

Instructions for Preparing and Filing the Application for Broker of Persons.

You must be at least 18 years of age to file an application.

GENERAL INFORMATION

1. This application is required to request a license to operate as a broker who will arrange the transportation of persons between points in Pennsylvania.
2. The application consists of: General Information on pages 1; Detailed Instructions on pages 2 – 4; Application on pages 5 – 8; Verified Statement of Applicant on pages 9 – 13.
NOTE: IT IS NOT NECESSARY TO FILE THE VERIFIED STATEMENT WITH THE APPLICATION. IT WILL BE REQUESTED FOLLOWING ADVERTISEMENT OF THE APPLICATION IN THE PENNSYLVANIA BULLETIN.
3. The signed original application must be filed with the Secretary, Pennsylvania Public Utility Commission, P.O. Box 3265, Harrisburg, PA 17105-3265.
4. A non-refundable filing fee of **\$350.00** is required at the time of filing. Applications without the required fee will be returned. The filing fee must be paid **by certified check, money order made payable to the Commonwealth of Pennsylvania, or check drawn from your attorney's account.** Please attach the filing fee to the application.
5. It is not required that an applicant be represented by an attorney to file an application. However, an attorney must represent corporate entities at hearings.
6. Corporate entities (i.e., Corporations, LLCs, and LLPs) and fictitious trade names must be registered with the Pennsylvania Department of State. Companies incorporated in other states must register with Pennsylvania as a foreign business corporation. Call the Pennsylvania Department of State at 717-787-1057 for the necessary forms and additional information or go to the website at www.dos.state.pa.us/corps
7. Prior to providing service as a Pennsylvania licensed passenger broker, you must submit evidence of financial responsibility to the Public Utility Commission. **Your evidence of financial responsibility will be in the form of a SURETY BOND IN THE AMOUNT OF TEN THOUSAND (\$10,000.00) DOLLARS.**
8. It is the responsibility of the applicant or certificate holder to keep the Commission notified of changes to current address. Change of address forms can be obtained from the Commission's website at www.puc.state.pa.us under Online Forms.

NOTE: Incomplete Applications are NOT acceptable for filing and will be delayed for processing until the required information is sent to the Secretary of the Commission. If you require assistance or have questions, call 717-772-7777.

WARNING – APPLICATIONS ARE PUBLIC RECORDS AND CAN BE ACCESSED ON THE INTERNET. DO NOT PLACE SOCIAL SECURITY NUMBER, CREDIT CARD NUMBERS, BANK ACCOUNT NUMBERS, OR OTHER CONFIDENTIAL INFORMATION ON THE APPLICATIONS OR VERIFIED STATEMENT FORMS.

DETAILED INSTRUCTIONS FOR THE APPLICATION

1. LEGAL NAME OF APPLICANT –

- A. If you are an individual who has not formed any type of corporate entity, you should enter your name **as it will appear on your insurance documents.**
- B. If you are filing for a partnership, but **not a limited liability partnership**, the names of all partners must be entered on this line. Those names should be entered **as they will appear on your insurance documents.** This includes husbands and wives filing jointly.
- C. If you are filing for a corporate entity (corporation, limited liability company, or limited liability partnership), **even if you are the sole shareholder member**, you must enter the name **exactly as it appears on the registration papers from the Corporation Bureau of the Pennsylvania Department of State.**

2. TRADE NAME – This is any name which you will be operating under which differs from the **LEGAL NAME OF APPLICANT.** A **TRADE NAME** is considered fictitious if the identity of the applicant cannot be readily determined. **Your insurance filing will have to include your Trade Name.**

EXAMPLE: John Doe is the applicant and wants to use the name “Johnboy Trucking” as his trade name. People cannot readily determine that John Doe is the actual operator; therefore, the name is fictitious and must be registered as such. Trade names such as “John Doe Trucking” or “J. Doe Trucking” are not considered fictitious and would not have to be registered.

3. PHYSICAL ADDRESS – The address which should be entered here is that of the actual location of the business. This is the address the Commission needs in order to dispatch Enforcement Officers to inspect equipment. **Post office box numbers may not be used here.**

4. MAILING ADDRESS – This is the address to which the Commission will send all correspondence. If these lines are left blank, it will be assumed that the **MAILING ADDRESS** is the same as the **PHYSICAL ADDRESS.**

5. ATTORNEY – Complete only if an attorney is filing on your behalf.

6. DOES APPLICANT CURRENTLY HOLD OR HAS EVER HELD PUC AUTHORITY? – If the answer is yes, please enter the PUC A No.

7. DOES APPLICANT CURRENTLY HOLD INTERSTATE OPERATING AUTHORITY? – If the answer is yes, please enter your federal authority number at which you currently hold authority.

