

## Information and Instructions

### FCC Ownership Disclosure Information for the Wireless Telecommunications Services

#### NOTICE TO INDIVIDUALS REQUIRED BY THE PRIVACY ACT OF 1974 AND THE PAPERWORK REDUCTION ACT OF 1995

We have estimated that each response to this collection of information will take on average 1.5 hours. Our estimate includes the time to read the instructions, look through existing records, gather and maintain required data, and actually complete and review the form or response. If you have any comments on this estimate, or on how we can improve the collection and reduce the burden it causes you, please write the Federal Communications Commission, AMD-PERM, Washington, DC 20554, Paperwork Reduction Project (3060-0799). We will also accept your comments via the Internet if you send them to [PRA@fcc.gov](mailto:PRA@fcc.gov). *Please do not send completed application forms to this address.*

You are not required to respond to a collection of information sponsored by the Federal government, and the government may not conduct or sponsor this collection unless it displays a currently valid OMB control number with this notice. This collection has been assigned OMB control number 3060-0799.

The FCC is authorized under the Communications Act of 1934, as amended, to collect the personal information we request in this form. We will use the information you provide in evaluating pending licensing applications. If we believe there may be a violation or potential violation of a statute, FCC regulation, rule or order, your application may be referred to the Federal, state, or local agency responsible for investigating, prosecuting, enforcing or implementing the statute, rule, regulation or order. In certain cases, the information in your application may be disclosed to the Department of Justice or a court or adjudicative body when (a) the FCC; or (b) any employee of the FCC; or (c) the United States Government, is a party to a proceeding before the body or has an interest in the proceeding.

All parties and entities doing business with the Commission must obtain a unique identifying number called the FCC Registration Number (FRN) and supply it when doing business with the Commission. Failure to provide the FRN may delay the processing of the application. This requirement is to facilitate compliance with the Debt Collection Improvement Act of 1996 (DCIA). The FRN can be obtained electronically through the FCC webpage at <http://www.fcc.gov> or by manually submitting FCC Form 160. FCC Form 160 is available from the FCC's web site at <http://www.fcc.gov/formpage.html>, by calling the FCC's Forms Distribution Center 1-800-418-FORM (3676), or from Federal Communications Commission Fax Information System by dialing (202) 418-0177.

This notice is required by the Privacy Act of 1974, Public Law 93-579, December 31, 1974, 5 U.S.C. Section 552a(e) (3) and the Paperwork Reduction Act of 1995, Public Law 104-13, October 1, 1995, 44 U.S.C. 3507.



# General Instructions

## Purpose of Form

The purpose of FCC Form 602 is to collect ownership data pertaining to the filer for use by the FCC in determining whether the public interest would be served by a grant of the requested authorization. In doing so, the FCC uses FCC Form 602 to obtain information regarding the identity of the real party or parties in interest of the filer and to elicit additional information required by section 1.2112(a) of the Commission's rules regarding: 1) persons or entities holding a 10% or greater direct or indirect ownership interest in the filer, see 47 C.F.R. § 1.2112(a)(1); 2) all limited partners whose interest in the filer is 10% or greater, see 47 C.F.R. § 1.2112(a)(2); 3) all general partners in any general partnership in the filer's chain of ownership, see 47 C.F.R. § 1.2112(a)(3); and 4) the members of any limited liability corporation whose interest in the filer is 10% or greater, see 47 C.F.R. § 1.2112(a)(4).

A "direct owner" is an individual or entity that holds an immediate interest in the filer. An "indirect owner" is an individual or entity that holds a 10% or greater interest in the filer as determined by successive multiplication as defined in section 1.2112(a)(5) through an intervening entity or entities in an ownership chain. See 47 C.F.R. § 1.2112(a)(5). For each direct and indirect owner, the filer must provide all FCC-regulated entities or applicants for an FCC license in which the direct or indirect owner has a 10% or greater direct or indirect ownership interest as determined by successive multiplication.

