

NEW YORK STATE LIQUOR AUTHORITY

THIS IS AN APPLICATION FOR ALCOHOLIC BEVERAGE RETAIL LICENSE - VESSEL

It is not necessary to employ any person, agency or organization to assist you in filing this application. Beware of persons claiming to be able to assist you in securing action on your application. The payment of money or other thing of value for the use of influence, or promise of influence in obtaining a license is a violation of law and offenders will be prosecuted.

1. Full Name of Applicant: _____
Coast Guard Registration # _____
Submit copy of registration

Mooring Place of Vessel - Street Address _____

City, Town or Village _____ ZIP _____

2. Name of Vessel: _____

Office Address of Applicant _____

City, Town or Village _____ ZIP _____

County _____ Telephone No. _____

3. Attorney/Representative Name _____

Office Address _____ ZIP _____

City/Town/Village _____ Telephone No. _____

4. Alcoholic Beverage License Class _____ **CODE:** _____

5. TOTAL PAYMENT DUE: _____ \$

[OFFICE USE ONLY]

Date filed: _____ STATE LIQUOR AUTHORITY action: Approval

County Code # _____ Disapproval

SERIAL NUMBER: _____

Zone: _____ County: _____ Serial No: _____ Class: _____

Deposit Date: _____ Slip No: _____ Fee: _____ Audited By: _____

6. INDIVIDUAL OR PARTNERSHIP APPLICANTS ONLY

Name of applicant Residence Citizenship DOB

7. LL COMPANY/CORPORATIONS OR LL PARTNERSHIPS ONLY

- a. State under what law applicant was organized:
- b. Date of organization:
- c. Enter the Names of the Members and Manager Positions and ownership interest:

Name Member or Manager Position % of Ownership Interest

8. CORPORATE APPLICANTS ONLY

- (a) State under what law applicant was organized: _____
- (b) Date of organization: _____
- (c) List names and addresses of the STOCKHOLDERS, all OFFICERS and DIRECTORS as of the date of filing of this application:

Name Residence Citizenship Title # of shares Birth Date

9. LEASE ARRANGEMENTS

(a) Does applicant occupy said premises under a written lease or option to lease? NO _____ YES _____
S

(b) If YES, state name and address of immediate lessor. _____
SUBMIT COPY OF LEASE WITH ALL TERMS! _____

(c) Do the terms of the lease or other arrangement require payment by the applicant of any consideration based on a percentage of the receipts of the business? NO _____ YES _____
S

(d) If YES, state percentage and give details: _____

10. VESSEL LICENSE HISTORY

(a) Has any license ever been issued under the Alcohol Beverage Control Law for the vessel for which this application is filed? NO _____ YES _____
S

(Give name of current/previous licensee & license number _____

(b) If so, was any such license ever revoked or canceled? NO _____ YES _____
S

(c) If so, give date of such revocation or cancellation. _____
(attach details of revocation/cancellation)

11. INTERESTED PARTIES

Has any person not an applicant herein, or, if a corporate applicant, any person not an officer, director, or stockholder of such corporation, or any person not reported in questions above:

(a) Any interest, financial, proprietary or other, direct or indirect in the vehicle or in the business to be licensed, or has made any loan to the applicant for said business or has any lien or mortgage on the fixtures in the business? NO _____ YES _____
S

(b) Any arrangement to share on a percentage basis or in any way in the receipts, losses or deficiencies of the business, to any extent whatsoever? NO _____ YES _____
S

If so, state the names and addresses of such persons, the nature and percent of their share and date acquired.

STATEMENT OF FINANCES

State the total amount of money you are investing in the licensed premises.

TOTAL DOLLAR AMOUNT: \$ _____

BREAKDOWN OF TOTAL

Total Cash:	\$ _____
Total Deferred:	\$ _____

***NOTE** For the purpose of this form, CASH is defined as money that you have in your possession, you don't have to pay back, and is verifiable (example: stocks, bonds, CD's, savings accounts, etc.).

For the purpose of this form, DEFERRED is defined as money that you have to pay back at some point in time (example: loan, mortgage, line of credit, credit card, note, etc.).

1. Set forth the source of funds for this investment (accounts, loans, gifts, asset sales, etc.) and enter account numbers.
2. Set forth all repayment terms for any deferred monies.

NOTIFICATION OF MUNICIPALITY/COMMUNITY BOARD

Applicants for On Premises licenses must complete Section F

You are required by the Alcoholic Beverage Control Law, Section 64, Subdivision 2a, upon receipt of an application for a license to sell liquor at retail for consumption on the premises and within the City of New York an application for on premises consumption of beer and on premises consumption of wine, to promptly notify, in writing, the Clerk of the Village, Town or City wherein the premises are located of your application to the State Liquor Authority not less than thirty days prior to the submission of your application to the Authority.

