Federal Communications Commission 445 12th St., S.W. Washington, D.C. 20554

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Wireless Telecommunications Bureau Implements Deployment of the Universal Licensing System for Maritime Coast and Aviation Ground Services on April 30, 2001

The Wireless Telecommunications Bureau (WTB) will implement conversion of Maritime Coast and Aviation Ground Services to the Universal Licensing System (ULS) on April 30, 2001. The services and radio service codes included are:

- Maritime Coast (MC, MK, MR, MA)
- Aviation Ground (AF, AA, AR)

ULS is the interactive licensing database developed by WTB to consolidate 11 existing licensing systems used to process applications and grant licenses in wireless services. ULS provides numerous benefits, including fast and easy electronic filing, improved data accuracy through automated checking of applications, and enhanced electronic access to licensing information. Deployment of Maritime Coast and Aviation Ground is part of WTB's ongoing phased deployment of ULS for all wireless services.

For further information regarding the ULS rules and procedures, please refer to the ULS homepage, available on the Internet at http://www.fcc.gov/wtb/uls.

Beginning April 30, 2001, applicants and licensees in the Maritime Coast and Aviation Ground services will be able to use ULS to file for:

- New Station Applications
- License Modifications
- Application Amendments
- License Renewals
- License Cancellations
- Application Withdrawals
- Requests for Duplicate Licenses
- Administrative Updates
- Required Notifications
- Extension of Time Requests
- Transfer and Assignment Applications
- Requests for Special Temporary Authority (STA)

Additional information can be found in the *ULS Report and Order*. *See* Amendment of Parts 0, 1, 12, 22, 24, 26, 27, 80, 87, 90, 95, 97, and 101 of the Commission's Rules to Facilitate the Development and Use of the Universal Licensing System in the Wireless Telecommunications Services, WT Docket No. 98-20, *Report and Order*, 13 FCC Rcd 21027 (1998), *recon.*, FCC 99-139, 14 FCC Rcd 11476. *See also* "Wireless Telecommunications WTB Announces New Universal Licensing System (ULS) Filing Procedures and Revised Application Forms Effective February 16, 1999," *Public Notice*, February 10, 1999. These and all other Public Notices and other documents pertaining to the ULS may be found by accessing the ULS homepage and clicking on "Releases."

As part of the conversion process, all active licensing data for Maritime Coast and Aviation Ground services (active license records and those applications that are pending but have not been granted or dismissed) will be converted to ULS, and will no longer be updated in their current licensing database.²

This *Public Notice* provides information designed to assist Maritime Coast and Aviation Ground filers to prepare for successful utilization of ULS, as well as contact information for applicants and licensees who have additional questions about ULS. This *Public Notice* does not discuss search features and GeoSearch mapping capabilities of the ULS that are common to radio services available on ULS.

Topics contained in this *Public Notice*:

Taxpayer Identification Number (TIN) Registration

New Application Procedures for the Maritime Coast and Aviation Ground Services

ULS Forms

Pre-ULS Forms and Letter Requests

Mandatory Electronic Filing

Transfer of Control and Assignment of Authorization Procedures

ULS Unavailable April 27-30, 2001 for Conversion; Legacy System April 26

Additional Considerations for the Maritime Coast and Aviation Ground Services

Unified Dismissal Policy

Specifying and Verifying Control Point, Location, and Antenna Numbers

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Appendix A (see Appendix A for a listing of its contents)

TAXPAYER IDENTIFICATION NUMBER (TIN) REGISTRATION

As mandated by the Debt Collection Improvement Act of 1996 (Act), the Commission requires all wireless licensees to register their Taxpayer Identification Numbers (TINs) in the ULS. For individuals, their Social Security Number (SSN) is their TIN. For firms, organizations, and non-federal government agencies, their Employer Identification Number (EIN) is their TIN. To protect licensee privacy, registered TINs will not be made available to the public. However, TIN information may be released to the U.S. Treasury Department for purposes of compliance with the Act.

Maritime Coast and Aviation Ground applicants who have not previously registered their TINs must do so before filing applications or updating licensing information in ULS. When you register your TIN, associate any valid call signs with your TIN.

² Users will be able to continue using the Commission's General Menu Reports (GENMEN) Internet search tool for all Maritime Coast and Aviation Ground searches.

