



Appendix I

Information Collected from Form 301 for the Logit Models

General Hearing Information

1. Docket number
2. Number of Applications
3. Community
4. Channel
5. Frequency
6. Service (select one) : AM FM TV

APPLICATION (form 301) INFORMATION

For each Application:

1. Name of Applying Organization:
2. Number of Parties
3. Date Application Filed
4. Winner Yes No
5. Merger Yes No
6. Dismiss: Yes No
7. Appeal: Yes No

For Each Party to an Application:

1. Party Name
2. Party number
3. Position
4. Ownership (percentage of ownership)
5. Voting (percent of control)
6. Gender (pick one) Male Female
7. Minority status: Yes No
8. Race/Ethnicity: Black Hispanic Asian American Indian/Eskimo



Comparative Hearing Data Collection Form For Disparity Ratio, Utilization Ratio Calculations

**KPMG LLP: Economic Consulting Services:
2001 M St., NW
Washington, DC 20036-3389**

SECTION 1: APPLYING ORGANIZATION

General Information

1. Check all that apply:

- Winner Minority Female
 Application Found No Application found
 Financial Data No Financial Data

2. Docket number: _____

3. Location Number: _____

4. Application number: _____

5. Number of applicants in this hearing : _____

6. Service (select one) : AM FM TV (UHF) TV (VHF)

7. Community Served _____

8. Channel and Frequency _____

9. Is this application for a new construction permit? Yes No (specify)

10. Name of Applying Organization:

11. Number of parties to this application: _____

12. Date application filed: _____

13. FCC 301 Form date: _____



SECTION 2: PARTIES TO THE APPLICATION

(Use Separate Form for Each Party)

Contact Information

14. Party _____ of _____

15. Name of party: _____

16. Position Held: _____

17. Final Ownership Stock: _____ / _____ Percent Stock Held: _____

18. (held) (subsc.)

19. Voting Stock: _____ Percent Stock Held: _____

20. Gender : Male Female Claimed Female Status

21. Race: Minority Non-minority

Check one: Black Hispanic American Indian / Eskimo

Asian Caucasian Other (specify)

Claimed Minority

Notes:



Comparative Hearing Data Collection Form for Logit Model

This form is to be completed in connection with a data collection effort for a study of broadcast licensing. Data will be extracted from comparative hearing files. A participant in the comparative hearing must have filled out an Application for Construction Permit (Form 301) to initiate the process. This application is filled out by an organization or group, and for purposes of this form will be referred to here as the applying "group" or the "Applicant." Information that pertains to the applying organization will be entered in Section 1 of this form. The individuals or constituents who are collectively the applying group, are referred to here as "Parties" or Parties to the application." Information specific to each party should be entered in Section 2 of this form. Because there are generally multiple parties to an application and this number varies, multiple copies of Section 2 should be used (one for each party).

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2001 M St., NW
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SECTION 1: APPLYING ORGANIZATION

General Information

1. Docket number: _____
2. Application number: _____
3. Hearing number: _____
4. Service (select one): AM FM TV
5. Name of Applying Organization: _____

APPLICATION (form 301) INFORMATION

Application fee paid: \$ _____

Date application filed: ____/____/____



Legal Qualifications

1) Type of Organization: Individual General Partnership
 Corporation Limited Liability Partnership
 Not for Profit For Profit

2) Are all parties to this application citizens of the United States of America.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
a) Is any party to this application a representative of an alien or foreign government?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
b) Is more than 20% of the capital stock of this application owned by a foreign government?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
c) Is any controlling corporation more than 25% owned by a foreign entity?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3)		
a) Has applicant or any party to this application had a station license revoked by order or decree of any Federal Court?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
b) Has applicant or any party to this application been found guilty by a federal court of the violation of the laws of the United States relating to unlawful restraints and monopolies and to combinations, contracts, or agreements in restraint of trade?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
c) Has the applicant or any party to this application been finally adjudged guilty by a federal court of unlawfull monopolizing or attempting unlawfully to monopolize radio communications, directly or indirectly, through the control of the manufacture or sale of radio apparatus, though exclusive traffic arrangements, or by any other means, or to have been using unfair methods of competition?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
d) Has the applicant or any party to this application been found guilty by any court of (1) any felony or any other crime, (2) the violation of any state, territorial or local law relating to unlawful lotteries, restraints and monopolies and combinations, contracts or agreements in the restraint of trade, or (3) using unfair methods of competition?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
e) Is ther now pending in any court or administrative body against the applican or party to this application in any action involving any of the matters referred to in Paragraphs 8a, b, c, and d above?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
f) Have voluntary proceedings in bankruptcy been instituted by, or have involuntary proceedings in bankruptcy ever been brought against applicant or any party to this application?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
g) Are ther outstanding any unsatisfied judgements ofr decrees	<input type="checkbox"/> Yes	<input type="checkbox"/> No



against applicant or any party to this application?

