicant

Financial Statements

You **must** select one.

- Applicant used audited financial statements.
- Applicant used unaudited financial statements prepared in accordance with Generally Accepted Accounting Principles and certified by Applicant's chief financial officer or the equivalent.

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When is my data saved during the data entry process?

What is the difference between a warning and an error?

Why must I choose one of these options?

What if neither choice applies?

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Sample SMR Auction

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Status: Not Submitted

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Applicant: Bidder One Corporation

Ownership View/Edit Ownership Disclosure Information

Revenue and Asset Summary

Aggregate Average Gross Revenue: \$3,000,000.00

Addredate Gross Revenue:

Most recent reportable year: \$6,000,000.00 One year prior to most recent reportable year: \$3,000,000.00

Two years prior to most recent reportable year: \$0.00

Aggregate Total Assets: \$8.500.000.00

Revenue Information for Applicant

Add Disclosable Interest Holder to Applicant

Add FCC Regulated Business to Applicant

Add Affiliate to Applicant

▶ View all FCC Regulated Businesses of the Applicant ▶ View all Affiliates of the Applicant

Disclosable Interest Holders of this Applicant

You currently have specified 1 Disclosable Interest Holder(s)

■ Disclosable Interest Holder: <u>DIH Company</u>

You currently have specified 0 FCC Regulated Businesses held by this Disclosable Interest Holder

▶ Add Revenue Information to this Disclosable Interest Holder

▶ Add FCC Regulated Business to this Disclosable Interest Holder

DELETE SELECTED

▶ Top

FCC Regulated Businesses of this Applicant

You currently have specified 1 FCC Regulated Business(es)

☐ FCC Regulated Business: FRB Corporation

DELETE SELECTED

► Top

Affiliates of this Applicant

You currently have specified 1 Affiliate(s)

- Affiliate: Affiliate One LLC
- ▶ Add Revenue Information to this Affiliate

DELETE SELECTED

► Top

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When is my data saved during the data entry process?

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How do you define gross revenues?

What must an applicant show to support a claim of eligibility for closed bidding?

Does the term "aggregate" gross revenue of an applicant bidding for a closed license differ from "aggregate" gross revenues in determining eligibility for bidding credits on "open" licenses?



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Other Description

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Status: Not Submitted

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Ownership

Add Disclosable Interest Holder

Disclosable Interest Holder Name and Type

Select either Entity OR Individual.

\odot	Entity Name:	DIH Company
	Entity Type:	Corporation

FRN: 123456789 (Search FRN)

Corporation

Suffix First MI Last Individual Name:

FRN: (Search FRN)

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Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

What is a Disclosable Interest Holder (DIH)?

Is the FRN required?



FCC > Wireless > Auctions > Auction Application

Logged In: FRN 0010845105 (Log Out) Applicant: Bidder One Corporation Initial Filing Closes: 03/16/2007 6:00 PM (ET) Auction 101 Status: Not Submitted Sample SMR Auction Print Preview 2 Help X Quit Summary Attachments Link for Address outside the U.S. Ownership Steps Add Disclosable Interest Holder: DIH Company Applicant Information License Selection Disclosable Interest Holder Address Agreements ▶ Click here if address is located outside the US. Ownership Summary 321 Somewhere Ave Address: Certify & Submit **Common Questions** City: Washington When is my data saved State: District of Columbia during the data entry Zip Code: 20554 process? What is the difference between a warning and an error? **◆** BACK CONTINUE



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Auction 101

Sample SMR Auction

Applicant: Bidder One Corporation

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Status: Not Submitted

Summary









Ownership

Add Disclosable Interest Holder: DIH Company

Type of Interest in Applicant

Check all that apply.

- ✓ Direct Ownership Interest in Applicant
- Indirect Ownership Interest in Applicant
- Officer
- Director
- Key Management Personnel
- Management Contract
- Other (specify)





Applicant Information

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Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

How do I describe disclosable interest holders who have an indirect ownership in my company?









FCC > Wireless > Auctions > Auction Application

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Sample SMR Auction

Applicant: Bidder One Corporation

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Status: Not Submitted

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Ownership

Add Disclosable Interest Holder: DIH Company

Type of Ownership Interest in Applicant

Check all that apply.

