



2015 Annual Report

Governor Andrew M. Cuomo
Chairman Vincent G. Bradley

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Historical

On December 5, 1933, President Franklin Delano Roosevelt signed Presidential Proclamation 2,065, officially declaring the 18th Amendment to the U.S. Constitution 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 The 21st Amendment repealed Prohibition and gave each state the power to regulate the trafficking of alcoholic beverages within its borders.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 May 1934, New York State enacted Chapter 478, known as the Alcoholic Beverage Control Law (“ABC Law”), creating the State Liquor Authority and the Division of Alcoholic Beverage Control effective July 1, 1934. The State Liquor Authority’s first Annual Report noted that Chapter 478 was enacted by the Legislature to provide for “the protection, health, welfare and safety of the people of the State.”

Authority Operations / Responsibilities

The Division of the Alcohol Beverage Control, commonly referred to as the “SLA”, is part of the executive department of New York State with a Board consisting of three (3) Commissioners, appointed to three-year terms, one of whom is the Chairman. The Commissioners are commonly referred to as the Full Board. The Chairman serves as the day-to-day administrator of the SLA and has a salary set by statute; the other two (2) Commissioners are compensated on a per diem basis. The Chairman and the Commissioners of the SLA are responsible for creating policy, developing strategy, and directing initiatives that create a regulatory framework designed to efficiently, ethically, and professionally accomplish these functions. The Chairman ensures the work of the agency harmonizes with the overall strategy and goals set by the Executive Chamber. In addition, the Chairman also presides over all Full Board meetings of the agency.

Current Authority responsibilities of the Full Board include, but are not limited to:

- 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 the public interest;
- Working with local law enforcement agencies to ensure compliance with the Alcoholic Beverage Control Law;

- Investigating licensees for alleged violations of the Alcoholic Beverage Control Law; and
- Bringing disciplinary charges, conducting disciplinary proceedings, revoking, canceling or suspending for cause any license or permit, and/or imposing monetary penalties where appropriate.

Mission Statement

The SLA has two (2) main functions: 1) issuing licenses and permits; and 2) ensuring compliance with the Alcoholic Beverage Control Law. The Authority's licensing activities focus on the timely processing of permits and licenses. The Authority's enforcement activities focus on the protection of the public by working with local law enforcement agencies and local communities to bring administrative actions against licensees who violate the law.

The Authority currently operates three (3) offices: New York City (Zone 1); Albany, which serves as the administrative headquarters (Zone 2); and Buffalo (Zone 3).

License Types

There are 96 license types and 91 permit types, which allow for various means of trafficking in alcoholic beverages, with approximately 50 of these constituting the majority of application categories. During 2015, the State Liquor Authority was responsible for the regulation of over 53,000 active licensees and 35,000 permittees.

Licenses are issued for durations that range from one (1) to three (3) years, depending on license type, after which licensees may apply for renewal. Licenses fall into three major categories: manufacturer, wholesaler and retailer.

Manufacturer Licenses include several classes of distiller, winery, brewery and cidery licenses. To encourage the creation and growth of New York based industries, within each category there are provisions allowing for licenses to be issued at a lower cost for businesses with limited production capabilities, as well as provisions for businesses that manufacture alcoholic beverages made primarily from New York agricultural products. In addition to selling their goods to wholesalers and retailers, certain small manufacturers, are also allowed to sell directly to consumers.

Wholesaler Licenses allow licensees to purchase alcoholic beverages from manufacturers, importers and other wholesalers and to sell those products to retailers. There are separate licenses for liquor, wine and beer wholesalers. In limited situations, wholesalers can sell directly to consumers.

Retailer Licenses are available for both on-premises and off-premises sales. Specifically:

On-premises licenses are issued to businesses such as restaurants and taverns that serve alcoholic beverages to be consumed at the establishment. These licenses may allow for the sale and consumption of all types of alcoholic beverages, or may be limited to the sale of wine and beer, or beer only.

Off-premises beer licenses are issued to grocery and drug stores, while package stores are authorized to sell spirits and wine, or wine only.

Applications to modify the conditions upon which a retail license was originally granted are required to be filed and approved in many instances before any changes may be made. Examples include moving to a new location; altering the layout of an establishment; changing principals, officers, or LLC members of a licensee; upgrading the type of license currently held; or changing the method of operation originally approved by the Authority.

