
INSTRUCTIONS FOR WHOLESALER/IMPORTER/MANUFACTURER LICENSE(S)

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

**Applications may not be handwritten.
Applications are available on our website as fillable forms.
Print a completed copy of the application for submission to the Authority.
Save a completed copy of the application to retain for your records.**

These instructions will assist you in filling out a complete application, resulting in quicker review and determination. Incomplete applications may be disapproved. You must present a clear explanation of what you intend to do and how you will accomplish this. Drawing your diagrams and reviewing your photographs will assist you in filling out a complete application. Please ensure you answer every question and submit all documentation required to support your application.

STATUTORY DISQUALIFICATIONS

The following are Statutory Disqualifications to holding an alcoholic beverage wholesale, importer or manufacturing license under the ABC Law:

1. Under the age of 21;
2. Not a U.S. citizen or alien 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 A person whose liquor license was revoked; or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 holds a retail license.

If any apply to you, identify and explain in an attached statement.

LICENSE APPLICATION**LINE 1****NAME OF APPLICANT**

- 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.

TRADE NAME

- Enter your DBA – "Doing Business As" name. You must enter a trade name if you are to be known by any name other than what is listed in "applicant name." This is the name that your business is known by, i.e. the name that appears on your building.

- This must match the DBA listed on your Assumed Name Filing Receipt or Business Certificate

PREMISES STREET ADDRESS

- Enter the full address and county of the premises you are seeking to license (911 street address where applicable).

TELEPHONE NUMBER OF PREMISES

- Enter the telephone number of the premises or a telephone number where we can contact you, the applicant. Do not enter your attorney or representative's telephone number on this line.

MAILING ADDRESS

- List the address where you wish to have all correspondence regarding the alcoholic beverage license to be mailed, such as Renewal Advisories or Certificates, if the premises address cannot receive mail or if you prefer to have the mail delivered elsewhere.

E-MAIL ADDRESS

- Required: Enter the e-mail address of the premises or an e-mail address where we can contact you, the applicant. Do not enter your attorney or representative's telephone number on this line.
- Enter business website address.

LINE 2**ATTORNEY/REPRESENTATIVE/CONTACT**

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

Notices of incomplete applications will be emailed to the applicant, and to the attorney or representative, if applicable. As the applicant, you are responsible for the information provided in the application.

LINE 3

ALCOHOLIC BEVERAGE LICENSE TYPE(S)

- See page 8 of the application for a listing of the types of licenses available. Refer to the Wholesale/Importer or Manufacturer Fee Chart for the license class and code number and enter these in the spaces on Line 3.

LINE 3a

- **Combined Craft Manufacturer only.** If you are applying for two or more qualifying licenses for the same location, please see the Manufacturer Fee Chart for each specific license class(es) and code(s). Enter these in the spaces on Line 3a

LINE 4

TOTAL PAYMENT DUE

- Refer to the Wholesale/Importer or Manufacturer Fee Charts for the specific license total fee and enter this **number on Line 4.**
- Attach a personal check, bank check or money order payable to the **New York State Liquor Authority** for the **total payment due.**
- **Combined Craft Manufacturer License only.** See the Manufacturer Fee Chart for each specific license class and combine the License Fee plus the Ancillary Fee plus one Filing Fee of \$400.
NOTE: The only instance where a Filing Fee is not included is if you are only applying for a Farm Winery, a Special Farm Winery and/or a Micro Winery.

LINE 5

FEDERAL TAX ID#

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

LINE 6

- Applicants who will have retail privileges with the wholesale or manufacturers license 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.

LINE 7

SOLE PROPRIETOR OR PARTNERSHIP

- Enter the name, residence address, social security number and date of birth of the applicant(s).
- 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.
- If **10 or less partners**, list all. If **more than 10 partners**, see instructions for "more than 10" in Line 8 below.

LINE 8

CORPORATIONS, LIMITED LIABILITY COMPANIES (LLC) OR LIMITED LIABILITY PARTNERSHIP (LLP)

- 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 and fingerprints for those individuals. 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 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.
- You may be required to provide an organizational chart should any corporations or LLCs hold an interest in the applicant entity.

RIGHT TO PREMISES

- Check the appropriate box disclosing how you are in possession of the premises (own, lease, etc).

- If you own the premises you must supply a copy of the deed. If you have purchased the real property 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 premises 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 premises in the building.
- Loan agreements are required (even if the loan is between family members) for every loan showing the terms and default clauses.
- Donors and Lenders (other than banking institutions) must provide financial records that demonstrate the sources of funds provided.
- Submit any and all additional records, documents and/or affidavits that may assist you in explaining the financing, background and operation of your business. Attach additional sheets and explanations, if necessary. More information may be required if deemed necessary to process the application.

OTHER INTERESTED PARTIES

- List any person or entity that will share in a percentage of profits or losses of the business.

LANDLORD IDENTIFICATION

- All applicants must have the owner of the property (landlord) complete this Section. (If you own the property, you must complete this section as Landlord). All individuals or principals of the landlord corporation must be listed on this form.
- The landlord name must match the name listed on the deed to the premise and all lease agreements.
- If you own the property under a name other than the name you are applying for a license under, you are required to submit a lease between both entities.

FINANCIAL DISCLOSURE

- List the amount of money spent (or intended to be spent) for each item on this page.
- If the real property has been purchased by the principals of the LLC or Corporation under a different entity name, a separate Financial Disclosure form should be completed by that entity.
- Identify ALL sources of funds. This includes cash and borrowed funds: savings, checking, stock, business accounts, property, gifts or loans, etc.
- Provide bank statement(s) and other relevant financial documentation 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 for all lenders (excluding banking institutions), donors and all persons listed on bank accounts where funds will be withdrawn. The applicant must document the source of all funds invested in the proposed business.

