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DA 26-112

SMALL ENTITY COMPLIANCE GUIDE

Auction of Advanced Wireless Services (AWS-3) Licenses (Auction 113 Procedures)

**DA 25-1075
AU Docket No. 25-117
Released December 18, 2025**

In accordance with Section 212 of the Small Business Regulatory Enforcement Fairness Act of 1996, this Small Entity Compliance Guide (Guide) is intended to help small entities—small businesses, small organizations (non-profits), and small governmental jurisdictions—comply with the requirements announced in the above-referenced *Auction 113 Procedures Public Notice*. This Guide is not intended to replace or supersede rules adopted by the Federal Communications Commission (Commission or FCC) in rulemaking dockets, but to facilitate compliance with Commission rules. Although we have attempted to cover all parts of the Auction 113 procedures that might be especially important to small entities, the coverage may not be exhaustive. This Guide cannot anticipate all situations in which the Commission rules apply. Furthermore, the Commission retains the discretion to adopt case-by-case approaches, where appropriate, that may differ from this Guide. Any decision regarding a particular small entity will be based on the statute and any relevant rules.

In any civil or administrative action against a small entity for a violation of Commission rules, the content of the Guide may be considered as evidence of the reasonableness or appropriateness of proposed fines, penalties or damages. Interested parties are free to file comments in AU Docket No. 25-117 regarding this Guide and the appropriateness of its application to a particular situation. The Commission will then consider whether the recommendations or interpretations in the Guide are appropriate in that situation. The Commission may decide to revise this Guide without public notice to reflect changes in the Commission's approach to implementing a rule, or it may clarify or update the text of the Guide. Please direct comments and recommendations, or requests for further assistance, to the FCC's Consumer Center:

1-888-CALL-FCC (1-888-225-5322)

Videophone: 1-844-4-FCC-ASL (1-844-432-2275)

Fax: 1-866-418-0232

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I. OBJECTIVES OF THE PROCEEDING

This Small Entity Compliance Guide (Guide) is designed to help individuals and small businesses understand the filing requirements and other procedures to be used for Auction 113. This Guide **is not a substitute** for reading and reviewing the orders, rules, and public notices applicable to the auction, nor is it a substitute for legal advice on how the competitive bidding rules apply to your circumstances.

In Auction 113, the Commission is offering 200 Advanced Wireless Services (AWS) licenses for spectrum in the Commission’s inventory in the 1695-1710 MHz, 1755-1780 MHz, and 2155-2180 MHz bands. As explained in the *Auction 113 Procedures Public Notice*,¹ Auction 113 will bring valuable 5G-ready spectrum to market to the benefit of consumers and the U.S. economy. Proceeds from this auction will fund the Commission’s ongoing efforts through its Supply Chain Reimbursement Program to protect American networks from untrustworthy and insecure foreign equipment.

The *Auction 113 Procedures Public Notice* provides details regarding the procedures, terms, and conditions, as well as dates and deadlines, governing participation in Auction 113 and an overview of the post-auction application and payment processes. Additional materials to assist small business entities in complying with the rules and procedures for Auction 113, such as the *Auction 113 Application Tutorial*, *FCC Form 175 Application Filing Instructions*, and the *Auction 113 Technical Guide* can be found in the Education section on the Commission’s Auction 113 website at www.fcc.gov/auction/113.

II. COMPLIANCE REQUIREMENTS

A. Auction Specifics

Bidding in Auction 113 is scheduled to begin on **Tuesday, June 2, 2026**. The procedures for Auction 113 are substantially consistent with the auction procedures applied to other Commission wireless spectrum auctions.

- Any party interested in participating in the auction must first file an application to participate in the auction (FCC Form 175), also known as a “short-form application.” The window for filing short-form applications begins on January 26, 2026, and all short-form applications must be submitted prior to 6:00 p.m. Eastern Time (ET) on **February 11, 2026**.
- An applicant must submit a sufficient upfront payment before 6:00 p.m. ET on **April 8, 2026**. A timely submitted upfront payment must be accompanied by a complete and accurate FCC Remittance Advice Form (FCC Form 159), following the procedures and instructions set forth in the *Auction 113 Procedures Public Notice*.
- Various resources are available to assist small business entities in complying with the rules and procedures for Auction 113 and can be found in the Education section on the Commission’s Auction 113 website at www.fcc.gov/auction/113. These include: (1) instructions for completing the short-form application, and (2) web-based, interactive online tutorials produced by Commission staff explaining auction procedures, filing requirements, bidding procedures, and other matters related to the auction.

