

## ATTACHMENT C

### INSTRUCTIONS FOR COMPLETING FCC FORM 601 AND FCC FORM 602

***IMPORTANT: Beginning August 1, 2005, the online filing process changed for filing FCC Form 601, Application for Wireless Telecommunications Bureau Radio Service Authorization, including Schedule B for Geographically Licensed Services (the "Long Form"). Instructions for the new filing process are contained in this attachment.***

***In addition, most of the information provided on the FCC Form 175 (Short Form) will be pre-filled to the FCC Form 601 in the on-line filing process. This feature will remove the need for applicants to provide many of the exhibits currently required when filing a Long Form. The following information will be pre-filled from the FCC Form 175:***

- ***Designated Entity Information, including revenue and bidding credit percentage information***
- ***Collusion-Based Agreement Information, including Agreement Name and Parties to Agreements***

***Further, when the FCC Form 175 was submitted, a FCC Form 602 was filed in the Universal Licensing System (ULS). Thus, it should not be necessary to file a new FCC Form 602; however, applicants should ensure that the current FCC Form 602 is complete and accurate.***

#### **I. FCC FORM 601 GENERAL REQUIREMENTS**

*Applicants are strongly encouraged to use the format below to submit FCC Form 601 and exhibits to FCC Form 601 as required by our rules. Following this format will help expedite processing of FCC Form 601 and minimize follow-up requests for missing information.*

Applicants bear full responsibility for submission of timely and complete FCC Form 601 applications. Applicants should read the instructions on the FCC Form 601 carefully and should consult the rules to ensure that, in addition to the materials described below, all the information that is required under the Commission's rules is included with their FCC Form 601 applications. Each applicant is responsible for the continuing accuracy and completeness of information furnished in a pending application. *See* 47 C.F.R. § 1.65. **Incomplete or defective applications may be returned to the applicant.** *See* 47 C.F.R. § 1.934(a), (d); *see also* 47 C.F.R. § 1.933(b).

Applicants must file FCC Form 601 electronically. An applicant that fails to submit the required FCC Form 601 application(s) before **6:00 p.m. Eastern Time (ET) on June 21, 2006**, and fails to establish good cause for any late-filed submissions, shall be deemed to have defaulted and will be subject to the default payments set forth in Section 1.2104(g) of the Commission's rules. *See* 47 C.F.R. §§ 1.2104(g), 1.2107(c).

#### **II. FILING FCC FORM 601 ELECTRONICALLY**

1. Access the Commission's Universal Licensing System (ULS) through the Internet at **<http://wireless.fcc.gov/uls>**. Select the **Log In** button in the Online Filing section from this page.

You may also connect to ULS Online Filing by establishing a direct dial-up connection. To establish a direct dial up connection, configure your dial-up network to dial **(800) 844-2784**. Then point your Web browser to **<http://wireless.fcc.gov/uls>** and select the **Log In** button in the Online Filing section.

**Note:** Connecting to the FCC Network requires *at a minimum* the following hardware: Pentium 133 CPU; 32 MB RAM; VGA monitor; 28.8 Kbps, Hayes-compatible modem; and a mouse or other pointing device. For both Internet and direct dial-up connections, you may use the following browser software to register and file FCC Form 601 through ULS: Internet Explorer (v.5.5 or later) and Netscape Communicator (v. 4.7x). You can download Netscape Communicator free of charge from the Netscape download site at <http://browser.netscape.com/ns8/download/archive47x.jsp/>. Download Internet Explorer at <http://www.microsoft.com/windows/ie/downloads/default.asp>.

2. On the ULS License Manager Login page, enter the applicant's FCC Registration Number (FRN) and password. Click **Submit**. ULS will verify you have a valid FRN or otherwise prompt you to obtain an FRN.

**Note:** You must login to ULS with the FRN used to identify the applicant on FCC Form 175.

For additional information on the FRN, *see* All Universal Licensing System and Antenna Structure Registration Applicants Must Use Their FCC Registration Number(s), Effective December 3, 2001, *Public Notice*, 16 FCC Rcd 18793 (2001), available at <http://wireless.fcc.gov/uls/releases/da012452.txt>. For assistance contact the FCC Support Center at (877) 480-3201, option four; TTY: (202) 414-1255. To provide quality service and ensure security, all telephone calls are recorded.