**Example:** In the following example Company A is the filer. Company A's stock is owned by two persons: Mary Smith owns 40% of the outstanding stock and Company B owns 60% of the outstanding stock. Each of these persons is a direct owner and a separate FCC Form 602, Schedule A would be filled out for each. Company B is in turn owned by John and Jane Doe, 50%, and by Mega Corporation, 50%. John and Jane Doe and Mega Corporation are indirect owners of the filer. An FCC Form 602, Schedule A would be separately filled out for John Doe, Jane Doe and Mega Corporation. Mega Corporation is in turn owned by Richard Mega, who holds 91% of the outstanding stock, as determined by successive multiplication, and Peter Smith, who holds 9% of the outstanding stock. Because Richard Mega indirectly owns more than 10% of Company A, information regarding Richard Mega would be provided on a FCC Form 602, Schedule A. However, because Peter Smith's indirect ownership share of Company A, when calculated using successive multiplication, is less than 10%, the filer would not be required to provide information regarding Peter Smith.

## Who Must File FCC Form 602 and When

FCC Form 602 is required to be filed by all applicants in auctionable services, pursuant to Section 309(j) of the Communications Act and section 1.2102 of the Commission's rules, whether or not the subject licenses were initially acquired at auction. See 47 U.S.C. § 309(j); 47 C.F.R. § 1.2102. Auctionable services include all wireless services other than those specifically exempted from competitive bidding procedures. See 47 C.F.R. § 1.2102(b), (c).

### **FCC Form 602 must be filed or updated under the following circumstances:**

- Applicants filing to obtain a new license or authorization who do not have a current FCC Form 602 on file with the FCC. See 47 C.F.R. § 1.919(b)(1).
- Applicants filing to renew an existing license or authorization who do not have a current FCC Form 602 on file with the FCC. See 47 C.F.R. § 1.919(b)(2).
- Applicants requesting approval for a transfer of control of a license or assignment of an authorization who do not have a current FCC Form 602 on file with the FCC. See 47 C.F.R. §§ 1.919(b)(3), 1.948(c).
- Applicants filing a notification of consummation of a *pro forma* transfer of control of a license or assignment of authorization under the Commission's forbearance procedures who do not have a current FCC Form 602 on file with the FCC. See 47 C.F.R. §§ 1.919(b)(4), 1.948(c)(1)(iii), 1.948(d).
- Applicants requesting approval for a reportable eligibility event who do not have a current FCC Form 602 on file with the FCC. See 47 C.F.R. §§ 1.919(b)(5), 1.2114.

## Information Current and Complete

During the pendency of the above mentioned applications, information contained in FCC Form 602 on file with the FCC must be kept current and complete. Pursuant to section 1.65 of the Commission's rules the applicant must notify the FCC regarding any substantial and significant changes in the information furnished in the FCC Form 602 or underlying application(s). See 47 C.F.R. § 1.65.

## Applicable Rules and Regulations

Filers should obtain the relevant parts of the FCC's rules in Title 47 of the Code of Federal Regulations (47 CFR). Copies of 47 CFR may be purchased from the Superintendent of Documents, Government Printing Office, Washington, D.C. 20402, (202) 512-1800. Copies of 47 CFR may also be obtained, free of charge, from the Government Printing Office's Website at <http://www.access.gpo.gov>. Some FCC rules require applicants to attach one or more exhibits to an application in addition to the information requested in the application form.

### **Processing Fee and Filing Locations**

No processing fee is required with the filing of FCC Form 602 separate and a part from any applicable filing fees for the associated application for authorization. This form, if filed manually, should be mailed to the Federal Communications Commission, 1270 Fairfield Road, Gettysburg, PA 17325-7245.

### **Packages for Manual Filings**

FCC Form 602 should be submitted as one package, stapled in the upper left corner. The Main Form responses' should be first followed with all completed copies of Schedule A, attached in ascending order of ownership percentage, and then all exhibits corresponding to the filing of FCC Form 602.

If this form is filed as a result of an auction, please specify the Auction Number as indicated in your bidder's package.

