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**INSTRUCTIONS FOR RETAIL APPLICATION (GROCERY STORE/DRUG STORE)**


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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**

**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.

**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 A person whose liquor license was revoked;  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 an attached statement**

**LICENSE APPLICATION** (pages 2-3)**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 (LLC) or Limited Partnership (LP), 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 other 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, phone listing, webpage, fliers, etc.

- 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**

- **IMPORTANT:** Enter telephone number of premises or a telephone number where we can contact you, the applicant, not your attorney or representative.

**MAILING ADDRESS**

- List the address where you wish to have all correspondence regarding the liquor 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**

- **IMPORTANT:** Enter the e-mail address of premises or an e-mail address where we can contact you, the applicant, not your attorney or representative.
- This will make it easier for your examiner to correspond with you.

**Line 2**

**ATTORNEY/ REPRESENTATIVE CONTACT NAME**

- Enter the name, address, telephone number and e-mail address of the attorney, representative or contact person for your application.

**Notices of incomplete applications will be mailed 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**

**LICENSE TYPE & CODE**

- Refer to the Retail Fee Chart for the license class and code number and enter these in the spaces on line 3.

**Line 4**

**TOTAL PAYMENT DUE**

- Refer to the Retail Fee Chart for the specific license fee and complete the following fee payment work sheet.

**FEE PAYMENT WORKSHEET**

- 1. License Fee \$ \_\_\_\_\_
- 2. Filing Fee + \_\_\_\_\_

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

(Enter this number on LINE 4, page 2 of the application)

- 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 (\$128) MUST BE A SEPARATE CHECK.** If you are located in the five boroughs of New York City, you may only apply for this permit if purchasing an existing establishment from a current licensee.
- **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.

**Line 5**

**FEDERAL TAX ID #**

- 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 your Federal ID is pending, indicate here.

**LINE 6**

**CERTIFICATE OF AUTHORITY PERMIT #**

- All applicants must obtain a Certificate of Authority to Collect Sales Tax or an Exempt Organization Certificate from the NYS Department of Taxation & Finance before receiving a license. The permit number that appears on your certificate is to be reflected in the box provided. If your Certificate of Authority application is pending, please indicate.

**Line 7**

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

- Enter the name of the applicant.
- If **10 or less partners**, list all. If **more than 10 partners**, see instructions for “more than 10” in line 10 below.
- Proof of citizenship/alien status, personal questionnaires, copy of photo identification, an original color photo (passport size) and fingerprints are required on all.

**Line 8**

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

- Enter names, residence address, social security numbers 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 photo (no smaller than 2”x2”) 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 (no smaller than 2”x2”) 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 (no smaller than 2”x2”) and fingerprints for all active in management of business. Provide listing including name, address, social security number, date of birth, shares or percentage of ownership, 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.

## **RIGHT TO PREMISES** (page 4)

- Check the appropriate box disclosing how you are in possession of the premises (own, lease, etc.).
- If you own the premises you must supply the deed. If you have purchased the real property within the past year, you must 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. Month to month leases are not acceptable.
- Answer all questions here regarding the lease arrangements. NOTE: The lease must state the exact location of the premises in the building.

## **OTHER INTERESTED PARTIES** (page 4)

- 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 premises or business where any alcoholic beverages are manufactured or sold at wholesale or retail.

## **LANDLORD IDENTIFICATION** (page 5)

- 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.
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## **FINANCIAL DISCLOSURE** (page 6)

- 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.

- Loan agreements are required (even if the loan is between family members) for every loan showing the terms 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.
- 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 your 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.

## **ESTABLISHMENT QUESTIONNAIRE** (pages 7-8)

**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 these instructions.

- 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.
- If the premise is known by more than one name or located on a street with more than one name (i.e. Route 5 and Central Ave) indicate this in the space provided. If the post office address differs from the 911 address, include that info in this space as well.
- Check YES if there is a license already in effect for the premises in which the applicant is seeking a license and state the name of the licensee and license serial number.
- You may contact the State Liquor Authority before you file an application to determine if there are any disciplinary actions pending that may delay or prevent the issuance of a license at the proposed premises. Please be aware that we may not disclose a pending investigation at a location.
- Indicate the number of floors to be licensed.
- 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 floors), you **MUST** describe the means of access (i.e. stairs, elevator) and state what occupies the other floor(s) (i.e. apartments, offices). If you are using the basement or another floor(s) of the building to store alcohol, 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 application is available on our website).

