



Application for a Change in Class of a Wholesale License

License ID Number:	
Applicant Name:	DBA:
Address:	County:
Mailing Address, if different:	Telephone #:
Current License Type:	Proposed License Type:

**Required Documentation/Information:**

1) License Fee and Filing Fee of the license sought (Refer to the Fee Chart) – this is the amount to be paid:

License Fee: \_\_\_\_\_ + Filing Fee: \_\_\_\_\_ = Total Due: \_\_\_\_\_

2) The following sections of the Wholesale Application must be filed along with this form:

- a) Application for Alcoholic Beverage Control Wholesale License – pages 1 & 2
- b) Premises Questionnaire
- c) Method of Operation
- d) Applicant’s Statement

3) Submission of a new original bond, Form L-9, in the appropriate amount, with the full name, street address, city, county, state and zip code of the premises listed on the bond. The expiration date must cover the license period.

4) Notice of Appearance (for applicants being assisted by an Attorney/Representative or Third Party)

5) List of Forms Currently on File

6) Amended TTB Permit

**Mail the completed application to: New York State Liquor Authority, PO Box 782772, Philadelphia, PA 19178-2772**

**OFFICE USE ONLY BELOW:**

Date Filed: \_\_\_\_\_ New License ID Number: \_\_\_\_\_

Approved or Disapproved \_\_\_\_\_ Licensing Board: \_\_\_\_\_ Date: \_\_\_\_\_



OFFICE USE ONLY		
<input type="radio"/> Original	<input type="radio"/> Amended	Date _____

# LICENSE

## APPLICATION FOR ALCOHOLIC BEVERAGE CONTROL WHOLESALE/IMPORTER LICENSE

*It is not necessary to employ any person, agency or organization to assist you in filing this application. Beware of persons claiming to be able to assist you in securing action on your application. The payment of money or other thing of value for the use of influence or the promise of influence in obtaining a license is a violation of the law and offenders will be prosecuted.*

### 1. APPLICANT

Name of Applicant :  
*(e.g., Sole Proprietor, Partnership, Corporation, LLC, LLP, LP, etc.)*

Trade Name (DBA): *(see instructions) \*\* must be provided if premises will be called by any name other than as listed in the "Name of Applicant"*

Premises Street Address:

City: \_\_\_\_\_, **NY** Zip Code: \_\_\_\_\_

County: \_\_\_\_\_ Telephone Number of Premises (include area code): \_\_\_\_\_

Mailing Address (if different than above):

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

E-mail address (required):

Business Website:

### 2. CONTACT (if different than applicant)

Name of Contact: \_\_\_\_\_ Attorney Representative Contact Person

Office Address:

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Telephone Number of Office (include area code):

E-mail address (required):

### 3. Federal Tax ID Number (required)

**[OFFICE USE ONLY]**

DATE FILED:  APPLICATION ID #:

Approved  Disapproved

License Board Member Date

OFFICE USE ONLY		
<input type="radio"/> Original	<input type="radio"/> Amended	Date _____

**4. TO BE FILLED IN ONLY BY SOLE PROPRIETOR OR PARTNERS** (attach additional sheets if necessary)

Name of Individual / Partner	Residence	Social Security #:	Date of Birth
Name of Individual / Partner	Residence	Social Security #:	Date of Birth
Name of Individual / Partner	Residence	Social Security #:	Date of Birth
Name of Individual / Partner	Residence	Social Security #:	Date of Birth

**5. TO BE FILLED IN ONLY BY CORPORATION OR LLC/LLP APPLICANTS** (attach additional sheets if necessary)

Please list the names and address or Principals (Stockholders, Officers, Directors, LLC Members/Managers, LLP Partners)

Name of Principal	Residence	Social Security #:
Title	No. of Shares if Corporation OR % of ownership if LLC or Partnership	Date of Birth
Name of Principal	Residence	Social Security #:
Title	No. of Shares if Corporation OR % of ownership if LLC or Partnership	Date of Birth
Name of Principal	Residence	Social Security #:
Title	No. of Shares if Corporation OR % of ownership if LLC or Partnership	Date of Birth
Name of Principal	Residence	Social Security #:
Title	No. of Shares if Corporation OR % of ownership if LLC or Partnership	Date of Birth

Note:

**\*Corporations and Limited Liability Companies (LLCs)** must list the name, residential address, social security number and date of birth of any individual who owns 10% or more of the applicant corporation and any individual who holds the following titles (or their equivalent): president; treasurer; secretary; and chief executive officer. Any individual listed must also submit a Personal Questionnaire, a copy of photo identification, original photo and fingerprints. *See Advisory 2022-13 for assistance.*

**\*Not-For-Profit Corporations** must list all principal officers and any director/trustee who is compensated on the license. Trustees/ Directors who are not compensated do not need to submit personal questionnaires or fingerprints. However the applicant must submit a list with the name and address of each such individual along with a statement that each such individual is eligible to hold a license. If the non-profit is only applying for a club license, the second page of the application form must list the name, residential address, social security number and date of birth of the individual serving as the Alcoholic Beverage Officer. The individual must also submit a Personal Questionnaire. *See Advisory 2015-4 for assistance.*

# List of Forms Currently on File

New License ID Number:

Applicant:

Premises:

The applicant hereby attests that the following required documents are currently on file with the New York State Liquor Authority and hereby requests to waive the filing with the instant application the following documents: (check particular items not filed with this application)

- 1) Personal Questionnaires, fingerprint cards and proof of citizenship
- 2) Photographs of the Interior and Exterior
- 3) Area Plans
- 4) Diagrams of the Premises
- 5) Lease or Deed
- 6) Proof of Financing
- 7) Certificate of Occupancy

The same forms, documents and papers filed with the New York State Liquor Authority in connection with the applicant's application for a \_\_\_\_\_ license filed on (date) \_\_\_\_\_ shall be deemed to be filed and considered in support of the instant application for a \_\_\_\_\_ license for the same premises; that the information and facts contained in said forms, documents and papers are the same as of this date and that there are no changes or additional information required to be divulged by the applicants as of this date.

The applicant further agrees that any statements, representations or answers to questions in said documents, papers and forms shall be deemed and made part of the original application and considered by the New York State Liquor Authority in acting upon this application and that any false statements, representations or answers made in said documents, papers and forms shall constitute the basis for disciplinary proceedings by the New York State Liquor Authority.

*By checking this box I agree, and it is my intent, to electronically sign this document. By submitting this e-document to the New York State Liquor Authority in this way, I understand that my electronic signature I added to the signature line below is the legal equivalent of having placed my handwritten signature and affirmation on the submitted document and I am affirming the truth of the information contained therein.*

Date

Applicant Signature

---

## PREMISES QUESTIONNAIRE

---

**1. Describe the area where the premises is to be located:**      Residential      Business      Agricultural

**1a. State what the area is zoned for:**  
(e.g., Residential, Business, Mixed, etc.)

---

**2. Premises**

a. Please provide a description of the premises to be licensed. Describe all building/structures that will be utilized in business operations including the number of floors in each. *(e.g., 2 story free-standing, office building - include suite number, including a basement, etc.)*

b. Has the building/premises been known by any other address?      Yes      No

If YES, please specify:

c. Has the premises to be licensed and/or any other floor in the building been previously licensed or are either currently licensed to traffic in alcoholic beverages?      Yes      No

d. What was the prior use of the premises to be licensed?

e. Does the proposed location of the business comply with all state and local regulations and zoning codes?      Yes      No

f. Is there interior access to any other floor(s) that will not be part of the licensed premises?      Yes      No

If YES, please list floor(s) and means of access to each floor (e.g., stairs, elevators, etc. - must be shown on diagram). Also list use of floor(s) (e.g., apartments, offices, etc.)

g. Does any other person have access to this area?      Yes      No

h. Where will the alcohol be stored? *(wholesalers/importers without interior access to the storage area may require a warehouse permit.)*

OFFICE USE ONLY		
<input type="radio"/> Original	<input type="radio"/> Amended	Date _____

---

## METHOD OF OPERATION

---

### SUPPLY A COPY OF THE FEDERAL BASIC PERMIT

1. Will any other business of any kind be conducted on said premises?      Yes      No  
*(if YES, provide details below)*

2. Check all activities the business will engage in:      Internet sales      Tastings\*      None of these

3. How many employees?

3a. If answer is "0" please provide explanation:

**\*MARKETING PERMIT REQUIRED FOR OFF-SITE TASTINGS. To apply please visit:**

<https://sla.ny.gov/permits-available-online>

PLEASE CONTACT THE AUTHORITY AT 518-474-3114, EMAIL [licensing.information@sla.ny.gov](mailto:licensing.information@sla.ny.gov) OR VISIT OUR WEBSITE AT [www.sla.ny.gov](http://www.sla.ny.gov) FOR MORE INFORMATION ON OTHER LICENSES OR PERMITS THAT MAY BE REQUIRED.