Licenses. The AWS-3 spectrum available in Auction 113 will be licensed on a geographic area basis. Of the 200 licenses offered in Auction 113, the 48 licenses located in the A1 block (1695-1700 MHz), B1 block (1700-1710 MHz), H block (1760-1765/2160-2165), I block (1765-1770/2165-2170), and J block

¹ *Auction of Advanced Wireless Services (AWS-3) Licenses; Notice and Filing Requirements, Minimum Opening Bids, Upfront Payments, and Other Procedures for Auction 113; Bidding Scheduled to Begin June 2, 2026*, AU Docket No. 25-117, Public Notice, DA 25-1075 (OEA/WTB rel. Dec. 18, 2025) (*Auction 113 Procedures Public Notice*).

(1770-1780 MHz/2170-2180 MHz) are based on Economic Areas (EAs) and the 152 licenses located in the G block (1755-1760/2155-2180) are based on Cellular Market Areas (CMAs).

- The AWS-3 frequencies will be licensed in paired and unpaired five and ten megahertz blocks, with each license having a total bandwidth of five, ten, or twenty megahertz (MHz).
- The list of licenses to be offered in Auction 113 is available in the Attachment A file on the Auction 113 website at www.fcc.gov/auction/113.

Incumbent Protection. The AWS-3 bands are being used currently for a variety of government and non-government uses. In 2014, the Commission allocated the 1695-1710 MHz and 1755-1780 MHz bands for commercial use.

- Licenses in the 1695-1710 MHz band are being made available on a shared basis with incumbent Federal meteorological-satellite data users. AWS-3 licenses in the 1755-1780 MHz band are being made available on a shared basis with a limited number of Federal incumbents indefinitely, and some Federal systems that have or will relocate out of the band over time.
- Licenses to operate in the 1695-1710 MHz and 1755-1780 MHz bands are subject to the condition that the AWS-3 licensee must not cause harmful interference to an incumbent Federal entity relocating from these bands under an approved Transition Plan. This condition remains in effect until the National Telecommunications and Information Administration (NTIA) terminates the applicable authorization of the incumbent Federal entity.
- In addition, AWS-3 licensees in the 1755-1780 MHz band must agree to accept interference from incumbent Federal users while the incumbent remains authorized to operate in the band. AWS-3 licensees in the 2155-2180 MHz band may have to protect or relocate and/or share in the cost of relocating non-Federal incumbent Fixed Microwave and Broadband Radio Service licensees in the band.
- AWS-3 licenses in the 1695-1710 MHz and 1755-1780 MHz bands are required to successfully coordinate with Federal incumbent users in these bands prior to operating in designated protection zones. AWS-3 licensees in the 1695-1710 MHz bands operating at certain power levels are required to coordinate with Federal incumbents in those protection zones and higher-powered operations would generally require nationwide coordination.
- Similarly, operations in the 1755-1780 MHz band are subject to successful coordination with Federal incumbents in the protection zones adopted for that band, with the default coordination zone being nationwide.
- Prior to commencing operations in the 1755-1780 MHz band, an AWS-3 licensee must reach a coordination arrangement on an operator-to-operator basis with each Federal agency that has an assignment with United States and Possessions authority. In 2014, various refinements were adopted to the previously-defined protection zones for each of these bands. The *FCC/NTIA Coordination Procedures Public Notice* contains various refinements to the previously-defined protection zones for each of these bands.² At the same time, information and guidance was provided on the overall coordination process for these bands, including informal pre-coordination discussion and the formal process of submitting coordination requests to relevant Federal agencies and receiving responses from relevant Federal agencies. Each potential applicant should carefully review these coordination requirements and the policies and procedures adopted by the

² See *The Federal Communications Commission and the National Telecommunications and Information Administration: Coordination Procedures in the 1695-1710 MHz and 1755-1780 MHz Bands*, GN Docket No. 13-185, Public Notice, 29 FCC Rcd 8527, 8530-35, 8540-42, 8542-69 (WTB 2014) (*FCC/NTIA Coordination Procedures Public Notice*).

