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**NEW YORK STATE LIQUOR AUTHORITY**

**APPLICATION & INSTRUCTIONS**  
for

**ALCOHOLIC BEVERAGE CONTROL**  
**REPRESENTATIVES PERMITS**

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**CONTENTS**

- Instructions for completing forms
- Application Forms
- Pro-Rated Fee Chart

**DIRECTIONS FOR COMPLETING THE PERMIT APPLICATIONS**

- Must be **TYPED** or **PRINTED** (In blue or black ink)
  - Complete applicable forms **FULLY**
  - Follow instructions carefully
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**Completed applications and any supporting information should be mailed to:**

**NEW YORK STATE LIQUOR AUTHORITY**  
**PO BOX 3796**  
**NEW YORK, NY 10008-3796**

Agency Website address: [www.abc.sla.ny.gov](http://www.abc.sla.ny.gov)

(Revised 10/23/2013)

## **REPRESENTATIVES PERMITS INSTRUCTIONS**

This application must be filed with the State Liquor Authority.

A permit may be issued for any of the following types of activities. Please read the description of the permit and their conditions **carefully**.

**TEMPORARY SOLICITOR'S** - Complete questions 1,4,6, 7 and signature sheet.-Authorizes a manufacturer or wholesaler licensee to temporarily employ one or more persons as a temporary solicitor for a period not exceeding sixty consecutive working days provided that within thirty days after such employee has been employed as a solicitor such employee shall file his application for a solicitor's permit with the Liquor Authority. (Section 93(4) ABC Law) (See attached fee chart)

**SOLICITOR** - Complete questions 1, 2, 3, 4, 6, 7, 8, 9, 10 and signature sheet. - Authorizes the permittee to offer for sale or to solicit orders for the sale of any alcoholic beverage only on behalf of the licensee whose name appears upon such permit. (Section 93 ABC Law). (See attached fee chart)

The following information and material is required with the completed application:

- Completion of a Personal Questionnaire.
- Proof of Citizenship
- A bond in the penal sum of \$1,000.00 with a corresponding expiration date including name and home address of the salesperson.
- Salesperson must complete and sign the Photo ID Card authorization section - **Submit a copy of NYS Photo ID.**
- If salesperson is not a U.S. citizen, send a copy of alien registration card or go to the State Liquor Authority in person with naturalization papers.
- Electronic Fingerprinting (please see instructions).

**BROKER** - Fee is \$788.00 (3 years)- Complete questions 1, 2, 3, 4, 6, 7, 8, 9, 11, 12 and signature sheet. To act as a broker in the purchase and sale of alcoholic beverages for a fee or commission, for or on behalf of a person authorized to manufacture or sell at wholesale alcoholic beverages within or out of the State. (Section 93-a ABC Law).

The following information and material is required with your completed application:

- Required bond, in the penal sum of \$1,000.00, issued by any qualified surety company authorized to execute such bonds in New York State
- Completed Personal Questionnaire
- Completed Certificate of Services
- Electronic Fingerprinting (please see instructions).

Brokers permits are issued with the following conditions as set forth in Part 30 of the Rules of the State Liquor Authority:

- No such permit shall be issued to any person who does not qualify under Section 126 of the Alcoholic Beverage Control Law except as to citizenship or who is interested in the manufacture or sale of alcoholic beverages in any manner whatsoever, either as an owner or partner, if a partnership, or as a stockholder, officer or director of a corporation.
- Such permittee shall not buy or sell any alcoholic beverages for his own account, or take or deliver title to such alcoholic beverages, or receive or store any alcoholic beverages in his own name in this State, or offer, agree to offer or sell any alcoholic beverages to any retailer within the State.

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- The permittee shall require all purchases of alcoholic beverages to be billed by the seller directly to the purchaser and paid for by such purchaser directly to the seller.
- No alcoholic beverages shall be purchased for an out-of-state principal unless such principal is authorized to import such alcoholic beverages into the state or foreign country to which such alcoholic beverages are consigned.
- The permittee shall require that all alcoholic beverages purchased in this state for the account of an out-of-state principal be delivered directly to the steamship, vessel, railroad car or transportation company for delivery to the principal outside the State.
- The permittee shall not offer for sale or act as a broker in the sale of any brand of liquor or wine in this State except at the price and at the discounts in effect for such brand in the schedule of prices to wholesalers on the date of offer or sale, unless permission in writing has been granted by the Authority for good cause shown.
- The permittee shall maintain separate books and records which shall include, but not necessarily be limited to, the names and addresses of all purchasers and sellers of alcoholic beverages; the quantity and type of alcoholic beverages involved in each transaction and the amount of the commission or fee accruing to such permittee for each transaction. Such records shall also include documents or photostats evidencing the authority of each out-of-State purchaser to import alcoholic beverages into the State or foreign country to which such alcoholic beverages are consigned; and, all correspondence, memoranda and documents relating to transactions involving alcoholic beverages and the broker's employment in connection therewith. Such records shall be maintained for a period of at least two (2) years.

