

License Application Guidelines and Checklist

Application Type: Internal Transfer of Shares

On Sale Liquor On Sale Beer

Definition: Company stock is transferred internally to the corporation or a current shareholder. No new shareholders are involved. The corporation retains original license and all assets. The business continues regular operations.
Minimum Requirements: The business must have a current license in good standing.
Publicly traded corporations are not required to complete the information below.

Staff Initials	Application Checklist Applications will not be accepted until all requirements have been satisfied.
	<input type="checkbox"/> 1. Supplemental Change Form (Form #1) This must be filled out by a current owner, partner or principle.
	<input type="checkbox"/> 2. Personal Supplemental Affidavit (Form #2) Every new stockholder with 10% or more shares must fill out both sides of this form.
	<input type="checkbox"/> 3. Source of Funds Statement – Beverage Alcohol Establishments (#3 Attached) Every new stockholder with 10% or more shares must fill out both sides of this form.
	<input type="checkbox"/> 4. State of Minnesota On-Sale Liquor, 3.2 Liquor or Sunday Liquor License Application (Form #4)
	<input type="checkbox"/> 5. Corporate Minutes – Attach a copy with the following information: <input type="checkbox"/> Sale of Stock approval. <input type="checkbox"/> Stock purchase <input type="checkbox"/> New Shareholders and % of stock
	<input type="checkbox"/> 6. Stock Purchase Agreement – Attach a copy.
	<input type="checkbox"/> 7. Stock Certificate(s) with restriction on stock. - Attach a copy.
	<input type="checkbox"/> 8. Fee: \$0.

Additional Requirements

Your Application

- a. Incomplete applications will be returned.
- b. All applications must be signed by an owner, partner or principle.
- c. Make a duplicate copy of this packet for your personal records before submitting.
- d. If you have questions, talk to License Staff at Room1 City Hall.

Stock Certificate(s) with Restriction on Stock: Minneapolis Code of Ordinances, Chapter 362.330(b) requires Corporate By Laws and by extension LLC Member Control Agreements contain a restriction stating to the effect that

- 1) No transfer of stock is valid or effective unless approved by City Council of Minneapolis; and
- 2) All stock certificates will contain the following words, "The transfer of this stock certificate is invalid unless approved by the City Council of Minneapolis, MN."

Information in Other Languages Para asistencia 612-673-2700. Rau kev pab 612-673-2800. Hadio aad Caawimaad u baahantahay 612-673-3500.



City of Minneapolis
Licenses and Consumer Services
 350 South 5th Street – Room 1
 Minneapolis, MN 55415–1391
 Phone: 612-673-2080
 Fax: 612-673-3399 TTY: 612-673-2157
www.minneapolismn.gov/business-licensing

#1

For Office Use Only

License #: _____
 CSR: _____
 Fee: \$ _____
 Date: _____
 Inspector: _____
 MPD File #: _____

Supplemental Change Form

TYPE OF LICENSE CHANGE		
<input type="checkbox"/> Amending a Business Plan/Downgrade	<input type="checkbox"/> Internal Transfer of Shares	<input type="checkbox"/> Special All Night Bowling/Pool/Billiards
<input type="checkbox"/> Corporate Stock Purchase	<input type="checkbox"/> New Corporate Officer	<input type="checkbox"/> Special Late Night Food
<input type="checkbox"/> Downgrading License(Entertainment)	<input type="checkbox"/> New Manager	<input type="checkbox"/> Upgrading License (Entertainment)
<input type="checkbox"/> Expansion of Premises	<input type="checkbox"/> New Shareholder/Partner	<input type="checkbox"/>
BACKGROUND INFORMATION		
I, _____, as <input type="checkbox"/> Owner <input type="checkbox"/> Partner, on behalf of _____ <div style="text-align: right; font-size: small;">(Legal Corporation Name of Business)</div> request the following (detailed description): 		
Business Name (DBA)		Business Address
Business E-mail Address		Alternative E-mail Address
Business Telephone Number	Cell Phone Number	Type and Class of License Currently Held
VERIFICATION		
SIGNATURE _____ TITLE _____ DATE _____		
THIS SECTION IS TO BE COMPLETED BY THE CITY OF MINNEAPOLIS		
The Minneapolis Police Department Recommends: <input type="checkbox"/> Approve <input type="checkbox"/> Deny Signature of Minneapolis Police Department Representative _____ Comments:		
The Minneapolis License Department Recommends: <input type="checkbox"/> Approve <input type="checkbox"/> Deny Signature of Minneapolis License Department Representative _____ Comments:		

