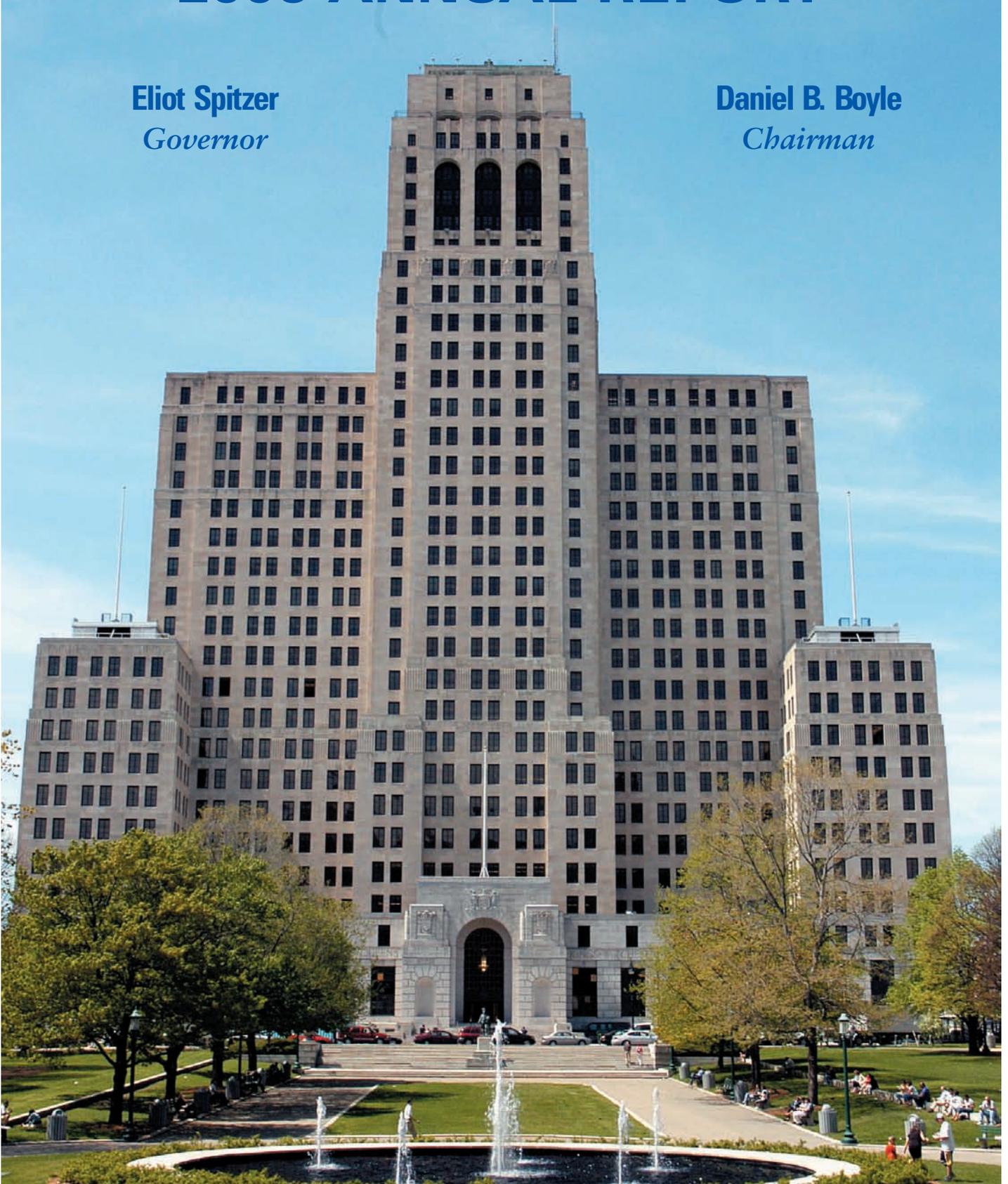


# New York State Liquor Authority

## 2006 ANNUAL REPORT

**Eliot Spitzer**  
*Governor*

**Daniel B. Boyle**  
*Chairman*





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# New York State Liquor Authority



## *2006 Annual Report*

Eliot Spitzer  
*Governor*

Daniel B. Boyle  
*Chairman*

Lawrence J. Gedda  
Noreen Healey  
*Commissioners*

State of New York  
Executive Department  
Division of Alcoholic Beverage Control



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## Letter from Chairman



**STATE OF NEW YORK  
EXECUTIVE DEPARTMENT  
DIVISION OF ALCOHOLIC BEVERAGE CONTROL**

STATE LIQUOR AUTHORITY

80 S. Swan Street  
Albany, New York 12210

317 Lenox Avenue  
New York, New York 10027

535 Washington Street  
Buffalo, New York 14203

[www.abc.state.ny.us](http://www.abc.state.ny.us)

Dear Governor Spitzer and Members of the Legislature:

On behalf of the Division of Alcoholic Beverage Control, the 2006 Annual report of the New York State Liquor Authority is hereby submitted. This report presents comprehensive information and statistical data on the agency's activities over the past year.

The Authority is responsible for properly issuing licenses and ensuring those licensed comply with the Alcoholic Beverage Control law (ABC Law). In carrying out these functions, the Authority seeks to work cooperatively with local law enforcement, government officials, community groups and local leaders to ensure public participation in the licensing and enforcement process.

The State Liquor Authority continues to move forward in meeting our objective to serve the citizens of New York State. I would like to thank the hardworking staff at the Authority who everyday remain vigilant in achieving our goals. As always, we welcome your comments and suggestions.

Sincerely,

Daniel B. Boyle  
Chairman



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## Historic Overview / Authority Responsibilities

On December 5, 1933, President Franklin Delano Roosevelt signed Presidential Proclamation number 2,065, officially declaring that the 18th Amendment to the U.S. Constitution was replaced by the 21st Amendment. The 21st Amendment repealed Prohibition and gave each state the power to regulate the trafficking of alcoholic beverages within its borders. Chapter 180 of the Laws of 1933 provided for the manufacture of malt beverages and wine not exceeding 3.2 percent alcohol content under the guidance of an Alcoholic Beverage Control Board.

In 1934, New York State enacted Chapter 478, known as the Alcoholic Beverage Control Law, creating the State Liquor Authority and the Division of Alcoholic Beverage Control. The State Liquor Authority's first Annual Report noted that Chapter 478 was enacted by the Legislature for "the protection, health, welfare and safety of the people of the State." These concerns are as important today as they were then.

The major responsibilities of the Division of Alcoholic Beverage Control include:

- Reviewing applications and investigating applicants to determine eligibility;
- Issuing licenses and permits for the manufacture, wholesale distribution and retail sale of all alcoholic beverages;
- Regulating trade and credit practices related to the sale and distribution of alcoholic beverages at wholesale and retail;
- Limiting, in the Authority's discretion, the number and type of licenses issued as determined by public convenience and advantage;
- Working with local law enforcement agencies to ensure compliance with the ABC Law;
- Investigating licensees in connection with violations of the ABC Law;
- Inspecting premises where alcoholic beverages are manufactured or sold; and
- Bringing disciplinary charges when appropriate.

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[Review](#)  
[License](#)  
[Inspect](#)  
[Regulate](#)

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## Mission Statement

Chapter 478 of the Laws of 1934, known as the Alcoholic Beverage Control Law, created the State Liquor Authority and the Division of Alcoholic Beverage Control. The Legislature enacted this measure “for the protection, health, welfare and safety of the people of the State.”

The SLA has two main functions: issuing licenses and ensuring compliance with the Alcoholic Beverage Control Law. The Authority’s Licensing Bureaus are responsible for the timely processing of permits and licenses required by the ABC Law. The Compliance Unit is responsible for the protection of the public by working with local law enforcement agencies to uphold the law and bring administrative action against licensees who violate the law.



*The Zone 3 Offices  
are in the  
Iskalo Electric Tower,  
Buffalo*

### *The Authority seeks to:*

- Respect applicants and licensees;
- Work cooperatively with community groups and local leaders to ensure public participation in the licensing and enforcement process;
- Increase productivity by utilizing available resources, education and training to successfully deliver quality service to our customers;
- Ensure that those who do not respect the privilege of holding a license are fairly and firmly disciplined; and
- To create a unified, comprehensive approach to all Agency functions to achieve maximum effectiveness and efficiency.

