

Application for Motor Common Carrier of Persons Group and Party Service in Vehicles Seating 11 to 15, Including the Driver

THIS APPLICATION IS TO BE USED FOR CHARTER SERVICE FOR GROUPS, OR ON A NONEXCLUSIVE BASIS FOR TOUR, SIGHTSEEING, OR EXCURSION SERVICE LIMITED TO VEHICLES SEATING 11 TO 15 PEOPLE, INCLUDING THE DRIVER.

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

Happy Valley Hops & Vines Tours, LLC

- 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**.
- 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.
- 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** (Attach a copy of fictitious name registration if applicable)

None

This is any name which you will be operating under which differs from the **LEGAL NAME OF APPLICANT**. A **TRADE NAME** is considered a **FICTITIOUS NAME** if the identity of the applicant cannot be readily determined. *EXAMPLE: John Doe is the applicant and wants to use the name "Johnboy Transport" 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 Transport" or "J. Doe Transport" are not considered fictitious and would not have to be registered.*

3. **Do you currently hold PUC Authority?** No **Previous Authority?** No

If YES, at PUC No. A- _____

4. **Are you a business entity registered with the PA Dept. of State?** Yes

If NO, you must register (see checklist on how to register).

If YES, provide your PA Corporation Bureau Entity ID Number 0015024872

(See checklist and indicate type of business entity registered)

10. **Describe the service area proposed by this application.**
(Use the space below or attach additional sheet if space provided is not sufficient).
-

Service will be provided within Centre County, Pennsylvania, consisting of group and party transportation to wineries, breweries, distilleries, and similar destinations.

Examples:

- *To transport people from points in Lancaster County to points in PA, and return.*
- *To transport people between points in Allegheny, Washington, and Beaver Counties.*

11. **Certification:**

Applicant certifies that it is not now engaged in unauthorized intrastate transportation for compensation between points in Pennsylvania and will not engage in said 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.

Applicant further certifies that it understands that it is subject to an annual assessment based upon its reported gross Pennsylvania intrastate revenues; said assessment to help defray expenses incurred in regulating Motor Common Carriers of Persons in Group and Party Service in Vehicles Seating 11 to 15, Including the Driver; and acknowledges that failure to report revenue and pay its annual assessment may result in civil penalties, suspension or cancellation of the certificate.

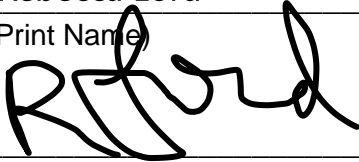
Verification of Application

I/We hereby state that the statement(s) made in this application is/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. § 4904 relating to unsworn falsification to authorities.

Rebecca Lord

(Print Name)



(Signature)

May 1, 2026

(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 the President or Secretary (if a corporation).

BUSINESS PLAN/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.

Happy Valley Hops & Vines Tours, LLC

Legal Name of Applicant

Trade Name, if any

128 E. Church St.	Centre Hall	PA	16828
Street Address (principal place of business)	City or Municipality	State	Zip Code

The Verified Statement of the Applicant factual details about your proposed transportation service. Your Verified Statement must answer all of the items listed below and on the following pages. Provide as much information as possible to prevent delay in processing your application. If you need more space to provide your answer, please attach additional pages identifying the appropriate item number.

1. Identify the person making the Verified Statement on behalf of the applicant. If an employee/officer of applicant is making the statement, give name, title, business address and telephone number.

Rebecca Lord
Managing Member
128 E. Church St., Centre Hall, PA 16828
(301) 792-2946

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

None. The applicant has no affiliation (ownership, management, or control) with any other motor carrier.

3. Describe the applicant's business experience, particularly any experience relating to the operation of a transportation service. If practical experience is lacking, please provide an explanation and description of any education or training that you believe may be relevant.

See Attachment A

4. Describe your facilities, record maintenance plan and your communication network. Please include a description of your physical location, to including office machines that will be utilized, and the facility to house vehicles. As a carrier of household goods in use, applicant should include a description of storage facilities, if applicable. 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, how you will dispatch the vehicles to fulfill the request, and how you will maintain continuous communication with your drivers.

See Attachment A

5. Please state the number of drivers you intend to use or hire in your business and explain why that number of drivers is appropriate for the size of the territory you will be serving. In addition, please explain:
 - a. Your hiring standards for drivers.
 - b. Your system for conducting criminal background checks.
 - c. Your driver training program.
 - d. Your system for conducting driver license checks.
 - e. Your policies regarding alcohol and drug use by your drivers.

