
NEW YORK STATE LIQUOR AUTHORITY

APPLICATION FOR ALCOHOLIC BEVERAGE CONTROL MANUFACTURER/WHOLESALE LICENSE

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DIRECTIONS FOR COMPLETING THIS LICENSE APPLICATION

- Must be **TYPED** or **PRINTED** (In blue or black ink)
- Complete applicable forms **FULLY**
- Follow instructions carefully.

S.L.A. ZONE OFFICES:

ZONE 1

State Liquor Authority
317 Lenox Ave.
New York, NY 10027
Telephone: 212-961-8385

ZONE 2

State Liquor Authority
Alfred E. Smith Building
80 S. Swan Street
Suite 900
Albany, NY 12210-8002
Telephone: 518-474-7604

ZONE 3

State Liquor Authority
Iskalo Electric Tower Bldg
535 Washington Street
Suite 303
Buffalo, NY 14203
Telephone: 716-847-3035

INSTRUCTIONS

INTRODUCTION

The following material has been prepared to assist you, the applicant, in developing and filing a completed application which will result in the approval and issuance of the type of license you desire. It is important to understand that it is your responsibility to present a clear picture of what you intend to do and how you will accomplish this. You should note that the application covers four (4) major areas which will be considered.

1. You the applicant - do you qualify to be given a license?
2. The premises (building) - does it qualify to be licensed; are there any current problems if the premises is now licensed which would affect the application?
3. The money you need to turn the key and start operating; where does it come from?
4. Method of operation - what do you plan to do and how do you plan to do it?

SECTION A

APPLICATION FOR ALCOHOLIC BEVERAGE LICENSE

Line 1

APPLICANT NAME

- Enter individual applicant's full name.
- If a partnership, enter full name of each partner, limited partners and the number of limited partners.
- If a corporation, enter the corporate name.
- If a limited liability company, enter the company name.

TRADE NAME

- Enter your DBA - "Doing Business As" name.

PREMISES STREET

- Enter the full address and county of the premises seeking to be licensed. (911 street address where applicable)
- Between what streets-If the premises is outside the city limits **and** not known by a house number, specify its location to the nearest intersecting road or highway.

PREMISES POST OFFICE ADDRESS

- Enter business mailing address.

Line 2

ATTORNEY/REPRESENTATIVE NAME

Enter name, address and telephone number of Attorney, representative or agent assisting the applicant in the completion,

INDIVIDUAL AND PARTNERSHIP APPLICANTS

- Enter name of individual applicant (if a partnership, enter names of each partner), full residence addresses, country of citizenship and date-of-birth.

filing and handling of the application. +(Exceptions: Employment of photographers, surveyors or draftsmen need not be set forth).

Line 3

ALCOHOLIC BEVERAGE LICENSE CLASS

- Refer to the "Schedule of Manufacturer/Wholesaler license Fees" for the license class and code number and enter these in the spaces on line 3.

Line 4

TOTAL PAYMENT DUE

- Refer to the Schedule of Manufacturer/Wholesaler License Fees for the specific license fee.

Attach a **Personal Check, Certified Check or Money Order** payable to the NY State Liquor Authority for TOTAL PAYMENT DUE.

PENAL BOND

Submit a penal bond in the amount indicated on the fee schedule, issued by any qualified surety company authorized to execute such bonds in the State of New York.

THE BOND MUST HAVE THE PREMISES NAMES AND ADDRESS TYPED EXACTLY AS IT APPEARS ON THE APPLICATION.

The expiration date of the bond must coincide with the license expiration.

APPLICANT MUST SIGN THE BOND

Line 5

- Each applicant and partner in a partnership must submit acceptable proof of citizenship at the time the application is filed, such as: Citizens:

-birth certificate (photocopies)

-U.S. passport (photocopies)

-naturalization papers (Certified Attorneys copy/or copy produced from **original** at a office of the State Liquor Authority)

Non-Citizens: (See Section N)
-visa
-permanent alien registration card

Line 6
LIMITED LIABILITY COMPANIES & PARTNERSHIPS
· Enter names of members and managers in the LLC/LLP.
List Ownership Interest percentage for each member or manager.