Disciplinary Process

The SLA's Counsel's Office prosecutes licensees in administrative proceedings for violations of the Alcoholic Beverage Control Law and Rules of the Authority. An investigation into a disciplinary matter typically begins with one (1) or more of the following:

- An on-site, announced inspection of a licensed establishment;
- An on-site, undisclosed investigation by Authority investigators;
- A review of referrals or investigations by other law enforcement and regulatory agencies; and/or
- Interviewing witnesses and collecting evidence;

Disciplinary proceedings are commenced by the issuance of a Notice of Pleading setting forth the alleged violations. After receiving, a licensee may enter one (1) of the following pleas:

- Not Guilty;
- No Contest; or
- Conditional No Contest;

If a licensee pleads "not guilty," a hearing date is scheduled with an Administrative Law Judge ("ALJ"). At the hearing, the Authority and the licensee may produce witnesses, which are subject to cross-examination, and submit documentary evidence. Findings are made by the ALJ and presented to SLA's Board for final approval. If the licensee admits to committing the violation with a "no contest" plea, the Board imposes an appropriate penalty. If the licensee submits a "conditional no contest" plea, the licensee's offer of settlement is forwarded to the Board for consideration. If the offer is rejected by the

Board, the matter is returned to Counsel's Office to schedule an administrative hearing. Each case brought to the Board is examined on its individual merits. If a disciplinary charge is sustained, the Board may impose one or more of the following:

- **Letter of Warning**-A letter sent which notes that, although the licensee may have committed a violation, only a warning is warranted under the circumstances;
- **Civil Fine**-A monetary penalty;
- **Bond Claim**-A claim for payment is made against the surety bond that was filed with the license application;
- **Suspension**-The license is seized for a specified number of days;
- **Cancellation**-The license is terminated, but there are no time restrictions on reapplying for another license;
- **Revocation**-The license is terminated, and the licensee cannot apply for a license for two (2) years;
- **Proscription**-A two-year ban on the issuance of a license to any part of the building containing the revoked licensed premises;

2015 Calendar Year Highlights

2015 Wine, Beer, Spirits and Cider Summit

On October 7, 2015 Governor Cuomo held the State's third Wine, Beer, Spirits, and Cider Summit where he announced an investment of \$5 million to renew the marketing and promotional commitment first launched in 2014, with the State committing \$2 million in direct spending to support the industry's growth via \$1 million in tourism promotion and a \$1 million targeted advertising campaign. Additionally, ESD will launch a \$3 million grant program that matches 20 percent of the industry's contributions for the marketing and promotion of wine, beer, spirits and cider produced in New York State.

Following the 2015 Summit, at the Governor's direction on October 15, 2015 the SLA adopted the following industry advisories to further assist New York's growing craft beverage industry:

- Allow salespeople to represent multiple craft beverage manufacturers. This will increase distribution for small craft producers and provide more opportunities for salespeople to join the growing beverage industry;

- Allow multiple craft manufacturer branch offices at the same location. This change allows a group of manufacturers to share a location, lowering operating costs and providing more retail outlets for craft products;
- Provide guidance for contract brewing explicitly authorizing contract brewing, allowing small breweries to use the facilities of a larger producer to manufacture beer. This policy benefits both large and small manufacturers, providing additional revenue for established brewers while assisting small brewers entering the market;
- Authorize tastings at wine schools and other alcoholic beverage education classes and seminars. The SLA will issue permits for bonafide schools to conduct tastings as part of their curriculum, introducing consumers to new craft products and supporting research;
- Allow off-premises beer retailers to fill orders for growlers at a warehouse, rather than having to conduct the activity at their licensed premises;
- Reduced fees for seasonal additional bars. Restaurant, bar and tavern owners are allowed to operate one bar in the premises with the license, with additional bars costing the equivalent of the original license. The SLA Board authorized the issuance of pro-rated fee for “add bars” so retailers operating a bar on a seasonal basis, for instance on an outdoor patio or deck, are charged a fee based on the months the bar will be in operation;

The Alcoholic Beverage Control Law Working Group

On November 9, 2015 Governor Cuomo announced the creation of a working group of industry leaders to recommend revisions to New York State’s Alcoholic Beverage Control Law. The group, a direct result of the 3rd Wine, Beer, Spirits and Cider Summit, will review existing statutory provisions and explore approaches to clarify and modernize the 80-year-old statute

The working group held an opening meeting on November 12, 2015, led by State Liquor Authority Chairman Vincent Bradley. The review builds upon the legislative and regulatory progress achieved over the past five years, focusing on reorganizing or replacing the current ABC Law, including, but not limited to:

- Removing outdated and redundant provisions;
- modernizing statutory language for clarity;
- improving and consolidating various licensing provisions;
- clarifying the types of licenses available;
- reducing mandatory paperwork; and
- eliminating unnecessary restrictions imposed on manufacturers;

Craft Brewery Growth

On December 2, 2015 Governor Cuomo announced that in 2015, 43 new farm breweries have opened their doors in New York State, bringing the state's total number of operational farm breweries to 106. Additionally, the Governor's Farm Brewery law,

which created a new license for craft brewers that use New York grown ingredients and included an exemption on brand label registration fees for small brewers, has saved brewers nearly \$1 million to date. In addition to the 106 farm breweries, New York is now home to 133 micro-breweries, up from just 40 in 2011, and 39 restaurant breweries, up from 10 in 2011. Additionally, eight farm breweries have opened off-site branch stores, a practice which was also authorized under the Governor's law.

