



**State Liquor  
Authority**

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# 2019 Annual Report

Governor Andrew M. Cuomo  
Chairman Vincent G. Bradley

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## **HISTORICAL OVERVIEW**

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 The 21st Amendment repealed Prohibition and gave each state the power to regulate the trafficking of alcoholic beverages within its borders.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.”

The agency consists of the following which collectively ensure that the agency’s Mission Statement is met: Executive Office, Public Information Office, Licensing Bureau, Enforcement, Counsel Office, Hearing Bureau, and Secretary’s Office.

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

## **MISSION STATEMENT**

The State Liquor Authority (SLA) has two main functions; issuing licenses and permits and ensuring compliance with the ABC Law. The SLA’s licensing activities focus on the timely processing of permits and licenses. The SLA’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 SLA consists of three Members, or Commissioners. While statutorily “the Authority” refers to the three Members of the State Liquor Authority, the phrase is most often used to identify the entire agency, the Members and all agency staff. When the Members meet to take an action, or render a decision, they are often referred to as “the Full Board” and the meetings as “Full Board meetings.” The Commissioners of the Authority are nominated by the Governor and confirmed by the Senate for a term of three years. One of the Members is designated by the Governor to serve as the Chairman, with the two other Commissioners serving on a “per diem” basis.

## **POWERS OF THE FULL BOARD**

Acting together, the Full Board is provided statutory powers in Section 17 of the ABC Law. The two most commonly exercised powers are making determinations on applications for licenses and permits and taking disciplinary action against licensees and

permit holders accused of violating the ABC Law or the Rules of the Authority. Additional other powers set forth in Section 17 include: the ability to impose a moratorium on the issuance of certain types of licenses within the state or a political subdivision of the state; restricting, at the request of a county’s legislative body, the hours of sale in that county; and appointing advisory groups and committees to provide assistance to the Authority to carry out the purposes and objectives of the ABC Law.

The Full Board can delegate its powers to the Chairman or agency staff. Exercising this option, the Full Board has delegated the power to act on routine applications to selected staff referred to collectively as Licensing Board. The Full Board has also delegated to individual Members the ability to act on certain requests for reconsideration and routine disciplinary matters.

## **POWERS OF THE CHAIRMAN OF THE AUTHORITY**

Administrative control over the agency rests with the Chairman. The Chairman can perform any administrative duties that are not specifically vested by the ABC Law with the Full Board. Among the powers expressly given to the Chairman are presiding over Full Board meetings and prescribing the forms for license and permit applications. In 2012, amendments were made to the ABC Law regarding the respective powers of the Full Board and the Chairman. As a result, certain powers that had rested with the Full Board were transferred to the Chairman. Those powers include: hiring and firing staff; overseeing the Alcohol Training Awareness Program and the submission of annual reports.

## **MEETINGS OF THE FULL BOARD**

Full Board meetings are typically conducted at the SLA’s New York City office and video-conferenced to the agency’s Albany and Buffalo offices. Anyone wishing to participate, or attend can do so at any of the three locations. In addition, the meetings are “webcast” live and recordings of prior meetings are available on the SLA web site.

## **2019 CALENDAR HIGHLIGHTS**

### **Craft Beverage Manufacturing Growth**

2019 marked the 5<sup>th</sup> anniversary of Governor Cuomo’s 2014 Craft Act, which provided new opportunities for craft producers, including allowing manufacturers to serve by the glass at their manufacturing facilities, cutting burdensome requirements, easing restrictions regarding the marketing of craft product, and increasing the annual production limits while keeping licensing fees low. Craft beverage manufacturers have grown by nearly 70 percent since law’s enactment, with 467 new craft beverage manufacturers opening their doors, bringing the statewide total to 1,153. Additionally, 97 farm producers have opened offsite branch stores, a 149% increase from 2014, with craft producers now operating in every county across the state.

### **Statewide Underage Drinking Crackdowns**

In 2011 the SLA initiated, for the first time in its history, underage decoy operations throughout

the State using the agency's own decoys to crack down on sales to minors, supplementing routine details with local police departments. In 2019, cracking down on underage sales continued to be a top priority for the SLA. Investigators conducted 165 Underage Compliance Details, including joint efforts with law enforcement agencies. These details visited 2,253 licensed premises and resulted in 448 sales to minor violations. This included major statewide crackdowns conducted in October, with the SLA conducting 55 underage details in 38 counties, with investigators sending underage decoys into 812 locations and 156 illegally selling to a minor – and in May with the SLA conducting 66 underage details in 46 counties, with investigators sending underage decoys into 851 locations and 186 businesses selling to minors. Including referrals from underage sales from local law enforcement, the SLA brought a total of 1,090 charges for selling to a minor in 2019.