4)

Stock of Corporation						
a) Class of stock (a)	b) Par value	c) Vote per share	d) Number of authorized shares	e) No of shares issued	f) No of shares subscribed	g) Total number of stockholders
5) At the last meeting, were any of the shares of stock voted by proxy?					<input type="checkbox"/> Yes	<input type="checkbox"/> No
If so, state						
6) a) Class of stock	b) Par value	c) Vote per share	d) Number of authorized shares	e) No of shares issued	f) No of shares subscribed	g) Total number of stockholders

Other Broadcast Interests	
17) Does applicant or any party to this application have now, or has applicant or any such party had, any interest in, connection with, the following:	
a) Any standard, FM, or Television broadcast stations?	<input type="checkbox"/> Yes <input type="checkbox"/> No
b) Any application pending before the Commission?	<input type="checkbox"/> Yes <input type="checkbox"/> No
c) Any application which was been denied by the FCC?	<input type="checkbox"/> Yes <input type="checkbox"/> No
d) Any broadcast station the license of which has been revoked?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes to any of the above , please describe below	
Name of Party having such interest	Nature of interest or connection
Call letters of station or file number of application	Location



19) Is the applicant or any party to this application controlled, directly or indirectly, by any person who has interest in or connection with any broadcast stations or applications of the type referred to in the above section.			<input type="checkbox"/> Yes <input type="checkbox"/> No
Are any of the parties to this application related to each other (as husband, wife, father, mother, brother, sister, son, daughter)?			<input type="checkbox"/> Yes <input type="checkbox"/> No
Does any member of the immediate family (i.e. husband, wife, father, mother, brother, sister, son, daughter) of any party to this application have any interest in or connection with any other broadcast station or pending application?			<input type="checkbox"/> Yes <input type="checkbox"/> No

For any Appendicies, List Other Broadcast / Media Interests

1. Number of pending applications:

Party	Call Sign or file number	Service	Ownership Share or nature of interest	Location	Will this party divest



Financial Information

USE TABLES Financial Information Early period I & II only for applications dated before 1982

Estimated Costs

Financial Information Early period I

<u>Antenna system (fq1)</u>		\$ _____
<u>RF Generating Equipment: (fq2)</u>		\$ _____
<u>Monitoring and Test Equipmentv (fq3)</u>		\$ _____
<u>Program Origination Equipment: (fq4)</u>		\$ _____
<u>Acquiring Land (fq5)</u>		\$ _____
<u>Acquiring, Remodeling or constructing buildings: (fq6)</u>		\$ _____
<u>Other Items:</u>		
Legal Costs(fq7a)	\$ _____	
Engineering Costs(fq7b):	\$ _____	
Installation Costs(fq7c):	\$ _____	
Other Misc(fq7d):	\$ _____	
<u>Total Other Items : (fq8)</u>		\$ _____
<u>Total Construction Costs: (fq9)</u>		\$ _____
<u>Add Estimated Cost of Operation for First Year(fq10)</u>		\$ _____
<u>Total First year Cost to be met by the Applicant (fq11)</u>		\$ _____
<u>Estimated revenues for the first year: (fq12)</u>		\$ _____



Financial Information Early period II

Existing Capital: (fq13)		\$ _____
New Capital (fq14)		\$ _____
Loans From Bank or Other: (fq15)	\$ _____	
(less repayments of principle and interest @ _____% due during first year) (fq16)	\$ _____	
Net Total Available from Loans(fq17)		\$ _____
Profits from Existing Operations: (fq18)		\$ _____
Donations: (fq19)		\$ _____
Other Sources: (fq20)		\$ _____
Deferred Credit from Equipment Supplier: (fq21)	\$ _____	
(a) Less: Down Payment _____% (fq22)	\$ _____	
(b) Less: 1st Year Payment to Principle(fq23)	\$ _____	
(c) Less: 1st year Interest @ _____%(fq24)	\$ _____	
Net Deferred Credit Available(fq25)	\$ _____	
Net Total Available(fq26)		\$ _____

Amount of fund on deposit in a bank or other depository: (fq27) \$ _____

For attached balance sheets, fill out for all included :

Party or Entity Name	Total Assets	Total Liabilities	Total Equity	Total Liabilities and Capital



