



# PUBLIC NOTICE

Federal Communications Commission  
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Washington, D.C. 20554

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DA 14-279  
February 28, 2014

## AUCTION OF H BLOCK LICENSES IN THE 1915-1920 MHz AND 1995-2000 MHz BANDS CLOSES

### WINNING BIDDER ANNOUNCED FOR AUCTION 96

**FCC Forms 601 and 602 Due March 14, 2014**  
**Final Payments Due March 28, 2014**  
**Ten-Day Petition to Deny Period**

#### I. INTRODUCTION

1. On February 27, 2014, the Federal Communications Commission (“Commission”) completed an auction of 176 H Block licenses in the 1915-1920 MHz and 1995-2000 MHz bands, which was designated Auction 96. An aggregate reserve price of \$1.564 billion was established for Auction 96.<sup>1</sup> The total winning bids in Auction 96 equaled the reserve price. This auction raised a total of \$1,564,000,000, with one bidder winning a total of 176 licenses.

#### II. AUCTION RESULTS

2. 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 the winning bidder and its total winning bid amounts.
- Attachment B:** “Bidder Payment/Refund” lists down payments and final payments owed by the winning bidder and refunds due to other applicants.<sup>2</sup>
- Attachment C:** “Withdrawal Payment Report” lists bid withdrawal payments owed by bidders, if any.

<sup>1</sup> See Auction of H Block Licenses in the 1915-1920 MHz and 1995-2000 MHz Bands Scheduled for January 14, 2014; Notice and Filing Requirements, Reserve Price, Minimum Opening Bids, Upfront Payments, and Other Procedures for Auction 96, AU Docket No. 13-178, *Public Notice*, DA 13-1885, 28 FCC Rcd 13019, 13064 ¶ 172 (2013) (*Auction 96 Procedures Public Notice*).

<sup>2</sup> The amounts listed in Attachment B are based on upfront payments and net winning bids.

**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 H Block licenses won in Auction 96.

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

3. Concurrent with the release of this Public Notice, the Commission is making available information previously withheld under the limited information procedures for Auction 96. Results files that include the identities of bidders and the net amounts of bids are now available on the web page for Auction 96 (<http://wireless.fcc.gov/auctions/96>) 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) remain available on the web page for Auction 96. 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>).

### III. POST-AUCTION PAYMENTS AND REQUIREMENTS

#### A. Down Payments

4. The Commission’s rules require that within ten business days after the release of this Public Notice, in this case by **6:00 p.m. Eastern Time (ET) on March 14, 2014**, each winning bidder in Auction 96 must have on deposit with the Commission enough funds to cover the down payment(s) on its winning bids.<sup>3</sup> Specifically, each winning bidder’s total deposit must be twenty percent of the aggregate net amount of its winning bids. The winning bidder’s upfront payment is sufficient to meet this requirement, so it need not deposit additional funds to meet its required down payment.<sup>4</sup>

#### B. Final Payments

5. The 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 28, 2014 or (Refund)” column of Attachment B.<sup>5</sup> 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 28, 2014** (or by 6:00 p.m. ET on April 11, 2014, along with the five percent late fee required by section 1.2109(a) of the Commission’s rules), even if the winning bidder plans to apply for a tribal lands bidding credit.<sup>6</sup> 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).<sup>7</sup> 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).<sup>8</sup>

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<sup>3</sup> 47 C.F.R. § 1.2107(b).

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

<sup>5</sup> 47 C.F.R. § 1.2109(a).

<sup>6</sup> *Id.*

<sup>7</sup> *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).

<sup>8</sup> 47 C.F.R. § 1.2109(a).

6. Wire transfers of final payments must be received by the Commission by **6:00 p.m. ET on March 28, 2014** (or by 6:00 p.m. ET on April 11, 2014, along with the five percent late fee required by section 1.2109(a) of the Commission's rules).<sup>9</sup> If the 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 28, 2014 (or by 6:00 p.m. ET on April 11, 2014, along with the five percent late fee) it will be in default.<sup>10</sup>

7. An applicant'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, due before the award of the credit.<sup>11</sup> If a request for a tribal lands bidding credit is approved, the amount will be calculated and awarded prior to license grant.<sup>12</sup>

### C. Method of Payment for Final Payment

8. All payments must be in U.S. dollars and made in the form of a wire transfer.<sup>13</sup> 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.<sup>14</sup> A partially-completed copy of FCC Form 159 for the final payment will be sent to the winning bidder to facilitate submission of the correct payments.