LICENSE HISTORY

Have you ever been employed by a restaurant, bar, or other business or a similar nature? Yes No If yes,
Name Address City State Zip From To

Have you or your spouse held a City of Minneapolis Business License? Yes No If yes,
Type of License From To

Have you or your spouse ever had a liquor, wine, or beer license:
Revoked or suspended? Yes No New or renewal license denied? Yes No (By any government entity?) If yes, explain.

Do you have a business or financial interest in a liquor manufacturing, brewery, wholesaler or off sale retail license? Yes No
If yes, please indicate name and address :

Have you or your spouse ever been convicted of any ordinance violation, liquor law violation, petty misdemeanor, misdemeanor,
gross misdemeanor, or felony? This includes both civil and criminal offenses, including Liquor Control penalties. This includes state,
local, and federal offenses. Do not include parking violations. Yes No If yes,
Offense Fine/Penalty City State Date

Do you or your spouse have any delinquent personal or business taxes? Yes No If yes,
Date filed: Address: County: State:

Representative of the City of Minneapolis will make inquiry of person or firms named in this application. Are those individuals or
firms authorized to release information to such representative? Yes No

DATA PRIVACY ADVISORY

The Minnesota Data Practices Act requires that you be advised of the following information. As part of this application, you are asked to provide private and/or confidential information about yourself that will be used to check driving history, criminal history, arrest records, warrant information, and other relevant records. You may refuse to provide this information. However, should you refuse, our investigation cannot be completed and will result in your application not being processed. The information you provide is public and will be used by the Minneapolis Police Department, License Inspection Unit and/or the Minneapolis Division of Licenses and Consumer Services, the Minneapolis City Council, and the general public.

This AUTHORIZATION FOR RELEASE OF INFORMATION will expire two years from the date you signed it.

Individual _____
Last Name First Name Middle Name

Also Known As _____ Date of Birth: _____

I HAVE READ AND UNDERSTAND THE ABOVE DATA PRACTICES ADVISORY.

Signature _____ Date _____

VERIFICATION

The data which you furnish on this application will be used by the City of Minneapolis to assess your qualifications for licensure. Disclosure of this information is voluntary. You are not legally required to provide this data, however if you fail to do so, the City of Minneapolis may be unable to process this application. Disclosure of your Social Security number or Individual Tax ID Number is required by Minnesota Statutes 270C.72 and your Social Security number may be requested by and released to the Minnesota Commissioner of Revenue. After submitting this application, all information except your Social Security Number will be public information pursuant to Minnesota Statutes, Chapter 13.

I will strictly comply with all the laws of the State of Minnesota governing the taxation and sale of intoxicating liquor and beer; the rules and regulations promulgated by the Liquor Control Commissioner; and all ordinances of the City of Minneapolis. I hereby certify that I have read and understand every question in this application and that the answer to every question is true of my knowledge, information, and belief. I further understand that the giving of false information in this application, regardless of when it is discovered, and/or the failure to give required pertinent information constitutes cause for the immediate revocation of any and all licenses and/or permits issued hereunder and may be ground for prosecution for perjury.

A SIGNATURE IS REQUIRED IN ORDER TO PROCESS THIS APPLICATION

I, (print name) _____, certify or declare under penalty of perjury under the laws of the State of Minnesota that the foregoing is true and correct. All information given is subject to verification by the State of Minnesota.

SIGNATURE

TITLE

DATE



SOURCE OF FUNDS STATEMENT - APPLICANT'S INFORMATION SHEET

Documenting the source of funds for the business venture is one of the more critical aspects of completing a license application. It is important that all financial information related to business start-up is completely documented and verifiable by the City of Minneapolis. Applications will not be processed without complete information about the costs and source of funds for your proposed business.

