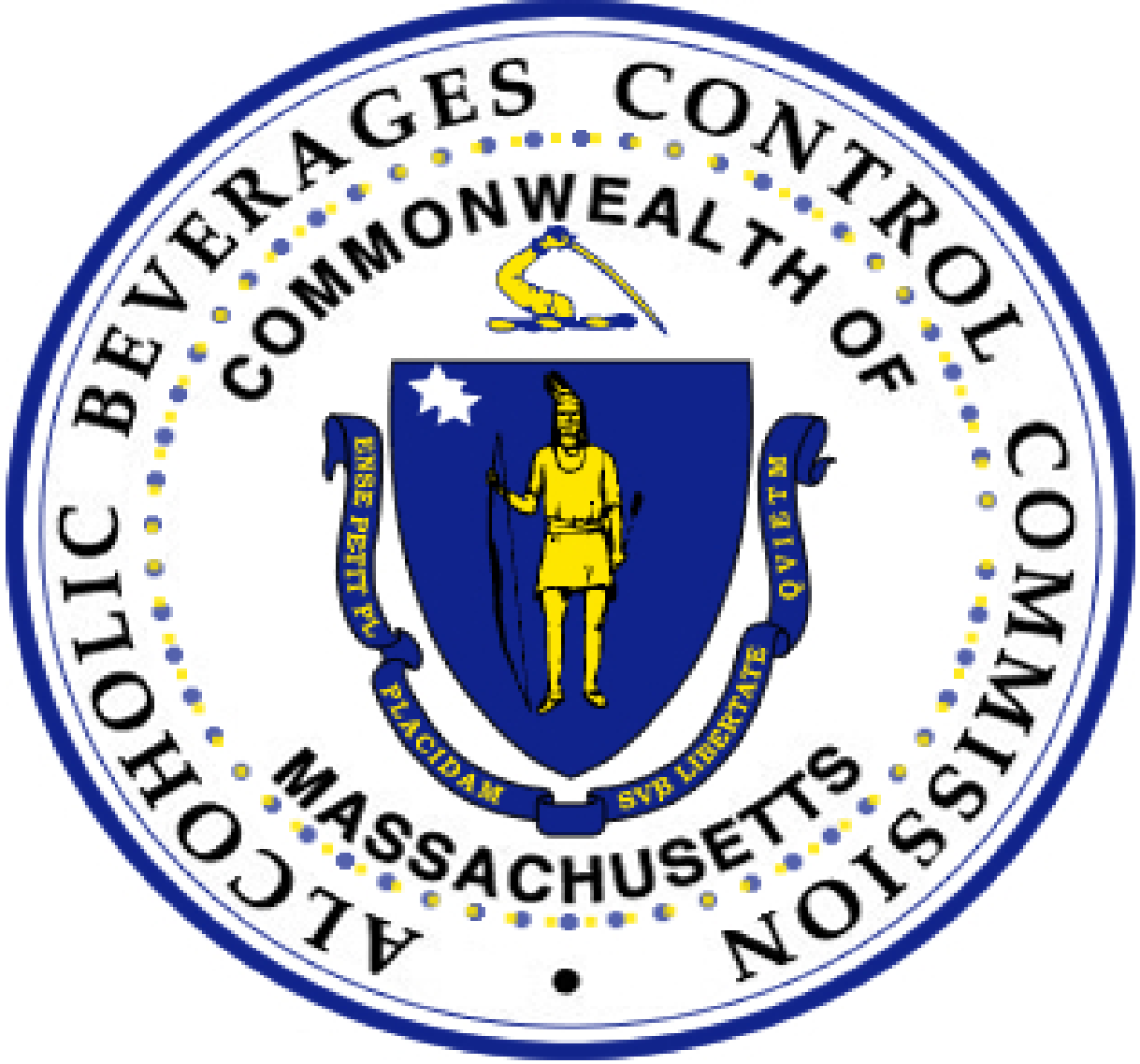


Regulator Presentation

April 2026

Agenda

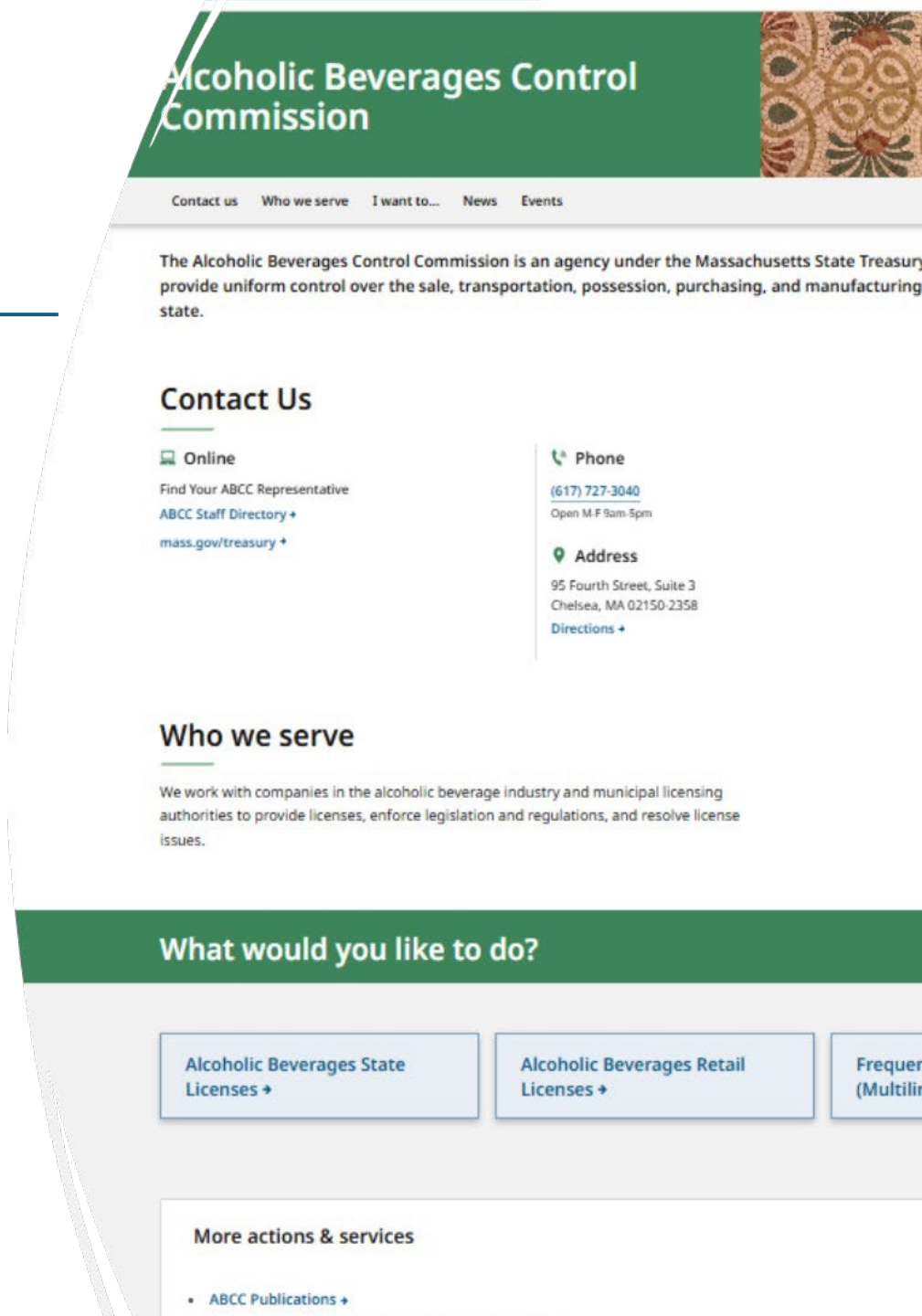
- Navigation of the ABCC Website
- Resources for Local Licensing Authorities.
- Role of a regulator.
- Guidelines when reviewing an application.
- Delivery Concerns
- Municipality progressive discipline process.
- Violation Hearings and Adjudication process.
- Licensee/Applicant appeal process.
- Compliance checks (Brick/Mortar and Direct to Consumers)
- Section 34 Sale or Delivery of alcohol to underage individual.
- Section 34C An individual under the age of 21 in possession of alcohol.
- Receiving MGL c. 90 Section 24J Reports.
- Duplicating ABCC Investigations

Navigation of ABCC Website

Link:

https://www.mass.gov/orgs/alcoholic-beverages-control-commission

- Applications
- Commission Advisories
- Commission Decisions
- Frequently Asked Questions and Guidelines in Multiple Languages