On April 16, 2015, Governor Cuomo announced that New York's growing craft beer industry accounts for 6,552 direct industry jobs, in addition to supporting another 4,814 jobs in related industries. It is also responsible for more than \$2.9 billion in direct and indirect revenue within the state, and another \$554 million in direct and indirect wages, making up a total economic impact of nearly \$3.5 billion. Additionally, more than 3,000 jobs are supported by tourism related to the craft beer industry, representing \$77 million in annual wages.

Initiative to Educate Bar Owners on Revamped ID Cards

On August 19, 2015, Governor Cuomo announced a new state effort to educate bar owners, security, and staff of licensed establishments about new security features included on driver licenses, permits, and ID cards issued by the state. A new electronic brochure was distributed to thousands of bar owners across the state that provides a description of the advanced security features in these forms of identification to make it easier for owners and staff at establishments with liquor licenses to authenticate them and identify fake IDs.

The Department of Motor Vehicles (“DMV”) and State Liquor Authority teamed up to create the brochure that outlines security features on the new ID cards, which DMV began distributing in 2013. The new security features, which are among the most advanced in the nation, are highly resistant to tampering and designed to prevent identity theft.

2015 Legislative Summary

Authorizing Farm Distilleries to Sell Gift Items

On August 14, 2015, Governor Cuomo signed legislation authorizing farm distilleries to sell gift items including non-alcoholic beverages, food items to complement liquor tasting that can be consumed without tableware, locally produced food items, liquor supplies or accessories, liquor making equipment and supplies, and souvenir items such as artwork, crafts, clothing, agricultural products, and any other items that can be construed to promote tourism in the region. Prior to this legislation, farm distillers were the only group among farm breweries, cideries and wineries that were not authorized to sell gift items.

Exempting Micro-Breweries from Certain Tax-Filing Requirements

On August 14, 2015, Governor Cuomo signed legislation to exempt micro-breweries from certain tax requirements. These filing mandates placed a burden on small businesses that are often not equipped to handle the data collection needed to comply with the law. Additionally, most of the beer that they produce is already accounted for in distributor sales, making it a redundant task. Farm breweries are currently relieved from submitting the annual information sales tax return, and this new law allows micro-breweries that same exemption.

Authorizes Tastings at Retail Stores Without Presence of Manufacturer

On August 14, 2015, Governor Cuomo signed legislation to allow retail stores that sell beer, cider and liquor to conduct tastings without the manufacturer or wholesaler present. Previously, a representative from the manufacturer or wholesaler of the product had to be present at the store and conduct the tasting. For many manufactures, this was an unaffordable expense and now, they will not be required to be present in order for their product to be sampled.

Banning the Sale of Powdered Alcohol Products

On August 14, 2015, Governor Cuomo signed legislation to prohibit the sale of any powdered or crystalline alcohol product, also known as "palcohol," in New York State. This powdered, freeze-dried alcohol is sold in small bags and is intended to be mixed with water to create alcoholic drinks. It is readily portable and easy to conceal in its powdered form, increasing the ability for underage youths to gain access to it. Additionally, mixing incorrectly or ingesting it in its powdered form can lead to unsafe levels of intoxication.

Temporary Retail Licenses for New Applicants

In 2010, the ABC Law was amended to establish Temporary Retail Permits for new applicants outside of New York City, while their license applications are being reviewed. These permits are typically issued within one week of the filing of an application. The new permit section of the statute was set to "sunset" after one year. The provision, extended for an additional year in 2011, 2012, 2013, 2014 and 2015 will remain in effect until October 12, 2016.

Chair's Administrative Powers

Historically, the Members of the Authority, as a body, have possessed decision-making power on almost all matters involving the State Liquor Authority, including not only licensing and disciplinary matters, but also administrative issues such as the power to hire, assign, and dismiss employees. This arrangement frequently resulted in unnecessary delays and other inefficiencies. A new statute signed by Governor Cuomo on July 18, 2012 transferred these administrative powers from all Members of the Authority to the

Chair, with a “sunset” date of July 18, 2015. This session, these provisions to provide exclusive administrative authority similar to that of the heads of other executive agencies to the Chair of the SLA were extended to July 18, 2018.

Appropriations and Revenue

All administrative finance and human resource activities are hosted by the New York State Office of General Services (“OGS”).

Fiscal Year	Appropriation	Employee Full Time Equivalent
2014-15	\$18,065,000	127
2015-16	\$18,065,000	127

Total Revenue for 2015 was \$69,600,000.

Office of the Chairman and Executive

The Office of the Chairman and Executive includes Deputy Commissioners and an Administrative Support Team.

