



# PUBLIC NOTICE

**FEDERAL COMMUNICATIONS COMMISSION**  
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**Released: September 9, 1999**

**WIRELESS TELECOMMUNICATIONS BUREAU TO BEGIN USE OF  
UNIVERSAL LICENSING SYSTEM (ULS) FOR MICROWAVE SERVICES ON  
AUGUST 30, 1999 – ERRATUM**

*Bureau Clarifies Last Date for Use of Pre-ULS Forms, Lists Additional Information Required for Submission of Pre-ULS Forms During Transition Period*

On August 6, 1999, the Wireless Telecommunications Bureau (Bureau) released a Public Notice, DA 99-1543, titled “Wireless Telecommunications Bureau to Begin Use of Universal Licensing System (ULS) for Microwave Services on August 30, 1999.” Since August 30, the Bureau has been using the Universal Licensing System (ULS) to accept and process applications in the Microwave Services.

This Erratum: (1) clarifies that the date by which manual (paper-filed) applications and letter requests will no longer be accepted is March 1, 2000; and (2) replaces the Appendix listing the supplemental information the Bureau requires of filers who elect to submit pre-ULS forms or file letter requests during the transition period. For a complete description of the filing procedures for applications in the Microwave Services under ULS, this Erratum should be read in conjunction with the August 6 Public Notice, which is available on the ULS homepage on the internet (<http://www.fcc.gov/wtb/uls>). Choose “FCC ULS Releases” under the “ULS Information Center” section of the homepage.

## **Use of Pre-ULS Forms**

Applicants and licensees in the Microwave Services may continue to use previous (pre-ULS) forms and submit letter requests for a six-month period after conversion of the Microwave Services to ULS. Tuesday, February 29, 2000, is the last date the Bureau will accept previous (pre-ULS) forms for the Microwave Services.<sup>1</sup> We will dismiss without prejudice any pre-ULS forms or letter requests filed on or after March 1, 2000.

## **Supplemental Information Required**

Applicants who choose to submit pre-ULS forms during the six-month transition period must provide certain

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<sup>1</sup> Broadcast Auxiliary licensees may continue to use Form 313 (with the supplemental information described in Appendix A) until the Commission indicates otherwise. Because of the extensive amount of additional information that filers of Form 313 are required to submit, the Bureau *strongly* encourages the use of Form 601 for these filings.

additional information with their applications (including TIN information) as set forth in Appendix A. The attached appendix replaces the Appendix A provided in the August 6, 1999, Public Notice in its entirety. Due to the differences between current ULS forms and the previous forms used for the Microwave Services, **the Bureau strongly discourages use of the pre-ULS forms.** Applications submitted on these forms (with the supplemental information) will result in slower processing than electronic filing or manual (paper) filing using ULS forms.

Applications received after September 9, 1999 (the release date of this *Erratum*) that do not contain the information prescribed in Appendix A *of this Erratum* are subject to dismissal without prejudice.

#### **For Further Information or Assistance**

For general information about ULS, including answers to frequently asked questions regarding submitting applications, finding the status of pending applications, and searching the ULS database, the Commission recommends first consulting the ULS webpage at <http://www.fcc.gov/wtb/uls>. Individuals having specific questions not addressed on the webpage may contact Commission staff via phone or e-mail as described below.

FCC Technical Support Hotline: (202) 414-1250 (TTY – (202) 414-1255), or via e-mail at [ulscmm@fcc.gov](mailto:ulscmm@fcc.gov). Contact the Technical Support Hotline about questions concerning computer access to ULS, TIN registration, uploading files, or submitting attachments in ULS. The hotline is available Monday through Friday, from 8 a.m. to 6 p.m., local eastern time. In order to provide better service to ULS users and ensure the security of the electronic filing system, all calls to the hotline are recorded.

ULS Licensing Support: 1-888-CALL-FCC (225-5322) (select Auction/ULS Forms prompt), or via e-mail at [ulshelp@fcc.gov](mailto:ulshelp@fcc.gov). Contact Licensing Support with questions about which application purpose(s) are appropriate for a particular filing, what information is being requested on a ULS Form or Schedule, or any other ULS-related licensing matter. ULS Licensing Support is available Monday through Friday, from 8 a.m. to 5:30 p.m. local eastern time.

## Appendix A

### FCC FORM 415 (February 1997 Edition) INFORMATION REQUIREMENTS

#### I. FOR PURPOSES OTHER THAN TRANSFER OF CONTROL

Beginning September 9, 1999, we will accept filings made on FCC Form 415 ("Application for Authorization in the Microwave Services") for purposes other than transfer of control, provided:

(1) Where the form asks for "Legal Name of Applicant," it is provided in this format: Last Name, Middle Initial, First Name (only in cases where the applicant is a person).

