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**INSTRUCTIONS FOR RETAIL VESSEL APPLICATION**


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**Mail the application to:  
New York State Liquor Authority  
Church Street Station  
P.O. Box 3817  
New York, NY 10008-3817**

**PLEASE READ THE INSTRUCTIONS CAREFULLY BEFORE COMPLETING THE APPLICATION.**

**APPLICATIONS MAY NOT BE HANDWRITTEN-THE APPLICATION CAN BE COMPLETED ON OUR WEBSITE AND THEN DOWNLOADED FOR SUBMISSION TO THE AUTHORITY.**

The following material has been prepared to assist you, the applicant, in developing and filing a completed application which will result in the approval and issuance of the type of license you desire. **It is important to understand that it is your responsibility to present a clear explanation of what you intend to do and how you will accomplish this. Incomplete applications may be disapproved. Please make sure you read the instructions carefully, answer every question and submit any documentation required to support your application.**

**IMPORTANT: Statutory Disqualification:**

The following are Statutory Disqualifications to holding an alcoholic beverage retail license under the A.B.C. Law:

1. Under the age of 21;
2. Not U.S. citizens or aliens admitted to the U.S. for permanent lawful residence;
3. Convicted of any felony, promoting or permitting prostitution, sale of liquor without an alcoholic beverage license;
4. Police officers/police officials;
5. A person whose liquor license was revoked;  
or
6. A person who has a wholesale license.

If any apply to you, identify and explain in sections marked Statutory Disqualification under lines 9 or 10.

**APPLICATION**

**Question 1**

**APPLICANT NAME**

- Enter sole proprietor's full name.
- If a partnership, enter full name of each partner.
- If a corporation, enter the corporate name.
- If a limited liability company or limited partnership, enter the company name.
- **IMPORTANT:** Enter telephone number of vessel or a telephone number where we can contact **you, the applicant**, not your attorney or representative.

**NAME OF VESSEL**

- Enter full name of Vessel.  
**You MUST enter a trade name if you are to be known by any other name other than what is listed in APPLICANT NAME. This is the name that your business is known by – the name that appears on your vessel.**

**MOORING ADDRESS OF VESSEL**

- Enter the full address and county where the vessel you are seeking to license will be moored.
- Vessel mailing/office address, if different than above.
- E-mail address
- Cell phone number, if available

**Question 2**

**CONTACT NAME**

- Enter the name, address and telephone number of the attorney, representative or contact person for the completion, filing and handling of this application (and email address, if available).

**BE ADVISED THAT NOTICES OF INCOMPLETE APPLICATIONS WILL BE MAILED TO THE APPLICANT AS WELL AS THE ATTORNEY OR REPRESENTATIVE, IF APPLICABLE. YOU, THE APPLICANT, ARE ULTIMATELY RESPONSIBLE FOR THE INFORMATION PROVIDED IN THE APPLICATION.**

**Question 3**

**VESSEL LICENSE TYPE**

- **Refer to the Vessel Fee Chart for the license class and code number and enter these in the spaces on question 4.**

**Question 4**

**FOR SEASONAL LICENSES ONLY**

- Provide the months that the sought for license will begin and end, in that order.
- Seasonal Vessels may only run beginning no earlier than April 1<sup>st</sup> and no later than October 31<sup>st</sup>.

**Question 5**

**ADDITIONAL BARS**

- Enter the number of additional bars, if any.
- A **stand up bar** is any bar, counter or contrivance (whether there is seating or not) over which a member of the public can order, pay for and receive an alcoholic beverage. Each stand up bar requires its own license. A **service bar** is for waiter/waitress service only, for people seated at tables.

**Question 6**

**TOTAL PAYMENT DUE**

- Refer to the Schedule of Retail License Fees for the specific license fee and complete the following fee payment work sheet.

**FEE PAYMENT WORKSHEET**

- 1. License Fee \$ \_\_\_\_\_
- 2. Filing Fee + \_\_\_\_\_
- 3. Additional Bars (if any)  
(Stand up bars only)  
\_\_\_\_\_ x \_\_\_\_\_ + \_\_\_\_\_  
# of bars license fee
- 4. Additional Bar Filing Fee  
\$20 x # of bars + \_\_\_\_\_

**TOTAL PAYMENT DUE = \_\_\_\_\_**

(Sum of lines 1-4 above)

**(Enter this number on application LINE 6)**

- Attach a personal check, certified check or money order payable to the **New York State Liquor Authority** for the **total payment due.**

- **TEMPORARY RETAIL PERMIT FEE (\$640) MUST BE A SEPARATE CHECK.**
- **LIQUIDATOR'S PERMIT FEE (\$36) MUST BE A SEPARATE CHECK.** A Liquidator's Permit is required if there is a transfer of alcoholic beverages from seller to purchaser. If alcoholic beverages are not being transferred, a statement, signed by the seller, must be submitted.

