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COMMERCIAL FERRY APPLICATION

This packet was designed to guide applicants through the process of applying for a commercial ferry certificate. The packet contains the following items:

- A questionnaire to decide if you need a commercial ferry certificate.
- A list of important definitions.
- Checklist on completing the application.
- An application form.
- A blank Statement of Support.
- [WAC 480-51](#) – Rules Relating to Commercial Ferries.
- A blank form and instructions for submitting a certificated commercial ferry tariff.
- A blank form and instructions for submitting a time schedule.

We recommend you first complete the questionnaire portion immediately following this sheet to decide if you must apply for a certificate.

If your operations require a certificate, please carefully read all instructions before completing any of the forms. Complete the application form in its entirety, attaching additional pages as required. Incomplete applications will slow processing of your application.

If you have questions regarding this application, contact Licensing Services at (360) 664-1222.

Acceptance of an application by the Commission does not imply grant of authority nor does it allow operation by an applicant.

The Commission recommends that all applicants read and become familiar with [WAC 480-51](#) - Laws and Rules relating to Commercial Ferry Operations.

QUESTIONNAIRE

WHO MUST APPLY FOR A COMMERCIAL FERRY CERTIFICATE?

- | | <u>Yes</u> | <u>No</u> |
|--|-------------------------------------|--------------------------|
| 1. In operating your vessel will you transport persons or property for hire on the waterways of the state of Washington? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

If you answered "no" to Question 1 and your operation is solely as a private carrier - involving transportation of only those commodities owned, bought or sold by you - you do not need a certificate from the Commission.

- | | | |
|--|---|---|
| 2. a. Do you operate solely as a charter service? (See definition page following) | □ | ☒ |
| b. Do you operate solely passenger-carrying vessels that depart and return to the point of origin without stopping at another location within the state where passengers leave the vessel? | □ | ☒ |
| c. Are you a not-for-profit or governmental entity that operates solely replicas of historical vessels or vessels recognized as national historical landmarks? | □ | ☒ |
| d. Do you operate solely a towboat, tug, scow, barge, or lighter? | □ | ☒ |
| e. Do you operate solely a rowboat/sailboat under 20 gross tons burden? | □ | ☒ |
| f. Do you operate solely an open steam launch of 5 tons gross or under? | □ | ☒ |
| g. Do you operate solely a gas, fluid, naphtha, or electric motor propelled vessel under 5 tons gross? | □ | ☒ |

If you answered "yes" to any of Questions 2a-2g you do not need a certificate from the Commission.

- | | | |
|---|---|---|
| 3. Does ten percent (10%) of the gross annual income of any of your vessels come from the transportation of passengers and/or vehicles? | ☒ | □ |
|---|---|---|

If you answered "no" to Question 3, you do not need a certificate from the Commission. NOTE You may still need to be registered with the Commission as a common carrier ferry. Refer to WAC 480-51-077.

- | | | |
|---|---|---|
| 4. Do you operate solely as an excursion service (see definition page following) meeting the following: | | |
| a. Originates and primarily operates at least six months per year in San Juan County waters <u>AND</u> uses vessels less than sixty-five feet (65') in length with a United States Coast Guard certificate that limits you to forty-nine (49) passengers or less. | □ | ☒ |
| b. Does not depart from the point of origin on a regular schedule. | □ | ☒ |
| c. Does not operate between the same point of origin and the same intermediate stop more than four times in any month or more than fifteen (15) times during any twelve-month period. | □ | ☒ |
| d. Uses vessels that do not return to the point of origin on the day of departure. | □ | ☒ |
| e. Operates vessels upon the waters of the Pend Oreille River, Pend Oreille County, Washington. | □ | ☒ |

If you operate solely as an excursion service and answered "yes" to any of Questions 4a-4e, you do not need a certificate from the Commission.

- | | | |
|--|---|---|
| 5. Do you operate a vessel for hire and at least ten-percent (10%) of the annual gross earnings from that vessel come from transportation of passengers and/or vehicles? | ☒ | □ |
|--|---|---|

If you answered "yes" to Question 5 and "no" to questions 2a-2g and 4a-4e, you must have a certificate from the Commission.

