

Transfer/Issuance of Stock Checklist

This application will be returned if the following documentation is not submitted:

- Retail Transmittal Form
- \$200.00 Fee made payable to the Commonwealth of Massachusetts or the ABCC
- Retail Application
 - Signed lease or documents proving a legal right to occupy premises
 - All records, loan agreements, documents, as well as affidavits detailing the source(s) of money for this license transaction
 - 3 months worth of bank statements confirming the sources of funds
- Petition for Transfer of Ownership
- Vote of Corporate Board or LLC
- Newspaper Notice
- Purchase & Sale

The Commonwealth of Massachusetts
Alcoholic Beverages Control Commission
239 Causeway Street
Boston, MA 02114
www.mass.gov/abcc

**RETAIL ALCOHOLIC BEVERAGES LICENSE APPLICATION
MONETARY TRANSMITTAL FORM**

**APPLICATION SHOULD BE COMPLETED ON-LINE, PRINTED, SIGNED, AND SUBMITTED TO THE
LOCAL LICENSING AUTHORITY.**

REVENUE CODE: **0631**

CHECK PAYABLE TO ABCC OR COMMONWEALTH OF MA: \$200.00

IF USED EPAY, CONFIRMATION NUMBER:

A.B.C.C. LICENSE NUMBER (IF AN EXISTING LICENSEE, CAN BE OBTAINED FROM THE CITY):

LICENSEE NAME:

ADDRESS:

CITY/TOWN:

STATE

ZIP CODE

TRANSACTION TYPE (Please check all relevant transactions):

- | | | | |
|---|--|---|---|
| <input type="checkbox"/> New License | <input type="checkbox"/> New Officer/Director | <input type="checkbox"/> Pledge of License | <input type="checkbox"/> Change Corporate Name |
| <input type="checkbox"/> Transfer of License | <input type="checkbox"/> Change of Location | <input type="checkbox"/> Pledge of Stock | <input type="checkbox"/> Seasonal to Annual |
| <input type="checkbox"/> Change of Manager | <input type="checkbox"/> Alteration of Licensed Premises | <input type="checkbox"/> Transfer of Stock | <input type="checkbox"/> Change of License Type |
| <input type="checkbox"/> Cordials/Liqueurs Permit | <input type="checkbox"/> New Stockholder | <input type="checkbox"/> Issuance of Stock | <input type="checkbox"/> Other <input type="text"/> |
| <input type="checkbox"/> 6-Day to 7-Day License | <input type="checkbox"/> Management/Operating Agreement | <input type="checkbox"/> Wine & Malt to All Alcohol | |

**THE LOCAL LICENSING AUTHORITY MUST MAIL THIS TRANSMITTAL
FORM ALONG WITH THE CHECK, COMPLETED APPLICATION, AND
SUPPORTING DOCUMENTS TO:**

**BANK OF AMERICA
P. O. BOX 3396
BOSTON, MA 02241-3396**

Application for Retail Alcoholic Beverage License

City/Town

1. Transaction:

- New License New Officer/Director Transfer of Stock Issuance of Stock
 Transfer of License New Stockholder Management/Operating Agreement

The following transactions must be processed as new licenses:

- Seasonal to Annual 6-Day to 7-Day License Wine & Malt to All Alcohol

IMPORTANT ATTACHMENTS: The applicant must attach a vote of the entity authorizing all requested transactions, including the appointment of a Manager of Record or principal representative.

2. Type of License:

- \$12 Restaurant \$12 Hotel \$12 Club \$12 Veterans Club
 \$12 General On-Premise \$12 Tavern (No Sundays) \$12 Package Store

3. License Category:

- All Alcoholic Beverages Wine & Malt Beverages Only Wine or Malt Only
 Wine & Malt Beverages with Cordials/Liqueurs Permit

4. License Class:

- Annual Seasonal

5. Contact Person concerning this application (attorney if applicable)

NAME:

ADDRESS:

CITY/TOWN: STATE ZIP CODE

CONTACT PHONE NUMBER: FAX NUMBER:

EMAIL:

6. Licensee Information:

Legal Name/Entity of Applicant:(e.g Corporation, LLC, Individual)

Business Name (if different) :

Manager of Record:

ABBC License Number (for existing licenses only) :

Address of Licensed Premises:

CITY/TOWN:

STATE

ZIP

Business Phone:

Cell Phone:

Email:

Website:

7. Description of Premises:

Please provide a complete description of the premises to be licensed. The description should include the location of all entrances and exits.

IMPORTANT ATTACHMENTS: The applicant must attach a floor plan with dimensions and square footage for each floor & room.

Occupancy Number:

Seating Capacity:

8. Occupancy of Premises:

By what right does the applicant have possession and/or legal occupancy of the premises?

IMPORTANT ATTACHMENTS: The applicant must submit a copy of the final lease or documents evidencing a legal right to occupy the premises.

Other:

Landlord is a(n):

Other

Name

Phone:

Address:

City/Town:

State

Zip

Initial Lease Term: Beginning Date

Ending Date

Renewal Term:

Options/Extensions at

Years Each

Rent:

per year

Rent:

per month

Do the terms of the lease or other arrangement require payments to the Landlord based on a percentage of the alcohol sales?

