

Information and Instructions

Instructions for Schedule for Licensees that Received Bidding Credits or  
Participate in the Installment Payment Plan, or  
Involving Licenses Won in Closed Bidding

FCC Form 608, Schedule A

Complete this schedule when a Lease/Sublease/Transfer of Control involves spectrum associated with a License(s) that was originally awarded through the competitive bidding process and the original Licensee or current Licensee obtained installment payments, bidding credits, or was otherwise subject to special provisions applicable to entrepreneurs, and closed bidding licenses. This schedule establishes whether the Lessee/Sublessee/Transferee is eligible for the same special provisions as the Licensee, or whether unjust enrichment provisions or other restrictions apply. All filings for Subleases must be filed manually and sent to the appropriate address. The mailing address can be found under the Application Fees and Filing Locations section found on page 8 of the Main Form Instructions.

Designated Entity Information

Bidding Credits

Items 1-3 require information from Licensees and Lessees/Sublessees/Transferees in those instances in which the Lease/Sublease involves spectrum associated with license(s) for which the Licensee is a "designated entity." See 47 CFR §§ 1.2110-1.2112 (rules pertaining to designated entities); § 1.9020(d)(4), § 1.9030(d)(4) (rules pertaining to leasing involving designated entities); and appropriate FCC competitive bidding rules and applicable service rules in Title 47 of the Code of Federal Regulations (47 CFR).

Item 1 Enter 'Y' if the full amount of bidding credits awarded with regard to each subject license has been paid as part of unjust enrichment payment(s) in previous transaction(s). Otherwise, enter 'N'. If the response to Item 1 is 'Y', Items 2 and 3 are not required to be completed. If the response to Item 1 is 'N', complete Item 2 or 3, as appropriate.

Bidding Credits – (Spectrum Manager Only)

Item 2 Must be completed for each Application/Notification for a Spectrum Manager Lease/Sublease in which the Licensee has "designated entity" status if the Applicant entered No in Item 1. In general, for purposes of determining whether a licensee retains its eligibility as a designated entity, the gross revenues of the licensee, its "controlling interest(s)," and any "affiliate(s)" of the licensee or of any "controlling interest" are considered on a cumulative basis and aggregated. See 47 CFR §§ 1.2110(b), 1.2112(b). A "controlling interest" includes any individual or entity with either *de jure* or *de facto* control of the licensee. See § 1.2110(c)(2). An "affiliate" includes any individual or entity holding an attributable interest in the licensee as set forth in § 1.2110(c)(5). Note that the Commission's attribution rules relating to "controlling interests" (and the standard for determining *de facto* control embodied therein) and "affiliates," as set forth in § 1.2110, are not altered by the different *de facto* control standard generally applicable to spectrum leasing arrangements, as set forth in § 1.9010 of the Commission's Rules. See Promoting Efficient Use of Spectrum through Elimination Barriers to the Development of Secondary Markets. WT Docket No. 00-230, 18 FCC Rcd. 20604 (2003) ("Secondary Markets Order"). To the extent that there is any conflict between Section 1.2110 (and the *de facto* control standard embodied therein) and the *de facto* control standard in Section 1.9010, the designated entity provisions of § 1.2110 govern with regard to whether a licensee has maintained the requisite degree of ownership and control to allow it to remain eligible for the license or for other benefits such as bidding credits and installment payments. See *Secondary Markets Order*, 18 FCC Rcd at 20654-55 ¶ 113.

Item 2a Enter 'Y' if the Applicant (Lessee/Sublessee/Transferee) has a general partnership interest or has direct or indirect ownership interests in excess of ten percent in the Licensee. Otherwise, enter 'N'.

Item 2b Enter 'Y' if the Applicant (Lessee/Sublessee/Transferee) is a "controlling interest holder" or "affiliate" of the current Licensee. Otherwise, enter 'N'.

Item 2c Enter 'Y' if the Applicant (Lessee/Sublessee/Transferee) shares office space, equipment or other facilities with any party controlling the entity from which spectrum is being leased/subleased. Otherwise, enter 'N'.

Item 2d Enter 'Y' if the Licensee can certify that the Lease/Sublease does not affect its continuing eligibility to retain bidding credits as a designated entity. Enter 'N' if the Licensee cannot so certify.

### **Bidding Credits – (Long-Term De Facto Transfer Only)**

Item 3 Item 3 must be completed for each Application/Notification for a Long-Term *De Facto* Transfer Lease/Sublease. Check the appropriate response.

If the Lessee/Sublessee/Transferee qualifies for the same designated entity status as the current Licensee, or qualifies for a higher percentage bidding credit than the current Licensee, it should so indicate by checking the first box. If the Lessee/Sublessee/Transferee qualifies for a designated entity status, but does not qualify for as high a percentage of bidding credits as received by the Licensee, the Lessee/Sublessee/Transferee should respond by checking the second box. If the Lessee/Sublessee/Transferee checks either the second box or if it does not qualify for any designated entity status (and thus checks the third box), an unjust enrichment payment **WILL** be required. See *Secondary Markets Order*, 18 FCC Rcd at 10666-67 ¶ 145.