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## Accomplishments

- The State Liquor Authority conducted numerous outreach meetings with interested parties from across the state in 2006. The SLA Chairman, Commissioners, CEO and staff met with police departments, elected officials, Community Boards, community groups and licensees in an effort to gain their input, insight and expertise.

- SLA Chairman Boyle convened the “Taskforce for the Review of On-Premises Licensure” to review the ABC Law and procedures for on-premises licensing. Chaired by SLA Commissioner Healey, the taskforce included legal experts, elected officials, community leaders, law enforcement officials and representatives from the industry. The taskforce issued a report in 2006 with recommendations to modernize and streamline the application process.

- The SLA established the Rapid Enforcement Unit (REU) in April of 2006 to conduct priority investigations and institute prompt disciplinary action where evidence demonstrates a licensed premises poses a threat to public. The REU immediately responds to allegations of criminal activity and serious repeat violations of the ABC Law. In less than nine months of operation, investigations from the new unit resulted in the issuance of 9 emergency summary suspensions, two revocations as well as other penalties and fines. The REU coordinates SLA efforts with our law enforcement partners throughout the state in a continuing effort to make our communities safer.

- The SLA joined the ongoing investigation with the NYS Attorney General’s Office into improper trade practices in the liquor and wine industry, culminating in millions of dollars in fines imposed against retailers, wholesalers and manufacturers. As part of this investigation, court orders were issued that will serve to send a clear message to all licensees that illegal conduct will not be tolerated.

- In conjunction with the Office of Alcoholism and Substance Abuse (OASAS), the SLA published a bilingual version of the “Handbook for Retail Licensees,” as well as updated versions of the “Manual for Law Enforcement,” and “Alcohol & Your Child” publications.

- Enforcement staff trained hundreds of police professionals, school officials and licensees throughout the state in the ABC Law. In addition, 296 Enforcement staff-approved Alcohol Awareness Training courses were conducted, with 3,681 licensees and their employees completing the course.

- The Full Board of the State Liquor Authority held 25 regular meetings in 2006, 24 in the NYC office and 1 in Albany. In addition, SLA Chairman Boyle called five emergency Full Board meetings where immediate summary suspensions were issued.

- The Full Board reviewed 4,368 cases and applications, terminated 479 licenses for cause, suspended 246 licenses for a total of 3,348 days and

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Outreach  
Technology  
Education  
Training  
Enforcement  
Regulation

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issued civil penalties and bond claims totaling over \$6.5 million in 2006.

- The Hearing Bureau concluded 462 disciplinary hearings and submitted 468 matters to the Full Board calendars, an increase of 32% and 25% respectively over 2005.

- The Information Technology (IT) Department began implementation of e-Wholesale Price Postings. The e-Wholesale Price Posting application will enable the electronic submission of all mandated wholesale price schedules. The online system will eliminate the monthly mailing process for our wholesalers and provide them with a

secure environment to upload, data enter and modify their monthly price schedules electronically, thereby providing the data necessary for the Agency to better regulate the Wholesale industry.

- The IT Department implemented a secure remote access solution for SLA Enforcement field staff. The solution enables investigators to establish a secure connection to all internal Agency systems, anytime, anywhere as they conduct field investigations.

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## Daniel B. Boyle

### Chairman/Commissioner

Daniel B. Boyle was nominated on January 12, 2006 as Chairman and Commissioner of the New York State Liquor Authority and confirmed by the State Senate on February 15, 2006. A devoted law enforcement professional with over 31 years of service, Chairman Boyle has earned a reputation as a leader with vision, courage and commitment.

Chairman Boyle was appointed as Police Officer with the Syracuse Police Department in 1974, serving as the Department's first-ever evidence technician. He rose steadily through the ranks in the Criminal Investigations Division, Personnel & Training Divisions and in the Administration Bureau where he coordinated a newly formed D.A.R.E. program with local school and community representatives. Chairman Boyle was appointed Deputy Chief of Police in 1994 and then First Deputy Chief in 1999, where he directed his efforts towards addressing community goals and objectives for the Department. In 2001, Chairman Boyle left the Syracuse Police Department to become Chief of Police of the East Syracuse Police Department. In 2002, Chairman Boyle became the Commissioner of Public Safety for the City of Schenectady, and most recently served as Chief of Police for the Town of Glenville, NY.

His diverse background includes experience with budget making, audits, public safety, working directly with community leaders and strengthening staff output. Chairman Boyle has successfully launched training programs, developed strong relationships with community leaders, governmental agencies and introduced effective strategies in dealing with day to day management of law enforcement agencies.

A native of Syracuse, Chairman Boyle earned an Associate's Degree in Criminal Justice from Onondaga Community College, a Bachelor's Degree as a Dual Major in Psychology and Sociology from Syracuse University and is currently enrolled in the Maxwell School of Citizenship and Public Affairs at Syracuse University working towards a Master's Degree in public administration. Chairman Boyle is a member of the Central New York State Association of Chiefs of Police and a graduate of the FBI National Academy.

Chairman Boyle and his wife Patricia of 29 years are the happy parents of two daughters and reside in Syracuse, NY.



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## Lawrence J. Gedda

### Commissioner



Mr. Gedda was first confirmed as Commissioner of the State Liquor Authority in June, 1992. He was reappointed in June, 1995 and May, 1999.

Commissioner Gedda joined the Authority in 1963 as a member of the staff. He served in numerous capacities including Chief Executive Officer, Deputy Commissioner of Enforcement and Director of the Wholesale Bureau.

Commissioner Gedda was educated at Valley Stream Central High School, Penn State University, Hofstra and Columbia University. He taught Alcoholic Beverage Control Law at Touro Law School (Huntington, N.Y.).

Commissioner Gedda was a member of the United States Army Counterintelligence Corp. (CIC) and served as a special agent in Berlin, Germany during the Korean War.

His civic and professional associations include Rotary, Elks, the Society of Professional Investigators and the Association of Former Intelligence Officers.

He is a former football referee for the Eastern Collegiate Athletic Conference (ECAC).

Larry and his wife of 48 years, Marilyn, have two children and three grandchildren.

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## Noreen Healey

### Commissioner



Noreen Healey was nominated on June 14, 2006 as Commissioner of the State Liquor Authority and confirmed by the State Senate on June 21, 2006.

Prior to her appointment, Commissioner Healey was a Principal Court Attorney, serving as a confidential legal advisor to Judges in New York State Supreme Court, Criminal Division in Kings and Bronx Counties. She also served as an Assistant District Attorney in the prestigious Appeals Bureau of District Attorney's Offices in Kings, Nassau and Queens Counties for more than twelve years. She has experience as a litigation attorney representing the New York City Department of Social Services in child abuse and neglect proceedings in Family Court, New York County.

Commissioner Healey is a member of the New York County Lawyers Association, where she sits on the Law-Related Education Committee. In 2005, she received the Committee's Pro Bono Award for her contributions in providing law-related education to students in New York City Schools. She is a member of the Brooklyn and New York City Bar Associations, and sits on the Social Welfare Committee at the City Bar Association.

Commissioner Healey graduated from Saint John's University School of Law in Jamaica, Queens. She earned her Bachelor of Arts Degree, Magna Cum Laude, from Pine Manor College in Massachusetts. She earned the Pine Manor "President's Cup for Outstanding Scholarship," an award given to the highest ranking senior at graduation. Commissioner Healey is a New York City resident, living in Brooklyn Heights.

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## Joshua B. Toas

### Chief Executive Officer

Joshua B. Toas was appointed Chief Executive Officer of the New York State Liquor Authority (SLA) in November of 2005. In this capacity, Mr. Toas is responsible for running the daily operations of the Agency.

Prior to his arrival at the SLA, he served as Deputy Executive Director of the NY Office of Science, Technology and Academic Research (NYSTAR) where he also was in charge of daily operations and served on the Governor's Homeland Security Task Force. Prior to his arrival at NYSTAR, Mr. Toas served as Executive Deputy Commissioner of the New York State Office of Alcoholism and Substance Abuse Services (OASAS) where he was instrumental in restructuring the one thousand person state agency while running the agency's daily operations. Mr. Toas has served in a variety of leadership positions in NYS government including: OASAS Acting Executive Deputy Commissioner and General Counsel, New York Assistant Secretary of State, Deputy Counsel to the Secretary of State, Special Counsel to the Governor for Appointments, and as an Associate Counsel in the New York State Senate. While at the Department of State, Mr. Toas was instrumental in the implementation of the low ignition propensity cigarette regulations, the first of its kind regulations in the world. Mr. Toas was also responsible for all Agency legislative initiatives and was involved in agency special projects. As an Associate Counsel in the State Senate, Mr. Toas was the principal drafter of the Prostate and Testicular Cancer Detection and Education Program and was involved in other health and environmental legislative initiatives.