ATTACH DOCUMENTATION FOR ALL SOURCES OF YOUR FINANCING.

1. Tax Records - REQUIRED

Attach two years of completed and filed 1040 federal tax forms for each applicant and individual providing funding for the business venture OR Corporate tax records, if applicable.

2. Costs Reporting Form – REQUIRED

Attach the Costs Reporting Form on the next page. City staff has the right to request documentation for listed expenses/revenues as well as any unlisted expenses/revenues they feel is related to this application.

3. Funds from Savings/Investments/Corporate Holdings – REQUIRED

Attach copies of three months of full official bank statements that show the money being used is available in the first month's statement that is provided.
Alcohol Establishments: Must additionally attach copies of three months of full official bank statements from twelve months prior to the first month's bank statement that is provided.

4. Loans from the Lending Institution

Attach a copy of the loan closing document that clearly sets forth the amount being tendered to the borrower and a copy of any accompanying promissory note; OR
Individuals may be eligible for a loan but approval may be delayed until a license is granted. In instances such as this, a letter of loan commitment from the lending institution setting forth the amount of the loan must be submitted along with a pledge from the applicant that the loan closing documentation shall be submitted upon its completion. A license will not be issued until a copy of the loan closing document is given to the Licenses staff. The business cannot operate until this is completed and approved.
N/A

5. Loans from Individuals - Many times applicants obtain personal loans from relatives or other individuals. In cases such as these, the loaning individual must provide the same documentation of the source(s) of these funds as required by the license applicant. For example, if an individual receives a \$10,000 loan from their parents, the applicant must attach the source of the parent's \$10,000 as well

as tax records.

Attach a copy of each lender's source of funds and tax records; AND
Attach a copy of the loan closing document(s) and/or copies of any accompanying promissory note(s); AND
If the lender is not an owner of the business, applicants must provide a notarized statement regarding the terms of the loan; that the lender has no operational, financial or management interest in the business; the terms of the loan are independent of the business; and at no time in the future will the lender have a financial, operational, or management interest in the business. Any such involvement in the business will only be lawful if the lender and licensee go through the appropriate city licensing process.
N/A

6. Landlord Construction or other Credit/Financing - A landlord providing construction or financing will be required to show the same documentation of the source of these funds as the license applicant. If funds are taken from a business account, city staff can accept corporate account statements in lieu of the landlord's personal accounts.

Attach a copy of the loan closing document(s) and copies of any accompanying promissory note(s); AND
Attach a statement about payment terms.
N/A

I (printed name) understand that city staff have the right to request other documentation they feel is necessary to properly verify the source of funds for the business venture. Failure to document costs or the source of funds for expenses will result in the denial of this license application. Any errors detected after the issuance of the license may be grounds for license revocation. After approval by the City Council, documentation in this license file becomes public data and is open for review by anyone upon request. Public data includes, but is not limited to, financial statements, tax records and other personal records contained in the license file. Public data will not include Social Security numbers and account numbers.

Signature Title Date



City of Minneapolis
Licenses and Consumer Services
 350 South 5th Street – Room 1
 Minneapolis, MN 55415–1391
 Phone: 612-673-3001

Fax: 612-673-3399 TTY: 612-673-2157

www.minneapolismn.gov/business-licensing

An applicant must report all costs and fund sources associated with pursuing this license in order to demonstrate adequate legal sources of funds. Typical expenses include asset purchases, licensing fees, insurance costs, down payments, remodeling fees and attorney’s fees, to name a few. Please use the table below to account for **all** of your specific costs and sources of funds. Attach additional sheets if necessary.

APPLICANT’S NAME: _____		BUSINESS NAME: _____	
Building Expenses (lease, equipment purchases, down payments, asset agreement, etc.)			
\$ _____	for _____		
\$ _____	for _____		Subtotal \$ _____
Construction Expenses (upgrading cooking equipment, installation, remodeling, etc.)			
\$ _____	for _____		
\$ _____	for _____		Subtotal \$ _____
Professional Expenses (attorney fees, architect fees, consultant fees, etc.)			
\$ _____	for _____		
\$ _____	for _____		Subtotal \$ _____
Start Up Costs (insurance, license fees, inventory, etc.)			
\$ _____	for _____		
\$ _____	for _____		Subtotal \$ _____
Other Expenses (payroll, insurance, SAC charges, other)			
\$ _____	for _____		
\$ _____	for _____		Subtotal \$ _____
TOTAL COSTS for pursuing this License:			\$ _____

Attach plans, leases, contracts, statements from vendors or credit institutions and other documentation you have to support the above figures.