- In the City of New York, such notification is to be sent to the community board with jurisdiction over the area in which the premises is located.
- Notification pursuant to this Section is to be sent by certified mail, return receipt requested.

NOTE: FAILURE TO NOTIFY THE APPROPRIATE MUNICIPALITY OR COMMUNITY BOARD AT LEAST THIRTY (30) DAYS PRIOR TO THE SUBMISSION OF YOUR APPLICATION WILL RESULT IN A DELAY IN PROCESSING YOUR APPLICATION.

CERTIFICATION RIDER TO APPLICATIONS

I hereby certify that on the _____ day of _____, 20 _____

I complied with the requirements of Section 64.2(a) of the Alcoholic Beverage Control Law, and sent notification of my application to become licensed, **by certified mail, return receipt requested** to the Clerk of the

City Town Village of _____

or, in New York City, the Clerk of Community Board # _____

Borough of _____, where the premises are located.

Signature	Date
Name of Applicant	Trade Name
Premises Street Address	City, State, Zip

PHONE LISTINGS FOR NEW YORK CITY RESIDENTS

If you are unsure of which community board serves the area in which your premises are located, call the number listed below for the office of your Borough President:

Manhattan	Bronx	Queens	Staten Island	Brooklyn
212-669-8300	718-590-3500	718-286-2900	718-816-2200	718-802-3700

NOTIFICATION OF PUBLICATION

Applicants for On Premises licenses must complete Section G

Effective August 22, 1999, all applicants for licenses for on-premises consumption **must publish a NOTICE in a newspaper**, designated by the County Clerk, once a week for two successive weeks as hereinafter provided.

- If the proposed premises are located in any county **other** than New York, Kings, Queens, or Bronx, the NOTICE shall be published in a daily or weekly newspaper in the county where the premises are located.
- If the proposed premises are located in the counties of New York, Kings, Queens or Bronx, the NOTICE shall be published in one daily and one weekly newspaper published in the county where the premises are located.

The NOTICE shall be printed in **English** in substantially the following form:

Notice is hereby given that a license, number *(fill in license number)* for *(fill in beer, liquor and/or wine, as the case may be)* has been applied for by the undersigned to sell *(fill in beer, liquor and/or wine, as the case may be)* at retail in a *(hotel, club, restaurant, vessel, car, or other type of establishment, as the case may be)* under the Alcoholic Beverage Control Law at *(fill in street address, city, town or village and county in which the premises are located)* for on-premises consumption.

The first publication shall be made within 10 days of the filing of the application. Applicant shall obtain two original copies of proof of publication. One original copy must be submitted to the Authority within 15 days of receipt. The second original shall be retained by applicant. **Except for good cause shown, the Authority shall not issue the license unless proof of publication is submitted within such 15 day period.** The form of proof of publication shall be as follows:

STATE OF NEW YORK

COUNTY OF _____

_____ of _____ being duly sworn, says that (s)he is

_____ of the publishers of the _____, a (daily) or

(weekly) newspaper (printed and) published in the (city, town, or village and county)

_____, and that the notice of which the annexed is a true copy, has been

published in said newspaper for two successive weeks commencing on the _____ day of

_____.

Sworn to before me this _____ day of

LANDLORD VESSEL IDENTIFICATION QUESTIONNAIRE

1.) Owner of Vessel _____

1(a) Business Address of Owner _____

2.) Type of ownership: Individual _____
Proprietorship _____
Partnership _____
Corporation _____

3.) Landlord Principals:

NAME	RESIDENCE ADDRESS
_____	_____
_____	_____
_____	_____

4(a) Are any persons listed on this form police officers: NO _____ YES _____
S _____

(b) If YES, list names: _____

5(a) Are any persons listed on this form currently or previously licensed under the ABC law? NO _____ YES _____
S _____

(b) If YES, list names and license numbers: _____

Signature of LANDLORD: _____

Title: _____ Phone Number: _____

IMPORTANT: Signature must be same as signature on original lease--if not: furnish either affidavit in explanation, affix legible corporate seal, or submit other proof of signature's authority.

ON-PREMISES VESSEL QUESTIONNAIRE

See instructions for diagrams & photos required in support of this application!

1. VESSEL - PHYSICAL LAYOUT

- (a) Type of vessel and list number of decks: _____

- (b) What is the access between decks? _____
- (c) How many decks do the premises occupy? _____
- (d) Any openings to other parts of the vessel? NO _____ YES _____
- (e) If so, describe: _____

- (f) How many rooms on each deck? _____
- (g) Use of rooms? _____

- (h) How many bathrooms? _____
- (i) What is the maximum number of persons that can legally occupy the vessel? _____
- (j) Number of tables? _____
- (k) Number of seats at tables? _____
- (l) Is the interior view unobstructed throughout? _____
- (m) If not, state reason: _____

- (m) Are premises sufficiently illuminated? NO _____ YES _____
S _____

2. BARS

- (a) How many stand-up bars are located on the vessel? _____
- (b) How many service bars? _____
- (c) Describe all bars (length, shape and location): _____

- (d) Any food counters? NO _____ YES _____
S _____

(e) If so, describe (length, shape and location): _____

3. KITCHEN

(a) Location and size of kitchen, if any: _____

(b) Is food available for sale? NO YES
_____ S _____

(c) If so, describe type of food: _____

4. PROPOSED METHOD OF OPERATION

(a) For what purpose is said vessel used? _____

(b) Is vessel used on a regular trip schedule OR for chartered purposes? _____

(c) Will vessel provide live music, dancing, or entertainment for passengers? NO YES
_____ S _____

(d) If so, describe: _____

(e) Will vessel offer gambling? NO YES
_____ S _____

(f) If so, describe: _____

(g) Will the applicant operate gambling outside New York State Territorial Waters? NO YES
_____ S _____

5. PERMITS

(a) Has applicant obtained a Federal Tax I.D. Number? NO YES
_____ S _____

NOTE: You may submit this application with the above mentioned permit *applied for and pending*, however, a license cannot be issued until copies of the permit are received by the Liquor Authority.

APPLICANTS STATEMENT

Any answer or statement, which is false, made by the applicant may constitute perjury and may subject any permit or license issued hereunder to revocation or cancellation.

I, _____,

the applicant, (sole proprietor, partner, corporate principal or LLC member) for an Alcoholic Beverage Control Retail License understand that the New York State Liquor Authority will **rely** on each and every answer in the application and accompanying papers in reaching their determination and state, under penalty of perjury, that all statements therein are **true** to the best of my knowledge and belief.

I further state that the location and layout of the premises to be licensed does not violate any requirement of the ABC Law.

I verify if any change occurs prior to the receipt of the license, I will notify the Authority by registered or certified mail within 48 hours or if change occurs after receipt of the license, I will notify the Authority similarly within 10 days. I understand that failure to give the required notice will violate the Alcoholic Beverage Control Law and may result in revocation of the license.

Signature

Date

4. LICENSE HISTORY / AFFILIATIONS

Do you have any interest, direct or indirect, in any premises or business where any alcoholic beverage is manufactured, transported or sold at wholesale or retail whether by stock ownership, interlocking directors, mortgage or lien on, or ownership of any real or personal property, or by any other means including loans? NO YES

If YES, provide information below:

Business Name	Type of Business	Date Interest Began	Business Address	Liquor License
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Other than as itemized in the above, DURING THE PAST 10 YEARS has the applicant (including any officers, directors, shareholders, LLC members or partners listed in the statement of identity above or the spouse of any such person) or the applicant's spouse ever applied anywhere for a license or permit to traffic in alcoholic beverages, including any application as a partnership or corporation in which they are/were a principal? NO YES

If YES, provide information below:

Name of applicant	Address of premises	Date of filing	License No.	Disposition
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Has a license or permit listed above been REVOKED, CANCELED or otherwise **Involuntarily Terminated**? NO YES

If yes, state action and date of action:

5. POLICE OFFICIALS

Are you or your spouse a police commissioner, other police official or subordinate of any police department in the state? NO YES

If YES, provide details:

6. CONVICTION RECORD & PENDING CRIMINAL CASES

Have you or your spouse (or any officer, director, shareholder or partner listed in this application or the spouse of such person) been convicted of a crime addressed by the provisions of section 126 of the ABC law which would forbid a person to traffic in alcoholic beverages?

NO

YES

If yes, supply details (attach additional pages as necessary):

Have you or your spouse (or any officer, director, shareholder or partner listed in this application or the spouse of such person) ever been convicted of or charged with a crime that has not resulted in an acquittal, dismissal, pardon, certificate of good conduct or certificate of relief from disabilities?

NO

YES

If yes, supply details (attach additional pages as necessary):

I understand that the information I submit will be relied upon by the State Liquor Authority and a false statement or misrepresentation will constitute cause for the disapproval of the application or revocation of any license for which this application is submitted.

I verify that statements made herein are true and if any change occurs prior to the receipt of the license, I will notify the Authority by registered or certified mail within 48 hours or if change occurs after receipt of the license, I will notify the Authority similarly within 10 days. I understand that failure to give the required notice will violate the Alcoholic Beverage Control Law and may result in revocation of the license.

Signature

Date