The Office coordinates the daily operations of the agency, providing external support to a wide variety of public and licensed interests, as well as internal support to all agency program areas (e.g. supply and equipment acquisition, maintenance and inventory control, internal controls, telecommunications and tenancy, etc.). The Administrative Support Team provides direct support to the Chairman and functions as program liaisons with our host partner, OGS, on all finance and human resource activities.

Office of Public Affairs

The Office of Public Affairs fosters positive working relationships with federal, state and local legislators, community groups and their staffs; engages in discussions in support of the SLA’s annual legislative program and, where appropriate, Governor’s Program Bills bearing on alcoholic beverage control policy; responds to media requests, distributes press releases, coordinates press-related events and assists in the management of the content of the agency’s website. The Office of Public Affairs is committed to keeping the media, licensees and the public up to date on news, policies and current events concerning the Authority.

Licensing Bureau

The Licensing Bureau coordinates statewide licensing policies, standards, initiatives, and ensures that all applicants meet the statutory requirements to obtain a license or permit. All three (3) zone offices have a licensing unit. Staff review all license and permit

applications for completeness and accuracy. They prepare detailed reports of the application's facts to ensure that either the Licensing Board or the Members of the Authority are able to make a proper determination on each application. Specific units within the Licensing Bureau are as follows:

Intake Unit-The intake unit receives all applications from the agencies lockbox. These applications are data entered and then appropriately sent to the corresponding zone offices. In 2015 they received and processed 7,561 new applications and 6,722 change applications.

Licensing Unit-Examiners receive applications from the Intake Unit and appropriately review and analyze each application. Applications include those for manufacturing, retail and wholesale. This activity generated \$13,651,066 million in revenue.

Renewal Unit-The renewal unit centered in Albany, processes all license and permit renewal applications statewide. Licensing has ensured a quick turnaround with regard to renewal processing by cross training licensing staff on the renewal process. The Authority processed 47,164 renewal applications which generated \$44,229,528 million in revenue.

Permit Unit-The permit unit centered in Albany, processes all permit applications statewide. These permits include Temporary Beer and Wine Permits (TPA's) [e.g., special time limited events such as family gatherings, concerts, block parties], Caterer's Permits [e.g., allows licensees to obtain one day permits to cater a private event away from their licensed premises], Transportation Permits, Solicitor's Permits, Brand Label Permits and other miscellaneous permits [e.g., allow permittees to sell alcoholic beverages that come into their possession]. This unit processed 9,519 TPA transactions, 9,848 Caterer transactions, 5,972 Brand Label and 2,989 Miscellaneous Permits which generated \$5,657,158 million in revenue.

The total revenue generated by the Licensing Bureau for 2015 was \$63,537,752 million.

Calendar Year 2015 Statewide Licensing Revenue

Class	New Licenses	Renewed Licenses	Totals
On-Premises	\$9,845,983	\$34,217,804	\$44,063,787
Off-Premises	\$1,716,050	\$4,807,365	\$6,523,415
Liquor Stores	\$1,200,945	\$2,532,215	\$3,733,160
Wholesale	\$888,088	\$2,672,144	\$3,560,232
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Subtotals	\$13,651,066	\$44,229,528	\$57,880,594

Misc. Permit Fees			\$1,811,524
TPA & Caterer Permits			\$1,503,532
Brand Label Permits	\$480,342	\$1,861,760	\$2,342,102

Total Licensing Revenues			\$63,537,752
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2015 Licensing Statistics					
Licenses		On	Off		
		<u>Premises</u>	<u>Premises</u>	<u>Wholesale</u>	<u>Sub-Totals</u>
Zone 1	Received	2,879	2,053	109	5,041
	Approved	2,476	1,561	99	4,136
Zone 2	Received	886	517	262	1,665
	Approved	743	335	226	1,304
Zone 3	Received	575	223	57	855
	Approved	510	151	46	707
			Statewide Total	Received	7,561
				Approved	6,147
Permits		<u>Brand Label</u>	<u>ST Permits</u>	<u>Other</u>	<u>Totals</u>
		Statewide Processed	5,972	3,095	2,989
Renewals		Statewide Total			
		47,164			
Special Event Permits (Applications Processed)			<u>TPA's</u>	<u>Caterer's</u>	<u>Totals</u>
			9,519	9,848	19,367
License Changes			Zone 1	Processed	4,155
			Zone 2	Processed	1,534
			Zone 3	Processed	1,033
			Statewide Total		6,722