3. After you have entered the FRN and password correctly, you will see either the "My Applications" page or the "My Licenses" page displaying the applicant's existing applications or licenses (if any) and related information. To apply for a new license, click the Apply for a New License link in the left-hand navigation menu.
4. On the Select Service page, choose the Auction Winner dropdown menu. Then select the following auction ID:

**# 65 – CJ – Commercial Aviation Air-Ground Radiotelephone (800 MHz band)**

Click **Continue**.

5. Supply the information requested by FCC Form 601 and the Commission's Rules. Complete the questions on the pages as they appear, following the onscreen prompts and instructions. Use the buttons at the bottom of each page to continue to the next page or go back to the previous page. Provide attachments as instructed by clicking the Attachments link at the top of the page. Attachment requirements are described in Section III of this document. Be sure to use the standard attachment types and file descriptions set forth herein.
6. If you plan to file a request for a waiver or exception to the Commission's Rules, select "Yes" for the appropriate question on the Application Information page and enter the number of rule section(s) being waived. You will also be required to upload an exhibit, providing rule number(s) and explaining the circumstances. Refer to the guidelines below for Exhibit F: Waiver Requests.
7. On the Markets page, the system pre-fills the Markets Summary table with data for the license this applicant has won in the selected auction. Click **Continue**.
8. The next page is Tribal Lands Bidding Credit. Tribal Lands Bidding Credit is not available to Auction No. 65 winning bidders.

9. Agreement information that was provided on the FCC Form 175 will be pre-filled into the FCC Form 601. This agreement information is editable. You can edit the agreement name, agreement type and parties to the agreement. You can also delete and add agreements. In addition, if the applicant has entered into any agreements that could impact its Designated Entity status, you must answer the appropriate question “Yes” on the Agreement Information page, add these agreements to the FCC Form 601 and attach an exhibit that summarizes the agreement. Refer to the guidelines below for Exhibit D: Agreements & Other Instruments.
10. Continue completing the questions on the pages as they appear, following the onscreen prompts and instructions until you reach the Summary page. Use the view and edit capabilities to review your application to confirm that it is complete and accurate. Correct information as necessary. Once you are confident that the application is ready for certification and submission, click on the **Continue to Certify** button.
11. The Certification page provides General Certification Statements. By "signing" this form, the applicant certifies that the statements listed in this section are true, complete, correct, and made in good faith. To submit the application to the FCC, click the **Submit Application** button.
12. You will receive a Confirmation page when you press the **Submit Application** button. Note the file number for your records. You may print the Confirmation page by choosing the Print option from the File menu of your Web browser. You may also choose to print a copy of the complete application you have just submitted by selecting the Reference Copy link. You may use the **Log Out** link at the top left of the page to exit ULS online filing.

### **Updating an Application**

You may access your application to make changes until the June 21, 2006, filing deadline:

- If you quit your application at any time prior to submitting it, it will be saved in ULS. To continue working on a saved application, login to ULS License Manager. Choose the My Applications link from the menu on the left side of the page and click on the Saved link. Click the link next to your saved application. On the next page, “Application At A Glance,” choose the **Continue** link under the “Work on This Application” menu. Saved applications for an auctionable service must be completed within the 10-day filing window.
- Once you click the **Submit Application** button, ULS will assign a file number to the application. To make changes to a submitted application, log in to ULS License Manager with the Applicant’s FRN and password. Choose the My Applications link from the left side of the page. Then choose the Submitted Applications link. Click on the file number of your application, and choose the Update link from the “Work on This Application” menu on the right side of the page. You must click the **Submit Application** button prior to the close of the 10-day filing window.

Note: To change any information on your application **after** the 10-day filing window has closed, log in to ULS License Manager with the applicant’s FRN and Password. Choose the My Application link from the left side of the page. Then click Pending applications. Click on the file number of your application, and choose the Update link from the “Work on This Application” menu on the right side of the page.

**Important:** Changes made on an application after it has been submitted to the Commission in ULS constitute an amendment(s) to the application.