NOTE: If you are not required by law to have a TIN, the FCC will provide you with an FCC-generated identification number for access to ULS. If you fall into this category, contact ULS Technical Support at (202) 414-1250 (TTY-(202) 414-1255).

Because there are instances in which governmental or private entities may have a single TIN that is used by multiple agencies or subsidiaries which hold licenses in their own names, the WTB has made provisions for an entity to also register Sub-Group Identification Numbers (SGINs) in addition to its TIN. By selecting two or more SGINs, individual agencies or departments within a large organization will be able to independently access and manage their licenses. In order to use the SGIN feature, a TIN registrant must specify sub-groups at the time of registration, self-assign a unique SGIN to each subgroup, and associate call signs with each TIN/SGIN combination. A *Public Notice* describing the SGIN procedures is available in the "Releases" section of the ULS Internet Homepage at http://www.fcc.gov/wtb/uls.

Because TINs registered in ULS will not be made available to the public, ULS assigns each TIN a corresponding licensee identification number that is displayed when the public views an application or license on-line. Licensee identification numbers are assigned automatically by ULS as part of the TIN registration process, are nine characters in length, and consist of an "L" followed by eight digits.

NOTE: Maritime Coast and Aviation Ground licensees who have previously registered their TINs do not need to re-register. Although WTB made a concerted effort to update TIN and Call Sign information over the last three years, licensees are responsible to ensure that their information is up-to-date upon conversion to ULS. If licenses are added or assigned via ULS filings, the licensees' TINs will automatically be associated with the filings and the licensees will not need to update their TIN/Call Sign registrations for these ULS filings.

The WTB urges applicants and licensees to electronically register TINs. This can be done on the FCC's secure internet server at http://www.fcc.gov/wtb/uls by clicking on the "TIN/Call Sign Registration" button.

Manual TIN registration requires filing FCC Form 606 (TIN Registration Form), which can be obtained from the Internet at http://www.fcc.gov/formpage.html or by calling the FCC's Forms Distribution Center at 1-800-418-FORM (3676) (outside the Washington, D.C., area) or 202-418-3676 (in the Washington, D.C., area). If your TIN was manually registered, you must call the ULS technical support staff to obtain a password prior to being able to file electronically via ULS.

If filed manually, Form 606 should be mailed to:

Federal Communications Commission Data Management Division Attention: Kathy McLucas 1270 Fairfield Road Gettysburg, PA 17325-7245 NOTE: All applicants should begin NOW to provide their TIN on their applications. Failure to register the applicant's TIN prior to filing will result in delayed processing of the request. Failure to provide a TIN on application filings received by the Commission on or after April 30, 2001 will result in dismissal of the application as defective.

NEW APPLICATION PROCEDURES FOR MARITIME COAST AND AVIATION GROUND SERVICES

Applicants and licensees in the Maritime Coast and Aviation Ground services being converted in the deployment of ULS will be subject to the following filing procedures as of April 30, 2001:

ULS Forms

Form 601 is available now for Maritime Coast and Aviation Ground services for filings for:

- New Station Applications
- License Modifications
- Application Amendments
- License Renewals
- License Cancellations
- Application Withdrawals
- Requests for Duplicate Licenses
- Administrative Updates
- Requests for Special Temporary Authority (STA)
- Notifications and Requests for Extension of Time of Coverage or Construction Requirements in Conjunction with a License

Form 601 replaces pre-ULS Forms 406, 503, 452R, and letter requests for these purposes.

Beginning with receipts on or after April 30, 2001, for Coast and Ground services, only the November 2000 edition (or later) of Form 601 is acceptable for filing. Applications filed on or after April 30, 2001, for Maritime Coast and Aviation Ground services on prior editions of Form 601 will be dismissed without prejudice. Use of pre-ULS forms in lieu of Form 601 is permitted for a six-month transition period ending October 30, 2001; however, WTB strongly urges applicants to use Form 601 to avoid processing delays. If applicants do not use Form 601, they must provide the additional information described in Appendix A. Any application filed using a pre-ULS form on or after April 30, 2001, must contain the information prescribed in Appendix A or it may be dismissed without prejudice.

