

UPLOADING OWNERSHIP DISCLOSURE DATA IN ISAS

Applicants submitting Ownership Disclosure Information have the option to upload ownership data in a text file, which will then be processed and populated into the system as the applicant's current ownership filing (provided there were no errors). This feature may benefit those applicants who have a large amount of ownership data that would otherwise have to be entered into the system manually. It also may benefit those applicants who previously provided ownership data to the FCC in a similar format for other purposes, such as in connection with filing FCC Form 602.

To use the upload feature, a text (.txt) file must be created that contains a row for each type of entity that is being uploaded. For example, a file might contain a row with data for a Disclosable Interest Holder (DIH), another row for a FCC-Regulated Business (FRB), another row for an affiliate, and so forth.

Instructions detailing what must be included for each entity are listed below, starting in *FCC-Regulated Business Record Data*. It is important to note that when a file is successfully uploaded, it will become the current ownership filing on file with the FCC.

Entity Types

To upload ownership data, a record (row) must be created for each entity that will be included in the ownership file. A record may be created for the following entity types:

- Disclosable Interest Holder (DIH)
- FCC-Regulated Business (FRB)
- FCC-Regulated Business of Disclosable Interest Holder
- Affiliate.

File Format

To use the upload feature in Ownership, a text file must be created using, for example, Windows Notepad. Data for each entity record must be entered in the order listed, so the system can process it properly. For each entity type, enter data for each column, separating each column of data with a "pipe" ("|") character. If data is to be omitted, the pipe character must be still be added as a data place holder. For example, if you are not entering an FRN for an entity, type "|" to represent the position of the missing data. Begin each record on a new line.

The following example represents the data requested to add a FCC-Regulated Business entity:

| Position | Data Element | Data Type | Note |
|----------|--------------|-----------|--|
| 1 | Record Type | char(1) | Required. Use "F" as the value for a FRB record. |
| 2 | File Number | char(14) | Not required. Enter a pipe " " to replace the omitted value, if the data is unknown. |

| Position | Data Element | Data Type | Note |
|----------|--------------------------|--------------|--|
| 3 | Business Name | varchar(200) | Required. Value may not be more than 200 characters, including spaces. |
| 4 | Principal Business | varchar(60) | Required. Value may not be more than 60 characters, including spaces. |
| 5 | FRN | numeric(10) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 6 | Percent of Interest | numeric(5,2) | Required. For example, “100.00” |
| 7 | Form Number | char(3) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 8 | Filing Type | char(1) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 9 | Filing Status | char(1) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 10 | Unique System Identifier | numeric(9,0) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |

| | |
|------------------|--|
| Position | Position indicates the order in which data must be entered. Use a pipe symbol () as a separator following each position, excluding the last position. |
| Data | Data represents the type of data that is being provided. |
| Data Type | <p>Data type represents the kind of data the column may contain (e.g., only numeric data allowed in the FRN column) and the maximum length of the value or its size.</p> <p><i>Char(x)</i> indicates character data (<i>x</i> represents the maximum number of characters allowed).</p> <p><i>Numeric(x)</i> represents numeric data (<i>x</i> represents the precision).</p> <p><i>Numeric(x, y)</i> represents numeric data (<i>x</i> represents the precision (specifies the number of digits in a number), <i>y</i> represents the scale (specifies the number of digits to the right of the decimal point in a number)).</p> <p><i>Varchar(x)</i> indicates character data (<i>x</i> represents the maximum length of the value or its size).</p> <p><i>Money</i> represents a monetary value using two decimal places.</p> |

Example record for an FCC-Regulated Business:

F|World Wide Wireless, Inc.|PCS Wireless|0007522890|44|||

Record Types for Upload Files

FCC-Regulated Business (FRB) Record Data

| Position | Data Element | Data Type | Note |
|----------|--------------------------|--------------|--|
| 1 | Record Type | char(1) | Required. Use “F” as the value for a FRB record. |
| 2 | File Number | char(14) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 3 | Business Name | varchar(200) | Required. Value may not be more than 200 characters, including spaces. |
| 4 | Principal Business | varchar(60) | Required. Value may not be more than 60 characters, including spaces. |
| 5 | FRN | numeric(10) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 6 | Percent of Interest | numeric(5,2) | Required. E.g., “100.00” |
| 7 | Form Number | char(3) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 8 | Filing Type | char(1) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 9 | Filing Status | char(1) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 10 | Unique System Identifier | numeric(9,0) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |

FCC-Regulated Business (FRB) of Disclosable Interest Holder (DIH) Record Data

| Position | Data Element | Data Type | Note |
|----------|--------------------|--------------|--|
| 1 | Record Type | char(1) | Required. Use “H” as the value for a DIH FRB record. |
| 2 | File Number | char(14) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 3 | Business Name | varchar(200) | Required. Value may not be more than 200 characters, including spaces. |
| 4 | Principle Business | varchar(60) | Required. Value may not be more than 60 characters, including spaces. |
| 5 | FRN | numeric(10) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |

| Position | Data Element | Data Type | Note |
|----------|--------------------------|--------------|--|
| 6 | DIH_FRN | numeric(10) | Required. Enter the 10 digit FRN of the DIH for which this FRB should be associated. |
| 7 | Percent of Interest | numeric(5,2) | Required. E.g., "100.00" |
| 8 | Form Number | char(3) | Not required. Enter a pipe " " to replace the omitted value, if the data is unknown. |
| 9 | Filing Type | char(1) | Not required. Enter a pipe " " to replace the omitted value, if the data is unknown. |
| 10 | Filing Status | char(1) | Not required. Enter a pipe " " to replace the omitted value, if the data is unknown. |
| 11 | Unique System Identifier | numeric(9,0) | Not required. Enter a pipe " " to replace the omitted value, if the data is unknown. |

Disclosable Interest Holder (DIH) Record Data

| Position | Data Element | Data Type | Note |
|----------|--------------|--------------|---|
| 1 | Record Type | char(1) | Required. Use "D" as the value for a DIH record. |
| 2 | File Number | char(14) | Not required. Enter a pipe " " to replace the omitted value, if the data is unknown. |
| 3 | Entity Name | varchar(200) | Required if DIH is an entity, otherwise do not enter a name, but a pipe " " to replace the omitted value. |

| Position | Data Element | Data Type | Note |
|----------|--------------|-------------|--|
| 4 | Entity Type | char(1) | Required. If the DIH is an entity, use one of the following as the values: 1 Corporation 2 General Partnership 4 LLC 5 LLP 7 Limited Partnership 8 Unincorporated Association 9 Consortium a Trust b Government Entity c Other If the DIH is an individual, use "3" as the value. |
| 5 | First Name | varchar(20) | Required if DIH is an individual, otherwise do not enter a name, but a pipe " " to replace the omitted value. |
| 6 | MI | char(1) | Not required. Enter a pipe " " to replace the omitted value, if the data is unknown. |
| 7 | Last Name | varchar(20) | Required if DIH is an individual, otherwise do not enter a name, but a pipe " " to replace the omitted value. |
| 8 | Suffix | char(3) | Not required. Enter a pipe " " to replace the omitted value, if the data is unknown. |
| 9 | FRN | numeric(10) | Required if the DIH has an FRB; otherwise enter a pipe " " to replace the omitted value. |
| 10 | Address | varchar(60) | Not required. Enter a pipe " " to replace the omitted value, if the data is unknown. |

| Position | Data Element | Data Type | Note |
|-----------------|------------------------------|------------------|--|
| 11 | Address2 | varchar(60) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 12 | City | varchar(20) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 13 | State | char(2) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 14 | Zip Code | char(9) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 15 | Country | char(2) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 16 | International_Address_ind | char(1) | Required. Enter Y for an International Address or N for a Domestic Address. |
| 17 | Interest Direct | char(1) | Required. Enter Y if the DIH has a direct ownership interest in the applicant or N otherwise. |
| 18 | Interest Indirect | char(1) | Required. Enter Y if the DIH has an indirect ownership interest in the applicant or N otherwise. |
| 19 | Interest Officer | char(1) | Required. Enter Y for Interest Officer or N otherwise. |
| 20 | Interest Director | char(1) | Required. Enter Y for Interest Director or N otherwise. |
| 21 | Interest Key Management | char(1) | Required. Enter Y for Interest Key Management or N otherwise. |
| 22 | Interest Management Contract | char(1) | Required. Enter Y for Interest Management Contract or N otherwise. |