(2) All heights and widths are specified in meters rounded to the nearest tenth, and are identified with an "m" after the number. All distances/radii are specified in kilometers, rounded to the nearest tenth, and are identified with a "km" after the number.

(3) All coordinates reference the North American Datum of 1983 except for sites in the Northern Mariana Islands, Midway Island, and Wake Island, where applicants continue to reference the applicable local datum.

(4) For frequency data, the applicant attaches a separate FCC Form 415 Schedule B for each frequency, and that the applicant lists the lower or center frequency identified with an "l" or "c" after the number in block B2 ("frequency") and the upper frequency identified with a "u" after the number in the first "additional frequency" block. Enter any digital modulation rate in kilobits per second, identified with "kbps" after the number.

(5) For polarization codes (question C9 on Schedule C, Path Data, and question D16 on Schedule D, Passive Repeater), the following codes are used:

V	Vertical
H	Horizontal
S	Vertical/Horizontal or Variable Linear
R	Right-Hand Circular
L	Left-Hand Circular

In the case of rotated linear polarizations, provide the angular displacement of the outgoing electric field from vertical, in whole degrees measured clockwise. This number must be a negative or positive integer between -89 and -1 or 1 and 89.

(6) The applicant indicates in Block 28 if the filing is for an STA.

(7) If the site is within the quiet zone of the Arecibo Observatory in Arecibo, PR, the applicant indicates this by marking "Arecibo" in Block 26 and listing the date notification was provided to Arecibo.

(8) The applicant answers the Alien Ownership questions (Blocks 52-55) and the Basic Qualifications questions (Blocks 56-60) on FCC Form 415.

NOTE: All applicants must now answer these questions

(9) On an 8 ½ x 11” paper attached to the form, the applicant provides the following additional information:

General:

(a) The applicant’s radio service code from the following table:

CE – Common Carrier Digital Electronic Message Service (DEMS)	PE – Private Digital Electronic Message Service (DEMS)	AI – Aural Intercity Relay
CT – Local Television Transmission	WA – Private Point-to-Point, Eligibility – Aviation	AB – Aural Microwave Booster
CF – Common Carrier Point-to-Point	MG – Private Point-to-Point, Eligibility – Industrial/Business	AS – Aural Studio Transmitter Link
	WM – Private Point-to-Point, Eligibility – Marine	TI – TV Intercity Relay
	MW – Private Point-to-Point, Eligibility – Public Safety	TB – TV Microwave Booster
	WR – Private Point-to-Point, Eligibility - Radiolocation	TS – TV Studio Transmitter Link
		TP – TV Pickup
		TT – TV Translator Relay

(b) If a feeable waiver is requested, multiply the number of stations times the number of rule sections, and provide the result

(c) The Applicant’s SGIN, when applicable

(d) The name and TIN of the real party in interest, when applicable

(e) The regulatory status code(s) of authorization (list all that apply):

- C Common Carrier
- N Non Common Carrier
- P Private Internal Communications

(f) Type(s) of radio service code(s) (include all that apply):

- F Fixed
- M Mobile
- R Radiotelephone
- S Satellite (Sound)

- (g) Whether this station provides an interconnected service to the public switched telephone network, as defined by FCC rules
- (h) Whether the applicant is exempt from application fees
- (i) Whether the applicant is exempt from regulatory fees
- (j) A certification that a grant of the application would not cause the applicant to be in violation of any pertinent cross-ownership, attribution, or spectrum cap rule

NOTE: If the applicant has sought a waiver of any such rule in connection with this application, it may make this certification subject to the outcome of the waiver request

- (k) If the application is part of a pack, a statement that the application is being filed as part of a pack, and the pack ID (if available) or name
- (l) The type of operation code, from the following list:
  - F Permanent Fixed Point-to-Point
  - M Multiple Address Systems
  - D Digital Electronic Message Service
  - 18 18 GHz Low Power systems under rule section 101.147(r)(10)
  - 31 Grandfathered area operations licensed or applied for previous to the reallocation of the 31.0-31.3 GHz band to auctioned services
  - 38 Grandfathered area operations licensed or applied for previous to the reallocation of the 38.6-40.0 GHz band to auctioned services
  - T Temporary fixed and/or mobile systems not listed above
- (m) For common carrier and private applicants only: if this application is a modification, a renewal/modification, or an amendment to a pending modification, indicate whether the filing, along with all major modifications or amendments filed since you applied for a new authorization or since the last major action granted by the Commission produce a cumulative effect that will equal or exceed the criteria for a major filing
- (n) For Aural or TV Broadcast Auxiliary Services, if there is an Associated Broadcast (parent) Station, provide the facility ID, radio service code, and city and state of principal community of the parent station. If there is no parent station, provide a certification that the applicant is a Broadcast Network Entity and the state of primary operation. Parent station radio service code for Aural Broadcast Auxiliary Stations must be AM, FM, or FX; for TV Broadcast Auxiliary Stations, TV or TX. Note that a Broadcast Network Entity can only apply for a TV Pickup Station, with radio service code 'TP,' type of operation 'T,' and class of station 'MO.'
- (o) If frequency coordination has been completed for the application, the frequency coordination number, the frequency coordinator's name and telephone number, and coordination date.
- (p) For MAS filers, question 32 may not indicate "subfrequency operation"