For instructions on filing Form 601 manually, applicants must follow the instructions on the form and see the "Where to Send Manually Filed Applications" section of this Public Notice. WTB strongly encourages electronic filing via ULS. For instructions on filing Form 601 electronically, applicants should go to http://www.fcc.gov/wtb/uls.

Form 603 is available **now** for Maritime Coast and Aviation Ground services. Applicants can file for:

- Assignment of License
- Transfer of Control

- Notification that an Approved Assignment or Transfer Has Been Consummated
- Extension of Time to Consummate the Assignment or Transfer Transaction

Form 603 replaces Forms 406 and 503/1046, 703, and letter requests for these purposes.

Beginning with receipts on or after April 30, 2001, for Maritime Coast and Aviation Ground services, only the February 1999 edition (or later) of Form 603 is acceptable for filing. Applications filed on or after April 30, 2001, for Maritime Coast and Aviation Ground services on prior editions of the Form 603 will be dismissed without prejudice. Also, any transfer of control application filed on the former Form 604—which has been discontinued—will be dismissed without prejudice.

WTB strongly urges the use of ULS Forms instead of pre-ULS Forms even if the filer is unable to file electronically. Use of pre-ULS forms in lieu of Form 603 is permitted for a six-month transition period ending October 30, 2001, but WTB strongly urges applicants to use Form 603 to avoid processing delays. If applicants do not use Form 603, then they must provide the additional information described in Appendix A. Applications filed on or after April 30, 2001, that do not contain the information prescribed in Appendix A may be dismissed without prejudice.

For instructions on filing Form 603 manually, applicants should follow the instructions on the form and see the "Where to Send Manually Filed Applications" section of this Public Notice. WTB strongly encourages electronic filing via ULS. For instructions on filing Form 603 electronically, applicants should go to http://www.fcc.gov/wtb/uls.

Pre-ULS Forms and Letter Requests

Beginning with receipts on or after April 30, 2001, for Maritime Coast and Aviation Ground services, manual filers who choose to use pre-ULS Forms and letter requests must use the following editions of these Forms. Pre-ULS Forms filed on or after April 30, 2001, for Maritime Coast and Aviation Ground services on prior editions will be dismissed without prejudice.

- Form 452R—September 2000 (FCC sends the 452R to a licensee prior to license expiration)
- Form 503—September 1998 edition
- Form 406—May 1999 edition
- Form 1046—April 1997 edition (or later)
- Form 703—January 1997 edition (or later)

Use of these forms for Maritime Coast/Aviation Ground applications is permitted only until October 30, 2001. Any pre-ULS Form or letter request submitted after October 30, 2001, for these services will be dismissed without prejudice.

Maritime Coast and Aviation Ground manual filers who file these pre-ULS Forms or letter requests during the six-month transition period must submit their filing request in accordance with the instructions as set forth in Appendix A. The supplementary information described in Appendix A must be attached. Applications filed on or after April 30, 2001, that are not submitted in accordance with the instructions prescribed in Appendix A may be dismissed without prejudice.

NOTE: To avoid processing delays, Maritime Coast and Aviation Ground applicants and licensees who plan to file applications manually should begin now to submit their filing requests in accordance with instructions set forth in Appendix A.

For instructions on filing pre-ULS Forms manually, applicants should see the "Where to Send Manually Filed Applications" section of this Public Notice.

Because of the extensive amount of additional information that filers of pre-ULS Forms are

required to submit, the WTB strongly encourages electronic filing via ULS or the use of ULS Forms to avoid processing delays. For instructions on filing electronically, applicants should go to http://www.fcc.gov/wtb/uls.

NOTE: Applicants who file pre-ULS forms must use only purposes that are allowed on ULS forms. Applicants are no longer permitted to file one application for dual purposes (e.g., Assignment with Modification, Assignment with a Renewal, Assignment with a Modification and a Renewal).

Mandatory Electronic Filing

The mandatory electronic filing requirements take effect on October 30, 2001, and apply to the station class FC (Public Coast) only.

Transfer of Control and Assignment of Authorization Procedures

Non-pro forma transactions and pro forma transactions not subject to forbearance

In the case of non-pro forma transactions and pro forma transactions that are not subject to the Commission's streamlined forbearance procedures, Form 603 may be accessed electronically by both parties to the transaction in the following manner. The electronic filing process is initiated by the assignor/transferor, who fills out the assignor/transferor portions of the form and identifies the call signs that are subject to the assignment or transfer. ULS then enables the assignor/transferor to "forward" the application electronically to the assignee/transferee, who fills out the assignee/transferee portions of the form (but cannot alter information entered by the assignor/transferor), signs and returns it electronically to the assignor/transferor. The assignor/transferor then may sign and submit the application, provided it makes no further changes, or may make further changes and, once again, forward it to the assignee/transferee.

Notification of consummation

Form 603, Schedule D provides for notification of consummation of an assignment or transfer that was previously consented to by the Commission, and Form 603, Schedule E may be used to request an extension of time to consummate.

NOTE: Use Form 603 only for notifications of consummation of transfers of control and assignments of licenses that were granted under ULS services that currently require notification of consummation, you should provide letter notification for all transactions granted prior to April 30, 2001, even if the consummation takes place after ULS transition. For other licenses currently not subject to notification of consummation, you only need provide notice if the transaction was granted after implementation of ULS.

Pro forma forbearance notification

The Commission has established forbearance procedures for the *pro forma* transfer and assignment of licenses used for the offering of telecommunications for a fee to the public or to such

classes of users as to be effectively available to the public.³ Such transfers and assignments may currently be filed on a Form 603; Form 603 becomes mandatory starting October 30, 2001, for Maritime Coast and Aviation Ground services, and letter requests will no longer be accepted.

Partial Assignments

A licensee may assign a portion of their license rather than assigning the entire license. These assignments may be accomplished for a site location, several site locations, or a frequency or several frequencies. Form 603 collects appropriate data for licensees to identify their request for partial assignments.

We realize that previously, applicants were able to file partial assignment applications and request that the location or frequency be placed under the call sign of an existing license. ULS, however, will create a new call sign for each assignment granted. In the deployment of ULS software for Maritime Coast and Aviation Ground services we will not have the capability for applicants to specify a particular target call sign or to consolidate licenses.

ULS System Will Become Unavailable Weekend of April 27-30, 2001

As part of the conversion of Maritime Coast and Aviation Ground to ULS, the ULS system will be unavailable beginning at 3 p.m., Friday, April 27, 2001, and you should expect it to remain unavailable until 8 a.m. Monday, April 30, 2001. The legacy system will become unavailable at 8 a.m., Thursday, April 26, 2001. The Form 900 renewal system will become unavailable midnight Saturday, April 28. After April 28, 2001, there will be no more Coast and Ground renewals filed via Form 900.

ADDITIONAL CONSIDERATIONS FOR THE MARITIME COAST AND AVIATION GROUND SERVICES

Unified Dismissal Policy

The WTB has announced that a unified dismissal policy will take effect in each wireless service six months after the service is converted to ULS.⁴ Accordingly, this policy will take effect for Maritime

In these cases, Form 603 enables the assignor/transferor to specify that it is filing a notification of a *pro forma* assignment or transfer that does not require prior Commission approval pursuant to the Commission's forbearance procedures. For these notifications, only the assignor/transferor will access Form 603. Forbearance does not apply to services such as public safety and private land mobile. Licensees not subject to forbearance must seek and receive Commission approval prior to consummating a transfer or assignment, using the procedures described above.

See Wireless Telecommunications WTB Announces Unified Policy for Dismissing and Returning Applications and Dismissing Pleadings Associated with Applications, *Public Notice*, DA 99-385 (rel. Feb. 24, 1999); Wireless Telecommunications WTB Postpones Effective Date of Unified Dismissal Policy for Applications in the Wireless Services, *Public Notice*, DA 99-811 (rel. April 29, 1999). These documents are available under the "Unified Dismissal/Return Policy" topic on the "Information Center" section of the ULS Internet homepage, http://www.fcc.gov/wtb/uls.

Coast and Aviation Ground services for applications filed beginning October 30, 2001. Under the unified dismissal policy, applications that (1) are unsigned or incomplete with respect to answers to questions, informational showings, or other matters of a formal character; (2) request an authorization that would not comply with one or more of the Commission's Rules, and do not contain a waiver request (or in cases where the waiver is denied contain an alternative proposal); or (3) do not contain an adequate fee, are subject to automatic dismissal. In addition, applications that do not contain a valid Antenna Structure Registration number (when one is required – generally, when the antenna is sited on a structure that is greater than 60.96 m (200 ft) tall or located near a public use airport), or whose coordinates differ from those of the Registration, are subject to dismissal.

Although the unified dismissal policy does not take effect for the Maritime Coast and Aviation Ground services until October 30, 2001, the WTB encourages applicants and licensees to become familiar with the unified dismissal policy now. Information on the policy is available on the ULS Internet homepage at http://www.fcc.gov/wtb/uls/policy.html.

Because electronic filing provides for on-line checking of applications, electronic filers are more likely to detect and correct errors before submitting applications, and therefore reduce the risk that their applications will be returned or dismissed. For this reason, the WTB strongly encourages applicants to chose electronic filing.

Specifying and Verifying Control Point, Location and Antenna Numbers

For the Coast and Ground services in ULS, control points, locations and antennas are specified by numbers. Licensees must be sure to use the control point, location and antenna numbers listed under ULS when applying to modify their licenses or when submitting an amendment to a converted pending application.

In some cases, the correct control point, location and antenna number will be different from the control point, location or antenna number in the original license grant, if it was not granted in ULS. Licensees should pay careful attention to the control point, location and antenna numbers when filing electronically.

Licensees should confirm the control point, location and antenna numbers by reviewing their license using the "License Search" tools available at the ULS Internet homepage (http://www.fcc.gov/wtb/uls) before submitting manual applications to modify their licenses. If the licensee needs to submit an amendment for a converted pending application, the licensee should confirm the control point, location and antenna numbers by reviewing their converted pending application using the "Application Search" tools available at the ULS Internet homepage (http://www.fcc.gov/wtb/uls). §

Guidelines for conversion of the location information from the legacy database into ULS are provided on the ULS Internet homepage (http://www.fcc.gov/wtb/uls) under "Filing Applications Using ULS."

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Select "Locations" from the "License Options" drop-down box in "ULS License Search" to view location and antenna numbers. Select "Control Points" from the "License Options" drop down box in "ULS License Search" to view control point numbers. To view control point, location and antenna numbers in "ULS Application Search," select the "Schedule D" or "Schedule H" hyperlinks.

North American Datum of 1983 Coordinates

For Maritime Coast and Aviation Ground services, existing data coordinates will be converted to North American Datum of 1983 (NAD83) effective no later than April 30, 2001. Accordingly, applicants should note that all coordinates must be referenced to NAD83. Additional information on determining and converting geographic coordinates is available on the ULS Internet homepage at http://www.fcc.gov.wtb/uls/nadcon.html

Note: Certain Pacific island areas for which a conversion routine is not yet available will continue to be referenced to the applicable local datum. See ULS Report and Order ¶ 125. A list of these areas is available at http://www.fcc.gov/wtb/uls/nadcon.html.

Construction Notification

Under ULS, WTB sends out construction notification reminder letters for licenses granted in ULS approximately 90 days before the construction deadline. Licensees should note, however, that they are obligated to provide construction notification regardless of whether they receive a reminder letter. A licensee that meets its construction requirements early does not need to wait until the deadline to provide notification of construction. ULS will process early notifications and, if applicable, will not send reminder letters for the locations and frequencies for which a licensee has provided construction notice.

Licensees should provide notification of construction by submitting Form 601, Schedule K. *Be Aware:* WTB will automatically terminate licenses when a licensee fails to give timely construction notification.

When the WTB fails to receive timely confirmation of construction from a licensee, the ULS will generate a letter to the licensee and issue a Public Notice 30 days before the termination becomes final. A licensee then has 30 days from the date of the letter to demonstrate that it has met the construction requirements prior to the termination becoming final.

Database Corrections

As part of the preparation for ULS, the WTB has encouraged licensees to review the WTB's licensing database and to submit corrections, if necessary. Once the Maritime Coast and Aviation Ground services are converted to ULS on April 30, 2001, licensees will no longer be permitted to notify the WTB of database errors informally, and instead must file a formal application for license modification.

License Renewal

 $^{^6}$ ULS Report and Order ¶ 104.