Submit the following:
Operating Agreement
Filing Receipt from Sec. of State
Articles of Organization
Proof of Citizenship for each member or manager
Membership Certificates

Line 7
CORPORATE APPLICANTS
· Proof of citizenship must be provided for each principal. (all Officers, Directors and Stockholders)

Line 8
WRITTEN LEASE
· Submit a signed copy of the lease with all terms.

· Answer all questions here regarding the lease arrangements. (NOTE: Lease must state exact location of premises in the building).

Line 9
LICENSE NOW IN EFFECT
· Check YES if there is a license already in effect for the premises in which the applicant is seeking a license, and state name of licensee and license number.

Line 10
OTHER BUSINESS
· Indicate if there will be any other business conducted on the premises other than what is specified by the SLA license.

Line 11
OTHER INTERESTS
· Check if there are any other persons with any interest in the premises or business.

Line 12
INTEREST IN OTHER PREMISES
· List the names and addresses of premises in which all applicants, partners, corporate officers, directors, and stockholders have any interest.

FINANCIAL DOCUMENTS
THE APPLICANT MUST ACCOUNT FOR AND DOCUMENT THE SOURCE OF ALL FUNDS INVESTED IN THE LICENSED BUSINESS OR PREMISES.

EXAMPLES OF DOCUMENTS TO SUBMIT:

1. Commitment letters for bank loans.
2. Loan agreements.
3. Loan letters for personal loans.
4. Bank and stock account statements.
5. Sales Contract

(Copies are acceptable)

1. SOURCE OF FUNDS INVESTED IN BUSINESS:
A. Passbook Savings Account
Copy of **name page** and all pages. **Highlight unusual deposit and document or explain.**(Account must cover one year's activity).

If funds were transferred from another account or previous bank book(s), copy the **name page** and all pages going **back one year** for that book.

If it is a joint account and the other person(s) is not on the application, submit a Personal Questionnaire from said person(s).

B. Checking Accounts
Copy monthly statements going back one year. **Circle or highlight unusual deposits** and document or explain.

C. Stock Accounts
Submit copies of brokers' statements to prove ownership and reflect purchases and sales.

D. Property or Business
If you are using funds from the sale of property or business, **submit copy of contract** (if you have gone to contract), valid purchase offer, and proof of purchase date.

E. Gifts or Loans
If you are BORROWING MONEY from a bank, lending institution or any other source, submit commitment letters indicating amount of loan, collateral and co-signers.

If you have already received the money, submit a copy of the loan papers.

If you are borrowing money or are receiving a GIFT from an individual, that person must submit:

- a. Personal Questionnaire;
- b. Loan or gift; and
- c. Copy of account from which funds will be loaned or gifted going back one year.

Important

You are not limited to the above. Submit any and all records, documents, affidavits that you feel may assist you in explaining your financing, background and operation of the applied for business.

ALL APPLICANTS WILL BE REQUIRED TO BE FINGERPRINTED ELECTRONICALLY:

ELECTRONIC FINGERPRINTING
PERSONS REQUIRED TO BE FINGERPRINTED:

- All individual applicants
- All partners in a Partnership and Limited Liability Partnership (LLP).
- For Corporations and Limited Liability Companies (LLC) see instructions for line 10.

NOTE: Persons CURRENTLY licensed by the State Liquor Authority do not have to be fingerprinted.

- Each applicant required to be fingerprinted will be Instructed to contact L-1 Enrollment Services after the successful submission of your applications.
- The fee for electronic fingerprinting is \$106.00 and will be paid directly to L-1 Enrollment Services when you are fingerprinted.

CONTRACTS

1. Contract of Sale or Conveyance:
Submit copy if the premises are currently licensed or if business or property were purchased.

2. Work Contracts:
Submit a copy of contracts or agreements for construction work, fixtures and equipment.

PHOTOGRAPHS: (at least 5" x 7")

1. INTERIOR PHOTOGRAPHS:
Showing interior of premise.
If unavailable, provide a statement explaining why and when they will be submitted.

2. EXTERIOR PHOTOGRAPHS:
Showing front of premises (due when premises Are completed). If there is an existing structure or a proposed lot, exterior photos are required at the time of filing application, as well as upon completion of the premises.

