

# APPLICANT/LICENSEE DOCUMENT REQUIREMENTS

## INSTRUCTIONS

The following documents or information should be prepared (if applicable to your transaction) and should be available for review by the investigator in the field at the time of interview. **DO NOT FORWARD DOCUMENTS TO THE BUREAU OF LICENSING WITH THE INITIAL FILING OF THE APPLICATION.** All copies of original documents provided, must be properly signed and dated. If original documents are not available for review by the licensing investigator, processing will be delayed. **READ ALL INSTRUCTIONS, THEY MAY APPLY TO YOU.**

### 1. CORPORATIONS

**Pertains to applicant entity and for property owner entity, for any applicant principal involved, including parent organizations**

Articles of Incorporation: If out of state corporation, date of issuance of authority to do business in Pennsylvania is also required for the applicants, not the parent organizations.

Minute Book

Stock Transfer Ledger and Stock Certificates (Cancelled stock certificates must be marked cancelled on their face)

All officers, directors and stockholders must be interviewed.

### 2. LIMITED LIABILITY COMPANIES

**Pertains to same entities as shown for corporations**

Certificate of Organization (if out of state see instruction above on Articles of Incorporation)

Operating Agreement

Certificates of ownership (if they have been issued)

All members and managers must be interviewed.

### 3. LIMITED PARTNERSHIPS

**Pertains to same entities as shown for corporations**

Certificate of Limited Partnership (if out of state see instructions above on Articles of Incorporation)

Limited Partnership Agreement, including amendments.

All general partners and limited partners must be interviewed

#### **4. PREMISES**

Correct physical and mailing address information for premises to be licensed must be provided.

Current property owner/lessor name, address and contact information, to include phone number for premises to be licensed.

Current Health License

Hotel Register (Hotel ONLY)

Lease, if applicable, between current property owner and applicant/applicant entity, signed and dated.

Lease assignment, if applicable

Plans to show all licensed areas if application filed under prior approval

Submission of plans need not be professionally drawn. Submit on 8.5" by 11" size paper.

In applications not to be considered under prior approval the premise must be ready for operation and have adequate seating, utensils and food for 30 patrons.

The premises must be posted in a conspicuous place with the Notice of Application (PLCB—1296) and dated the same day as your application is mailed to the Bureau of Licensing. An Affidavit of Compliance (PLCB—193) must accompany the application. The notice must be posted at least 30 days before the Board can approve any action.

In transfer applications where the license will be moved from one municipality to another in the same county, a copy of a Municipal Resolution accepting that license at the intended address must be received with the application.

#### **5. FINANCES AND AGREEMENTS**

Evidence to support the applicant has the legal right to occupy the premises (bill of sale or agreement of sale) if premises have already been purchased.

Evidence to support that the entire purchase price (excluding real estate) is properly held in escrow by a financial institution or attorney in the form of cash or legal obligation, payable to the seller from the applicant listed on the application for all items to be ultimately owned by the applicant only.

All original sources of funds for the purchase of the license, licensed business, fixtures, equipment and property must be provided and verified.

Individual Financial Disclosure Affidavit (PLCB-1842) for each individual applicant, corporation, Limited Liability Company, partnership or club must be prepared. Photo copies of bank statement, checking accounts, etc. for at least 3 to 6 months. If corporate business or club funds are involved, one form may be used for this purpose. Documents regarding the source of funds used in the transaction (judgment notes, loan commitments, settlement sheets, original source of any monies held in savings accounts, etc.) must be provided. If real estate was purchased by applicant/applicant principal/entity within the previous year, evidence of purchase and information on source of funding for purchase should be provided. The completion of the Individual Financial Disclosure Affidavit may be held until the time of the interview in order that the licensing analyst can provide assistance.

Funds borrowed from individual lenders must be supported by an affidavit over the signature of the lender, outlining the source of funds, repayment schedule, if any, and should state the lender will have no interest in the operation of the licensed business, except as a lender. PLCB-2068, Non-Commercial Lender Affidavit, can be used for this purpose. All individual lenders residing in Pennsylvania must be made available for interview. Individual lenders residing outside of Pennsylvania will submit an Individual Questionnaire, form PLCB-196.

Provide a copy of a manager's contract or agreement, if applicable.

## 6. CLUB/CATERING CLUB (Sections 1, 2, 3 & 4 plus the following)

Current Health License (Catering Club Only)

Membership Records

Treasurer's Report

Financial Records: cash income record, cash expenditures record, purchase invoices, receipted bills, cancelled checks, petty cash vouchers, payroll records, insurance policies, bank accounts, other sustaining data.

Minute Book

Photo-static or Certified Copy of Charter

Copy of Constitution

By laws.

Club must be in existence 10 years, if unincorporated. One year if incorporated

Lease, if applicable

## 7. INDIVIDUALS

All principals who reside in Pennsylvania must be made available for interview. Out of State principals must complete an Individual Questionnaire, form PLCB-196. This also includes the manager.

Identification (driver's license, passport, etc.) is required.

Naturalization papers or alien ID, if applicable must be produced.

Information on past residence for the past five years, including providing county, police department/law enforcement responsible for jurisdiction for out of state criminal record checks, if applicable.

Employment for the previous five (5) years, including dates employed, name and address of employer.

### IMPORTANT

**DO NOT PLAN A GRAND OPENING, GALA AFFAIRS, OR EVENTS OF ANY TYPE, UNTIL YOU RECEIVE NOTICE OF THE BOARD'S FINAL ACTION** (i.e. approval of the application or disapproval).

**Note:** The information obtained from this investigation is subject to review by the Bureau of Liquor Control Enforcement.