Commission to implement them. Each potential applicant should carefully consider the impact of these requirements and policies on its business plans.

- Potential Auction 113 applicants should pay particular attention to the requirements presented by the temporary and indefinite sharing of portions of the AWS-3 bands by incumbent Federal users and AWS-3 licensees, which may vary by geography and frequency. The information in both the *FCC/NTIA Coordination Procedures Public Notice* and federal agencies' approved transition plans will be material to an applicant's potential participation in Auction 113. Therefore, we strongly encourage each potential applicant to closely review these materials, as well as future releases from the Commission and NTIA concerning these incumbent protection issues, and to carefully consider the technical and economic implications for commercial use of the AWS-3 bands.

Due Diligence Requirements. Each potential bidder is solely responsible for investigating and evaluating all technical and marketplace factors that may have a bearing on the potential uses of a license that it may seek in Auction 113. The Commission makes no representations or warranties about the use of this spectrum for particular services. The Commission makes no representations or guarantees regarding the accuracy or completeness of information in its databases or any third-party databases. The Commission makes no representations or guarantees regarding the accuracy or completeness of information that has been provided by incumbent licensees and incorporated into its databases.

- We encourage each potential bidder to perform technical analyses and/or refresh its previous analyses to assure itself that, should it become a winning bidder for any Auction 113 license, it will be able to build and operate facilities that will fully comply with all applicable technical and legal requirements.
- We urge each applicant to inspect any prospective sites for communications facilities located in, or near, the geographic area for which it plans to bid, confirm the availability of such sites, and to familiarize itself with the Commission's rules regarding the National Environmental Policy Act, the National Historic Preservation Act, and any other environmental statutes that may apply.

Applicant Responsibilities. As specified in section 27.1105 of the Commission's rules, Auction 113 will be governed by the competitive bidding procedures in part 1, subpart Q, of the Commission's rules. The Commission also has adopted rules regarding the AWS-3 bands, as well as the licensing and operating rules that are applicable to all part 27 services.³ On July 24, 2025, the Commission adopted an order revising the part 27 rules that had applied to the Commission's first auction of AWS-3 spectrum in 2014.⁴ Prospective applicants should familiarize themselves with those rules, including amendments and clarifications to those rules, as well as Commission decisions regarding competitive bidding procedures, application requirements, and obligations of Commission licensees.

- In addition, applicants must be thoroughly familiar with the procedures, terms, and conditions in the *Auction 113 Procedures Public Notice* and any future public notices related to Auction 113 that may be released. It is the responsibility of each applicant to remain current with all Commission rules and with all public notices pertaining to Auction 113. Each is required to certify, under penalty of perjury, that it has read the *Auction 113 Procedures Public Notice* and has familiarized itself with the auction procedures and the service rules for the AWS-3 bands.

³ See generally 47 CFR part 27, subpart M; 47 CFR § 2.106.

⁴ See *Enhancing National Security Through the Auction of AWS-3 Spectrum Licenses; Applying New Average Annual Gross Revenue Benchmarks for Small Business Bidding Credits; Amendment of the Commission's Rules with Regard to Commercial Operations in the 1695-1710 MHz, 1755-1780 MHz, and 2155-2180 MHz Bands*, GN Docket Nos. 25-70, 25-71, 13-185, Report and Order and Second Report and Order, 40 FCC Rcd 5544 (2025).

- An Auction 113 applicant is responsible for submitting an accurate, complete, and timely short-form application (FCC Form 175), including each required certification.
- An Auction 113 applicant must submit a sufficient upfront payment for at least one of the licenses offered in Auction 113 and an FCC Remittance Advice Form (FCC Form 159) before 6:00 p.m. ET on April 8, 2026, following the procedures and instructions specified in the *Auction 113 Procedures Public Notice*.

B. Application Procedures

Any party interested in participating in Auction 113 is required to file a short-form application (FCC Form 175) to ensure that it is qualified to participate in the auction. The short-form application must be filed electronically via the Auction Application Portal in the Commission’s new Auction Application System (AAS), following the procedures prescribed in the *Auction 113 FCC Form 175 Application Filing Instructions*, which can be located in the Education section on the Auction 113 website at www.fcc.gov/auction/113.