Yes No

IMPORTANT ATTACHMENTS: If yes, the Landlord is deemed a person or entity with a financial or beneficial interest in this license. Each individual with an ownership interest in the Landlord must be disclosed in §10 and must submit a completed [Personal Information Form](#) attached to this application. Entity formation documents for the Landlord entity must accompany the application to confirm the individuals disclosed.

9. Licensee Structure:

The Applicant is a(n):

Other :

If the applicant is a Corporation or LLC, complete the following:

State of Incorporation/Organization:

Date of Incorporation/Organization:

Is the Corporation publicly traded? Yes No **10. Interests in this License:**

List all individuals involved in the entity (e.g. corporate stockholders, directors, officers and LLC members and managers) and any person or entity with a direct or indirect, beneficial or financial interest in this license (e.g. landlord with a percentage rent based on alcohol sales).

IMPORTANT ATTACHMENTS: All individuals or entities listed below are required to complete a [Personal Information Form](#).

Name	Title	Beneficial Interest	Stock or % Owned

***If additional space is needed, please use last page.**

11. Existing Interests in Other Licenses:

Does any individual listed in §10 have any direct or indirect, beneficial or financial interest in any other license to sell alcoholic beverages? Yes No **If yes, list said interest below:**

Name	License Type	Licensee Name & Address	Type of Interest

***If additional space is needed, please use last page.**

12. Previously Held Interests in Other Licenses:

Has any individual listed in §10 who has a direct or indirect beneficial interest in this license 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 said interest below:**

Name	License Type	Licensee Name & Address	Date	Reason Terminated

13. Disclosure of License Disciplinary Action:

Have any of the disclosed licenses to sell alcoholic beverages listed in §11 and/or §12 ever been suspended, revoked or cancelled? Yes No If yes, list said interest below:

Date	License	Reason of Suspension, Revocation or Cancellation

14. Criminal Record:

Has any individual listed in §10 or who has a direct or indirect beneficial interest in this license ever been convicted of a municipal, state, federal or military crime? Yes No

If yes, the individual must provide an affidavit as to any and all charges as well as the disposition.

15. Citizenship and Residency Requirements for a (§15) Package Store License ONLY:

- Are all Directors/LLC Managers U.S. Citizens? Yes No
- Are a majority of Directors/LLC Managers Massachusetts Residents? Yes No
- Is the License Manager or Principal Representative a U.S. Citizen? Yes No
- Are all members and partners involved at least twenty-one years old? Yes No

16. Citizenship and Residency Requirements for (§12) Restaurant, Hotel, Club, General On Premise, Tavern, Veterans Club License ONLY:

- Are all Directors/LLC Managers U.S. Citizens? Yes No
- Are a majority of Directors/LLC Managers Massachusetts Residents? Yes No
- Is the License Manager or Principal Representative a U.S. Citizen? Yes No

17. Costs Associated with License Transaction:

A. Purchase Price for Real Property:

B. Purchase Price for Business Assets:

C. Costs of Renovations/Construction:

D. Initial Start-Up Costs:

E. Purchase Price for Inventory:

F. Other: (Specify)

G: TOTAL COST

H. TOTAL CASH

I. TOTAL AMOUNT FINANCED

IMPORTANT ATTACHMENTS: Submit any and all records, documents and affidavits including loan agreements that explain the source(s) of money for this transaction.

The amounts listed in subsections (H) and (I) must total the amount reflected in (G).

18. Provide a detailed explanation of the form(s) and source(s) of funding for the costs identified in §17 (include loans, mortgages, lines of credit, notes, personal funds, gifts):

***If additional space is needed, please use last page.**

19. List each lender and loan amount(s) from which "total amount financed" noted in subsections 17(I) will derive:

Name	Dollar Amount	Type of Financing

***If additional space is needed, please use last page.**

Does any individual or entity listed in §19 as a source of financing have a direct or indirect, beneficial or financial interest in this license or any other license(s) granted under Chapter 138? Yes No

If yes, please describe:

20. Pledge: (i.e. collateral for a loan)

Is the applicant seeking approval to pledge the license? Yes No

If yes, describe terms and conditions and to whom:

If a corporation, is the applicant seeking approval to pledge any of the corporate stock? Yes No

If yes, to whom:

Number of Shares

Is the applicant pledging the inventory? Yes No

If yes, to whom:

IMPORTANT ATTACHMENTS: If you are applying for a pledge, submit the pledge agreement, the promissory note and a vote of the Corporation/LLC approving the pledge.

21. Construction of Premise

Are the premises being remodeled, redecorated or constructed in any way? If YES, please provide a description of the work being performed on the premises: Yes No

If all the information is not completed the application may be returned

APPLICANT'S STATEMENT

I, the: sole proprietor; partner; corporate principal; LLC/LLP member of , hereby submit this application for (hereinafter the "Application"), to the local licensing authority (the "LLA") and the Alcoholic Beverages Control Commission (the "ABCC" and together with the LLA collectively the "Licensing Authorities") for approval.