The number of paper copies of FCC Form 602 required to be filed is one original. Electronic filers should follow procedures contained in online help files.

### **Exhibits**

Each document filed as an exhibit should be current as of the date of filing. Each page of every exhibit must be identified with the number or letter of the exhibit, the number of the page of the exhibit, and the total number of pages of the exhibit. If material is to be incorporated by reference with respect to manual filings, see the instruction on incorporation by reference.

### **Incorporation by Reference for Manual Filings**

You may incorporate by reference documents, exhibits, or other lengthy showings already on file with the FCC only if: the information previously filed is more than one 8 1/2" by 11" page in length, and all information therein is current and accurate in all significant respects; the reference states specifically where the previously filed information can be found (*i.e.*, station call sign and application file number, title of proceeding, docket number and legal citations), including exhibit and page references. Use the relevant item number followed by 'A'. Items that call for numbers, or which can be answered 'Y' or 'N' or other short answers must be answered directly without reference to a previous filing.

### **For Assistance**

For assistance with FCC Form 602 call the FCC at (877) 480-3201 (TTY 717-338-2824). To provide quality service and ensure security, all telephone calls are recorded.

### **Electronic Filers**

For technical assistance with filing electronically, you may visit the web at <http://esupport.fcc.gov> or visit the web at <http://esupport.fcc.gov>. You may also call the FCC at (877) 480-3201 (TTY 717-338-2824). To provide quality service and ensure security, all telephone calls are recorded.

# INSTRUCTIONS FOR FCC FORM 602, MAIN FORM

## Filer Information

**Item 1a & 1b** Specify filing type in Item 1a. In Item 1b, indicate if the proposed filing is to report cellular cross-ownership holdings pursuant to Section 1.919 of the Commission's Rules. If 'Yes', provide an exhibit that identifies the Rural Service Area market(s) involved, as well as the cellular licensee of which the filer has acquired direct or indirect ownership interest of 10% or greater.

**Items 2 and 3** These Items identify the filer. If the filer is an individual, enter the name of the individual in Item 1. If the filer is an entity, enter the name of the entity in Item 3.

**Item 4** Enter the filer's ten-digit FCC Registration Number (FRN) assigned by the Commission Registration System (CORES). The FRN is a unique entity identifier for everyone doing business with the Commission. The FRN can be obtained electronically through the FCC website at <http://www.fcc.gov> (click FCC Registration Number (FRN) Commission Registration System (CORES)) or manually by submitting FCC Form 160. FCC Form 160 is available for downloading from <http://www.fcc.gov/formpage.html> or by calling 1-800-418-FORM (3676).

**Item 5** Enter the name, address, and telephone number of the person to whom the FCC should send correspondence. Enter the fax number and e-mail address, if available.

## Related FCC-Regulated Businesses of Filer

List any FCC-regulated businesses in which the Filer holds 10% or more of the equity.

**Item 6(a)** Identify the entity name.

**Item 6(b)** Identify the principal nature of the FCC-regulated business.

**Item 6(c)** Enter the ten-digit FCC Registration Number (FRN) assigned by the Commission Registration System (CORES). The FRN is a unique entity identifier for everyone doing business with the Commission. The FRN can be obtained electronically through the FCC webpage at <http://www.fcc.gov> (click FCC Registration Number (FRN) Commission Registration System (CORES)) or by manually submitting FCC Form 160. FCC Form 160 is available for downloading from <http://www.fcc.gov/formpage.html> or by calling 1-800-418-FORM (3676).

**Item 6(d)** Identify the percentage of interest held in the FCC-regulated business by the filer.

## Signature

**Item 7** This information must be completed and signed in accordance with Part 1 of the Commission's rules, which requires, *inter alia* that the signor be authorized to sign on behalf of the filer. Paper originals must bear an original signature. Neither rubber-stamped nor photocopied signatures are acceptable on paper originals.