In order to access the Auction Application Portal within the new AAS, each individual must have a unique email address associated with an FCC Username Account that is linked to an applicant’s FCC Registration Number (FRN) in the Commission Registration System (CORES). To create a new auction application or to view or edit an existing application for the applicant, each individual also must have been granted previously the appropriate permissions by the CORES Administrator for that FRN. On January 7, 2026, the FCC expects to make AAS available to the public for FRN Administrators to assign the appropriate auction permission to each unique FCC Username account associated with that FRN.⁵

- An applicant seeking to participate in Auction 113 must certify in an attachment in its short-form application, under penalty of perjury, that that it has read the public notice adopting procedures for Auction 113 and that it has familiarized itself both with those procedures and with the requirements for obtaining a license and operating facilities in the AWS-3 bands.
- Each applicant in Auction 113 wishing to bid on any license in the 1755-1780 MHz band must submit, as an attachment to its short-form application, a signed statement acknowledging that the applicant’s operations in the 1755-1780 MHz may be subject to interference from Federal systems, that the applicant must accept interference from incumbent Federal operations, and that the applicant has considered these risks before submitting any bids for applicable licenses in Auction 113. The acknowledgement statement must be signed by the same individual that signs to certify the Auction 113 application on behalf of the applicant.
- An applicant whose application contains deficiencies is provided a limited opportunity to bring its application into compliance with the Commission’s auction application rules during a resubmission window.
- Parties that timely submit a short-form applications are subject to the Commission’s part 1 subpart Q competitive bidding rules regarding application requirements and certifications (e.g., joint bidding agreements relating to the spectrum licenses subject to auction) and the rules prohibiting certain communications. For example, the prohibition on certain communications for applicants in Auction 113 will begin at the short-form application filing deadline on February 11, 2026, and will end at the down payment deadline for Auction 113, to be announced in a future public notice.

⁵ The Commission will release a public notice announcing the date on which the public may access the Commission’s new AAS and will provide additional instructions therein.

- Certain information required on the short-form application (FCC Form 175) is necessary to ensure that only applicants that qualify as a small business or a rural service provider receive the bidding credits offered to such entities.

Provisions for Designated Entities

In Auction 113, bidding credits are available to applicants demonstrating eligibility for a small business bidding credit or a rural service provider bidding credit and subsequently winning license(s). Bidding credits are not cumulative—for each auction, an eligible applicant is permitted to claim either a small business bidding credit or a rural service provider bidding credit, but not both.

For Auction 113:

- A bidder with attributed average annual gross revenues that do not exceed \$55 million for the preceding five years is eligible to receive a 15% discount on its winning bid.
- A bidder with attributed average annual gross revenues that do not exceed \$20 million for the preceding five years is eligible to receive a 25% discount on its winning bid.
- A bidder satisfying the eligibility requirements for a rural service provider bidding credit is eligible to receive a 15% discount on its winning bid.

The *Auction 113 Procedures Public Notice* established caps on the total amount of bidding credits that may be awarded to an eligible small business or rural service provider in Auction 113.

- There is a \$25 million cap on the total bidding credit discount that may be awarded to an eligible small business.
- There is a \$10 million cap on the total bidding credit discount that may be awarded to an eligible rural service provider.
- No winning designated entity bidder may receive more than \$10 million in bidding credit discounts in total for Auction 113 licenses won in markets with a population of 500,000 or fewer.

C. Bidding Procedures

Bidding in Auction 113 will be conducted using an ascending clock-1 auction format. The clock-1 auction format is similar to the clock phase of previous Commission ascending clock auctions, but rather than offering multiple generic spectrum blocks in a category in a geographic area, each frequency-specific license in a geographic area (CMA or EA) will constitute its own category with a supply of 1. Therefore, in the clock-1 auction format adopted for Auction 113, bidders will bid on frequency-specific licenses.

Each bidder will be able to bid for specific licenses in bidding rounds, in license-by-license bidding. The auction will proceed in a series of rounds, with bidding conducted simultaneously for all licenses available in the auction. For each bidding round, the bidding system will announce a clock price for each license, and a bidder will indicate its demand for licenses at the prices associated with the current round. Under the clock-1 auction format, a bidder's demand for a license can be zero or 1.

