Integrated Spectrum Auction System

**Applicant/Bidder Access**

FRN: 0007318140
Password: ********

Log In Information
The pages you are trying to access are protected. Please type your FCC Registration Number (FRN) and its associated password.

- Forgot your Password?
  FRN hotline information
- Need an FRN?
  Register with the FCC
- Not sure if you have an FRN?
  Search the FCC Registration System database to determine if you have been assigned an FRN.

**Public Access**

- Auction Applications
- Auction Information (select an auction)
- ULS License Search
My Auctions Page

Pre-Auction

- Apply to bid, or modify existing applications
  Enter Auction Application Manager

- How do I request a refund of my upfront payment?
  See Wire Transfer for Refund Purposes

Public Access

- Auction Applications

- Auction Information
  (select an auction)

- ULS License Search

Online Bidding

There are no auctions available.

Post-Auction

- How do I make my downpayment or final payment?
  Making a downpayment or final payment
  See FCC Form 159

- Where do I file my license application?
  See Universal Licensing System

- How do I request a refund of my upfront payment?
  See Wire Transfer for Refund Purposes
Auction Application Manager
Create or Review Auction Applications

Create New Application

- **Auction 164** Sample SMR Auction -- Initial Filing Window closes 5/17/2005, 3:30 PM

Review or Modify Existing Applications

<table>
<thead>
<tr>
<th>Auction</th>
<th>Applicant Name</th>
<th>Application Status</th>
<th>Last Modified</th>
<th>Last Submitted</th>
</tr>
</thead>
<tbody>
<tr>
<td>No existing applications found</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- $ - Upfront Payment Calculator and Form 159
- $ - Refund Form
- $ - Edit Application
- $ - Withdraw Application
- $ - Search

Documentation

Auction: 3 - PCS Narrowband Region
A legal Classification must be selected in order to proceed.
**Auction 164**

Sample SMR Auction

---

**Applicant Information**

**Applicant Name**

Please provide the following information. The name entered will be used as the Bidder Name during the auction.

- **Entity Name:** Bidder One Corporation

**Jurisdiction of Formation:** District of Columbia

---

**Applicant Address** (PO boxes are not permitted)

- **Address Line 1:** 123 Auction Street
- **City:** Anywhere
- **State:** District of Columbia
- **Zip Code:** 20554

---

**Steps**

- Applicant Information
  - License Selection
  - Agreements
  - Ownership
  - Summary
  - Certify & Submit

**Common Questions**

- When is my data saved during the data entry process?
- What is the difference between a warning and an error?
- What is a Jurisdiction of Formation?
- Why are P.O. boxes not permitted?
- What is a suffix?
Auction 164

Sample SMR Auction

Applicant Information

Responsible Party - Corporation

Identify an individual as the responsible party for the Corporation

Name:
- First: Imma
- Last: Bider

Title:
- Officer or Director: President

Telephone Number:
- Area: 202
- Ext: 418
- 2080

Email Address:
- bidderone@fcc.gov

Steps

- Applicant Information
  - License Selection
  - Agreements
  - Ownership
- Summary
- Certify & Submit

Common Questions

- When is my data saved during the data entry process?
- What is the difference between a warning and an error?
- What is a suffix?
- Do I have to fill in the Telephone Number and Email Address for our responsible party?
- Who is considered to be a Responsible Party?
**Auction 164**

**Sample SMR Auction**

**Applicant Information**

**Authorized Bidders**

Identify at least one but no more than three authorized bidders. Only individuals listed here will be authorized to bid on behalf of the applicant. The authorized bidders may be changed during the auction.

<table>
<thead>
<tr>
<th>First</th>
<th>MI</th>
<th>Last</th>
<th>Suffix</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td>Bidder</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td>Bidder</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td>Bidder</td>
<td></td>
</tr>
</tbody>
</table>

**Telephonic or Electronic Bidding Options**

Qualified bidders are permitted to bid electronically or telephonically. Select the option you anticipate using as your primary means of placing bids in the auction.

- Electronic
- Telephonic
Auction 164

Sample SMR Auction

Applicant Information

Bidding Credit Eligibility

This is the sole opportunity to apply for a bidding credit. There will be no opportunity to apply or modify this information after the Initial Filing Window closes.