Mr. Toas currently serves as a captain in the US Army Reserves and is a veteran of Operation Iraqi Freedom, where he served as the Chief of Administrative and Operational Law for the United States Third Army, Army Central Command, Coalition Forces Land Component Command.

Mr. Toas also serves as the Vice Chairman of the Board of Directors of the Institute for Building Technology and Safety, a Virginia based corporation. He is member of the Veterans of Foreign Wars, the American Legion, and the Reserve Officers Association.

Mr. Toas was born in Philadelphia, PA and received his Bachelor of Arts Degree with honors in Political Science at Temple University in 1993. He attended Widener University School of Law where he received his Juris Doctor in 1996 and was awarded the Wapner, Newman, Wigrizer Award for Trial Advocacy and served as an editor of the Law Review.

He currently resides in Niskayuna with his wife Megan.



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## Senior Agency Staff

Thomas Donohue, Counsel to the Authority  
J. Mark Anderson, Senior Deputy Commissioner  
Thomas O'Connor, Deputy Commissioner of Government Affairs  
William Crowley, Director of Communications  
Jacqueline Held, Acting Secretary to the Authority  
Kimberly Ciccone, Secretary to the Chairman  
Stephen Kalinsky, Chief Administrative Law Judge, Hearing Bureau  
Daniel Malay, Director of Enforcement  
Michael Drake, Director of Information Technology  
Kerri O'Brien, Director of Licensing

### Zone 1 – 317 Lenox Avenue, NY, NY 10027

Edward Reyer, Director of Operations  
Frederick Gioffre, Deputy Commissioner of Licensing  
Michael Sakovsky, Deputy Commissioner of Licensing  
Marvin Levine, Supervising BCI, Enforcement  
Robert Buckley, Associate Attorney, Legal  
Kimberly Morella, Deputy Director of Communications

### Zone 2 – 80 S. Swan Street—Suite 900, Albany, NY 12207

Thomas Pascucci, Supervising BCI, REU  
Robert Benedetto, Supervising BCI, Training

### Zone 3 – 535 Washington Street, Buffalo, NY 14203

Rose Blasio, Office Manager  
Brandon Noyes, Executive Officer, Licensing  
Kurt Herrmann, Supervising BCI, Enforcement

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## Licensing

The Agency maintains three zone offices in Albany, Buffalo, New York City and a satellite office in Syracuse. The Deputy Commissioner of Licensing coordinates statewide licensing policies, standards and initiatives and is responsible for systems development to support the Agency.

### LICENSE AND PERMIT TYPES

The ABC Law defines 173 different licenses and permits within the general categories of manufacturer, distributor, wholesaler and retailer. The holder of a wholesale license is authorized to manufacture and distribute alcoholic beverages to licensed retailers. A retail license authorizes the holder to sell alcoholic beverages directly to consumers for on or off-premises consumption. The length of the license period varies depending on the class or type of license issued. The fee structure for each license/permit is set by statute.

### LICENSING PROGRAM

It is the responsibility of the Licensing Bureau to ensure that all applicants meet the statutory requirements and qualify to obtain a license or permit. The Licensing Bureau reviews license and permit applications carefully, documents all findings and prepares detailed reports to ensure that either the local Licensing Board or the Members of the Authority are able to make a reasonable determination on every application.

### LICENSING PRODUCTIVITY

The Agency regulates over 70,000 licenses and permits statewide each year. The Licensing Bureau issued 6,035 licenses and 20,993 permits.



*Mike Sakovsky  
Deputy Commissioner  
Zone I Licensing*

### BRAND LABEL REGISTRATION

All labels for spirits or malt beverages must first be approved by the Authority before they are allowed to be sold in New York State. The brand owner/manufacturer may either apply for a wholesale license or designate an existing New York State licensed wholesaler as the exclusive agent for the registration of its brand.

The Licensing/Wholesale Bureau reviews both original and renewal applications, prepares all documentation for the Members of the Authority, and issues licenses and permits when appropriate.

### PERMIT UNIT

This unit processes all permits, including Temporary Beer and Wine Permits, Caterer's Permits, Transportation Permits, Solicitor's Permits and all other miscellaneous permits. The Unit reviews all applications for completeness and ensures that all policies and procedures are followed in the review process. The Unit works with the municipalities, including the local police precincts, to ensure that permits are not issued to applicants who have held more than the



*Fred Gioffre  
Deputy Commissioner  
of Licensing*



*Mike Sakovsky checking application information against agency files*

allowable number of permits at a specific location or at locations that have been the focus of police attention.

### INVESTIGATIVE/EXAMINER UNIT

The Investigative/Examiner Unit processed over 6,000 cases in 2006, an average of over 500 cases per month.

### RENEWAL UNIT

The Renewal Unit is responsible for the review and issuance of all applications for renewal of licenses/permits statewide. Renewal applications are printed and mailed to licensees eight weeks prior to the expiration of their current license. When the renewal application is received in the office, the applications are reviewed for completeness and all pertinent information is data entered into the computer system. A review of any prior adverse history or pending charges is also completed prior to making a determination on the renewal application. Licensees with adverse history or pending cases may receive a State Administrative Procedure Act (“SAPA”) letter, not a renewal. This allows the establishment to continue to operate temporarily, pending the disposition of disciplinary matters.

### INTAKE UNITS

Intake Units in all three zones reviewed and processed over 7,400 applications statewide. The unit follows a strict adherence to documentation for all new applications, corporate changes, and alteration applications. In New York City, the unit also checks for required documentation of all Community Board notifications and the separation of the 500 Foot Hearing applications.

### FEES AND REFUND UNIT

This unit receives and processes all fees from license and permit applications. The unit prepares daily deposits and processes refunds where necessary. Documentation for the “surrender” of licenses is performed by this unit. This documentation is then forwarded to the New York State Office of Audit & Control.

### DATA ENTRY/RECORD ROOM

All applications are sent to the “Record Room” where a file is created. The data-entry of all pertinent data is recorded in our computer system. The new application is assigned a serial number and sent on to an investigator. The files are utilized by the Enforcement Bureau, the Office of Communications, and Counsel’s Office.

## 2006 Licensing Statistics

### Licenses

		On	Off		
		Premises	Premises	Wholesale	Sub-Totals
<b>ZONE 1</b>	Received	2,474	2,363	52	4,889
	Approved	1,764	1,905	40	3,709
<b>ZONE 2</b>	Received	984	518	286	1,788
	Approved	892	459	239	1,590
<b>ZONE 3</b>	Received	513	241	22	776
	Approved	486	232	18	736
			Statewide Total	Received	7,453
				Approved	6,035

### Permits

		Brand Label	Other	Sub-Totals
<b>ZONE 1</b>	Received	1,004	763	1,767
	Approved	1,065	898	1,963
<b>ZONE 2</b>	Received	206	419	625
	Approved	206	480	686
<b>ZONE 3</b>	Received	131	415	546
	Approved	131	526	657
		Statewide Total	Received	2,938
			Approved	3,306

### One Time Permits

		TPA's	Caterer's	Sub-Totals
<b>ZONE 1</b>	Issued	4,268	3,049	7,317
<b>ZONE 2</b>	Issued	3,588	2,838	6,426
<b>ZONE 3</b>	Issued	2,089	1,855	3,944
	Sub-Totals	9,945	7,742	
			Statewide Total	17,687

### License Changes

<b>ZONE 1</b>	Received	3,248
<b>ZONE 2</b>	Received	1,360
<b>ZONE 3</b>	Received	464
Statewide Total	Received	5,072

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## Calendar Year 2006 Statewide Licensing Revenues

<b>Class</b>	<b>New Licenses</b>	<b>Renewed Licenses</b>	<b>Totals</b>
On-Premises	\$8,973,031	\$23,540,045	\$32,513,076
Off-Premises	\$1,906,897	\$4,524,398	\$6,431,295
Liquor Stores	\$835,946	\$188,306	\$1,024,252
Wholesale	\$761,212	\$1,935,922	\$2,697,134
<b>Subtotals</b>	<b>\$12,477,086</b>	<b>\$30,188,671</b>	<b>\$42,665,757</b>
Misc. Permit Fees	\$302,221	\$1,510,046	\$1,812,267
One Time Permits	\$807,626		\$807,626
Brand Label Permits	\$288,450	\$690,550	\$979,000
<b>Total Licensing Revenues</b>			<b>\$46,264,650</b>

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## Disciplinary Process

An investigation by the New York State Liquor Authority may include on-site inspections of a licensed establishment; on-site undercover investigations by SLA Investigators and other law enforcement agencies; a review of reports and investigations by other law enforcement and regulatory agencies; and interviewing potential witnesses/complainants and collecting evidence of potential violations.