Refer to the appropriate FCC competitive bidding rules, including section 1.2111, and to the service rules in 47 CFR. If the Lessee/Sublessee/Transferee qualifies for designated entity status, it must complete Items 11-39 and attach an exhibit in accordance with 47 CFR disclosing the Lessee/Sublessee/Transferee's eligibility for bidding credits.

Note that payment of any required unjust enrichment must be provided to the Commission prior to grant of the Application/Notification.

### **Installment Payment Plan**

Items 4-7 require information from Licensees and Lessees/Sublessees/Transferees in those instances in which the Lease/Sublease involves spectrum associated with license(s) for which the Licensee is making installment payments. See 47 CFR §§ 1.2110-1.2112 (rules pertaining to licensees participating in the Commission's installment payment plan); § 1.9020(d)(4), § 1.9030(d)(4) (rules pertaining to leasing involving designated entities); and appropriate FCC competitive bidding rules and applicable service rules in 47 CFR.

Item 4 Enter 'Y' if all installment payment obligations for each of the subject licenses have been paid in full. Otherwise, enter 'N'. If the response to Item 4 is 'N', complete Item 5 and Items 6 or 7 as appropriate.

Item 5 If a Lease/Sublease involves spectrum associated with a license subject to the Commission's installment payment plan (see § 1.2110 and related service-specific rules in Title 47 of the Code of Federal Regulations (47 CFR)), a Licensee and Lessee/Sublessee/Transferee may enter into a Lease/Sublease only after the Commission-approved financing documents have been executed by both the Licensee and Lessee/Sublessee/Transferee, as required pursuant to Sections 1.9040 and 1.9045, 47 C.F.R. §§ 1.9040, 1.9045). The Licensee and Lessee/Sublessee/Transferee should check the appropriate response to item 5a regarding the execution of Commission-approved financing agreements. If the response to Item 5a is 'Y', provide the date of execution of the required document(s) in Items 5b and 5c.

### **Installment Payment Plan – (Spectrum Manager Leases/Subleases Only)**

Item 6 Must be completed for each Application/Notification for a Spectrum Manager Lease/Sublease in which the license(s) associated with the spectrum is subject to the Commission's installment payment plan. In general, for purposes of determining whether a licensee retains its eligibility to participate in the installment payment plan, the gross revenues of the licensee, its "controlling interest(s)," and any "affiliate(s)" of the licensee or of any "controlling interest" are considered on a cumulative basis and aggregated. See 47 CFR §§ 1.2110(b), 1.2112(b). A "controlling interest" includes any individual or entity with either *de jure* or *de facto* control of the licensee. See § 1.2110(c)(2). An "affiliate" includes any individual or entity holding an attributable interest in the licensee as set forth in § 1.2110(c)(5). Note that the Commission's attribution rules relating to "controlling interest(s)" (and the standard for determining *de facto* control embodied therein) and "affiliate(s)," as set forth in § 1.2110, are not altered by the different *de facto* control standard generally applicable to spectrum leasing arrangements, as set forth in § 1.9010 of the Commission's rules. See *Secondary Markets Order*, 18 FCC Rcd. 20604. To the extent that there is any conflict between Section 1.2110 (and the *de facto* control standard embodied therein) and the *de facto* control standard in Section 1.9010, the provisions of § 1.2110 govern with regard to whether a licensee has maintained the requisite degree of ownership and control to allow it to remain eligible for the license or for other benefits such as bidding credits and installment payments. See *Secondary Markets Order*, 18 FCC Rcd. at 20654-55 ¶ 113.

Item 6a Enter 'Y' if the Applicant (Lessee/Sublessee/Transferee) has a general partnership interest or has direct or indirect ownership interests in excess of ten percent in the Licensee. Otherwise, enter 'N'.

Item 6b Enter 'Y' if the Applicant (Lessee/Sublessee/Transferee) is a "controlling interest holder" or "affiliate" of the current Licensee. Otherwise, enter 'N'.

Item 6c Enter 'Y' if the Applicant (Lessee/Sublessee/Transferee) shares office space, equipment or other facilities with any party controlling the entity from which spectrum is being leased/subleased. Otherwise, enter 'N'.

Item 6d Enter 'Y' if the Licensee can certify that the Lease/Sublease does not affect its continuing eligibility to participate in the FCC's installment payment plan. Enter 'N' if the Licensee cannot so certify.

### **Installment Payment Plan – (Long-Term De Facto Transfer Only)**

#### **Eligibility Status**

Item 7 This item must be completed for each Application/Notification for a Long-Term *De Facto* Transfer Lease/Sublease. Check the appropriate response.