Important

- Photographs must be taken not more than one month prior to time the application is filed.
- All photographs submitted must be endorsed on the reverse side with the name and address of the applicant and the date when the photographs were taken.

DIAGRAMS

- 8.5" x 11" paper **ONLY**.
- Reduced blueprints are not acceptable.
- All applicants must submit a block plot diagram.

1. INTERIOR DIAGRAMS:

- Diagrams or sketch of the interior with dimensions of all rooms (including bathrooms and the basement if part of the premises).
- If the premises is in a multi-unit or multi-story building, diagram must also state and show where in the building.

· Show all entrances and exits.

2. FRONTAL ELEVATION DIAGRAM:

- A sketch or elevation of the exterior of the premises showing entrances.

3. AREA DIAGRAM:

- A block plot diagram is required.

Important:

Each diagram submitted should bear the name and address of the applicant.

SECTIONS A THRU G

CAREFULLY READ instructions at the top of each form to determine if applicant must complete the form.

**SECTION E
APPLICANT'S STATEMENT**

- Applicants must section E.
- Applicant signatures required for:
 - Individual applicants
 - Each partner in a partnership
 - Authorized official of a corporation

**SECTION F
PERSONAL QUESTIONNAIRE**

- Must be completed in full by the following persons:
 - all license applicants
 - each partner in a partnership
 - each limited liability manager and members with at least 10% operating interest or
 - file LLC/holding corporation stipulation if 10 or more members
 - each limited partner
 - corporate officers, directors, and stockholders with at least 10% stock ownership
 - individual lenders and donors
 - co-signers of loans
 - spouses who assist in management of premises
 - landlords

·Each questionnaire must be signed and dated.

INSTRUCTION SHEET

NEW AND TRANSFER MANUFACTURER'S AND WHOLESALER'S LICENSE APPLICANTS

1. ONLY ONE COPY OF ALL THE NECESSARY FORMS IS REQUIRED.
2. A SURETY BOND COVERING THE LICENSE PERIOD IN THE AMOUNTS LISTED ON THE SCHEDULE OF LICENSE FEES.
3. BULLETIN #254 MUST BE COMPLIED WITH. COPY ATTACHED. APPLICANT WILL SUBMIT SIGNED STATEMENTS TO THAT EFFECT.
4. APPLICANTS SHOULD CONTACT THE NEW YORK STATE DEPARTMENT OF TAXATION AND FINANCE TO OBTAIN AN APPLICATION FOR ANY LICENSE THEY MAY REQUIRE (ADDRESS BELOW). THE ISSUANCE OF YOUR SLA LICENSE IS NOT CONTINGENT UPON OBTAINING A LICENSE FROM THE TAX DEPARTMENT.

NEW YORK STATE DEPARTMENT OF TAXATION AND FINANCE
FACCTS- REGISTRATION & BONDS UNIT-ROOM 306
W. A. HARRIMAN STATE OFFICE CAMPUS - BLDG 8 / 855
ALBANY, NY 12227
(518-457-4282)

5. FEDERAL PERMITS ARE REQUIRED FROM THE U.S. DEPARTMENT OF THE TREASURY, ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB). THE ACTUAL PERMITS ARE REQUIRED BEFORE ISSUANCE. **YOU MAY CONTACT TTB AT 1-800-398-2282.**
6. MANUFACTURERS ARE CONSIDERED FOOD PROCESSORS UNDER NYS AGRICULTURE AND MARKET LAWS AND ARE THEREFORE REQUIRED TO HAVE AN ARTICLE 20-C FOOD PROCESSING LICENSE. FOR INFORMATION AND APPLICATION CONTACT: NEW YORK STATE AGRICULTURE AND MARKETS, DIVISION OF FOOD SAFETY AND INSPECTION, 2 WINNERS CIRCLE, ALBANY, NEW YORK 12205. BY TELEPHONE: **(518) 457-7139.**
7. IF THIS IS A NEW LICENSE AND /OR THERE ARE NO CONTRACTUAL AGREEMENTS, GIVE DETAILS OF LENGTH OF TIME PROPERTY OR BUSINESS HAS BEEN OWNED AND/OR OPERATED AND ACQUIRED. IF BEGUN OR ACQUIRED IN PAST YEAR, GIVE DETAILS OF FINANCING.