**NEGOTIATORS** - Complete questions 1, 2, 3, 4, 5A,B,C,D, 6, 7, 8, 9, and signature sheet. - Authorizes permittee to negotiate and consummate an agreement for the establishment of an operating agency relationship for the distribution in this state of the products of an out-of-state manufacturer or wholesaler.) (see attached fee chart) **(Section 99-b(1)(j) ABC Law)**. Application must be accompanied by:

- A photostat of the license to manufacture or sell alcoholic beverages at wholesale issued to the applicant by the licensing body in the state in which it is located, or if applicant is located in a foreign country, a certificate or letter from the consul or other governmental representative certifying that such applicant is licensed to manufacture or sell alcoholic beverages at wholesale in such foreign country.
- If this application is executed by an authorized representative, a letter from the out-of-state licensee specifically authorizing such representative to negotiate and consummate an agreement with a licensed wholesaler for the establishment of an agency in this state.

The following conditions will be complied with by the negotiator:

1. The permittee shall not offer for sale, solicit or accept any order in this state for the sale of any alcoholic beverages.
2. Samples of the alcoholic beverages manufactured or sold by the applicant shall not be imported into the state until such permit is issued.
3. Negotiations shall be only with a wholesaler who is authorized under his license to keep and offer for sale such alcoholic beverages.
4. A photostatic copy of the permit will be delivered to EACH wholesaler with whom negotiations are to be conducted.

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5. Only a duly authorized representative of the applicant shall negotiate the agency agreement on behalf of the out-of-state licensee and such representative shall be in possession of appropriate credentials evidencing his authority.
6. Where any person not designated in this application is so authorized, notification of such authorization shall be forwarded within 10 days to the Zone Office of the New York State Liquor Authority which issued the permit.
7. If there be any change in any of the facts set forth in this application, a supplemental statement giving notice of such change shall be filed with the Zone Office of the State Liquor Authority within ten days after such change.

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**SOLICITOR PERMIT PRORATED FEE SCHEDULE**

**SOLICITOR(SP) – EXPIRES 12/31/12**

**CLASS CODE 641**

01/01/10 – 12/31/10 \$78.00 + \$20.00 (FF) = \$98.00

**Renewal (Filing Fee)**

01/01/11– 12/31/11 \$52.00 + \$20.00 (FF) = \$72.00

\$30.00

01/01/12 – 12/31/12 \$26.00 + \$20.00 (FF) = \$46.00

\*\*\*\*\*NEED PENAL BOND FOR \$1,000.00 EXPIRING IN 2012

**SOLICITOR(SP) – EXPIRES 12/31/15**

**CLASS CODE 641**

01/01/13 – 12/31/13 \$78.00 + \$20.00 (FF) = \$98.00

**Renewal (Filing Fee)**

01/01/14 – 12/31/14 \$52.00 + \$20.00 (FF) = \$72.00

\$30.00

01/01/15 – 12/31/15 \$26.00 + \$20.00 (FF) = \$46.00

\*\*\*\*\*NEED PENAL BOND FOR \$1,000.00 EXPIRING IN 2015

**SOLICITOR(SP) – EXPIRES 12/31/18**

**CLASS CODE 641**

01/01/16 – 12/31/16 \$78.00 + \$20.00 (FF) = \$98.00

**Renewal (Filing Fee)**

01/01/17 – 12/31/17 \$52.00 + \$20.00 (FF) = \$72.00

\$30.00

01/01/18 – 12/31/18 \$26.00 + \$20.00 (FF) = \$46.00

\*\*\*\*\*NEED PENAL BOND FOR \$1,000.00 EXPIRING IN 2018

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**TEMPORARY SOLICITOR PERMIT PRORATED FEE SCHEDULE**

**TEMP SOLICITOR(SE) – EXPIRES 12/31/12**

**CLASS CODE 607**

01/01/10 – 12/31/10 \$114.00 + \$20.00 (FF) = \$134.00  
01/01/11– 12/31/11 \$76.00 + \$20.00 (FF) = \$96.00  
01/01/12 – 12/31/12 \$38.00 + \$20.00 (FF) = \$58.00

**Renewal (Filing Fee)**  
\$10.00

**TEMP SOLICITOR(SE) – EXPIRES 12/31/15**

**CLASS CODE 607**

01/01/13 – 12/31/13 \$114.00 + \$20.00 (FF) = \$134.00  
01/01/14– 12/31/14 \$76.00 + \$20.00 (FF) = \$96.00  
01/01/15 – 12/31/15 \$38.00 + \$20.00 (FF) = \$58.00

**Renewal (Filing Fee)**  
\$10.00

**TEMP SOLICITOR(SE) – EXPIRES 12/31/18**

**CLASS CODE 607**

01/01/16 – 12/31/16 \$114.00 + \$20.00 (FF) = \$134.00  
01/01/17– 12/31/17 \$76.00 + \$20.00 (FF) = \$96.00  
01/01/18 – 12/31/18 \$38.00 + \$20.00 (FF) = \$58.00

**Renewal (Filing Fee)**  
\$10.00

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**NEGOTIATOR PERMIT PRORATED FEE SCHEDULE**

**NEGOTIATOR (NA) – EXPIRES 12/31/11**

**CLASS CODE 647**

01/01/09 – 06/30/09 \$600.00 + \$20.00 (FF) = \$620.00  
07/01/09 – 12/31/09 \$500.00 + \$20.00 (FF) = \$520.00  
01/01/10 – 06/30/10 \$400.00 + \$20.00 (FF) = \$420.00  
07/01/10 – 12/31/10 \$300.00 + \$20.00 (FF) = \$320.00  
01/01/11 – 06/30/11 \$200.00 + \$20.00 (FF) = \$220.00  
07/01/11 – 12/31/11 \$100.00 + \$20.00 (FF) = \$120.00

**Renewal (Filing Fee)**  
\$30.00

**NEGOTIATOR (NA) – EXPIRES 12/31/14**

**CLASS CODE 647**

01/01/12 – 06/30/12 \$600.00 + \$20.00 (FF) = \$620.00  
07/01/12 – 12/31/12 \$500.00 + \$20.00 (FF) = \$520.00  
01/01/13 – 06/30/13 \$400.00 + \$20.00 (FF) = \$420.00  
07/01/13 – 12/31/13 \$300.00 + \$20.00 (FF) = \$320.00  
01/01/14 – 06/30/14 \$200.00 + \$20.00 (FF) = \$220.00  
07/01/14 – 12/31/14 \$100.00 + \$20.00 (FF) = \$120.00

**Renewal (Filing Fee)**  
\$30.00

**NEGOTIATOR (NA) – EXPIRES 12/31/18**

**CLASS CODE 647**

01/01/15 – 06/30/15 \$600.00 + \$20.00 (FF) = \$620.00  
07/01/15 – 12/31/15 \$500.00 + \$20.00 (FF) = \$520.00  
01/01/16 – 06/30/16 \$400.00 + \$20.00 (FF) = \$420.00  
07/01/16 – 12/31/16 \$300.00 + \$20.00 (FF) = \$320.00  
01/01/17 – 06/30/17 \$200.00 + \$20.00 (FF) = \$220.00  
07/01/17 – 12/31/17 \$100.00 + \$20.00 (FF) = \$120.00

**Renewal (Filing Fee)**  
\$30.00

# FOR REPRESENTATIVES

1) Indicate type of permit you are applying for\_\_\_\_\_.

2) Full Name of Applicant \_\_\_\_\_ Age \_\_\_\_\_.

3) Residence Address: Street: \_\_\_\_\_.

City, Town, or Village:\_\_\_\_\_.

Zip Code: \_\_\_\_\_ Telephone Number: \_\_\_\_\_.

4) Name of Manufacturer or Wholesaler \_\_\_\_\_.

License/Permit Serial No.:\_\_\_\_\_ Telephone No.\_\_\_\_\_.

Address of Premises \_\_\_\_\_.

(Street, City, Town or Village, State and Zip Code)

County \_\_\_\_\_.

Between what streets (if outside city limits and not known by bldg.#, specify location in relation to nearest road/highway)\_\_\_\_\_

\_\_\_\_\_.

Has any changes in facts occurred since the signing of the application for the currently held permit which has not been reported to and acknowledged by the State Liquor Authority in accordance with the provisions of the S.L.A. Law.

Yes \_\_\_\_\_ No \_\_\_\_\_ (check one)

If answer is yes, EXPLAIN \_\_\_\_\_

\_\_\_\_\_.

5a) For Negotiator's Permit only: Is the applicant duly licensed to manufacture or sell alcoholic beverages at wholesale level in the state or country in which it is located?

Yes ( ) No ( )

5b) If a foreign manufacturer please attach a copy of the license or a letter from the Consular or governmental agency.

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5c) List below the names and addresses of the representative (only two permitted) who will be authorized to conduct negotiations:

NAME

ADDRESS

- 5d) Indicate the type and brand names of the alcoholic beverages which will be offered to wholesalers in New York. If additional space is needed, please attach a list of the brand names.
- 6) Has the applicant or (if partnership) any of the partners, or (if a corporation) any of the officers, directors, or stockholders, or any agent or employee of the applicant, ever been CONVICTED (including pleas of guilty or suspended sentences) of any felony or of any other crime or offense of any kind except traffic violations? Yes ( ) No ( )
- 7) If yes, please submit, in each case, a CERTIFICATE OF DISPOSITION or a CERTIFICATE OF CONVICTION by the Court Clerk. If yes please submit in each case, a CERTIFICATION OF DISPOSITION, a CERTIFICATE OF CONVICTION or a CERTIFICATE OF RELIEF FROM DISABILITIES FROM DISABILITIES from the Court Clerk.
- 8) Has the applicant or (if partnership) any of the partners or (if a corporation) any of the officers, directors or stockholders any interest, directly or indirectly, in any premises or business where any alcoholic beverage is manufactured or sold at wholesale or retail, whether by stock ownership, interlocking directors, mortgage or lein on, or ownership of any real or personal property, or by any other means including loans?  
Yes ( ) No ( )  
If yes, set forth the location, any type of such business, the nature of the interest and the date when it was acquired.
- 9) Is the applicant or (if a partnership) any of the partners or (if a corporation) any of the officers, directors or

stockholders a police commissioner or other police official, or subordinate of any police department, or a sheriff, deputy or under sheriff or any other peace officer?

Yes ( ) No ( ) If yes, state name and title of such person:

NAME

TITLE

**THE FOLLOWING CERTIFICATION IS TO BE SIGNED AND DATED BY**  
**THE EMPLOYER OF APPLICANT**

- 10) For Solicitors Permits (Employers Name)\_\_\_\_\_ certifies that  
(Applicant's Name)\_\_\_\_\_ will be employed by them, and that they have compared  
the Applicant's Drivers License or Non-Drivers ID photo with the Applicant and that the enclosed  
DMV ID # and signature are that of the applicant.

\_\_\_\_\_  
(Signature of licensee or officer of corporation)

\_\_\_\_\_  
(Date)

- 11) State nature of business in which applicant is currently engaged: \_\_\_\_\_  
\_\_\_\_\_

- 12) Business Address: \_\_\_\_\_  
\_\_\_\_\_

**THE FOLLOWING PHOTO ID CARD AUTHORIZATION MUST BE**  
**COMPLETED AND SIGNED BY THE APPLICANT**

The State Liquor Authority produces Solicitor Permit Photo ID cards from records of the NYS Department of Motor Vehicles (DMV). If you have a current NYS Driver's License or Non-Driver ID card, please provide your 9-digit DMV ID number in the spaces provided and read and sign the informed consent below.

If you do not have a photo NYS Driver's License or Non-Driver ID card, please visit any nearby NYS DMV office to obtain a Non-Driver ID BEFORE you complete and return this application.

INFORMED CONSENT: I authorize the State Liquor Authority and DMV to produce an ID card bearing my DMV photo. I also understand that the State Liquor Authority and DMV will use my DMV photo to manufacture all subsequent ID cards for as long as I maintain my Solicitor's Permit. I understand that I can withdrawal consent for the use of this digitized image at any time. Requests for withdrawal must be submitted in writing to the State Liquor Authority.

DRIVER's LICENSE ID #: |\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|

\_\_\_\_\_  
(Applicant Signature)

\_\_\_\_\_  
(Date)

**THE FOLLOWING CERTIFICATION MUST BE SIGNED AND DATED BY INDIVIDUAL  
APPLICANT AND EACH MEMBER OF PARTNERSHIP**

**The undersigned, each for himself, certifies that he is the applicant above named; that he knows the contents of the above application and the statements contained therein and the same are true of his own knowledge. The undersigned certifies that he/she has read the conditions for the permit applied for and agrees to comply with these conditions.**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
(Signature of applicant or of each partner)      (Residence)      (Home Phone)

\_\_\_\_\_  
(Dated)

**THIS CERTIFICATION TO BE SIGNED AND DATED BY A CORPORATION**

\_\_\_\_\_ certifies that he is \_\_\_\_\_  
(Title)

**of the above named applicant corporation; that he knows the contents of the above application and the statements and answers therein; that the same are true of his own knowledge; that he has been authorized, by order of the Board of Directors of said applicant corporation to make the statements and answers in this application in behalf of said corporation with the same force and effect as if said corporation made such statements and answers itself. The undersigned certifies that he/she has read the conditions for the permit applied for and agrees to comply with these conditions.**

\_\_\_\_\_  
(Signature of authorized officer)      (Street Address)

\_\_\_\_\_  
(City, Town or Village)

\_\_\_\_\_  
(Zip Code)      (Telephone #)

\_\_\_\_\_  
(Dated)

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