#### Question 7

- If applying as a sole proprietor, enter your Social Security Number. Others list Federal Identification Number. This is obtained from the Internal Revenue Service. If applied for and pending, so indicate.

#### Question 7a

- All applicants are required to obtain a Certificate of Authority to Collect Sales Tax from the NYS Department of Taxation & Finance. The permit number that appears on your certificate is to be reflected in the box provided.

#### Question 8

- Enter Coast Guard Registration number and supply a copy of the Coast Guard Registration certificate.

#### Question 9

##### SOLE PROPRIETOR, PARTNERSHIP AND LIMITED LIABILITY PARTNERSHIP (LLP)

- Enter the name, residence address, social security number and date of birth of the applicant(s).
- If **10 or less partners**, list all. If **more than 10 partners**, see instructions for "more than 10" in line 10 below.
- List all partners and provide proof of citizenship or alien status, personal questionnaires, copy of photo identification, an original color photo (passport size) and fingerprints on all.

#### Question 9a

- Enter the name, residence address, social security number and date of birth of the manager of your business, if applicable.

#### Question 10

##### CORPORATIONS AND LIMITED LIABILITY COMPANIES (LLC)

- Enter names, residence address, social security number and date of birth of stockholders, officers, directors, (If LLC, members and managing members), if any, as follows:
  - If **10 or less shareholders**, list all stockholders, officers, directors, members and managers, if any, and provide personal questionnaires, proof of citizenship or alien status, copy of photo identification, original color photo (passport size) and fingerprints for all.
  - If **more than 10 shareholders**, list all shareholders owning 10% or more of any class of its shares, and provide personal questionnaires, proof of citizenship or alien status, copy of photo identification, original color photo (passport size) and fingerprints for those individual. List all officers, directors, members and managers, if any, (and provide personal questionnaires, proof of citizenship or alien status, copy of photo identification, original color photo (passport size) and fingerprints for all active in management of business. Provide listing including name, address, citizenship and any statutory disqualification for all others having any interest.
- For Publicly Traded Corporations, provide copy of annual report listing all officers, directors and financial statement.

#### Question 10a

- Enter the name, residence address, social security number and date of birth of the manager of your business, if applicable.

### RIGHT TO PREMISES

#### Question 1

##### RIGHT TO VESSEL

- Check the appropriate box disclosing how you are in possession of the vessel (own, lease, etc).
- If you own the vessel you must supply the title. If you have purchased the vessel within the past year, you are required to provide documentation showing the source of the funds used for the purchase.
- If you are leasing the vessel you must submit a signed copy of the lease or a letter of intent. The letter of intent must list the intended term and rent amount. The lease **MUST** run for the **FULL** term of the license or be renewable for at the least the full term.

- Answer all questions here regarding the lease arrangements. **NOTE: The lease must state the EXACT location of the vessel in the building.**

## Question 2

### INTERESTED PARTIES

- Check YES if there is a license already in effect for the vessel in which the applicant is seeking a license and state the name of the licensee and license serial number.
- **IT IS STRONGLY SUGGESTED THAT YOU CONTACT THE STATE LIQUOR AUTHORITY BEFORE YOU FILE AN APPLICATION TO DETERMINE IF THERE ARE ANY DISCIPLINARY ACTIONS PENDING THAT MAY EITHER DELAY OR PREVENT THE ISSUANCE OF A LICENSE FOR THE PROPOSED VESSEL. PLEASE BE AWARE THAT WE MAY NOT DISCLOSE A PENDING INVESTIGATION AT A LOCATION.**
- List any person or entity that will share in a percentage of profits or losses of the business.
- List any interest you, the applicant, have in a vessel or business where any alcoholic beverages are manufactured or sold at wholesale or retail.