Use the following two tables for application dated after 1982

Financial Information for Late Period I

The applicant certifies that sufficient net liquid assets are on hand or that sufficient funds are available from committed sources to construct and operate the requested facilities for three months without revenues. (fq1.1)	<input type="checkbox"/> Yes <input type="checkbox"/> No
State the total funds you estimate are necessary to construct and operate the requested facilities for three month without revenues.(fq1-2)	\$ _____
Identify each source or funds and the amount of funds from each source,	

Financial Information for Late Period II

1. Source of funds:	amount funded	Debt
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No

(If a source of funds is also a party to the application, include this information in section II also)

Integration Statement

Name of Party	Minority	Residency years	Female	Broadca st years	Dayti me	Full Time Part Time
	<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No			
	<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No			
	<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No			



	<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No			
	<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No			
	<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No			

Trial Information

- Hearing fee: amount owed \$ _____ amount paid \$ _____
- Was this organization eventually granted the construction permit? Yes No
- If no to question 2, what was the outcome of the application:
 Dismissed Dismissed with prejudice Denied Settled Withdrawal w/o settlement
- How many mutually exclusive applicants were assigned to this comparative hearing? - _____
- Who was the presiding judge in the trial? _____

6. Application Date _____

7. Designation Date _____

8. Termination Date _____

9. How long did the proceedings last from date assigned to date disposed of _____ months
 _____ years

ATTORNEY INFORMATION

- Did an attorney represent this organization in the proceedings? Yes No
- If yes, provide the following information about the attorney:
 Name of Attorney _____
 Name of Firm _____
- Total number of motions filed by the attorney on behalf of applicant: _____



Motion	Number	Granted	Granted in Part	Denied
Notice of Appearance				
Proof of Service				
Proof of Publication				
Continuance				
Motion in Opposition				
Petition for leave to Amend				
Motion for Summary Decision				
Comments in Support of Motion				
Request for Approval of Agreement				
Motion to Enlarge issues				
Request for removal of conflict				
Motion for leave to file a reply				
Finding of Fact and Conclusion of Law				
Other (Specify)				
Interrogatories				
Amendment				
Dismissal of Application				
Motion for Production of Documents				
Motion for Suspension of Hearing				
Reply				
Motion for Protective Order				
Other				

SETTLEMENT INFORMATION

This information will not be found in the application. Places to look.

- History cards will contain information on when a settlement happened. Look for documents entitled "(joint) request for approval of settlement agreement" or "(joint) petition for settlement agreement" or simply settlement agreement. Find the associated date and look in the docket for that date.
- If no history card is available, look for motions that include less than the initial number of applicants in the heading. If you find an applicant missing, you know that someone has dropped out.

If this applicant excluded itself from the hearing as part of a settlement,

1. Which party paid the settlement? _____

2. How much was paid? _____



3. How much of this settlement was Lawyers Fees? _____

4. List all of the parties that this applicant paid to withdraw.

Applicant that settled	How much received	Lawyers fees	Date settled

If settlement included other considerations describe the agreement below

Technical Information

Information on technical information is usually located in the Engineering Data (section V b) of the application form 301. The questions below will, in most cases, follow the order of the information on the application.

1. Principle community to be served: _____

2. Class of license: _____

3. Elevation of the antenna above average terrain: _____ meters / feet (FM, T.V.)

4. Power of signal: _____ Kw

5. Geographical size of proposed area: _____ sq./mi.

6. Population coverage: _____

7. Number of other stations that serve the proposed area:

Radio: AM: _____ FM: _____

TV: Total: _____



SECTION 2: PARTIES TO THE APPLICATION

(Use Separate Form for Each Party)

Interest in Application

1. Number of ownership shares: _____

2. Percent of total ownership shares owned: _____

3. Number of voting shares owned: _____

4. Percent of voting shares owned: _____ %

5. Position: _____

Management Integration and Public Service Information (Integration Statement)

1. Personal participation: Yes No
2. If yes, will this party work Full Time Part Time ?
3. Proposed position: _____
4. Years of previous broadcast experience: _____ years
5. Years of local residency: _____ years
6. Unresolved negative character issues: Yes No

Race and Gender Information

1. Did this person claim minority credit? Yes No

2. Race: Black Hispanic American Indian/Alaska Native

Asian Caucasian Other

3. Did this person claim female credit? Yes No



Financial Information

1. Amount contributed to the construction cost of the station: \$ _____
2. Value of the total assets of this party: \$ _____
3. Value of liabilities: \$ _____
4. Value of equity: \$ _____
5. Value of Assets and liabilities: \$ _____