- Applicant does not seek a bidding credit

Applicant hereby applies for a bidding credit and states that aggregate average gross revenues attributable to the applicant:

- Do not exceed $3,000,000
- Exceed $3,000,000 and do not exceed $15,000,000
- Exceed $15,000,000 and do not exceed $40,000,000
Auction 164

Sample SMR Auction

License Selection
Select Licenses

License selection identifies the licenses on which the applicant wishes to be eligible to bid.

Eligible Licenses
- AU-SMR001-A Region 1
- AU-SMR002-A Region 2
- AU-SMR003-A Region 3
- AU-SMR004-A Region 4
- AU-SMR005-A Region 5
- AU-SMR006-A Region 6

Selected Licenses

Steps
- Applicant Information
  - License Selection
    - Agreements
    - Ownership
    - Summary
    - Certify & Submit
- Common Questions
  - When is my data saved during the data entry process?
  - What is the difference between a warning and an error?
  - How can I select more than one item?
  - Can I later change my license selections?
  - Do I have to bid on all the licenses I select?
  - What does Apply Filters mean?
Auction 164

Sample SMR Auction

License Selection
View/Edit License Selections

These are your selected licenses. Select the Change Selection icon immediately below to change your selected licenses.

Selected Licenses

3 Selected Licenses out of 6 Available Licenses

<table>
<thead>
<tr>
<th>License ID</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 AU-SMR003-A</td>
<td>Region 3</td>
</tr>
<tr>
<td>2 AU-SMR004-A</td>
<td>Region 4</td>
</tr>
<tr>
<td>3 AU-SMR005-A</td>
<td>Region 5</td>
</tr>
</tbody>
</table>

Page: 1

Steps
- Applicant Information
- License Selection
  - Agreements
  - Ownership
  - Summary
  - Certify & Submit

Common Questions
- When is my data saved during the data entry process?
- What is the difference between a warning and an error?
Auction 164

Sample SMR Auction

Agreements

Agreements with Other Parties and Joint Bidding Arrangements

Has the applicant entered into partnerships, joint ventures, consortia or other agreements, arrangements or understandings of any kind relating to the licenses being auctioned, including any such agreements relating to the post-auction market structure?

☐ Yes  ☐ No
Agreements

Create New Agreement

Identify all parties with whom Applicant has entered into partnerships, joint ventures, consortia or other agreements, arrangements or understandings of any kind relating to the licenses being auctioned, including any such agreements relating to the post-auction market structure.

Provide an identifying name for your agreement.

Agreement Identifier: Agreement 1

Add Parties

Add up to three parties below. You may add more parties later.

Party to Agreement

- Entity Name: Party 1 Company
- FRN: 000123456 (Search FRN)
- Individual Name: First: Last: Suffix
- FRN: (Search FRN)

Party to Agreement

- Entity Name: Party 2 Company
- FRN: (Search FRN)
- Individual Name: First: M: L: Suffix
- FRN: (Search FRN)

Party to Agreement

- Entity Name:
- FRN: (Search FRN)
- Individual Name: First: M: L: Suffix
- FRN: (Search FRN)
Auction 164

Sample SMR Auction

Agreements
View/Edit Agreements

Agreements with Other Parties and Joint Bidding Arrangements

Agreements? Yes

You currently have 1 agreement

Agreement: Agreement 1

2 parties in this agreement
Party: Party 1 Company
Party: Party 2 Company

Add Party To This Agreement

Delete This Agreement

CREATE NEW AGREEMENT

Steps
Applicant Information
License Selection
Agreements
Ownership
Summary
Certify & Submit

Common Questions
When is my data saved during the data entry process?
What is the difference between a warning and an error?
## Ownership

### Add Revenue Information to Applicant

#### Gross Revenue Disclosure

Declare the three previous years' gross revenues below.

If the Applicant was in existence and had no gross revenues for a year of the relevant period, disclose Gross Revenues as $0 for that year. If the Applicant was not in existence for a year of the relevant period, disclose gross revenues for the Applicant’s predecessor-in-interest, if any.

If Applicant is not disclosing gross revenues for the most recent three years, and/or is disclosing gross revenues for fewer than three years, please explain why in an attachment.

### Most Recent Reportable Year

- The Applicant and any predecessors-in-interest were not in existence for a full year of the relevant period.

