



**Use this Form** for changes or endorsements to existing licenses caused by:

1. Name or Address corrections on the license certificate.
2. Death of Licensee (individual or partner).
3. Court appointments of representative.
4. Dissolution of Partnership or Addition of Partner.
5. Principal name changes due to Marriage or Divorce.
6. Amend the corporate name of the licensed premise when there is no change in ownership or corporate entity.
7. Change from a Sole Proprietorship to a Corporation/LLC where the Sole Proprietor remains the sole principal.

**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 license business to a new location. (Removal Application)
3. As an application for alterations or as an application for additional bars. (Alteration and/or Additional Bar Application)
4. As an application to appoint a new ABC Officer. (ABC Officer Application)
5. As an application to change from a Partnership to a Corporation/LLC or from a Corporation/LLC to a Partnership. (New Application)
6. As an application to reflect the death of a stockholder. (Corporate Change Application)
7. As an application to appoint new officers and directors. (Corporate Change Application)
8. As an application to reflect new stockholdings or stockholders. (Corporate Change Application)

**Mail application to:**

If no payment is required with this application, send to the Albany Office located at 80 South Swan Street, Suite 900, Albany, NY 12210.

***If payment is required, mail to:***

***New York State Liquor Authority, PO Box 782772, Philadelphia, PA 19178-2772.***

**Complete the Following Sections:**

**For ALL Changes:** Sections A & E & *Submit a Notice of Appearance if any attorney/representative or other third party helped you with this application*

**For Name or address corrections on the license certificate:** Sections B & C

**For a Death of Licensee (Individual or Partner):** Sections B, C & D

**For Court Appointments of representative:** Sections B, C & D

**For a Dissolution of Partnership or to add a Partner:** Sections B, C & D

**For Principal name changes due to Marriage or Divorce:** Section C

**Submit the Following Documents:**

**For a Post Office or Government Agency change of address:**

- (a) Copy of the official Post Office or government notice authorizing the change
- (b) Bond Rider reflecting the amended address
- (c) Amended Certificate of Authority reflecting the new address

**For a Correction of typographical error in your original license:**

- (a) Bond rider reflecting the correct information
- (b) Amended Certificate of Authority reflecting the correct information

**For an amendment to the Corporate Name of the licensed premises (no change in ownership):**

- (a) Copy of the Department of State Filing Receipt showing that it is an Amendment.
- (b) Bond Rider reflecting new name
- (c) Amended Certificate of Authority reflecting new name
- (d) Copy of the Certificate of Incorporation
- (e) Corporate Minutes showing the appointed officers of the proposed corporation.

**For a change in name due to marriage/divorce:**

- (a) Copy of marriage or divorce decree
- If the appearance of the license certificate will change, also submit*
- (b) Bond Rider reflecting changed name
- (c) Certificate of Authority reflecting changed name

**For a Death of Licensee; individual or partner and appointing of Executor or Administrator:**

- (a) Letters Testamentary or Administration
- (b) Death Certificate
- (c) Last Will & Testament, if available
- (d) Bond Rider reflecting the applicant principal as the Executor of the Estate (*i.e. John Doe as Executor of the Estate of Jane Doe*)
- (e) Personal Questionnaire for Executor/Administrator.
- (f) Proof of Citizenship for Executor/Administrator.
- (g) Photo ID for Executor/Administrator.
- (h) A recent original color photo of Executor/Administrator.
- (i) Electronic fingerprinting of Executor/Administrator, after submission of application (Instructions will be provided on the application Filing Receipt and are also available on our website, [www.sla.ny.gov](http://www.sla.ny.gov)).

**For a Receiver or Trustee, Assignee for Benefit of Creditors, Guardian and Trustee in Bankruptcy:**

- (a) Copy of documentation of Court Authorization
- (b) Personal Questionnaire for Receiver, Trustee, Assignee, etc.
- (c) Proof of Citizenship for Receiver, Trustee, Assignee, etc
- (d) Photo ID for Receiver, Trustee, Assignee, etc
- (e) A recent original color photo of Receiver, Trustee, Assignee, etc
- (f) Electronic fingerprinting of Receiver, Trustee, Assignee, etc, after submission of application (Instructions will be provided on the application Filing Receipt and are also available on our website, [www.sla.ny.gov](http://www.sla.ny.gov)).
- If the appearance of the license certificate will change, also submit*
- (g) Bond Rider reflecting correct name (*i.e. John Doe as Trustee of Jane Doe*)

**For a Dissolution of Partnership, with Transfer to remaining partners:**

- (a) Copy of Dissolution of Partnership or other Contractual Agreement
- (b) Bond Rider reflecting the remaining partner
- (c) Amended Certificate of Authority reflecting the remaining partner
- (d) Copy of any source of funding if any monetary consideration was given or exchanged

**For a change from a Sole Proprietorship to a Corporation/LLC where the Sole Proprietor remains the sole principal**

- (a) Copy of the Certificate of Incorporation or LLC Operating Agreement showing all officers/members.
- (b) Copy of the Department of State Filing Receipt.
- (c) Bond Rider reflecting new name.
- (d) Amended Certificate of Authority reflecting new name.
- (e) Copy of the Certificate of Assumed Name, if operating under a different name than what is currently licensed.

**For a change from a Corporation/LLC to a Sole Proprietorship**

- (a) Copy of the Dissolution of Corporation/LLC.
- (b) Copy of the Certificate of Assumed Name, if operating under a different name than what is currently licensed.
- (c) Bond Rider reflecting new name.
- (d) Amended Certificate of Authority reflecting new name.