8. CHECK ONE THAT APPLIES TO THIS APPLICATION – It is important to remember the following:

- A. **INDIVIDUAL** should only be checked if you are filing and **have not** formed a corporate entity.
- B. If you are an individual who is the sole shareholder of a corporation or the sole member of a limited liability company, you should check the proper box – **do not check INDIVIDUAL**.
- C. Two or more individuals (i.e. husband and wife) filing jointly should check **PARTNERSHIP**.

9. IF APPLICANT IS A CORPORATION (PROFIT OR NONPROFIT), LIMITED PARTNERSHIP, LIMITED LIABILITY PARTNERSHIP, OR LIMITED LIABILITY COMPANY THE ENTITY IDENTIFICATION NUMBER ISSUED BY THE CORPORATION BUREAU OF THE PENNSYLVANIA DEPARTMENT OF STATE MUST BE ENTERED ON THE LINE NEXT TO THE ENTITY TYPE.

10. ATTACHMENT CHECKLIST – Please review carefully to ensure that all necessary documents are included with the application.

- | | |
|--------------------------------|--|
| Individual: | <input type="checkbox"/> Certified Check, money order, or check from attorney |
| Partnership: | <input type="checkbox"/> Certified Check, money order, or check from attorney
<input type="checkbox"/> List of names and addresses of ALL Partners |
| Limited Partnership: | <input type="checkbox"/> Corporation Bureau Entity Number as entered above in #9
<input type="checkbox"/> Certified Check, money order, or check from attorney
<input type="checkbox"/> List of names and addresses of ALL Partners |
| Limited Liability Partnership: | <input type="checkbox"/> Corporation Bureau Entity Number as entered above in #9
<input type="checkbox"/> Certified Check, money order, or check from attorney
<input type="checkbox"/> List of names and addresses of ALL Partners |
| Limited Liability Company: | <input type="checkbox"/> Corporation Bureau Entity Number as entered above in #9
<input type="checkbox"/> Certified Check, money order, or check from attorney
<input type="checkbox"/> List of names and addresses of ALL Members and Title of each Member (even if only one member) |
| Corporation – For Profit: | <input type="checkbox"/> Corporation Bureau Entity Number as entered above in #9
<input type="checkbox"/> Certified Check, money order, or check from attorney
<input type="checkbox"/> List of ALL Corporate Officers and Titles, name of each Shareholder and distribution of shares |
| Corporation – Non-Profit: | <input type="checkbox"/> Corporation Bureau Entity Number as entered above in #9
<input type="checkbox"/> Certified Check, money order, or check from attorney
<input type="checkbox"/> List of ALL Corporate Officers and Titles and those serving on Board of Directors |

11. DESCRIBE THE SERVICE PROPOSED FOR THIS APPLICATION – Please give the name of the entity proposing to contract your services and enter a detailed description of the area in which service will be provided using county and municipal information. Examples are as follows:

- *To arrange for the transportation of household goods in use between points in Pennsylvania*
- *To arrange for the transportation of household goods in use between points in Clarion County.*

12. Certification and Verification - The verification of the application must be completed by the applicant appearing on Line 1 of the application by the named individual, all partners if a partnership, a member (if a limited liability company), or by any officer (if a corporation).

**Please complete all pertinent parts of the application.
If you need help, you may call 717-787-1227.**

Application for Broker of Persons

THIS APPLICATION IS TO BE USED FOR LICENSE TO OPERATE AS A BROKER WHO WILL ARRANGE THE TRANSPORTATION OF PERSONS BETWEEN POINTS IN PENNSYLVANIA.

