



## INSTRUCTIONS FOR FILING AN APPLICATION TO CHANGE OWNERSHIP STATUS FOR A LIVERY BASE

### General Instructions

Please email at: [Businessunit@tlc.nyc.gov](mailto:Businessunit@tlc.nyc.gov) to schedule an appointment to submit your application and supporting documents. Completed application, required documentation and fees can be submitted in person at: 31-00 47<sup>th</sup> Avenue, 3<sup>rd</sup> Floor, Long Island City, NY 11101, between the hours of 8:00 am to 3:30 pm, Monday-Friday. Please visit our website for more information at: [www.nyc.gov/tlc](http://www.nyc.gov/tlc) or contact our Call Center at 718-391-5501. If your base license is suspended, you cannot dispatch vehicles. If you dispatch vehicles while your Base license is suspended you can be issued a summons which could result in the imposition of fines or other penalties, including revocation of your Base license. **Note:** If a vehicle is dispatched from your base while the base license is suspended, the vehicle may be subject to seizure for unlicensed operation and may be subject to fines and penalties.

### Section I. Background Information

This basic background information is necessary to process your base station application. Please completely fill this section out taking care to provide us with accurate information. Inaccurate information may result in a delay in processing your application.

- **Business Name:** Refers to the name of the business entity associated with the base station application.
- **D/B/A: Doing Business As:** A D/B/A name is a company name, also commonly called "trade name" or "assumed name". A D/B/A is a secondary name for your business, an officially sanctioned "alias". Leave the D/B/A section blank if you plan to conduct business under one name if that name is the same as the company name.
- **Address:** The location for the FHV base station.
- **E-Mail:** Each FHV base station is **required** to maintain a working E-mail address on file at the TLC to receive TLC updates and other important information.
- **Website Address:** It is **required** to provide your business website address.
- **Telephone #:** Contact numbers for ALL individuals, officers, partners, principals or stockholders responsible for all inquiries related to this application.
- **EIN/SS#:** Please provide either Social Security number or "EIN", Employer Identification Number, which is defined as a nine digit number that the Internal Revenue Service (IRS) assigns to organizations. EIN's are used by employers, sole proprietors, corporations, and partnerships.
- **Base License #:** This is the FHV base license number on file with the TLC.
- **FCC License #:** Federal Communications Commission (FCC) license number, which permits the applicant to operate a radio communication system for the purpose of communication between base stations and their licensed vehicles.

For more information on FCC business radio licensing please go to:  
<http://wireless.fcc.gov/services/ind&bus/index.html>.

\*\*If you are not using a radio system with a FCC regulated frequency please provide the type of communication system you will be using at your base station.

**Type of Business** – There are **three** basic **types** of business.

1. **Sole Proprietorship** –The business is owned by one person, usually the individual who has day-to-day responsibility for running the business. Sole proprietors own all the assets of the business and the profits generated by it. They also assume complete responsibility for any of its liabilities or debts.
2. **Partnership** –Two or more people share ownership of a single business. The Partners should have a legal agreement that sets forth how decisions will be made, profits will be shared, disputes will be resolved, how future partners will be admitted to the partnership, how partners can be bought out, or what steps will be taken to dissolve the partnership when needed.
3. **Corporation** – It is considered by law to be a unique entity, separate and apart from those who own it. It is chartered by the state in which it is headquartered. A corporation can be taxed. It can be sued. It can enter into contractual agreements. The owners of a corporation are its shareholders. The shareholders elect a board of directors to oversee the major policies and decisions. The corporation has a life of its own and does not dissolve when ownership changes.
4. **LLC** - is a company where the owners are called members not partners or shareholders. Number of members are unlimited and may be individuals, corporations, or other LLC's.

\*\*\*Please **check** the business type applicable to your new FHV base station application.

**Please Note** - If you are a Corporation you must disclose the number of shares authorized and the number of shares outstanding/issued: Please provide **raw numbers** rather than percentages. Percentages **will not** be accepted and your application will be deemed incomplete. The difference between authorized and issued shares is as follows: At the time of incorporation, the incorporation documents specify the total number of shares that the corporation can issue. These are called the “**Authorized**” shares. The Board of Directors is responsible for deciding if and when to issue the authorized shares. When shares are actually given to the shareholders, they become “**Issued/ Outstanding**” shares.

**Type of Ownership Change** – There are three types of ownership changes:

- **Stock Change** –This occurs when stock is transferred or sold amongst principals of a business entity. If you are transferring stock you will be required to pay a fee of \$500 for completion of your application.
- **Ownership Change** –This occurs when a base either adds or deletes principals who are currently on record as owners of the base station with the TLC. There is no fee for this transaction. When filling out section II list only the updated (current) officers, partners and stockholders.
- **Title Change** –This occurs when there are modifications to officer status in a business entity (e.g. election of new President, V.P., Secretary, etc.) There is no fee for this transaction.

## **Section II. Listing of All Owners, Officers, Partners, Managers and Stockholders**

Please provide a **comprehensive** list of all **updated** Owners, Officers, Partners, Managers and Stockholders associated with the business entity applying for a FHV base station license. The following information is required for all individuals:

- Name •home address •amount of time living at this address •date of birth
- Social Security number •DMV license # •DMV license State •Telephone number for individual
- title (which is the position held in the corporation i.e. president, secretary, etc.) and  
•number of shares owned by the individual.

If you are deleting an officer, partner or stockholder, **DO NOT** list them here. Simply list all remaining and new individuals with ownership interests.