### **Back Office Licensing, Permitting and Compliance Case Management System**

In March of 2019, the SLA commenced work with Information Technology Services (ITS) to implement a new back office licensing, permitting and compliance database to replace the SLA's current legacy system, which is nearly two decades old. The new system, set to go live in 2021, will automate processes that now must be performed manually, expediting the timeframes for application review. The new system also combines the licensing and compliance databases into one system, allowing SLA staff from different units to instantly share information to guide licensing, renewal and disciplinary decisions. In addition, the new database will make it easier to share information with our stakeholders, including community boards, elected officials, local police and residents. This includes information now available only upon request, including hearings dates for disciplinary matters and stipulations agreed to by community boards and individual licensees.

## **2019 LEGISLATIVE SUMMARY**

### **New Permit for the sale of alcoholic beverages at the New York State Fair**

This legislation creates a new permit available to State Fair concessionaires, allowing for on-premises sales for the duration of the Fair in addition to allowing for alcoholic beverages to be stored a week before and a week after the Fair. Additionally, on-premises licensees at the Fairgrounds may now sell alcoholic beverages to be consumed throughout the Fairgrounds, and manufacturing licensees with a State Fair concessionaire's license can operate under the same privileges as the new permit, provided they only sell items they are authorized to sell at their licensed premises. Chapter 174, Laws of 2019

### **Expanding the amount of barrels a restaurant brewery may sell at retail**

This legislation increases the number of barrels a restaurant brewer may sell to retailers from 250 barrels to 2,000 barrels provided the additional barrels sold to retailers are distributed through a licensed wholesaler. Restaurant brewers may still self-distribute up to 250 barrels annually without the need for a wholesaler. Chapter 655, Laws of 2019

### **Temporary retail permits provision extended for another year**

Chapter 396 of the Laws of 2010 provided for temporary retail permits to be issued to applicants for a new on-premises licenses and off-premises beer licenses if the premises is located outside of New York City. This law was subject to expire after one year, but has been extended each session since 2010. This most recent extension is until October 12, 2020. Chapter 190, Laws of 2019

### **Authorizes credit cards as a payment method for wholesale purchases**

This legislation authorizes retail licensees to purchase beer, wine or liquor by means of a credit card. Under this legislation, wholesalers choosing to take credit cards must include both a cash and credit price of the invoice. Chapter 745, Laws of 2019

### **Notifications to Municipalities**

This legislation requires license applicants to notify their Community Board or municipality no earlier than 270 days prior to filing an application with the SLA. Chapter 222, Laws of 2019

### **Conditions imposed on licensed premises**

This legislation requires the SLA to make available to the public information regarding the method of operation approved for licensed premises. Chapter 340, Laws of 2019

### **Requires certain establishments to post notice upon the submission of an application or renewal**

This legislation requires applicants filing or renewing licenses under sections 64, 64-a, 64-b, 64-c or 64-d of the Alcoholic Beverage Control Law to post notice, on neon pink paper, at the applied for premises within 10 days of application. Chapter 724, Laws of 2019

### **Additional alcoholic beverages authorized for sale at games of chance**

This legislation amends the General Municipal law to allow for the sale of cider, mead, braggot and wine when organizations are operating games of chance. Previously, only beer could be sold at games of chance. Chapter 188, Laws of 2019

### **Regulation and sale of alcoholic beverages at certain tribal casinos**

This legislation allows an Indian tribe to elect to have the New York State Gaming Commission regulate alcohol service at an Indian gaming facility. Chapter 644, Laws of 2019

## **CHAIRMAN'S AND EXECUTIVE OFFICE OVERVIEW**

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.

**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
2019-20	\$13,313,000

**PUBLIC INFORMATION OFFICE/OFFICE OF PUBLIC AFFAIRS OVERVIEW**

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 SLA.

**LICENSING BUREAU OVERVIEW**

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 and prepare detailed reports to ensure that the Licensing Board or the Members of the Authority are able to make a proper determination on each application. The specific units, within the Licensing Bureau are as follows:

**Intake Unit-** The intake unit receives all applications from the agency’s lockbox. These applications are data entered and then appropriately distributed to the zone offices. In 2019 they received and processed 7,328 new applications, 5,996 change applications and 6,186 temporary retail permit applications. The total number of applications received in 2019 was 19,510.