Location Data:

- (a) Whether the application proposes operations in an area that requires frequency

coordination with Canada

(b) The support structure type code, from the following list:

Code/Definition

B/Building with a side mounted antenna

BANT/Building with Antenna on Top

BMAST/Building with Mast/Antenna on Top

BPIPE/Building with Pipe/Antenna on Top

BPOLE/Building with Pole/Antenna on Top

BRIDG/Bridge

BTWR/Building with Tower/Antenna on Top

MAST/Self-Support Structure

N/A/Not Applicable\*

NNTANN\*\*/Antenna Tower Array

NTOWER\*\*\*/Multiple Structures

PIPE/Any Type of Pipe

POLE/Any Type of Pole, used only to mount an antenna

RIG/Oil or Other Type of Rig

SIGN/Any Type of Sign or Billboard

SILO/Any Type of Silo

STACK/Smoke Stack

TANK/Any Type of Tank (Water, Gas, etc.)

TOWER/A Free-Standing Guyed Structure Used for Communications Purposes

TREE/When Used as a Support for an Antenna

UPOLE/Utility Pole/Tower Used to Provide Service (Electric, Telephone, etc.)

\* Not Applicable Structure Type: This code is valid to describe the antenna support structure at a location associated with the following types of MAS and DEMS stations:

MAS Multiple Two-way Master-Remote

MAS Multiple One-way Outbound Master

DEMS Multiple Two-way Nodal User

\*\* Valid Tower Arrays. Code definition: The first NN indicates the number of towers in an array. The second NN is optional and indicates the position of that tower in the array (*e.g.*, 3TA2 would identify the second tower in a three tower array).

\*\*\* Valid Multiple Structures. Code Definition: The N indicates the number of structures where multiple antenna structures are present in a multiple structure (Ex.: 2TOWER, 3TANK, 6BANT, 7BMAST).

NOTE: You must have a valid registration number if antenna structure registration is required. If you provide information that your application for an antenna structure registration is pending and do not specifically file for a waiver, your license application is subject to dismissal.

Path Data:

(a) The path number from the FCC Form 415

(b) Whether the final receiver is located outside the U.S. (if “yes,” include the country and attach an exhibit explaining the circumstances)

(c) The RX Antenna Beamwidth (in degrees)

(d) The Diversity RX Antenna Beamwidth (in degrees) (if applicable)

(e) For MAS and DEMS: Label each copy of Schedule C with one of the following:

- FT Fixed Two-Way (MAS)
- MT Multiple Two-Way (MAS)
- FO Fixed One-Way Outbound Master (MAS)
- FI Fixed One-Way Inbound Master (MAS)
- MO Multiple One-Way Outbound Master (MAS)
- MM Mobile Master (MAS)
- FD Fixed Two-Way (DEMS)
- MD Multiple Two-Way (DEMS)

(f) For MAS and DEMS: Label each copy of Schedule C with one of the following codes for path type:

- MR Master-to-Remote (MAS)
- RM Remote-to-Master (MAS)
- NU Nodal-to-User (DEMS)
- UN User-to-Nodal (DEMS)

Passive Repeaters:

- (a) The path number from the FCC Form 415
- (b) The passive repeater ID
- (c) The passive repeater Sequence Number
- (d) The support structure type code, from the above list

Frequency Data:

- (a) The path number from the FCC Form 415
- (b) Use the transmitter model name instead of the type acceptance number

## II. FOR TRANSFER OF CONTROL

NOTE: Notification of consummation is now required for transfers of control. Notification must be provided on FCC Form 603, Schedule D. Requests for an extension of time in which to consummate must be filed on FCC Form 603, Schedule E.