- The clock price for a license will increase from round-to-round if more than one bidder indicates demand for the license. The bidding rounds will continue until the number of bidders demanding each license does not exceed one. All licenses remain available for bidding until no license has excess demand. Once bidding rounds stop, the bidder with demand for a license will become the winning bidder.

- Bidding rounds will be open for predetermined periods of time. Bidders will be subject to activity and eligibility rules that govern the pace at which they participate in an auction.
- The *Auction 113 Procedures Public Notice* provides further information about bidding procedures.
- Prior to the start of bidding, qualified bidders will be given an opportunity to become familiar with auction procedures and the bidding system by participating in a mock auction, scheduled to occur on May 29, 2026. Qualified bidders will have access to a user guide for the bidding system, bidding file formats, and an online bidding procedures tutorial in advance of the mock auction. This material will be found in the Education section on the Auction 113 website at www.fcc.gov/auction/113.

Additional procedures for Auction 113 include:

- Under anonymous bidding/limited information procedures, we will not make public until after bidding has closed: (1) the markets that an applicant selects for bidding in its short-form application, (2) the amount of any upfront payment made by or on behalf of an applicant for Auction 113, (3) any applicant's bidding eligibility, and (4) any other bidding-related information that might reveal the identity of the bidder placing a bid;
- Use of information procedures which would make public after each round of Auction 113, for each license, the aggregate demand, the posted price of the last completed round, and the clock price for the next round;
- Establishment of a specific upfront payment amount for each license available in Auction 113, with a bidder's initial bidding eligibility (in bidding units) based on that bidder's upfront payment through assignment of a specific number of bidding units for each license;
- Establishment of a specific minimum opening bid amount for each license available in Auction 113, based on \$0.01 per MHz-pop for the paired licenses in areas with a population of less than 300,000, \$0.02 per MHz-pop for the paired licenses in areas with a population of at least 300,000 and less than 1,000,000, \$0.05 per MHz-pop for the paired licenses in areas with a population of at least 1,000,000, and \$0.01 per MHz-pop for the unpaired licenses. For all licenses, minimum opening bids will be subject to a minimum of \$1,000 per license;
- Use of an activity rule requiring bidders to be active on between 90% and 100% of their bidding eligibility in all clock rounds, with the initial activity requirement percentage set at 95%, with the specific percentage for each round to be set by the Office of Economics and Analytics (OEA), and with OEA retaining discretion to change the activity requirement percentage during the auction;
- An option to permit a bidder to submit a proxy instruction to reduce its demand for a license to zero at a price higher than the current round's clock price, which will allow a bidder to express its demand without needing to monitor every round of the auction, and a requirement that each bidder indicate its demand in every round or submit appropriate proxy instructions;
- Establishment of acceptable bid amounts, including clock price increments and intra-round bids, along with a proposed methodology for calculating such amounts;
- Establishment of a methodology for processing bids and requests to reduce or increase demand subject to the "no excess supply" rule for bids to reduce demand and the eligibility rule for bids to increase demand, and as a direct result, under the no excess supply rule, the FCC

auction bidding system will not allow a bidder to reduce its demand for a license if the reduction would cause aggregate demand to fall below one;

- Retention by OEA of discretion to change the bidding schedule in order to manage the pace of Auction 113;
- Establishment of an additional default payment of 20% under section 1.2104(g)(2) of the Commission’s rules in the event that a winning bidder defaults or is disqualified after the auction; and
- Provision of delegated authority to OEA, in conjunction with the Wireless Telecommunications Bureau, to exercise its discretion to delay, suspend, or cancel bidding in Auction 113 for any reason that affects the ability of the competitive bidding process to be conducted fairly and efficiently.

D. Post-Auction Procedures

Shortly after bidding ends in Auction 113, the Commission will issue a public notice declaring that the auction is closed and establishing the deadlines for winning bidders to submit down payments and final payments, as well as deadlines for filing long-form applications (FCC Form 601) and ownership disclosure information reports for wireless telecommunications services (FCC Form 602).

Compliance Requirements for Winning Bidders

Additional compliance requirements apply to winning bidders. As with other winning bidders, any individual or small entity that is a winning bidder will be required to comply with the following:

- Submit as a down payment sufficient funds (in addition to its upfront payment) to bring its total amount of money on deposit with the Commission to 20% of the net amount of its winning bids within 10 business days after release of the auction closing public notice for Auction 113;
- Submit the balance of the net amount for each of its winning bids within 10 business days after the down payment deadline;
- Electronically submit a properly completed post-auction application (FCC Form 601), also known as a long-form application, including the applicable filing fee and required exhibits, for the licenses won through Auction 113, within 10 days after release of the auction closing public notice;
- Provide as part of its long-form application (FCC Form 601) any agreement or arrangement it has entered into and a summary of the specific terms, conditions, and parties involved in any agreement it has entered into, including any bidding consortia, joint venture, partnership, or agreement, understanding, or other arrangement entered into relating to the competitive bidding process, and also including any agreement relating to the post-auction market structure;⁶
- A winning bidder claiming eligibility for a small business bidding credit or a rural service provider bidding credit must demonstrate its eligibility for the bidding credit sought in its FCC Form 601;⁷

⁶ Such agreements must have been entered into prior to the filing of short-form applications pursuant to section 1.2105 of the Commission’s rules. 47 CFR § 1.2105(a)(2)(viii).

⁷ 47 CFR § 1.2112(b).

- A winning bidder organized as a bidding consortium must comply with the FCC Form 601 post-auction application procedures specified in section 1.2107(g) of the Commission’s rules;
- Submit the required application filing fee with each long-form application (currently set at \$3730 per FCC Form 601); and
- Comply with the ownership reporting requirements in the Commission’s rules by electronically submitting a complete and accurate ownership disclosure information report for wireless telecommunications services (FCC Form 602) within 10 days after release of the auction closing public notice.

Tribal Lands Bidding Credit

A tribal land bidding credit is available to any winning bidder that commits to deploying facilities and providing services to qualifying Tribal lands.

- A qualifying tribal land for purposes of the tribal land bidding credit is defined as a qualifying Tribal area that has a wireline service penetration rate equal to or below 85%.
- The Tribal land bidding credit is in addition to, and separate from, any other bidding credit for which the applicant qualifies, such as the small business or rural service provider bidding credit.
- Unlike other bidding credits that are requested prior to bidding in the auction, a winning bidder applies for the tribal land bidding credit after the auction when it files its long-form application (FCC Form 601).
- Further information on tribal land bidding credits can be found on the Commission’s website by going to www.fcc.gov/auctions and clicking on the Tribal Lands Credits link.

Further instructions on these and other filing requirements will be provided to winning bidders in the auction closing public notice for Auction 113.

III. RECORDKEEPING AND REPORTING REQUIREMENTS

Pursuant to section 1.65 of the Commission’s rules, once an applicant submits a short-form application, it has a continuing obligation to maintain the accuracy and completeness of information furnished in the pending application.⁸ Specifically, an applicant for Auction 113 must furnish additional or corrected information to the Commission within five business days after a significant occurrence or amend its short-form application (FCC Form 175) no more than five business days after the applicant becomes aware of the need for the amendment. The *Auction 113 Procedures Public Notice* provides instructions for each Auction 113 applicant to maintain the accuracy of its short-form application electronically using the Auction Application System and/or by direct communication with Auctions Division staff.⁹

⁸ 47 CFR § 1.65.

⁹ *Auction 113 Procedures Public Notice* at 45-46, paras. 123-29.

IV. IMPLEMENTATION DATE

The instructions and procedures set forth in the *Auction 113 Procedures Public Notice* became effective upon publication of a summary of that public notice in the Federal Register on December 23, 2025.

Implementation dates and deadlines associated with the execution of Auction 113 can be found in the *Auction 113 Procedures Public Notice*. Further information will be provided in the auction closing public notice for this auction.

V. INTERNET LINKS

A copy of the *Auction 113 Procedures Public Notice* is available at: www.fcc.gov/document/procedures-established-auction-113-aws-3.

A copy of the Federal Register Summary of the *Auction 113 Procedures Public Notice* is available at: <https://www.govinfo.gov/content/pkg/FR-2025-12-23/pdf/2025-23785.pdf>.

Auction 113 general information is available at: www.fcc.gov/auction/113.