- ✓ Common Stock (specify)
- General Partnership Shares (specify)
- Limited Partnership Shares (specify)
- Membership Shares
- Option to Acquire Equity
- Proprietorship
- Preferred Stock (specify both voting and convertible types)

- Warrant
- Other (specify)



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When is my data saved during the data entry process?

What is the difference between a warning and an error?



FCC > Wireless > Auctions > Auction Application

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Auction 101

Applicant: Bidder One Corporation

Initial Filing Close: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

Sample SMR Auction









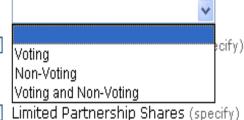
Ownership

Add Disclosable Interest Holder: DIH Company

Type of Ownership Interest in Applicant

Check all that apply.

Common Stock (specify)



- Membership Shares
- Option to Acquire Equity

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What is the difference between a warning and error?



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Sample SMR Auction

Applicant: Bidder One Corporation

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Status: Not Submitted

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Ownership

Add Disclosable Interest Holder: DIH Company

Type of Ownership Interest in Applicant

Check all that apply.

~	Common	Stock	(specify)

	Voting	~
--	--------	---

📗 General Partnership Shares ((specify
--------------------------------	----------

		~
Limited Dartnerchin	Sharoc	(consifw)

Lillinceu	raidi	erariib	Julane	io (ah	echy,
					_

Membership Shares

Option to Acquire Equity

Proprietorship

		Preferred Stock	(specify	hoth v	oting and	Loonvertible	types
--	--	-----------------	----------	--------	-----------	--------------	-------

*
v

Warrant

Other (specify)



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Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?



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Status: Not Submitted

Summary

Link if jurisdiction outside U.S.

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Ownership

Add Disclosable Interest Holder: DIH Company

Percent of Interest Held in Applicant

30 %

Jurisdiction of Formation

Click here if DIH was formed in a jurisdiction outside the US.

Jurisdiction of Formation: District of Columbia

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Certify & Submit

When is my data saved during the data entry process?

What is the difference between a warning and an error?

What is a Jurisdiction of Formation?

What certification should I provide for foreign ownership?

Must an indirect ownership interest percentage be included in "Percent of Interest Held in Applicant"?

What should the "Percent of Interest Held in Applicant" reflect?



FCC > Wireless > Auctions > Auction Application

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Auction 101

Sample SMR Auction

Applicant: Bidder One Corporation

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Applicant Information License Selection

🗷 Quit

Ownership

View/Edit Ownership Disclosure Information

Revenue and Asset Summary

Aggregate Average Gross Revenue: \$4.875.000.00

Aggregate Gross Revenue:

Most recent reportable year: \$8,000,000.00 One year prior to most recent reportable year: \$4,750,000.00 Two years prior to most recent reportable year: \$0.00

Aggregate Total Assets: \$11,500,000.00

- Revenue Information for Applicant
- ▶ Add Disclosable Interest Holder to Applicant
- ▶ Add FCC Regulated Business to Applicant
- Add Affiliate to Applicant

Common Questions

Certify & Submit

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Ownership

Summary

When is my data saved during the data entry process?

What is the difference between a warning and an error?

How are aggregate average gross revenues calculated?

Will the aggregate average gross revenues equal the average of the gross revenues aggregated by year?

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What must an applicant show to support a claim of eligibility for closed bidding?

Does the term "aggregate" gross revenue of an applicant bidding for a closed license differ from "aggregate" gross revenues in determining eliaibility for bidding credits on "open" licenses?

Disclosable Interest Holders of this Applicant

You currently have specified 1 Disclosable Interest Holder(s)

Disclosable Interest Holder: DIH Company

You currently have specified 0 FCC Regulated Businesses held by this Disclosable Interest Holder

▶ Add FCC Regulated Business to this Disclosable Interest Holder

DELETE SELECTED

Top

CONTINUE



FCC > Wireless > Auctions > Auction Application

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Sample SMR Auction

Applicant: Bidder One Corporation

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Status: Not Submitted

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Ownership

Add FCC Regulated Business to Applicant

FCC Regulated Business

Identify entities in which the Applicant has an interest. You may select entities already submitted or begin entering the information below.