Beginning September 9, 1999, we will accept filings made on FCC Form 415 ("Application for Authorization in the Microwave Services") for transfer of control, provided:

- (1) All names (in cases where the applicant is a person) are provided in this format: Last Name, Middle Initial, First Name.
- (2) The transferee answers the Alien Ownership questions (Blocks 52-55) and the Basic Qualifications questions (Blocks 56-60) on FCC Form 415.
- (3) The transferee completes the application information on FCC Form 415.
- (4) After each call sign listed on Block 27 of FCC Form 415, the applicant indicates whether it is

constructed or unconstructed.

(5) On an 8 ½ x 11” paper attached to the form, the applicant provides the following additional information:

- (a) The TIN (and SGIN, when applicable) for the Transferee, Transferor, and Licensee
- (b) Whether the application is a notification of a *pro forma* transaction being filed under the Commission’s forbearance procedures for telecommunications licenses
- (c) Whether the transaction that is the subject of this application also involves transfer of other wireless licenses held by the transferor or affiliates of the transferor (e.g., parents, subsidiaries, or commonly controlled entities) that are not otherwise indicated and for which Commission approval is required
- (d) Whether the transaction that is the subject of this application also involves transfer or assignment of non-wireless licenses that are not otherwise indicated and for which Commission approval is required
- (e) How the transfer will be accomplished, using the following codes:
  - S Sale or other assignment or transfer of stock
  - C Court order
  - O Other (voting trust agreement, management contract, etc.) (explain)
- (f) Whether the transfer of control is voluntary or involuntary
- (g) The Transferee’s phone number
- (h) The type of entity for the Transferee, from the following list:
  - I Individual
  - C Corporation
  - U Unincorporated Association
  - L Limited Liability Corporation
  - T Trust
  - P Partnership
  - G Government Entity
  - C Consortium
  - J Joint Venture
- (i) If required by applicable rule, an statement on how control is to be transferred, along with copies of any pertinent contracts, agreements, instruments, certified copies of court orders, etc.
- (j) The following certifications from the transferor:

(1) The Transferor certifies either (1) that control of the license will not be transferred until the consent of the Federal Communications Commission has been given, or (2) that prior Commission consent is not required because the transaction is subject to streamlined notification procedures for *pro forma* assignments and transfers by telecommunications carriers. *See* Memorandum Opinion and Order, 13 FCC Rcd. 6293 (1998).

(2) The Transferor certifies that all statements made in this application and in the exhibits, attachments, or documents incorporated by reference are material, are part of this application, and are true, complete, correct, and made in good faith.

**NOTE: For these certifications, the transferor must include the name of the party authorized to sign, a title, signature, and date.**



(k) The following certifications from the transferee:

(1) The Transferee certifies either (1) that control of the license will not be transferred until the consent of the Federal Communications Commission has been given, or (2) that prior Commission consent is not required because the transaction is subject to streamlined notification procedures for pro forma assignments and transfers by telecommunications carriers. *See* Memorandum Opinion and Order, 13 FCC Rcd. 6293 (1998).

(2) The Transferee waives any claim to the use of any particular frequency or of the electromagnetic spectrum as against the regulatory power of the United States because of the previous use of the same, whether by license or otherwise, and requests an authorization in accordance with this application.

(3) The Transferee certifies that grant of this application would not cause the Transferee to be in violation of any pertinent cross-ownership, attribution, or spectrum cap rule.

NOTE: If the applicant has sought a waiver of any such rule in connection with this application, it may make this certification subject to the outcome of the waiver request.

(4) The Transferee agrees to assume all obligations and abide by all conditions imposed on the Transferor under the subject authorization(s), unless the Federal Communications Commission pursuant to a request made herein otherwise allows, except for liability for any act done by, or any right accrued by, or any suit or proceeding had or commenced against the Transferor prior to this transfer.

(5) The Transferee certifies that all statements made in this application and in the exhibits, attachments, or documents incorporated by reference are material, are part of this application, and are true, complete, correct, and made in good faith.

(6) The Transferee certifies that neither it nor any other party to the application is subject to a denial of Federal benefits pursuant to Section 5301 of the Anti-Drug Abuse Act of 1988, 21 U.S.C. § 862, because of a conviction for possession or distribution of a controlled substance. See Section 1.2002(b) of the rules, 47 CFR § 1.2002(b), for the definition of "party to the application" as used in this certification.

(7) The applicant certifies that it either (1) has an updated Form 602 on file with the Commission, (2) is filing an updated Form 602 simultaneously with this application, or (3) is not required to file Form 602 under the Commission's Rules.

**NOTE: For these certifications, the transferee must include the name of the party authorized to sign, a title, signature, and date.**

## **FCC FORM 313 (April 1996 Edition) INFORMATION REQUIREMENTS**

Beginning September 9, 1999, we will accept filings made on FCC Form 313 ("Application for Authorization in the Auxiliary Radio Broadcast Services,") provided:

(1) Where the form asks for "Name," it is provided in this format: Last Name, Middle Initial, First Name (only in cases where the applicant is a person).