<table>
<thead>
<tr>
<th>Year End Date</th>
<th>Gross Revenues</th>
</tr>
</thead>
<tbody>
<tr>
<td>12/31/2004</td>
<td>$6000000</td>
</tr>
</tbody>
</table>

### One Year Prior to Most Recent Reportable Year

- The Applicant and any predecessors-in-interest were not in existence for a full year of the relevant period.

<table>
<thead>
<tr>
<th>Year End Date</th>
<th>Gross Revenues</th>
</tr>
</thead>
<tbody>
<tr>
<td>12/31/2003</td>
<td>$3000000</td>
</tr>
</tbody>
</table>

### Two Years Prior to Most Recent Reportable Year

- The Applicant and any predecessors-in-interest were not in existence for a full year of the relevant period.

<table>
<thead>
<tr>
<th>Year End Date</th>
<th>Gross Revenues</th>
</tr>
</thead>
<tbody>
<tr>
<td>12/31/2002</td>
<td>$0</td>
</tr>
</tbody>
</table>
Ownership
Edit Revenue Information for Applicant

Financial Statements

You must select one.

- Applicant used audited financial statements.
- Applicant used unaudited financial statements prepared in accordance with Generally Accepted Accounting Principles and certified by Applicant's chief financial officer or the equivalent.

Steps

- Applicant Information
- License Selection
- Agreements
- Ownership
  - Summary
  - Certify & Submit

Common Questions

- When is my data saved during the data entry process?
- What is the difference between a warning and an error?
- Why must I choose one of these options?
- What if neither choice applies?
Auction 164
Sample SMR Auction

Ownership
Add Disclosable Interest Holder

Disclosable Interest Holder Name and Type
Select either Entity OR Individual.

- Entity Name: DH Company
  - Entity Type: Corporation
  - FRN: 123456789

- Individual Name: [First Name] [MI] [Last Name]
  - FRN: [Search FRN]

---

Steps
- Applicant Information
- License Selection
- Agreements
- Ownership
  - Summary
  - Certify & Submit

Common Questions
- When is my data saved during the data entry process?
- What is the difference between a warning and an error?
- What is a Disclosable Interest Holder (DIH)?
- Is the FRN required?
Auction 164
Sample SMR Auction

Ownership
Add Disclosable Interest Holder: DIH Company

Disclosable Interest Holder Address
- Click here if address is located outside the US.

<table>
<thead>
<tr>
<th>Address:</th>
<th>121 Somewhere Ave</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>Washington</td>
</tr>
<tr>
<td>State:</td>
<td>District of Columbia</td>
</tr>
<tr>
<td>Zip Code:</td>
<td>20554</td>
</tr>
</tbody>
</table>

Steps
- Applicant Information
- License Selection
- Agreements
- Ownership
  - Summary
  - Certify & Submit

Common Questions
- When is my data saved during the data entry process?
- What is the difference between a warning and an error?
- What certification should I provide for foreign ownership?
Auction 164

Sample SMR Auction

Ownership
Add Disclosable Interest Holder: DIH Company

Type of Interest in Applicant

Check all that apply.

☑ Direct Ownership Interest in Applicant
☐ Indirect Ownership Interest in Applicant
☐ Officer
☐ Director
☐ Key Management Personnel
☐ Management Contract
☐ Other (specify)

Steps

Applicant Information
License Selection
Agreements
Ownership
Summary
Certify & Submit

Common Questions

When is my data saved during the data entry process?
What is the difference between a warning and an error?
How do I describe disclosable interest holders who have an indirect ownership in my company?
Ownership
Add Disclosable Interest Holder: DIH Company

Type of Ownership Interest in Applicant

- [x] Common Stock (specify)
  - Voting
- [ ] General Partnership Shares (specify)
- [ ] Limited Partnership Shares (specify)
- [ ] Membership Shares
- [ ] Option to Acquire Equity
- [ ] Proprietorship
- [ ] Preferred Stock (specify both voting and convertible types)
  - Voting
  - Convertible
- [ ] Warrant
- [ ] Other (specify)

Common Questions
- When is my data saved during the data entry process?
- What is the difference between a warning and an error?
Auction 164

Sample SMR Auction

Ownership
Add Disclosable Interest Holder: DIH Company

Percent of Interest Held in Applicant

30 %

Jurisdiction of Formation

Click here if DIH was formed in a jurisdiction outside the US.