FCC Regulated Business	Principal Business	FRN	Percent of Interest Held by Applicant
FRB Corporation	Radio Equipment Manufacturer	234567890	20 %
		(Search FRN)	
			%
		(Search FRN)	
			%
		(Search FRN)	
			%
		(Search FRN)	
			%
		(Search FRN)	
			%
		(Search FRN)	
			%
		(Search FRN)	
			%
		(Search FRN)	

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Certify & Submit

Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

What does the Search FRN link do?

What is an FCC Regulated Business (FRB)?

Is the FRN required?

What does "Percent of Interest Held" refer to?

Must an indirect ownership interest percentage be included in "Percent of Interest Held"?



ADD MORE BUSINESSES

CONTINUE



FCC > Wireless > Auctions > Auction Application

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Auction 101

Sample SMR Auction

Applicant: Bidder One Corporation

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

Attachments

Summary

🖴 Print Preview 🛭 Help 🗵 Quit

Ownership

View/Edit Ownership Disclosure Information

Revenue and Asset Summary

Aggregate Average Gross Revenue: \$4,875,000.00

Aggregate Gross Revenue:

Most recent reportable year: \$8,000,000.00

One year prior to most recent reportable year: \$4,750,000.00

Two years prior to most recent reportable year: \$0.00

Aggregate Total Assets: \$11,500,000.00

- Revenue Information for Applicant
- ▶ Add Disclosable Interest Holder to Applicant
- Add FCC Regulated Business to Applicant
- Add Affiliate to Applicant
- View all FCC Regulated Businesses of the Applicant

Disclosable Interest Holders of this Applicant

You currently have specified 1 Disclosable Interest Holder(s)

Disclosable Interest Holder: DIH Company

You currently have specified 0 FCC Regulated Businesses held by this Disclosable Interest Holder

▶ Add FCC Regulated Business to this Disclosable Interest Holder

DELETE SELECTED

▶ <u>Top</u>

FCC Regulated Businesses of this Applicant

You currently have specified 1 FCC Regulated Business(es)

☐ FCC Regulated Business: FRB Corporation

DELETE SELECTED

▶ Top

CONTINUE

Steps

Applicant Information
License Selection
Agreements

Ownership

Summary Certify & Submit

Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

How are aggregate average gross revenues calculated?

Will the aggregate average gross revenues equal the average of the gross revenues aggregated by year?

Which applicants may bid on the C Block licenses that are "closed?"

<u>How do you define "total assets?"</u>

How do you define gross revenues?

What must an applicant show to support a claim of eligibility for closed bidding?

Does the term "aggregate" gross revenue of an applicant bidding for a closed license differ from "aggregate" gross revenues in determining eligibility for bidding credits on "open" licenses?



FCC > Wireless > Auctions > Auction Application

Logged In: FRN 0010845105 (Log Out)

Auction 101

Applicant: Bidder One Corporation

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

Sample SMR Auction

		Su	m	m	aı	n
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Ownership

Add Affiliate

Affiliate

Identify entities or individuals which are affiliated in any way to the Applicant. You may select entities or individuals already submitted or begin entering the information below.

Suffix

Affiliate Name

Select either Entity OR Individual.

•	Entity Name:	Affiliate LLC

Principal Business: Construction

FRN: 543210000 (Search FRN)

First Last Individual Name:

FRN: (Search FRN)

Steps

Applicant Information

License Selection

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Ownership

Summary

Certify & Submit

Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

What does the Search FRN link do?

What is an Affiliate?

Is the FRN required?

