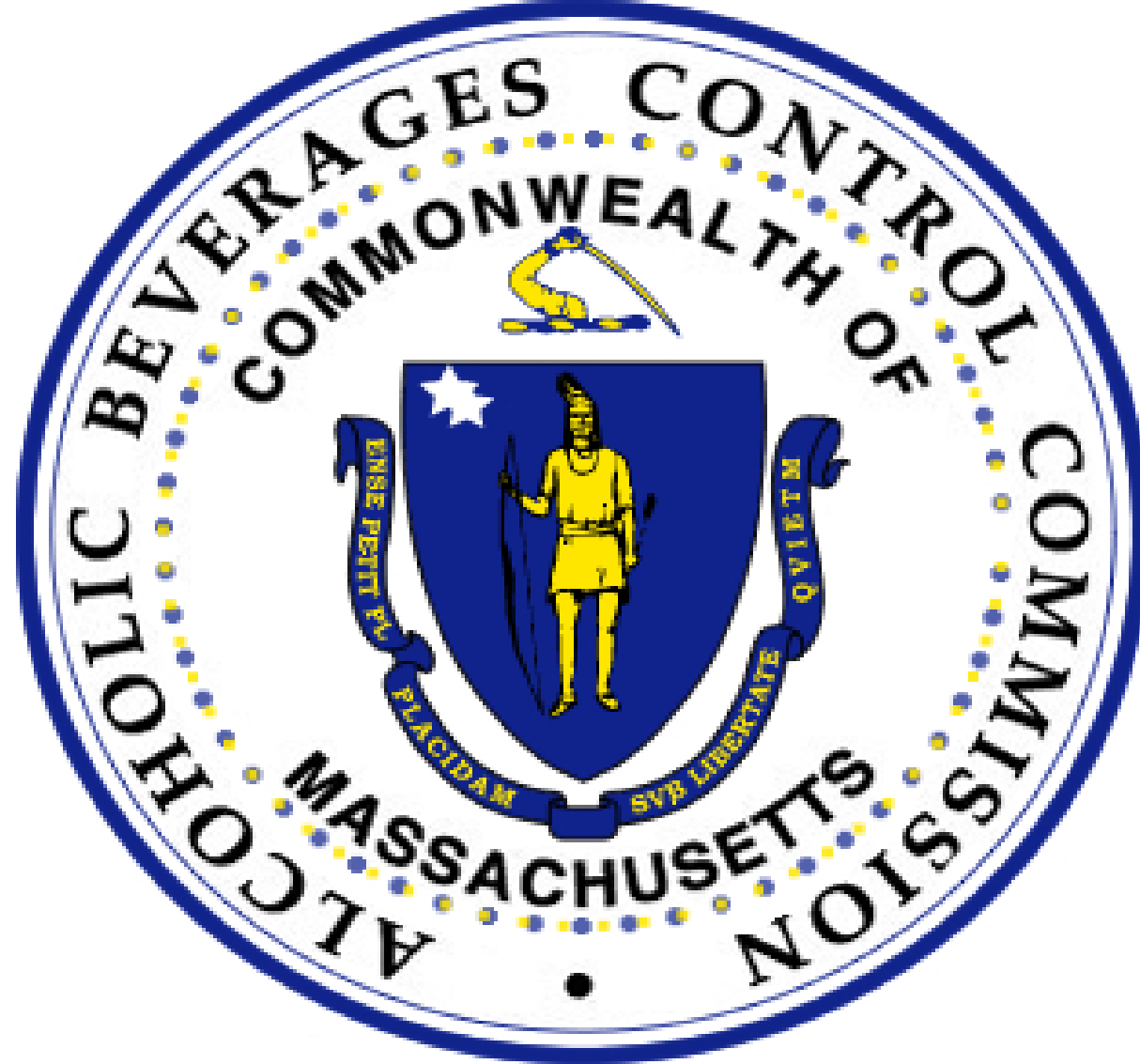




Regulator Presentation

April 2026



Agenda

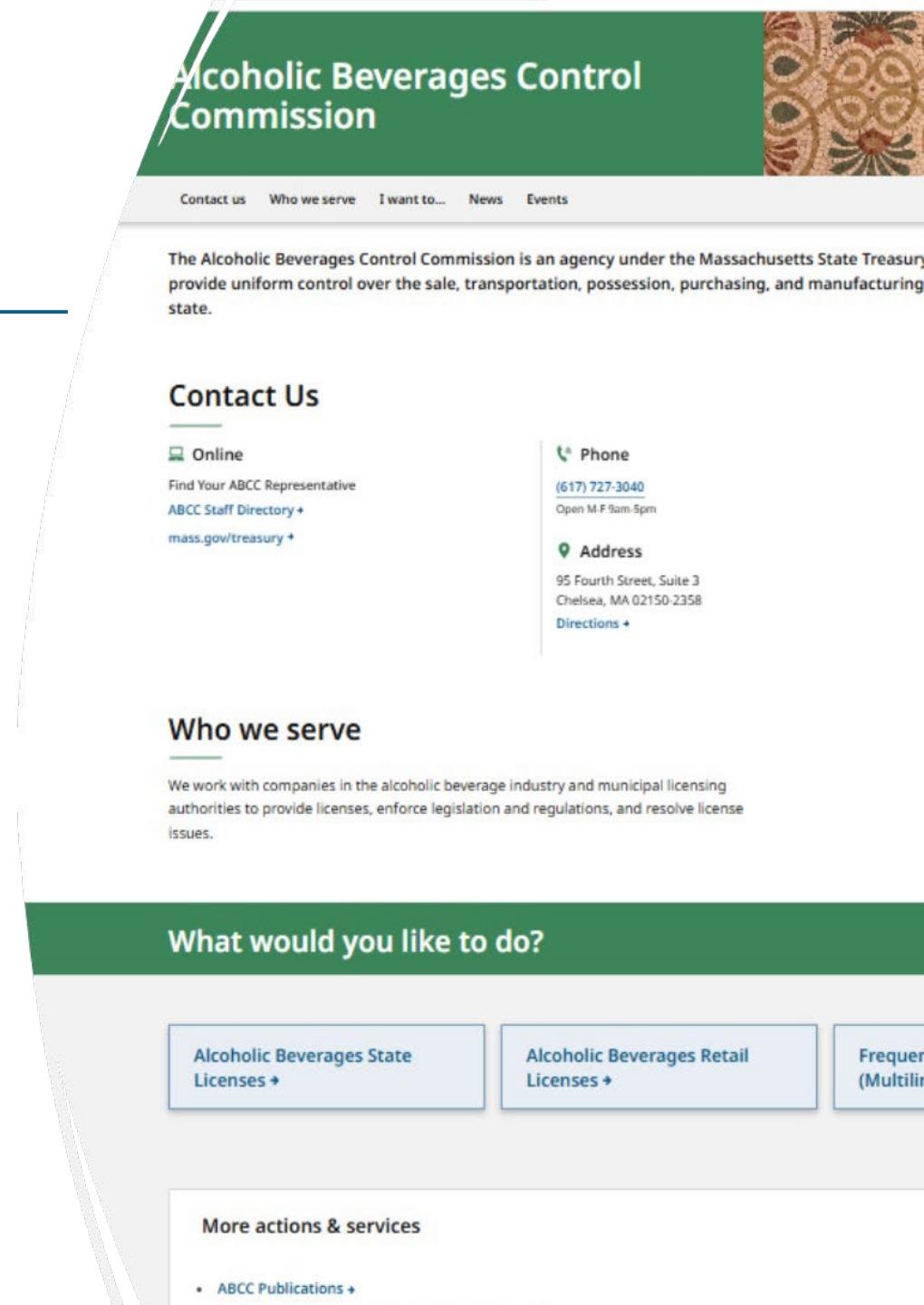
- Navigation of the ABCC Website
- Resources for Local Licensing Authorities.
- Role of a regulator.
- Guidelines when reviewing an application.
- Delivery Concerns
- Municipality progressive discipline process.
- Violation Hearings and Adjudication process.
- Licensee/Applicant appeal process.
- Compliance 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

Import bookmarks... Getting Started Treasury Legal - ABCC ... DCAMM Leasing Appl... Alcoholic Beverages C... Treasury You Hyland Identity Service Hyland Identity Service

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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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Pledge of Collateral (License, Stock, Inventory) Amendment Application Guide

For Retail Licensees

5:03

Pledge of Collateral (License, Stock, Inventory) Amendment Application Guide

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Change of Officers/Directors Amendment to a Retail License Application Guide

For Retail Licensees with For-Profit Entities

10:06

Change of Officers/Directors Amendment Application Guide for For-Profit Entities

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Change of Officers/Directors Amendment to a Retail License Application Guide

Non-Profit Clubs

9:29

Change of Officers/Directors Amendment Application Guide for Non-Profit Clubs

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How to Submit a Massachusetts Direct Wine Shipper Annual Report

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

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Alcoholic Beverages Retail License Application Process

For Local Licensing Authorities