**For an Addition of a Partner:**

- (a) Copy of Partnership Agreement or amended Partnership Agreement.
- (b) Any Contracts or other Agreements in conjunction with the change.
- (c) Copy of any source of funding if any monetary consideration was given or exchanged
- (d) Bond Rider reflecting both partners
- (e) Amended Certificate of Authority reflecting both partners
- (f) Personal Questionnaire for new partner
- (g) Proof of Citizenship for new partner
- (h) Photo ID for new partner
- (i) A recent original color photo of each principal that has not previously submitted one for this file
- (j) Electronic fingerprinting of new partner, after submission of application (Instructions will be provided on the application Filing Receipt and are also available on our website, [www.sla.ny.gov](http://www.sla.ny.gov)).

**For the change or addition of a Holding Corporation:**

- (a) Submit a Holding Corporation Stipulation.
- (b) Submit a list of the officer, directors and stockholders of the Holding Corporation.
- (c) Provide a flow chart indicating the corporate set up for the Holding Corporation.



**Section A**

Serial Number of License To Be Changed:	County	Telephone #
Full Name Of Licensee As Listed On The License Certificate	Trade Name (DBA) As Listed On The License Certificate	
Street Address Of Licensed Premises	Post Office Address, <i>if different than premises</i>	
City, Town or Village & Zip Code	City, Town or Village & Zip Code , <i>if different</i>	
Current FEIN#:		

**Section B**

Proposed License Name Change:		Proposed Trade Name (DBA) Change:
Address of Licensed Premises, <i>if different than above:</i>		Post Office of Premises, <i>if different than above:</i>
City, Town or Village, <i>if different than above:</i>	County, <i>if different:</i>	City, Town or Village, <i>if different:</i>
Proposed FEIN#:		

**Section C**

**Change Requested: Check All That Apply**

**Fee Required**

- |   |  |
|---|--|
| <ol style="list-style-type: none"> <li>1. ( ) The Post Office or Local Government is changing the Street name or numerical designation of the licensed premises</li> <li>2. ( ) The correction of a typographical error in the original license.</li> <li>3. ( ) Amend corporate name of the licensed premises, no change in ownership or corporate entity.</li> <li>4. ( ) Change in principal name due to marriage or divorce</li> <li>5. ( ) Add/Change the Holding Corporation</li> </ol> <hr/> <ol style="list-style-type: none"> <li>6. ( ) Death of Licensee (individual), Appointment of Executor or Administrator</li> <li>7. ( ) Death of Licensee (partner), Appointment of Executor or Administrator</li> <li>8. ( ) Receiver or Trustee</li> <li>9. ( ) Assignee for Benefit of Creditors</li> <li>10. ( ) Guardian</li> <li>11. ( ) Trustee in Bankruptcy</li> <li>12. ( ) Dissolution of Partnership, with transfer to remaining partners</li> <li>13. ( ) Addition of a Partner</li> </ol> <hr/> <ol style="list-style-type: none"> <li>14. ( ) Change from Sole Proprietorship to a Corporation/LLC or Corporation/LLC to Sole Proprietorship</li> </ol> | <p>\$</p> <p>0</p> <p>0</p> <p>0</p> <p>0</p> <p>0</p><br><p><b>In this section:</b><br/>-If your license is a Grocery/Drug Store<br/>the fee for Each box checked is: <b>\$13</b></p> <p>-For all other license types, the fee for<br/>Each box checked is: <b>\$64</b></p><br><p><b>\$13</b></p> |
|---|--|

**Total Fee Due: \$ \_\_\_\_\_**  
**Made Payable to the New York State Liquor Authority**

**Section D**

**Identification of Individuals**

**Part 1.** List below the names of all entities, LLC members/managers, officers, directors, individual stockholders, individual partners, assignees, receivers, trustees, executors or guardians whose position or interest has *changed or ended* in connection with the changes requested in Section C.

<b>Name</b>	<b>Current Title</b>	<b>Current Percentage of Interest</b>	<b>Current No. of Shares</b>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**Part 2.** List below the names of all entities, LLC managers, officers, directors, individual stockholders, individual partners, assignees, receivers, trustees, executors or guardians that are *new parties* in interest in the subject license.

<b>Name</b>	<b>Proposed Title</b>	<b>Proposed Percentage of Interest</b>	<b>Proposed No. of Shares</b>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**Part 3.** Identification of owners and individuals *remaining* in interest in the subject license.

<b>Name</b>	<b>Title</b>	<b>Percentage of Interest</b>	<b>No. of Shares</b>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

*All parties listed in Part 2 above must complete a Personal Questionnaire as well as submit an original color photo, photo ID and Proof of Citizenship for themselves. Electronic fingerprinting of each new principal, after submission of application is also required (Instructions will be provided on the application Filing Receipt and are also available on our website, www.sla.ny.gov).*

**Note:** For any of the above, if financing is involved, please give details and supply copies of contracts, agreements, leases or any other legal document.

**Section E**

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 Endorsement Certificate.

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 endorsement, 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.

I/We, the Applicant(s) noted on this application certify that I/we know and attest to the validity of the contents of the above application and the statements contained therein.

**Signature of Each Partner or General Partner, LLC Managing Member or a Corporate Officer currently licensed.**

_____	Date _____	_____	Date _____
_____	Date _____	_____	Date _____

**Official Use Only:**

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_ by: \_\_\_\_\_ Date: \_\_\_\_\_