DEFINITIONS USED IN THIS APPLICATION PACKET:

(Refer to rulebook for additional definitions not listed here)

Commercial ferry	Every corporation, company, association, joint stock association, partnership and person, their lessees, trustees or receivers, appointed by any court whatsoever, owning, controlling, leasing, operating or managing any vessel over and up on the waters of Washington state.
Certificated commercial ferry	A person required by RCW 81.84 to obtain a certificate of public convenience and necessity before operating any vessel up on the waters of this state.
Common carrier ferry vessel	A vessel primarily engaged in transporting freight other than vehicles, whose gross earnings from the transportation of passengers and/or vehicles are not more than 10% of the total gross annual earnings of such vessel.
Vessel	Every species of watercraft by whatever power operated, for public use in the conveyance of persons or property for hire over and upon the water within this state. <i>does not include:</i> all towboats, tugs, scows, barges, and lighters; rowboats and sailing boats under twenty gross tons burden; open steam launches of five tons gross and under; and vessels under five tons gross propelled by gas, fluid, naphtha, or electric motors
For-hire	Transportation offered to the general public for compensation.
Transfer	Sale, assignment, mortgage, lease or any other voluntary or involuntary conveyance of an interest in a certificate by the entity owning a certificate.
Launch Service	Transportation of passengers and/or freight to or from a vessel under way, at anchor or at dock.
Excursion Service	Carriage or conveyance of persons for compensation over the waters of this state from a point of origin and returning to the point of origin with an intermediate stop or stops at which passengers leave the vessel and reboard before the vessel returns to its point of origin.
Charter Service	Hiring of a vessel, with captain and crew, by a person or group for carriage or conveyance of persons or property.
Fixed Termini	The starting and ending points of a vessel's voyage, at which passengers or freight begin or conclude their transportation.
Intermediate Point	A designated point along a commercial ferry's regular route at which the vessel stops according to its schedule to take on or off load passengers or freight.
Published Schedule	A time schedule that is published by the certificate holder and filed with the Commission in accordance with the provision of WAC 480-51-090

GENERAL INSTRUCTIONS

Complete the form in its entirety, attaching additional pages as required.

Acceptance of an application by the Commission does not imply grant of authority nor does it allow operation by an applicant. The Commission recommends that all applicants read and become familiar with the Laws and Rules relating to Commercial Ferry Operations.

CHECKLIST FOR A COMPLETED APPLICATION

Question or line	Instructions
Indicate type of application	Check one box showing the type of application being submitted. NOTE: Complete a separate form for each type of application requested. <i>For example, applicants wishing to apply for both temporary and permanent authority must complete and submit two applications.</i>
Indicate type of service	Check one of the three boxes, showing the type of service you propose to provide (See definition)
Questions 1 – 4	Self-explanatory
Question 5	Fully and specifically describe the territory in which you propose to provide service.
Question 6	Attach a map that shows clearly the routes you propose to serve. Show beginning and ending points of each route and all intermediate points that will be served, NOTE: The territory description in Question 5, the tariff, time schedule, and map must all show the same information. If possible, the map should be no larger than 8 ½" x 14" or should fold readily to 8 1/2" x 11"
Question 7	Self – explanatory – NOTE: If you will be represented by an attorney at the hearing, but are unsure at the time of filing this application which attorney, check "yes" and show "unknown" on the line requesting the attorney's name.
Question 8 (Tariff)	A completed tariff that shows proposed rates and fares and the rules governing the rates and fares.
Question 9 (Time Schedule)	A completed time schedule showing proposed routes and times at which the service will be provided. NOTE: As launch services provide on call service and do not operate on a fixed schedule, they do not need to submit a time schedule.
Question 10	List all vessels to be used. Indicate whether each is owned, leased, etc.
Question 11	List all docks proposed to be used in providing service. Indicate value of each dock, if owned. If not owned, indicate if dock owner and applicant have an agreement allowing use of the dock by the applicant.
Question 12	Complete the financial statement showing applicants current financial status.
Question 13	Fully describe the existing conditions that justify the granting of this ferry certificate. In addition, temporary application must demonstrate that there is an immediate and urgent need for the requested service that cannot be met by the current available service.