## Section VI. Background Questionnaire

For the questions listed in this section please check the box that correctly answers the questions for the individual(s) or firm whose name appears on the application. All officers, shareholders, partners & individual owners who have 10% of the corporate share (or more) OR a title as President, Vice President, Secretary, Treasurer or Member must fill out the background questionnaire on page 4 of the application. If you answered "YES" to any of the questions you must provide a signed statement and pertinent documentation giving all relevant details as an addendum to this application. The statement must include all names, dates, license numbers, certificate of disposition and any other relevant information to the incident being described. **False answers to any of the questions will be grounds for denial of your base license application.**

## Section VI. Dispatch App information

Each base is required to disclose the use of mobile or internet-based electronic dispatch software and its origin. Answer the questions in this section if the App is base owned or fill out the Dispatch App Disclosure if the App is contracted by a Third party vendor.

## Section VIII. Affirmation of Statement of Approval – Livery Base only

**Original letters of no objection from City Council Member (CM), Community Board (CB) and Local Police Precinct (PD) OR copies of the letters requesting the "Letter of No Objection" along with the original signed certified mail receipts for the three (3) entities:** Please make sure you are reaching out to the **correct entities. Please note** – the letter sent to the City Council Member (CM), Community Board (CB) and Local Police Precinct (PD) **must** include copies of page 1 & 2 of the application form, affirmation page and a copy of formal lease agreement or contract for the Off-Street Parking (OSP). **In addition**, the letter must inform the CM, CB or PD that if they want additional documents that they should request them when needed. If additional documents are requested, please provide them in a timely manner so that you may receive their response to submit with your renewal packet.

## Attachments A and B

**A. Name Inquiry / Name Reservation Request:** Copy of approved Name Inquiry Form.

**B. Dispatch App Disclosure:** Under Chapter 77 of the TLC rules, an app that contracts with licensed bases can only dispatch vehicles affiliated with those bases and must obey all TLC rules governing them, including but not limited to dispatching only to licensed drivers and vehicles, charging rates in compliance with the rates that each base it is dispatching through has on file with the TLC, and disclosing all pertinent base, vehicle, and driver license numbers to passengers in a conspicuous manner. Apps that do not have their own base license, but have contracts with licensed bases, in effect dispatch or refer jobs on behalf of those bases. Use of these apps must not result in violation of TLC rules by bases, vehicles, or drivers.

## Additional Requirements

**Application to Change Status of an FHV Base:** Completely filled-out and signed.

**Application Fee of \$500:** Money Order, Company Check, Certified Check or Credit Card (Master Card, Visa, AMEX and Discover). Money Orders, Company Checks and Certified Checks are made payable to: **NYC Taxi & Limousine Commission.**

**Seventy-five dollar (\$75)** – Money Order PER Individual required to be fingerprinted or Credit Card (Master Card, Visa, AMEX and Discover). Money Orders are made payable to: **NYC Taxi & Limousine Commission.** Please note: Any individual that holds 10% or more of the shares OR a title (e.g. President, Vice President, Secretary, Treasurer, or Member) must be fingerprinted.

**Zero outstanding judgments to the TLC, NYS DMV Traffic Violations Bureau (TVB), Department of Finance (DOF) Parking Violations and DOF Red Light Bureau:** If any outstanding judgment (ie: unpaid tickets) are discovered, your application will not be processed.

**Statements and business records to disclose all individuals, partners, managers, officers, principals, and stockholders:**

**Examples:** Secretary's Certificate identifying partners, managers, officers, principals and stockholders. Any of the above-referenced entities are required to disclose their identity through statements and business records.

**Two forms of identification for each person listed on the application:** A valid government issued identification and a Social Security card.

**Examples:** Certificate of Citizenship, Certificate of Naturalization, a Medicaid card, a NYS Food Stamp Card, professional license, State issued Driver License, US marriage document, a US divorce document, or a court-issued name change document, School ID Cards, health insurance card or a medical prescription card, ATM card or a debit card, or a valid Credit Card.

**Copy of resumes of all individuals, partners, officers, principals and stockholders, together with a cover letter demonstrating their ability to manage a base station:** Resumes should be up-to-date and should reflect all relevant work and educational experience. A cover letter is sent along with a resume to provide additional information not covered in the resume and/or to highlight areas in the resume that are of most significance to the applicant's future position within the base station.

**A list of names, license numbers, and addresses of any other base station which are/have been operated by the applicant or his/her partners, officers, principals and stockholders:** Any prior TLC license information must be disclosed as part of this application. Failure to properly disclose this information will be grounds for **denial** of your base license application.

**Vehicle registration and driver's licenses of the partners, officers, principals and stockholders:** Documents from the New York State Department of Motor Vehicles or the equivalent in another state or residence must be submitted as part of your application.

**Comprehensive Operating Plan:** The Comprehensive Operating Plan must include an assessment to determine the **need** for for-hire vehicle service in the proposed location and proposed area of business. In addition, you are **required** to submit an analysis of available mass-transportation options including street maps and mass transit schedules. All mass transit options including bus and subway maps/routes **must** be included. Finally you **must** submit the anticipated number of vehicles affiliated, number of vehicles dispatched per day, and if available, the number of calls to be received per day at the proposed base station. This should be provided in spreadsheet or chart format with estimated averages per day for all of the above-mentioned items. Your plan must address the following items:

- Analysis of current mass-transportation options in the area with-in which you plan on conducting business.
- The impact your base station will have on these mass-transit options.
- Any anticipated supplementation to mass -transit service that you intend to offer through your base station.
- A basic plan for operating the base station taking into account anticipated levels of business.
- Explanation of anticipated resources to handle levels of business needed by the community your base station intends to service.

#### **Updated contracts for Off Street Parking (OSP)**