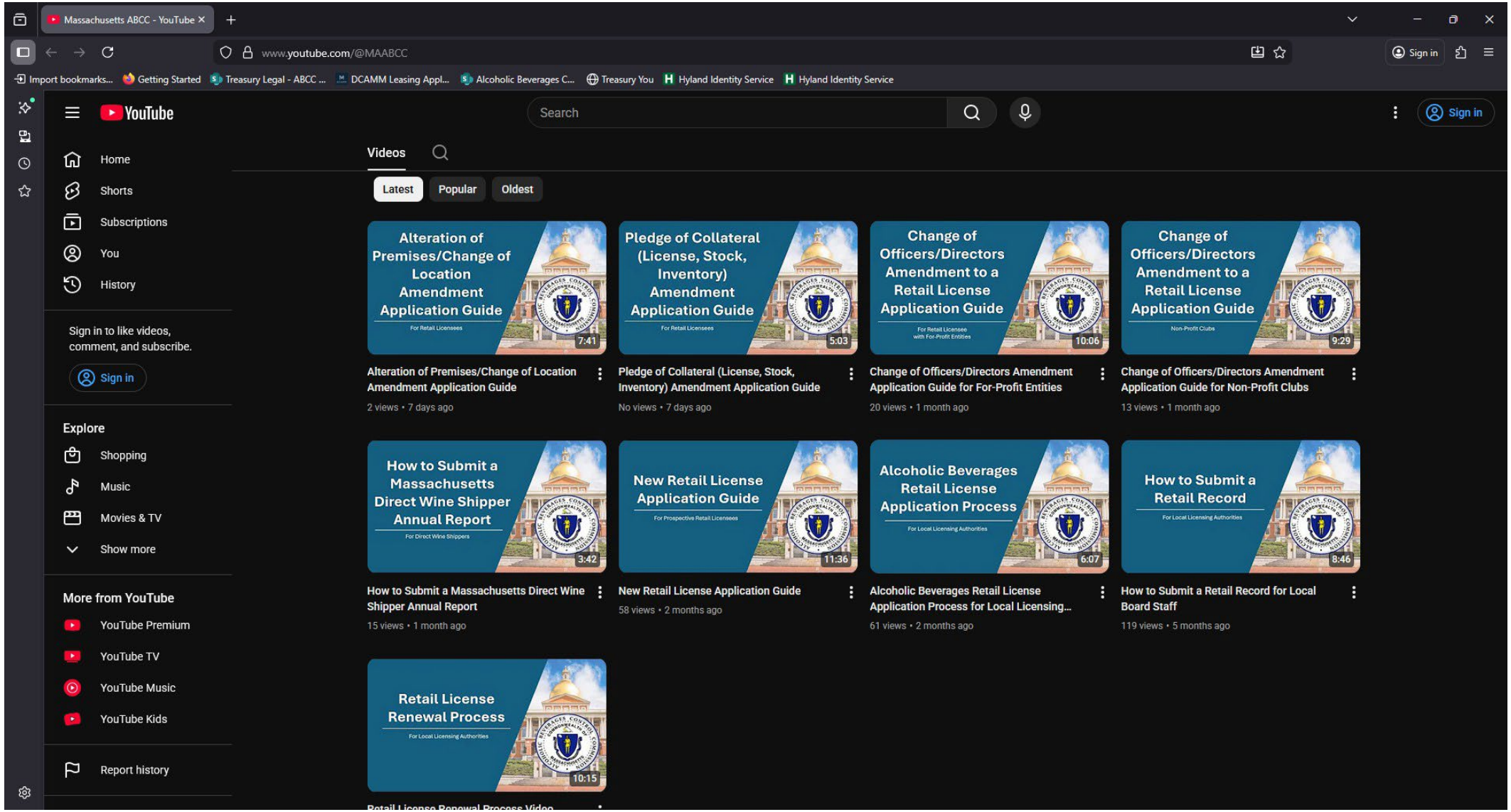


Alcoholic Beverages Control Commission
95 Fourth Street, Suite 3,
Chelsea, MA 02150
617-727-3040
www.mass.gov/abcc

ABCC Resources for Licensees and Stake Holders

Getting Started

- ABCC Website Homepage
- ABCC YouTube Channel
- Local Licensing Authorities Page (ABCC)
- Frequently Asked Questions Page (ABCC)
- 2026 Holiday Calendar


Massachusetts ABCC - YouTube
www.youtube.com/@MAABCC
Sign in
Import bookmarks...
Getting Started
Treasury Legal - ABCC ...
DCAMM Leasing Appl...
Alcoholic Beverages C...
Treasury You
Hyland Identity Service
Hyland Identity Service
YouTube
Search
Sign in
Home
Shorts
Subscriptions
You
History
Sign in to like videos, comment, and subscribe.
Sign in
Explore
Shopping
Music
Movies & TV
Show more
More from YouTube
YouTube Premium
YouTube TV
YouTube Music
YouTube Kids
Report history
Videos
Latest
Popular
Oldest
Alteration of Premises/Change of Location Amendment Application Guide
For Retail Licensees
7:41
Alteration of Premises/Change of Location Amendment Application Guide
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For Retail Licensees
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Pledge of Collateral (License, Stock, Inventory) Amendment Application Guide
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For Retail Licensee with For-Profit Entities
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Change of Officers/Directors Amendment Application Guide for For-Profit Entities
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Non-Profit Clubs
9:29
Change of Officers/Directors Amendment Application Guide for Non-Profit Clubs
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For Direct Wine Shippers
3:42
How to Submit a Massachusetts Direct Wine Shipper Annual Report
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New Retail License Application Guide
For Prospective Retail Licensees
11:36
New Retail License Application Guide
58 views • 2 months ago
Alcoholic Beverages Retail License Application Process
For Local Licensing Authorities
6:07
Alcoholic Beverages Retail License Application Process for Local Licensing...
61 views • 2 months ago
How to Submit a Retail Record
For Local Licensing Authorities
8:46
How to Submit a Retail Record for Local Board Staff
119 views • 5 months ago
Retail License Renewal Process
For Local Licensing Authorities
10:15

Retail License Applications

- ABCC Retail License Process Overview Video
- Application Checklist for Local Licensing Authorities
- Licensing Authority Certification form