PREMISES QUESTIONNAIRE

HELPFUL HINT: You may find it easier to prepare your diagram of the premises prior to completing this section. Seeing the layout of the premises may help you in answering the questions. Sample diagrams are provided at the end of each application.

- Answer ALL questions completely. Please do not answer “see attached” to any question. You must describe the premises to be licensed. Any incomplete answer **will delay** or prevent the processing of the application.
- You must indicate what floor(s) the licensed premises will be located on and answer all questions pertaining to the interior of the premises to be licensed including what each room in the premises to be licensed will be used for and access between floors.
- If there is interior access from the floor(s) you are licensing to any other floor(s) of the building (whether or not you are licensing those floor(s)), you **MUST** describe the means of access (i.e. stairs, elevator) and state what occupies the other floor(s) (i.e. apartments, offices, etc.). If you are using the basement or another floor(s) of the building to store alcoholic beverages, that area must be included as part of the licensed premises. If there is no interior access to the storage area from the floor(s) you propose to license, you must file for a Warehouse Permit (this permit is available by filing online at <http://www.sla.ny.gov/online-permit-applications>).
- **Manufacturer Application only:** Include all buildings you plan on using in the production or sale of your product. Provide a detailed description of the premises location and location of a restaurant on or adjacent to the premises, if applicable. You must apply for a separate license if you intend to operate a restaurant serving alcohol other than that made by NYS craft manufacturers.

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.
- Manufacturer applications only. Manufacturers must provide a detailed statement explaining their planned method of operation. See the Method of Operation form for a full description of what is required.
- If you have or will hire one or more employees (excluding the applicant principals) provide Workers' Compensation/Disability Benefits Carrier Name and Policy Numbers. If applied for and pending, please indicate. You must have this coverage whether or not your employees are family members, unpaid volunteers, interns, leased or borrowed employees.
- Provide a Certificate of Attestation from New York State Workers' Compensation and/or Disability Benefits Insurance Coverage if you are not required to hold either of these policies.
- **Combined Craft Manufacturers License only.** If you are applying for two or more qualifying licenses for the same location, you may also file as a Combined Craft Manufacturer. You will only need to fill out one application for your craft licenses.

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

BULLETIN #254

- This Bulletin must be signed and dated. Applicants must comply with this Bulletin.

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 8 of the application.
- Individual lenders and donors (state your relationship to the applicant).
- Co-signers of loans.
- Guarantors of leases.
- Spouses who assist in management of premises 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 necessary to complete the review of the application. Each questionnaire must be signed and dated.

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.

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.

ELECTRONIC FINGERPRINTING

All applicants are required to be fingerprinted.

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 8.
- Each applicant principal that is required to be fingerprinted will be instructed to do so on the Application 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 Application Receipt or on our website, <http://www.sla.ny.gov/forms-quick-find> .

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

THE FOLLOWING DOCUMENTS MUST BE SUBMITTED WITH THE APPLICATION:

PENAL BOND (FORM L-9)

- Submit a penal bond if required, Form L-9, in the sum listed on the Wholesale\Importer or Manufacturer Fee Chart issued by any qualified surety company authorized to execute such bonds in the State of New York.
- Important: the bond must have the premises name and address typed **exactly** as it appears on the application.
- Altered or handwritten bonds are not acceptable (i.e.: whiteouts, type-overs).
- 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 License.

PHOTOGRAPHS

- Must be at least 5" x 7"
- **Interior Photographs** – show the interior of premises.
- **Exterior Photographs** – Show the front of premises, structure or proposed site.
- **Photos are required at the time your application is filed.** 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, <http://www.sla.ny.gov/electronic-submission-of-photographs>
- 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 ½" x 11" paper AND MUST BE CLEARLY MARKED. See examples at end of each application.

Interior Diagram:

- Diagram or sketch of the interior with dimensions. Include ALL floors, one diagram per floor, that will be part of the licensed premises (including any outside areas, the basement or any other floor being

used for the storage of alcoholic beverages or office space where books and records are maintained).

- Label all rooms, If the premises is in a multi-unit or multi-story building, diagram must also state and show where the premises is located in the building.
- Show all entrances and exits, sanitary facilities, display windows or other openings, counters, closets, shelves and storage areas.

IMPORTANT: All submissions, including photographs and diagrams, must have the name and address of the applicant's premises.

CORPORATE FILING RECEIPT OR ASSUMED NAME FILING RECEIPT

- If applying as a Corporation, LLC or LP you must submit the Corporate Filing Receipt issued by the NYS Department of State showing proof of incorporation.
- If you have a trade name (DBA) you must submit an Assumed Name Filing Receipt issued by the NYS Department of State.
- Sole proprietors and partnerships must provide a copy of their Business Certificate from the county clerk's office including the trade name they will be doing business under.

FEDERAL BASIC PERMIT

- Federal Permits are required from the U.S. Department of the Treasury, Alcohol and Tobacco Tax and Trade Bureau (TTB) for all wholesale, importer and manufacturing licenses except for Brewers
- Brewers must submit a copy of their Brewer's Notice

PROOF OF CITIZENSHIP

- All applicant principals must submit proof of citizenship.
- Proof of US citizenship can be in the form of a copy of a US Passport or a birth certificate.
- Permanent Resident cards or visas may also be used to fulfill this requirement.

PHOTO IDENTIFICATION

- All principals must submit a copy of a current photo ID. This can be in the form of a driver's license or a passport.