See Attachment A

6. Please state the number of vehicles you plan to use in your business and why that number is appropriate to provide reasonable and efficient service to the territory you will be serving. If you have already obtained vehicles for your business, please list them in the chart below.

<u>YEAR</u>	<u>MAKE</u>	<u>MODEL</u>	<u>SEATING CAPACITY*</u>	<u>VEHICLE ID #</u>	<u>MILEAGE</u>
2026	Ford	Transit	12	1FBVU5XG6TKB14091	0
					*Being built

See Attachment A for additional information.

7. Describe your vehicle safety program. Please include the following in your explanation:
- a. Your periodic vehicle maintenance plan
 - b. Your system for ensuring your vehicles will continuously comply with applicable Pennsylvania vehicle equipment standards (67 Pa. Code, Chapter 175).

See Attachment A

8. Please explain what steps you have taken to determine if you can obtain insurance and pay the required insurance premiums.

See Attachment A

9. State whether the applicant has been convicted of a misdemeanor or felony. If applicant is partnership, limited liability partnership, corporation, or limited liability company this question applies to all members, officers, and/or shareholders. If "YES", explain.

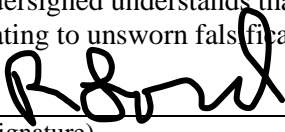
 YES X NO

10. Financial Data. Complete the "Statement of Financial Position", which follows this page. Please feel free to also provide additional information explaining why you believe you have sufficient funds to ensure your transportation business can provide reliable service to the public in a safe manner.

See Attachment B - Statement of Financial Position

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. § 4904 relating to unsworn falsification to authorities.



(Signature)
Rebecca Lord, Managing Member

(Name and Title, printed or typed)

May 1, 2026

(Date)

Statement of Financial Position (Balance Sheet)

As of (date) _____
(Must be less than 6 months old)

ASSETS

Current Assets

Cash

Other Current Assets (specify)

Total Current Assets

Tangible Assets

Motor Vehicle Equipment

Property (buildings, land, etc.)

Office Equipment

TOTAL ASSETS

LIABILITIES

Current Liabilities (Due within one year of date)

Loans

Credit cards/revolving credit

Other Liabilities (Attach schedule)

Total Current Liabilities

Long Term Liabilities (Due after one year of date)

Mortgage

Long term commercial loan

Other Liabilities (Attach Schedule)

Total Long-Term Liabilities

TOTAL LIABILITIES

ATTACHMENT B – STATEMENT OF FINANCIAL POSITION (STARTUP BASIS)

Applicant Name: Happy Valley Hops & Vines Tours, LLC

Date of Statement: May 1, 2026

CURRENT ASSETS

Cash in business bank account \$900
Committed owner capital contribution (gift; not yet received) ... \$10,000
Prepaid business expenses \$120
Total Current Assets \$11,020

TANGIBLE ASSETS

Ford Transit 12-passenger vehicle (pending delivery) \$70,000
Total Tangible Assets \$70,000

TOTAL ASSETS **\$81,020**

LIABILITIES

Current Liabilities \$0
Long-Term Liabilities (vehicle financing) \$70,000
Total Liabilities \$70,000

OWNER'S EQUITY

Owner capital contribution (including committed gifted funds) ... \$11,020
Total Owner's Equity \$11,020

TOTAL LIABILITIES AND EQUITY **\$81,020**

NOTE

The committed owner capital contribution consists of gifted startup funds that have been pledged and will be deposited prior to commencement of operations.

COMMONWEALTH OF PENNSYLVANIA
Pennsylvania Public Utility Commission

APPLICATION OF HAPPY VALLEY HOPS & VINES TOURS, LLC
For Approval to Operate as a Motor Common Carrier of Passengers in Group and Party
Service in Vehicles Seating 11-15 Passengers, including the Driver

ATTACHMENT A - SUPPLEMENTAL RESPONSES

3. Description of Applicant's Experience

The applicant is a limited liability company formed to provide group transportation services to local wineries, breweries, and distilleries. While we have not previously operated a regulated motor carrier service, we bring extensive professional experience in organizational management, group coordination, and public-facing services.

Both members are employed by the Centre County Youth Service Bureau, where each serves in a leadership role overseeing different program areas.

One principal has 20 years of experience as a middle school teacher, demonstrating strong skills in supervision, safety management, scheduling, and communication with diverse groups. This individual currently serves as a Director with Big Brothers Big Sisters of Centre County, where they have implemented and oversee two major program events annually. These responsibilities include planning, logistics coordination, participant management, and ensuring safe, structured environments for all involved.