Appendix II

Data Definitions and Summary Statistics for Comparative Hearings and Singletons

Variable	Description	Data Collection Form Location
aimb	Interaction term for assets and minority count greater than one.	
aimpctb	Interaction term for assets and minority percentage	
apassets	Sum of all assets reported by an applicant (available only in the 1978-1981 period) Deflated by CPI in regressions	Financial Information
apeqcap	Sum of all equity plus capital reported by an applicant (available only in the 1978-1981 period)	Financial Information
apequty	Sum of all equity reported by an applicant (available only in the 1978-1981 period) Deflated by CPI	Financial Information
apliabil	Sum of all liabilities reported by an applicant (available only in the 1978-1981 period) Deflated by CPI in regressions	Financial Information
attnyexp	Sum of the instances that a particular applicant's attorney appears in the sample.	
cntpty	Number of persons who are party to an application	Section II
Corp (Dummy)	Indicates incorporated applications.	
ExperM	Measure of Experience: (Years of broadcast experience)x(10 if full time or 5 if part time) (summed across all parties to application)	Section II
Femb (Dummy)	Indicates applications with one or more female participants.	
Fempctb	Percentage female parties in application	
Femcnt	Number of female parties to an application	Section II
Fempcto	Percent of applying organization owned by females.	Section II
Femmajo	Application more than 50% female owned	Calculated
fq12	Estimated first year revenues	Financial Information
height	Average height of antenna above average terrain.	Technical information

houseinc	<p>Median household income for the principle community served.</p> <p>Income and population figures used in connection with the logistic regressions were taken from the US Census Bureau products CPH-L-125, CPH-L-126, and CPH-L-127, CPH-L-128, CPH-L-129 which are "Income Summary Measures" for places in the United States (1989). These data were merged with the data collected by KPMG using the "Primary Community Served" field in the KPMG data and the "Place Name" field in the Census data.</p> <p>Deflated by CPI in regressions</p>	1989 census tables
integM	Measure of Management / Station Integration: equals 10 if full time or 5 if part time (summed across all parties who will work at station)	Section II
Limb	Interaction variable for liabilities and applications with at least one minority party.	
Limpctb	Interaction variable for liabilities and applications with minority percentage.	
Minb (Dummy)	Indicates application with at least one minority party.	
Mincnt*	Number of minority parties within an application.	Section II
Minpcto*	Percent of applying organization owned by minorities.	Section II
Minpctb*	Percent of minority parties in an application.	Race and Gender
Minmajo (Dummy)	Application more than 50% minority owned	Calculated
Motions	Number of motions filed.	Attorney Information
Netimb	Interaction term for net worth and applications with at least one minority party.	
Otherown	Count of number of stations in which any party has an ownership interest.	Legal Information
pop2	Reported population served by a specified signal strength.	Technical Information (page 11)
Populati	<p>1989 census population of community served.</p> <p>The populations figures KPMG used in connection with the data for utilization rates were taken from the Census product SU-98-3 "Population Estimates for Cities with Populations of 10,000 and Greater (Sorted Within State by 1998 Population Size): July 1, 1998 (includes revised April 1, 1990 census population counts)." These data were merged with the data collected by KPMG using the "Primary Community Served"</p>	1989 census tables

	field in the KPMG data and the "Place Name" field in the Census data. Applications proposing service to a "Principle Community" not included in the above Census file above was given the population value of 10,000.	
ResidM	Measure of Local Residency: (Years of local residency) x (10 if full time or 5 if part time) (summed across all parties to application)	Section II
Settlpay	Total amount paid in settlement agreements to other applicants in comparative hearing.	Settlement Information (page 10)
Settlrec	Total amount received in settlement agreements by other applicants in comparative hearing.	Settlement Information (page 10)
Squaremi	Geographic area covered by specified signal strength.	Technical Information (page 11)
Totcons	Measure of total construction costs. Generally reported in variable fq11. When not available, this number is calculated as a combination of itemized costs listed on application (for constituent variables, see next cell to right). Deflated by CPI in regressions.	fq9, fq1, fq2, fq3, fq4, fq5, fq6, fq8, timefram, fq7a, fq7b, fq7c, fq7d, fq10, year
Totdebt	Measure of total debt of applicant. This variable factors in all reported debt necessary to fund the projected construction cost. Deflated by CPI in regressions.	fq17, fq25, year, and debt89
Totfunds	Measure of total funds available. This variable is generally reported as "net total available" on the application. When not available, this number is calculated as a combination of the itemized list of fund sources on the application (for a list of constituent variables, see next cell to right). Deflated by CPI in regressions.	timefram, fq10, fq11, fq14, fq15, fq16, fq17, fq18, fq19, fq20, fq21, fq22, fq23, fq24, fq25, fq26, apassets, apliabil, fq13

*Note that minorities were oversampled for comparative hearings

Summary statistics describing applicants involved in comparative hearings.