Commission rules contain limitations on the filing of major amendments after the June 21, 2006, deadline that may affect the applicant's legal rights.<sup>1</sup> Acceptance of an amendment by ULS does not indicate that the amendment is allowed under the Commission's rules. Applicants are advised to consult Commission's rules in this regard prior to filing an amendment. Once the Commission has granted a request for a license, you may request a modification.

*Basic Guidelines for Filing FCC Form 601 Online:*

- Some of the data entry fields on the online application form may be prefilled with information from the FCC Form 175 process for auctionable applications.
- The online application consists of data entry fields as well as “yes or no” questions. You must respond to all of these questions on the application. If you respond “Yes” to a question, you may be required to file an attachment explaining the specific circumstances (see form for specific instructions).
- An Attachments link button is provided for uploading attachment files. You are responsible for filing all required attachments.
- Applications for an auctionable service must be completed within the specific filing window of the auction, in this case before 6:00 p.m. ET on June 21, 2006.
- Prior to submitting an application, you may click the Reference Copy link (where available) to create a preview of your completed application.

### **Technical Support**

For technical assistance with filing the FCC Form 601, contact the ULS Technical Support Hotline at (877) 480-3201, option 2, or (717) 338-2824 (TTY). The ULS Technical Support Hotline is available Monday through Friday from 8:00 a.m. to 7:00 p.m. ET. There are no weekend hours, and the hotline is closed on all Federal holidays. To provide quality service and ensure security, all telephone calls are recorded.

### **III. ORGANIZATION OF APPLICATION EXHIBITS**

**FCC Form 601- and Rule-Related Exhibits.** Any exhibits to be attached to an application in response to a question on the Main Form or Schedule B of FCC Form 601 or as specified in the Commission's rules should be identified as specified in the instructions to the FCC Form 601. Applicants should select the Attachments link provided within the electronic filing software to connect to the Attachments page. Select the appropriate attachment type from the pull-down menu, enter the correct attachment description (listed below) in the text box provided, browse for your file, and click on the **Add Attachment** button. The electronic filing software will accept many different types of computer files. For a full list of acceptable file formats, see <http://esupport.fcc.gov/attachments.htm#types>. Do not add password protection to attached files.

Provide exhibit attachments in ULS as applicable. Any exhibits to be attached to an application as a result of our rule requirements should be identified as follows:

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<sup>1</sup> See 47 C.F.R. §§ 1.927, 1.2107(c).

Title

- Exhibit A: Ownership
- Exhibit B: Foreign Ownership
- Exhibit C: Designated Entities
- Exhibit D: Agreements & Other Instruments
- Exhibit E: Confidentiality Requests
- Exhibit F: Waiver Requests
- Exhibit G: Miscellaneous Information

As specified in the instructions to the FCC Form 601, each page of each exhibit must be identified with the number or letter of the exhibit, the number of the page of the exhibit, and the total number of pages of the exhibit.

**EXHIBIT A: OWNERSHIP INFORMATION**

Section 1.2112 of the Commission’s rules requires that each applicant for a license shall disclose fully the real party- or parties-in-interest. *See* 47 C.F.R. § 1.2112. This requirement may be fulfilled by providing an attachment referencing the file number, date, and name of filer of the appropriate FCC Form 602 application. For information regarding the filing of the FCC Form 602, *see* Section V of this attachment. To provide this information, applicants should upload the file, select Attachment Type “Ownership,” and enter “**Exhibit A: Ownership**” in the Description field on the Attachments page.

Although ownership information can be provided by referencing the FCC Form 602, applicants should confirm that their FCC Form 602 accurately reflects all information discussed below and as required under Section 1.2112 of the Commission’s rules.

**Direct Ownership:** Applicant must provide information regarding its direct ownership as follows:

- *General Rule:* The applicant must provide the name, address, and citizenship of any party holding 10 percent or more of stock in the applicant, whether voting or nonvoting, common or preferred, including the specific amount of the interest or percentage held. *See* 47 C.F.R. § 1.2112(a)(2).
- If the applicant is a general partnership, provide the name, address, and citizenship of each partner, and the share or interest participation in the partnership. *See* 47 C.F.R. § 1.2112(a)(4).
- If the applicant is a limited partnership, provide the name, address, and citizenship of each limited partner whose interest in the applicant is 10 percent or greater (as calculated according to the percentage of equity paid in or the percentage of distribution of profits and losses). *See* 47 C.F.R. § 1.2112(a)(3).
- If the applicant is a limited liability company, provide the name, address, and citizenship of each of its members whose interest in the applicant is 10 percent or greater. *See* 47 C.F.R. § 1.2112(a)(5).

