**DA 15-131**

**January 30, 2015**

**AUCTION OF ADVANCED WIRELESS SERVICES (AWS-3) LICENSES CLOSES**

**WINNING BIDDERS ANNOUNCED FOR AUCTION 97**

**FCC Forms 601 and 602 Due February 13, 2015**

**Down Payments Due February 13, 2015**

**Final Payments Due March 2, 2015**

**Ten-Day Petition to Deny Period**

# INTRODUCTION

1. On January 29, 2015 the Federal Communications Commission (“Commission”) completed an auction of Advanced Wireless Service licenses in the 1695-1710 MHz, 1755-1780 MHz, and 2155-2180 MHz bands (collectively, the “AWS-3” bands). This auction, which was designated Auction 97, raised (in net bids) a total of $41,329,673,325, with 31 winning bidders winning a total of 1,611 licenses.
2. The Wireless Telecommunications Bureau (“Bureau”) established reserve prices for the AWS-3 licenses offered in Auction 97 in order to comply with a statutory requirement that auction proceeds fund the estimated relocation or sharing costs of federal government entities that currently operate in the 1695-1710 MHz and 1755-1780 MHz bands.[[1]](#footnote-2) Specifically, the Bureau established an aggregate reserve price of $579,775,900 for the 1695-1710 MHz band, and a separate aggregate reserve price of $10,066,326,600 for the paired 1755-1780MHz/2155-2180 MHz band.[[2]](#footnote-3) In order for Auction 97 to close in compliance with the statute, the total winning bids for each band, net of bidding credits applicable at the close of bidding, was required to equal or exceed the respective reserve prices established for these bands. At the close of Auction 97, the net total winning bids in the 1695-1710 MHz band exceeded the reserve price for the band, and the net total winning bids for licenses in the paired 1755/2155-2180 MHz band exceeded the reserve price for the band.

# auction RESULTS

1. This Public Notice provides detailed information concerning winning bidders, down payments, final payments, refunds, FCC Forms 601 and 602 filing requirements, and licensing matters. Key information appears in the following attachments:

**Attachment A:** “Winning Bids” lists each winning bidder and its total winning bid amounts.

**Attachment B:** “Bidder Payment/Refund” lists down payments and final payments owed by each winning bidder and refunds due to other applicants.[[3]](#footnote-4)

**Attachment C:** “Withdrawal Payment Report” lists bid withdrawal payments owed by bidders, if any.

**Attachment D:** “Instructions for Completing FCC Form 601 and FCC Form 602” provides detailed information about how a winning bidder should complete the required long-form application (FCC Form 601) and ownership disclosure report (FCC Form 602) for AWS-3 licenses won in Auction 97.

A copy of this Public Notice will be sent via overnight delivery to each qualified bidder.

1. Concurrent with the release of this Public Notice, the Commission is making available information previously withheld under the limited information procedures for Auction 97. Results files that include the identities of bidders and the net amounts of bids are now available on the web page for Auction 97 (<http://wireless.fcc.gov/auctions/97/>) and in the FCC Auction System (<http://auctions.fcc.gov/>). The limited information results files (without the identities of bidders and the net amounts of bids) also remain available on the web page for Auction 97. Additionally, the publicly available applications to participate in the auction (FCC Forms 175) now display the licenses that were selected by each applicant as well as any application exhibits that may have been suppressed during the auction. The applications are viewable in the FCC Auction System via the Auction Application Search (<https://auctionfiling.fcc.gov/form175/search175/index.htm>).

# post-auction payments and requirements

## Down Payments

1. In the *Auction 97 Procedures Public Notice*, the Bureau exercised its discretion under section 1.2107(b) to set the down payment deadline for Auction 97 to be the later of January 7, 2015, or ten business days following the release of the auction closing public notice.[[4]](#footnote-5) Accordingly, the down payment deadline for Auction 97 is February 13, 2015. Each winning bidder in Auction 97 must, by **6:00 p.m. Eastern Time (ET) on February 13, 2015**, have on deposit with the Commission enough funds to cover the down payment(s) on its winning bids.[[5]](#footnote-6) Specifically, each winning bidder’s total deposit must be twenty percent of the aggregate net amount of its winning bids. If a winning bidder’s upfront payment is not sufficient to meet this requirement, it must deposit additional funds to meet its required down payment.[[6]](#footnote-7)
2. The down payment amount now due from each winning bidder, if any, is set forth in the “Additional Amount Due After Upfront Payment Balance Applied Due by February 13, 2015” column of Attachment B. Note that a payment and FCC Remittance Advice Form (FCC Form 159) are necessary only if a winning bidder’s upfront payment does not cover the required total down payment (as reflected in Attachment B).
3. Wire transfers for down payments must be received by the Commission by **6:00 p.m. ET on, February 13, 2015**. If a winning bidder fails to complete the down payment process consistent with the payment method described in this Public Notice by 6:00 p.m. on February 13, 2015, it will be in default.[[7]](#footnote-8)