Complete and submit with your license application. Sample listed below.

APPLICANT’S NAME: _____		BUSINESS NAME (DBA): _____	
Total Cost to Start the Business (As listed above.)			
	Fund Source	Amount	Documentation Attached
<input type="checkbox"/>			
<input type="checkbox"/>			
	TOTAL:		
APPLICANT’S NAME: A. A. Smith		BUSINESS NAME (DBA): The Company Business	
Total Cost to Start the Business (As listed above.) \$ 30,000			
	Fund Source	Amount	Documentation Attached
<input type="checkbox"/>	Savings Account Money	\$10,000	Bank Statements from Jan, Feb, Mar 2013 and 2014
<input type="checkbox"/>	Bank Loan	\$10,000	Loan Closing Documents from First Bank and Trust
<input type="checkbox"/>	Loan from Parents	\$10,000	Stock Dividend Statement 2013 and 2014; Tax Records 2013 and 2014; Promissory Note; Notarized Statement of Loan Terms.
<input type="checkbox"/>	TOTAL:	\$30,000	



Minnesota Department of Public Safety
Alcohol and Gambling Enforcement Division (AGED)
444 Cedar Street, Suite 222, St. Paul, MN 55101-5133
Telephone 651-201-7507 Fax 651-297-5259 TTY 651-282-6555

Certification of an On Sale Liquor License, 3.2% Liquor license, or Sunday Liquor License

Cities and Counties: You are required by law to complete and sign this form to certify the issuance of the following liquor license types:
1) City issued on sale intoxicating and Sunday liquor licenses
2) City and County issued 3.2% on and off sale malt liquor licenses

Name of City or County Issuing Liquor License _____ License Period From: _____ To: _____

Check One New License License Transfer _____ Suspension Revocation Cancel _____
(former licensee name) (Give dates)

License type: (check all that apply) On Sale Intoxicating Sunday Liquor 3.2% On sale 3.2% Off Sale

Fee(s): On Sale License fee: \$ _____ Sunday License fee: \$ _____ 3.2% On Sale fee: \$ _____ 3.2% Off Sale fee: \$ _____

Licensee Name: _____ DOB _____ Social Security # _____
(corporation, partnership, LLC, or Individual)

Business Trade Name _____ Business Address _____ City _____

Zip Code _____ County _____ Business Phone _____ Home Phone _____

Home Address _____ City _____ Licensee's MN Tax ID # _____
(To Apply call 651-296-6181)

Licensee's Federal Tax ID # _____
(To apply call IRS 800-829-4933)

If above named licensee is a corporation, partnership, or LLC, complete the following for each partner/officer:

Partner/Officer Name (First Middle Last) DOB Social Security # Home Address

(Partner/Officer Name (First Middle Last) DOB Social Security # Home Address

Partner/Officer Name (First Middle Last) DOB Social Security # Home Address

Intoxicating liquor licensees must attach a certificate of Liquor Liability Insurance to this form. The insurance certificate must contain all of the following:

- 1) Show the exact licensee name (corporation, partnership, LLC, etc) and business address as shown on the license.
- 2) Cover completely the license period set by the local city or county licensing authority as shown on the license.

Circle One: (Yes No) During the past year has a summons been issued to the licensee under the Civil Liquor Liability Law?

Workers Compensation Insurance is also required by all licensees: Please complete the following:

Workers Compensation Insurance Company Name: _____ Policy # _____

I Certify that this license(s) has been approved in an official meeting by the governing body of the city or county.

City Clerk or County Auditor Signature _____ Date _____
(title)

On Sale Intoxicating liquor licensees must also purchase a \$20 Retailer Buyers Card. To obtain the application for the Buyers Card, please call 651-201-7504, or visit our website at www.dps.state.mn.us.