The other member serves as Development Director within the same organization and is responsible for overseeing, planning, and executing three large-scale outdoor fundraising events annually. These events involve comprehensive coordination, including logistics management, vendor relations, budgeting, staffing, and risk management, and collectively generate over \$300,000 in annual development revenue.

Through these roles, we have developed strong competencies in planning, time management, customer service, and risk awareness, all of which are directly applicable to operating a transportation service. We are experienced in managing groups, coordinating schedules, and ensuring a safe and positive experience for participants.

In preparation for launching this business, we have familiarized ourselves with Pennsylvania Public Utility Commission (PUC) requirements and are committed to full compliance with all applicable regulations, including vehicle maintenance, insurance coverage, and driver qualifications. We understand the importance of safe vehicle operation and will ensure that all drivers are properly licensed, trained, and operate in accordance with all legal and safety standards.

We are committed to providing a reliable, safe, and professional transportation experience for our customers.

4. Description of Operations

The applicant will operate from a home-based administrative structure, with both principals managing business operations. Office functions, including scheduling, customer communication, and recordkeeping, will be conducted from designated home office spaces equipped with standard office equipment, including laptop computers, printers, and secure internet access.

The business will initially operate with one vehicle, a Ford Transit 12-passenger wagon. When not in use, the vehicle will be stored at the personal residence of one of the principals, each of which includes a covered carport area to provide protection from the elements. The vehicle will be maintained in accordance with manufacturer recommendations and all applicable safety requirements.

As this business does not involve the transportation or storage of household goods, no storage facilities are required or maintained.

The applicant will maintain all required records in compliance with Pennsylvania Public Utility Commission (PUC) regulations, including trip records, driver information, vehicle maintenance logs, and insurance documentation. Records will be maintained in both digital and, where appropriate, hard copy formats. Digital records will be securely stored using cloud-based systems with routine backups to ensure data integrity and accessibility. Access to business records will be limited to the principals.

Customer requests for transportation will be received through multiple channels. The business will maintain a website hosted by Wix, where customers can view services and book tours online. In addition, customers may contact the business via phone or email to ask questions, make reservations, or request customized tour experiences. This approach ensures accessibility for customers who prefer direct communication or a more personalized booking process.

Scheduling and dispatching will be managed directly by the principals, who will also serve as the initial drivers. Because of this structure, dispatching will be streamlined, with direct coordination between scheduling and vehicle operation.

Continuous communication with drivers will be maintained via mobile phones, allowing for real-time updates, navigation, and customer coordination. As the business grows and additional drivers are added, the applicant will implement formal dispatch procedures and communication protocols to ensure consistent and reliable service.

The applicant will maintain a strict policy prohibiting the consumption of alcohol within its vehicles. Passengers will only be permitted to consume alcohol at designated, licensed establishments included as part of the tour. This policy is intended to promote passenger safety and ensure compliance with all applicable laws and regulations.

This operational structure is designed to provide efficient, safe, and well-coordinated transportation services while maintaining full compliance with all applicable regulatory requirements.

5. Drivers

The applicant will initially operate with two drivers, both of whom are the principals of the business. This number is appropriate given the limited scope of operations at startup, which includes a single vehicle and pre-scheduled, reservation-based tours within a defined local service area. Utilizing the two principals as drivers allows for direct oversight of all transportation activities, ensuring consistency in service quality, safety, and regulatory compliance.

As the business grows and demand increases, additional qualified drivers may be hired to support expanded operations.

The applicant will maintain clear hiring standards for any future drivers. All drivers will be required to possess a valid driver's license appropriate for the vehicle type, maintain a clean driving record, and demonstrate a commitment to safe and professional customer service. Prior experience in passenger transportation or customer-facing roles will be preferred.

A formal system for conducting criminal background checks will be implemented for all prospective drivers prior to employment. The applicant anticipates utilizing a reputable third-party screening provider such as Checkr to conduct background screenings. These checks will include review of criminal history and any offenses that would impact an individual's ability to safely transport passengers or operate in a position of trust.

Driver training will include orientation on company policies, safe vehicle operation, defensive driving practices, customer service expectations, and compliance with all applicable Pennsylvania Public Utility Commission (PUC) regulations. Drivers will also be trained on trip procedures, emergency protocols, and proper communication practices.