| Position | Data Element | Data Type | Note |
|-----------------|--|------------------|---|
| 23 | Interest Other | char(1) | Required. Enter Y if the DIH has any other form of ownership interest in the applicant or N otherwise. |
| 24 | Interest Other Description | char(255) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 25 | Owner Common Stock | char(1) | Required. Enter Y if the DIH holds common stock in the applicant or N otherwise. |
| 26 | Owner Common Stock Vote Indicator | char(1) | Not required. Enter V for voting, N for non-voting, or B for both. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 27 | Owner General Partnership | char(1) | Required. Enter Y if the DIH is in a general partnership with the applicant or N otherwise. |
| 28 | Owner General Partnership Vote Indicator | char(1) | Not required. Enter M for Managing, N for Non-managing, or B for Both. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 29 | Owner Limited Partnership | char(1) | Required. Enter Y if the applicant is in a limited partnership with the applicant or N otherwise. |
| 30 | Owner Limited Partnership Vote Indicator | char(1) | Not required. Enter I for Insulated, N for Non-insulated, or B for Both. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |

| Position | Data Element | Data Type | Note |
|-----------------|--|------------------|---|
| 31 | Owner Member | char(1) | Required. Enter Y for if the DIH is a member of the applicant or N otherwise. |
| 32 | Owner Option | char(1) | Required. Enter Y if the DIH holds options in the applicant or N otherwise. |
| 33 | Owner Proprietor | char(1) | Required. Enter Y if the DIH is the sole proprietor of the applicant or N otherwise. |
| 34 | Owner Preferred Stock | char(1) | Required. Enter Y if the DIH holds preferred stock in the applicant or N otherwise. |
| 35 | Owner Preferred Stock Vote Indicator | char(1) | Not required. Enter V for Voting, N for Non-voting, or B for Both. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 36 | Owner Preferred Stock Convert Indicator | char(1) | Not required. Enter V for Convertible, N for Non-convertible, or B for Both. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 37 | Owner Warrant | char(1) | Required. Enter Y if the DIH holds warrants for the applicant or N otherwise. |
| 38 | Owner Other Type of Interest | char(1) | Required. Enter Y if the DIH has any other type of ownership interest in the applicant or N otherwise. |
| 39 | Owner Other Type of Interest Description | char(255) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |

| Position | Data Element | Data Type | Note |
|-----------------|----------------------------------|------------------|---|
| 40 | Percent of Interest | numeric(5,2) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 41 | Country of Citizenship | char(2) | Required if Entity Type is Individual. Otherwise, enter a pipe “ ” to replace the omitted value. |
| 42 | Jurisdiction of Formation | char(2) | Country in which the DIH was formed. Required if Entity Type is not Individual. Otherwise, enter a pipe “ ” to replace the omitted value. |
| 43 | State of Jurisdiction | char(2) | Use if Jurisdiction of Formation is US. Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 44 | Non Affiliate Option | char(1) | Not required. Enter Y if not an Affiliate according to FCC rules or N if Affiliate. |
| 45 | Most Recent Year – In Existence | char(1) | Required. Enter Y if in existence in the most recent reportable year or N otherwise. |
| 46 | Most Recent Year – Year End Date | char(10) | Date format is mm/dd/yyyy. Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 47 | Most Recent Year - Revenue | numeric(18) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 48 | One Year Prior – In Existence | char(1) | Required. Enter Y if in existence one year prior to the most recent reportable year or N otherwise. |

| Position | Data Element | Data Type | Note |
|-----------------|---------------------------------|------------------|--|
| 49 | One Year Prior – Year End Date | char(10) | Date format is mm/dd/yyyy. Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 50 | One Year Prior - Revenue | numeric(18) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 51 | Two Years Prior – In Existence | char(1) | Required. Enter Y if in existence two years prior to the most recent reportable year or N otherwise. |
| 52 | Two Years Prior – Year End Date | char(10) | Date format is mm/dd/yyyy. Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 53 | Two Years Prior - Revenue | numeric(18) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 54 | Total Assets | money | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 55 | Financial Statement Type | char(1) | Not required. Enter A for Audited Statement or G for Non-audited GAAP Compliant. |
| 56 | Form Number | char(3) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 57 | Filing Type | char(1) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 58 | Filing Status | char(1) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 59 | Unique System Identifier | numeric(9,0) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |

Affiliate Record Data

| Position | Data Element | Data Type | Note |
|-----------------|------------------------|------------------|---|
| 1 | Record Type | char(1) | Required. Use "A" as the value for an affiliate record. |
| 2 | File Number | char(10) | Not required. Enter a pipe " " to replace the omitted value, if the data is unknown. |
| 3 | Individual Entity Type | char(1) | Required. If the affiliate is an entity, use "E" as the value. If the affiliate is an individual, use "I" as the value. |
| 4 | First Name | varchar(20) | Required if affiliate is an individual, otherwise do not enter a value, but a pipe " " to replace the omitted value. |
| 5 | MI | char(1) | Not required. Enter a pipe " " to replace the omitted value, if the data is unknown. |
| 6 | Last Name | varchar(20) | Required if affiliate is an individual, otherwise do not enter a value, but a pipe " " to replace the omitted value. |
| 7 | Suffix | char(3) | Not required. Enter a pipe " " to replace the omitted value, if the data is unknown. |
| 8 | Entity Name | varchar(200) | Required if affiliate is an entity, otherwise do not enter a name, but a pipe " " to replace the omitted value. |
| 9 | Principal Business | varchar(60) | Not required. Enter a pipe " " to replace the omitted value, if the data is unknown. |
| 10 | FRN | numeric(10) | Not required. Enter a pipe " " to replace the omitted value, if the data is unknown. |

| Position | Data Element | Data Type | Note |
|-----------------|----------------------------------|------------------|--|
| 11 | Most Recent Year – In Existence | char(1) | Required. Enter Y if in existence in the most recent reportable year or N otherwise. |
| 12 | Most Recent Year – Year End Date | char(10) | Date format is mm/dd/yyyy. Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 13 | Most Recent Year - Revenue | numeric(18) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 14 | One Year Prior – In Existence | char(1) | Required. Enter Y if in existence one year prior to the most recent reportable year or N otherwise. |
| 15 | One Year Prior – Year End Date | char(10) | Date format is mm/dd/yyyy. Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 16 | One Year Prior - Revenue | numeric(18) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 17 | Two Years Prior – In Existence | char(1) | Required. Enter Y if in existence two years prior to the most recent reportable year or N otherwise. |
| 18 | Two Years Prior – Year End Date | char(10) | Date format is mm/dd/yyyy. Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 19 | Two Years Prior - Revenue | numeric(18) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 20 | Total Assets | money | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |

| Position | Data Element | Data Type | Note |
|----------|--------------------------|--------------|--|
| 21 | Financial Statement Type | char(1) | Not required. Enter A for Audited Statement or G for Non-audited GAAP Compliant. |
| 22 | Form Number | char(3) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 23 | Filing Type | char(1) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 24 | Filing Status | char(1) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |
| 25 | Unique System Identifier | numeric(9,0) | Not required. Enter a pipe “ ” to replace the omitted value, if the data is unknown. |

Procedure to Upload Ownership Disclosure Information

After creating the ownership upload file and saving it as a .txt file, it may be uploaded from the *Upload Ownership Disclosure Information* screen. Ownership data must be uploaded in one file. A successful upload will become the current ownership data on file with the FCC. You may not make changes to your Ownership Disclosure data nor submit your auction application until the processing of your upload file has completed. You may navigate to other sections of your online auction application during the processing. To begin the upload process:

1. Enter the exact path name of the file to be uploaded or click the **BROWSE** button to locate the file on your computer. Click **BROWSE** opens a window from which you can locate and select the file. After selecting the file, click the **OPEN** button.
2. Type an e-mail address to which a confirmation notice will be sent, then re-type the address in the confirmation box.
3. Click the **UPLOAD FILE** button.

The system will process the file and populate the system with the data, provided there were no processing errors. If there is an error, an error message will be displayed on the screen. If the file is successfully uploaded, the ownership data will be viewable on the *View/Edit Ownership Disclosure Information* screen. It may be viewed and/or edited just as if it had been entered manually.