

Use this Form for changes in the corporate set up caused by:

1. Appointment of new officer(s)/director(s)/member(s).
2. New stock-holdings or stockholder(s).
3. The removal of officer(s)/director(s)/member(s)/stockholder(s).
4. Death of officer(s)/director(s)/member(s)/stockholder(s).

DO NOT USE THIS FORM:

1. As an application to change the type of license you currently hold. (Class Change Application)
2. As an application to remove your licensed business to a new location. (Removal Application)
3. As an application to appoint a new ABC Officer. (ABC Officer Application)
4. As an application to change from a Partnership to a Corporation/LLC or from a Corporation/LLC to a Partnership. (New Application)
5. As an application to reflect the death of a Licensee (*individual or partner*). (Endorsement Application)
6. As an application to reflect court appointments of representative. (Endorsement Application)
7. As an application to reflect the dissolution of Partnership or Addition of Partner. (Endorsement Application)
8. As an application to reflect name changes due to Marriage or Divorce. (Endorsement Application)
9. As an application to change from a Sole Proprietorship to a Corporation/LLC. (Endorsement Application)

The application for Approval of Corporate Change must be completed and accompanied by the appropriate documentation as listed in the instructions portion below as well as a check or money order in the amount of **\$128, payable to the New York State Liquor Authority**.

(The Law does not provide for any refund of corporate change fees.)

Mail application to: New York State Liquor Authority, Church Street Station, PO Box 3817, New York, NY 10008-3817.

INSTRUCTIONS:

- 1) Submit a certified check, bank check, money order, or personal check payable to the New York State Liquor Authority for the amount of \$128.
- 2) Complete ALL sections of the application.
- 3) In Section B, indicate the change requested.
- 4) In Section C, list all officers, directors, LLC Members, LLC Managers, stockholders, etc. as indicated in such section.
- 5) In Section D, read the contents thoroughly; both the currently authorized principal and the proposed authorized principal must sign and date this section.

ALL Corporate Change applications must be accompanied by the following documentation:

- 1) Agreement of Purchase & Sale if change in stock-holdings and/or Corporate Minutes showing the appointment/change of any officer and/or director, and/or stockholder and/or LLC Member/Manager.
- 2) If there was a Death of an officer/director/member/stockholder, submit a copy of the Death Certificate as well as any Letters of Testamentary/Administration and Last Will & Testament, if available.
- 3) A Personal Questionnaire must be submitted for each new person who is to be an officer and/or director, and/or stockholder and/or LLC Member/Manager as well as proof of citizenship, photo ID and a recent original color photo as well as fingerprint submission. (See the bottom of Application Page 2; Forms are available for download on our website: www.sla.ny.gov).
- 4) Completed Applicant's Statement for each new principal.
- 5) Statement of Finances (Form 180-021B) if change in stock-holdings. List assets pertaining to new investment and new investors.
- 6) Proof of Finances as stated in Form 180-021B.
- 7) Pursuant to Section 110-b, if the applicant is located within the City of New York and licensed pursuant to Section 55, 55a, 64, 64a, 64c, 64d, 81 or 81a (*on-premise licensees*), an applicant shall notify the community board in which the premises is located of such applicant's intent to file an application for approval of a *substantial corporate change*.*

*'Substantial corporate change' means a change in eighty percent (80%) or more of the officers and/or directors, LLC Managers/Members, stockholders, or an existing stockholder or member obtaining a cumulative of eighty percent (80%) or more of the stock of a corporation or ownership interest in said company.

Such notification shall be on a standardized form from the Liquor Authority and be made by: certified mail, return receipt requested; overnight delivery service with proof of mailing; or personal service upon the offices of the community board ***not less than thirty days before filing*** any such application.

This form is to be used by a corporate licensee to apply for permission to make a corporate change involving (1) change of officers or directors, LLC Members, etc., or (2) where there are fewer than 10 stockholders, any change in stock-holdings, or (3) where there are 10 or more stockholders, any change involving 10% or more of the stock or any change in stock-holdings which would increase the holdings of any one stockholder to 10% or more of the stock.

Such change cannot become effective under the Alcoholic Beverage Control Law until permission has been granted by the State Liquor Authority. Therefore, it is recommended that any change be made conditional upon approval by the State Liquor Authority.

Section A

Serial Number County Telephone #

Full Name of Licensee as listed on the License

Trade Name (DBA) as listed on the License Certificate

Complete Address of Licensed Premises including Zip

Post Office/Mailing Address, if different than premises

FEIN#

Name of Contact Attorney Representative Contact

Office Address

City State Zip Code

Telephone Number of Office (Include Area Code)

E-mail Address (if available)

Submit a completed Notice of Appearance

Section B

Change Requested: Check all that apply

- New stockholding(s)/stockholder(s).
- The removal of officer(s)/director(s)/member(s).
- Appointment of new officer(s)/director(s)/member(s).
- Death of officer(s)/director(s)/member(s)/stockholder(s).