The applicant will implement a system for conducting driver license checks both at the time of hire and on a periodic basis thereafter to ensure that all drivers remain properly licensed and in good standing.

The applicant will maintain a strict zero-tolerance policy regarding alcohol and illegal drug use by drivers while on duty. Drivers will be prohibited from operating any vehicle under the influence of alcohol or drugs. In addition to pre-employment screening, the applicant will implement random and for-cause checks to ensure ongoing compliance with this policy. Any violation will result in immediate removal from driving duties and potential termination. The applicant will comply with all applicable laws and regulations related to drug and alcohol use in transportation services.

This approach ensures that all drivers are qualified, properly vetted, and trained to provide safe and reliable transportation services.

6. Vehicles and Service Capability

We plan to operate with one (1) vehicle initially, specifically a 12-passenger Ford Transit passenger wagon that is being built. This vehicle is appropriately sized for our business model, which focuses exclusively on pre-booked private group transportation for winery, brewery, and distillery tours within Centre County, Pennsylvania.

Our services are designed for small to mid-sized private groups, such as families, social gatherings, and corporate outings. A 12-passenger vehicle allows us to efficiently accommodate typical group sizes while maintaining passenger comfort and avoiding excess capacity.

Because all services are provided on an advance-reservation basis, we are able to manage scheduling efficiently and ensure reliable, timely transportation throughout Centre County and surrounding areas. Operating a single vehicle at launch allows us to maintain strong oversight of operations, control costs, and deliver consistent, high-quality service.

As demand grows, we will monitor utilization and expand our fleet as necessary to ensure continued reasonable and efficient service to the territory.

7. Vehicle Safety Program

Our vehicle safety program is designed to ensure that all vehicles are maintained in a safe operating condition and continuously comply with all applicable Pennsylvania vehicle equipment and safety standards.

Our vehicle will follow a structured, periodic maintenance schedule based on the manufacturer's recommendations for the Ford Transit passenger wagon. This includes routine servicing such as oil and filter changes, brake inspections, tire rotation and replacement, and inspection of critical systems including steering, suspension, and lighting. Maintenance will be performed at established mileage and time intervals, and all services will be documented and retained.

In addition to scheduled maintenance, we will implement driver vehicle inspection procedures consistent with Federal Motor Carrier Safety Administration (FMCSA) guidance. Drivers will be responsible for conducting and documenting pre-trip and post-trip inspections for each day the vehicle is in operation. Inspection items will include brakes, tires, lights, signals, mirrors, windshield wipers, emergency equipment, and overall vehicle condition. Any deficiencies affecting safe operation will be reported immediately, and the vehicle will be removed from service until repairs are completed.

We will also conduct periodic comprehensive vehicle inspections consistent with DOT-style standards to ensure that all major safety components are systematically reviewed. The owner/operator will be responsible for overseeing compliance with

inspection and maintenance requirements, reviewing inspection reports, and ensuring that any necessary corrective actions are completed in a timely manner.

To ensure continuous compliance with Pennsylvania vehicle equipment standards, the vehicle will undergo all required state inspections, including annual safety inspections performed by a certified inspection station. All required safety equipment—such as brakes, tires, lighting, seatbelts, and mirrors—will be maintained in full compliance at all times.

All maintenance, inspection, and repair records will be retained for a minimum of twelve (12) months and will be reviewed regularly to verify ongoing compliance and support safe, reliable operation.

8. Insurance

We have taken concrete steps to ensure that we are able to obtain and maintain the required insurance coverage for our operations. We have worked with Nittany Brokerage to evaluate our business model, vehicle type, and service area, and to secure appropriate commercial auto insurance coverage.

As a result of this process, we have obtained a commercial auto policy through Progressive that meets all applicable Pennsylvania Public Utility Commission insurance requirements for passenger transportation services. The policy includes \$1,000,000 in liability coverage for bodily injury and property damage, as well as uninsured motorist coverage of \$300,000 and underinsured motorist coverage of \$300,000, both on a non-stacked basis.

The policy will become effective upon delivery of the vehicle, which is currently scheduled for production on or about May 11, with delivery anticipated approximately three weeks thereafter. Coverage will be bound prior to the vehicle being placed into service to ensure full compliance at the time operations begin.

In evaluating insurance costs, we obtained quotes, reviewed coverage limits, and confirmed premium amounts to ensure they are financially sustainable for our business. We have incorporated these insurance expenses into our operating budget and financial planning.

Based on these steps, we are confident in our ability to maintain the required insurance coverage and to pay all associated premiums on an ongoing basis.