1. **Legal Name of Applicant** (Individual, Partnership or Corporation)

2. **Trade Name** (if using a fictitious trade name, it must be registered with the Dept. of State)

Fictitious name and Registration number (if applicable)

3. **Physical Address** (do not use PO Box)

Street Address

City, State and Zip Code

Telephone Number

County

4. **Mailing Address** (if different from Physical Address)

Street Address

City, State and Zip Code

5. **Attorney** (if applicable)

Attorney's Name & Telephone Number for this Filing

Attorney's Address

Limited Liability Companies

Fictitious Name Registration - File **only if** Trade Name will be different than the business name you register with the Department of State

10. Attachment Checklist

Individual: Certified Check, money order, or check from attorney

Partnership: Certified Check, money order, or check from attorney
 List of names and addresses of ALL Partners

Limited Partnership: Corporation Bureau Entity Number as entered above in #9
 Certified Check, money order, or check from attorney
 List of names and addresses of ALL Partners

Limited Liability Partnership: Corporation Bureau Entity Number as entered above in #9
 Certified Check, money order, or check from attorney
 List of names and addresses of ALL Partners

Limited Liability Company: Corporation Bureau Entity Number as entered above in #9
 Certified Check, money order, or check from attorney
 List of names and addresses of ALL Members and Title of each Member (even if only one member)

Corporation – For Profit: Corporation Bureau Entity Number as entered above in #9
 Certified Check, money order, or check from attorney
 List of ALL Corporate Officers and Titles, name of each Shareholder and distribution of shares

Corporation – Non-Profit: Corporation Bureau Entity Number as entered above in #9
 Certified Check, money order, or check from attorney
 List of ALL Corporate Officers and Titles and those serving on Board of Directors

11. Describe the service proposed by this application.

(Use the space below or attach additional sheet if space provided is not sufficient).

12. Certification:

Applicant certifies that it is not now engaged in unauthorized arrangement of intrastate transportation between points in Pennsylvania and will not engage in said arrangement of transportation unless and until authorization is received from the Pennsylvania Public Utility Commission.

Applicant further certifies that it understands the requirements of the Pennsylvania Public Utility Commission, especially as they relate to safety and insurance and that it may be subject to civil penalties, suspension or cancellation of the Certificate for failure to comply with Commission requirements.

Verification of Application

I/We hereby state that the statements made in this application are true and correct to the best of my/our knowledge and belief.

The undersigned understands that false statements herein are made subject to the penalties of 18 Pa. C.S. Section 4904 relating to unsworn falsification to authorities.

(Print Name)

(Signature)

(Date)

The verification of the application must be completed by the applicant appearing on Line 1 of the application by the named individual, all partners if a partnership, a member (if a limited liability company), or by any officer (if a corporation).

VERIFIED STATEMENT OF APPLICANT

THE FOLLOWING INFORMATION IS REQUIRED BY THE COMMISSION TO DETERMINE THE APPLICANT'S FITNESS TO OPERATE. STATEMENTS SHOULD BE TYPED OR PRINTED. ILLEGIBLE STATEMENTS WILL DELAY YOUR APPLICATION.

PUC Application Docket No.

Legal Name of Applicant

Trade Name, if any

Street Address (principal place of business)

City or Municipality

State

Zip Code

The Verified Statement of the Applicant is more or less a business plan, or your proposal for providing the transportation service for which you are making application. Prior to deciding to make application for operating authority from the Public Utility Commission, you likely gave much consideration to the manner in which you would operate the business in order that you could provide satisfactory service to your customers and so that you could make a reasonable profit. As part of the application process, you must provide the Commission with your proposal to provide the transportation service.

At minimum, the Verified Statement of the Applicant should include a discussion of the numbered items listed below and on the following pages. You are encouraged to provide as much information as possible about the particular subject as is necessary to fully explain your plan. If you fail to provide sufficient information about the subjects listed below, it may cause the review of your application to be delayed until you provide the necessary information. If you need more space to provide your explanation, please attach additional pages that list the appropriate item by number.

1. Identify the person making the Verified Statement on behalf of the applicant. If the applicant is a sole proprietor making the statement, this will be the same information as provided above. If an employee/officer of applicant is making the statement, give name, title, business address and telephone number, and indicate that the applicant's directors/owners/partners/etc. have authorized the witness to speak for the business.

2. List the applicant's affiliation (owner, manager, controls) with any motor carrier, with the description of affiliation.

3. Describe your business experience, particularly any experience relating to the operation of a transportation service. You may also include an explanation of education or training that you believe may be relevant.

4. Describe your facilities, record maintenance plan and your communication network. Please include a description of your physical location, to include the office area, office machines that will be utilized. Please include an explanation of your plan to maintain records required by the PUC, as well as normal business records. In regard to your communication network, please explain how you will receive customer requests for transportation. Finally, please state your intended business hours.