Information obtained is reviewed to determine if there is sufficient evidence to bring administrative charges against a licensee. A disciplinary proceeding is commenced by the issuance of a Notice of Pleading by the Office of Counsel setting forth the alleged violations. A licensee may enter a plea of not guilty, no contest, or conditional no contest. If the licensee fails to respond, the matter is treated as a no contest plea.

If a licensee pleads not guilty, a hearing date is scheduled with an Administrative Law Judge (ALJ). At the hearing, the SLA and the licensee may produce witnesses, cross-examine witnesses and submit evidence in support of their case. Decisions are made by the ALJ and presented to the Members of the Authority. ALJ's findings are not final, only the

Members of the Authority may make a final determination.

If the licensee pleads no contest, the case is sent directly to the Members of the Authority for final determination of the appropriate penalty. If the licensee submits a conditional no contest plea, the licensee's offer is forwarded to the Members of the Authority for final determination. If the offer is rejected by the Members, the matter is returned to Counsel's Office to schedule an administrative hearing.

Each case brought to the Members of the Authority is examined on its individual merits. If a disciplinary charge is sustained, the Members of the Authority may impose one or more of the following:

- License suspension, cancellation or revocation [ABCL § 17(3)];
- A monetary penalty, [ABCL § 17(3)];
- A bond forfeiture [ABCL § 112 and 9 NYCRR 81(3)]; and/or
- A two-year ban against the issuance of a license to any part of the building containing the revoked licensed premises [ABCL § 113(1)].

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Investigation  
Disciplinary  
Proceeding  
Hearing  
Resolution

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## Compliance Statistics

	REVO-CATIONS	CANCEL-LATIONS	SUSPENSIONS TOTAL	# OF DAYS	BOND CLAIMS	CIVIL PENALTIES IMPOSED	SUMMARY SUSPEN- SIONS	TWO YEAR PROSCRIP- TIONS
<b>2003</b>	88	305	195	2879	\$504,500	\$4,864,150	1	8
<b>2004</b>	125	272	238	3303	\$532,500	\$5,132,750	4	28
<b>2005</b>	141	323	250	3818	\$579,500	\$5,928,050	4	54
<b>2006</b>	203	252	246	3348	\$531,975	\$6,040,650	24	78

## Disciplinary Penalty Definitions

**Revocation** - terminates the license and bans the licensee from holding any liquor license for two years.

**Cancellation** - terminates the license, but does not ban the licensee from applying for a license for two years.

**Suspension** - prohibits the consumption or sale of alcoholic beverages for a designated period.

**Civil penalty** - monetary fine that may be levied against the licensee with or as an alternative to a revocation, cancellation, or suspension.

**Bond Claim** - a claim made against the licensee's surety bond.

**Proscription** - prohibits the issuance of a liquor license for any part of the licensed premises for two years. Can only be issued when a license is revoked.

**Summary Suspension** - under the State Administrative Procedure Act, a State agency is authorized to summarily suspend a license when the agency finds that public health, safety, or welfare imperatively requires emergency action.

## Enforcement

The Authority's Enforcement Bureau is responsible for investigating complaints alleging violations of the Alcoholic Beverage Control Law and the rules of the State Liquor Authority. The Bureau also provides training to police agencies as well as all levels of the beverage industry on provisions of the ABC Law. The Bureau is entrusted to enforce all the provisions of the ABC Law including the monitoring of manufacturing, wholesale, retail, transportation, storage, and other facets of the alcoholic beverage industry.

Many violations of the ABC Law are crimes in which violators may be arrested. Therefore, law enforcement agencies play an important role with the Authority in enforcing the law. This shared responsibility occurs most often at the retail or consumer level.

Although the Authority has no general criminal jurisdiction, the police

refer thousands of violations to the Authority for administrative prosecution. Complaints of violations are not only received by the Authority from police, but are also from numerous other sources, including governmental agencies, citizens' representatives, community groups and individual complainants.

In 2006, the statewide Enforcement Bureau implemented a computer based Compliance Tracking System. Beverage Control Investigators (BCI's) have been equipped with additional electronic personal devices enabling them to submit reports from the field as well as capture accurate images of investigation locations from stored data. The Enforcement Bureau continues to expand the 2005 initiative of using decoy minors in compliance and complaint checks as well as increase "in-house" training of our BCI's.

### ENFORCEMENT STATISTICS - SUMMARY 2006

COMPLIANCE SYSTEM STATISTICS	COMPLIANCE CASES OPENED TO ENFORCEMENT	INVESTIGATIONS COMPLETED (TOTAL)	INVESTIGATIONS COMPLETED (FILED)	REFERRALS TO OFFICE OF COUNSEL
	<b>4149</b>	<b>4017</b>	<b>1216</b>	<b>1375</b>

MISCELLANEOUS STATISTICS NOT RELATED TO COMPLIANCE	TOTAL # OF MISCELLANEOUS ASSIGNMENTS	JOINT ACTIONS/TASK FORCE	SUPERVISED SUSPENSIONS/CANCELLATIONS/REVOCATIONS	OTHER (TRAININGS/MEETINGS)
	<b>717</b>	<b>80</b>	<b>479</b>	<b>158</b>

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## Rapid Enforcement Unit

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### REU Summary of Activity

Total Cases	
Opened.....	35
Summary	
Suspensions.....	9
Revocations.....	2
Other Penalties ....	1
No Charges .....	3
Unlicensed/ Licensing Cases ...	2
Hearings	
Pending .....	13
Open Cases.....	5

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In April of 2006, the New York State Liquor Authority established the Rapid Enforcement Unit (REU). The Unit conducts priority investigations and responds to allegations of criminal activity and serious repeat violations of the ABC Law. Legal staff assigned to the unit issue pleadings within five days when there is substantial evidence of a violation. The REU includes the SLA's most experienced investigators and prosecutors and is led by the SLA's CEO. The REU coordinates SLA efforts with our partners throughout the state in a continuing effort to make our communities safer.

### Framework of the SLA Rapid Enforcement Unit (REU)

- The SLA CEO coordinates a team of regional liaisons, investigators and legal staff to ensure prompt action on all cases.
- A liaison from each region coordinates with local officials and law enforcement agencies.

- REU responds to allegations of serious criminal misconduct or repeat violations of the ABC Law. The REU institutes prompt disciplinary action when there is evidence a licensed premises poses an imminent threat to the public.
- Investigations of referrals by a law enforcement agency, or the Chief Executive or governing board of a City, Town, or Village to the REU begin within 10 days of the alleged violation(s).
- A pleading is issued to the licensee within five business days when an investigation finds substantial evidence of a violation. If a “not guilty” plea is entered, an expedited hearing is scheduled. Any alleged violations that constitute a continuing and imminent threat to the public are sent immediately to the Members of the Authority for a potential summary suspension.

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## Alcohol Training and Awareness Program

In an effort to lower the incidence of underage drinking, the Governor and the State Legislature created the Alcohol Training Awareness Program (ATAP). The program, designed by the State Liquor Authority, offers voluntary instruction for licensed alcoholic beverage retailers and their employees.

The program focuses on the legal responsibilities of selling or delivering alcohol and provides training in practical skills to help licensees and their employees fulfill their legal responsibilities. Additionally, the ATAP program informs participants on the potential consequences of improper sale or delivery of alcohol. Licensees and individuals completing the ATAP program have the possibility of a limited affirmative defense in the event of an illegal alcohol sale to a minor.

Chapter 549 of the Laws of 2001 amended the minimum curriculum standards for the ATAP program. The new chapter directed the Authority to set minimum standards for two different types of Alcohol Training Awareness Program: one for off-premises licensees and their employees, and one for on-premises licensees and their employees.