## Final Payments

1. In the *Auction 97 Procedures Public Notice*, the Bureau set the final payment deadline for Auction 97 to be the later of January 21, 2015 or ten business days after the deadline for submitting down payments.[[8]](#footnote-9) Accordingly, the final payment deadline for Auction 97 is March 2, 2015. Each winning bidder will be required to submit the balance of the net amount of its winning bid(s) as set out in the “Final Balance Due by March 2 , 2015 or (Refund)” column of Attachment B.[[9]](#footnote-10) The winning bidder must pay the full amount of the Final Balance Due shown in Attachment B by **6:00 p.m. ET on March 2, 2015** (or by 6:00 p.m. ET on March 16, 2015, along with the five percent late fee required by section 1.2109(a) of the Commission’s rules). Full and timely payment of winning bids and any applicable late fees must be made in accordance with section 1.2109(a) of the Commission’s rules and must occur before action will be taken upon the winning bidder’s long-form application (FCC Form 601).[[10]](#footnote-11) Specifically, licenses will be granted only after the full and timely payment of winning bids and any applicable late fees, in accordance with section 1.2109(a).[[11]](#footnote-12)
2. Wire transfers of final payments must be received by the Commission by **6:00 p.m. ET on March 2, 2015** (or by 6:00 p.m. ET on March 16, 2015, along with the five percent late fee required by section 1.2109(a) of the Commission’s rules).[[12]](#footnote-13) If a winning bidder fails to complete the final payment consistent with the payment method described in this Public Notice by 6:00 p.m. ET on March 2, 2015 (or by6:00 p.m. ET on March 16, 2015, along with the five percent late fee), it will be in default.[[13]](#footnote-14)
3. A winning bidder’s request for a tribal lands bidding credit has no effect on the applicant’s obligations to make any auction payments, including down and final payments, that are due before the award of the credit.[[14]](#footnote-15) Thus, a winning bidder’s Final Balance Due and any applicable late fees must be paid in full by the due date even if the winning bidder has applied for a tribal lands bidding credit.[[15]](#footnote-16) If a request for a tribal lands bidding credit is approved, the amount of the credit will be calculated and awarded prior to license grant.[[16]](#footnote-17)

## Method of Payment for Down and Final Payments

1. All payments must be in U.S. dollars and made in the form of a wire transfer.[[17]](#footnote-18) No checks, credit card payments, automated clearing house (“ACH”), or other forms of payment will be accepted. Each payment must be accompanied by a completed FCC Form 159.[[18]](#footnote-19) A partially-completed copy of FCC Form 159 for the final payment will be sent to each winning bidder to facilitate submission of the correct payments.
2. All down payments and final payments must be preceded by an accurate and complete FCC Remittance Advice Form (FCC Form 159). At least one hour before placing the order for the wire transfer (but on the same business day), each winning bidder must fax its completed FCC Form 159 to U.S. Bank in St. Louis, Missouri, at (314) 418-4232. Proper completion of the FCC Form 159 is critical to ensuring correct credit of the winning bidder’s deposits. Each winning bidder’s FCC Form 159 must use the same FCC Registration Number (FRN) for the applicant that was used in its short-form application (FCC Form 175).
3. To submit funds by wire transfer, the winning bidder will need the following information:

ABA Routing Number: **021030004**

Receiving Bank: **TREAS NYC**

33 Liberty Street

New York, NY 10045

ACCOUNT NAME: **FCC**

ACCOUNT NUMBER: **27000001**

OBI Field: (Skip one space between each information item) “AUCTIONPAY”

APPLICANT FRN: (same as FCC Form 159, block 21)

PAYMENT TYPE CODE: (same as FCC Form 159, block 24A: “D097”)

PAYOR NAME: (same as FCC Form 159, Block 2)