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CONTINUE >



FCC > Wireless > Auctions > Auction Application

Logged In: FRN 0010845105 (Log Out)

Auction 101

Sample SMR Auction

Applicant: Bidder One Corporation Initial Filing Closes: 03/16/2007 6:00 PM (ET) Status: Not Submitted

Steps

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Summary

Print Preview P Help Quit

Ownership

View/Edit Ownership Disclosure Information

Revenue and Asset Summary

Aggregate Average Gross Revenue: \$9.576.666.67

Aggregate Gross Revenue:

Most recent reportable year: \$13,550,000.00 One year prior to most recent reportable year: \$8,750,000.00

Two years prior to most recent reportable year: \$4,555,000.00

Aggregate Total Assets: \$18,800,000.00

Revenue Information for Applicant

Add Disclosable Interest Holder to Applicant

Add FCC Regulated Business to Applicant

Add Affiliate to Applicant

Disclosable Interest Holders of this Applicant

You currently have specified 1 Disclosable Interest Holder(s)

■ Disclosable Interest Holder: <u>DIH Company</u>

You currently have specified 0 FCC Regulated Businesses held by this Disclosable Interest Holder

▶ Add FCC Regulated Business to this Disclosable Interest Holder

DELETE SELECTED

▶ <u>Top</u>

FCC Regulated Businesses of this Applicant

You currently have specified 1 FCC Regulated Business(es)

☐ FCC Regulated Business: FRB Corporation

DELETE SELECTED

▶ Top

Affiliates of this Applicant

You currently have specified 1 Affiliate(s)

■ Affiliate: Affiliate LLC

DELETE SELECTED

▶ Top

Applicant Information License Selection Agreements

Ownership

Summary Certify & Submit

Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

How are aggregate average gross revenues calculated?

Will the aggregate average gross revenues equal the average of the gross revenues aggregated by

Which applicants may bid on the C Block licenses that are "closed?"

How do you define "total assets?"

How do you define gross revenues?

What must an applicant show to support a claim of eligibility for closed bidding?

Does the term "aggregate" gross revenue of an applicant bidding for a closed license differ from "aggregate" gross revenues in determining eligibility for bidding credits on "open" licenses?



CONTINUE



FCC > Wireless > Auctions > Auction Application

Logged In: FRN 0010845105 (Log Out)

Auction 101

Sample SMR Auction

Applicant: Bidder One Corporation

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

Summary







🗷 Quit

Ownership

Gross Revenues/Assets Confirmation

Confirmation

Has Applicant provided separate gross revenue and total asset information for itself, for each of Applicant's officers and directors; for each of Applicant's other controlling interests; for each of Applicant's affiliates; and for each affiliate of each of Applicant's officers, directors, and other controlling interests?





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Steps

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Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?



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Sample SMR Auction

Summary

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Summary

Summary Overview

Choose a step listed below to review your provided information.

Applicant Information

VIEW/EDIT

License Selection

VIEW/EDIT

Agreements

VIEW/EDIT

Ownership

VIEW/EDIT

Once you are confident that the application is recertify button below.

Certify button below.

Check for enission, clipped before errors and submitting ాలుssion, click on the "Continue To

NTINUE TO CERTIFY

Steps

Applicant Information

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Summary

Certify & Submit

Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

What does the Check Errors button do?



FCC > Wireless > Auctions > Auction Application

Logged In: FRN 0010845105 (Log Out)

Auction 101

Sample SMR Auction

Applicant: Bidder One Corporation

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

Summary







Certify & Submit

Former Default, Delinguency Statement

By indicating which statement applies and by submitting the application, applicants make the applicable statement under penalty of perjury. An applicant making the second statement must submit an upfront payment equal to 50 percent more than otherwise would be required.

- The applicant, its affiliates, its controlling interests, and the affiliates of its controlling interests (as those parties are defined by the Commission's rules) have never been in default on any Commission license and have never been delinquent on any non-tax debt owed to any Federal agency.
- One or more of the applicant, its affiliates, its controlling interests, or the affiliates of its controlling interests (as those parties are defined by the Commission's rules) have been in default on a Commission license or have been delinquent on a non-tax debt owed to a Federal agency.

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Steps

Applicant Information

License Selection

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Certify & Submit

Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

Why must one of the options be selected?

What if I don't know which of the two options is correct?

What if there is no former default or delinquency, but there is a current default or delinquency?

What is an Affiliate?