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Alcoholic Beverages Retail License Application Process for Local Licensing...

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For Local Licensing Authorities

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How to Submit a Retail Record for Local Board Staff

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Retail License Renewal Process

For Local Licensing Authorities

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Retail License Renewal Process Video

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.

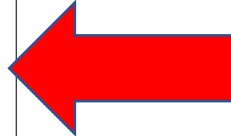
Name of Principal	Residential Address	SSN	DOB
Title and or Position	Percentage of Ownership	Director/ LLC Manager	US Citizen
		☐ Yes ☐ No	☐ Yes ☐ No
☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
Name of Principal	Residential Address	SSN	DOB
Title and or Position	Percentage of Ownership	Director/ LLC Manager	US Citizen
		☐ Yes ☐ No	☐ Yes ☐ No
☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
Name of Principal	Residential Address	SSN	DOB
Title and or Position	Percentage of Ownership	Director/ LLC Manager	US Citizen
		☐ Yes ☐ No	☐ Yes ☐ No
☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
Name of Principal	Residential Address	SSN	DOB
Title and or Position	Percentage of Ownership	Director/ LLC Manager	US Citizen
		☐ Yes ☐ No	☐ Yes ☐ No
☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
Name of Principal	Residential Address	SSN	DOB
Title and or Position	Percentage of Ownership	Director/ LLC Manager	US Citizen
		☐ Yes ☐ No	☐ Yes ☐ No
☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ 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 6A or 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. 13B.
			☐ 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...



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...

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