(2) All heights and widths are specified in meters, rounded to the nearest tenth, and are identified

with an “m” after the number. All distances/radii are specified in kilometers, rounded to the nearest tenth, and are identified with a “km” after the number. All azimuths and beamwidths are specified in degrees, rounded to the nearest tenth; all gains are specified in dBi, rounded to the nearest tenth; EIRP is specified in dBm, rounded to the nearest tenth.

(3) All coordinates reference the North American Datum of 1983 except for sites in the Northern Mariana Islands, Midway Island, and Wake Island, where applicants continue to reference the applicable local datum.

(4) For polarization, use the following codes:

- V Vertical
- H Horizontal
- S Vertical/Horizontal or Variable Linear
- R Right-Hand Circular
- L Left-Hand Circular

In the case of rotated linear polarizations, provide the angular displacement of the outgoing electric field from vertical, in whole degrees measured clockwise. This number must be a negative or positive integer between -89 and -1 or 1 and 89.

(5) On an 8 ½ x 11” paper attached to the form, the applicant provides the following additional information:

(a) The radio service code, from the following list:

- AI Aural Intercity Relay
- AS Aural Studio-Transmitter Link
- AB Aural Microwave Booster
- TI TV Intercity Relay
- TS TV Studio-Transmitter Link
- TT TV Translator Relay
- TB TV Microwave Booster
- TP TV Pickup

(b) If the application is an amendment to a pending application, the file number of the pending application

(c) Whether this filing requests a waiver of the Commission’s rules

(d) The applicant’s TIN

(e) The applicant’s SGIN (when applicable)

(f) The type of entity, using the code from the following list:

- I Individual
- C Corporation
- U Unincorporated Association
- L Limited Liability Corporation
- T Trust
- P Partnership
- G Government Entity
- C Consortium
- J Joint Venture

(g) The name and TIN of the real party in interest (when applicable)

(h) Regulatory status code(s) of authorization (use all that apply):

- C Common Carrier
- N Non Common Carrier
- P Private Internal Communications

(i) Types of radio service code(s) (include all that apply):

- F Fixed
- M Mobile
- R Radiolocation
- S Satellite (sound)

(j) Whether this station provides an interconnected service to the public switched telephone network, as defined by the FCC rules

(k) Whether the applicant is exempt from application fees

(l) Whether the applicant is exempt from regulatory fees

(m) Statements as to whether...

(1) The applicant is

- a. A foreign government or the representative of any foreign government;
- b. An alien or the representative of an alien;
- c. A corporation incorporated under the laws of any foreign government;
- d. A corporation of which more than one-fifth of the capital stock is owned of record or voted by aliens or their representatives or by a foreign government or representatives thereof
- e. Directly or indirectly controlled by any other corporation of which more than one-fourth of the capital stock is owned of record or voted by aliens, their representatives, or by a foreign government or representatives thereof, or by any corporation organized under the laws of a foreign country (and an explanation if the answer is "yes").

NOTE: statements (b) – (e) are applicable to common carriers

(2) The applicant or any party to the application has had any FCC station authorization, license, or construction permit revoked or has had any application for an initial, modification or renewal of an FCC station authorization, license, or construction permit denied by the Commission (and an explanation if the answer is "yes")

(3) The applicant or any party to the application or amendment, or any party directly or indirectly controlling the application has ever been convicted of a felony by any state or federal court

(4) Any court has finally adjudged the applicant or any party directly or indirectly controlling the applicant guilty of unlawfully monopolizing or attempting unlawfully to monopolize radio communication, directly or indirectly, through control of manufacture or sale of radio apparatus, exclusive traffic arrangement, or any other means or unfair methods of competition (and an explanation if the answer is "yes")

- (5) The applicant, or any party directly or indirectly controlling the applicant, is currently a party in any pending matter referred to in the preceding two items (and an explanation if the answer is “yes”)
- (6) That grant of the application would not cause the applicant to be in violation of any pertinent cross-ownership, attribution, or spectrum cap rule

NOTE: If the applicant has sought a waiver of any such rule in connection with this application, it may make this certification subject to the outcome of the waiver request.