The Authority has issued Certificates of Approval to nine training programs, which regularly provide instruction to retail alcoholic beverage licensees and their employees. In 2006, 296 classes were conducted with 3,681 employees completing the program. ATAP assists the SLA in realizing the goal of providing a safe environment at licensed establishments to preserve the health, safety and welfare of citizens in our communities.

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## Office of Counsel

The Office of Counsel is responsible for providing legal advice and service to the Chairman, Commissioners and other staff of the Authority. During 2006, the bureau consisted of approximately 25 employees, including the Counsel to the Authority and 11 staff attorneys. Eight of the attorneys are assigned to the prosecution of disciplinary cases against licensees. The legal bureau maintains offices in Albany, New York City and Buffalo.

Among its duties, the Office of Counsel:

- Prosecutes disciplinary proceedings against licensees who have been charged with violating the Alcoholic Beverage Control Law and the Rules of the State Liquor Authority;
- Represents the Authority in litigation brought against the Authority by licensees and other parties;
- Advises the Chairman, Commissioners and staff on legal issues;
- Responds to requests for interpretation and application of the law from other agencies, licensees and the public;
- Develops rules, regulations and policy directives in cooperation with the Chairman, Commissioners and other staff;

- Prepares proposed legislation, and comments on legislation proposed by other agencies and members of the legislature;
- Assists other bureaus within the Authority to ensure that all actions taken are in compliance with the law; and
- Advises the Chairman and Commissioners on requests for declaratory rulings.

In 2006, the Office of Counsel commenced 3,861 disciplinary cases against licensees for violations of the Alcoholic Beverage Control Law and the Rules of the State Liquor Authority. With almost 4,000 cases pending at any given time, each prosecutor carries an average a case-load of over 300 proceedings.

A joint investigation by the Authority and the New York State Attorney General's Office into improper trade practices in the liquor and wine industry culminated in millions of dollars in fines being imposed against retailers, wholesalers and manufacturers. As part of this investigation, court orders were issued that will serve to send a clear message to all licensees that illegal conduct will not be tolerated.

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## Important Legislation

Significant changes to the Alcoholic Beverage Control Law in 2006 include:

- Electronic filing of liquor and wine price schedules, replacing the existing system of filing paper schedules with the Authority. This allows easier access to the information both by licensees and the general public;
- Sale of beer on Sunday mornings in grocery stores. The new law changed the time that licensees could sell beer for off-premises consumption on Sundays from 12 noon to 8 a.m.;
- Alcohol vaporizing devices. Licensees are now expressly prohibited from having these devices in their establishments, which mix liquor or other alcoholic beverages with pure oxygen or other gas to produce a vaporized product to be inhaled by a customer;
- Items that may be sold by wineries and farm wineries. The new law added to and clarified the kinds of food and gift items that can be sold at these establishments; and
- Beer tastings. Brewers and restaurant brewers are now allowed to hold tastings of the beer/malt beverages they produce. The tastings may only take place at certain establishments, including, but not limited to, licensed grocery stores.



*General Counsel Thomas Donohue and Associate Counsel Lisa Bonacci*

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## Keg Registration and Deposit Forfeitures

By virtue of Chapter 274 of the Laws of 2004, enacted and effective on August 3, 2004, the Legislature provided for the forfeiture of a keg purchaser's \$75.00 Keg Registration Deposit to the retail seller of the keg upon the occurrence of four eventualities [ABCL § 105-c.(5)+(5-a)]:

- Keg was not returned;
- Keg was returned but after 90 days from purchase;
- Registration label was removed; and
- Registration label was damaged.

Where a retail keg seller declares a forfeiture of the purchaser's Keg Registration Deposit, the retail keg seller is required to provide notice to the State Liquor Authority of such forfeiture [ABCL § 105-c.(5-a)].

From January 1, 2006 to December 31, 2006, the Authority received notification

from retail sellers of the following Keg Registration Forfeitures:

<b>Reasons for forfeitures</b>	<b>Number</b>
Keg was not returned. ....	45
Keg was returned but after 90 days from purchase.....	5
Registration label was removed. ....	4
Registration label was damaged. ....	0
<b>TOTAL FORFEITURES.....</b>	<b>54</b>

During 2006, retailers purchased a total of 133 packets (with each packet containing 50 forms) of the Keg Registration Deposit forms. The cost to the retailer is \$9.50 per packet. The total amount received for these purchases was \$1,263.50.

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# Hearing Bureau

## OVERVIEW OF FUNCTIONS

The Hearing Bureau is currently located in the SLA Zone 1 office in New York City, where most of the cases are calendared. Licensees charged with violations, such as sale of alcoholic beverages to underage purchasers, have the right to a fair and impartial hearing. The Hearing Bureau conducts all such disciplinary proceedings, which are prosecuted by the Authority's Office of Counsel. Hearings are formal, "of record" adjudicatory proceedings of the Authority. They are governed by the State Administrative Procedure Act (SAPA) and by Executive Order 131, which require they be conducted in a manner that is impartial, efficient, timely, expert and fair. The role of the ALJ is to conduct the hearings in accordance with these requirements.

Upon completion of hearings, ALJ's sort out the facts and render written determinations. They include reasoned findings of fact, an opinion including a review of the applicable law, and a conclusion as to whether charges have been sustained. Determinations must be based upon the record of hearing. The record of hearing constitutes the basis for all succeeding reviews, including review by the Members of the Authority and the civil courts of the state. The ALJ's findings are not final, only the Members of the Authority may make a final determination.

In addition, the Bureau conducts hearings on license applications when such hearings are mandated by statute. Primarily, the Bureau conducts two types of licensing hearings: hearings on applications for licenses when the application has been disapproved by the Authority's License Bureau and the applicant appeals; and "500 Foot Rule Hearings", i.e. hearings mandated when the Authority is presented with an application for an "on-premises" liquor license in a municipality of twenty thousand (20,000) or more people and there are already three or more "on-premises" liquor licensees within 500 feet of the applied for premises.

In 2006 the Hearing Bureau heard 462 disciplinary hearings to completion and submitted 468 matters to the Full Board calendars. By comparison, in 2005 the Bureau heard to completion 350 disciplinary hearings and submitted 374 matters to the Full Board. The Bureau conducted 112 more disciplinary hearings in 2006 than in 2005 (an increase of 32%) and submitted 94 more matters to the Full Board in 2006 than in 2005 (an increase of 25%). The Bureau also heard to completion 359 "500 Foot Rule Hearings" in 2006.



*Stephen Kalinsky  
Chief Administrative Law  
Judge*

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### Hearing Bureau Summary

Disciplinary Hearings Completed .....	462
Matters Presented to Full Board .....	468
Statutory Hearings .....	0
"500 Foot Rule Hearings" .....	359
<b>Total Hearings .....</b>	<b>1,289</b>

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## Office of the Secretary

The Office of the Secretary oversees the preparations of the agenda for each “Full Board” meeting of the Members of the Authority. The Office receives matters to be placed before the Members from the Office of Counsel, the Licensing Bureau, and the Hearing Bureau, as well as miscellaneous matters presented by other bureaus/offices of the Authority.

The Office of the Secretary scheduled 25 regular meetings in 2006. Twenty-four were held in the New York City Office at 317 Lenox Avenue, and one was held in the Albany Office at 80 South Swan Street. Additionally, five emergency Full Board meetings were called on these dates: June 30, 2006, July 12, 2006, July 25, 2006, August 2, 2006 and October 20, 2006.