### LANDLORD/VESSEL OWNER IDENTIFICATION

- All applicants are required to have the owner of the vessel (landlord) where the proposed vessel is to be located complete this Section. (If YOU own the vessel YOU must complete this section as landlord).
- All questions must be answered accurately and completely.
- All individuals or principals of the landlord corporation must be listed on this form.
- If you own the vessel under a name other than the name you are applying for the license under, you are required to submit a lease between both entities.

### LIST OF EXPENSES

- List the amount of money spent (or intended to be spent) for each item listed on this page.
- If the vessel has been purchased by the principals of the LLC or Corporation under a different entity name, a separate List of Expenses should be completed by that entity.
- Identify ALL sources of funds. This includes cash and deferred funds as follows: savings, checking, stock, business accounts, property, gifts or loans, etc.
- Provide bank statement(s) that show you have sufficient funds for this venture. If any finances have already been expended, provide statements to reflect you had the funds at that time.
- For personal bank accounts provide an explanation for any deposits over \$10,000.
- Personal questionnaires are required on all lenders, donors, giftors and all persons listed on bank accounts that the funds will be withdrawn from. The applicant must account for and document the source of all funds invested in the proposed business or vessel.
- Loan agreements are required (even if the loan is between family members) for every loan showing the terms of the loan and default clauses. If the money is gifted from anyone other than a spouse, a letter stating the finances are a gift must be provided.
- You are not limited to the above. Submit any and all records, documents and/or affidavits that may assist you in explaining your financing, background and operation of the applied for business. Attach additional sheets and explanations, if necessary. More information may be required if deemed necessary to process the application.

### 500' RULE

- **This section MUST be completed by all applicants for a Vessel Liquor License. If you answered YES to the question asking if there are three or more vessel with on-vessel liquor licenses within 500' of the proposed vessel, YOU MUST EXPLAIN IN WRITING, IN DETAIL, WHY GRANTING OF THE LICENSE APPLIED FOR WOULD BE IN THE PUBLIC INTERES, NOT HOW IT WOULD BE IN THE APPLICANT'S INTEREST. IF APPLICABLE, YOU MUST ALSO PROVIDE THE NAMES AND ADDRESSES OF THE BUSINESSES WITH ON-VESSEL LIQUOR LICENSES LOCATED WITHIN 500' OF THE PROPOSED VESSEL.**

### STATEMENT OF AREA PLAN

- When completing this section, please be aware that whether or not the mooring address is within 200' of a school, church or place of worship, you MUST also identify the name and distance of the CLOSEST school, church or place of worship within 300' of the proposed vessel.

- If you ARE within 200' of a school, church or place of worship, you must answer the question "YES" regardless of whether or not you believe it is being used exclusively as a school, church or place of worship. The Authority will make this determination and advise you accordingly.
- The measurement from the school, church or place of worship are to be taken in a straight line from the center of the nearest entrance to the school, church or place of worship to the center of the dock of the vessel to be licensed. If the school, church or place of worship is set back from a public thoroughfare, the walkway or stairs leading to any such door shall be deemed an entrance and the measurement must be taken from the center of the walkway or stairs where it meets the building line or public thoroughfare. Entrances are considered any door used to give ingress to students of the school, the general public attending the place of worship and to patrons or guests of the proposed vessel to be licensed. Doors with no exterior hardware are not considered an entrance.

#### **ON-PREMISES VESSEL QUESTIONNAIRE**

- Answer ALL questions completely. Please do not answer "see attached" to any question. **Any incomplete answer may delay or prevent the processing of the application.**
- In this section you must describe the vessel to be licensed.
- **Submit a copy of a valid Coast Guard Registration. The Coast Guard Registration must list the appropriate use.**
- You must indicate how many decks the licensed vessel will have and answer all questions pertaining to the interior of the vessel to be licensed including what each room in the vessel to be licensed will be used for; access between floors; number of persons legally allowed in the licensed vessel; the number of and description of all stand up bars or service bars (see the instructions under "Line 5" on the 2<sup>nd</sup> page of the instructions for definition of stand up and service bars); whether there is a kitchen or food preparation area. **You must submit a menu with your application.**
- Boats that are anchored-never to move (stationary)-apply for an on-premises license.

