

**INSTRUCTIONS FOR CORPORATE CHANGE**

**SUBMIT ONE ORIGINAL OF APPLICATION AND ALL ACCOMPANYING PAPERS  
TO THE FOLLOWING ADDRESS:**

New York State Liquor Authority Licensing  
Church Street Station  
PO Box 3817  
New York, NY 10008-3817

- 1) Certified check, bank check, money order, or personal check payable to the New York State Liquor Authority for the amount of fee as shown on Application for Approval of Corporate Change (SLA Form 180-021).
- 2) An Application for Corporate Change list all officers, directors, LLC Members, LLC Managers, stockholders etc. other than those retiring or leaving office. ***Club licensees*** must submit an application for Appointment of Alcoholic Beverage Control Officer.
- 3) A Personal Questionnaire must be submitted for each new person who is to be an officer and/or director, and/or stockholder and/or LLC Member as well as Proof of citizenship, Photo ID and a recent original color photo.
- 4) Agreement of Purchase & Sale if change in stockholdings and/or Corporate Minutes showing the appointment/change of any officer and/or director, and/or stockholder and/or LLC Member.
- 5) Statement of Finances (Form 180-021B) if change in stockholding. List assets pertaining to new investment and new Investors.
- 6) Proof of Finances as stated in form 180-021B.

**Each new principal is bound by the Method of Operation previously approved by the NYS Liquor Authority.**

**ALL APPLICANT PRINCIPALS WILL BE REQUIRED TO BE FINGERPRINTED ELECTRONICALLY:**

**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).

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 \$105.00 and will be paid directly to L-1 Enrollment Services when you are fingerprinted.**

**STATE OF NEW YORK  
LIQUOR AUTHORITY**

**APPLICATION FOR APPROVAL  
OF CORPORATE CHANGE**

This form is to be used by a corporate licensee to apply for permission to make a corporate change involving (1) change of officers or directors, LLC Members, etc. or, (2) where there are fewer than 10 stockholders, any change in stockholders or stockholdings, or (3) where there are 10 or more stockholders, any change involving 10% or more of the stock or any change in stockholdings which would increase the holdings of any one stockholder to 10% or more of the stock.

Each application must be accompanied by a CERTIFIED CHECK, BANK OFFICERS' CHECK, DRAFT, MONEY ORDER OR PERSONAL CHECK for the required fee, payable to the order of the State Liquor Authority, provided in Section 99-d of the Alcoholic Beverage Control Law as follows:

- **If the change is confined to a change of officers and/or directors:** \$13
- **Where the change is not confined to a change of officers and/or directors:**  
If the Corporation/LLC holds any license from the State Liquor Authority for which an *annual fee of \$500 or more* is prescribed: \$128  
If the Corporation/LLC holds any license from the State Liquor Authority for which the *annual fee is less than \$500* or more: \$13

*Such change cannot become effective under the Alcoholic Beverage Control Law until permission has been granted by the State Liquor Authority. Therefore, it is recommended that any change be made conditional upon approval by the State Liquor Authority.*

The following forms must also be included in the application:

1. PERSONAL QUESTIONNAIRE properly filled out for each of the new officers, directors or stockholders.
2. Signed copy of CONTRACT OF SALE OF STOCK or other CONTRACTUAL AGREEMENT, or statement is signed and verified by the transferee, setting forth full details of the transaction including consideration for such transfer.
3. STATEMENT OF FINANCES on Form 180-021B, signed by the person executing the application.

ALL QUESTIONS MUST BE ANSWERED IN BOXES BELOW. (If more space is needed, attach rider).  
*Any false answer or statements made by the applicant constitutes perjury and will subject any license issued hereunder to revocation.*

The licensee named below hereby notifies the State Liquor Authority of a proposed change in its corporation, for which it requests the Authority's approval, and for which purpose it makes the following statements.

Full name of licensee		Trade name or other designation		License number
Street address of licensed premises			Post office address of premises (if different)	
City, town or village-Zip Code	County	City, town or village - Zip Code (if different)		Telephone Number

1. STOCKHOLDERS and STOCKHOLDINGS under the proposed change will be as follows: (Do not include retiring stockholders> If more than 10 stockholders, include only those who will hold 10% or more of the stock. Enter asterisk (\*) to indicate changes.)

Change *	Name of Stockholder	Residence Address of Stockholder	Citizenship (Name of Country)	Shares of Stock	
				Common	Preferred

2. OFFICERS and DIRECTORS under the proposed change will be as follows: (Do not include retiring officers and directors. Enter an asterisk (\*) to indicate changes.)