Defaults – Delinquencies Red Lights

- Applicants must certify that, as of the short-form filing deadline, they are not in default on any Commission license and not delinquent on any non-tax debt owed to any Federal agency in order to be eligible to participate in the auction. Applicants must also state whether or not they have ever been in default on any Commission license or any non-tax debt owed to any Federal agency. For these purposes, "applicant" includes the applicant's controlling interests and affiliates (of both the applicant and controlling interests).
- Under the Commission's "red light" rule, it will not process applications and other requests for benefits filed by parties with outstanding debts owed to the Commission. Applicants are well advised to resolve any concerns regarding outstanding "red lights" for any relevant party prior to filing the Form 175. An applicant will be able to submit Form 175 to the Commission, notwithstanding a "red light" but the application may not be "accepted" at a later stage.
- Finally, applicants should remember that the "red light" database concerns only current delinquencies with the Commission. Auction rules are concerned with both current and former delinquencies on non-tax debt owed to any Federal agency. See 47 C.F.R. Section 1.2105(a)(2)(x) and (xi). Applicants should not rely on a "green light" as a guarantee that they have no concerns regarding delinquencies, current or former, on non-tax debt owed to any Federal agency.



FCC > Wireless > Auctions > Auction Application

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Auction 101

Sample SMR Auction

Applicant: Bidder One Corporation

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

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Certify & Submit

Former Default, Delinguency Statement

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- The applicant, its affiliates, its controlling interests, and the affiliates of its controlling interests (as those parties are defined by the Commission's rules) have never been in default on any Commission license and have never been delinquent on any non-tax debt owed to any Federal agency.
- One or more of the applicant, its affiliates, its controlling interests, or the affiliates of its controlling interests (as those parties are defined by the Commission's rules) have been in default on a Commission license or have been delinquent on a non-tax debt owed to a Federal agency.

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Steps

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Certify & Submit

Common Questions

When is my data saved during the data entry process?

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Why must one of the options be selected?

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What if there is no former default or delinquency, but there is a current default or delinquency?

What is an Affiliate?



FCC > Wireless > Auctions > Auction Application

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Auction 101

Sample SMR Auction

Applicant: Bidder One Corporation

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Not Submitted

Summary

📤 <u>Attachments</u> 🕒 <u>Print Preview</u> 🛭 <u>Help</u>

lelp 🗷 Quit

Certify & Submit

Certify Auction Application

By clicking the "Submit" button below, I certify the following:

(1) that the applicant is legally, technically, financially, and otherwise qualified pursuant to 308(b) of the Communications Act and the Commission's Rules and is in compliance with the foreign ownership provisions contained in Section 310 of the Communications Act.

(2) that the applicant is the real party in interest in this application and that there are no agreements or understandings other than those specified in this application, which provide that someone other than the applicant shall have an interest in the license.

(3) that the applicant is aware that, if upon Commission inspection, this application is shown to be defective, the application may be dismissed without further consideration, and certain fees forfeited. Other penalties may also apply.

(4) except as explicitly provided in the Commission's Rules, that the applicant has not entered into and will not enter into any explicit or implicit agreements or understandings of any kind with parties not identified in this application regarding the amount to be bid, bidding strategies or the particular license on which the applicant or other parties will or will not bid.

(5) that the applicant, or any party to this application, is not subject to a denial of federal benefits pursuant to Section 5301 of the Anti-Drug Abuse Act of 1988.

(6) that if a bidding credit eligibility is claimed, the applicant is eligible for any special provisions set forth in the Commission's Rules applicable to this auction and consents to audits, as set forth in the Commission's Rules, to verify such status.

(7) that the applicant is and will, during the pendency of its application(s), remain in compliance with any service specific qualifications applicable to the licenses on which the applicant intends to bid including, but not limited to, financial qualifications.

(8) that the applicant is not in default on any payment for Commission licenses and that it is not delinquent on any non-tax debt owed to any federal agency.

I declare, under penalties of perjury, that I am an authorized representative of the above named applicant for the license and/or licenses specified above, that I have read the instructions and the foregoing certification and all matters and things stated in this application, its schedules and attachments, including exhibits, are true and correct.

Signature

	First	MI	Last	Suffix
Person Certifying:	Imma		Bidder	
Signature:	lmma Bidder			
Title:	President			



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SUBMIT

Steps

Applicant Information License Selection Agreements Ownership Summary

Certify & Submit

Common Questions

What if I certify and any of the certifications are false?

When is my data saved during the data entry process?