If the Lessee/Sublessee/Transferee qualifies for the same eligibility status for the installment payment plan as the current Licensee, or qualifies for a more favorable installment payment plan than the current Licensee, it should so indicate by checking the first box. If the Lessee/Sublessee/Transferee qualifies for an installment payment plan, but does not qualify for as favorable an installment payment plan as the Licensee, the Lessee/Sublessee/Transferee should respond by checking the second box. If the Lessee/Sublessee/Transferee checks either the second box or if it does not qualify for any installment payment plan (and thus checks the third box), an unjust enrichment payment **WILL** be required. *Secondary Markets Order*, 18 FCC Rcd. at 20666-67 ¶ 145. Refer to the appropriate FCC competitive bidding rules, and to the service-specific rules in 47 CFR. If the Lessee/Sublessee/Transferee qualifies for an installment payment plan, it must complete Items 11-39 and attach an exhibit in accordance with 47 CFR disclosing the Lessee/Sublessee/Transferee's eligibility for an installment payment plan.

#### **Closed Bidding Licenses**

Items 8-10 require information from Licensees and Lessees/Sublessees/Transferees in those instances in which the Lease/Sublease involves spectrum associated with license(s) for which the Licensee obtained a closed bidding license. See 47 CFR §§ 1.2110-1.2112, 24.709 (rules pertaining to licensees that participate in the closed bidding program); §§ 19020(d)(4), 1.9030(d)(4) (rules pertaining to leasing involving licensees in the closed bidding program); and appropriate FCC competitive bidding rules and applicable service rules in Title 47 of the Code of Federal Regulations (47 CFR).

Items 8 Enter 'Y' if construction notifications have been submitted for each of the subject licenses. Otherwise, enter 'N'. If the response to Item 8 is 'Y', Items 9 and 10 are not required to be completed. If the response to Item 8 is 'N', complete Item 9 or 10, as appropriate.

#### **Closed Bidding Licenses – (Spectrum Manager Only)**

Item 9 Must be completed for each Application/Notification for a Spectrum Manager Lease/Sublease in which the license(s) associated with the spectrum was obtained in the Commission's closed bidding program. In general, for purposes of determining whether a licensee retains its eligibility for a license obtained in closed bidding, the gross revenues of the licensee, its "controlling interest(s)," and any "affiliate(s)" of the licensee or of any "controlling interest" are considered on a cumulative basis and aggregated. See 47 CFR §§ 1.2110(b), 1.2112(b), 24.709. A "controlling interest" includes any individual or entity with either *de jure* or *de facto* control of the licensee. See § 1.2110(c)(2). An "affiliate" includes any individual or entity holding an attributable interest in the licensee as set forth in § 1.2110(c)(5). Note that the Commission's attribution rules relating to "controlling interest(s)" (and the standard for determining *de facto* control embodied therein) and "affiliate(s)," as set forth in § 1.2110, are not altered by the different *de facto* control standard generally applicable to spectrum leasing arrangements, as set forth in § 1.9010 of the Commission's Rules. See *Secondary Markets Order*, 18 FCC Rcd. 20604. To the extent that there is any conflict between section 1.2110 (and the *de facto* control standard embodied therein) and the *de facto* control standard in Section 1.9010, the provisions of § 1.2110 govern with regard to whether a licensee has maintained the requisite degree of ownership and control to allow it to remain eligible for the license or for other benefits such as bidding credits and installment payments. See *Secondary Markets Order*, 18 FCC Rcd. at 20654-55 ¶ 113.

Item 9a Enter 'Y' if the Applicant (Lessee/Sublessee/Transferee) has a general partnership interest or has direct or indirect ownership interests in excess of ten percent in the Licensee. Otherwise, enter 'N'.

Item 9b Enter 'Y' if the Applicant (Lessee/Sublessee/Transferee) is a "controlling interest holder" or "affiliate" of the current Licensee. Otherwise, enter 'N'.

Item 9c Enter 'Y' if the Applicant (Lessee/Sublessee/Transferee) shares office space, equipment or other facilities with any party controlling the entity from which spectrum is being leased/subleased. Otherwise, enter 'N'.

Item 9d Enter 'Y' if the Licensee can certify that the Lease/Sublease does not affect its continuing eligibility to retain closed bidding licenses. Enter 'N' if the Licensee cannot so certify.

#### **Closed Bidding Licenses – (Long-Term De Facto Transfer Only)**

#### **Eligibility Status**

Item 10 This item must be completed for each Application/Notification for a Long-Term *De Facto* Transfer Lease/Sublease. Check the appropriate response.

If the Lessee/Sublessee/Transferee meets the gross revenue and asset qualifications for closed bidding/entrepreneurial licenses,

see 47 C.F.R. § 24.709(a), it should so indicate by checking the first box. If the Lessee/Sublessee/Transferee does not meet the gross revenue and asset qualifications for closed bidding/entrepreneurial licenses, it should so indicate by checking the second box. If the Lessee/Sublessee/Transferee checks the second box, the Licensee/Lessee/Sublessee/Transferee will not be allowed to enter into a Lease/Sublease, unless the parties comply with one of the exemptions under Section 24.839(a) of the Commission's rules. 47 C.F.R. §24.839(a). See *Secondary Markets Order*, 18 FCC Rcd. at 20666-67 ¶ 145. If the Lessee/Sublessee/Transferee qualifies for closed bidding/entrepreneurial licenses, it must complete Items 11-39.

#### **Revenue and Asset Information for Applicant**

Item 11 If filing an Amendment application, check the block if modifying the Revenue and Asset Information from what was provided on the original filing. When modifying the data that was provided on the original filing, only enter the items that have changed. This item is not required to be completed on the original filing.