Variable	Observations	Mean	St. Deviation
Apassets	92	1,144,388	3,249,754
Apeqcap	79	1,078,993	2,162,031
Apequity	52	503,484	1,088,195
Apliabil	63	312,902	550,587
Attnyexp	203	3.5	3.2
Corp	203	.58	.49
Cntpty	203	4.2	4.4
ExperM	203	76	130
Femcnt	203	1.2	1.5
Fempctb	203	0.31	0.31
Fempcto	203	0.29	0.36
Femown	203	29.0	35.8
Fq12	203	162,334	407,885
Height	202	1,034	1,480
Houseinc	196	25,633	7,650
IntegM	203	12.7	17.6
Mincnt	203	0.81	1.78
Minown	203	18.4	34.1
Minpctb	203	0.17	0.32
Minpcto	203	0.18	0.34
Motions	200	13.4	18.2
Otherown	203	1.8	2.9
Owner	203	100	0
Pop2	172	203,571	357,226
Populati	203	54,850	88,130
ResidM	203	63.04	150.07
Settlpay	118	20,320	50,528
Settlrec	105	28,912	51,630
Squaremi	143	1,608	2,266
Totcons	194	599,449	950,586
Totdebt	158	704,266	1,104,457
Totfunds	191	705,234	1,163,197

Summary statistics describing singleton applications

Variable	Observations	Mean	St. Deviation
corp	66	.42	.49
cntpty	66	2.4	1.7
experM	66	69	111
femcnt	66	0.7	0.8
fempctb	66	0.30	0.37
fempcto	66	0.25	0.37
femown	66	25.2	37.2
fq12	66	3,256	18,504
height	66	348	373
houseinc	59	25,474	11,040
integM	66	5.6	7.0
mincnt	66	0.09	0.28
minown	66	4.7	16.5
minpctb	66	0.046	0.16
minpcto	66	0.047	0.17
motions	65	0.58	3.32
otherown	66	1.2	1.7
owner	66	100	0
pop2	60	75,594	116,264
populati	66	17,328	40,199
residM	66	65.36	134.19
squaremi	60	1,816	1,820
totcons	59	127,571	92,339
totdebt	29	153,177	105,633
totfunds	60	162,925	106,328

**Annual CPI Used to Deflate Various Dollar
Denominated Variables for Regression Analyses**

Year	CPI
1975	.55
1976	.582
1977	.621
1978	.677
1979	.767
1980	.863
1981	.94
1982	.976
1983	1.013
1984	1.053
1985	1.093
1986	1.105
1987	1.154
1988	1.205
1989	1.261
1990	1.338
1991	1.379
1992	1.419

Source: BEA NIPA data

APPENDIX III

Description of Weighting Method for Unconditional Logit and Singleton Models

This is a description of the design and the implementation of the weighting scheme applied in the unconditional logit and singleton versus comparative hearing regression models.

Since the minority participation in comparative hearings is generally low, stratification sampling by singleton status and race ensures a minimum number of minority applications in each singleton status category in the sample. Depending on the context of the analysis, the stratification sampling scheme could have an influence on the regression estimates. To account for this influence, a weight equal to the sample-population ratio is assigned to each observation prior to the analyses.

Since we sampled all the singleton applications, no distortion was introduced by stratification sampling. Therefore, the assigned weights are equal across minority and non-minority applications.

However, not all of the 230 comparative hearing applications were included in the sample. Stratification sampling by singleton category and minority status introduces a bias to the regression estimates. We drew the sample by oversampling hearings where we knew that a minority was present within at least 1 application. In the comparative hearing sub-population, the ratio of non-minority to minority applications is about 14 to 1. However, given the distribution of the comparative hearing sample, the same ratio is about 8 to 1, i.e., the sample minority application ratio is 1.75 times larger than the true population ratio. To account for this distortion due to stratification sampling, we down weighted the influence of minority applications by a discount factor of $1/1.75$, or by 56%. The weights assigned achieve the desired ratio.

The following tables summarize the computation of the weight.

Table III.1. Minority Application if at least one minority applicant

Singleton Status	Minority Status (3)	No. of Applications in Population	No. of Applications in Sample	Assigned Weights
Singleton =1	Minority Applications	6	6	1
	Non-Minority Applications	58	58	1
Comparative Hearing =0	Minority Applications	122	60	122/60
	Non-Minority Applications	618	141	618/141