What is the difference between a warning and an error?

Is it necessary to read all of these certifications?

Who is authorized to certify?

After I fill out my application electronically, is it automatically submitted to the FCC?

Can I change information after I submit Form 175?

After I submit my Form 175 once, are any later changes automatically submitted to the FCC?



FCC > Wireless > Auctions > Auction Application

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Auction 101

Sample SMR Auction

Applicant: Bidder One Corporation

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Submitted

Attachments Print Preview 2 Help X Quit

Certify & Submit

Auction Application Submit Confirmation

Your Auction Application has been received on 4/13/2006 at 12:33 PM. Your file number is 0001685182. Please print your application for your records.

AUCTION APPLICATION MANAGER

Summary

- Upfront Payment Calculator/Form 159
- Wire Transfer for Refund Purposes

Steps

Applicant Information

License Selection

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Certify & Submit

Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

What is Form 159 and how do I fill it out?

How can I get a copy of the information I submitted?

Must I go to the Upfront Calculator and Form 159 immediately?

Do I have to submit an upfront payment to cover all the licenses I selected on my Form 175?

How will I know the status of my Form 175?

When can I see the Form 175 of other applicants for the auction?

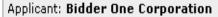


FCC > Wireless > Auctions > Auction Application

Logged In: FRN 0010845105 (Log Out)

Auction 101

Sample SMR Auction



Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Submitted

Summary 📤 Attachments 🕒 Print Preview 🛭 Help

Attachments Add Attachment Type: Other File: C:\Desktop\test attachment.doc Browse... Description: Revenue Justification * An Attachment may not be greater than 10MB. RETURN TO APPLICATION ADD ATTACHMENT **Current Attachments** Description **Upload Date** Type

Steps

Applicant Information

🗵 Ouit

License Selection

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Ownership

Summary

Certify & Submit

Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

What attachments are required?

What are the "Types" of Attachments?



FCC > Wireless > Auctions > Auction Application

Logged In: FRN 0010845105 (Log Out)

Auction 101

Applicant: Bidder One Corporation
Initial Filing Closes: 03/16/2007 6:00 PM (ET)
Status: Submitted

• Your changes have been saved but NOT SUBMITTED. In order for your changes to take effect, you must Certify & Submit your application.

Sample SMR Auction



Attachments

✓ The attachment was uploaded successfully.

Add Attachment

Type:

File:

Description:

* An Attachment may not be greater than 10MB.

RETURN TO APPLICATION

ADD ATTACHMENT

Summary

Attachments

Current Attachments				
Туре	Description	Upload Date		
Other	Revenue Justification (Not Yet Converted)	4/13/2006, 12:36 PM	Remove - 🛅	

Steps

Applicant Information

🖴 Print Preview 🛭 Help 🗵 Quit

License Selection

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Summary

Certify & Submit

Common Questions

When is my data saved during the data entry process?

What is the difference between a warning and an error?

What attachments are required?

What are the "Types" of Attachments?



FCC > Wireless > Auctions > Auction Application

Logged In: FRN 0010845105 (Log Out)

Auction 101

Sample SMR Auction

Applicant: Bidder One Corporation

Initial Filing Closes: 03/16/2007 6:00 PM (ET)

Status: Submitted

Summary









Print Preview

Print Application

Print the data you have added to the Auction Application by selecting from the list below. Click "Continue" to open a printable page.

- Applicant Information
- License Selection
- Agreements
- Ownership
- Certify & Submit
- Attachment List

SELECT ALL

◆ BACK



Print Attachments

Click on a link below to open a PDF to print.