- (7) That the application either (i) has a current Form 602 on file with the Commission, (ii) is filing an updated 602 simultaneously with the application, or (iii) is not required to file Form 602 under the Commission’s rules

- (n) The type of operation and class of station codes from the following list:

F and FXO: use for Aural Intercity Relay, Studio-Transmitter Link, Microwave Booster; TV Intercity Relay, Studio-Transmitter Link, Translator Relay, Microwave Booster

T and MO: use for TV Pickup

- (o) If there is an Associated Broadcast (parent) Station, provide the facility ID and radio service code of the parent station. If there is no parent station, provide a certification that the applicant is a Broadcast Network Entity and list the state of primary operation. Parent station radio service code for Aural Broadcast Auxiliary Stations must be AM, FM, or FX; for TV Broadcast Auxiliary Stations, the code must be TV or TX. (Note: A Broadcast Network Entity can only apply for a TV Pickup Station with radio service code “TP,” type of operation “T,” and class of station “MO.”)
- (p) For each location, the Location number, description (transmitter, passive repeater or receiver), and Location Name
- (q) For the transmitter site and any passive repeater sites:
  - (1) Antenna Structure Registration Number (or a statement that the structure does not meet the registration criteria)
  - (2) The support structure type code, from the following list:

Code/Definition  
 B/Building with a side mounted antenna  
 BANT/Building with Antenna on Top  
 BMAST/Building with Mast/Antenna on Top  
 BPIPE/Building with Pipe/Antenna on Top  
 BPOLE/Building with Pole/Antenna on Top  
 BRIDG/Bridge  
 BTWR/Building with Tower/Antenna on Top  
 MAST/Self-Support Structure  
 NNTANN\*/Antenna Tower Array

NTOWER\*\*/Multiple Structures  
 PIPE/Any Type of Pipe  
 POLE/Any Type of Pole, used only to mount an antenna  
 RIG/Oil or Other Type of Rig  
 SIGN/Any Type of Sign or Billboard  
 SILO/Any Type of Silo  
 STACK/Smoke Stack  
 TANK/Any Type of Tank (Water, Gas, etc.)  
 TOWER/A Free-Standing Guyed Structure Used for Communications Purposes  
 TREE/When Used as a Support for an Antenna  
 UPOLE/Utility Pole/Tower Used to Provide Service (Electric, Telephone, etc.)

\* Valid Tower Arrays. Code definition: The first NN indicates the number of towers in an array. The second NN is optional and indicates the position of that tower in the array (*e.g.*, 3TA2 would identify the second tower in a three tower array).

\*\* Valid Multiple Structures. Code Definition: The N indicates the number of structures where multiple antenna structures are present in a multiple structure (Ex.: 2TOWER, 3TANK, 6BANT, 7BMAST).

NOTE: You must have a valid registration number if antenna structure registration is required. If you provide information that your application for an antenna structure registration is pending and do not specifically file for a waiver, your license application is subject to dismissal.

- (3) The overall height of the structure only, without appurtenances (i.e. if the antenna structure is a tower, the height without the antenna; if the antenna structure is a building or building/tower combination, the height without the antenna, tower, pole, or mast)
- (4) Whether the site is in an area that requires frequency coordination with Canada
- (5) If the site is within the quiet zone of either the National Radio Observatory in Green Bank, WV, or the Arecibo Observatory in Arecibo, PR, as specified in Section 1.924(a) and (d) of the Commission's rules, both a statement of this fact and the date the proper authority was notified.
- (r) For each transmit antenna...
  - (1) The path number
  - (2) diversity antenna height AGL (if applicable)
  - (3) diversity beamwidth (degrees) (if applicable)
  - (4) diversity antenna gain (dBi) (if applicable)
  - (5) azimuth to RX location or passive repeater (in degrees)
  - (6) periscope reflector dimensions (height & width – meters) (if applicable)
  - (7) periscope reflector separation (in meters) (if applicable)
  - (8) if the final repeater is located outside the United States, the country and an explanation of the circumstances (if applicable)
- (s) For each final receiver...
  - (1) The path number
  - (2) Receiver location name
  - (3) antenna manufacturer

- (4) antenna model number
- (5) call sign (if applicable)
- (6) height to center of RX Antenna AGL
- (7) RX antenna beamwidth (in degrees)
- (8) RX antenna gain (dBi)
- (9) diversity RX antenna height AGL (if applicable)
- (10) diversity RX antenna beamwidth (in degrees) (if applicable)
- (11) diversity RN antenna gain (dBi) (if applicable)
- (12) RX periscope reflector dimensions (height & width – meters) (if applicable)
- (13) RX periscope reflector separation (in meters) (if applicable)

(t) Frequency information, including

- (1) Path number
- (2) lower or center frequency
- (3) upper frequency
- (4) tolerance (percent of frequency)
- (5) EIRP (in dBm)
- (6) emission designator (using bandwidth and emission type formats, as specified in Sections 2.201 and 2.202 of the Commission's Rules)
- (7) digital modulation rate (in kilobits per second (kpbs))
- (8) digital modulation type
- (9) transmitter manufacturer and model
- (10) whether automatic transmitter power control is used