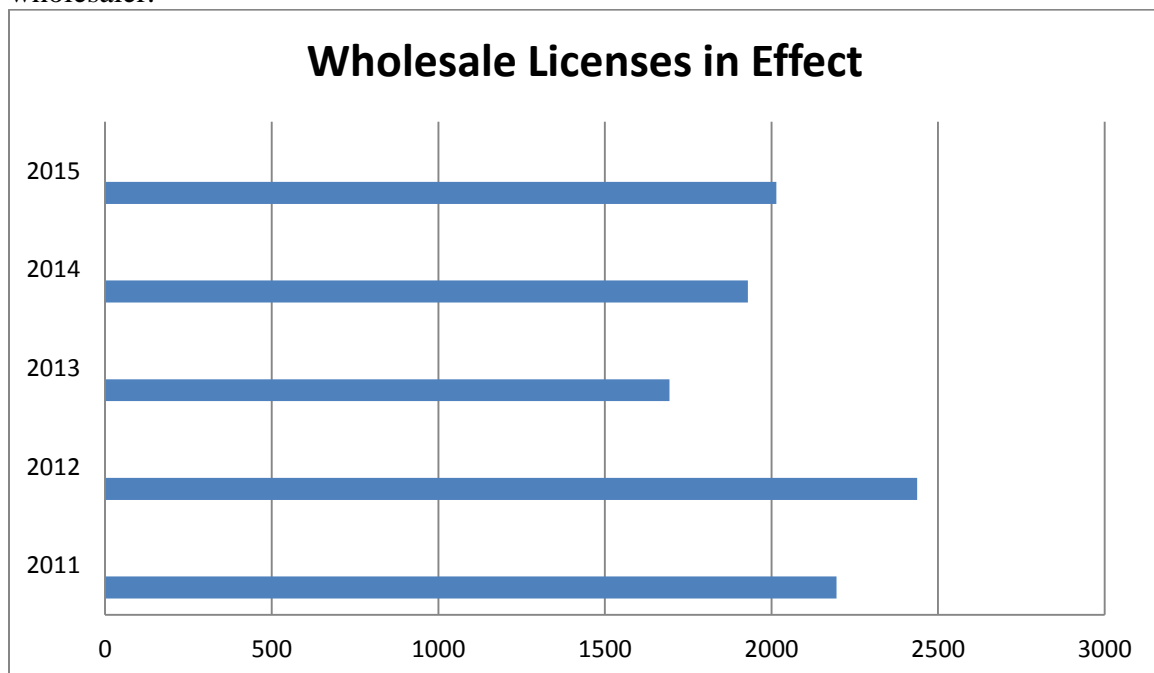
Wholesale Bureau

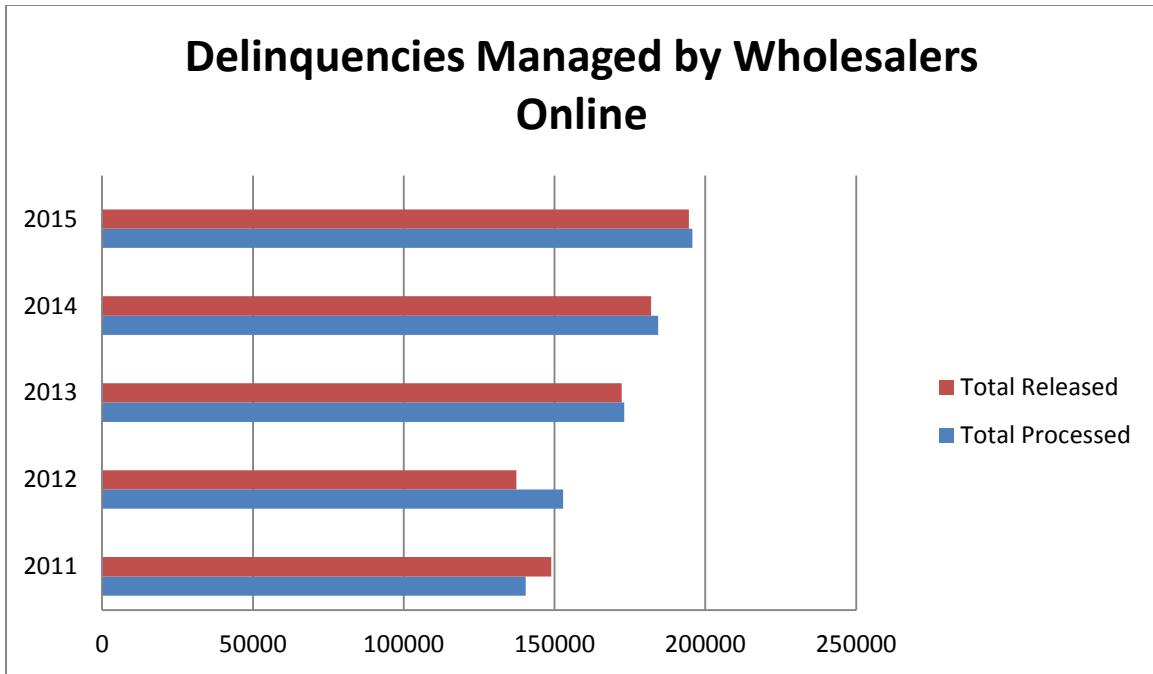
The SLA regulates the distribution and sale of alcoholic beverages through a tiered system of three (3) independent components: manufacturers, wholesalers and retailers. The Wholesale Bureau provides on-going assistance and guidance to the industry on trade practices and policy issues. The Wholesale Bureau specifically handles the following:

WHOLESALE PRICE POSTING-The Alcoholic Beverage Control Law requires wholesalers of wine and spirits to post their prices monthly with the Authority to enable it to detect patterns that might indicate collusive practices or tied houses (i.e., the control of a licensee at one level of the three-tier system by a licensee at another level). These statutory provisions were enacted to eliminate predatory pricing schemes that encouraged irresponsible sales practices and forced many licensees out of business. Wholesalers provide this information to the Authority through an electronic price filing system.