#### **METHOD OF OPERATION** (page 9)

- 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.**

#### **GROCERY STORE STIPULATION** (page 10)

- This Stipulation is **not** required for Drug Stores
- Please read this section carefully. This stipulation certifies that the applicant will operate a bona fide retail Grocery Store, and that such establishment will devote not less than 50% of its public floor space exclusively to the display of consumer commodities listed on the stipulation, however packaged or contained. You must maintain this percentage throughout the life of the license.

#### **PERSONAL QUESTIONNAIRE** (pages 11 - 15)

This form must be completed in full by the following persons:

- All sole proprietors. See instructions for Line 7 of the License Application.
- Each partner in a partnership. See instructions for Line 7 of the License Application.
- For Corporations or Limited Liability Companies (LLC), see instructions for Line 8 of the License Application.
- Individual lenders and donors (state your relationship to the applicant).
- Co-signers of loans.
- Spouses who assist in management of premises; will be employed at the 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 for any individual submitting a personal questionnaire if necessary to complete the application review. Each questionnaire must be signed and dated.

#### **NOTE: Regarding Managers**

Managers may only need to submit a Personal Questionnaire upon request of the Authority if the statement of supervision is deemed insufficient.

#### **LIQUIDATOR'S PERMIT** (page 16)

- 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 this sale. A list of the inventory being liquidated signed by both the buyer and the seller must be submitted prior to the issuance of this permit.

#### **NOTICE OF APPEARANCE** (page 17)

- 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.
- The form is available on our website: <http://www.sla.ny.gov/forms-quick-find>

#### **APPLICANT'S STATEMENT** (page 18)

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

- *Continued on the Next Page* -

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

### ELECTRONIC FINGERPRINTING

All applicant principals are required to be fingerprinted, unless currently licensed by the State Liquor Authority.

Each applicant principal that is required to be fingerprinted will be listed on the Application Filing Receipt once the application is received by the Authority or subsequently by the license examiner. Applicant principals cannot be fingerprinted prior to the Authority receiving the application.

### 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. NOTE: Persons currently licensed by the State Liquor Authority do not have to be fingerprinted.
- Each applicant principal required to be fingerprinted must follow the fingerprinting instructions, available on the Filing Receipt or on our website: <http://www.sla.ny.gov/forms-quick-find>
- Out of state residents will have to be printed on paper cards, following the directions on the Request for Fingerprinting Services – OUT OF STATE RESIDENTS form, which is available on our website: <http://www.sla.ny.gov/forms-quick-find>

### 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, the form is available on our website: <http://www.sla.ny.gov/forms-quick-find>
- 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 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”
- **Interior Photographs** – show the interior of premises. The photos must show both the layout of the store and the inventory meeting the criteria of the Grocery Store Stipulation.
- **Exterior Photographs** – Show the front of premises, the doors leading to the interior, and signs or name placards.
- **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 instructions and examples at the end of the application.**
1. **Interior Diagram:**
    - Provide a diagram or sketch of the interior with dimensions. Label **all** rooms, including but not limited to: display areas, storage rooms, offices, break rooms, etc.
    - Each and every floor should have its own diagram (including any floor used for the storage of alcoholic beverages or office space where books and records are maintained). Label each floor (basement, ground floor, second floor, etc.)
    - Show all interior and exterior walls, entrances and exits, checkout registers, counters, closets, shelves, storage areas, sanitary facilities, etc.
- **IMPORTANT: All submissions, including photographs and diagrams must have the name and address of the applicant’s premises.**

### **COPRPORATE 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 file 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.

### **PHARMACY LICENSE (Drug Stores Only)**

- Submit a copy of your NYS Pharmaceutical license.

### **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

### **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, a birth certificate, or a certificate of naturalization.
- Permanent Resident cards or visas may also be used to fulfill this requirement.