1. How was the interest acquired in the Corporation/LLC?

2. Are there any other licenses held in New York under this corporation/LLC? If yes, list all serial numbers.

Section C

Identification of Individuals

Part 1. List below the names of all LLC members/managers, officers, directors and individual stockholders, that are currently licensed to hold an interest in the subject license, attach additional sheets if necessary. (Current Approved Corporate Set-Up)

Name	Current Title(s)	Current % of Interest	Current Number of Shares

Part 2. List below the names of all LLC members/managers, officers, directors and individual stockholders, who will have an interest in the subject license upon approval of this corporate change, attach additional sheets if necessary. (Proposed Corporate Set-Up)

Name	Proposed Title(s)	Proposed % of Interest	Proposed # of Shares	Check if New
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

All parties listed in Part 2 and are NEW to the corporation/LLC must complete a Personal Questionnaire as well as submit an original color photo, photo ID and proof of citizenship for themselves. The forms are available for download on our web site at: www.sla.ny.gov

ALL APPLICANT PRINCIPALS WILL BE REQUIRED TO BE FINGERPRINTED ELECTRONICALLY

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

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

Each new principal is bound by the Method of Operation previously approved by the NYS Liquor Authority.

Note: For any of the above, if financing is involved, please supply copies of contracts, agreements or any other legal document and financial statements showing the availability of the funds.

Section D

The licensee represents that there have been no changes other than those set forth herein, in any of the facts required to be set forth in the application for license, and agrees that any application filed by it or by any of its officers, directors or stockholders, for any license or permit under the Alcoholic Beverage Control Law, and the occupation record submitted herewith, shall be deemed and made a part hereof and considered by the Authority in acting upon this Application for Approval of Corporate Change.

I/We, the Applicant(s) also certify that all papers filed in support of this application or any application filed under the Alcoholic Beverage Control Law by any person having an interest, direct or indirect, either in the business to be licensed or any license or permit shall be deemed a part hereof and considered by the State Liquor Authority in acting upon this application.

I/We understand that the information I/we submit will be relied on by the State Liquor Authority in acting on this application. I/ we understand that any false statements or misrepresentations shall constitute sufficient cause for the disapproval of the applications and/or revocation, cancellation or non-renewal of any license which is issued or affected as a result of such application.

I/We verify that all of the above statements are true. If any of the above information changes prior to receipt of the license or approval of the corporate change, I/we will notify the Authority by registered or certified mail within 48 hours. If any changes occur after the issuance of the license or approval applied for, I/we understand that failure to give the required notice may constitute a violation of Section 110 of the Alcoholic Beverage Control Law and/or Rule 36.1(j) of the State Liquor Authority and will result in proceedings to revoke, cancel or suspend such license.

I/We, the Applicant(s) certify that there are no financial transactions involved concerning the license applied for EXCEPT as described herein.

(Print Name)

certifies that he is

(Title)

of the above named licensee; 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 licensee to make the statements and answers therein in behalf of said licensee with the same force and effort as if said licensee made such statements and answers itself.

Dated

(Signature of Currently Authorized Officer)

(Print Name)

certifies that he is to be

(Title)

of the above named licensee; that he knows the contents of the above application and the statements and answers therein; that the same are true of his own knowledge.

Dated

(Signature of Proposed Authorized Officer)

OFFICE USE ONLY:

Approved or Disapproved

License Board Member

Dated

**STATEMENT OF FINANCES
FOR CORPORATE CHANGE**

State the total amount of money you are investing in the Purchase of the Stock.

TOTAL DOLLAR AMOUNT FOR STOCK INTEREST PURCHASE	\$	<input style="width: 95%;" type="text"/>
MISCELLANEOUS EXPENSES	\$	<input style="width: 95%;" type="text"/>
TOTAL INVESTMENT	\$	<input style="width: 95%;" type="text"/>

BREAKDOWN OF TOTAL FOR PURCHASE OF STOCK

Total Cash	\$	<input style="width: 95%;" type="text"/>
Total Deferred	\$	<input style="width: 95%;" type="text"/>

Explain Cash:

Explain Deferred:

REAL PROPERTY PURCHASE IF APPLICABLE

Total Cash	\$	<input style="width: 95%;" type="text"/>
Total Deferred	\$	<input style="width: 95%;" type="text"/>

Explain Cash:

Explain Deferred:

NOTE: For the purpose of this form, CASH is defined as money that you have in your possession that you don't have to pay back and is verifiable (example: stocks, bonds, CD's, savings accounts, etc.).

For the purpose of this form, DEFERRED is defined as money that you have to pay back at some point in time (example: loan, mortgage, line of credit, credit card, note, etc.).

1. Set forth the source of funds for this investment (accounts, loans, gifts, asset sales, etc.) and enter account numbers. (Provide documentation)
2. Set forth all repayment terms for any deferred monies. (Provide documentation)
3. Lease agreement if required.