**FCC FORM 405 (June 1997 Edition) INFORMATION REQUIREMENTS**

Beginning September 9, 1999, we will accept filings made on FCC Form 405 (“Application for Renewal of Radio Station License in Specified Services,”) provided:

In the upper right hand corner of the form, the applicant provides the following additional information:

- (a) The applicant's TIN
- (b) The applicant's SGIN (when applicable)

**FCC FORM 702 (October 1997 Edition) INFORMATION REQUIREMENTS**

Beginning September 9, 1999, we will accept filings made on FCC Form 702 (“Application for Consent to Assignment of Radio Station Construction Authorization or License,”) provided:

- (1) Where the form asks for “Name,,” it is provided in this format: Last Name, Middle Initial, First Name. (only in cases where the applicant is a person).
- (2) The assignor's information in Part I of FCC Form 702, question 1, also contains the assignor's:

- (a) TIN (in the “Name of Assignor” block)
- (b) SGIN (after TIN in the “Name of Assignor block”) (when applicable)
- (c) Telephone number (in the “Mailing Address” block)
- (d) “Attention: to” line (in the “Mailing Address” block) (when applicable)

(3) The assignee’s information in Part II of FCC Form 702, question 6, also contains the assignee’s:

- (a) TIN (in the “Name of Assignee” block)
- (b) SGIN (after TIN in the “Name of Assignee block”) (when applicable)
- (c) Telephone number (in the “Mailing Address” block)
- (d) “Attention: to” line (in the “Mailing Address” block) (when applicable)

(4) On an 8 ½ x 11” paper attached to the form, the applicant provides the following additional information:

- (a) The assignor’s contact representative information (when applicable)
- (b) The assignee’s:
  - (1) Real party in interest name and TIN (when applicable)
  - (2) Contact representative information (when applicable)
- (c) The file numbers of any related applications
- (d) Whether the transaction is *pro forma*
- (e) Whether the transaction also involves the transfer or assignment of other wireless and/or non-wireless licenses that are not part of the application form and for which Commission approval is required
- (f) The means by which the assignment will be accomplished
- (g) The following certifications:
  - (1) That the application either (i) has a current Form 602 on file with the Commission, (ii) is filing an updated 602 simultaneously with the application, or (iii) is not required to file Form 602 under the Commission’s rules.
  - (2) That grant of the application would not cause the applicant to be in violation of any pertinent cross-ownership, attribution, or spectrum cap rule.
  - (3) That the statements are made in “good faith.”
  - (4) Whether the assignee or any party to the application has had any FCC station authorization or construction permit revoked or had any application for an initial, modification, or renewal of an FCC station authorization, license or construction permit denied by the Commission (and an explanation if the answer is “yes.”)
  - (5) Whether the assignee or any party directly or indirectly controlling the assignee is currently a party in any pending matter that could result in a felony conviction or a final court finding a party guilty of unlawfully monopolizing, or attempting to unlawfully monopolize radio communication, through control or manufacture or sale of radio apparatus, exclusive traffic arrangement, or any other means of unfair methods of competition (and an explanation if the answer is “yes.”)

- (h) If the answer to question 13(b) is “yes,” then a statement as to whether the crime was a felony.
- (i) In lieu of Item 3, a list that contains the call signs, location numbers, path numbers, lower/center frequencies, upper frequencies, and whether the station has been constructed for the facilities authorized to the assignor for which assignment is sought in the application

### **FCC FORM 1046 (April 1997 Edition) INFORMATION REQUIREMENTS**

Beginning September 9, 1999, we will accept filings made on FCC Form 1046 (“Assignment of Authorization,”) provided:

- (1) The attached Form 415 contains the supplemental information, described above.
- (2) The proper radio service code is provided in the “radio service” block.
- (3) On an 8 ½ x 11” paper attached to the form, the applicant provides the following additional information:
  - (a) The assignor’s TIN (and SGIN, when applicable)
  - (b) The assignee’s TIN (and SGIN, when applicable)
  - (c) Whether the assignment is *pro forma*
  - (d) Whether the transaction also involves the transfer or assignment of other wireless and/or non-wireless licenses that are not part of the application form and for which Commission approval is required
  - (e) The means by which the assignment will be accomplished
- (f) The following certifications:
  - (1) That the assignee agrees to assume all obligations and abide by all conditions imposed on the assignor under the subject authorization(s), unless the FCC pursuant to a request made in the application otherwise allows, except for liability for any act done by, or any right accrued by, or any suit or proceeding had or commenced against the assignor prior to the assignment.
  - (2) That (i) the authorization will not be assigned until the consent of the FCC has been given, or (ii) that prior FCC consent is not required because the transaction is subject to streamlined notification procedures and *pro forma* assignments by telecommunications carriers.