#### **Gross Revenue Disclosure Most Recent Reportable Year**

Item 12a Enter 'Y' if the Applicant and any predecessors-in-interest were in existence and had gross revenues for the most recent reportable year. If 'Y', complete items 12b and 12c. Enter 'N' if the Applicant and any predecessors-in-interest were not in existence for the most recent reportable year and explain why in an attachment.

#### **One Year Prior to Most Recent Reportable Year**

Item 13a Enter 'Y' if the Applicant and any predecessors-in-interest were in existence and had gross revenues for one year prior to the most recent reportable year. If 'Y', complete items 13b and 13c. Enter 'N' if the Applicant and any predecessors-in-interest were not in existence for one year prior to the most recent reportable year and explain why in an attachment.

#### **Two Years Prior to Most Recent Reportable Year**

Item 14a Enter 'Y' if the Applicant and any predecessors-in-interest were in existence and had gross revenues for two years prior to the most recent reportable year. If 'Y', complete items 14b and 14c. Enter 'N' if the Applicant and any predecessors-in-interest were not in existence for two years prior to the most recent reportable year and explain why in an attachment.

#### **Average Gross Revenue**

Item 15 The Universal Licensing System will calculate the average gross revenue for the reported years in Items 12, 13 and 14.

#### **Asset Disclosure**

Item 16 Enter the total assets disclosed as of the application filing date.

#### **Financial Statements**

Item 17 Check if the Applicant used audited financial statements **or** unaudited financial statements prepared in accordance with Generally Accepted Accounting Principles (GAAP) and certified by the Applicant's chief financial officer or the equivalent.

#### **Revenue and Asset Information for Disclosable Interest Holder (DIH)**

Item 18 Select the proper block to Add, Modify, or Delete a DIH. If Adding, complete items 19 through 25. If Modifying, enter only the items changed. If Deleting, complete the Entity Name or the Individual Name and the FRN of the DIH. Modify and Delete are used for Amendments of previously filed application. If necessary, attach additional copies of this page to list more DIHs.

#### **Disclosable Interest Holder**

Item 19 Select the proper block for either Entity Name or Individual name of the Disclosable Interest Holder and provide Entity Name or Individual name and the FCC Registration Number (FRN) of the DIH.

#### **Gross Revenue Disclosure Most Recent Reportable Year**

Item 20a Enter 'Y' if the DIH and any predecessors-in-interest were in existence and had gross revenues for the most recent reportable year. If 'Y', complete items 20b and 20c. Enter 'N' if the DIH and any predecessors-in-interest were not in existence for the most recent reportable year and explain why in an attachment.

#### **One Year Prior to Most Recent Reportable Year**

Item 21a Enter 'Y' if the DIH and any predecessors-in-interest were in existence and had gross revenues for one year prior to the most recent reportable year. If 'Y', complete items 21b and 21c. Enter 'N' if the DIH and any predecessors-in-interest were not in existence for one year prior to the most recent reportable year and explain why in an attachment.

#### **Two Years Prior to Most Recent Reportable Year**

Item 22a Enter 'Y' if the DIH and any predecessors-in-interest were in existence and had gross revenues for two years prior to the most recent reportable year. If 'Y', complete items 22b and 22c. Enter 'N' if the DIH and any predecessors-in-interest were not in existence for two years prior to the most recent reportable year and explain why in an attachment.

#### **Average Gross Revenue**

Item 23 The Universal Licensing System will calculate the average gross revenue for the reported years provided in Items 20, 21, and 22.

#### **Asset Disclosure**

Item 24 Enter the total assets disclosed as of the application filing date.

#### **Financial Statements**

Item 25a Check if the DIH used audited financial statements **or** unaudited financial statements prepared in accordance with Generally Accepted Accounting Principles (GAAP) and certified by the DIH's chief financial officer or the equivalent.

#### **Revenue and Asset Information for Affiliate**

Item 26 Select the proper block to Add, Modify, or Delete an Affiliate. If Adding, complete items 27 through 33. If Modifying, enter only the items changed. If Deleting, complete the Entity Name or the Individual Name and the FRN of the Affiliate. Modify and Delete are used for Amendments of previously filed application. If necessary, attach additional copies of this page to list more Affiliates.

#### **Affiliate**

Item 27 Select the proper block for either Entity Name or Individual name of the Affiliate and provide Entity Name or Individual name and the FCC Registration Number (FRN) of the Affiliate.

#### **Gross Revenue Disclosure Most Recent Reportable Year**

Item 28a Enter 'Y' if the Affiliate and any predecessors-in-interest were in existence and had gross revenues for the most recent reportable year. If 'Y', complete items 28b and 28c. Enter 'N' if the Affiliate and any predecessors-in-interest were not in existence for the most recent reportable year and explain why in an attachment.

#### **One Year Prior to Most Recent Reportable Year**

Item 29a Enter 'Y' if the Affiliate and any predecessors-in-interest were in existence and had gross revenues for one year prior to the most recent reportable year. If 'Y', complete items 29b and 29c. Enter 'N' if the Affiliate and any predecessors-in-interest were not in existence for one year prior to the most recent reportable year and explain why in an attachment.