BRAND LABEL REGISTRATION-The Alcoholic Beverage Control Law requires that all brand labels for beer, low-alcohol wine, liquor, hard cider and wine products be registered and approved by the Authority before they are sold in New York State.

CASH ON DELIVERY (“COD”) LISTING-The Alcoholic Beverage Control Law requires the monitoring of delinquent retail accounts. The Wholesale Bureau tracks these accounts via the COD List and delinquent retail accounts must pay cash for their purchases from wholesalers. The intent of the statute is to avoid a wholesaler illegally favoring one retailer over another, or controlling a retailer by providing unlimited credit. If this protection were not in place, one consequence would likely be the creation of tied houses and retailers being forced to purchase all or most of their products from one wholesaler.





Enforcement Bureau

The Enforcement Bureau is responsible for investigating possible violations of the Alcoholic Beverage Control Law, rules and regulations relating to the manufacturing, wholesale, retail, transportation, and storage of alcoholic beverages. The Enforcement Bureau works with law enforcement agencies and community groups across the state, performs undisclosed investigations, and conducts trainings for police departments, licensees, and servers.

In 2015, cracking down on underage sales continued to be a top priority for the State Liquor Authority. Enforcement investigators conducted 116 Underage Compliance Details, including joint efforts with law enforcement entities. These details visited 1,522 licensed premises and resulted in 508 sales to minor violations. In addition to charges originating from State Liquor Authority Enforcement, an additional 1058 charges were brought based on referrals received from local police departments.

SLA Underage Details 2015	
SLA Underage Compliance Initiatives 2015:	116
Licensed premises visited during SLA details:	1,522
Sales to Minor Violations during SLA details	508

The Authority continued to foster its relationships with law enforcement agencies and licensees throughout the state. These activities included:

Gun Involved Violence Elimination (“GIVE”)-The SLA collaborated with multiple police agencies designed to support strategic crime-fighting and violence reduction initiatives at 3 sites across the state. Staff also attended statewide IMPACT meetings in which agencies shared criminal intelligence. This enhanced the Authority’s efforts to aggressively investigate and prosecute violations that jeopardize the public health and safety.

Multi-Agency Response to Community Hotspots (“MARCH”)-The SLA worked closely with the New York City Police Department (“NYPD”) through the MARCH program to monitor potentially problematic licensed premises. The MARCH program is directed by the New York City Criminal Justice Coordinator’s office, coordinated by the NYPD, and includes investigators from the Authority, the Fire Department of the City of New York, the New York City Department of Buildings and the New York City Department of Health. In 2015, The Authority participated in 73 MARCH details making visits to 241 licensed premises.

ALCOHOL TRAINING AWARENESS PROGRAM PARTICIPATION (“ATAP”)

The Enforcement Bureau oversees the certification and monitoring of the Alcohol Training Awareness Program (“ATAP”) in which licensees and servers are trained in the appropriate and lawful sales of alcoholic beverages. Educating licensees regarding their responsibilities has proven to be an effective tool to reduce underage drinking and sales to intoxicated persons. There are currently 19 approved ATAP classroom programs, and 13 approved online programs. During 2015, the 19 State Liquor Authority Certified ATAP Training Programs held 455 classroom training sessions and 5019 on-line sessions which resulted in 13925 students certified.

Counsel’s Office

Counsel’s Office is responsible for providing a full range of legal services to the State Liquor Authority.

Specific functions include:

- Prosecuting licensees in administrative proceedings for violations; representing the Authority in administrative review proceedings; and defending the Authority in litigation.
- Responding to requests regarding interpretations and applications of the law, and reviewing information from the Enforcement Bureau, and other law enforcement agencies for rapid enforcement action, including emergency orders of summary suspension where there is an imminent threat to the public health, safety or welfare.
- Advising Authority staff/units on legal and compliance issues; developing rules, regulations and policy directives; and preparing and commenting on legislation.

- Attending meetings of the Full Board; acting as legal advisor to, and advising the Members of the Authority on requests for declaratory rulings.