*Meeting of the Full Board—NYC office  
Fred Gioffre, Mike Sakovsky,  
Commissioner Noreen Healey,  
Chairman Daniel Boyle*

In the calendar year 2006, the Office of the Secretary presented a total of 4,368 new items to the “Full Board”. The sources of the items were:

Office of Counsel.....3,429  
Licensing Bureau.....442  
Hearing Bureau .....435  
Miscellaneous.....52



*Jacqueline Held  
Acting Secretary to the Authority*

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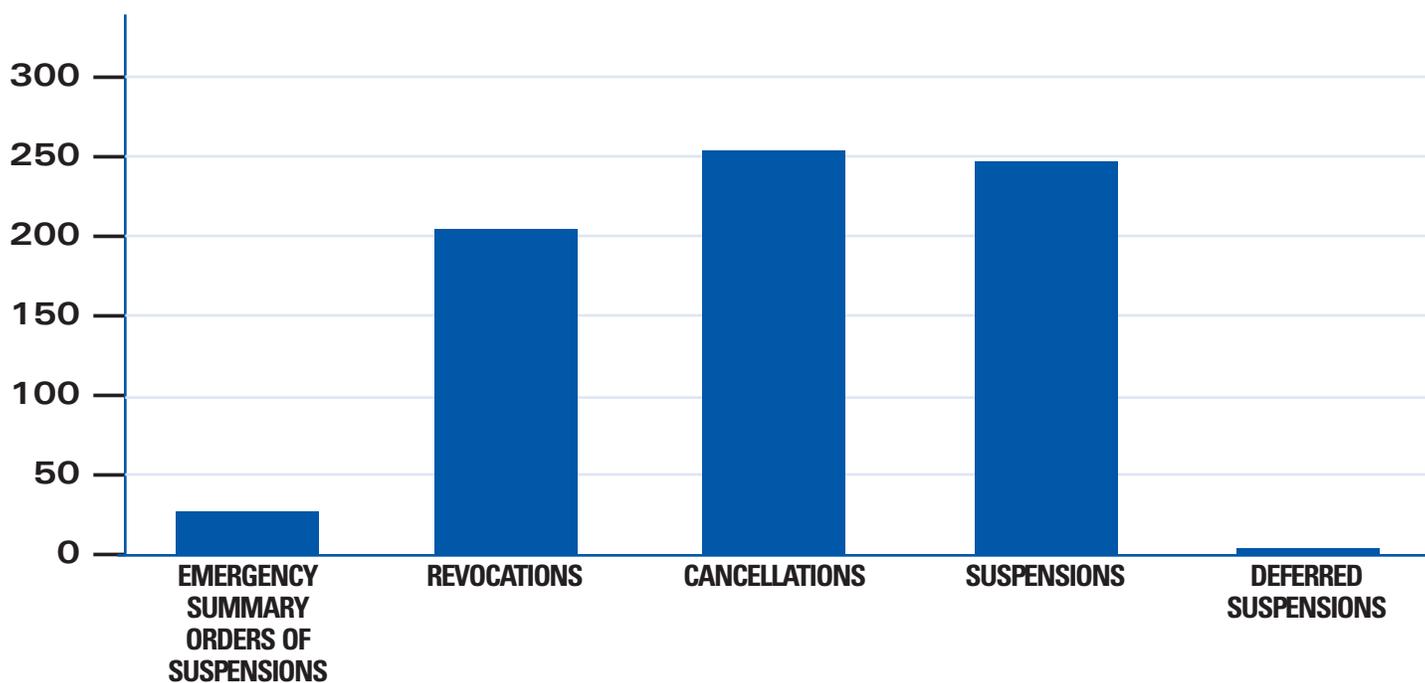
## Office of the Secretary

After the “Full Board” meetings, the Office of the Secretary implements the determinations of the Members and imposes any penalty where appropriate. The following penalty orders were imposed in 2006:

Emergency Summary Orders of Suspensions.....	24
Revocations .....	203
Cancellation .....	252
Suspensions .....	246
Deferred Suspensions.....	3
<b>TOTAL.....</b>	<b>728</b>

In addition, the Office of the Secretary collected \$6,318,625.00 in civil penalties and bond claims.

### 2006 PENALTY ORDERS IMPOSED



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# Office of Government Affairs

The Office of Government Affairs (OGA) is responsible for fostering positive working relationships with federal, state and local legislators, community boards and their staffs in order to encourage dialogue and cooperation on matters affecting alcoholic beverage control policy. OGA is charged to present, discuss and gain passage of the Agency's annual legislative program and, where appropriate, Governor's Program Bills bearing on alcoholic beverage control policy, thereby supporting the Agency's overall mission.

## Key Services

- **Liaison Services:** act as liaisons between the Legislature and the Agency on its annual legislative program, as well as on matters of mutual interest (i.e., resolving constituent cases). Through contacts with the Senate, the Assembly, the Executive Chamber, federal and local government representatives, and interest groups, relays Agency policy to external stakeholders and provides input from those stakeholders into the process of molding or changing alcoholic beverage control policy; and
- **Legislative Services:** provides legislative advisory services to the Agency. This is accomplished through computer tracking and research, and through contact with member offices.

## Major Functions

- **Legislative Formulation:** solicits from Agency program managers ideas for inclusion in the annual legislative program. OGA staff review ideas submitted, confer with program managers and Executive Staff to determine which are appropriate for inclusion in the annual program, assist in the drafting of proposals, and coordinate the presentation of these proposals to the Governor's Counsel;
- **Legislative Review:** circulates bills for review presented by members of the Legislature, Congress and other state agencies which solicit the Agency's opinion or support. Provides the Agency's position where appropriate;
- **Legislative Status Reports:** reporting the progress of the Agency's legislative program and legislation of interest, thereby keeping the Executive Staff and program managers current on legislative activity that may affect policy and administration; and
- **Constituent Cases:** resolves a high volume of inquiries from legislators on constituent matters involving the Agency. These cases are routinely handled by staff via phone or by referring cases to the appropriate program for resolution.

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[Liaison Services](#)

[Legislative Services](#)

[Constituent Services](#)

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# Office of Communications

The Office of Communications is responsible for working with the media, distributing press releases, coordinating press conferences and providing information to the public. The Communications Office serves as an information resource center for the public and employees by developing and implementing public information strategies as well as coordinating internal communications. The office manages the content of the Agency's website, enabling members of the news media, as well as individuals, to obtain the latest announcements, bulletins, press releases and media advisories. The Office's goal is to keep the media, licensees and the public up to date on news, policies and current events concerning the State Liquor Authority.

Additionally, the Office of Communications responds to thousands of requests for Agency records as provided for in the State's Freedom of Information Law (FOIL). Documents and reports requested by the public and media include:

- Annual Reports and News Letters;
- License Applications;
- Industry Bulletins;
- Board Determinations of the Members of the Authority;
- Declaratory Rulings;
- Divisional Orders Issued by the Members of the Authority;
- Lists of Licenses;
- Statewide lists;
- Brand Label Registrations;
- Manufacturers (Breweries/Distillers);
- Wholesalers;

- Notices of Appearances Pursuant to Executive Law 166; and
- Notices of Pleading on Disciplinary Matters Against Licensees

## Freedom of Information Law

The Agency receives and responds to hundreds of written and oral communications annually from interested parties requesting access to Agency records pursuant to the State's Freedom of Information Law. Responding to these requests requires extensive review, research and retrieval of Agency records, making careful determination regarding what information is releasable, redacting from requested documents information not releasable and preparing a response providing the requested information or reasons why the request was denied.

**2006 FOIL Request Data**

FOIL LETTERS REQUEST-2006	ZONE 1	ZONE 2	ZONE 3	TOTALS
January	25	22	3	<b>50</b>
February	30	30	1	<b>61</b>
March	33	63	2	<b>98</b>
April	20	30	5	<b>55</b>
May	34	48	1	<b>83</b>
June	38	33	4	<b>75</b>
July	26	28	1	<b>55</b>
August	36	26	2	<b>64</b>
September	10	25	9	<b>44</b>
October	12	26	5	<b>43</b>
November	15	21	0	<b>36</b>
December	11	15	2	<b>28</b>
<b>TOTALS</b>	<b>290</b>	<b>367</b>	<b>35</b>	<b>692</b>

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## Office of Communications

This year, the Office of Communications began work towards processing all FOIL requests through our Albany Office, with Zone 3 requests currently processed almost entirely through the Zone 2 office.

An increased use of the State Liquor Authority's website and our efforts toward more modern "e-communication" yielded 2,884 requests to the Zone 1 office, which fields many of the e-mail and telephone requests for information from the agency. There were 3,576 requests made statewide in 2006, of which 664 were received by e-mail.

In 2006 the Office of Communications worked to streamline and standardize the procedures of providing information to the public. Staff members attended state sponsored continuing education courses on records management and responsibilities of the FOIL process. This effort included implementing a

reference log of all Zone FOIL requests. In the last quarter of the year, the office further advanced our record keeping of our FOIL requests so it is now accessible from any of our four offices throughout the state. This has enabled the staff to assist the public with greater accuracy and expediency for their requests and helped to virtually eliminate duplication of efforts between FOIL officers and departments.