Change *	Names of Officers And Directors	Residence Addresses	Title (also specify if director)	Citizenship (Name of Country)	Age

1. (a) Is any officer, director or stockholder interested directly or indirectly in any premises or business where any alcoholic beverage is manufactured or sold at wholesale or retail by stock ownership, interlocking directors, mortgage or lien on any personal or real property or by other means including loans?  (b) If so, state name of each such person, address of the premises, nature of interest and date acquired.	Yes or No  3. (a)	Name  (b)
	Address	
	Nature of Interest	Date Acquired

<p>4. (a) Has any of the new officers, directors or stockholders ever previously filed application for any license or permit under the Alcoholic Beverage Control Law of this state or country or of any other state or country, either as an individual, co-partner or officer, or officer, director or stockholder of a corporation?</p> <p>(b) If so, state name in which application was filed, address of the premises, the date thereof and the disposition. Give license number if license or permit was issued.</p> <p>(c) Has such license or permit ever been revoked, cancelled, suspended or otherwise involuntarily terminated or has any other penalty been imposed in connection therewith at any time?</p> <p>(d) If so, state what action was taken, and date thereof.</p>	Yes or No		
	Name of applicant		
	Address of premises (Street, City, Town or Village, State or County)		
	Date filed, Disposition, and License Number, if any		
	Yes or No		
<p>5. (a) Has any of the new officers, directors or stockholders ever been CONVICTED (including pleas of guilty or suspended sentences) of of any felony or of any other crime or offense of any kind except traffic infractions?</p> <p>(b) If so, state date of conviction and crime or offense involved. In each case a CERTIFICATE OF DISPOSITION or a CERTIFICATE OF CONVICTION by the Court Clerk must be attached.</p>	Yes or No		
	Crime or Offense	Date	
	Name of person convicted		
<p>6. (a) Are there any arrests, indictments or summonses (except for traffic infractions) PENDING against any of the new officers, directors or stockholders?</p> <p>(b) If so, state thereof, crime or offense involved and name of each defendant.</p>	Yes or No		
	Crime or offense	Date	
	Name of defendant		
<p>7. (a) Is any officer, director or stockholder a police commissioner or other police official or subordinate of any police department, sheriff, deputy or under sheriff, or any other police officer?</p> <p>(b) If so, state name and title of such person.</p>	Yes or No		
	Name and Title		
<p>8. (a) State whether any person other than those mentioned has any interest, financial proprietary or other, direct or indirect, in the premises 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 or shares or will share, on a percentage basis or in any way, in the receipts, losses or deficiencies of the business, to any extent whatsoever other than by fixed salary. <i>(The interests relinquished by retiring officers, directors or stockholders need not be set forth in answer to this question. Any interests retained by them, however, should be reported).</i></p> <p>(b) If so, set forth the names and addresses of such persons, the nature or percent or description of interest or share.</p>	Yes or No		
	Name		
	Address		
	Nature of Interest	Date acquired	
<p>9 (a) Does licensee corporation now hold any license form the Liquor Authority for which the annual fee is \$500 or more?</p> <p>(b) State total number of licensed premises now operated by licensee in New York State. <i>(If more than one, attach list of such premises showing for each the license number, name, address and county.)</i></p> <p>(c) Is any stock transfer contemplated?</p>	Yes or No	Number of licensed premises	
	Yes or No		
	Yes or No		

The licensee represents that there have been no changes other than those set forth herein, in any of the facts required to be set forth in the application for license, and agrees that any application filed by it or by any of its officers, directors or stockholders, for any license or permit under the Alcoholic Beverage Control Law, and the occupation record submitted herewith, shall be deemed and made a part hereof and considered by the Authority in acting upon this Request for Approval of Corporate Change.

\_\_\_\_\_ certifies that he is \_\_\_\_\_  
(TITLE)  
of the above named licensee corporation; that he knows the contents of the above application and the statements and answers therein; that the same are true of his own knowledge that he has been authorized by order of the Board of Directors of said corporation to make the statements and answers therein in behalf of said corporation with the same force and effort as if said corporation made such statements and answers itself.

Dated \_\_\_\_\_  
(Signature of Currently Authorized Officer)

\_\_\_\_\_ certifies that he is to be \_\_\_\_\_  
(TITLE)  
of the above named licensee corporation; that he knows the contents of the above application and the statements and answers therein; that the same are true of his own knowledge.

Dated \_\_\_\_\_  
(Signature of a Proposed Authorized Officer)

**STATEMENT OF FINANCES  
FOR STOCK CORPORATE CHANGE**

State the total amount of money you are investing in the Purchase of the Stock.

TOTAL DOLLAR AMOUNT FOR STOCK PURCHASE: \$ \_\_\_\_\_

MISCELLEANOUS EXPENSES: \$ \_\_\_\_\_

TOTAL INVESTMENT: \$ \_\_\_\_\_

**BREAKDOWN OF TOTAL FOR PURCHASE OF STOCK**

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

Explain Cash: \_\_\_\_\_

Explain Deferred: \_\_\_\_\_

**REAL PROPERTY PURCHASE IF APPLICABLE**

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

Explain Cash: \_\_\_\_\_

Explain 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. (Provide documentation)
2. Set forth all repayment terms for any deferred monies. (Provide documentation)
3. Lease agreement if required.