**Licensing Unit-** Examiners receive applications from the Intake Unit and appropriately review and analyze each application. Those application types include manufacturing, wholesale, retail, temporary retail permits and change applications. This activity generated \$14,564,997 million in revenue in calendar year 2019. Of the 7,328 new applications received 5,142 of those were approved by licensing board or the Members. It should be noted that the revenue for the temporary retail permits is reflected as part of the miscellaneous permits total below.

**Renewal Unit-** The renewal unit centered in Albany, processes all license and permit renewal applications statewide. Licensing has ensured a timely turnaround with regard to renewal processing. The Authority processed 35,429 renewal applications which generated \$43,410,967 million in revenue in calendar year 2019.

**Permit Unit-** The permit unit also centered in Albany, processes all permit applications statewide. These permits include one day Special Event Permits (Temporary Beer, Wine and Cider (TPA's) and Caterer's Permits), Transportation Permits, Warehouse Permits, Solicitor's Permits, Brand Label Permits and other miscellaneous permits. This unit processed 23,455 Special Event Permits, 16,153 new Brand Label Permits and 2,675 Miscellaneous Permits which generated \$8,840,159 million in revenue in calendar year 2019.

The total revenue generated by the Licensing Bureau for calendar year 2019 was \$66,816,123.

### **License Types**

There are 96 license types and 91 permit types, allowing for various means of trafficking in alcoholic beverages, with approximately 50 of these constituting the majority of the application categories. During 2019 the SLA was responsible for the regulation of over 53,000 active licensees and 35,000 permittees.

Licenses are issued for durations that range from 1 to 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 distillery, 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 limits on production, 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 of a retail license as originally granted are required to be filed and approved in most 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 SLA.

## LICENSING BUREAU STATISTICS

### Calendar Year 2019 Statewide Licensing Revenue

<u>Class</u>	<u>New Licenses</u>	<u>Renewed Licenses</u>	<u>Totals</u>
On-Premises	\$10,502,198	\$34,846,195	\$45,348,393
Off-Premises	\$1,714,340	\$2,467,210	\$4,181,550
Liquor Stores	\$939,646	\$2,808,355	\$3,748,001
Wholesale/Manufacturing	\$1,408,813	\$3,289,207	\$4,698,020
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<b>Subtotals</b>	<b>\$14,564,997</b>	<b>\$43,410,967</b>	<b>\$57,975,964</b>
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Misc. Permit Fees	\$1,013,430	\$1,274,164	\$2,287,594
Special Event Permits	\$1,776,545		\$1,776,545
Brand Label Permits	\$894,320	\$3,881,700	\$4,776,020
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<b>Total Licensing Revenues</b>			<b>\$66,816,123</b>

## 2019 Licensing Statistics

<b>Licenses</b>		On	Off		
		<u>Premises</u>	<u>Premises</u>	<u>Wholesaler / Manufacturer</u>	<u>Sub-Totals</u>
<b>Zone 1</b>	<b>Received</b>	2,809	1,502	179	4,490
	<b>Approved</b>	1,948	874	113	2,935
<b>Zone 2</b>	<b>Received</b>	857	539	375	1,771
	<b>Approved</b>	609	437	344	1,390
<b>Zone 3</b>	<b>Received</b>	546	424	97	1,067
	<b>Approved</b>	<u>427</u>	<u>324</u>	<u>66</u>	<u>817</u>
			<b>Statewide Total</b>	<b>Received</b>	7,328
				<b>Approved</b>	5,142
<b>Permits</b>		<u>Brand Label</u>	<u>ST Permits</u>	<u>Other</u>	<u>Totals</u>
<b>Processed</b>		16,153	6,186	2,675	25,014
<b>Renewals</b>		<b>Statewide Total</b>			
		35,429			
<b>Special Event Permits (Applications Processed)</b>			<u>TPA's</u>	<u>Caterer's</u>	<u>Totals</u>
			12,290	11,165	23,455
<b>License Changes</b>		<b>Zone 1</b>	<b>Processed</b>	3,557	
		<b>Zone 2</b>	<b>Processed</b>	1,401	
		<b>Zone 3</b>	<b>Processed</b>	1,038	
			<b>Statewide Total</b>	5,996	

## ENFORCEMENT BUREAU OVERVIEW

The Enforcement Bureau is responsible for investigating violations of the ABC 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 disclosed and undisclosed investigations, and conducts trainings for police departments, licensees, and servers.

In 2019, cracking down on underage sales continued to be a top priority for the SLA. Investigators conducted 165 Underage Compliance Details, including joint efforts with law enforcement agencies. These details visited 2,253 licensed premises and resulted in 480 sales to minor violations.