I do hereby declare under the pains and penalties of perjury that I have personal knowledge of the information submitted in the Application, and as such affirm that all statement and representations therein are true to the best of my knowledge and belief. I further submit the following to be true and accurate:

- (1) I understand that each representation in this Application is material to the Licensing Authorities' decision on the Application and that the Licensing Authorities will rely on each and every answer in the Application and accompanying documents in reaching its decision;
- (2) I state that the location and description of the proposed licensed premises does not violate any requirement of the ABCC or other state law or local ordinances;
- (3) I understand that while the Application is pending, I must notify the Licensing Authorities of any change in the information submitted therein. I understand that failure to give such notice to the Licensing Authorities may result in disapproval of the Application;
- (4) I understand that upon approval of the Application, I must notify the Licensing Authorities of any change in the Application information as approved by the Licensing Authorities. I understand that failure to give such notice to the Licensing Authorities may result in sanctions including revocation of any license for which this Application is submitted;
- (5) I understand that the licensee will be bound by the statements and representations made in the Application, including, but not limited to the identity of persons with an ownership or financial interest in the license;
- (6) I understand that all statements and representations made become conditions of the license;
- (7) I understand that any physical alterations to or changes to the size of, the area used for the sale, delivery, storage, or consumption of alcoholic beverages, must be reported to the Licensing Authorities and may require the prior approval of the Licensing Authorities;
- (8) 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 sanctions, including the revocation of any license for which the Application was submitted; and
- (9) I understand that any false statement or misrepresentation will constitute cause for disapproval of the Application or sanctions including revocation of any license for which this Application is submitted.

Signature:

Date

Title

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Personal Information Form

Each individual listed in §10 of this application must complete this form.

1. Licensee Information:

Legal Name of Licensee:	<input type="text"/>	Business Name (d/b/a)	<input type="text"/>		
Address:	<input type="text"/>	ABCC License Number: (If existing licensee)	<input type="text"/>		
City/Town	<input type="text"/>	State	<input type="text"/>	Zip Code	<input type="text"/>
Phone Number of Premise	<input type="text"/>	EIN of License:	<input type="text"/>		

2. Personal Information:

Individual Name	<input type="text"/>	Home Phone Number:	<input type="text"/>		
Address:	<input type="text"/>				
City/Town	<input type="text"/>	State	<input type="text"/>	Zip Code	<input type="text"/>
Social Security Number	<input type="text"/>	Date of Birth	<input type="text"/>		
Place of Employment	<input type="text"/>				

Have you ever been convicted of a state, federal or military crime? Yes No
If yes, attach an affidavit as to all charges and disposition.

3. Financial Interest:

Provide a detailed description of your direct or indirect, beneficial or financial interest in this license.

IMPORTANT ATTACHMENTS: For all cash contributions, attach last 3 months of bank statements for the source(s) of this cash.
If additional space is needed, please use the last page

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

Signature	<input type="text"/>	Date	<input type="text"/>
Title	<input type="text"/>	(If Corporation/LLC Representative)	

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Manager Application

All proposed managers are required to complete a [Personal Information Form](#), and attach a copy of the corporate vote authorizing this action and appointing a manager.

1. Licensee Information:			
Legal Name of Licensee:	<input type="text"/>	Business Name (d/b/a)	<input type="text"/>
Address:	<input type="text"/>		
City/Town	<input type="text"/>	State	<input type="text"/>
		Zip Code	<input type="text"/>
ABCC License Number: (If existing licensee)	<input type="text"/>	Phone Number of Premise	<input type="text"/>

2. Manager Information:

Name:	<input type="text"/>	Cell Phone Number:	<input type="text"/>
Are you a U.S. Citizen: Yes <input type="checkbox"/> No <input type="checkbox"/>	Court and Date of Naturalization: <input type="text"/>		
<small>(Submit proof of citizenship and/or naturalization such as Voter's Certificate, Birth Certificate or Naturalization Papers)</small>			
List the number of hours per week you will spend on the licensed premises:	<input type="text"/>		
Have you ever been charged or convicted of a state, federal or military crime? Yes <input type="checkbox"/> No <input type="checkbox"/>			
If yes, attach an affidavit as to all charges and disposition.			
Do you now, or have you ever, held any direct or indirect, beneficial or financial interest in a license to sell alcoholic beverages? Yes <input type="checkbox"/> No <input type="checkbox"/>			
If yes, please describe:	<input type="text"/>		
Have you ever been the Manager of Record of a license to sell alcoholic beverages that has been suspended, revoked or cancelled? Yes <input type="checkbox"/> No <input type="checkbox"/>			
If yes, please describe:	<input type="text"/>		
<small>*If additional space is needed, please use the last page*</small>			
Please list your employment for the past ten years (Dates, Position, Employer, Address and Telephone):			
<input type="text"/>			
<small>*If additional space is needed, please use the last page*</small>			

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

Signature

Date

Additional Space

Please note which question you are using this space for.

A large, empty rectangular box with a thin black border, occupying most of the page below the text. It is intended for students to write their answers to the questions.