**Indirect Ownership:** Applicants must identify all parties holding a 10 percent or greater indirect ownership interest in the applicant, as determined by successive multiplication of the ownership percentages for each link in the vertical ownership chain. If the ownership percentage for an interest in any link in the chain exceeds fifty percent or represents actual control, it shall be treated and reported as if it were a one hundred percent interest. *See* 47 C.F.R. § 1.2112(a)(6).

**Other Disclosable Interests and Entities:** Applicants must list any Commission-licensed entity or applicant for a Commission license in which the applicant or any of the parties identified in sections 1.2112(a)(1)-(5) of the Commission’s rules owns 10 percent or more ownership interest, whether voting or nonvoting, common or preferred. This list must include a description of each such entity’s principal business and a description of each entity’s relationship to the applicant. *See* 47 C.F.R. § 1.2112(a)(7).

## **EXHIBIT B: FOREIGN OWNERSHIP**

If the applicant has responded “Yes” to Question 48a) and “No” to Question 48b) on the FCC Form 601, it must attach to the application a date-stamped copy of a request for a foreign ownership ruling pursuant to Section 310(b)(4) of the Communications Act. If the applicant has responded “Yes” to Question 48a) and “Yes” to Question 48b) on the FCC Form 601, it must attach to the application an exhibit that identifies the citation(s) of the applicable declaratory ruling(s) by DA/FCC number of the FCC Record citation, if available, release date, and any other identifying information. To provide this information, the applicant should select Attachment Type “Ownership” and enter “**Exhibit B: Foreign Ownership**” in the Description field on the Attachments page. For every direct or indirect foreign owner, applicant should provide the following information:

*Item (1) Percentage of Interest:* Identify each foreign owner’s percentage of ownership in the applicant.

*Item (2) Country of Origin and Address:* List each foreign owner’s country of origin and principal place of business.

*Item (3) Public Interest Statement:* Demonstrate how allowing the applicant to hold the requested license is consistent with the Commission’s policies pursuant to Section 310(b)(4) of the Communications Act of 1934, as amended. In the *Foreign Participation Order*,<sup>2</sup> the Commission stated that there is a presumption that indirect foreign ownership of common carrier radio licenses by entities whose home markets are World Trade Organization (WTO) Members is in the public interest. If more than twenty-five percent of the ownership of an entity that controls a common carrier radio license is attributable to parties whose home markets are non-WTO member countries, the Commission will evaluate whether those markets offer effective competitive opportunities to U.S. investors.<sup>3</sup>

*Item (4) Petitions for Declaratory Ruling:* As explained in the Commission’s *Foreign Participation Order*, licensees must seek the Commission’s prior approval before accepting indirect foreign ownership that causes them to exceed Section 310(b)(4)’s twenty-five percent benchmark.<sup>4</sup> In keeping with this pre-approval process, auction applicants are required to certify in their FCC Form 175 applications either that they are in compliance with the foreign ownership requirements of Section 310 or that they have filed a request for relief from those requirements that is pending with the Commission.<sup>5</sup> Similarly, where foreign ownership is at issue, applicants must indicate in their FCC Form 601 applications that they either have

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<sup>2</sup> Rules and Policies on Foreign Participation in the U.S. Telecommunications Market, IB Docket No. 97-142, Market Entry and Regulation of Foreign-Affiliated Entities, IB Docket No. 95-22, *Report and Order and Order on Reconsideration*, 12 FCC Rcd 23891 (1997) (“*Foreign Participation Order*”), *Order on Reconsideration*, 15 FCC Rcd 18158 (2000).

<sup>3</sup> *See Foreign Participation Order*, 12 FCC Rcd at 23891, 23935-42, 23946, ¶¶ 97-118, 131 (1997).