#### **Two Years Prior to Most Recent Reportable Year**

Item 30a Enter 'Y' if the Affiliate and any predecessors-in-interest were in existence and had gross revenues for two years prior to the most recent reportable year. If 'Y', complete items 30b and 30c. Enter 'N' if the Affiliate and any predecessors-in-interest were not in existence for two years prior to the most recent reportable year and explain why in an attachment.

#### **Average Gross Revenue**

Item 31 The Universal Licensing System will calculate the average gross revenue for the reported years provided in Items 28, 19 and 30.

#### **Asset Disclosure**

Item 32 Enter the total assets disclosed as of the application filing date.

#### **Financial Statements**

Item 33 Check if the Affiliate used audited financial statements **or** unaudited financial statements prepared in accordance with Generally Accepted Accounting Principles (GAAP) and certified by the Affiliate's chief financial officer or the equivalent.

#### **Revenue and Asset Information for Entities With Whom the Applicant Has an Attributable Material Relationship (AMR Entity)**

Item 34 Select the proper block to Add, Modify, or Delete an AMR Entity. If Adding, complete items 35 through 41. If Modifying, enter only the items changed. If Deleting, complete the Entity Name or the Individual Name and the FRN of the AMR Entity. Modify and Delete are used for Amendments of previously filed application. If necessary, attach additional copies of this page to list more AMR Entities.

**Entity With Whom the Applicant Has an Attributable Material Relationship**

Item 35 Select the proper block for either Entity Name or Individual name of the AMR Entity and provide Entity Name or Individual name and the FCC Registration Number (FRN) of the AMR Entity.

**Gross Revenue Disclosure****Most Recent Reportable Year**

Item 36a Enter 'Y' if the AMR Entity and any predecessors-in-interest were in existence and had gross revenues for the most recent reportable year. If 'Y', complete items 36b and 36c. Enter 'N' if the AMR Entity and any predecessors-in-interest were not in existence for the most recent reportable year and explain why in an attachment.

**One Year Prior to Most Recent Reportable Year**

Item 37a Enter 'Y' if the AMR Entity and any predecessors-in-interest were in existence and had gross revenues for one year prior to the most recent reportable year. If 'Y', complete items 37b and 37c. Enter 'N' if the AMR Entity and any predecessors-in-interest were not in existence for one year prior to the most recent reportable year and explain why in an attachment.

**Two Years Prior to Most Recent Reportable Year**

Item 38a Enter 'Y' if the AMR Entity and any predecessors-in-interest were in existence and had gross revenues for two years prior to the most recent reportable year. If 'Y', complete items 38b and 38c. Enter 'N' if the AMR Entity and any predecessors-in-interest were not in existence for two years prior to the most recent reportable year and explain why in an attachment.

**Average Gross Revenue**

Item 39 The Universal Licensing System will calculate the average gross revenue for the reported years provided in Items 36, 37 and 38.

**Asset Disclosure**

Item 40 Enter the total assets disclosed as of the application filing date.

**Financial Statements**

Item 41 Check if the AMR Entity used audited financial statements or unaudited statements prepared in accordance with Generally Accepted Accounting Principles (GAAP) and certified by the AMR Entity's chief financial officer or the equivalent.

**Closed Bidding /Designated Entity Eligibility****Total Gross Revenues for Most Recent Reportable Year**

Item 42 The Universal Licensing System will calculate the total gross revenue for the most recent reportable year and the year end date.

**Total Gross Revenues for One Year Prior to Most Recent Reportable Year**

Item 43 The Universal Licensing System will calculate the total gross revenue for one year prior to most recent reportable year and the year end date.

**Total Gross Revenues for Two Years Prior to Most Recent Reportable Year**

Item 44 The Universal Licensing System will calculate the total gross revenue for two years prior to most recent reportable year and the year end date.

**Total Aggregate Average Gross Revenues for Designated Entity**

Item 45 The Universal Licensing System will calculate the aggregate average gross revenue for the designated entity.

**Total Aggregate Average Gross Revenues for Closed Bidding**

Item 46 The Universal Licensing System will calculate the aggregate average gross revenue for the closed bidding.

**Total Assets Disclosure**

Item 47 The Universal Licensing System will calculate the total assets for the closed bidding.

**Certifications**

By signing the Main Form, FCC Form 608, the Licensee and Lessee/Sublessee/Transferee certify that the applicable statements listed in this section are true, complete, correct, and made in good faith.