## Appendix I

### STATE TABLE

#### Abbreviations for States, Jurisdictions, and Areas

AL	Alabama	ND	North Dakota
AK	Alaska	OH	Ohio
AZ	Arizona	OK	Oklahoma
AR	Arkansas	OR	Oregon
CA	California	PA	Pennsylvania
CO	Colorado	RI	Rhode Island
CT	Connecticut	SC	South Carolina
DE	Delaware	SD	South Dakota
DC	District of Columbia	TN	Tennessee
FL	Florida	TX	Texas
GA	Georgia	UT	Utah
GM	Gulf of Mexico	VT	Vermont
HI	Hawaii	VA	Virginia
ID	Idaho	WA	Washington
IL	Illinois	WV	West Virginia
IN	Indiana	WI	Wisconsin
IA	Iowa	WY	Wyoming
KS	Kansas		
KY	Kentucky	AS	American Samoa
LA	Louisiana	GU	Guam
ME	Maine	MP	Northern Mariana Islands
MD	Maryland	PW	Palau
MA	Massachusetts	PR	Puerto Rico
MI	Michigan	UM	U.S. Territories: (Baker Island, Howland Island, Jarvis Island, Johnston Atoll, Kingman Reef, Midway Island, Navassa Island, Palmyra Atoll and Wake Island)
MN	Minnesota		
MS	Mississippi		
MO	Missouri		
MT	Montana	VI	Virgin Islands
NE	Nebraska		
NV	Nevada	AA	Armed Forces-Americas (excluding Canada)
NH	New Hampshire	AE	Armed Forces-(Europe, Middle East, Africa, Canada)
NJ	New Jersey		
NM	New Mexico	AP	Armed Forces-Pacific
NY	New York		
NC	North Carolina		

# Instructions for FCC 602 Schedule A

## Disclosable Interest Holders in Filer (repeat for each disclosable interest holder)

Pursuant to section 1.2112 of the Commission's rules, these items provide required information about the real party or parties in interest and other disclosable interest holders in the filer. If the filer has multiple disclosable interest holders, FCC Form 602, Schedule A must be filled out separately for each disclosable interest holder.

### Examples of disclosable interest holders include:

(1) Any party holding a 10% or greater interest in the filer, whether direct or indirect. An indirect ownership interest in the filer is established where successive multiplication of ownership percentages for each link in the vertical ownership chain equals 10% or more of the filer, except that if the ownership percentage for an interest in any link in the chain exceeds 50 percent or represents actual control, it shall be treated and reported as if it were a 100% interest.

(2) Any party holding 10% or more of any class of stock, warrants, options, or debt securities of the filer.

(3) Any party with a controlling interest in the filer as set forth in section 1.2110 of the Commission's rules. The individual or entity with a controlling interest is an "affiliate". An affiliate is defined by Section 1.2110(b)(5) of the Commission's rules, which provides that an individual or entity is an affiliate of a filer or of a person holding an attributable interest in a filer if such individual or entity:

- (A) directly or indirectly controls or has the power to control the filer, or
- (B) is directly or indirectly controlled by the filer, or
- (C) is directly or indirectly controlled by a third party or parties that also controls or has the power to control the filer, or
- (D) has an "identity of interest" with the filer.

Section 1.2110(b)(5) states that every business concern is considered to have one or more parties who directly or indirectly control or have the power to control it. Control may be affirmative or negative and it is immaterial whether it is exercised so long as the power to control exists.

(4) In the case of a general partnership, each general partner, regardless of percentage of interest in the filer.

(5) In the case of a limited partnership, each limited partner whose direct or indirect interest in the filer is equal to or greater than 10% (as calculated according to the percentage or equity paid in and the percentage of distribution of profits and losses).

(6) In the case of a limited liability company, each member of the company, whose direct or indirect interest in the filer is equal to or greater than 10%.

### For each disclosable interest holder, the following information must be provided:

Items 1 and 2 These Items identify the interest holder. If the interest holder is an individual, enter the name of the individual in Item 1. If the interest holder is an entity, enter the name of the entity in Item 2.