9. Any final payment 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), the winning bidder must fax the 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. The winning bidder must use the same FCC Registration Number (FRN) for the applicant that was used in its short-form application (FCC Form 175) on the FCC Form 159.

10. 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: "D096")

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

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<sup>9</sup> *Id.*

<sup>10</sup> See section III.D., "Withdrawal, Default and Disqualification Payments," below.

<sup>11</sup> 47 C.F.R. § 1.2110(f)(3)(vi).

<sup>12</sup> *Id.*

<sup>13</sup> 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 96.

<sup>14</sup> 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.

LOCKBOX NO.: #979088

11. 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. 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.<sup>15</sup>

12. Please direct questions concerning the calculation and submission of the final payment, and the FCC Form 159 to Gail Glasser of the Office of Managing Director's Auctions Accounting Group at (202) 418-0578.

13. The 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.

#### **D. Withdrawal, Default and Disqualification Payments**

14. The Commission imposes payment obligations on bidders that withdraw provisionally winning bids during the course of an auction, on those that default on payments due after an auction closes, and on those that are disqualified.<sup>16</sup>

##### **1. Bid Withdrawal Payments**

15. 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.<sup>17</sup> 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.<sup>18</sup>

16. Attachment C identifies bidders that withdrew bids in Auction 96. None of those bidders owe any withdrawal payment amounts to the Commission as a result of bid withdrawals made in Auction 96 because subsequent winning bids exceed their withdrawn bids.<sup>19</sup>

##### **2. Bid Default/Disqualification Payments from Auction 96**

17. If a winning bidder defaults or is disqualified after the close of the auction (i.e., 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).<sup>20</sup> These payment obligations include both a

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<sup>15</sup> 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).

<sup>16</sup> See 47 C.F.R. §§ 1.2104(g), 1.2109.

<sup>17</sup> See 47 C.F.R. § 1.2104(g)(1).

<sup>18</sup> *Id.*

<sup>19</sup> See *id.*

<sup>20</sup> 47 C.F.R. § 1.2104(g)(2). See also 47 C.F.R. § 1.2109; *Auction 96 Procedures Public Notice*, 28 FCC Rcd at 13073 ¶ 217.

deficiency payment, equal to the difference between the amount of the defaulter's bid and the amount of the winning bid the next time a license covering the same spectrum is won in an auction, plus an additional payment equal to a percent of the defaulter's bid or the subsequent winning bid, whichever is less.<sup>21</sup> The additional default payment for Auction 96 licenses was set at fifteen percent of the applicable bid.<sup>22</sup>

18. 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.<sup>23</sup> If a winning bidder fails to pay (a) the balance of its winning bid by the payment deadline on March 28, 2014, or (b) the balance of its winning bid plus the late fee by the late payment deadline on April 11, 2014, it will be deemed to have defaulted, and it will be subject to applicable default payments.<sup>24</sup>

19. 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.<sup>25</sup>

20. 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.<sup>26</sup>

#### **E. Refund of Excess Payments**

21. Upfront monies on deposit that are in excess of an applicant's Auction 96 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 **March 14, 2014**. 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. Please verify that the Tax Identification Number ("TIN") associated with your FRN is correct. An FRN with no TIN on file cannot be processed until a TIN is provided. Please visit the FCC Registration Number website <https://apps.fcc.gov/coresWeb/publicHome.do> to update your records before submitting your refund request.

#### **F. FCC Form 601**

22. Prior to **6:00 p.m. ET on March 14, 2014**, 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 96. Attachment D provides instructions for completing the long-form application and describes how certain information will be automatically transferred from a winning

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<sup>21</sup> *Id.*

<sup>22</sup> *Auction 96 Procedures Public Notice*, 28 FCC Rcd at 13073-74 ¶ 218.