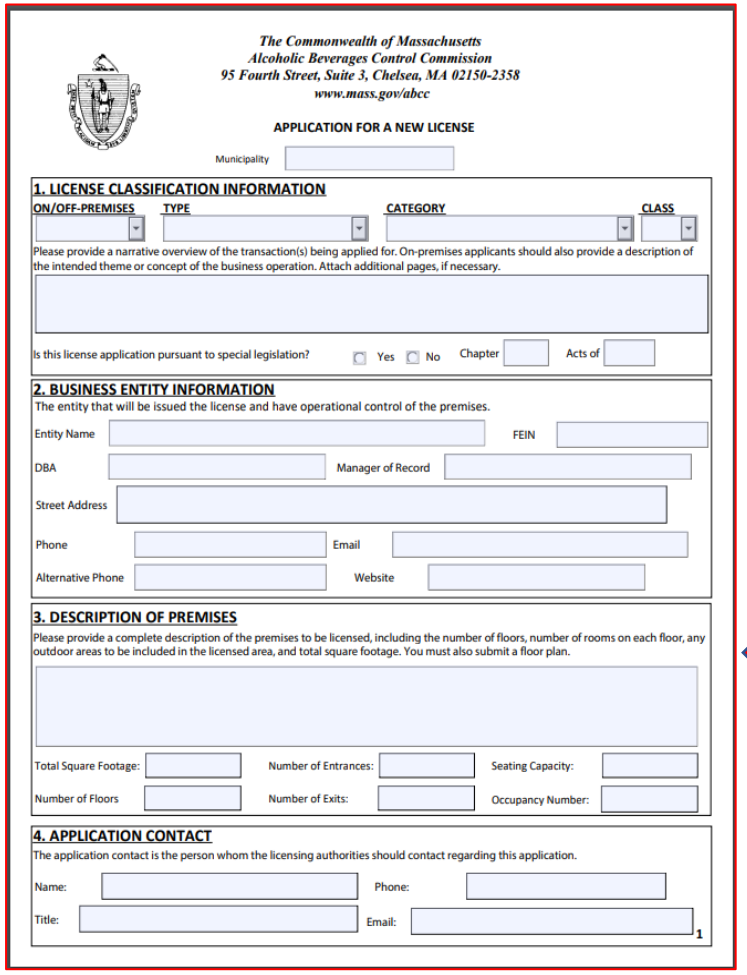
ABCC Staff Contacts

- ABCC Staff Directory

Role of a regulator

- Resources for Local Licensing Authorities
- Guidelines when reviewing an application
- Delivery Concerns
- Municipality progressive discipline process.

Page 1



The Commonwealth of Massachusetts
Alcoholic Beverages Control Commission
95 Fourth Street, Suite 3, Chelsea, MA 02150-2358
www.mass.gov/abcc

APPLICATION FOR A NEW LICENSE

Municipality

1. LICENSE CLASSIFICATION INFORMATION

ON/OFF-PREMISES | TYPE | CATEGORY | CLASS

Please provide a narrative overview of the transaction(s) being applied for. On-premises applicants should also provide a description of the intended theme or concept of the business operation. Attach additional pages, if necessary.

Is this license application pursuant to special legislation? ☐ Yes ☐ No Chapter Acts of

2. BUSINESS ENTITY INFORMATION

The entity that will be issued the license and have operational control of the premises.

Entity Name FEIN

DBA Manager of Record

Street Address

Phone Email

Alternative Phone Website

3. DESCRIPTION OF PREMISES

Please provide a complete description of the premises to be licensed, including the number of floors, number of rooms on each floor, any outdoor areas to be included in the licensed area, and total square footage. You must also submit a floor plan.

Total Square Footage: Number of Entrances: Seating Capacity:

Number of Floors Number of Exits: Occupancy Number:

4. APPLICATION CONTACT

The application contact is the person whom the licensing authorities should contact regarding this application.

Name: Phone:

Title: Email:

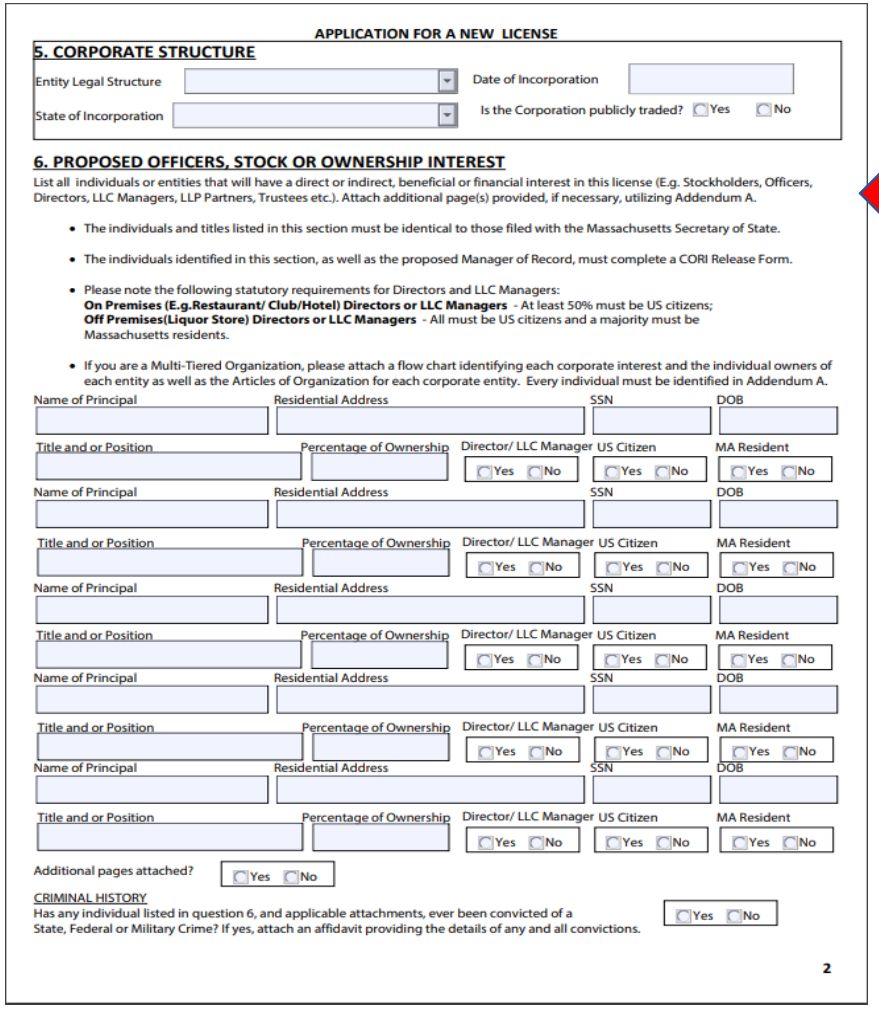
1

Question 3

A detail description of the entire proposed license premise for sales, storage and consumption.

How many rooms, bathroom, bars ect…

Page 2



APPLICATION FOR A NEW LICENSE

5. CORPORATE STRUCTURE

Entity Legal Structure | Date of Incorporation

State of Incorporation | Is the Corporation publicly traded? ☐ Yes ☐ No

6. PROPOSED OFFICERS, STOCK OR OWNERSHIP INTEREST

List all individuals or entities that will have a direct or indirect, beneficial or financial interest in this license (E.g. Stockholders, Officers, Directors, LLC Managers, LLP Partners, Trustees etc.). Attach additional page(s) provided, if necessary, utilizing Addendum A.

- The individuals and titles listed in this section must be identical to those filed with the Massachusetts Secretary of State.
- The individuals identified in this section, as well as the proposed Manager of Record, must complete a CORI Release Form.
- Please note the following statutory requirements for Directors and LLC Managers:
  On Premises (E.g.Restaurant/ Club/Hotel) Directors or LLC Managers - At least 50% must be US citizens;
  Off Premises(Liquor Store) Directors or LLC Managers - All must be US citizens and a majority must be Massachusetts residents.
- If you are a Multi-Tiered Organization, please attach a flow chart identifying each corporate interest and the individual owners of each entity as well as the Articles of Organization for each corporate entity. Every individual must be identified in Addendum A.

Name of Principal | Residential Address | SSN | DOB

Title and or Position | Percentage of Ownership | Director/ LLC Manager | US Citizen | MA Resident

(☐ Yes ☐ No)

Additional pages attached? ☐ Yes ☐ No

CRIMINAL HISTORY

Has any individual listed in question 6, and applicable attachments, ever been convicted of a State, Federal or Military Crime? If yes, attach an affidavit providing the details of any and all convictions. ☐ Yes ☐ No