Item 3 Enter the ten-digit FCC Registration Number (FRN) assigned by the Commission Registration System (CORES). The FRN is a unique entity identifier for everyone doing business with the Commission. The FRN can be obtained electronically through the FCC website at <http://www.fcc.gov> (click FCC Registration Number (FRN) Commission Registration System (CORES)) or by manually submitting FCC Form 160. FCC Form 160 is available for downloading from <http://www.fcc.gov/formpage.html> or by calling 1-800-418-FORM (3676).

Item 4 Address of the interest holder.

Item 5 This item indicates the Type of interest in filer. Select which of the following categories describes the interest holder's interest in the filer. If more than one category applies, select each applicable category:

Direct ownership interest in filer, Director, Indirect ownership interest in filer, Key management personnel, Management contract, Officer, or Other (If Other is selected, specify type of interest).

**Note:** If the interest holder holds an indirect ownership interest in the filer, attach an exhibit explaining the ownership relationship from the indirect interest holder to the filer.

**Example for Indirect Ownership Interest:** In the example provided in the section "Purpose of Form", John and Jane Doe would each provide an exhibit listing Company B, through which they hold their interest in Company A, the filer. Richard Mega would provide an exhibit first listing Company B and then Mega Corporation, through which he holds an interest in Company A, the filer. Mary Smith would not be required to provide an exhibit because she holds a direct ownership interest in Company A, the filer.

Item 6 This item indicates the legal entity type of the applicant. Select either Individual, Corporation, Unincorporated Association, Trust, Government Entity, Consortium, General Partnership, Limited Liability Company, Limited Liability Partnership, Limited Partnership, or Other. When selecting 'Other', provide a description of the legal entity.

Item 7 Percentage of interest held in filer. Where the interest holder holds an ownership interest in the filer, whether direct or indirect, identify the ownership percentage. Indirect interests should be calculated using a multiplier only in compliance with Section 1.2112(a)(5) of the Commission's rules.

Item 8 Type of ownership interest in filer. Where the interest holder holds an ownership interest in the filer, whether direct or indirect, identify, select the type of ownership interest. If more than one category applies, indicate each applicable category. Also indicate, if applicable, the information listed below for each type of ownership interest.

Common stock – voting and/or non-voting, General Partnership shares – managing or non-managing, Limited Partnership shares – insulated or non-insulated, Membership shares, Option to acquire equity, Proprietorship, Preferred stock – voting and/or non-voting and convertible and/or or non-convertible, Warrant, or Other (If Other is selected, specify the type of ownership interest).

**Example:** In the example provided in the section "Purpose of Form", each of the persons in the chain of ownership of Company A, the filer, would list "common stock" as their type of ownership interest.

Item 9 Identify the interest holder's country of citizenship or jurisdiction of formation. Provide the complete name of the appropriate country or jurisdiction. For example, United States not U.S. should be provided.

**Related FCC-Regulated Businesses of Disclosable Interest Holders (repeat for each interest holder identified)**

Item 10 For each real party in interest or disclosable interest holder of the filer identified in Items 1 or 2 of FCC Form 602, Schedule A, list any FCC-regulated business 10% or more of whose stock, warrants, options, or debt securities are owned by such person or entity.

Item 10(a) Identify the entity name and address.

Item 10(b) Identify the principal nature of the FCC-regulated business.

Item 10(c) Enter the ten-digit FCC Registration Number (FRN) assigned by the Commission Registration System (CORES). The FRN is a unique entity identifier for everyone doing business with the Commission. The FRN can be obtained electronically through the FCC website at <http://www.fcc.gov> or by manually submitting FCC Form 160. FCC Form 160 is available for downloading from <http://www.fcc.gov/formpage.html> or by calling 1-800-418-FORM (3676).

Item 10(d) Identify the percentage of interest held in the FCC-regulated business by the person or entity identified in Item 1 or 2 of FCC Form 602, Schedule A.