LOCKBOX NO.: #**979088**

1. Each winning bidder is responsible for ensuring timely submission of its payment and for timely filing of an accurate and complete FCC Remittance Advice Form (FCC Form 159). Each winning bidder should coordinate with its financial institution well ahead of the due date regarding its wire transfer and should allow sufficient time for the wire transfer to be initiated and completed prior to the deadline to avoid default. The Commission repeatedly has cautioned auction participants about the importance of planning ahead to prepare for unforeseen last-minute difficulties in making payments by wire transfer.[[19]](#footnote-20)
2. Please direct questions concerning the calculation and submission of down payments, final payments, and the FCC Form 159 to Gail Glasser of the Office of Managing Director’s Auctions Accounting Group at (202) 418-0578 or Theresa Meeks at (202) 418-2945.
3. Each winning bidder should obtain confirmation from its financial institution that its wire transfer to U.S Bank was successful. It should also confirm with Commission staff that its payment was timely received by the Commission and that it was deposited into the proper account by the specified deadline. Such confirmation may be obtained by contacting Gail Glasser at (202) 418-0578, or Theresa Meeks at (202) 418-2945.

## Withdrawal, Default and Disqualification Payments

1. The Commission imposes payment obligations on bidders that withdraw provisionally winning bids during the course of an auction, on bidders that default on payments due after an auction closes, and on bidders that are disqualified.[[20]](#footnote-21)

### Bid Withdrawal Payments

1. A bidder that withdraws a provisionally winning bid during the course of an auction is subject to a bid withdrawal payment obligation equal to the difference between the amount of the withdrawn bid and the amount of the subsequent winning bid.[[21]](#footnote-22) No withdrawal payment will be assessed for a withdrawn bid if either the subsequent winning bid or any of the intervening subsequent withdrawn bids equals or exceeds that withdrawn bid.[[22]](#footnote-23)
2. If a provisionally winning bid is withdrawn on a license that remains unsold at the close of the auction, the bidder will be required to make an interim payment equal to ten percent of the net amount of the withdrawn bid.[[23]](#footnote-24) This payment amount is deducted from any upfront payments or down payments that the bidder has deposited with the Commission.[[24]](#footnote-25) If, in a subsequent auction, that license receives a bid in an amount equal to or greater than the withdrawn bid amount, then no final bid withdrawal payment will be assessed and, upon appropriate request, the Commission will refund the interim payment. If, in a subsequent auction, the winning bid amount for that license is less than the original bidder’s withdrawn bid amount, then the withdrawing bidder will be required to make a final bid withdrawal payment equal to either the difference between its net withdrawn bid and the subsequent net winning bid, or the difference between its gross withdrawn bid and the subsequent gross winning bid, whichever difference is smaller. The interim payment will be applied toward the final bid withdrawal payment.
3. Attachment Cidentifies bidders that owe withdrawal payments to the Commission as a result of bid withdrawals made in Auction 97. Any upfront payments or down payments that the withdrawing bidder has deposited with the Commission will first be applied to satisfy the withdrawal payment amount(s) due before being applied toward a winning bidder’s down payment.

### Bid Default/Disqualification Payments from Auction 97

1. If a winning bidder defaults or is disqualified after the close of the auction (i.e., fails to remit the required down payment and any withdrawal payment(s) by the specified deadline, fails to submit a timely long-form application, fails to make full payment of the balance of its winning bid(s) by the specified deadline, or is otherwise disqualified for any reason), the defaulting bidder will be subject to the payment obligations described in section 1.2104(g)(2).[[25]](#footnote-26) These payment obligations include a deficiency payment and an additional payment amount. The deficiency payment component applies only in the event that the subsequent winning bid the next time a license covering the same spectrum is won in an auction is less than the defaulted bid. The deficiency payment amount is equal to the difference between the amount of the defaulter’s bid and the amount of the subsequent winning bid. The additional payment amount is owed by each defaulting bidder and is equal to a percentage of the defaulter’s bid or the subsequent winning bid, whichever is less.[[26]](#footnote-27) The additional default payment for Auction 97 licenses was set at fifteen percent of the applicable bid.[[27]](#footnote-28)
2. If a winning bidder fails to remit the required down payment by the February 13, 2015 deadline specified in this Public Notice, the bidder will be deemed to have defaulted, its long-form application will be dismissed, and it will be liable for a default payment as described above.[[28]](#footnote-29)
3. If a winning bidder fails to pay the balance of its winning bid in a lump sum by the deadline specified in this Public Notice, it will be allowed to make a late payment within ten business days after the payment deadline, provided that it also pays a late fee equal to five percent of the amount due.[[29]](#footnote-30) If a winning bidder fails to pay (a) the balance of its winning bid by the payment deadline on March 2, 2015, or (b) the balance of its winning bid plus the late fee by the late payment deadline on March 16, 2015, it will be deemed to have defaulted, and it will be subject to applicable default payments.[[30]](#footnote-31)
4. The Commission will review an applicant’s long-form application only after receipt of full and timely payment for the winning bid amount and any applicable late fees. The relevant license will be granted only after full and timely payment of any winning bids (and any applicable late fees) and a determination that the long-form application meets Commission requirements for grant.[[31]](#footnote-32)
5. A bidder that is found to have violated the antitrust laws or the Commission’s rules in connection with its participation in the competitive bidding process may be subject, in addition to any other applicable sanctions, to forfeiture of its upfront payment, down payment, or full bid amount, and may be prohibited from participating in future auctions.[[32]](#footnote-33)