Frequent/Common violations brought against licensees in 2015:

- Sale to Minor - 1377
- Failure to Comply - Local Regulations*- 493
- Failure to Conform To Application*- 278
- Failure to Comply* - Unlicensed Security Guard(S)-213
- Failure to Supervise*- 182
- Disorderly Premises - Altercation/Assault - 138
- Gambling - 91
- Availing* - 78
- Disorderly Premises - Controlled Substance - 34

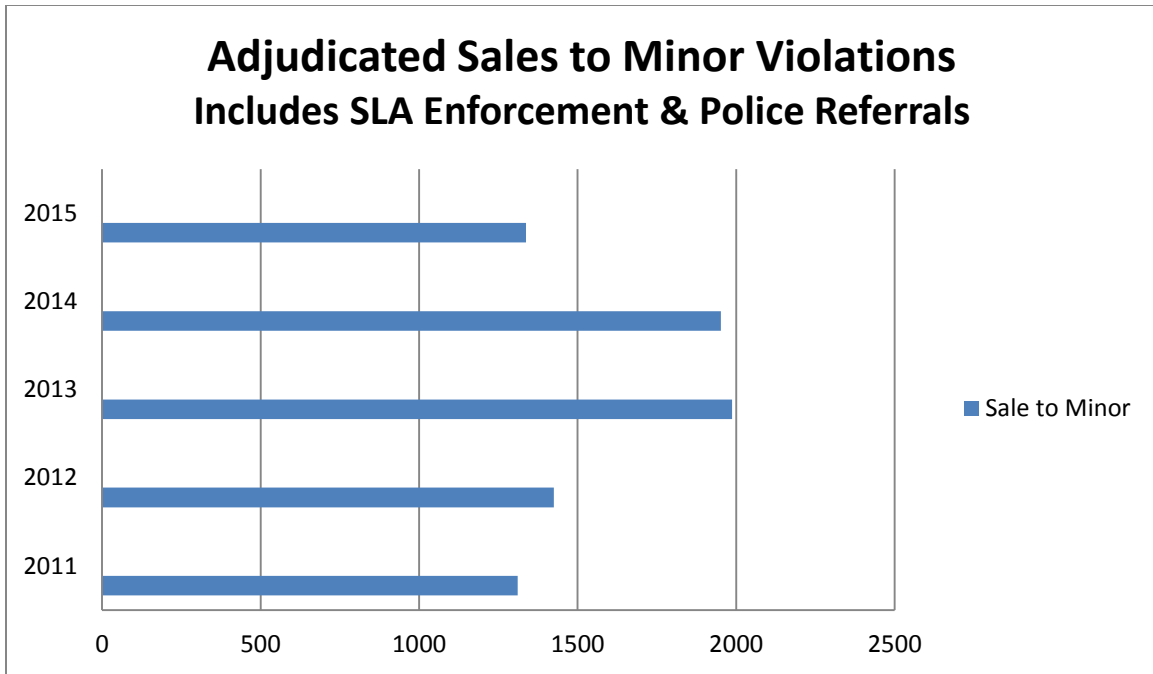
*Failure to comply with local regulations- the requirements placed on the licensee by local government regarding the operation of the business.

*Failure to conform- a licensed establishment is subject to all representations made in their application. Violations can constitute any change or deviation from those representations without approval from the SLA.

*Failure to comply-requirements placed on the licensee by the SLA regarding the operation of the business.

*Failure to Supervise-allowing the licensed establishment to become unruly.

*Availing- an undisclosed person having an ownership or other financial/controlling interest in the licensed business.



In addition, the Office of Counsel responds to requests for Agency records as provided for in New York’s Freedom of Information Law (FOIL). The Agency receives hundreds of written, electronic and oral communications annually from interested parties requesting access to Agency records pursuant to FOIL. Responding to these requests requires extensive review, research and retrieval of Agency records. The Agency then makes careful determination on what information is releasable, redacting from requested documents information not releasable, and then prepares a response providing the requested information or reasons why the record request was denied. The length of time needed to respond to a request varies based on the volume of records responsive to the request, the degree of review needed to ensure compliance and accuracy, and the redaction of personal information contained within the responsive records.

Hearing Bureau

The Hearing Bureau is comprised of part-time Administrative Law Judges (“ALJs”). Licensees charged with violations, such as sales of alcoholic beverages to underage purchasers, have the right to fair and impartial hearings. The Hearing Bureau conducts all such disciplinary proceedings and all cases are prosecuted by the Counsel’s Office. Additionally, the Hearing Bureau holds hearings: to review Licensing Board decisions denying licenses; and pertaining to license applications when such hearings are mandated by statute, primarily “500 Foot Rule Hearings” which afford a forum for public comments regarding applications for bar, restaurant or cabaret licenses in municipalities of 20,000 or more people where there are already three (3) or more “on-premises” liquor licenses within 500 feet of the applied for premises.