**Filing Type**

1a) • Current Filing	• Proposed Filing
1b) Is the purpose of this filing to report cellular cross-ownership holdings required pursuant to section 1.919 of the Commission's Rules? <span style="float:right"> <input type="checkbox"/> Yes <input type="checkbox"/> No                 </span>	
If 'Yes', provide an exhibit with this filing that identifies the Rural Service Area market(s) involved, as well as the cellular licensee of which the filer has acquired direct or indirect ownership interest of 10% or greater.	

**Filer Information**

2) First Name (if individual):	MI:	Last Name:	Suffix:
3) Filer Name (if entity):		4) FCC Registration Number (FRN):	

**5) Contact Information**

Name and Address:       Attn:	Telephone Number: (    )
	Fax Number: (    )
	E-mail Address:

**Related FCC Regulated Businesses of Filer**

6a) Name of all FCC-Regulated Businesses owned by Filer (use additional sheets, if necessary):	6b) Principal Business:	6c) FCC Registration Number (FRN):	6d) Percent of Interest Held:

**Signature**

**7) Typed or Printed Name of Party Authorized to Sign**

First Name:	MI:	Last Name:	Suffix:
Title:			
Signature:			Date:

**WILLFUL FALSE STATEMENTS MADE ON THIS FORM OR ANY ATTACHMENTS ARE PUNISHABLE BY FINE AND/OR IMPRISONMENT (U.S. Code, Title 18, Section 1001) AND/OR REVOCATION OF ANY STATION LICENSE OR CONSTRUCTION PERMIT (U.S. Code, Title 47, Section 312(a)(1) AND/ OR FORFEITURE (U.S. Code, Title 47, Section 503).**



**Schedule for Disclosable Interest Holders**

**Disclosable Interest Holder Information (complete as many as required to describe all disclosable interest holders)**

1) Disclosable Interest Holder's First Name (if individual):	MI:	Last Name:	Suffix:
2) Disclosable Interest Holder's Name (if entity):		3) FCC Registration Number(FRN):	
4) Disclosable Interest Holder's Address:			
5) Type of Interest in Filer (Select One) <input type="checkbox"/> Direct ownership interest in filer <input type="checkbox"/> Director <input type="checkbox"/> Indirect ownership interest in filer <input type="checkbox"/> Key management personnel <input type="checkbox"/> Management contract <input type="checkbox"/> Officer <input type="checkbox"/> Other (Description of Type of Interest) _____ _____ Other (If Other is selected, specify type of interest)	6) Disclosable Interest Holder is a (n): (Select One ) <input type="checkbox"/> Individual <input type="checkbox"/> Corporation <input type="checkbox"/> Unincorporated Association <input type="checkbox"/> Trust <input type="checkbox"/> Government Entity <input type="checkbox"/> Consortium <input type="checkbox"/> General Partnership <input type="checkbox"/> Limited Liability Company <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Limited Partnership <input type="checkbox"/> Other (Description of Legal Entity) _____ _____		7) Percent of Interest Held in Filer:
8) Disclosable Interest Holder's Type of Ownership  <input type="checkbox"/> Common stock – voting and/or non-voting <input type="checkbox"/> Option to acquire equity <input type="checkbox"/> Membership shares <input type="checkbox"/> General Partnership shares – managing or non-managing <input type="checkbox"/> Proprietorship <input type="checkbox"/> Limited Partnership shares – insulated or non-insulated <input type="checkbox"/> Warrant <input type="checkbox"/> Preferred stock – voting and/or non-voting and convertible and/or or non-convertible <input type="checkbox"/> Other (If Other is selected, specify the type of ownership interest)			9) Disclosable Interest Holder's Country of Citizenship or Jurisdiction of Formation:

**Related FCC Regulated Businesses of Disclosable Interest Holders (repeat for each interest holder identified)**

10a) Name and address of all FCC-Regulated Businesses owned by the Disclosable Interest Holder listed in Item 1 or 2 (use additional sheets, if necessary):	10b) Principal Business:	10c) FCC Registration Number (FRN):	10d) Percent of Interest Held:

