



PUBLIC NOTICE

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WIRELESS TELECOMMUNICATIONS BUREAU TO BEGIN USE OF UNIVERSAL LICENSING SYSTEM (ULS) FOR MICROWAVE SERVICES ON AUGUST 30, 1999

On August 30, 1999, the Wireless Telecommunications Bureau (Bureau) will begin use of the Universal Licensing System (ULS) for licensing activity relating to the Microwave Services, which consists of Part 101 Common Carrier Microwave, Private Operational Fixed Microwave, and Part 74 Broadcast Auxiliary Microwave Services.

ULS is the interactive licensing database developed by the Bureau to consolidate and replace eleven 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. The deployment of the Microwave Services in ULS is part of the Bureau's ongoing phased deployment of ULS in all wireless services.

For further information regarding the ULS rules and procedures, please refer to the FCC's ULS Internet site at <http://www.fcc.gov/wtb/uls>.¹

Beginning August 30, 1999, applicants and licensees in the Microwave Services² will be able to use ULS forms for electronic filing of new station applications, license modifications, application amendments, license renewals, license cancellations, application withdrawals, requests for duplicate licenses, administrative updates, notifications, extension of time requests, and transfer and assignment applications. As part of the conversion process, all existing licensing data relating to licenses in the Microwave Services will be transferred to the ULS. Licensing data concerning the Microwave Services will be available to the public via ULS and will no longer be updated in the pre-ULS database.

¹ 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 (adopted June 10, 1999, released June 28, 1999). See also "Wireless Telecommunications Bureau Announces New Universal Licensing System (ULS) Filing Procedures and Revised Application Forms Effective February 16, 1999," *Public Notice*, February 10, 1999.

² The Microwave Services, which includes both common carrier and private operational services and Part 74 Broadcast Auxiliary service, consist of the following radio service codes: CE, CT, CF, LD, TN, PE, WR, WA, MG, WA, AI, AB, AS, TI, TB, TP, TS, and TT.

The following sections of this *Public Notice* contain an overview of the ULS conversion process for the Microwave Services, as well as contact information for applicants and licensees who have additional questions about ULS.

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 ULS. 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.

Microwave Services licensees who have not previously registered their TINs must do so before filing applications or updating licensing information in ULS. When you register your TIN, you will also be asked to associate any currently held call signs and antenna structure registration numbers with your TIN. Additionally, to take advantage of the electronic filing features of ULS, you must obtain a system password. Passwords are user-selected and are chosen at the time applicants electronically register their TIN. If you register your TIN manually, you must call the ULS technical support staff to obtain a password (see below for information on how to register your TIN).

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 believe 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 Bureau 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 sub-group, and associate callsigns with each TIN/SGIN combination. A *Public Notice* describing the SGIN procedures is available in the ULS Releases section of the ULS Information Center 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: Licensees in the Microwave Services who have previously registered their TINs do not need to re-register. However, each licensee must ensure that the call sign information associated with its TIN is updated to reflect its current license holdings. For example, if you previously registered your TIN but subsequently added or assigned licenses, you must update your TIN/call sign registration information.

NOTE: Licensees will not have to update the call sign portion of their TIN registration to reflect Microwave licenses obtained after August 30, 1999; ULS will automatically update this

information in the license database.³

The Bureau 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 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 filed manually, Form 606 should be mailed to:

Federal Communications Commission
Information Technology Division
Attention: Kathy McLucas
1270 Fairfield Road
Gettysburg, PA 17325-7245

When filing applications, applicants and licensees must provide their TINs in the appropriate block on the form. If no block is provided, applicants must write the TIN at the top right hand corner of the first page of the form, or at the top right hand corner of the first page of filing if a form is not used.

NOTE: Failure to register the applicant's TIN prior to filing an application will result in delayed processing of the application. Failure to provide a TIN on filings received by the Commission on or after August 30, 1999 will result in dismissal of the application as defective.

NEW APPLICATION PROCEDURES AND USE OF ULS FORMS FOR MICROWAVE SERVICES

Applicants and licensees in the Microwave Services will be subject to the following filing procedures as of August 30, 1999:

I. Application Filings Other Than Assignments of Authorization and Transfers of Control

Form 601 Filing Procedures

Beginning August 30, 1999, Form 601 (OMB Approval Number 3060-0798) will be available in the Microwave Services for filing new station applications, license modifications, application amendments, license renewals, license cancellations, application withdrawals, requests for duplicate licenses, administrative updates, notification of construction, and requests for special temporary authority. Form 601 replaces pre-ULS forms (Forms 313, 402R, 405, and 415) and letter requests for these purposes. Form 601 is also used to request a waiver or extension of time of coverage or construction requirements in

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Note that the TIN/Call Sign database reflects a "snapshot" of a licensee's call signs at the time of TIN registration that will be used at the time of conversion of the Microwave Services to ULS. Because ULS will automatically update the license database but not the TIN/Call Sign database after this conversion, licensees do not need to be concerned if the TIN/Call Sign database does not reflect licensing activity that took place after conversion of the Microwave Services to ULS.

conjunction with an application or license.

Mandatory Electronic Filing

For a six-month transition period after August 30, 1999, applicants and licensees in the Microwave Services may file Form 601 electronically or manually. Beginning on February 30, 2000, certain classes of Microwave licensees and applicants will be required to file Forms 601 and 603 electronically, while other classes will continue to have the option of filing manually, as set forth below.⁴ Where manual filing of Forms 601 and 603 is allowed, the Bureau will accept manual applications filed on the February 1999 edition.

Radio Service Codes Subject to Mandatory Electronic Filing	Radio Service Codes That May Be Filed Manually	
CE – Common Carrier DEMS	PE – Private DEMS	AI – Aural Intercity Relay
CT – Local Television Transmission	WA – Private Point-to-Point, Eligibility – Aviation	AB – Aural Microwave Booster
CF – Common Carrier Point-to-Point	MG – Private Point-to-Point, Eligibility – Industrial/Business	AS – Aural Studio Transmitter Link
LD – Local Multipoint Distribution Service	WA – Private Point-to-Point, Eligibility – Marine	TI – TV Intercity Relay
TN – 39 GHz, Market Area	WA – Private Point-to-Point, Eligibility – Public Safety	TB – TV Microwave Booster
	WR – Private Point-to-Point, Eligibility - Radiolocation	TS – TV Studio Transmitter Link
		TP – TV Pickup
		TT – TV Translator Relay

Use of Pre-ULS Forms

Applicants and licensees in the Microwave Services may continue to use existing (pre-ULS) forms until February 30, 2000, **but the Bureau strongly urges applicants and licensees to use Form 601 and to file electronically.**⁵ We will dismiss without prejudice any letter requests or pre-ULS forms filed on or after February 30, 2000. The choice of application form and filing method will affect applications in the following way:

⁴ Pursuant to § 1.913(b) of the Commission's Rules, 47 C.F.R. § 1.913(b). After February 30, 2000, applications that contain both radio service codes subject to mandatory electronic filing and radio service codes that may be filed manually as part of the same application *must* be filed electronically.

⁵ Broadcast Auxiliary licensees may continue to use Form 313 (with the supplemental information described in Appendix A) until the Commission indicates otherwise. Because of the amount of additional information that filers of Form 313 are required to submit, the Bureau strongly encourages the use of Form 601 for these filings.

(1) ULS Form filed electronically -- the most efficient filing method; will result in expedited treatment compared to filing manually.

(2) ULS Form filed manually -- will result in expedited treatment compared to filing old forms or letter requests.

(3) Old forms or letter requests filed manually -- not recommended; will result in slower processing than the options described above.

In the event that applicants in the Microwave Services elect to use pre-ULS forms during the transition period, as of August 30, 1999, they must provide certain additional required information with their applications (including TIN information) as set forth in Appendix A. Applications filed on or after August 30, 1999 that do not contain the information prescribed in Appendix A will be dismissed without prejudice.

Submitting "Packs" of License Applications

Many applicants in the Microwave Services wish to submit a set of applications requesting a system or subsystem of microwave links which are related to the extent that they cannot or must not operate independently and so they must all have the same grant date and construction deadline. These related applications are referred to as "packs" in ULS, and the forms and software have been designed to allow licensees to easily designate packs.

NOTE: A Pack can only be submitted for applications filed under the same TIN.

• **Submitting Packs Electronically:** You must first register a pack by selecting the "Register/Submit Pack" button after logging in to ULS (Note: this feature will be available when the Microwave Services are converted to ULS on August 30, 1999). If you indicate on the application that it is part of a "Pack", you will then have the option to attach the application to your pack (an "Add to Pack" button will replace the "submit" button on the electronic application). Once you have attached all of your applications to a pack, you may then submit the pack by selecting the "Register/Submit Pack" button after logging into ULS and choosing the option to submit the pack.

If you wish to remove an application from a pack before you submit the pack, you must select that application and change the "Is this application being filed as part of a pack?" question to "no."⁶

• **Submitting Packs Manually:** The license application form (FCC Form 601, Schedule I) allows you to indicate that an application is part of a pack. To submit a pack manually, you should file all applications that are intended to be part of a pack simultaneously. The Bureau strongly recommends that you pre-register the Pack electronically and obtain a pack identification number to include on each application in order to facilitate identification of the applications as part of the same pack, and to avoid confusion. If you do not have a pack identification number, you will be required to provide a descriptive and unique pack name.

Specifying Frequency Paths

⁶ You may then leave the application in an unsubmitted status by exiting ULS or submit that individual application to the Bureau by selecting the "submit" button.

In the Microwave Services, locations and paths are specified by numbers. Licensees must be sure to use the location and path numbers listed under ULS when applying to modify their licenses.

NOTE: In some cases, the correct location and path number will be different from the location or path number in the original license grant, if it was not granted in ULS. Licensees should pay careful attention to the path and frequency numbers when filing electronically, and should confirm the path and location 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.⁷

North American Datum of 1983 Coordinates

Applicants should note that all coordinates must be referenced to the North American Datum of 1983 (NAD83), except for sites in the Northern Mariana Islands, Midway Island, and Wake Island, where applicants continue to reference the applicable local datum.⁸

Additional information on determining and converting geographic coordinates is available on the ULS Homepage at <http://www.fcc.gov/wtb/uls/nadcon.html>.

Construction Notification

Under rules adopted in conjunction with ULS, licensees in the Microwave Services must now provide notification of construction. Licensees may provide notification of construction by submitting Form 601, Schedule K. The Bureau will automatically terminate licenses when a licensee fails to give timely construction notification.⁹

This requirement applies to only those applications for new licenses that are granted under ULS on or after August 30, 1999, and for modifications granted on or after August 30 that add paths or new frequencies to an existing path. To determine if an application is granted under ULS – and therefore is subject to construction notification requirements – check the license for the presence of construction deadlines; ULS will print these dates on the license. Additionally, you may consult the file number assigned to the application. File numbers issued by ULS will consist of ten digits; file numbers issued out of the current microwave database consist of seven digits or less.

NOTE: The period for notifying the Commission of construction runs from the date the Commission authorizes a particular frequency on a particular path (first use), even if that frequency is part of a previously-authorized path. Although construction notification is required for each frequency on each path, licensees may notify the Commission that all construction has been accomplished at either a call sign, a path, or a frequency level (see Form 601, Schedule K instructions). If the path is subsequently modified, the construction notification date will continue to run from the date the frequency was initially authorized

⁷ To view location and path numbers after finding your license, you must select the “Path(s) from the “License Options” drop down box.

⁸ See *ULS Report and Order* at ¶ 125.

⁹ See *ULS Report and Order* at ¶ 102-108. “We also conclude that it is reasonable to require microwave licensees to comply with the same construction notification procedures as other wireless licensees....” *Id.* at ¶ 107.

on that path. For the following examples, assume that the Commission issues a new license for frequencies A and B on path 1 and frequencies A and C on path 2 on January 1, 2000, and that there is an 18-month construction notification requirement:

- If no modifications are made to the license, the licensee must provide notification of construction (or receive an extension of the period in which it is authorized to construct) by July 1, 2001.
- If, on May 1, 2000, the licensee modifies the power on frequency A, path 1, the construction deadline remains July 1, 2001 for all frequencies; the licensee has not added or removed a frequency.
- If, on May 1, 2000, the licensee adds a third path with frequencies A and C. All frequencies on paths 1 and 2 are still subject to a July 1, 2001 construction notification deadline. Frequencies A and C on Path 3 are subject to a November 1, 2001 construction notification deadline.
- If, on August 1, 2001, the licensee modifies the power on frequency A, path 1, no additional construction deadline applies; the licensee was previously required to provide construction notification on July 1, 2001.
- On January 1, 2002, the licensee adds frequency C to path 1. The licensee has already provided construction notification for frequencies A and B. If the licensee fails to provide construction notification for frequency C by the July 1, 2003 deadline, only the authorization for frequency C will terminate; frequencies A and B will remain valid.

Under ULS, the Bureau will send out construction notification reminder letters for licenses granted in ULS approximately ninety days before the construction deadline.¹⁰ Licensees should note, however, that they are obligated to provide construction notification regardless of whether they receive a reminder letter.¹¹

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 paths and frequencies for which a licensee has provided construction notice.

When the Bureau fails to receive timely confirmation of construction from the licensee, ULS will generate a letter to the licensee and issue a Public Notice thirty days before the termination becomes final. A licensee then has thirty days from the date of the letter to demonstrate that it has met the construction requirements and to request reconsideration of the Bureau's action.

How to File Form 601

- For instructions on filing Form 601 electronically, point your web browser to <http://www.fcc.gov/wtb/uls>.

¹⁰ Because licenses granted before conversion to ULS are not subject to the construction notification requirement and therefore have no construction deadline dates, the Bureau will not send out reminder letters to these licensees. The Bureau will accept – but not require – notification of construction in these cases.

¹¹ *ULS Report and Order* at ¶ 104.

- To file Form 601 manually, follow the instructions on the form, and see the "Where to Send Manually Filed Applications" section, below.

NOTE: The Bureau expects to release a revised version of Form 601, Schedule I before the August 30, 1999, conversion of the Microwave Services into ULS.¹² Upon release of the revised Schedule, the Bureau will release an additional *Public Notice* describing use of both the current and revised versions of Schedule I, and setting forth a sunset date for use of the February 1999 version of the schedule.

- For instructions on using pre-ULS forms in lieu of Form 601, see "Use of Pre-ULS Forms," above.

II. Transfer and Assignment Filing Procedures

Form 603 Filing Procedures

Form 603 (OMB Approval Number 3060-0800) is used for filing applications for assignment of license and transfer of control. Form 603 replaces Forms 415, 702, 703, 704, and 1046. Form 603 is also used to notify the Commission that an approved assignment or transfer has been consummated, or to request an extension of time to consummate the transaction.

Manual filers must use the February 1999 edition or a later edition of Form 603. The Bureau will dismiss without prejudice any manually filed Form 603 with an edition date prior to February 1999 and any transfer of control application filed on former Form 604, which has been discontinued.

Use of Pre-ULS Forms

Transfer and assignment applicants in the Microwave Services may continue to use existing (pre-ULS) forms until February 30, 2000, **but the Bureau strongly urges applicants to use Form 603 and to file electronically.** As in the case of Form 601, electronic filing of Form 603 will result in expedited processing compared to manual filing of either Form 603 or pre-ULS forms.

As of August 30, 1999, transfer and assignment applicants in the Microwave Services who elect to use pre-ULS forms during the six-month transition period must provide certain additional required information with their applications (including TIN information) as set forth in Appendix A. Applications filed on or after August 30, 1999 that do not contain the information prescribed in Appendix A will be dismissed without prejudice.

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 Commissions 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

¹² The revised schedule will be consistent with the format for electronic filing. The new schedule is designed to accommodate filers who wish to fill out their licensing information on a paper form, but who also wish to key that information into the electronic filing system so that they can take advantage of the processing and edit checking advantages of electronic filing.

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: The new rules for ULS require that notification of consummation of transfers of control and assignments of license be filed with the Commission on Form 603. Under prior rules, licensees in the Microwave Services were not subject to this consummation notification requirement.

Pro forma forbearance notification

The Commission has established forbearance procedures for the *pro forma* transfer and assignment of telecommunications licenses in the Microwave Services and other wireless services.¹³ Form 603 enables the assignor/transferor of a telecommunications license 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 the Form 603.

Transfer/assignment applications affecting multiple services

If a transfer or assignment transaction involves both licenses in services that have been converted to ULS *and* licenses in other wireless services that have not yet been converted, the applicant must file separate applications for ULS (one application per TIN) and non-ULS-based licenses, and the Bureau recommends that the latter be filed on pre-ULS forms. This requirement is temporary until the databases for all wireless services have been converted to ULS. For example, if a licensee is assigning microwave, PCS, and land mobile licenses, the application for assignment of the microwave and PCS licenses should be done on the Form 603 since both services are in ULS, and the application for assignment of the land mobile licenses should be done on the Form 1046 since the land mobile services are not yet in ULS.

Partial Assignments

A licensee may assign a portion of their license rather than assigning the entire license. These assignments may be accomplished for a path, several paths, or a frequency or several frequencies on a path. Form 603 contains appropriate data elements for licensees to describe partial assignments.

¹³ See Federal Communication's Bar Association's Petition for Forbearance from Section 310(d) of the Communications Act Regarding Non-Substantial Assignments of Wireless and Transfers of Control Involving Telecommunications Carriers, *Memorandum Opinion and Order*, 13 FCC Rcd. 6293 (1998). Applicants should not use Form 601 for such notifications because new licensing information must be provided.

How to File Form 603

- For instructions on filing Form 603 electronically, point your web browser to <http://www.fcc.gov/wtb/uls>.
- For instructions on filing Form 603 manually, follow the instructions on the form, and see the "Where to Send Manually Filed Applications" section, below.
- For instructions on using pre-ULS forms in lieu of Form 603, see "Use of Pre-ULS Forms," above.

III. Ownership Information (Form 602)

Form 602 (OMB Approval Number 3060-0799) collects required ownership information from applicants and licensees in auctionable wireless services that are subject to the ownership disclosure requirements set forth in Section 1.2112(a) of the Commission's Rules, and replaces Form 430. "Auctionable services" includes all wireless services other than those specifically exempted from competitive bidding procedures pursuant to Sections 1.2102(b) and 1.2102(c) of the Commission's rules. Microwave Services licensees and applicants that are subject to these ownership reporting requirements must file Form 602 in conjunction with the filing of an initial license application, renewal application, or application for assignment or transfer, unless the applicant or licensee already has an updated Form 602 on file. Applicants and licensees are required to submit only a single FCC Form 602. Once the applicant or licensee files initially, it has no obligation to file the form with subsequent applications, regardless of service, so long as the ownership information on the previous filing of Form 602 has not changed. For more information regarding Form 602, see "Wireless Communications Bureau Answers Frequently Asked Questions Concerning Reporting of Ownership Information on FCC Form 602," *Public Notice*, DA 99-1001, May 25, 1999."

How to File Form 602

- For instructions on filing Form 602 manually, follow the instructions on the form, and see the "Where to Send Manually Filed Applications" section, below.
- Use of pre-ULS forms in lieu of Form 602: This is permitted for a six-month transition period, **but the Bureau strongly urges applicants to use Form 602 for expedited processing.** If you do not use Form 602, you must provide the additional information described in Appendix A.

NOTE: Form 602 is currently not available for electronic filing. Until further notice from the Commission, all Form 602's must be filed manually.

ADDITIONAL CONSIDERATIONS FOR THE MICROWAVE SERVICES

Unified Dismissal Policy

The Bureau has announced a unified dismissal policy will take effect in each wireless service six months after the service is converted to ULS.¹⁴ Accordingly, this policy will take effect for Microwave

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See Wireless Telecommunications Bureau 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 Bureau Postpones Effective Date of Unified Dismissal Policy for Applications in the Wireless Services, *Public Notice*, DA 99-811

Services on February 30, 2000. 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 Microwave Services until February 30, 2000, the Bureau 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 Bureau strongly encourages applicants to chose electronic filing.

Database Corrections

As part of the preparation for ULS, the Bureau has encouraged licensees in the Microwave Services to review Bureau's licensing database and to submit corrections, if necessary.¹⁵ Once these services are converted to ULS on August 30, 1999, licensees will no longer be permitted to notify the Bureau of database errors informally, and instead must file a formal application for license modification.

License Renewal

ULS is designed to send licensees a reminder letter ninety days before the expiration date of the license. 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. Licensees should note that, under ULS, licensees in all the Microwave Services will be sent a renewal reminder letter ninety days before license expiration. Licenses in all Microwave Services may be renewed from ninety days prior to their expiration date up to and including the expiration date.

New Service Codes for Point-to-Point Systems

Under ULS, Part 101 Point-to-Point Microwave systems will be identified by five radio service codes, to be consistent with the Commission's eligibility rules.¹⁶ These systems were previously identified by two service type codes – PTP and OFS. The five new codes are as follows:

(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>.

¹⁵ See Wireless Telecommunications Bureau Makes Broadcast Auxiliary Radio Station License Databases Available for Review Prior to ULS Implementation, *Public Notice* (rel. May 7, 1999); Wireless Telecommunications Bureau Makes Microwave and Coast and Ground Databases Available for Review Prior to ULS Implementation, *Public Notice* (rel. Sept. 4, 1998).

¹⁶ See 47 C.F.R. § 101.601.

CF	Common Carrier Point-to-Point Microwave
WA	Private Point-to-Point Microwave, Eligibility – Aviation
MG	Private Point-to-Point Microwave, Eligibility – Industrial/Business
WM	Private Point-to-Point Microwave, Eligibility – Marine
MW	Private Point-to-Point Microwave, Eligibility – Public Safety
WR	Private Point-to-Point Microwave, Eligibility – Radiolocation

The new service codes will not affect the eligible frequencies for point-to-point microwave applicants; instead, because each code includes eligibility information, applicants will no longer need to cite the rule part under which they are authorized to apply for their point-to-point system.

NOTE: To search for all private point-to-point microwave systems under ULS, you must list all four private codes (WA, MG, WM, MW, and WR) in your query. By searching on only one code, you will not retrieve a complete record of licensed private point-to-point systems.¹⁷

Special Note for Filing and Viewing DEMS and MAS licenses and applications

For two Microwave Services – DEMS and MAS – the Bureau collects typical receive location data and not exact location data. When viewing records of licenses and applications in these services under ULS, you will note that the receiver coordinates will appear as the same as the transmitter coordinates. ULS displays the licensing records in this fashion due to the unique nature of these services. This is done automatically when a DEMS or MAS application is filed; filers do not need to specify receive coordinates. Additionally, DEMS and MAS applicants may choose an Antenna Structure Type of “N/A – Not Applicable” to describe the antenna structure at their receive sites. Current DEMS and MAS licenses will be converted to reflect these conventions.

APPLICATION FEES

Applicants using ULS remain subject to existing 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 pre-fill this information on the FCC Form 159. ULS will then instruct the applicant on how to print out the pre-filled FCC Form 159 so that it can be mailed to Mellon Bank at the address specified below.¹⁸

NOTE: Applicants 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 at (202) 414-1250 (TTY – (202) 414-1255) for assistance (available Monday through Friday, from 8 a.m. to 6 p.m. local eastern time). Mellon Bank must receive the FCC Form 159 and accompanying fee within 10 calendar

¹⁷ When you use these codes, you will also retrieve records for any MAS systems (which are point-to-multipoint) that meet your search criteria.

¹⁸ The FCC Form 159 will display in a separate browser window. If, after clicking on the “Form 159” button, you do not see the form, check the task bar at the bottom of your Windows 95/98 screen for a button labeled “Form 159.” Click on this button to view the FCC Form 159.

days of submitting the application. In the near future, ULS will be capable of accepting credit card payments online. The Bureau will release a Public Notice and provide information on its web site when this option becomes available. For more information see the Public Notice, DA 99-1411, Wireless Telecommunications Bureau Provides Fee Payment Checklist For Applicants Using The Universal Licensing System, available in the ULS Releases section of the ULS Information Center at <http://www.fcc.gov/wtb/uls>.

Where to Send Payments for Electronically-filed Applications. All payments for electronically filed applications should be sent to:

Federal Communications Commission
ULS Electronic Filings
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>.

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 e-mail as described below.

FCC Technical Support Hotline: (202) 414-1250 (TTY – (202) 414-1255), or via e-mail at ulscomm@fcc.gov. Contact the Technical Support Hotline about questions concerning computer access to ULS, TIN registration, uploading files, or submitting attachments in ULS. The hotline is available Monday through Friday, from 8 a.m. to 6 p.m., local 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: 1-888-CALL-FCC (225-5322) (select Auction/ULS Forms prompt), or via e-mail at ulshelp@fcc.gov. Contact Licensing Support with questions about which application purpose(s) are appropriate for a particular filing, what information is being requested on a ULS Form or Schedule, or any other ULS-related licensing matter. ULS Licensing Support is available Monday through Friday, from 8 a.m. to 5:30 p.m. local eastern time.

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

Appendix A

FCC FORM 415 (February 1997 Edition) INFORMATION REQUIREMENTS

Beginning August 30, 1999, we will accept filings made on FCC Form 415 ("Application for Authorization in the Microwave Services"), provided:

- (1) Where the form asks for "Name," it is provided in this format: Last Name, Middle Initial, First Name. (only in cases where the applicant is a person)
- (2) All heights are specified in meters, and are identified with an "m." after the number
- (3) All coordinates reference the North American Datum of 1983 except for sites in the Northern Mariana Islands, Midway Island, and Wake Island, where applicants continue to reference the applicable local datum.
- (4) For frequency data, the applicant attaches a separate Schedule B for each frequency, and that the applicant lists the lower or center frequency identified with an "l" or "c" after the number in block B2 ("frequency") and the upper frequency identified with a "u" after the number in the first "additional frequency" block.
- (5) On an 8 ½ x 11" paper attached to the form, the applicant provides the following additional information:

General:

- (a) The applicant's radio service code (Consult the table under "Mandatory Electronic Filing," above, for a list of applicable microwave radio service codes).
- (b) The Applicant's SGIN, when applicable
- (c) The name and TIN of the real party in interest, when applicable
- (d) A certification that a grant of the application would not cause the applicant to be in violation of any pertinent cross-ownership, attribution, or spectrum cap rule.
- (e) If the application is part of a pack, a statement that the application is being filed as part of a pack, and the pack name.
- (f) If a feeable waiver is requested, multiply the number of stations times the number of rule sections, and provide the result.
- (g) If frequency coordination has been completed for the application, the frequency coordination number and coordination date
- (h) The applicant's regulatory status
- (i) Whether the application is for an interconnected service
- (j) If the applicant is exempt from application fees and if the applicant is exempt from regulatory fees
- (k) For MAS filers, question 32 may not be "mobile meter reader" or "subfrequency operation"

Location Data:

- (a) Whether the application proposes operations in an area that requires frequency coordination with Canada
- (b) The support structure type code, from the following list:
Code/Definition
B/Building with a side mounted antenna
BANT/Building with Antenna on Top

BMAST/Building with Mast/Antenna on Top
 BPIPE/Building with Pipe/Antenna on Top
 BPOLE/Building with Pole/Antenna on Top
 BRIDG/Bridge
 BTWR/Building with Tower/Antenna on Top
 MAST/Self-Support Structure
 NNTANN*/Antenna Tower Array
 NTOWER**/Multiple Structures
 PIPE/Any Type of Pipe
 POLE/Any Type of Pole, used only to mount an antenna
 RIG/Oil or Other Type of Rig
 SILO/Any Type of Silo
 STACK/Smoke Stack
 TANK/Any Type of Tank (Water, Gas, etc.)
 TOWER/A Free-Standing Guyed Structure Used for Communications Purposes
 TREE/When Used as a Support for an Antenna
 UPOLE/Utility Pole/Tower Used to Provide Service (Electric, Telephone, etc.)

* Valid Tower Arrays. Code definition: The first NN indicates the number of towers in an array. The second NN is optional and indicates the position of that tower in the array (*e.g.*, 3TA2 would identify the second tower in a three tower array).

** Valid Multiple Structures. Code Definition: The N indicates the number of structures where multiple antenna structures are present in a multiple structure (Ex.: 2TOWER, 3TANK, 6BANT, 7BMAST).

NOTE: you must have a valid registration number if antenna structure registration is required. If you provide information that your application for an antenna structure registration is pending and do not specifically file for a waiver, your license application is subject to dismissal.

Path Data:

- (a) Whether the final receiver is located outside the U.S. (if “yes,” include the country and attach an exhibit explaining the circumstances.)
- (b) The RX antenna beamwidth (in degrees)
- (c) The Diversity RX Antenna Beamwidth (in degrees)
- (d) For MAS and DEMS: Whether operations are remote-to-master or master-to-remote.

Passive Repeaters:

- (a) The passive repeater ID
- (b) The passive repeater Sequence Number
- (c) The support structure type code, from the above list

Frequency Data:

- (a) Use the model name instead of the type acceptance number

In addition, an applicant who wishes to answer the optional Race, Ethnicity, and Gender questions listed on Form 601 must list this information on the paper attachment.

FCC FORM 313 (April 1996 Edition) INFORMATION REQUIREMENTS

Beginning August 30, 1999, we will accept filings made on FCC Form 313 (“Application for Authorization in the Auxiliary Radio Broadcast Services,”) provided:

(1) Where the form asks for “Name,” it is provided in this format: Last Name, Middle Initial, First Name. (only in cases where the applicant is a person)

(2) All heights are specified in meters, and are identified with an “m.” after the number

(3) All coordinates reference the North American Datum of 1983 except for sites in the Northern Mariana Islands, Midway Island, and Wake Island, where applicants continue to reference the applicable local datum.

(4) On an 8 ½ x 11” paper attached to the form, the applicant provides the following additional information:

- (a) The applicant’s TIN
- (b) The applicant’s SGIN (when applicable)
- (c) The entity name (when applicable)
- (d) The name and TIN of the real party in interest (when applicable)
- (e) Antenna Structure Registration Number (or a statement that the structure does not meet the registration criteria)
- (f) The antenna support structure type code, from the list provided above:
- (g) For each location, the Location number, description, and Location Name.
- (h) Whether you propose to operate in an area that requires frequency with Canada
- (i) Path location and number
- (j) For the transmit antenna...
 - (1) diversity beamwidth (degrees) (if applicable)
 - (2) diversity antenna height AGL (if applicable)
 - (3) diversity antenna gain (if applicable)
 - (4) azimuth to RX location or passive repeater
 - (5) periscope reflector dimensions (height & width – meters) (if applicable)
 - (6) periscope reflector separation (if applicable)
 - (7) if the final repeater is located outside the United States, the country and an explanation of the circumstances (if applicable)
- (k) For the final receiver...
 - (1) Receiver location name
 - (2) antenna manufacturer
 - (3) antenna model number
 - (4) call sign
 - (5) height to center of RX Antenna AGL
 - (6) RX antenna beamwidth
 - (7) RX antenna gain
 - (8) diversity RX antenna height AGL (if applicable)
 - (9) diversity RX antenna beamwidth (if applicable)
 - (10) diversity RN antenna gain (if applicable)
 - (11) RX periscope reflector dimensions (height & width – meters) (if applicable)
 - (12) RX periscope reflector separation (if applicable)
- (l) Frequency information, including
 - (1) lower or center frequency
 - (2) upper frequency
 - (3) tolerance
 - (4) EIRP

- (5) emission designator
- (6) digital modulation rate
- (7) digital modulation type
- (8) transmitter manufacturer and model
- (9) automatic transmitter power control
- (m) Statements as to whether...
 - (1) The applicant is
 - a. A foreign government or the representative of any foreign government;
 - b. An alien or the representative of an alien;
 - c. A corporation of which more than one-fifth of the capital stock is owned of record or voted by aliens or their representatives or by a foreign government or representatives thereof of by any corporation organized under the laws of a foreign country;
 - d. Directly or indirectly controlled by any other corporation of which more than one-fourth of the capital stock is owned of record or voted by aliens, their representatives, or by a foreign government or representatives thereof, or by any corporation organized under the laws of a foreign country (and an explanation if the answer is “yes”).
 - (2) The applicant or any party to the application has had any FCC station authorization, license, or construction permit revoked or has had any application for an initial, modification or renewal of an FCC station authorization, license, or construction permit denied by the Commission (and an explanation if the answer is “yes”).
 - (3) The applicant or any party to the application or amendment, or any party directly or indirectly controlling the application has ever been convicted of a felony by any state or federal court
 - (4) Any court has finally adjudged the applicant or any party directly or indirectly controlling the applicant guilty of unlawfully monopolizing or attempting unlawfully to monopolize radio communication, directly or indirectly, through control of manufacture or sale of radio apparatus, exclusive traffic arrangement, or any other means or unfair methods of competition (and an explanation if the answer is “yes”).
 - (5) That grant of the application would not cause the applicant to be in violation of any pertinent cross-ownership, attribution, or spectrum cap rule
 - (6) That the application either (i) has a current Form 602 on file with the Commission, (ii) is filing an updated 602 simultaneously with the application, or (iii) is not required to file Form 602 under the Commission’s rules.

FCC FORM 405 (June 1997 Edition) INFORMATION REQUIREMENTS

Beginning August 30, 1999, we will accept filings made on FCC Form 405 (“Application for Renewal of Radio Station License in Specified Services,”) provided:

In the upper right hand corner of the form, the applicant provides the following additional information:

- (a) The applicant’s TIN
- (b) The applicant’s SGIN (when applicable)

FCC FORM 702 (May 1998 Edition) INFORMATION REQUIREMENTS

Beginning August 30, 1999, we will accept filings made on FCC Form 702 (“Application for Consent to Transfer of Control,”) provided:

(1) Where the form asks for “Name,” it is provided in this format: Last Name, Middle Initial, First Name. (only in cases where the applicant is a person)

(2) The transferor’s information block also contains the transferor’s

- (a) TIN
- (b) SGIN (when applicable)
- (c) Telephone
- (d) Contact representative information (when applicable)

(3) The transferee’s information block also contains the transferee’s

- (a) TIN
- (b) SGIN (when applicable)
- (c) Telephone
- (d) Contact representative information (when applicable)

(4) On an 8 ½ x 11” paper attached to the form, the applicant provides the following additional information:

- (a) The licensee’s:
 - (1) TIN
 - (2) SGIN (when applicable)
 - (3) Telephone
- (b) The file numbers of any related applications
- (c) Whether the transfer of control is *pro forma*
- (d) Whether the transaction also involves the assignment of other wireless and/or non-wireless licenses that are not part of the application form and for which Commission approval is required
- (e) The means by which the transfer of control will be accomplished
- (f) The following certifications:
 - (1) That the application either (i) has a current Form 602 on file with the Commission, (ii) is filing an updated 602 simultaneously with the application, or (iii) is not required to file Form 602 under the Commission’s rules.
 - (2) That grant of the application would not cause the applicant to be in violation of any pertinent cross-ownership, attribution, or spectrum cap rule
 - (3) That the statements are made in “good faith.”
 - (4) That the transferee waives any claim to use of any particular frequency or of the electromagnetic spectrum as against the regulatory power of the United States because of the previous use of the same, whether by license or otherwise, and requests an authorization in accordance with its application
 - (5) That the transferee agrees to assume all obligations and abide by all conditions imposed on the transferee under the subject authorization(s), unless the FCC pursuant to a request made in the application otherwise allows, except for liability for any act done by, or any right accrued by, or any suit or proceeding had or commenced against the transferee prior to the assignment.
- (g) If the answer to question 19 is “yes,” then a statement as to whether the crime was a felony.