2

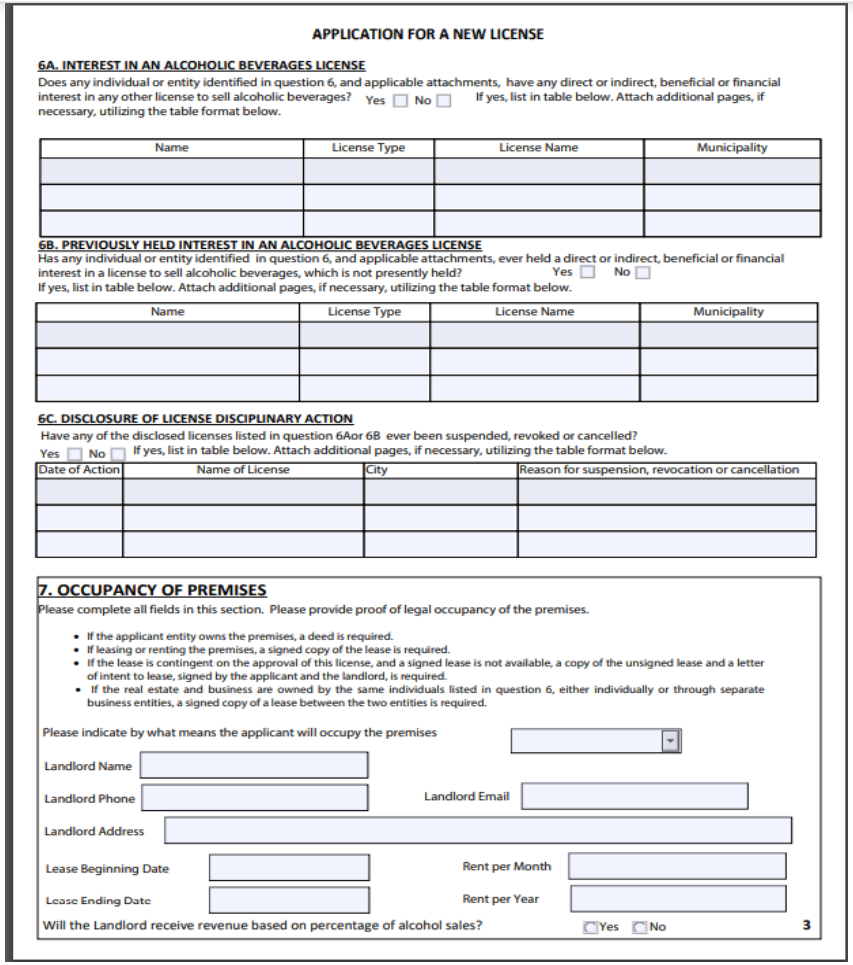
Question 6

Disclosure of Criminal history.

Completion of all fields.

Percentage of ownership must total 100%. Undisclosed ownership may require another public hearing.

Page 3



APPLICATION FOR A NEW LICENSE

6A. INTEREST IN AN ALCOHOLIC BEVERAGES LICENSE

Does any individual or entity identified in question 6, and applicable attachments, have any direct or indirect, beneficial or financial interest in any other license to sell alcoholic beverages? Yes ☐ No ☐ If yes, list in table below. Attach additional pages, if necessary, utilizing the table format below.

Name	License Type	License Name	Municipality

6B. PREVIOUSLY HELD INTEREST IN AN ALCOHOLIC BEVERAGES LICENSE

Has any individual or entity identified in question 6, and applicable attachments, ever held a direct or indirect, beneficial or financial interest in a license to sell alcoholic beverages, which is not presently held? Yes ☐ No ☐
If yes, list in table below. Attach additional pages, if necessary, utilizing the table format below.

Name	License Type	License Name	Municipality

6C. DISCLOSURE OF LICENSE DISCIPLINARY ACTION

Have any of the disclosed licenses listed in question 6Aor 6B ever been suspended, revoked or cancelled?
Yes ☐ No ☐ If yes, list in table below. Attach additional pages, if necessary, utilizing the table format below.

Date of Action	Name of License	City	Reason for suspension, revocation or cancellation

7. OCCUPANCY OF PREMISES

Please complete all fields in this section. Please provide proof of legal occupancy of the premises.

- If the applicant entity owns the premises, a deed is required.
- If leasing or renting the premises, a signed copy of the lease is required.
- If the lease is contingent on the approval of this license, and a signed lease is not available, a copy of the unsigned lease and a letter of intent to lease, signed by the applicant and the landlord, is required.
- If the real estate and business are owned by the same individuals listed in question 6, either individually or through separate business entities, a signed copy of a lease between the two entities is required.

Please indicate by what means the applicant will occupy the premises

Landlord Name

Landlord Phone Landlord Email

Landlord Address

Lease Beginning Date Rent per Month

Lease Ending Date Rent per Year

Will the Landlord receive revenue based on percentage of alcohol sales? ☐Yes ☐No

3

Question 6A

Licenses that are currently owned.