Hearings are governed by the State Administrative Procedures Act (“SAPA”), the Alcoholic Beverage Control Law, the Rules of the Authority and Executive Order 131, which require that they be conducted in a manner that is impartial, efficient, timely, expert and fair. After a hearing is held, the ALJ makes findings of fact and renders a written determination. The hearing record, including a transcript (or an audio recording) of testimony taken at a hearing, constitutes the basis upon which all succeeding reviews, including reviews by the Members of the Authority, or on appeal to the courts of the State of New York, are heard.

In 2015, the Hearing Bureau held 589 disciplinary hearings – 418 in New York City (Zone 1), 125 in Albany (Zone 2), and 46 in Buffalo (Zone 3). In addition, the Hearing Bureau held 694 500-Foot Hearings – 627 in New York City (Zone 1), 33 in Albany (Zone 2), and 34 in Buffalo (Zone 3).

Secretary’s Office

The Members of the Authority conduct their official business (deciding applications, making determinations and imposing penalties in disciplinary proceedings, etc.) at public meetings called “Full Board meetings.” The Secretary’s Office is responsible for the preparation of the agenda for each Full Board meeting. The Office receives matters for consideration by the Full Board from the Licensing Bureau, Counsel’s Office and Hearing Bureau, as well as miscellaneous matters presented by other units within the Authority.

The Secretary’s Office is also responsible for coordinating the scheduling of the Full Board meetings, assisting the Chairman in conducting the meetings and recording the actions taken by the Full Board at each meeting. After each meeting, the Secretary’s Office coordinates the drafting, filing and distribution of all written decisions. In addition, the Secretary’s Office is responsible for advising licensees of the determinations made in disciplinary cases, the issuance of revocation, cancellation and suspension orders, the collection of civil penalties imposed by the Full Board and processing refunds of license fees.

Full Board meetings are typically held at the Authority’s offices in New York City. Anyone wishing to speak on a matter or merely attend a meeting can also do so through video conferencing from the Authority’s offices in Albany and Buffalo. The Full Board meetings are also webcast live and archived on the Authority’s website. Regular meetings are held approximately every two weeks. On occasion, the Full Board will conduct a special meeting to address urgent matters, such as emergency summary suspensions to protect public safety.

- SLA 2015 Summary at a glance
 - 26 regular Full Board Meetings
 - 8 special Full Board Meetings
 - 2,731 items scheduled for Full Board review including 451 licensing matters.
 - 42 revocations
 - 292 cancellation orders
 - 42 suspensions (for a total of 1,418 days).
 - \$6,226,525 in civil penalties
 - \$296,000 in bond claims
 - 19 emergency summary suspensions
 - 15 advisories
 - 11 declaratory rulings

Disciplinary Penalties Imposed By The SLA Board
(By Penalty Due Date)

LEGAL MATTERS SUBMITTED TO THE SLA BOARD			
Year	Calendared Items	Non-Calendared Items	Total
2013	3,632	890	4,522
2014	3,512	1,107	4,073
2015	2,731	598	3,329

Year	Civil Penalties	Revocations & Cancellations	Suspensions	Number of Days (Suspensions)
2013	\$8,769,881	526	90	1,736
2014	\$11,059,281	474	81	1,602
2015	\$6,226,525	334	42	1,418

HOW TO CONTACT THE LIQUOR AUTHORITY

<p>ENFORCEMENT If you would like to make a complaint or have questions on enforcement issues, please call (518) 474-3114 and select option 2 or send an email to: Enforcement@sla.ny.gov</p>	<p>OFFICE OF THE SECRETARY If you have questions regarding the Full Board Calendar or questions regarding fines or penalties imposed by the Board, please call (518) 474-3114 and select option 4 or send an email to: Secretarys.Office@sla.ny.gov</p>
<p>LICENSING If you have questions concerning how to obtain a license or permit, please call (518) 474-3114 and select option 1 or send an email to: Licensing.Information@sla.ny.gov</p>	<p>TECHNOLOGY If you have questions or suggestions regarding the Agency's use of technology, please call (518) 474-3114 and select option 5 or send an email to: Web.Master@sla.ny.gov</p>
<p>WHOLESALE If you are a manufacturer, wholesaler, retailer or other interested party with questions concerning trade practice, price schedules, brand label registrations or delinquent/credit statutes, please call (518) 474-3114 and select option 1 or send an email to: Wholesale.Bureau@sla.ny.gov</p>	<p>PUBLIC AND LEGISLATIVE AFFAIRS If you are a member of the media with questions regarding the State Liquor Authority, please call (518) 474-3114 and select option 3 or send an email to: Press.Office@sla.ny.gov</p>
<p>FOIL If you would like to make a Freedom of Information request, please call (518) 474-3114 and select option 3 or send an email to: FOIL@sla.ny.gov</p>	<p>LEGAL If you have a legal question, please call (518) 474-3114 and select option 4 or send an email to: Legal@sla.ny.gov</p>

Zone Offices And Their Designated Counties

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