<sup>4</sup> *Id.*

<sup>5</sup> *See* 47 C.F.R. § 1.2105(a)(2)(v), (vi).

received a declaratory ruling that grants them permission to exceed the statutory benchmark of Section 310(b)(4) or that they have a request currently pending at the Commission. Applicants are advised that petitions for declaratory ruling to exceed the Section 310(b)(4) benchmark must be granted before any license for which the applicant is a high bidder may be granted.

Petitions for a declaratory ruling to exceed the Section 310(b)(4) twenty-five-percent statutory benchmark should be addressed to the Secretary, with a copy to the Telecommunications Division of the International Bureau, and must be filed in paper form. There is no fee associated with such a filing. Applicants should be aware that, under the relevant precedent, including the Commission's *Foreign Participation Order*, streamlined processing is possible for petitions involving investment from WTO Members that do not raise any other potentially complex foreign ownership issues. The Commission may conclude that a particular petition of this type is not eligible for streamlined processing. If more than twenty-five percent of the ownership of an entity that controls a common carrier radio license is attributable to parties whose home markets are non-WTO Members, such petitions are not eligible for streamlined processing, and these petitioners should contact the Telecommunications Division of the International Bureau to discuss processing of their petitions. Inquiries regarding compliance with Section 310 of the Communications Act and the filing and processing of petitions for declaratory ruling should be directed to Claudia Fox, Chief of the Policy and Facilities Branch, Telecommunications Division, International Bureau, at (202) 418-1527.

#### **EXHIBIT C: DESIGNATED ENTITIES**

##### **Minority-Owned and Women-Owned Business and Rural Telephone Companies:**

We are interested in the status of applicants as minority-owned and women-owned businesses and rural telephone companies for statistical purposes, even if the applicant is ineligible for bidding credits. *See* 47 C.F.R. § 1.2110(c)(3), (4).

Note: This information is collected in ULS and does not need to be included in an attachment.

#### **EXHIBIT D: AGREEMENTS & OTHER INSTRUMENTS**

*Collusion-Based Agreements:* Applicants must provide a detailed explanation of the terms and conditions and parties involved in any bidding consortia, joint ventures, partnerships or other agreements or arrangements entered into relating to the competitive bidding process prior to the time the bidding was completed. *See* 47 C.F.R. § 1.2107(d). Note: A list of the agreements disclosed on the FCC Form 175 will be pre-filled on the Form 601, but should be updated if necessary.

To comply with these requirements, all agreements must be listed on the FCC Form 601 and applicants must provide a summary of these agreements. Applicants, however, may submit the agreements themselves, instead of providing a detailed summary of the agreements. Applicants should upload the information in a file, select Attachment Type "Other" and enter "**Exhibit D: Agreements & Other Instruments**" in the Description field on the Attachments page. Applicants choosing to submit the agreements may elect to seek confidentiality for those documents pursuant to section 0.459 of the Commission's rules. *See* 47 C.F.R. § 0.459; *see also* discussion of confidentiality requests under "Confidentiality Requests" below.

#### **EXHIBIT E: CONFIDENTIALITY REQUESTS**

Applicants should be aware that all information required by the Commission's rules is necessary to determine the applicants' qualifications to be a Commission licensee and, as such, will be available for public inspection. Required proprietary information may be redacted, and confidentiality may be sought

pursuant to section 0.459 of the Commission's rules. *See* 47 C.F.R. § 0.459. Applicants requesting confidential treatment for any information required as a condition to participate in the auction must follow the procedures set out in section 0.459 of the Commission's rules. Because the required information bears on an applicant's qualifications, the Commission envisions that confidentiality requests will not be granted routinely.

If an applicant has sought confidential treatment of any information, it must attach a statement explaining the request and referencing the particular information for which confidential treatment has been requested. To provide this information, applicants should upload this statement as a file, select Attachment Type "Confidentiality" and enter "**Exhibit E: Confidentiality Requests**" in the Description field on the Attachments page.

**Note: Applicants must select Attachment Type "Confidentiality" for the particular exhibit for which they are requesting confidential treatment. Otherwise, the attachment will be available for public inspection.**

#### **EXHIBIT F: WAIVER REQUESTS**

In the event an applicant wishes to file a request for waiver of a Commission rule, *see* 47 C.F.R. § 1.925, the request should be filed with the corresponding application. Applicants should upload this waiver request as a file, select Attachment Type "Waiver" and enter "**Exhibit F: Waiver Requests**" in the Description field on the Attachments page.