**Schedule for Licensees that Received Bidding Credits or  
Participate in the Installment Payment Plan, or  
Involving Licenses Won in Closed Bidding**

**Designated Entity Information  
Bidding Credits**

1) Has the full amount of the bidding credits awarded with regard to each of the subject license(s) been paid as part of unjust enrichment payment(s) in previous transaction(s)?  If the response to Item 1 is 'Y', Items 2 and 3 are not required to be completed.	( ) <b>Yes</b> <b>No</b>
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**Bidding Credits - (Spectrum Manager Only)**

2a) Does the Applicant have a general partnership interest or have a direct or indirect ownership interests in excess of ten percent in the Licensee?	( ) <b>Yes</b> <b>No</b>
2b) Is the Applicant a "controlling interest holder" or "affiliate" of the current Licensee?	( ) <b>Yes</b> <b>No</b>
2c) Does the Applicant share office space, equipment or other facilities with any party controlling the entity from which spectrum is being leased/subleased?	( ) <b>Yes</b> <b>No</b>
2d) Does the Licensee certify that the Lease/Sublease does not affect its continuing eligibility to retain bidding credit(s)?	( ) <b>Yes</b> <b>No</b>

**Bidding Credits - (Long-Term De Facto Transfer Only)  
Eligibility Status**

3) With respect to each of the subject licenses, the Applicant:  ( ) a) qualifies for the same designated entity status as the current Licensee ( ) b) qualifies for a different designated entity status than the current Licensee ( ) c) does not qualify for any designated entity status
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**Installment Payment Plan**

4) Have all the installment payment obligations for each of the subject licenses been paid in full? If the response to Item 4 is 'Y', Items 5, 6 and 7 are not required to be completed..	( ) <b>Yes</b> <b>No</b>
5a) Have both the Licensee and the Applicant executed the Commission-approved financing documents required in order to enter into a Spectrum Leasing Arrangement? If 'Y', provide the dates of execution of the financing documents:	( ) <b>Yes</b> <b>No</b>
5b) Modification of Security Agreement Date: (MM/DD/YYYY)	____/____/____
5c) Lien Acknowledgment Date: (MM/DD/YYYY)	____/____/____

**Installment Payment Plan - (Spectrum Manager Leases/Subleases Only)**

6a) Does the Applicant have a general partnership interest or have a direct or indirect ownership interest in excess of ten percent in the Licensee?	( ) <b>Yes</b> <b>No</b>
6b) Is the Applicant a "controlling interest holder" or "affiliate" of the current Licensee?	( ) <b>Yes</b> <b>No</b>
6c) Does the Applicant share office space, equipment or other facilities with any party controlling the entity from which spectrum is being leased?	( ) <b>Yes</b> <b>No</b>
6d) Does the Licensee certify that the Lease/Sublease does not affect its continuing eligibility to participate in the FCC's installment payment plan?	( ) <b>Yes</b> <b>No</b>

**Installment Payment Plan – (Long-Term De Facto Transfer Only)  
Eligibility Status**

7) With respect to each of the subject licenses, the Applicant:	
<input type="checkbox"/>	a) qualifies for the same eligibility status for the installment payment plan as the current Licensee
<input type="checkbox"/>	b) qualifies for a different eligibility status for the installment payment plan than the current Licensee
<input type="checkbox"/>	c) does not qualify for the installment payment plan

**Closed Bidding Licenses**

8) Have construction notifications been submitted as required by the Commission’s Rules for each of the subject licenses?  If the response to Item 8 is ‘Y’, Items 9 and 10 are not required to be completed.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
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**Closed Bidding Licenses – (Spectrum Manager Only)**

9a) Does the Applicant have a general partnership interest or have a direct or indirect ownership interest in excess of ten percent in the Licensee?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
9b) Is the Applicant a “controlling interest holder” or “affiliate” of the current Licensee?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
9c) Does the Applicant share office space, equipment or other facilities with any party controlling the entity from which spectrum is being leased?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
9d) Does the Licensee certify that the Lease/Sublease does not affect its continuing eligibility to retain closed bidding licenses?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

**Closed Bidding Licenses – (Long-Term De Facto Transfer Only)  
Eligibility Status**

10) With respect to each of the subject licenses, the Applicant:	
<input type="checkbox"/>	a) qualifies for closed bidding
<input type="checkbox"/>	b) does not qualify for closed bidding



**11) Revenue and Asset Information for Applicant**

**Purpose** (Check Modify if filing an Amendment application and changing the Revenue and Asset Information from what was provided on the original filing)

<input type="checkbox"/> Modify
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**Gross Revenue Disclosure Most Recent Reportable Year**

12a) Were the Applicant and any predecessors-in-interest in existence for a full year of the relevant period? If 'N', explain why in an attachment.	( <input type="checkbox"/> ) <u>Yes</u> <b>No</b>
If 'Y', provide the following information.	
12b) Gross Revenues	\$ _____ (Format: 99,999.99)
12c) Year End Date:	_____ (Date Format: MM/DD/YYYY)

**One Year Prior to Most Recent Reportable Year**

13a) Were the Applicant and any predecessors-in-interest in existence for a full year of the relevant period? If 'N', explain why in an attachment.	( <input type="checkbox"/> ) <u>Yes</u> <b>No</b>
If 'Y', provide the following information.	
13b) Gross Revenues	\$ _____ (Format: 99,999.99)
13c) Year End Date:	_____ (Date Format: MM/DD/YYYY)

