

## APPLICATION FOR BROKER'S LICENSE

Docket No. \_\_\_\_\_

Filing Fee Received \$ \_\_\_\_\_

TO: NORTH CAROLINA UTILITIES COMMISSION  
4325 MAIL SERVICE CENTER, RALEIGH, NORTH CAROLINA 27699-4325

\_\_\_\_\_  
Corporate or Individual/Trade Name of Applicant Telephone

\_\_\_\_\_  
Address City State Zip

Email Address \_\_\_\_\_

Hereby makes application pursuant to Section 62-263 of the Public Utilities Act, for a license to engage in the business of a broker as defined in Section 62-3 of said Act ("Broker" with regard to motor carriers of passengers, means any person not included in the term "motor carrier" and not a bona fide employee or agent of any such carrier, who or which as principal or agent engages in the business of selling or offering for sale any transportation of passengers by motor carrier, or negotiates for or holds himself, or itself, out by solicitation, advertisements or otherwise, as one who sells, provides, furnishes, contracts, or arranges for such transportation for compensation, either directly or indirectly), subject to such rules and regulations as the Commission may prescribe under the provisions of Section 62-261 of said Act, and to that end shows to the Commission:

1. That Applicant is not a motor carrier and is not the agent or employee of any motor carrier, as the term "motor carrier" is defined in Section 62-3 of the Public Utilities Act.
2. That the territory within which the Applicant proposes to engage in intrastate business in North Carolina is as follows:
  
3. That the Applicant's principal place of business in North Carolina will be at \_\_\_\_\_ in the City of \_\_\_\_\_.
4. That said business will be conducted under the name of \_\_\_\_\_, and the name and address of each person or corporation owning any interest in said business is as follows:
  
5. That the assets and liabilities of the applicant are:

| <u>ASSETS</u> |                 | <u>LIABILITIES</u>   |                 |
|---------------|-----------------|----------------------|-----------------|
| Real Estate   | \$ _____        | Liens on Real Estate | \$ _____        |
| Cash in Bank  | _____           | Judgements           | _____           |
| Other Assets  | _____           | Other Liabilities    | _____           |
| <b>Total</b>  | <b>\$ _____</b> | <b>Total</b>         | <b>\$ _____</b> |

## VERIFICATION

\_\_\_\_\_  
Name of Applicant

By \_\_\_\_\_  
Signature

STATE OF \_\_\_\_\_ COUNTY OF \_\_\_\_\_

The above-named Applicant, \_\_\_\_\_, personally appeared before me this day and, being duly sworn, says that the facts stated in the foregoing application and all exhibits, documents, and statements attached hereto or completed herein are true as he/she verily believes.

WITNESS my hand and notarial seal, this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

\_\_\_\_\_  
Notary Public

My Commission expires \_\_\_\_\_

**(Applications filed on behalf of a corporation or LLC must be signed and filed by an attorney licensed to practice in the State of North Carolina)**

Attorney for Applicant

Name \_\_\_\_\_ Address \_\_\_\_\_

## INSTRUCTIONS

The original and 5 copies of the completed application must be filed with the Commission along with a filing fee of \$25.00 by check or money order payable to the N. C. Dept. of Commerce/Utilities Commission. Applications may be mailed to the North Carolina Utilities Commission, 4325 Mail Service Center, Raleigh, North Carolina 27699-4325 or filed in person at the Chief Clerk's Office, Room 5063, Dobbs Building, 430 N. Salisbury Street, Raleigh, North Carolina.

Upon receipt of the completed application and required filing fee, the application will be scheduled for public hearing. Notice of the application and hearing date will be mailed to all licensed brokers. Any protests to the application must be filed with the Commission at least ten (10) days prior to the hearing date. If no protests are filed, the hearing will be cancelled. The Applicant must then submit affidavits or notarized letters of support from groups or individuals who desire the services of the Applicant as a broker. The Applicant must also submit an affidavit or notarized letter attesting to his/her fitness and ability to provide the proposed service and that the Applicant will only engage those motor carriers authorized by the Commission to transport passengers by motor vehicle within North Carolina. If protests are filed, the hearing will be held as scheduled, and the Applicant must present witnesses to testify in support of the application.

Upon approval of an application for broker's license and prior to providing service, a bond in the amount of not less than \$5,000 must be filed with the Utilities Commission to insure the financial responsibility of the broker and the supplying of authorized transportation in accordance with agreements, contracts, and arrangements therefore.

Any questions concerning this application should be directed to the Operations Division, North Carolina Utilities Commission at 919/733-4036.