<sup>23</sup> 47 C.F.R. § 1.2109(a).

<sup>24</sup> 47 C.F.R. §§ 1.2104(g)(2), 1.2109(a), 1.2109(c).

<sup>25</sup> *See* 47 C.F.R. § 1.2109(a).

<sup>26</sup> 47 C.F.R. § 1.2109(d).

bidder's short-form application (FCC Form 175) to its long-form application (FCC Form 601).

23. 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.<sup>27</sup>

#### **G. Tribal Lands Bidding Credit**

24. 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.

#### **H. FCC Form 602**

25. 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.<sup>28</sup> 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.<sup>29</sup> A winning bidder should carefully follow the instructions set forth in Attachment D when filing its ownership disclosure report.

#### **I. Maintaining Accuracy of Information**

26. 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.<sup>30</sup> 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.

#### **J. Application Processing, Petitions to Deny, and License Grant**

27. After its initial review of the long-form applications, the Wireless Telecommunications Bureau ("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 ten days from the release of that public notice within which to file petitions to deny any of these applications.<sup>31</sup> 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.<sup>32</sup> Replies must be filed within five business days after the time for filing oppositions to a petition to deny has expired.<sup>33</sup> The Commission reminds all parties and their counsel that the Commission intends to use its authority fully to deter the filing of frivolous pleadings.<sup>34</sup>

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<sup>27</sup> 47 C.F.R. §§ 1.2104(g), 1.2107(c).

<sup>28</sup> 47 C.F.R. §§ 1.919, 1.2107(f).

<sup>29</sup> 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.

<sup>30</sup> 47 C.F.R. § 1.65.

<sup>31</sup> 47 C.F.R. § 1.2108(b).

<sup>32</sup> 47 C.F.R. § 1.2108(c).

<sup>33</sup> *Id.*

<sup>34</sup> See Commission Taking Tough Measures Against Frivolous Pleadings, *Public Notice*, FCC 96-42, 11 FCC Rcd 3030 (1996).

28. 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.<sup>35</sup>

#### IV. OTHER IMPORTANT INFORMATION

##### A. Maintaining Prohibition on Certain Communications

29. 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).<sup>36</sup> As explained more fully in the *Auction 96 Procedures Public Notice*, this prohibition began at the short-form application filing deadline at 6:00 p.m. ET on November 15, 2013 and continues until the down payment deadline, which is **6:00 p.m. ET on March 14, 2014**.<sup>37</sup>

30. The prohibition on certain communications applies to all applicants in Auction 96 (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.<sup>38</sup> 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.<sup>39</sup> Each applicant in this auction certified its compliance with section 1.2105(c) when it filed its short-form application.<sup>40</sup>

##### B. Return of SecurID® Tokens

31. The SecurID® tokens distributed to qualified bidders are tailored to this auction and will not work for 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® tokens to the Commission for recycling by **March 14, 2014**.

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<sup>35</sup> See 47 C.F.R. §§ 1.2108(d), 1.2109(a).

<sup>36</sup> 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).

<sup>37</sup> See *Auction 96 Procedures Public Notice*, 28 FCC Rcd at 13024-26 ¶¶ 7-14.

<sup>38</sup> *Id.* at 13024 ¶¶ 8-9.

<sup>39</sup> *Id.* at 13026 ¶ 14.

<sup>40</sup> 47 C.F.R. § 1.2105(a)(2)(ix).

**C. Contact Information**

32. For further information, contact:

**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

**Broadband Division**  
Matthew Pearl (Attorney) or Janet Young  
(Engineer) at (202) 418-2487

Filing Forms 601 and 602

**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 96 Information**

General Auction Information, Process, and  
Procedures

**Auctions and Spectrum Access Division**  
Linda Sanderson (Project Manager) or  
Jeff Crooks (Auction Analyst), at  
(202) 418-0660

Auction Rules, Policies, and Regulations

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://wireless.fcc.gov/auctions>  
<http://wireless.fcc.gov/uls>

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