The Office of Communications also had involvement during 2006 in the complete overhaul of the agency's website. This work, coordinated through the agency's IT Department, included researching new layouts and formats, developing a more 'user-friendly' website, implementing a platform for analysis of features that are most useful to users and developing a launch program for the new website upon completion

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## Information Technology

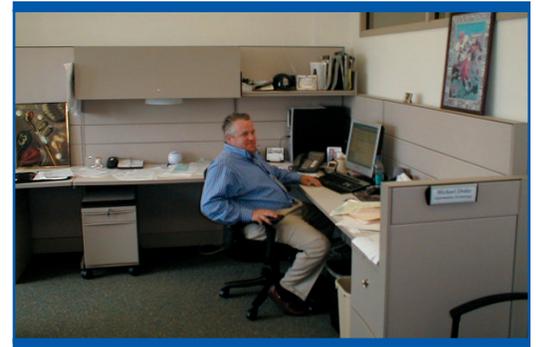
In 2006 the Information Technology (IT) Unit performed relocations in the Albany and Buffalo zone offices, while developing and implementing a variety of new technology initiatives.

A major initiative implemented in 2006 was upgrading the Agency's Office productivity software, and transitioning its e-mail systems statewide to the Enterprise e-mail system (NYSeMail) hosted by the Office for Technology. The transition to the hosted environment provides a level of service and redundancy not previously possible in a system managed within the Agency.

In May of 2006 the Agency relocated our Albany Office to the newly renovated Alfred E. Smith building in downtown Albany. The relocation was especially challenging for the IT Unit as it involved transferring mission critical systems and servers to our new office space while maintaining services for our staff and customers statewide. Although challenging, the move also provided the IT Unit with the perfect opportunity to upgrade our existing communications infrastructure in preparation for other important initiatives planned for 2006. The 4th quarter of 2006 was very busy as the IT Unit prepared circuits and equipment for the new office in the Electric Tower Building at 535 Washington Street. The Buffalo Office relocation was completed on January 5th, 2007.

One exciting initiative that became possible as result of our infrastructure upgrades was the implementation of a secure remote access solution for our investigative field staff. The solution enables the investigative staff to establish a secure connection to all internal Agency systems, anytime, anywhere as they conduct field investigations. The solution also provides a convenient remote interface for our Executive staff as they are required to travel.

The last major initiative, e-Wholesale Price Postings, started in 2006. The e-Wholesale Price Posting application will enable the electronic submission of all mandated wholesale price schedules. Currently, the price posting process is completely manual; schedules are received by mail and organized by the Agency Wholesale Bureau for viewing by the public. The online system will eliminate the monthly mailing process for our wholesaler licensees and provide them with a secure environment to upload, data enter and modify their monthly price schedules electronically, while providing the data necessary for the Agency to better regulate the wholesale industry.



*Mike Drake  
Director of Information  
Technology*

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## Taskforce for the Review of On-Premises Licensure

In 2006 the Members of the Authority imposed a moratorium on new liquor licenses subject to the 500 foot rule in New York County, with an exception for new restaurant applications. The moratorium was in effect from September 7, 2006 through December 31, 2006. During the moratorium, SLA Chairman Boyle designated Commissioner Noreen Healey, Esq., to chair the Taskforce for the Review of On-Premises Licensure. Commissioner Healey convened a group of legal experts, elected officials, community leaders, law enforcement officials, and representatives from the industry to undertake this effort. The taskforce reviewed the ABC Law in relation to on-premises licenses, analyzed SLA polices and procedures, and reviewed the application process. The goal was to make recommendations to modernize and streamline the application process, modify policies regarding the issuance or denial of licenses, and to define the classifications for the various types of on-premises licenses.

Taskforce members and SLA staff worked collectively to review of the Alcoholic Beverage Control law and SLA policies regarding on-premises licensure. During taskforce meetings, SLA staff outlined the various types of on-premises licenses, examined new license applications and discussed potential amendments to and renewals of existing licenses. Information was provided regarding the 200 foot rule, the 500 foot rule, as well as the exceptions to the 500 foot rule and the

community board's input in the process. Senator Frank Padavan, who authored the 500 foot rule in 1993, explained the legislative intent and gave the members insight into the background of the rules.

The taskforce presented a forum for interested parties to meet and openly discuss the law, SLA polices, and other mutual concerns. Moreover, the taskforce provided an avenue of open communication between disparate groups. The ten recommendations developed were the result of extensive discussion and debate. Implementation of these recommendations will result in a more orderly licensing process fair to legitimate businesses and the communities where they operate.

### RECOMMENDATIONS AND TASKFORCE DISCUSSIONS

- 1.** Require specific sections of all new on-premises license applications filed with the SLA also be presented to the community board or the local equivalent. Under existing law, an applicant must give notice to the community board 30 days before filing the license application. However, as business plans develop during that period, the information regarding the proposed premises often changes. Consequently, information in the application filed with the SLA differs from the information that the community board has been given. This creates administrative problems for the SLA and fails to provide the community board with adequate information to render an

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## Taskforce for the Review of On-Premises Licensure

informed recommendation. Section 64 (2-a) of the Alcoholic Beverage Control Law must be reviewed and the current required statutory notice should be revised to implement this recommendation;

**2.** Standardize the questionnaire and format for letters of support and opposition to applications for utilization by community boards throughout New York City. The questionnaire form must be sufficiently general as different communities have different concerns. The SLA and community boards should work together to devise the form and identify the relevant information for opposition and support letters;

**3.** Change the notice requirement on renewal applications requiring licensees to post notice of renewal next to the license certificate in the establishments for 30 days prior to completion of the renewal process. Currently licensees are only required to give notice by publication in the local press. This issue raised serious discussions with some taskforce members desiring licensees post renewal notices outside the establishment, and others expressing concern this may invite challenges even against establishments with no significant adverse disciplinary history. A change to the notice requirement would require amendments to existing laws;

**4.** Clarify the statutes governing the SLA's authority to deny renewal applications with serious adverse

history. Currently, licensees with adverse history or pending cases receive a State Administrative Procedure Act ("SAPA") letter, not a renewal. This allows the establishment to continue to operate temporarily, pending the disposition of disciplinary matters. Although this policy stopped the practice of renewing licenses for problematic premises, it may still allow bad actors to continue to operate, potentially at great public risk. Clarification of the statute will allow the SLA to disapprove a renewal application in cases where there is significant adverse history of violations related to public health and safety proposal, opposed by a minority of the taskforce, requires amendments to the ABC Law and SAPA;

**5.** Grant renewal applications on a probationary basis in cases where the licensee has an adverse compliance history. While many licensees with adverse history are quick to address their improper practices, others fail to do so. Creating a probationary period for licensees with adverse history provides violators with the opportunity to demonstrate to the SLA they have modified their practices. Alternatively, those licensees that fail to change and continue to violate the law can immediately lose their licensing privilege. This recommendation would require amendments to the ABC Law and SAPA;

**6.** Conduct more detailed financial background checks on the licensees. This recommendation would require the hiring of forensic accountants;

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## Taskforce for the Review of On-Premises Licensure

**7.** Obtain access to criminal records and criminal history databases to check the backgrounds of applicants and licensees. Current law generally prohibits felons from working in licensed establishments and provides a character and fitness requirement for applicants. Even though a felony conviction prohibits employment, there is no law allowing the SLA to request criminal histories of employees. There was general consensus among the taskforce members regarding the SLA's ability to conduct criminal history checks for applicants, licensees, managers and security staff. This recommendation would require amendments to several statutes and would require information technology upgrades at the SLA;

**8.** Identify the type of license approved to the specified sections of the ABC Law. Currently, on-premises license certificates state only that the license is "on-premises." The recommendation is to change the license certificate to identify the specific type of license such as "restaurant," "tavern," or "wine-bar." Licensees must be held

to the terms and conditions of the approved licenses, and the operation must be consistent with the method approved in the application. In addition, a new license should be developed to address mixed use issues. For example, a restaurant that operates as a nightclub after dinner hours would identify both. SLA staff is currently working on modifications to the existing application, including requirements for a more detailed method of operation to identify items such as the security plan, number of bars, type of entertainment, etc.;

**9.** Provide the SLA with additional resources for enforcement, licensing, and technology. Additional staff would permit the SLA to more efficiently carry out the mission of the Agency and provide more information to the public; and

**10.** Continue this taskforce or form another taskforce to explore whether changes are needed in two areas: (1) licensing restrictions, including further examination of the 200 and 500 foot rules and (2) enforcement issues.