<b>SLA Underage Details 2019</b>	
SLA Underage Compliance Initiatives:	165
Licensed premises visited during SLA details:	2,253
Sales to Minor Violations during SLA details	448

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

Collaborating with multiple police agencies designed to support strategic crime-fighting and violence reduction initiatives. Over the past year SLA Enforcement personnel attended 17 different meetings across the state including (4) **Gun Involved Violence Elimination (“GIVE”)** and (13) **Mutual Assistance Group (MAG)** meetings where agencies shared criminal intelligence. This enhanced the SLA’s efforts to aggressively investigate and prosecute violations of the ABC Law that jeopardizes the public health and safety.

**Multi Agency Response to Community Hotspots (“MARCH”) Program** -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 SLA, 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 2019, The SLA participated in 44 MARCH operations making visits to 115 licensed premises.

## COUNSEL’S OFFICE OVERVIEW

Counsel’s Office is responsible for providing a full range of legal services, advice, and counsel to the SLA. Specific functions include, but are not limited to:

- Prosecuting violations of the ABC Law against retail, wholesale, and manufacturer licensees in administrative proceedings on matters referred to the SLA by law

enforcement agencies and investigated by the Enforcement Bureau.

- Where necessary, seeking the summary suspension of licenses where the ABC Law violations create an imminent threat to public health, safety, or welfare.
- Representing the SLA in Article 78 proceedings and other litigation in state and federal courts.
- Attending meetings of the Full Board and providing legal advice to its Members on disciplinary, licensing, and other matters.
- Responding to industry member requests regarding the interpretation and application of the ABC Law to particular business circumstances.
- Advising SLA management and staff on legal and compliance issues.
- Assisting the Full Board and Chairman on developing rules, regulations, and policy directives, and preparing and commenting on pending and possible legislation.
- Assisting the Full Board in the administration of the Alcohol Training Awareness Programs (ATAP) across the State.
- Managing the response to Freedom of Information Law requests directed to the SLA, including the careful review, retrieval and delivery of Agency records and the protection of confidential and otherwise non-discoverable information.

## **THE WHOLESALE BUREAU**

The SLA Counsel's office aids the SLA and its Full Board in regulating the distribution and sale of alcoholic beverages through the three-tiered system of independent: manufacturers, wholesalers and retailers. Counsel's Wholesale Bureau provides ongoing assistance and guidance to the industry on trade practices and policy issues.

**Wholesale Price Posting** – The ABC Law requires wholesalers of wine and spirits to post their prices monthly with the SLA to eliminate favoritism in pricing and to allow the SLA to detect patterns that might indicate collusive practices, tied houses (i.e., the control of a licensee at one level of the three-tier system by a licensee at another level), or other wholesale violations. Wholesalers provide this information to the SLA through an electronic price filing system.

**Cash On Delivery (“COD”) Listing** – The ABC Law requires the monitoring of delinquent retail accounts. Wholesalers are required to identify delinquent retailers by placing them on the COD list. The Wholesale Bureau tracks these accounts. Retailers on the COD List must pay cash for their purchases from wholesalers. These requirements, among other things, help to protect wholesalers from extending credit to retailers who have already

failed to make timely payments to other wholesalers. The Wholesale Bureau regulates this process to protect all retailers against discrimination and/or disparate treatment through the extension of favored credit terms.

**Prosecution Of Wholesale And Manufacturing Violations** – Counsel’s office uses trained investigators and prosecutors familiar with the ABC Law’s wholesale and manufacturing requirements to uncover, investigate, and charge licensees with violations. These prosecutions tend to be document intensive and result in significant fines and other discipline. Common wholesale violations charged in 2019 include:

Wholesale - Sale at Unposted Price – 34

Wholesale - Gifts and Services – 44

Wholesale – Improper Credit (30 Days) – 39

Wholesale – Improper Credit (Delinquent License) – 9

## **RETAIL PROSECUTIONS AND DISCIPLINE**

The SLA’s Counsel’s Office charges and prosecutes retail licensees – restaurants, taverns, liquor stores, and other retailers -- in administrative proceedings for violations of the ABC Laws. Disciplinary cases are often commenced after the SLA receives a referral from law enforcement or a complaint from neighboring businesses or citizens. Such referrals or complaints can also be referred to the Enforcement Bureau for additional investigation. Counsel’s Office also brings disciplinary charges on cases initiated in the first instance by Enforcement resulting from on-site inspections (announced or undisclosed) and/or joint operations with law enforcement and other State and local agencies.