---

## APPLICANT STATEMENT

---

I, [print name]  
 (the sole proprietor, partner, corporate principal or, LLC/LLP member)  
 understand that the State Liquor Authority will rely on each and every answer in the application and accompanying documents in reaching its determination and state, under penalty of perjury, that all statements and representations therein are true to the best of my knowledge and belief; and

I state that the location and description of the premises to be licensed does not violate any requirement of the ABC law or other state or local ordinances; and

I understand that if any change occurs in the information provided to the Authority in the application, the licensee must notify the Authority by certified mail within 48 hours and if any change occurs after receipt of the license, the licensee must notify the Authority by certified mail within 10 days. I understand that failure to give such notice may result in disapproval of the application or revocation or non-renewal of any license for which this application is submitted; and

I understand that the licensee will be bound by the statements and representations made in the application, including, but not limited to the licensee's method of operation and the identity of persons with an ownership or financial interest in the licensed premises; and that all statements and representations made become conditions of the license; and

I understand that any physical alterations to, or changes to the size of the area used for the sale and consumption of alcoholic beverages, must be reported to the Authority and may require the approval of the Authority; and

I understand that the licensee must keep the Authority advised of any change in the mailing addresses of the licensee, the licensee's principals, and the licensee's landlord.

I understand that the licensee's failure to operate the licensed premises in accordance with the statements and representations made in the application may result in revocation of any license for which the application was submitted; and

I understand that any false statement or misrepresentation will constitute cause for disapproval of the application or revocation or non-renewal of any license for which this application is submitted.

*By checking this box I agree, and it is my intent, to electronically sign this document. By submitting this e-document to the New York State Liquor Authority in this way, I understand that my electronic signature I added to the signature line below is the legal equivalent of having placed my handwritten signature and affirmation on the submitted document and I am affirming the truth of the information contained therein.*

Signature

Date



## STATE OF NEW YORK

### NOTICE OF APPEARANCE

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, lobbyist\*, or representative) on behalf of a person or organization subject to the regulatory jurisdiction of the agency. This usually occurs when the third party's client is involved in an enforcement, formal permit, or application matter.

**Agency:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Division/Bureau:** \_\_\_\_\_

**1. Name of individual appearing:** \_\_\_\_\_

**Business Address:** \_\_\_\_\_

**Business Telephone:** \_\_\_\_\_

**2. Client represented:** \_\_\_\_\_

**Business Address:** \_\_\_\_\_

**Business Telephone:** \_\_\_\_\_

**3. Subject of appearance:** \_\_\_\_\_ **Regulatory/Enforcement** \_\_\_\_\_ **Lobbying**

\_\_\_\_\_  
\_\_\_\_\_

**4. Acting in capacity of:**

\_\_\_\_\_ **Attorney** \_\_\_\_\_ **Lobbyist**

\_\_\_\_\_ **Agent** \_\_\_\_\_ **Other (describe)** \_\_\_\_\_

**5. Are you being compensated?** \_\_\_\_\_ **Yes** \_\_\_\_\_ **No** **If Yes:** \_\_\_\_\_ **Fee** \_\_\_\_\_ **Salary**

---

**Agency official (print name):** \_\_\_\_\_

\*A LOBBYIST is a person or organization, other than a New York State government employee acting in an official capacity, who appears for the purpose of influencing the adoption or rejection of proposed rules, regulations, rates, legislation, including the State budget or the specification or award of a State Procurement Contract. An "appearance" for lobbying purposes can be a personal visit, letter, telephone call, conversation at a meeting, or any other type of contact, but does not include "on the record" proceedings or hearings.

**The State Liquor Authority requires all representatives to provide a valid email address. Failure to provide an email address could result in delays in processing times, as emails are the SLA's primary means of communication with applicants and representatives.**

**Name of Representative:**

**Email Address of Representative:**