**HELPFUL HINT: You may find it easier to prepare your diagram of the vessel prior to completing this section....seeing the layout of the vessel may help you in answering the questions.**

#### **METHOD OF OPERATION**

- Answer ALL questions completely. The information provided in this section will be the method of operation you are approved for and will be binding. Should you wish to deviate from this method of operation in any way, you must first apply for and receive permission by the Authority.
- **Any change in method of operation must be approved by the State Liquor Authority prior to initiating the change.**
- Meals must be the usual assortment of foods commonly ordered at various hours of the day. The service of only sandwiches and salads does not meet the food requirements needed to operate as a restaurant. Alcoholic beverages are to be incidental to the service of food.
- **PLEASE NOTE THAT FOOD MUST BE AVAILABLE FOR SALE DURING ALL HOURS OF OPERATION. This does not include allowing your patrons to order from other restaurants and having the food delivered to your vessel. The food must be available at YOUR place of business.**
- Alcoholic beverages cannot be served on the vessel prior to 3 hours before departure of such vessel.
- If you are employing a manager, they must provide a Personal Questionnaire, photo identification and an original color photo no smaller than 2"x2".
- If you are employing security personnel you should contact the NYS Department of State and find out if they are required to be registered in accordance with NYS Security Guard Registration.
- If you are applying as a sole proprietor with more than one employee, **whether or not they are family members**, or if applying as a partnership, Limited Liability Partnership (LLP), Limited Liability Company (LLC) or as a corporation, provide Workers' Compensation/Disability Benefits Carrier Name and Policy Number. If applied for and pending, so indicate.

**YOU MAY NOT EMPLOY ANYONE CONVICTED OF A FELONY UNLESS YOU HAVE THE PERMISSION OF THE AUTHORITY OR THE PERSON HAS RECEIVED A CERTIFICATE OF RELIEF FROM DISABILITIES FROM THE COURT.**

## **NOTIFICATION OF PUBLICATION**

- Please read this section carefully. The first notice of publication must be published within 10 days of the filing of this application. The original publication notice must be submitted to the Authority within 15 days of receipt.

## **PROOF OF CITIZENSHIP**

- This section must be completed by an attorney duly admitted to practice law in New York State. This section is not required for natural born citizens.

## **APPLICANT'S STATEMENT**

- Please read this section carefully. This section is an affirmation that you understand that you are bound by the answers and information you provide in the application.
- Applicant signatures required for: sole proprietors, each partner in a partnership and at least one authorized official of a corporation.

## **APPLICATION FOR LIQUIDATOR'S PERMIT**

- This section must be completed and filed by the **LICENSEE who is selling or liquidating their business and will be disposing of their stock of alcoholic beverages in connection with such sale. A list of the inventory being liquidated must be submitted prior to the issuance of this permit.**

## **PERSONAL QUESTIONNAIRE**

### **– THIS FORM MUST BE COMPLETED IN FULL BY THE FOLLOWING PERSONS:**

- All sole proprietors.
- Each partner in a partnership.
- For Corporations or Limited Liability Companies (LLC), see instructions for Line 10 of the application.
- Managers.
- Individual lenders and donors and giftors (state your relationship to the applicant).
- Co-signers of loans.
- Spouses who assist in management of vessel; will be employed at the vessel or who hold joint bank accounts with applicant.
- Anyone holding a joint account with an individual who will be providing funds for this venture, whether the applicant, a lender or donor.

**NOTE: Additional information may be requested on any individual submitting a personal questionnaire if needed to complete the review of the application. Each questionnaire must be signed and dated.**

## **THE FOLLOWING DOCUMENTS MUST BE SUBMITTED WITH THE APPLICATION:**

### **STANDARDIZED NOTICE FORM PROVIDING A 30-DAY NOTICE TO A LOCAL MUNICIPALITY OR COMMUNITY BOARD**

- **Per Section 110(b) of the ABC Law all on-premises applicants (whether applying for beer; beer & wine; or beer, wine & liquor) are required to notify the Municipality or Community Board at least 30 days prior to filing the application with the New York State Liquor Authority.**
- You must submit a copy of the completed and signed Standardized Notice Form with your application along with proof of mailing or hand delivery.

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

#### **PERSONS REQUIRED TO BE FINGERPRINTED:**

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

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

- Each applicant principal that is required to be fingerprinted will be instructed to do so on the application Filing Receipt once the application is received by the Authority.
- Each applicant principal required to be fingerprinted must follow the fingerprinting instructions which are available on the Filing Receipt or on our website, [www.sla.ny.gov](http://www.sla.ny.gov).