## Refund of Excess Payments

1. Upfront monies on deposit that are in excess of an applicant’s Auction 97 obligations may be refunded to the payer of record as identified on the FCC Form 159. To receive a refund, an applicant must submit a refund request and provide wire transfer instructions. Each applicant can provide this information by using the Commission’s Integrated Spectrum Auction System (“ISAS”) to file its refund information electronically using the “See Wire Transfer for Refund Purposes” link found on the My Auctions page by **February 13, 2015**. After this date, an applicant must send a written request for refund, along with the necessary wire transfer instructions and FRN, by fax to Gail Glasser of the Office of the Managing Director at (202) 418-2843 (FAX). Any questions concerning refunds should be referred to Gail Glasser at (202) 418-0578. An applicant seeking a refund should verify that the Tax Identification Number (“TIN”) associated with its FRN is correct by visiting the FCC Registration Number website <https://apps.fcc.gov/coresWeb/publicHome.do> to update its records before submitting a refund request. An FRN with no TIN on file cannot be processed until a TIN is provided.

## FCC Form 601

1. **By 6:00 p.m. ET on February 13, 2015**, each winning bidder must submit electronically a properly-completed long-form application (FCC Form 601) for all licenses for which it was the winning bidder in Auction 97. Attachment D provides instructions for completing the long-form application and describes how certain information will be automatically transferred from a winning bidder’s short-form application (FCC Form 175) to its long-form application (FCC Form 601).
2. An applicant that fails to submit the required long-form application before the specified deadline and fails to establish good cause for any late-filed submission shall be deemed to have defaulted and shall be subject to the payments set forth in section 1.2104(g) of the Commission’s rules.[[33]](#footnote-34)

## Tribal Lands Bidding Credit

1. The Commission has implemented a tribal lands bidding credit to encourage the growth of wireless services on the lands of federally-recognized tribes. For information relating to the tribal lands bidding credit, see Attachment D.[[34]](#footnote-35)

## FCC Form 602

1. Pursuant to sections 1.919 and 1.2107(f) of the Commission’s rules, an applicant for a license in an auctionable service must, at the time of submitting its FCC Form 601, have on file with the Commission a current ownership disclosure information report (FCC Form 602) providing the applicant’s complete and accurate ownership information.[[35]](#footnote-36) As explained in Attachment D, filing an ownership disclosure information report (FCC Form 602) is a separate requirement from, and in addition to, the ownership reporting requirements associated with filing an FCC Form 601, Exhibit A.[[36]](#footnote-37) A winning bidder should carefully follow the instructions set forth in Attachment D when filing its ownership disclosure report.

## Maintaining Accuracy of Information

1. After the auction closes, all required changes to an applicant’s information must be made by filing or amending the applicant’s long-form application(s) (FCC Form 601) in the Commission’s Universal Licensing System.[[37]](#footnote-38) With the release of this Public Notice, applicants are no longer required to maintain the accuracy and completeness of information furnished on their short-form applications and exhibits.