Other - Revenue Justification

Steps

Applicant Information

License Selection

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Summary

Certify & Submit

File Number: 0001685182
Status: Submitted
Date Received: 4/13/2006, 12:38 PM

Applicant Information

Applicant Name

Entity Name: Bidder One Corporation

Jurisdiction of Formation: DC

Applicant Legal Classification and Status

Legal Classification: Corporation
Applicant Status:

Applicant Address

 Address Line 1:
 123 Auction Street

 Address Line 2:
 Washington

 City:
 DC

 Zip Code:
 20554

Responsible Party

Name: Imma Bidder
Title: President
Telephone Number: (202) 418-9999 Ext. 0660
Email Address: Imma.Bidder@fcc.gov

Contact Information

Name: Imma Bidder
Telephone Number: (202) 418-9999 Ext. 0660
Fax Number: (202) 418-8888
Email Address: Imma.Bidder@fcc.gov
Address Line 1: 123 Auction Street
Address Line 2:

 City:
 Washington

 State:
 DC

 Zip Code:
 20554

Authorized Bidders

Bidder 1: Imma Bidder
Bidder 2: Shesa Bidder
Bidder 3: Hesa Bidder
Bidding Option: Electronic

Bidding Credit Eligibility

Seeking/Not Seeking:

Gross Revenues:

Seeking

Between \$ 0.00 and \$ 15.00

FCC > Wireless > Auctions > Auction Application

Logged In: FRN 0010845105 (Log Out)



Auction Application Manager

Create or Review Auction Applications

Approved by OMB 3060-0600 (Notice to Applicants)

Create New Application

No new auctions

Review or Modify Existing Applications

Auction	Applicant Name	Application Status	Last Modified	Last Submitted	
65 Initial Filing Win	Bidder One Corporation dow Closed 4/3/2006, 6:00 PM	Submitted	3/8/2006, 3:40 PM	3/7/2006, 4:00 PM	\$ 🕏 🕜
101 Initial Filing Win	Bidder One Corporation dow Closes 3/16/2007, 6:00 PM	Submitted	4/13/2006, 12:36 PM	4/13/2006, 12:38 PM	\$27
185 Initial Filing Win	Bidder One Corporation dow Closed 4/10/2006, 4:31 PM	Not Submitted	4/3/2006, 11:46 AM		
\$ - Upfront Pa	yment Calculator and Form 159	ຊ - Refund Form 🛮 📝	- Edit Application 🏻 🖫 - Withdraw Appli	cation 🝳 - Search	

Documentation

Auction: 3 - PCS Narrowband Region





Auction Application Manager Upfront Payment Calculator

Calculating Your Upfront Payment

Applicants are solely responsible for determining the amount of their upfront payment. In most FCC auctions, the amount of the upfront payment determines initial bidding eligibility. In calculating an upfront payment amount, an applicant should determine the maximum number of bidding units on which it may wish to be active (bid on or hold provisionally winning bids on) in any given round, and submit an upfront payment amount covering that number of bidding units. The upfront payment calculator may assist applicants in determining an amount. However, regardless of whether they use the upfront payment calculator, applicants should check their calculations carefully, as there is no provision for increasing a bidder's eligibility after the upfront payment deadline.

The following table lists all available licenses based on selections in your submitted FCC Form 175. The upfront payment calculator will help you to determine the appropriate upfront payment amount to submit with your Form 159. Use of the upfront payment calculator is always optional; you can type another amount in the Total Upfront Payment field or Total Bidding Units field, if desired. Please refer to the <u>Auction No. 101 Procedures</u> public notice for a complete explanation of upfront payments and bidding eligibility.

Eligibility is not license specific. You do not have to make an upfront payment to cover all licenses for which you have applied on FCC Form 175, but rather to cover the maximum number of bidding units that are associated with licenses on which you wish to place bids and hold provisionally winning bids in any single round. In order to calculate a total upfront payment, an applicant should add together the bidding units for all licenses on which it seeks to be active in any given round, and submit an upfront payment amount covering that number of bidding units. Please refer to the Auction No. 101 Procedures public notice for further explanation.

To use the Upfront Payment Calculator, do the following:

- 1. Select all licenses on which you seek to be active in any given round. The calculator will automatically calculate the total bidding units (maximum eligibility) and upfront payment amount for those licenses.
- 2. To save the total upfront payment amount and carry it through to Form 159, click the "Carry to 159" button.

Please note that if you selected 1,000 or more licenses, the calculator will not display the list or keep a running total of bidding units. If you have selected 1,000 or more licenses, simply type in the total number of bidding units for which you want to establish your maximum eligibility. The calculator will then automatically calculate the corresponding upfront payment amount.