Jurisdiction of Formation: District of Columbia

Steps

Applicant Information
License Selection
Agreements

Ownership
Summary
Certify & Submit

Common Questions

When is my data saved during the data entry process?
What is the difference between a warning and an error?
What is a Jurisdiction of Formation?
What should the “Percent of Interest Held in Applicant” reflect?
# Auction 164

Sample SMR Auction

## Ownership

Add FCC Regulated Business

<table>
<thead>
<tr>
<th>FCC Regulated Business</th>
<th>Principal Business</th>
<th>FRN</th>
<th>Percent of Interest Held</th>
</tr>
</thead>
<tbody>
<tr>
<td>FRB Corporation</td>
<td>Telecommunications</td>
<td>967664321</td>
<td>20%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(Search FRN)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Identify business(es) in which the Applicant has an interest. You may [select business(es) already submitted](#) or begin entering the information below.

**Steps**

- Applicant Information
- License Selection
- Agreements
- Ownership
- Summary
- Certify & Submit

**Common Questions**

- When is my data saved during the data entry process?
- What is the difference between a warning and an error?
- What does the Search FRN link do?
- What is an FCC Regulated Business (FRB)?
- Is the FRN required?
- What does "Percent of Interest Held" refer to?
Ownership
Add Affiliate

Affiliate

Identify business(es) which are affiliated in any way to the Applicant. You may select business(es) already submitted or begin entering the information below.

Affiliate Name

Select either Business Name OR Individual.

- Business Name: Affiliate LLC
  
  Principal Business: Construction

- Individual Name: First | MI | Last | Suffix

FRN: 543210000 (Search FRN)
Auction 164
Sample SMR Auction

Ownership
View/Edit Ownership Disclosure Information

Revenue Summary
Aggregate Average Gross Revenue: $5,425,000.00
Aggregate Gross Revenue:
  Most recent reportable year: $10,000,000.00
  One year prior to most recent reportable year: $3,856,000.00
  Two years prior to most recent reportable year: $0.00

Revenue Information for Applicant
- Add Disclosable Interest Holder to Applicant
- Add FCC Regulated Business to Applicant
- Add Affiliate to Applicant
- Upload Applicant Ownership Disclosure Information

View all FCC Regulated Businesses of the Applicant  View all Affiliates of the Applicant

Disclosable Interest Holders of this Applicant
You currently have specified 1 Disclosable Interest Holder(s)
- Disclosable Interest Holder: DII Company
  You currently have specified 0 FCC Regulated Businesses held by this Disclosable Interest Holder
  Add FCC Regulated Business to this Disclosable Interest Holder

DELETE SELECTED

Top

FCC Regulated Businesses of this Applicant
You currently have specified 1 FCC Regulated Business(es)
- FCC Regulated Business: FBB Corporation

DELETE SELECTED

Top

Affiliates of this Applicant
You currently have specified 1 Affiliate(s)
- Affiliate: Affiliate LLC

DELETE SELECTED

Top
Auction 164
Sample SMR Auction

Ownership
Gross Revenues Confirmation

Confirmation

Has Applicant provided separate gross revenue information for itself, for each of Applicant's officers and directors; for each of Applicant's other controlling interests; for each of Applicant's affiliates; and for each affiliate of each of Applicant's officers, directors, and other controlling interests?

☐ Yes  ☐ No

Steps
Applicant Information
License Selection
Agreements
Ownership
Summary
Certify & Submit

Common Questions
When is my data saved during the data entry process?
What is the difference between a warning and an error?
Auction 164
Sample SMR Auction

Summary
Summary Overview

Choose a step listed below to review your provided information.

- Applicant Information [VIEW/EDIT]
- License Selection [VIEW/EDIT]
- Agreements [VIEW/EDIT]
- Ownership [VIEW/EDIT]

CHECK ERRORS

Once you are confident that the application is ready for certification and submission, click on the "Continue To Certify" button below.

CONTINUE TO CERTIFY

Steps
- Applicant Information
- License Selection
- Agreements
- Ownership
- Summary [Certify & Submit]

Common Questions
- When is my data saved during the data entry process?
- What is the difference between a warning and an error?
- What does the Check Errors button do?
Auction 164

Sample SMR Auction

Certify & Submit

Former Default, Delinquency Statement

By indicating which statement applies and by submitting the application, applicants make the applicable statement under penalty and perjury. An applicant making the second statement must submit an upfront payment equal to 50 percent more than otherwise would be required.