## Application Processing, Petitions to Deny, and License Grant

1. After its initial review of the long-form applications, the Bureau will issue a public notice listing the applications that are acceptable for filing. Pursuant to section 1.2108(b) of the Commission’s rules, interested parties will have tendays from the release of that public notice within which to file petitions to deny any of these applications.[[38]](#footnote-39) An applicant may file an opposition to any petition to deny within five business days after the time for filing petitions to deny has expired.[[39]](#footnote-40) Replies must be filed within fivebusiness days after the time for filing oppositions to a petition to deny has expired.[[40]](#footnote-41) The Commission reminds all parties and their counsel that the Commission intends to use its authority fully to deter the filing of frivolous pleadings.[[41]](#footnote-42)
2. After the long-form review process is completed, if Commission staff determines that additional payment from an applicant is due, the Bureau will provide further instructions in a future public notice or by demand letter.[[42]](#footnote-43) If Commission staff determines that an applicant is otherwise qualified and that there are no substantial and material issues of fact, the Bureau will issue a public notice announcing grant of the license to the applicant.[[43]](#footnote-44)

# OTHER IMPORTANT INFORMATION

## Continuing Prohibition on Certain Communications

1. To ensure the competitiveness of the auction process, the Commission’s rules prohibit auction applicants for licenses in any of the same or overlapping geographic license areas from communicating with each other about bids, bidding strategies, or settlements unless such applicants have identified each other on their short-form applications as parties with whom they have entered into agreements under section 1.2105(a)(2)(viii).[[44]](#footnote-45) As explained more fully in the *Auction 97 Procedures Public Notice*,this prohibition began at the short-form application filing deadline at 6:00 p.m. ET on September 12, 2014 and continues until the down payment deadline, which is **6:00 p.m. ET on February 13, 2015**.[[45]](#footnote-46)
2. The prohibition on certain communications applies to all applicants in Auction 97 unless they have identified each other on their short-form applications as parties with whom they have entered into agreements under section 1.2105(a)(2)(viii), regardless of whether an applicant became a qualified bidder or actually participated in the bidding.[[46]](#footnote-47) This prohibition continues for all applicants until the down payment deadline regardless of whether an applicant is a winning bidder or needs to make an additional payment by the down payment deadline.[[47]](#footnote-48) Each applicant in this auction certified its compliance with section 1.2105(c) when it filed its short-form application.[[48]](#footnote-49)

## Return of SecurID® Tokens

1. The SecurID® tokens distributed to qualified bidders are tailored to this auction and will not function in future auctions. The Commission will send each bidder, along with the copy of this Public Notice, a pre-addressed, stamped envelope to return its SecurID® tokens. Each bidder should return its SecurID® token(s) to the Commission for recycling by **February 13, 2015**.

## Contact Information

1. For further information, contact:

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| --- | --- |
| **News Media** | **Wireless Telecommunications Bureau**  Cecilia Sulhoff at (202) 418-0587 |
| **Licensing Information**  Service Rules, Policies, Regulations  Licensing Issues, Engineering Issues  Due Diligence, Incumbency Issues  Filing Forms 601 and 602 | **Broadband Division**  Genevieve Ross (Attorney) or Janet Young (Engineer) at (202) 418-2487  **ULS Support Hotline**  (877) 480-3201, option 2  (717) 338-2824 (TTY) |
| **Auction Payment Information**  Wire Transfers  Refunds | **FCC Auctions Accounting Branch**  Gail Glasser at (202) 418-0578, or  Theresa Meeks at (202) 418-2945, or (202) 418‑2843 (fax) |
| **Auction 97 Information**  General Auction Information, Process, and Procedures  Auction Rules, Policies, and Regulations | **Auctions and Spectrum Access Division**  Linda Sanderson (Project Manager) or  Jeff Crooks (Auction Analyst) at  (202) 418-0660  Valerie Barrish (Attorney) at (202) 418-0660 |
| **Accessible Formats**  Braille, large print, electronic files, or  audio format for people with disabilities | **Consumer and Governmental Affairs Bureau**  (202) 418-0530 or (202) 418-0432 (TTY)  [fcc504@fcc.gov](mailto:fcc504@fcc.gov) |
| **FCC Internet Sites** | [http://www.fcc.gov](http://www.fcc.gov/)  <http://wireless.fcc.gov/auctions>  [http://wireless.fcc.gov/uls](http://wireless.fcc.gov/uls/index.htm?job=home) |