Question 14	List names and addresses of all persons now furnishing service similar to that proposed in your application. If not known to applicant, please state "unknown" in space provided.
Question 15	Self-explanatory
Question 16a	Attach a separate sheet showing projected incomes and expenses for the first year of operation if authority is granted.
Question 16b	Attach a separate sheet that shows projected ridership, and the projected revenues to be derived from providing passenger service.
Question 16c	Attach a separate sheet that shows the anticipated cost of service for your proposed operation.
Question 16d	Attach a separate sheet that shows an estimate of the costs of all assets to be used in providing service.
Question 16e	Prior to issuing authority, a Certificate of Insurance must be submitted per WAC 480-51-070
Question 16f	Need copy of inspection certificate issued by the United States Coast Guard certifying the vessel is safe and seaworthy for intended operations.
Question 17	Indicate how many days you anticipate it will take if you are granted a certificate, between the date the certificate is granted and the actual operation of your vessel(s) in the territory requested. NOTE: Refer to WAC 480-51-120 relating to initiation of service, progress reports, and extensions of time to initiate service.
Question 18 (transfer)	Complete attachment A – Self explanatory If transferring only a portion of certificate authority, attach two sheets: 1 – One labeled "To Be Retained" clearly showing the authority to be retained by the seller. 2 - One labeled "To Be Transferred" that clearly shows the authority to be transferred to the buyer.
Question 18 (temporary)	Must submit the following: 1 – Proof of insurance (insurance certificate or surety bond) with minimum limits as required by WAC 480-50-070 . 2 – Signed statements from potential customers demonstrating an immediate and urgent need for the requested service. (A blank support statement is attached. Photocopy as many as needed) 3 – Copy of a certificate or letter that shows that all vessels to be used under the temporary certificate have been inspected by the United States Coast Guard, (or if applicable, the Marine Division of the Department of Labor and Industries) and have been found to be safe and seaworthy for the intended operation.
Type of Payment	Complete type of payment sheet if paying by credit card.



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COMMERCIAL FERRY APPLICATION

Application is made in accordance with RCW 81.84 for a Certificate of Public Convenience and Necessity to operate vessels in furnishing Passenger Ferry Service.

\$200.00 APPLICATION FEE MUST ACCOMPANY THIS APPLICATION

	<u>INDICATE TYPE OF APPLICATION:</u> (Only one type per application)		<u>INDICATE TYPE OF SERVICE APPLYING FOR:</u>
<input checked="" type="checkbox"/>	Original Certificate		
<input type="checkbox"/>	Extension of Authority	<input checked="" type="checkbox"/>	Certificated commercial ferry – including launch service
<input type="checkbox"/>	Transfer all Authority	<input type="checkbox"/>	Launch Service only
<input type="checkbox"/>	Transfer a Portion of Authority		
<input type="checkbox"/>	Temporary Certificate		
<input type="checkbox"/>	Lease of Certificate		
<input type="checkbox"/>	Mortgage of Certificate		
<input type="checkbox"/>	Acquisition of Control		

FOR OFFICIAL USE ONLY		
RECEIPT ID: _____	MAP _____	DATE REC'D _____
AMOUNT \$ _____	INSURANCE _____	ID NO. _____
(111-0268-0216-02)	SAFETY INSP. CERT. _____	DOCKET NO. _____
	TARIFF _____	
	TIME SCHEDULE _____	
	SHIPPER SUPPORT _____	

BUSINESS INFORMATION

1. Legal name of applicant: Eden Valley Investments LLC
(Legal name must match your registration with the Department of Revenue)

2. Trade Name, if applicable: Lake Union Ferry Company LLC

3. Mailing Address: Physical Address:
Street or PO Box: 910 Lakeridge Way SW Street: _____
City: Olympia City: _____
State/Zip: Washington, 98502 State/Zip: _____
Telephone: (360)790-5108 Fax: _____
Email address: lakeunionferry@gmail.com

4. UBI Number : 604160173 State of Incorporation: Washington

Type of Business Structure: Individual Partnership Corporation Other (LP, LLP, LLC)

List names and addresses of all persons having an interest in the business. If a CORPORATION or LLC, give names and addresses of two principal officers, noting their titles, and indicate in which state incorporated. If a PARTNERSHIP, attach a certified copy of the partnership agreement, which sets forth the responsibility of the interested individuals.

David Stroble, Sole Member

Eden Valley Investments LLC

5. List the territory in which you wish to operate: (attach additional sheet if necessary)
Lake Union, Portage Bay, Montlake Cut & Ballard Ship Canal. All located within Seattle

6. Attach a map which shows in detail the proposed routes, clearly showing beginning, ending, and intermediate points to be served. Also show the routes of other carriers giving similar service into the same or neighboring territory (if known to applicant).

7. Will an attorney be representing you at the hearing? Yes No

If yes, give specific attorney's name: _____

Telephone Number: _____ Address: _____

8. Attach a copy of the tariff you propose using. The tariff must contain proposed fares and rates to be assessed for service and the rules and regulations governing same. The tariff must comply with [WAC 480-51-080](#) and the rules in the Commission's Tariff Circular No. 6 ([WAC 480-149](#)).
9. Attach a copy of the time schedule you propose using. The schedule must show routes, trips, times, points served, distances and available facilities. The time schedule must comply with [WAC 480-51-090](#) of the Commission's Laws and Rules Relating to Commercial Ferry Service.
10. List vessels which are owned (unless otherwise stated) and will be used in the proposed service.
(Attach additional sheet if needed)

Name	Passenger Freight or Ferry Type	Power	Passenger Capacity	Freight Capacity	Owned, Leased, other?
TBD – Vessels not yet purchased – Fleet of 5 vessels expected in Year 1	Passenger/Cycle	~30 HP	20-40	0	Owned

11. List the docks proposed to be used in providing service. Indicate value of each dock, if owned. If not owned, indicate if dock owner and applicant have an agreement allowing use of the dock by the applicant.

See Attachment 1

12. Complete the following financial statement:

FINANCIAL STATEMENT

Cash on hand and in bank	\$ <u>SEE ATTACHED</u>	Notes payable	\$ _____
Notes receivable	_____	Accounts payable	_____
Accounts receivable	_____	Other liabilities:	_____
Stocks in other companies	_____	_____	_____
Vessels (listed above)	_____	_____	_____
Bonds	_____	_____	_____
Docks (listed above)	_____	_____	_____
Machinery, tools, etc.	_____	_____	_____
Real estate (listed below)	_____	_____	_____
Other assets (listed below)	_____	_____	_____
Total	\$ _____	Total	\$ _____

- a. List all Real Estate as to location and value (List here only such property as cannot be listed under item 10)

SEE ATTACHED _____ \$ _____
 _____ \$ _____
 _____ \$ _____
 _____ \$ _____

- b. List total "Other Assets" mentioned above:

_____ \$ _____
 _____ \$ _____
 _____ \$ _____
 _____ \$ _____

13. List conditions that exist which would justify the granting of a Certificate of Public Convenience and Necessity:

Lake Union Ferry Company is envisioned to provide access to the neighborhoods around Lake Union. The goal of the company is to ease commuter traffic congestion, promote tourist activity, and to better utilize small parks and commercial centers along the shores of Lake Union, Portage Bay, and Ballard. Public transit options are currently over-capacity traveling from both Fremont and UW to South Lake Union. Piston routes would operate during rush hour periods to provide relief to both the roads and bus routes surrounding Lake Union. The Ferry Company would transition into circuit routes during the day to focus more on tourist activity and transportation.

14. List names and addresses of all persons, firms, or corporations now furnishing similar service between any of the points or along any portion of the route proposed to be served:

No similar services currently exist

15. State applicant's prior experience, if any, in providing commercial ferry service:

No prior experience.

16. All applicants must attach separate sheets containing the following information:
- Pro forma financial statement of operations (projections of incomes and expenses for first year operations).
 - Ridership and revenue forecasts.
 - The cost of service for the proposed operation.
 - An estimate of the cost of the assets to be used in providing service.
 - Certificate from United States Coast Guard on inspection.
 - Evidence of proper insurance as required by WAC 480-51-070.

17. If certificate is granted, carrier will begin operations within 500 days of that grant.

18. If this is a transfer application, you must:

- Complete attachment A.
- If this application is for transfer of a portion of certificated authority, attach document clearly showing authority to be transferred and a document clearly showing the authority to be retained.
- Current company must submit closing annual report.

If this is an acquisition of control of the stock, you must:

- Attach copy of the corporate minutes authorizing such transfer.

If this is an application for a temporary certificate you must:

- Attach proof of insurance.
- Attach statements from potential customers showing immediate and urgent need for service.
- Attach proof that all vessels to be operated under the temporary are inspected and found to be safe and seaworthy.


The applicant certifies he/she is familiar with the provisions of Chapter 81.84 RCW and Chapter 480-51 WAC, Laws and Rules of the Washington Utilities and Transportation Commission, governing the operation of vessels and ferries upon the waters of the state of Washington. Applicant further certifies that vessels operated under Certificates of Public Convenience and Necessity are in no way released from the necessity of observing all Federal and State laws providing for the registration of vessels, the observance of navigation and maritime rules and regulations, and other matters subject to Federal or State enactments.

Applicant affirms that its operations shall be at all times within the provisions of such acts, and requests the Washington Utilities and Transportation Commission to make its order granting a Certificate of Public Convenience and Necessity as provided in Chapter 81.84 RCW and Chapter 480-51 WAC.

The applicant swears or affirms that he/she has read the foregoing application and knows the contents, that the same is true of his/her own knowledge, except as to matters which are therein stated on information or belief, and as to those matters he/she believes them to be true.

Company Name: Lake Union Ferry Company

Name (printed): David Stroble Date: 3/29/18

Signature:  Title: Principal