SLA prosecutors investigate potential violations by reviewing records, interviewing witnesses (including law enforcement), and assessing the evidence. Disciplinary proceedings are commenced by the issuance of a Notice of Pleading setting forth the alleged violations. After receiving the Notice of Pleading, a licensee may enter one (1) of the following pleas:

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

If a licensee pleads “not guilty,” an evidentiary hearing is scheduled with an Administrative Law Judge (“ALJ”). At the hearing, the SLA and the licensee may produce witnesses, which are subject to cross-examination, submit documentary evidence, and make legal argument. The ALJ renders a decision on the charges and provides a written opinion on those findings, but does not assess discipline. The ALJ’s findings are presented to the Full Board for final determination on whether charges are to be sustained or dismissed and for an assessment of discipline. If the licensee pleads “no contest,” the hearing process is avoided and the Full Board imposes an appropriate penalty. In a “conditional no contest” plea, the licensee offers to settle the charges for stated discipline; the offer is forwarded to the Full 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 formal letter documenting 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(s) cannot hold a liquor license in New York State for two (2) years; and
- Proscription – A two-year ban on the issuance of a license to any part of the building containing the revoked licensed premises.

### **Frequent/Common violations brought against licensees in 2019**

Sale to Minor – 1,157

Failure to Comply with Local Regulations\*- 1,066

Failure to Conform to Application\*\*- 468

Failure to Comply - Unlicensed Security Guard(s)- 168

Failure to Supervise\*\*\* - 245

Disorderly Premises - 352

Gambling - 40

Availing\*\*\*\* - 106

\*Failure to Comply – requirements placed on the licensee by the SLA 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 Supervise – allowing the licensed establishment to become unruly.

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

## **ALCOHOL TRAINING AWARENESS PROGRAM (“ATAP”) PARTICIPATION**

Counsel’s office oversees the certification and monitoring of the Alcohol Training Awareness Program (“ATAP”), where 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 15 approved ATAP classroom programs, and 17 approved online programs. In 2019, the 32 State Liquor Authority Certified ATAP Training Programs held 472 classroom training sessions and 23,303 on-line sessions which resulted in 27,180 students certified.



## HEARING BUREAU OVERVIEW

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 SLA 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 Full Board or on appeal to the courts of the State of New York, are heard.

## SECRETARY’S OFFICE OVERVIEW

The Members of the Authority conduct their official business (deciding applications, making determinations and imposing penalties in disciplinary proceedings, etc.) at public meetings referred to as 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 SLA.

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.

2019 at a Glance:

- 23 regular Full Board Meetings
- 9 special Full Board Meetings
- 2,408 items scheduled for Full Board review including 456 licensing matters.

- 25 revocations
- 259 cancellations
- 53 suspensions (1,085 days total)
- \$10,445,275 in civil penalties
- \$388,00.00 in bond claims
- 29 emergency summary suspensions

**Disciplinary Penalties Imposed by the SLA Board**

**(By Penalty Due Date)**

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	\$8,217,879	449	93	2,323
2016	\$6,575,666	380	75	1,315
2017	\$9,032,875	405	90	1,439
2018	\$10,441,250	352	19	398
2019	\$10,445,275	284	53	1,085

## HOW TO CONTACT THE SLA

<p><b>ENFORCEMENT</b></p> <p>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><b>OFFICE OF THE SECRETARY</b></p> <p>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><b>LICENSING</b></p> <p>If you have any 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><b>TECHNOLOGY</b></p> <p>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><b>WHOLESALE</b></p> <p>If you are a manufacturer, wholesaler, retailer or other interested party with questions concerning trade practice, price schedules, 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><b>PUBLIC AND LEGISLATIVE AFFAIRS</b></p> <p>If you are a member of the media with questions regarding the SLA please call (518) 474-3114 and select option 3 or send an email to: Press.Office@sla.ny.gov</p>
<p><b>FOIL</b></p> <p>If you would like to make a Freedom of Information request, please send an email to: FOIL@sla.ny.gov</p>	<p><b>LEGAL</b></p> <p>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**

<p><b>ZONE 1</b> 317 Lenox Ave. New York, NY 10027</p>	<p><b>ZONE 2</b> 80 S. Swan St. Albany, NY 12210-8002</p>	<p><b>ZONE 3</b> 535 Washington St. Buffalo, NY 14203</p>
<p>Bronx Kings Nassau New York Queens Richmond Suffolk Westchester</p>	<p>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</p>	<p>Allegany Cattaraugus Chautauqua Chemung Erie Genesee Livingston Monroe Niagara Ontario Orleans Schuyler Seneca Steuben Tioga Tompkins Wayne Wyoming Yates</p>