**- FCC -**

1. *See* “Auction of Advanced Wireless Services (AWS-3) Licenses Scheduled for November 13, 2014; Notice and Filing Requirements, Reserve Prices, Minimum Opening Bids, Upfront Payments, and Other Procedures for Auction 97, AU Docket No. 14-78, *Public Notice*, DA 14-10185, 29 FCC Rcd 8386, 8437-40 ¶¶ 184-192 (2014) (*Auction 97 Procedures Public Notice*). [↑](#footnote-ref-2)
2. *Id*. at 8438-39 ¶¶ 187-188. [↑](#footnote-ref-3)
3. The amounts listed in Attachment B are based on upfront payments and net winning bids. [↑](#footnote-ref-4)
4. *Auction Procedures Public Notice*, 29 FCC Rcd at 8448 ¶ 228. [↑](#footnote-ref-5)
5. 47 C.F.R. § 1.2107(b). [↑](#footnote-ref-6)
6. *Id.* In the event a bidder has withdrawn a bid and is subject to a bid withdrawal payment, the bidder’s upfront payment will be first applied to satisfy the withdrawal payment before being applied toward its down payment. *See* 47 C.F.R. § 1.2104(g)(1). [↑](#footnote-ref-7)
7. *See* Section III.D., “Withdrawal, Default and Disqualification Payments,” below. [↑](#footnote-ref-8)
8. *Auction Procedures Public Notice*, 29 FCC Rcd at 8448-49 ¶ 229. [↑](#footnote-ref-9)
9. 47 C.F.R. § 1.2109(a). [↑](#footnote-ref-10)
10. *Id*. A winning bidder that is found unqualified to be a Commission licensee will be deemed to have defaulted, its application will be dismissed, and it will be liable for the payment set forth in section 1.2104(g)(2) of the Commission’s rules. *See* 47 C.F.R. §§ 1.2104(g), 1.2109(c). [↑](#footnote-ref-11)
11. 47 C.F.R. § 1.2109(a). [↑](#footnote-ref-12)
12. *Id*. [↑](#footnote-ref-13)
13. *See* section III.D., “Withdrawal, Default and Disqualification Payments,” below. [↑](#footnote-ref-14)
14. 47 C.F.R. § 1.2110(f)(3)(vi). [↑](#footnote-ref-15)
15. 47 C.F.R. § 1.2109(a). [↑](#footnote-ref-16)
16. 47 C.F.R. § 1.2110(f)(3)(vi). [↑](#footnote-ref-17)
17. The wire transfer must be initiated by the winning bidder through its bank authorizing the bank to wire funds from the bidder’s account to the Commission’s account designated to receive payments for financial obligations resulting from Auction 97. [↑](#footnote-ref-18)
18. Copies of the FCC Form 159 may be obtained by calling the Commission’s Forms Distribution Center at (800) 418-3676 (outside Washington, DC) or (202) 418-3676. Copies of the FCC Form 159 can also be obtained via the Internet (<http://www.fcc.gov/formpage.html>) or by calling from the handset of a fax machine the Commission’s Fax Information System at (202) 418-0177. [↑](#footnote-ref-19)
19. *See, e.g,* Letter to Lee G. Petro from Margaret W. Wiener, Chief, Auctions and Spectrum Access Division, Wireless Telecommunications Bureau, DA 10-1270, 25 FCC Rcd 9046 (2010); Letter to David G. O’Neil from Margaret W. Wiener, Chief, Auctions and Spectrum Access Division, Wireless Telecommunications Bureau, DA 08-622, 23 FCC Rcd 4765 (2008). [↑](#footnote-ref-20)
20. *See* 47 C.F.R. §§ 1.2104(g), 1.2109. [↑](#footnote-ref-21)
21. *See* 47 C.F.R. § 1.2104(g)(1). [↑](#footnote-ref-22)
22. *Id*. [↑](#footnote-ref-23)
23. *See* *id*. *See also* *Auction 97 Procedures Public Notice*, 29 FCC Rcd at 8446-47 ¶¶ 220-222. [↑](#footnote-ref-24)