**Two Years Prior to Most Recent Reportable Year**

14a) Were the Applicant and any predecessors-in-interest in existence for a full year of the relevant period? If 'N', explain why in an attachment.	( <input type="checkbox"/> ) <u>Yes</u> <b>No</b>
If 'Y', provide the following information.	
14b) Gross Revenues	\$ _____ (Format: 99,999.99)
14c) Year End Date:	_____ (Date Format: MM/DD/YYYY)

**Average Gross Revenue**

15) Average Gross Revenue of Reported Years: \$ _____ (Format: 99,999.99)
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**Asset Disclosure**

16) Total Assets as of Application Filing Date: \$ _____
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**Financial Statements**

17) Audited or Unaudited (Check One)
<input type="checkbox"/> The Applicant used audited financial statements.
<input type="checkbox"/> The Applicant used unaudited financial statements prepared in accordance with Generally Accepted Accounting Principles (GAAP) and certified by the Applicant's chief financial officer or the equivalent.

**18) Revenue and Asset Information for Disclosable Interest Holder (DIH)**

**Purpose (Select One)**

<input type="checkbox"/> Add	<input type="checkbox"/> Modify	<input type="checkbox"/> Delete
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**19) Disclosable Interest Holder**

<input type="checkbox"/> Entity Name:				FCC Registration Number (FRN):
<input type="checkbox"/> Individual Name: First	MI	Last	Suffix	FCC Registration Number (FRN):

**Gross Revenue Disclosure Most Recent Reportable Year**

20a) Were the DIH and any predecessors-in-interest in existence for a full year of the relevant period? If 'N', explain why in an attachment.	( ) Yes <b>No</b>
If 'Y', provide the following information.	
20b) Gross Revenues	\$ _____ (Format: 99,999.99)
20c) Year End Date:	_____ (Date Format: MM/DD/YYYY)

**One Year Prior to Most Recent Reportable Year**

21a) Were the DIH and any predecessors-in-interest in existence for a full year of the relevant period? If 'N', explain why in an attachment.	( ) Yes <b>No</b>
If 'Y', provide the following information.	
21b) Gross Revenues	\$ _____ (Format: 99,999.99)
21c) Year End Date:	_____ (Date Format: MM/DD/YYYY)

**Two Years Prior to Most Recent Reportable Year**

22a) Were the DIH and any predecessors-in-interest in existence for a full year of the relevant period? If 'N', explain why in an attachment.	( ) Yes <b>No</b>
If 'Y', provide the following information.	
22b) Gross Revenues	\$ _____ (Format: 99,999.99)
22c) Year End Date:	_____ (Date Format: MM/DD/YYYY)

**Average Gross Revenue**

23) Average Gross Revenue for Reported Years: \$ _____ (Format: 99,999.99)
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**Asset Disclosure**

24) Total Assets as of Application Filing Date: \$ _____ (Format: 99,999.99)
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**Financial Statements**

25) Audited or Unaudited (Check One)
<input type="checkbox"/> The DIH used audited financial statements.
<input type="checkbox"/> The DIH used unaudited financial statements prepared in accordance with Generally Accepted Accounting Principles (GAAP) and certified by the DIH's chief financial officer or the equivalent.

**26) Revenue and Asset Information for Affiliate Purpose (Select One)**

<input type="checkbox"/> Add	<input type="checkbox"/> Modify	<input type="checkbox"/> Delete
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**27) Affiliate**

<input type="checkbox"/> Entity Name:			FCC Registration Number (FRN):	
<input type="checkbox"/> Individual Name: First	MI	Last	Suffix	FCC Registration Number (FRN):

**Gross Revenue Disclosure Most Recent Reportable Year**

28a) Were the Affiliate and any predecessors-in-interest in existence for a full year of the relevant period? If 'N', explain why in an attachment.	( ) Yes <b>No</b>
If 'Y', provide the following information.	
28b) Gross Revenues	\$ _____ (Format: 99,999.99)
28c) Year End Date:	_____ (Date Format: MM/DD/YYYY)

**One Year Prior to Most Recent Reportable Year**

29a) Were the Affiliate and any predecessors-in-interest in existence for a full year of the relevant period? If 'N', explain why in an attachment.	( ) Yes <b>No</b>
If 'Y', provide the following information.	
29b) Gross Revenues	\$ _____ (Format: 99,999.99)
29c) Year End Date:	_____ (Date Format: MM/DD/YYYY)

**Two Years Prior to Most Recent Reportable Year**

30a) Were the Affiliate and any predecessors-in-interest in existence for a full year of the relevant period? If 'N', explain why in an attachment.	( ) Yes <b>No</b>
If 'Y', provide the following information.	
30b) Gross Revenues	\$ _____ (Format: 99,999.99)
30c) Year End Date:	_____ (Date Format: MM/DD/YYYY)

**Average Gross Revenue**

31) Average Gross Revenue for Reported Years: \$ _____ (Format: 99,999.99)
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**Asset Disclosure**

32) Total Assets as of Application Filing Date: \$ _____ (Format: 99,999.99)
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**Financial Statements**

33) Audited or Unaudited (Check One)
<input type="checkbox"/> The Affiliate used audited financial statements.
<input type="checkbox"/> The Affiliate used unaudited financial statements prepared in accordance with Generally Accepted Accounting Principles (GAAP) and certified by the Affiliate's chief financial officer or the equivalent.