About the Former Defaulter's Calculation

The upfront payment amount required for former defaulters may be higher than that for applicants who have never been in default. The upfront payment calculator will adjust the upfront payment amount accordingly. Refer to the Procedures PN for more information.

Available Licenses

Select (<u>All</u> <u>Clear</u>)	License Number	Location	Bidding Units	Upfront Payments
	SV-BEA001-C	Area 1	500	\$500
	SV-BEA001-D	Area 1	1,000	\$1,000
	SV-BEA002-C	Area 2	500	\$500
	SV-BEA002-D	Area 2	1,000	\$1,000
	SV-CMAOO1-E	Statewide 1	100	\$100
	SV-CMADO1-F	Statewide 1	50	\$50
	SV-CMAOO2-E	Statewide 2	300	\$300
	SV-CMADD2-F	Statewide 2	600	\$600
	SV-REAGOO1-A	Region 1	1,000	\$1,000
	SV-REAGOO1-B	Region 1	2,000	\$2,000
	SV-REAGOO2-A	Region 2	1,000	\$1,000
	SV-REAGOO2-B	Region 2	2,000	\$2,000
			Total Bidding Units	Total Upfront Payment
				\$
				CARRY TO 159 CLOSE WINDOW

Auction Application Manager Upfront Payment Calculator

Calculating Your Upfront Payment

Applicants are solely responsible for determining the amount of their upfront payment. In most FCC auctions, the amount of the upfront payment determines initial bidding eligibility. In calculating an upfront payment amount, an applicant should determine the maximum number of bidding units on which it may wish to be active (bid on or hold provisionally winning bids on) in any given round, and submit an upfront payment amount covering that number of bidding units. The upfront payment calculator may assist applicants in determining an amount. However, regardless of whether they use the upfront payment calculator, applicants should check their calculations carefully, as there is no provision for increasing a bidder's eligibility after the upfront payment deadline.

The following table lists all available licenses based on selections in your submitted FCC Form 175. The upfront payment calculator will help you to determine the appropriate upfront payment amount to submit with your Form 159. Use of the upfront payment calculator is always optional; you can type another amount in the Total Upfront Payment field or Total Bidding Units field, if desired. Please refer to the <u>Auction No. 101 Procedures</u> public notice for a complete explanation of upfront payments and bidding eligibility.

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Available Licenses

Select (<u>All</u> <u>Clear</u>)	License Number	Location	Bidding Units	Upfront Payments
	SV-BEA001-C	Area 1	500	\$500
	SV-BEA001-D	Area 1	1,000	\$1,000
	SV-BEA002-C	Area 2	500	\$500
	SV-BEA002-D	Area 2	1,000	\$1,000
	SV-CMA001-E	Statewide 1	100	\$100
	SV-CMA001-F	Statewide 1	50	\$50
	SV-CMA002-E	Statewide 2	300	\$300
	SV-CMA002-F	Statewide 2	600	\$600
~	SV-REAGOO1-A	Region 1	1,000	\$1,000
~	SV-REAGOO1-B	Region 1	2,000	\$2,000
	SV-REAGOO2-A	Region 2	1,000	\$1,000
	SV-REAGOO2-B	Region 2	2,000	\$2,000
			Total Bidding Units	Total Upfront Payment
			3,000	\$ 3,000
				CARRY TO 159 CLOSE WINDOW



Electronic Form 159

For many filings the Applicant is the Payer. However, if the Payer is a third party, the Payer's FRN will be different from that of the Applicant. Enter the Payer FRN and Password below. If the Payer does not have a valid FRN, you must register online in the FRN Registration System and return to Form 159 to complete payment process.

Please enter your FCC Registration Number (FRN) and Password to continue.

Login				
Payer's FRN:				
Password:				
CONTINUE				

Note: Payer information will be pre-filled from the FRN Registration System database.

To use this Form 159 you must have the Adobe Reader® installed (Version 4.0 or higher). You may <u>download</u> and install the reader now, or learn <u>more</u> from Adobe.



If you have forgotten your FRN or password, call the FCC help line at (877) 480-3201; TTY (202) 414-1255 for assistance.

Customer Service					
FCC Fees FCC Web Policies FCC Home Page					
If you have any questions or concerns please contact your licensing system help desk.					