Beginning August 30, 1999, we will accept filings made on FCC Form 704 (“Application for Consent to Assignment of Radio Station Construction Authorization or License,”) provided:

(1) Where the form asks for “Name, ” it is provided in this format: Last Name, Middle Initial, First Name. (only in cases where the applicant is a person)

(2) The transferor’s information block also contains the transferor’s

- (a) TIN
- (b) SGIN (when applicable)
- (c) Telephone
- (d) Contact representative information (when applicable)

(3) The transferee’s information block also contains the transferee’s

- (a) TIN
- (b) SGIN (when applicable)
- (c) Telephone
- (d) Contact representative information (when applicable)

(4) On an 8 ½ x 11” paper attached to the form, the applicant provides the following additional information:

(a) The assignor’s

- (1) TIN
- (2) SGIN (when applicable)
- (3) An “attention to:” line (when applicable)
- (4) Telephone

(b) The assignee’s

- (1) TIN
- (2) SGIN (when applicable)
- (3) Real party in interest name and TIN (when applicable)
- (4) An “attention to:” line (when applicable)
- (5) Telephone
- (6) Contact representative information (when applicable)

(c) The file numbers of any related applications

(d) Whether the transfer of control is *pro forma*

(e) Whether the transaction also involves the assignment of other wireless and/or non-wireless licenses that are not part of the application form and for which Commission approval is required

(f) The means by which the transfer of control will be accomplished

(g) The following certifications:

(1) That the application either (i) has a current Form 602 on file with the Commission, (ii) is filing an updated 602 simultaneously with the application, or (iii) is not required to file Form 602 under the Commission’s rules.

(2) That grant of the application would not cause the applicant to be in violation of any pertinent cross-ownership, attribution, or spectrum cap rule

(3) That the statements are made in “good faith.”

(4) Whether the assignee or any party to the application has had any FCC station authorization

license or construction permit revoked or had any application for an initial, modification, or renewal of an FCC station authorization, license or construction permit denied by the Commission (and an explanation if the answer is "yes.")

(5) Whether the assignee or any party directly or indirectly controlling the assignee is currently a party in any pending matter that could result in a felony conviction or a final court adjudgement finding a party guilty of unlawfully monopolizing, or attempting to unlawfully monopolize radio communication, through control or manufacture or sale of radio apparatus, exclusive traffic arrangement, or any other means of unfair methods of competition (and an explanation if the answer is "yes.")

(h) If the answer to question 13(b) is "yes," then a statement as to whether the crime was a felony.

(i) In lieu of Item 3, a list that contains the call signs, location numbers, path numbers, lower/center frequencies, upper frequencies, and whether the station has been constructed for the facilities authorized to the assignor for which assignment is sought in the application.

FCC FORM 1046 (April 1997 Edition) INFORMATION REQUIREMENTS

Beginning August 30, 1999, we will accept filings made on FCC Form 1046 ("Assignment of Authorization,") provided:

(1) The attached Form 415 contains the supplemental information, described above.

(2) The proper radio service code is provided in the "radio service" block

(3) The "call sign" block contains the file number for pending applications, when applicable

(4) On an 8 ½ x 11" paper attached to the form, the applicant provides the following additional information:

(a) Whether the transfer of control is *pro forma*

(b) Whether the transaction also involves the assignment of other wireless and/or non-wireless licenses that are not part of the application form and for which Commission approval is required

(c) The means by which the transfer of control will be accomplished

(f) The following certifications:

(1) That the transferee agrees to assume all obligations and abide by all conditions imposed on the transferee under the subject authorization(s), unless the FCC pursuant to a request made in the application otherwise allows, except for liability for any act done by, or any right accrued by, or any suit or proceeding had or commenced against the transferee prior to the assignment.

(2) That (i) the authorization will not be assigned until the consent of the FCC has been given, or (ii) that prior FCC consent is not required because the transaction is subject to streamlined notification procedures and *pro forma* assignments by telecommunications carriers.

FCC FORM 403 (September 1997 Edition) INFORMATION REQUIREMENTS

Beginning August 30, 1999, we will accept filings made on FCC Form 405 ("Licensee Qualification Report,") provided:

(1) Sufficient copies of the form are filed with sufficient information to adequately

disclose direct and indirect owners per Section 1.2110 of the Commission's Rules, 47 C.F.R § 1.2110.

(2) Where the form asks for "Name," it is provided in this format: Last Name, Middle Initial, First Name. (only in cases where the applicant is a person)

(3) In applicant's TIN is provided

(4) In the list of related FCC regulated business applicants and licensees, the following information is included:

- (a) The name and address
- (b) The principal business
- (c) TIN
- (d) The percentage held

(5) In the list of each disclosable interest holder, the following information is included:

- (a) The name
- (b) TIN
- (c) Type of interest in application from the following list of codes:
 - D – Direct ownership interest in applicant
 - I – Indirect interest ownership in applicant
 - O – Officer
 - R – Director
 - K- Key management personnel
 - M – Management personnel
 - O – Other (with explanation)

(d) The type of entity from the following list of codes:

- I – Individual
- C – Corporation
- G – General partnership
- L – Limited partnership
- M – Limited liability corporation
- U – Unincorporated association
- O – Other (with explanation)

(e) A description of the relationship, including the path of ownership if it is from an indirect owner to the applicant

(f) For each regulated business of a disclosable interest holder, the following information must be included:

- (1) The name and address of all FCC regulated businesses owned by the disclosable interest holder
- (2) The principal business
- (3) TIN
- (4) Percent of interest held.

(g) Any supplemental information is provided on 8 ½ x 11" pieces of paper attached to the form(s) submitted.