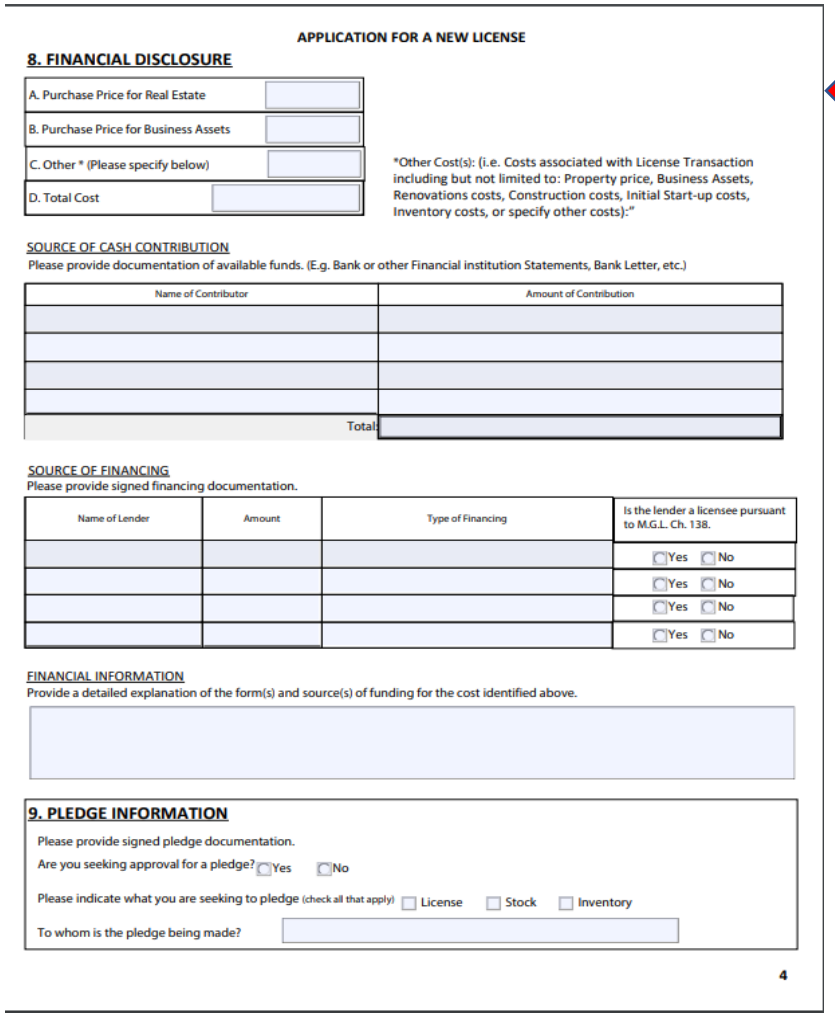
Question 6B

Former ownership.

Question 6C

Disciplinary action concerning current and former ownership. This is a tool to consider character and fitness.

Page 4



APPLICATION FOR A NEW LICENSE

8. FINANCIAL DISCLOSURE

A. Purchase Price for Real Estate	
B. Purchase Price for Business Assets	
C. Other * (Please specify below)	
D. Total Cost	

*Other Cost(s): (i.e. Costs associated with License Transaction including but not limited to: Property price, Business Assets, Renovations costs, Construction costs, Initial Start-up costs, Inventory costs, or specify other costs):"

SOURCE OF CASH CONTRIBUTION

Please provide documentation of available funds. (E.g. Bank or other Financial institution Statements, Bank Letter, etc.)

Name of Contributor	Amount of Contribution
Total:	

SOURCE OF FINANCING

Please provide signed financing documentation.

Name of Lender	Amount	Type of Financing	Is the lender a licensee pursuant to M.G.L. Ch. 138.
			☐Yes ☐No
			☐Yes ☐No
			☐Yes ☐No
			☐Yes ☐No

FINANCIAL INFORMATION

Provide a detailed explanation of the form(s) and source(s) of funding for the cost identified above.

9. PLEDGE INFORMATION

Please provide signed pledge documentation.

Are you seeking approval for a pledge? ☐Yes ☐No

Please indicate what you are seeking to pledge (check all that apply) ☐ License ☐ Stock ☐ Inventory

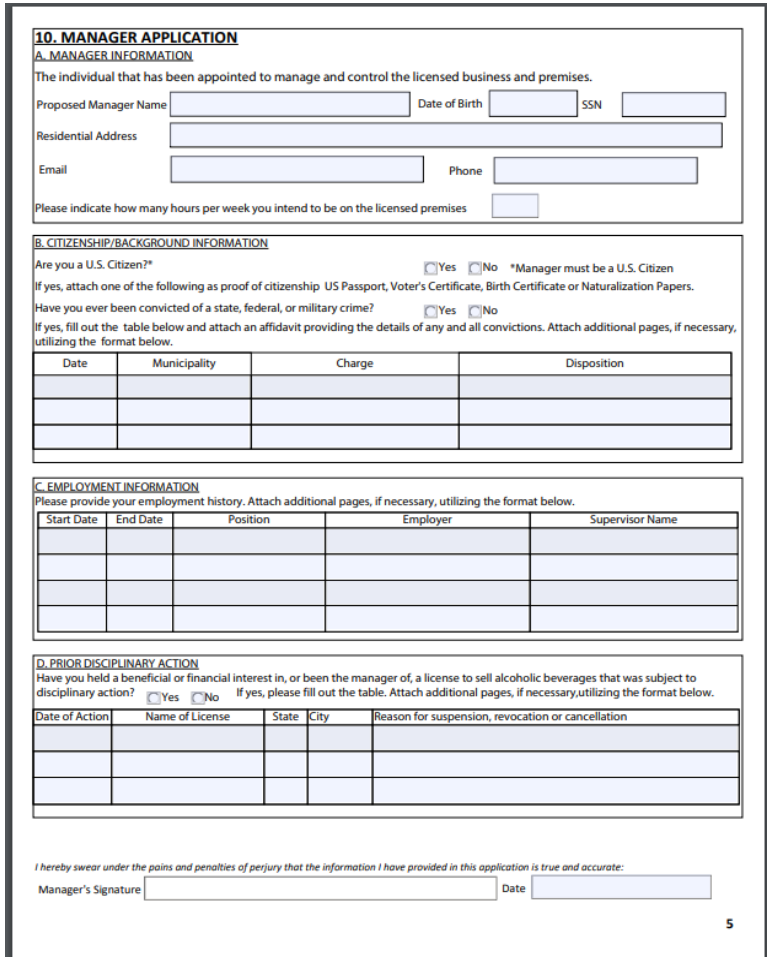
To whom is the pledge being made?

4

- Financial Disclosure
- Total flow through cost of the transaction.

- Source of Financing
- Proof of where financing is originating from. Proof of funds are required if the total transaction cost exceeds $50,000.

Page 5



10. MANAGER APPLICATION

A. MANAGER INFORMATION

The individual that has been appointed to manage and control the licensed business and premises.