Waiver requests filed after the submission of the FCC Form 601 may result in a delay of the processing of the application. If a request for waiver is filed separately from the FCC Form 601, such request must refer to the corresponding application, including its file number.

#### **EXHIBIT G: MISCELLANEOUS INFORMATION**

In the event that a winning bidder wishes to provide any additional information that does not fall within any of the other exhibits, these documents or files should be submitted by selecting Attachment Type "Other" and entering "**Exhibit G: Miscellaneous Information**" in the Description field on the Attachments page.

#### **V. FCC FORM 602**

A current FCC Form 602 must be on file with the Commission by the June 21, 2006, deadline for filing the FCC Form 601. *See* 47 C.F.R. §§ 1.919, 1.2107(f). When the applicant submitted the FCC Form 175, a current FCC Form 602 was filed in ULS. Thus, applicants already have an FCC Form 602 on file as a result of their submitted FCC Form 175, and therefore it is not necessary to electronically file another FCC Form 602. However, applicants should review their FCC Form 602 to confirm that it is complete and accurate. *See* 47 C.F.R. §§ 1.919, 1.2112. Applicants are reminded that any updates to FCC Form 602 must be filed electronically.<sup>6</sup>

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<sup>6</sup> Beginning December 10, 2002, electronic filing of FCC Form 602 via ULS became mandatory. *See* Wireless Telecommunications Bureau Reminds Filers of Effective Date for Mandatory Electronic Filing of FCC Form 602, *Public Notice*, 17 FCC Rcd 22934 (WTB 2002). For more information on FCC Form 602, *see* Wireless Telecommunications Bureau Announces Revised Version of FCC Form 602 is Now Available, *Public Notice*, 17 FCC Rcd 16197 (WTB 2002); Wireless Telecommunications Bureau Answers Frequently Asked Questions Concerning Reporting of Ownership Information on FCC Form 602, *Public Notice*, 14 FCC Rcd 8261 (WTB 1999).



## Update Ownership Information through Electronic Filing

1. Access the ULS homepage, <http://wireless.fcc.gov/uls>, and click the **Log In** button in the Online Filing section.
2. On the next page, enter the FRN and password of the filer and select **Continue**. The ULS Online Systems page will appear. **Note:** If the Applicant listed on FCC Form 601 is listed as the filer on the Ownership filing, provide the same FRN as provided on FCC Form 601.
3. Click the My Ownership link in the left-hand Task menu.
4. On the Ownership Disclosure Filing page, select the Filer Name link of the filing you wish to update.
5. On the Ownership Disclosure Filing page that appears, select the Update Filing link in the Work on this Filing menu.
6. The Work on this Filing menu will display several update options. This is your toolbox for performing action on your ownership filing. Use the links as needed, to:
  - View and Edit Filer Information
  - Upload Ownership Disclosure Information
  - Add a Disclosable Interest Holder of the Filer (corresponds to questions 1-9 on Schedule A)
  - Add an FCC Regulated Business of the Filer (corresponds to question 5 on the Main Form)
  - Add an FCC Regulated Business of a Disclosable Interest Holder (corresponds to question 10 on Schedule A)
  - Change the Filing Type
  - Certify the Filing
  - Change Cellular Cross Interest
7. Update necessary information, following the onscreen instructions and prompts. To complete your changes, select the **Certify Filing** button, which appears at the bottom of the appropriate Ownership Filing pages. When the filing is submitted successfully, a confirmation page will display the filer's FRN, the date of submission and a File Number for this filing.

ULS Ownership Filing displays this Confirmation page for your records. We strongly recommend you print a copy of this page. You may print the Confirmation page by choosing the Print option from the File menu of your Web browser. You may also choose to print a copy of the complete application you have just submitted by selecting the Reference Copy link. Your new ULS Ownership filing has been given a file number. Any future reference to this application must be made using the file number.

**Note:** For additional instructions regarding electronic filing of ownership information, use the **Help** button, located on the top right of any page within Ownership Filing.