## **PENAL BOND (FORM L-9)**

- Submit a penal bond, Form L-9, in the sum of \$1,000, issued by any qualified surety company authorized to execute such bonds in the State of New York.
- **IMPORTANT: The bond MUST have the vessel name and address typed EXACTLY AS IT APPEARS ON THE APPLICATION.**
- **Altered or handwritten bonds are not acceptable (i.e.: whiteouts, typeovers).**
- **The expiration date on the bond must indicate only the year of expiration of the license.**
- **The applicant MUST SIGN THE BOND.**

## **CONTRACTS**

- Submit a copy of the contract of sale or purchase of business/stock, etc. The name of the person/entity listed as purchaser on the contract of sale must be the name of the applicant as it appears on the Application for Alcoholic Beverage Control Retail License.

**A CONTRACT OF SALE MUST BE SUBMITTED IF PURCHASING AN EXISTING BUSINESS AND APPLYING FOR A TEMPORARY RETAIL PERMIT.**

## **PHOTOGRAPHS**

- Must be at least 5" x 7" and NO POLAROIDs.
- **Interior Photographs** – showing interior of vessel. Bars must be clearly shown together with a full view of the room or rooms – this includes kitchens.
- **Exterior Photographs** – Showing front and side view of vessel, structure or proposed site.
- **PHOTOS ARE REQUIRED AT THE TIME OF FILING THE APPLICATION. ADDITIONAL PHOTOS MAY BE REQUIRED IF RENOVATIONS OR CONSTRUCTION IS NOT COMPLETED AT THE TIME OF FILING.**
- You may submit your photos electronically. Please refer to the detailed instructions on our website.
- All hard copy photographs submitted **MUST BE ENDORSED** on the reverse side with the name and address of the applicant and the date when the photographs were taken.

## **DIAGRAMS**

- **All diagrams must be submitted on 8 1/2" x 11" paper AND MUST BE CLEARLY MARKED.**
- **See examples at end of instructions**
- 1. **Interior Diagram:**
  - Diagram or sketch of the interior with dimensions. Include ALL decks of the licensed vessel. Label all rooms, including bathrooms, and the basement or any other floor if part of the licensed vessel (ie. storage room, office, dining area, kitchen, food preparation area). Show the measurements and locations of the bar(s) and number of tables and chairs for patrons in each room.
  - Each deck should have its own diagram (including any used for the storage of alcoholic beverages).
  - Show all entrances and exits, sanitary facilities, display windows or other openings, counters, closets, shelves and storage areas.
- 2. **Block Plot Diagram**
  - A Block Plot Diagram showing all other buildings, lots, etc. must be submitted. Make sure that you label each building (i.e. Nail Salon, Church, Residence)
  - **IMPORTANT: All submissions, including photographs and diagrams, must have the name and address of the applicant's vessel.**

## **FILING RECEIPT OR ASSUMED NAME CERTIFICATE**

- If applying as a Corporation, LLC or LP you must submit the Filing Receipt issued by the NYS Department of State showing proof of incorporation.
- If you have a trade name (DBA) you must file an Assumed Name Certificate issued by the NYS Department of State.

## NOTICE OF APPEARANCE

- Section 166 of the Executive Law requires a regulatory agency to maintain for public inspection a record of who appears before it for a fee as a third party (i.e. an attorney, an agent, a lobbyist or representative) on behalf of a person or organization subject to the regulatory jurisdiction of the agency.
- This form must be completed and submitted by **all** represented applicants.
- If you were assisted in the preparation and/or filing of the application, you must have the person you paid complete and submit the Notice of Appearance with the application.

## NOTICE TO BE POSTED AT PROPOSED PREMISIES

- Section 100(7) of the Alcoholic Beverage Control Law requires that Notice be posted in a conspicuous place at the entrance of the vessel within 10 days of filing your application. This Notice Form can be found on our website under "Notice to be Posted at Proposed Vessel".

## VESSEL FEE SCHEDULE

Code	License Class	License Term	License Fee	Non-Refundable Filing Fee
150	Fishing Vessel	3 Years	\$120	\$100
140	Vessel Beer	3 Years	\$480	\$100
240	Vessel Liquor	2 Years	\$3,200	\$200
540	Summer Vessel Liquor	04/01 thru 10/31	\$448	\$200
	Additional Bar	Term & Fee Equal to original license		\$20

**Reminder: The Term of the Surety Bond must coincide with the expiration date of the liquor license.**