5. Please state the number of employees you intend to use, along with a description of their duties.

6. Please explain what steps you have taken to determine if you can obtain and pay the premiums to maintain the required surety bond.

7. Please describe your customer service standards. Within your description, please explain:
 - a. Your plan to inform customers of the procedures for filing complaints with the PUC;
 - b. Your intended customer complaint resolution procedure.

8. Criminal Record. Have you, any members (if LLC, LP, or LLP), shareholders, or officers (corporations) been convicted of a misdemeanor or felony for which you remain subject to supervision by a court or correctional institution?

_____ YES _____ NO

9. **Financial Data.** In addition to demonstrating your technical fitness, you must also demonstrate that you possess the financial fitness to provide the proposed transportation service. Therefore you must complete both parts of the “Statement of Financial Position”, which follows this page. The first part is the Balance Sheet. You need only provide the applicable information. The second part of the Statement of Financial Position is the Projected Income Statement. The projection is your estimation of expected revenues and specific expenses for one year. You should use the projected information, along with the financial data reported on your balance sheet to help you determine if the proposed business can be feasible. Please feel free to also provide clarification information with your “Statement of Financial Position”, which explains why you believe you have sufficient funds to ensure your transportation business can provide reliable service to the public in a safe manner.

Verification of Statement

The undersigned deposes and says that he/she is authorized to and does make this verification and that the facts set forth therein are true and correct to the best of his/her knowledge, information, and belief. The undersigned understands that false statements herein are made subject to penalties of 18 Pa. C. S. Section 4904 relating to unsworn falsification to authorities.

(Signature)

(Date)

(Name and Title, printed or typed)

Statement of Financial Position (Balance Sheet)
As of (date) _____

ASSETS

Current Assets			
Cash		_____	
Accounts Receivable		_____	
Notes Receivable		_____	
Other Current Assets (specify)		_____	
Total Current Assets			=====
Tangible Assets			
Motor Vehicle Equipment		_____	
Less: Accumulated Depreciation		_____	= _____
-			
Building and Structures		_____	
Less: Accumulated Depreciation	-	_____	= _____
Office Equipment		_____	
Less: Accumulated Depreciation	-	_____	= _____
Land		_____	
Investments and Funds (specify)		_____	
Intangible Assets		_____	
Other Assets (advances and idle equipment – specify)		_____	
			=====
	TOTAL ASSETS		=====

LIABILITIES

Current Liabilities (Due within one year of date)			
Accounts Payable		_____	
Notes Payable		_____	
Equipment Obligations		_____	
Other Liabilities (Attach schedule)		_____	
Total Current Liabilities			=====
Long Term Liabilities (Due after one year of date)			
Accounts Payable		_____	
Notes Payable		_____	
Equipment Obligations		_____	
Other Liabilities (Attach Schedule)		_____	
Total Long Term Liabilities			=====
	TOTAL LIABILITIES		=====

NET WORTH (Partnerships and individuals, only) _____

<u>OWNER'S EQUITY</u> (Corporations only)			
Capital Stock		_____	
Additional Paid-in Capital		_____	
Retained Earnings		_____	
Less: Treasury Stock	-	_____	= _____
Total Owner's Equity			=====

TOTAL LIABILITIES & OWNER'S EQUITY _____

STATEMENT OF FINANCIAL POSITION
One Year Projected Income Statement

REVENUE and GAINS

Operating Revenue	_____
Net Revenue from non-carrier operations	_____
Dividend and interest revenues	_____
Other non-operating revenue	_____
Gains	_____
Total Revenue and Gains	_____

EXPENSES

Equipment Maintenance and Garage Expense	_____
Insurance Expense	_____
Employee Salaries	_____
Supervisory Salaries	_____
Officer Salaries	_____
Fuel Expense	_____
Purchased Transportation (Lease Expense)	_____
Materials and Supplies Expense	_____
General Office Expense	_____
Advertising Expense	_____
Telephone Expense	_____
Accounting Expense	_____
Legal Expense	_____
Uncollectible Revenue	_____
Depreciation Expense	_____
Amortization	_____
Operating Taxes and Licenses	_____
Rent Expense	_____
Loss	_____
Total Operating Expenses and Losses	_____

Net Income Before Taxes

Provision for Income Taxes	_____
<u>Net Income (Loss)</u>	_____