### **FCC FORM 704 (May 1998 Edition) INFORMATION REQUIREMENTS**

Beginning September 9, 1999, we will accept filings made on FCC Form 704 (“Application for Consent to Transfer of Control,”) provided:



- (1) Where the form asks for "Name," it is provided in this format: Last Name, Middle Initial, First Name (only in cases where the applicant is a person).
- (2) The transferor's information block also contains the transferor's
  - (a) TIN
  - (b) SGIN (when applicable)
  - (c) Telephone number
  - (d) Contact representative information (when applicable)
- (3) The transferee's information block also contains the transferee's
  - (a) TIN
  - (b) SGIN (when applicable)
  - (c) Telephone number
  - (d) Contact representative information (when applicable)
- (4) On an 8 ½ x 11" paper attached to the form, the applicant provides the following additional information:
  - (a) The licensee's:
    - (1) TIN
    - (2) SGIN (when applicable)
    - (3) Telephone number
  - (b) The file numbers of any related applications
  - (c) Whether the transfer of control is *pro forma*
  - (d) Whether the transaction also involves the transfer or assignment of other wireless and/or non-wireless licenses that are not part of the application form and for which Commission approval is required
  - (e) The means by which the transfer of control will be accomplished
  - (f) The following certifications:
    - (1) That the application either (i) has a current Form 602 on file with the Commission, (ii) is filing an updated 602 simultaneously with the application, or (iii) is not required to file Form 602 under the Commission's rules.
    - (2) That grant of the application would not cause the applicant to be in violation of any pertinent cross-ownership, attribution, or spectrum cap rule.
    - (3) That the statements are made in "good faith."
    - (4) That the transferee waives any claim to use of any particular frequency or of the electromagnetic spectrum as against the regulatory power of the United States because of the previous use of the same, whether by license or otherwise, and requests an authorization in accordance with its application
    - (5) That the transferee agrees to assume all obligations and abide by all conditions imposed on the transferor under the subject authorization(s), unless the FCC pursuant to a request made in the application otherwise allows, except for liability for any act done by, or any right accrued by, or any suit or proceeding had or commenced against the transferor prior to the transfer.

- (g) If the answer to question 19 is “yes,” then a statement as to whether the crime was a felony.

### **FCC FORM 430 (September 1997 Edition) INFORMATION REQUIREMENTS**

Beginning September 9, 1999, we will accept filings made on FCC Form 430 (“Licensee Qualification Report,”) provided:

- (1) Sufficient copies of the form are filed with sufficient information to adequately disclose direct and indirect owners per Section 1.2110 of the Commission’s rules, 47 C.F.R § 1.2110.
- (2) Where the form asks for “Name,” it is provided in this format: Last Name, Middle Initial, First Name (only in cases where the applicant is a person).
- (3) The applicant’s TIN is provided.
- (4) In the list of related FCC regulated business applicants and licensees, the following information is included:
  - (a) The name and address
  - (b) The principal business
  - (c) TIN
  - (d) The percentage held
- (5) In the list of each disclosable interest holder, the following information is included:
  - (a) The name
  - (b) TIN
  - (c) Type of interest in application from the following list of codes:
    - D – Direct ownership interest in applicant
    - I – Indirect interest ownership in applicant
    - O – Officer
    - R – Director
    - K- Key management personnel
    - M – Management personnel
    - O – Other (with explanation)
  - (d) The type of entity from the following list of codes:
    - I – Individual
    - C – Corporation
    - G – General partnership
    - L – Limited partnership
    - M – Limited liability corporation
    - U – Unincorporated association
    - O – Other (with explanation)
  - (e) A description of the relationship, including the path of ownership if it is from an indirect owner to the applicant

- (f) For each regulated business of a disclosable interest holder, the following information must be included:
- (1) The name and address of all FCC regulated businesses owned by the disclosable interest holder
  - (2) The principal business
  - (3) TIN
  - (4) Percent of interest held.
- (g) Any supplemental information is provided on 8 ½ x 11” pieces of paper attached to the form(s) submitted.

### **INFORMATION REQUIREMENTS FOR LETTER REQUESTS**

Beginning September 9, 1999, we will accept letter requests provided that, in the upper right-hand corner of the form, the applicant provides the following additional information:

- (a) The applicant’s TIN
- (b) The applicant’s SGIN (when applicable)