☐ The applicant, its affiliates, its controlling interests, and the affiliates of its controlling interests (as those parties are defined by the Commission's rules) have never been in default on any Commission license and have never been delinquent on any non-tax debt owed to any Federal agency.

☐ One or more of the applicant, its affiliates, its controlling interests, or the affiliates of its controlling interests (as those parties are defined by the Commission's rules) have been in default on a Commission license or have been delinquent on a non-tax debt owed to a Federal agency.

Steps

- Applicant Information
- License Selection
- Agreements
- Ownership
- Summary

Certify & Submit

Common Questions

- When is my data saved during the data entry process?
- What is the difference between a warning and an error?
- Why must one of the options be selected?
- What if I don't know which of the two options is correct?
Certify & Submit

Certify Auction Application

By clicking the "Certify" button below, I certify the following:

(1) that the applicant is legally, technically, financially, and otherwise qualified pursuant to 305(b) of the Communications Act and the Commission's Rules and is in compliance with the foreign ownership provisions contained in Section 319 of the Communications Act.

(2) that the applicant is the real party in interest in this application and that there are no agreements or understandings other than those specified in this application, which provide that someone other than the applicant shall have an interest in the license.

(3) that the applicant is aware that, if upon Commission inspection, this application is shown to be defective, the application may be dismissed without further consideration, and certain fees forfeited. Other penalties may also apply.

(4) except as explicitly provided in the Commission's Rules, that the applicant has not entered into and will not enter into any explicit or implicit agreements or understandings of any kind with parties not identified in this application regarding the amount to be bid, bidding strategies or the particular license on which the applicant or other parties will or will not bid.

(5) that the applicant, or any party to this application, is not subject to a denial of federal benefits pursuant to Section 5301 of the Anti-Drug Abuse Act of 1988.

(6) that if a bidding credit eligibility is claimed, the applicant is eligible for any special provisions set forth in the Commission's Rules applicable to this auction and consents to audits, as set forth in the Commission's Rules, to verify such status.

(7) that the applicant is and will, during the pendency of its application(s), remain in compliance with any service specific qualifications applicable to the licenses on which the applicant intends to bid including, but not limited to, financial qualifications.

(8) that the applicant is not in default on any payment for Commission licenses and that it is not delinquent on any non-tax debt owed to any federal agency.

I declare, under penalties of perjury, that I am an authorized representative of the above named applicant for the license and/or licenses specified above, that I have read the instructions and the foregoing certification and all matters and things stated in this application, its schedules and attachments, including exhibits, are true and correct.

Signature

Person Certifying: Imma Bidder
Title: President

SUBMIT
Auction 164
Sample SMR Auction

Certify & Submit

Auction Application Submit Confirmation
Your Auction Application has been received on 5/16/2005 at 3:58 PM. Your file number is 0001680049. Please print this page for your records.

Upfront Payment Calculator/Form 159

Steps
Applicant Information
License Selection
Agreements
Ownership
Summary
Certify & Submit

Common Questions
When is my data saved during the data entry process?
What is the difference between a warning and an error?
What is Form 159 and how do I fill it out?
How can I get a copy of the information I submitted?
Must I go to the Upfront Calculator and Form 159 immediately?
Do I have to submit an upfront payment to cover all the licenses I selected on my Form 175?
How will I know the status of my Form 175?
When can I see the Form 175 of other applicants for the auction?
LOCKBOX: 99999

SECTION A - PAYEE INFORMATION
Payee Name: Doe Buck Partnership
Street Address Line No. 1: 3344 Independence Ave
Zip Code: 20009
City: Washington
State: DC
Telephone Number: 202-785-2887

SECTION B - CERTIFICATION
CERTIFICATION STATEMENT: I hereby certify under penalty of perjury that the foregoing and supporting information is true and correct to the best of my knowledge, information and belief.
Signature: ____________________________ Date: ____________

SECTION C - CREDIT CARD PAYMENT INFORMATION
Account Number: ________________________ Expiration Date: ____________
I hereby authorize the FCC to charge my credit card for the services as described.
Signature: ____________________________ Date: ____________