**34) Revenue and Asset Information for Entities With Whom the Applicant Has an Attributable Material Relationship (AMR Entity) Purpose (Select One)**

Add
  Modify
  Delete

**35) Entity With Whom the Applicant Has an Attributable Material Relationship**

<input type="checkbox"/> Entity Name:			FCC Registration Number (FRN):
<input type="checkbox"/> Individual Name: First	MI	Last	Suffix FCC Registration Number (FRN):

**Gross Revenue Disclosure Most Recent Reportable Year**

36a) Were the AMR Entity and any predecessors-in-interest in existence for a full year of the relevant period? ( ) Yes No  
 If 'N', explain why in an attachment.  
 If 'Y', provide the following information.

36b) Gross Revenues \$ \_\_\_\_\_ (Format: 99,999.99)

36c) Year End Date: \_\_\_\_\_ (Date Format: MM/DD/YYYY)

**One Year Prior to Most Recent Reportable Year**

37a) Were the AMR Entity and any predecessors-in-interest in existence for a full year of the relevant period? ( ) Yes No  
 If 'N', explain why in an attachment.  
 If 'Y', provide the following information.

37b) Gross Revenues \$ \_\_\_\_\_ (Format: 99,999.99)

37c) Year End Date: \_\_\_\_\_ (Date Format: MM/DD/YYYY)

**Two Years Prior to Most Recent Reportable Year**

38a) Were the AMR Entity and any predecessors-in-interest in existence for a full year of the relevant period? ( ) Yes No  
 If 'N', explain why in an attachment.  
 If 'Y', provide the following information.

38b) Gross Revenues \$ \_\_\_\_\_ (Format: 99,999.99)

38c) Year End Date: \_\_\_\_\_ (Date Format: MM/DD/YYYY)

**Average Gross Revenue**

39) Average Gross Revenue for Reported Years: \$ \_\_\_\_\_ (Format: 99,999.99)

**Asset Disclosure**

40) Total Assets as of Application Filing Date: \$ \_\_\_\_\_ (Format: 99,999.99)

**Financial Statements**

41) Audited or Unaudited (Check One)

The AMR Entity used audited financial statements.

The AMR Entity used unaudited financial statements prepared in accordance with Generally Accepted Accounting Principles (GAAP) and certified by the AMR Entity's chief financial officer or the equivalent.

**Closed Bidding/Designated Entity Eligibility**

**Total Gross Revenues for Most Recent Reportable Year**

42a) Gross Revenues	\$ _____	(Format: 99,999.99)
42b) Year End Date:	_____	(Date Format: MM/DD/YYYY)

**Total Gross Revenues for One Year Prior to Most Recent Reportable Year**

43a) Gross Revenues:	\$ _____	(Format: 99,999.99)
43b) Year End Date:	_____	(Date Format: MM/DD/YYYY)

**Total Gross Revenues for Two Years Prior to Most Recent Reportable Year**

44a) Gross Revenues:	\$ _____	(Format: 99,999.99)
44b) Year End Date:	_____	(Date Format: MM/DD/YYYY)

**Total Aggregate Average Gross Revenues for Designated Entity**

45) Aggregate Average Gross Revenue:	\$ _____	(Format: 99,999.99)
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**Total Aggregate Average Gross Revenues for Closed Bidding**

46) Aggregate Average Gross Revenue:	\$ _____	(Format: 99,999.99)
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**Total Assets Disclosure for Closed Bidding**

47) Total Assets:	\$ _____	(Format: 99,999.99)
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**Certifications** (By signing the Main Form, the Applicant certifies that the statements listed are true, complete, correct and made in good faith)

**For Applicants Claiming Eligibility as an Entrepreneur Under the General Rule**

Applicant certifies that it is eligible to obtain the licenses for which it applies.

**For Applicants Claiming Eligibility as a Publicly Traded Corporation**

Applicant certifies that it is eligible to obtain the licenses for which it applies and that it complies with the definition of a Publicly Traded Corporation, as set out in the applicable FCC rules.

**For Applicants Claiming Eligibility as a Very Small Business, Very Small Business Consortium, Small Business, or Small Business Consortium**

Applicant certifies that it is eligible for the bidding credit it seeks in connection with the licenses for which it is applying.

**For Applicants Claiming Eligibility as a Rural Telephone Company**

Applicant certifies that it meets the definition of a Rural Telephone Company as set out in the applicable FCC rules, and must disclose all parties to agreement(s) to partition licenses won in this auction. See applicable FCC rules.

**For Applicants Claiming Tribal Lands Bidding Credit**

Applicant certifies that it will comply with the bidding credit buildout requirements and consult with the tribal government(s) regarding the siting of facilities and deployment of service on the tribal land(s) as set out in the applicable FCC rules.

**For Auction Applicants**

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.

Applicant provided separate gross revenue and total asset information for itself, for each of Applicant's officers and directors; for each of Applicant's other controlling interest; for each of Applicant's affiliates; and for each affiliate of each Applicant's officers, directors, and other controlling interests.