24. *See* 47 C.F.R. §§ 1.2104(g)(1), 1.2106(d). If the withdrawing bidder is a winning bidder, the total amount it will be required to have on deposit by the down payment deadline will be any amount owed for its bid withdrawal(s) plus twenty percent of the net amount of its winning bids. If the bidder fails to pay both the withdrawal payments and down payments owed by that deadline, it will be in default. In the event that a withdrawing bidder is not a winning bidder and its deposits with the Commission do not fully cover the amount of any withdrawal payment, the Bureau will separately assess, and the withdrawing bidder will be required to pay, such difference. [↑](#footnote-ref-25)
25. 47 C.F.R. § 1.2104(g)(2). *See also* 47 C.F.R. § 1.2109; *Auction 97 Procedures* *Public Notice*, 29 FCC Rcd at 8450 ¶ 239. [↑](#footnote-ref-26)
26. *Id*. [↑](#footnote-ref-27)
27. *Auction 97 Procedures Public Notice*, 29 FCC Rcd at 8451 ¶ 240. [↑](#footnote-ref-28)
28. 47 C.F.R. §§ 1.2104(g)(2), 1.2109(b). [↑](#footnote-ref-29)
29. 47 C.F.R. § 1.2109(a). [↑](#footnote-ref-30)
30. 47 C.F.R. §§ 1.2104(g)(2), 1.2109(a), 1.2109(c). [↑](#footnote-ref-31)
31. *See* 47 C.F.R. § 1.2109(a). [↑](#footnote-ref-32)
32. 47 C.F.R. § 1.2109(d). [↑](#footnote-ref-33)
33. 47 C.F.R. §§ 1.2104(g), 1.2107(c). [↑](#footnote-ref-34)
34. On November 12, 2014, the Wireless Telecommunications Bureau granted a request for waiver of section 1.2110(f)(3)(i) of the Commission’s rules to treat all of the Eastern Navajo Agency in New Mexico as a federally recognized tribal land for purposes of the tribal lands bidding credits that are available to winning bidders in Auction 97. *See* Request for Waiver of the Definition of ‘Federally Recognized Tribal Land’ Under Section 1.2110(f)(3)(i) of the Commission’s Rules to Include Additional Areas within the Eastern Navajo Agency of the Navajo Nation, DA 14-1638 (WTB, rel. Nov. 12, 2014). *See* Attachment D, “Instructions for Completing FCC Form 601 and FCC Form 602,” for specific Universal Licensing System (ULS) filing instructions. [↑](#footnote-ref-35)
35. 47 C.F.R. §§ 1.919, 1.2107(f). [↑](#footnote-ref-36)
36. The FCC Form 601 ownership reporting requirement can be fulfilled by referencing the file number, date, and name of filer of the appropriate FCC Form 602. See discussion in Attachment D, “Instructions for Completing FCC Form 601 and FCC Form 602.” [↑](#footnote-ref-37)
37. 47 C.F.R. § 1.65. [↑](#footnote-ref-38)
38. 47 C.F.R. § 1.2108(b). [↑](#footnote-ref-39)
39. 47 C.F.R. § 1.2108(c). [↑](#footnote-ref-40)
40. *Id*. [↑](#footnote-ref-41)
41. *See* Commission Taking Tough Measures Against Frivolous Pleadings, *Public Notice*, FCC 96-42, 11 FCC Rcd 3030 (1996). [↑](#footnote-ref-42)
42. Commission staff may determine, for example, that a winning bidder is not entitled to the level of bidding credit that it has claimed and may require an additional payment to cover the amount of any percentage discount for which it was not eligible. [↑](#footnote-ref-43)
43. *See* 47 C.F.R. §§ 1.2108(d), 1.2109(a). [↑](#footnote-ref-44)
44. 47 C.F.R. §§ 1.2105(a)(2)(viii), 1.2105(c). *See also* Amendment of Part 1 of the Commission’s Rules – Competitive Bidding Procedures, WT Docket No. 97-82, *Seventh Report and Order*, FCC 01-270, 16 FCC Rcd 17546 (2001); *Order on Reconsideration of the Third Report and Order, Fifth Report and Order, and Fourth Further Notice of Proposed Rule Making*,FCC 00-274, 15 FCC Rcd 15293, 15297-98 ¶¶ 7-8 (2000). [↑](#footnote-ref-45)
45. *See Auction 97 Procedures Public Notice*, 29 FCC Rcd at 8392-98 ¶¶ 11-34. [↑](#footnote-ref-46)
46. *Id*. at 8393 ¶¶ 12-13. [↑](#footnote-ref-47)
47. *Id*. at 8394 ¶ 18. [↑](#footnote-ref-48)
48. 47 C.F.R. § 1.2105(a)(2)(ix). [↑](#footnote-ref-49)