*Shari Hyman, NYC Mayors Office,  
Senator Duane, SLA General Counsel  
Donohue*



*Taskforce for the Review  
of On-Premises Licensure*



*Deputy Commissioner O'Connor, CEO Toas,  
Deputy Bureau Chief Caferri, Queens County  
DA Office, Assembly Member Glick*

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## Taskforce Members

**Commissioner Noreen Healey, Esq. Chair**  
New York State Liquor Authority

### Elected Officials

Senator Martin Connor

Senator Thomas K. Duane

Senator Serphin Maltese

Senator Frank Padavan

Senator Nick Spano

Speaker of the Assembly Sheldon Silver

Represented by Paul Goldstein

Assembly Member Deborah J. Glick

New York City Mayor Michael Bloomberg

Represented by:

John Feinblatt

*NYC Criminal Justice Coordinator*

Shari Hyman, Esq.

*Director Mayor's Office of*

*Special Enforcement*

New York City Council Speaker Christine Quinn

Represented by Lauren Axelrod, Jim Caras  
and David Pristin

Manhattan Borough President Scott M. Stringer

Represented by Felicia Feinerman

### Community Boards/Groups/Leaders

Susan Stetzer

*Manhattan Community Board No. 3*

J. Lee Compton

*Manhattan Community Board No. 4*

Giovanna Reid

*Queens Community Board No. 3*

### Law Enforcement

New York City Police Department

Susan Petito

*Assistant Commissioner*

*Intergovernmental Affairs*

Deputy Police Chief Brian J. Conroy

*Commanding Officer, Vice Enforcement Division*

*New York City Police Department*

Albany Police Chief James Tuffey

Deputy Bureau Chief Nicoletta J. Caferra, Esq.

*Appeals Bureau*

*Queens County District Attorney's Office*

New York State Division of

Criminal Justice Service

Chauncey Parker, Esq.

*Director, Criminal Justice & Commissioner*

Represented by Gina Bianchi, Esq.,

*General Counsel*

### Industry Representatives

Scott Wexler

*Empire State Restaurant & Tavern Association*

Robert Bookman, Esq.

*NYC Nightlife Association*

Steven W. Harris, Esq.

*New York State Beer Wholesalers Association*

### State Liquor Authority

Kerri O'Brien

*Director of Licensing Operations*

Jacqueline Held

*Acting Secretary to the Authority*



## Zone Offices and Representative Counties

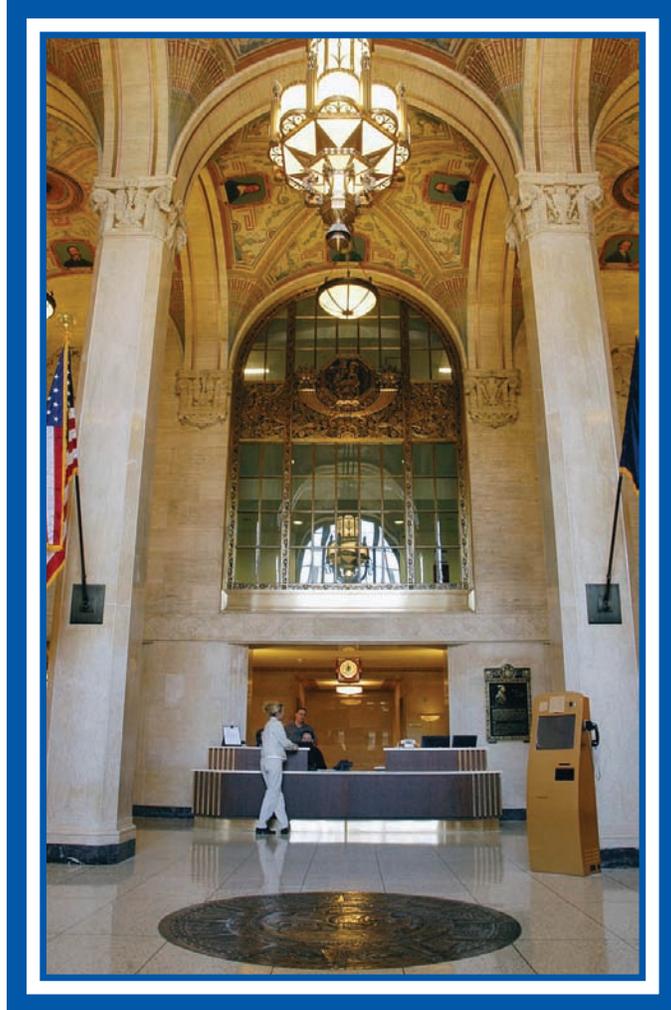
<b>Zone 1</b> <b>317 Lenox Ave.</b> <b>New York, NY</b> <b>10027</b>	<b>Zone 2</b> <b>80 S. Swan St</b> <b>Albany, NY</b> <b>12210-8002</b>	<b>Syracuse District</b> <b>333 E. Washington St.</b> <b>Syracuse, NY</b> <b>13202</b>	<b>Zone 3</b> <b>535 Washington St.</b> <b>Buffalo, NY</b> <b>14203</b>
Bronx Kings Nassau New York Queens Richmond Suffolk Westchester	Albany Clinton Columbia Dutchess Essex Franklin Fulton Greene Hamilton Montgomery Orange Putnam Rensselaer Rockland Saratoga Schenectad Schoharie Sullivan Ulster Washington Warren	Broome Cayuga Chenango Cortland Delaware Herkimer Jefferson Lewis Madison Oneida Onondaga Oswego Otsego St. Lawrence	Allegany Cattaraugus Chautauqua Chemung Erie Genesee Livingston Monroe Niagara Ontario Orleans Schuyler Seneca Steuben Tioga Tompkins Wayne Wyoming Yates

# How to Contact the Liquor Authority

<b>Zone 1</b> 317 Lenox Ave. New York, NY 10027	<b>Zone 2</b> 80 S. Swan St Albany, NY 12210-8002	<b>Syracuse District</b> 333 E. Washington St. Syracuse, NY 13202	<b>Zone 3</b> 535 Washington St. Buffalo, NY 14203
Licensing (212) 961-8385	Licensing (518) 474-3114	Licensing (315) 428-4198	Licensing (716) 847-3035
Enforcement (212) 961-8378	Enforcement (518) 474-0385	Enforcement (518) 474-0385	Enforcement (716) 847-3039
Wholesale (518) 474-6820	Wholesale (518) 474-6820	Wholesale (518) 474-6820	Wholesale (518) 474-6820
Press Office (518) 486-4767 PressOffice@abc.state.ny.us	Press Office (518) 486-4767 PressOffice@abc.state.ny.us	Press Office (518) 486-4767 PressOffice@abc.state.ny.us	Press Office (518) 486-4767 PressOffice@abc.state.ny.us
FOIL (518) 486-4767 Foil@abc.state.ny.us	FOIL (518) 486-4767 Foil@abc.state.ny.us	FOIL (518) 486-4767 Foil@abc.state.ny.us	FOIL (518) 486-4767 Foil@abc.state.ny.us
Legal (212) 961-8317 albanycounsel@ abc.state.ny.us	Legal (518) 474-6750 albanycounsel@ abc.state.ny.us	Legal (518) 474-6750 albanycounsel@ abc.state.ny.us	Legal (716) 847-3056 albanycounsel@ abc.state.ny.us
Hearing Bureau (212) 961-8337	Hearing Bureau (212) 961-8337	Hearing Bureau (212) 961-8337	Hearing Bureau (212) 961-8337
Information Technology (518) 402-4070 Web_Master@abc.state.ny.us	Information Technology (518) 402-4070 Web_Master@abc.state.ny.us	Information Technology (518) 402-4070 Web_Master@abc.state.ny.us	Information Technology (518) 402-4070 Web_Master@abc.state.ny.us
Administration (212) 961-8347	Administration (518) 486-4767	Administration (518) 486-4767	Administration (716) 847-3001
Secretary's Office (518) 402-4394 secretarys_office@ abc.state.ny.us	Secretary's Office (518) 402-4394 secretarys_office@ abc.state.ny.us	Secretary's Office (518) 402-4394 secretarys_office@ abc.state.ny.us	Secretary's Office (518) 402-4394 secretarys_office@ abc.state.ny.us







*Lobby of Alfred E. Smith Building*