Proposed Manager Name | Date of Birth | SSN

Residential Address

Email | Phone

Please indicate how many hours per week you intend to be on the licensed premises

B. CITIZENSHIP/BACKGROUND INFORMATION

Are you a U.S. Citizen?* ☐Yes ☐No *Manager must be a U.S. Citizen

If yes, attach one of the following as proof of citizenship US Passport, Voter's Certificate, Birth Certificate or Naturalization Papers.

Have you ever been convicted of a state, federal, or military crime? ☐Yes ☐No

If yes, fill out the table below and attach an affidavit providing the details of any and all convictions. Attach additional pages, if necessary, utilizing the format below.

Date	Municipality	Charge	Disposition

C. EMPLOYMENT INFORMATION

Please provide your employment history. Attach additional pages, if necessary, utilizing the format below.

Start Date	End Date	Position	Employer	Supervisor Name

D. PRIOR DISCIPLINARY ACTION

Have you held a beneficial or financial interest in, or been the manager of, a license to sell alcoholic beverages that was subject to disciplinary action? ☐Yes ☐No If yes, please fill out the table. Attach additional pages, if necessary,utilizing the format below.

Date of Action	Name of License	State	City	Reason for suspension, revocation or cancellation

I hereby swear under the pains and penalties of perjury that the information I have provided in this application is true and accurate:

Manager's Signature | Date

5

How many hours will the manager be on the licensed premise?

Base off the operations of the proposed business type that a manager will be onsite.

A manager hours should be commensurate with type of proposed business operation.

Prior disciplinary actions

This is a tool to consider character and fitness of the proposed manager.

Violation Hearings and Adjudication process

- M.G.L. c. 138, § 64- The licensing authorities after notice to the licensee and reasonable opportunity for him to be heard by them, may modify, suspend, revoke or cancel his license upon satisfactory proof that he has violated or permitted a violation of any condition thereof, or any law of the commonwealth…

ABCC Hearing Notice

You are hereby notified that a hearing will be held by the Alcoholic Beverages Control Commission at 95 Fourth Street, Suite 3, Chelsea, MA 02150-2358 on:

Tuesday, May 13, 2025 at 1:30 pm *Continued from: 4/1/2025

Regarding:

204 CMR 2.05 (2) Permitting an Illegality on the Licensed Premises, to wit: Ch. 138 § 34C - Possession of an alcoholic beverage by a person under twenty-one (21) years of age (1 Count).

Date of Alleged Violation: **Wednesday, November 27, 2024 at approximately 8:00 pm**

The Hearing:

Hearings are held pursuant to the Informal/Fair Hearing Rules under M.G.L. Ch. 138, C. 30A and 801 CMR § § 1.02 and 1.03. Reports, if any, and your license file may be examined and copied at the Commission's office with advance notice.

Representation:

A party may appear on his or her own behalf or may be represented by an authorized representative. An "authorized representative" can be an attorney, a license owner/officer/director/LLC manager, license manager, or any other individual appointed in writing to act on behalf of the licensee.

Licensee/Applicant appeal process.

- M.G.L. c. 138, § 67- Any applicant for a license who is aggrieved by the action of the local licensing authorities in refusing to grant the same, or by their failure to act within the period of thirty days limited by section sixteen B, or any person who is aggrieved by the action of such authorities in modifying, suspending, cancelling, revoking or declaring forfeited the same, may appeal therefrom to the commission within five days following notice of such action or following the expiration of said period, upon petition in writing, setting forth all the material facts in the case…

Ballarin Inc. v. Licensing Bd. of Boston (2000)

In Ballarin, the Court identified factors to be considered when determining public need:

Consideration of the number of existing licenses in the area and the views of the inhabitants in the area can be taken into account when making a determination, as well as taking into account a wide range of factors such as traffic, noise, size, the sort of operation that carries the license and the reputation of the applicant.

ABCC Decisions

LLA Denials based on competition and other issues: MB Spirits LLC [4/29/2025] and Mormax Corp. [8/6/2025]

Insufficient Evidence on Local Board Violation: 1 Exchange Place Inc. [4/2/2025] and Diamond Inn the Rough LLC [11/21/2024]

ABCC Decisions can be found here: https://www.mass.gov/alcoholic-beverages-control-commission-decisions-abcc

COMPLIANCE CHECKS- Brick and Mortar and Direct to Consumers

- Compliance Checks are a training tool required by law.
- Municipality and ABCC must conduct compliance checks.
- Compliance checks are intended to help the licensee comply with the law and local regulations.



Public Safety Violations: M.G.L. c. 138 Sections 34, 34C, and 69

- M.G.L. c. 138, § 34- Sale or delivery of an alcoholic beverage to a person under 21 years of age.
- 204 CMR 2.05 (2) Permitting an illegality on the licensed premises, to wit: Ch. 138, § 34C – Possession of an alcoholic beverage by a person under 21 years of age
- M.G.L. c. 138, § 69- Sale or delivery of an alcoholic beverage to an intoxicated person
- Receiving MGL c. 90 Section 24J Reports
- Duplicating ABCC Investigations: M.G.L. c. 138, § 23