See Wireless Telecommunications Bureau Makes Land Mobile and Personal Radio Databases Available for Review Prior to ULS Implementation, *Public Notice* (rel. October 14, 1998).

All services in ULS receive a renewal reminder letter 90 days before license expiration. This renewal reminder letter is provided as a courtesy, and failure to receive a reminder will not serve as a basis for reinstatement of an expired license. Applications for renewal may be filed no earlier than 90 days prior to expiration date.

APPLICATION FEES

Applicants using ULS remain subject to application fees under Section 1.1102 of the rules, 47 CFR § 1.1102. ULS, however, will simplify the process of submitting fees to the Commission. When an applicant submits an application electronically, ULS will assign a file number and show the correct fee amount due and the payment type code on a confirmation screen. Clicking on the "Form 159" button will display an FCC 159 Form with pre-filled information. Electronic filers have the option to either pay by check or credit card by mail or to pay on-line using a credit card. If the electronic filer chooses to pay on-line using a credit card, they will click on the "Pay Online Now" button. This option will expedite processing of their application. An electronic filer wishing to pay by check or credit card by mail may click on the "Printable Form 159" button to print the pre-filled Form 159, which should be mailed to the address specified below.

For more information see "Wireless Telecommunications Bureau Provides Fee Payment Checklist For Applicants Using The Universal Licensing System," *Public Notice*, DA 99-1411 (available in the "ULS Releases" section of the "ULS Information Center" at http://www.fcc.gov/wtb/uls).

NOTE: Electronic filers who do not use the pre-printed FCC Form 159 in connection with an electronically filed application must enter the ULS-generated file number in the FCC Form 159 box labeled FCC Code 2. If problems arise while trying to print FCC Form 159, call the FCC Technical Support Hotline. Mellon Bank must receive the FCC Form 159 and accompanying fee within 10 calendar days of submitting the application.

Where to Send Payments for Electronically-filed Applications. If an on-line credit card payment was made for an electronically-filed application, no further action is needed (there is no requirement to submit a Form 159). All completed FCC 159 Form payments for electronically filed applications (excluding on-line credit card payments) should be sent to:

Federal Communications Commission ULS Electronic Filing P.O. Box 358994 Pittsburgh PA 15251-5994

WHERE TO SEND MANUALLY-FILED APPLICATIONS

Manually-filed Renewal Only applications **that require fees** should be sent to:

Federal Communications Commission P.O. Box 358245 Pittsburgh PA 15251-5245

All other manually filed applications **that require fees** should be sent to:

Federal Communications Commission P.O. Box 358130 Pittsburgh PA 15251-5130

All manually filed applications and letter requests **that do not require fees** should be sent to:

Federal Communications Commission 1270 Fairfield Road Gettysburg, PA 17325-7245

Copies of FCC Forms can be obtained by calling the Commission's Forms Distribution Center at 1-800-418-3676 (outside the Washington, D.C. area) or 202-418-3676 (in the Washington, D.C. area). Copies of these forms can also be obtained via the Internet at http://www.fcc.gov/formpage.html.

Note: Applications that require frequency coordination must still be submitted to the certified frequency coordinator.

FOR FURTHER INFORMATION OR ASSISTANCE

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

You may reach the FCC Technical Support Hotline at (202) 414-1250, via TTY at 202-414-1255, or via e-mail at ulscomm@fcc.gov. Contact its technicians regarding questions concerning computer access to ULS, TIN registration, uploading files, or submitting attachments in ULS. The hotline is available Monday through Friday, from 7 a.m. to 10 p.m., on Saturdays from 8 a.m. to 7 p.m., and Sundays from 12 p.m. to 6 p.m., all times Eastern Time. In order to provide better service to ULS users and ensure the security of the electronic filing system, all calls to the hotline are recorded.

ULS Licensing Support and Forms Information is a separate hotline. To talk with an agent, call 1-888-CALLFCC (225-5322), and choose option #2, or send questions to ulshelp@fcc.gov. Contact Licensing Support for any ULS-related licensing matters. ULS Licensing Support is available Monday through Friday, from 8:00 a.m. to 5:30 p.m. Eastern Time.

Comments on ULS should be sent via email to: ulscomm@fcc.gov.