

## License Application: Internal Transfer of Shares/Taproom

**Definition:** Company shares are transferred internally to the company or a current shareholder. No new shareholders are involved. There is no fee for this application. The company retains original license and all assets. The business continues regular operations. The business must have a current license in good standing. Publicly traded corporations are not required to complete the information below.

If you have questions, send an email to [businesslicenses@minneapolismn.gov](mailto:businesslicenses@minneapolismn.gov), contact your [License Inspector](#), or call 612-673-2080.

### 1. Application Requirements

1. Complete the application and include all the requirements listed below. Incomplete applications may be returned. You may send your application by email ([businesslicenses@minneapolismn.gov](mailto:businesslicenses@minneapolismn.gov)), US mail, or drop it off at our office.
2. **Alcohol License Change Form (Form #1)**  
This must be filled out by a current owner, partner, or principle.
3. **Source of Funds (Form #2)**  
☐ Every person purchasing shares must fill out both sides of this form.
4. ☐ **State of Minnesota On Sale Brewer's Taproom License Application (Form #3)**
5. **Would you like to submit an Internal Transfer of Shares application for your Off Sale Malt Liquor License?**  
☐ Yes. The ownership is exactly the same for both licenses. I understand there is no additional fee. I am attaching the State of Minnesota Brewer Off Sale Intoxicating Liquor License Application (Form #3A)  
☐ No, I do not have an Off Sale Malt Liquor, Brewer license.
6. **Corporate Minutes:** Attach a copy with the following information:  
☐ Sale of shares approval  
☐ Shares purchased  
☐ New shareholders and % of shares
7. ☐ **Shares Purchase Agreement:** Attach a copy.
8. ☐ **Shares Certificate(s) with restriction on shares:** Attach a copy.

### 2. Additional Information

**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."

For reasonable accommodations or alternative formats, please call us at 612-673-2080 or send us an email at [businesslicenses@minneapolismn.gov](mailto:businesslicenses@minneapolismn.gov). Individuals who are deaf or hard of hearing can use a relay service to call 311 at 612-673-3000.

Information in other languages: Para asistencia 612-673-2700. Rau kev pab 612-673-2800. Hadii aad Caawimaad u baahantahay 612-673-3500.

# Alcohol License Change Form

#1

## 1. Type of License Change

<input type="checkbox"/> Amending a Business Plan	<input type="checkbox"/> New Corporate Officer
<input type="checkbox"/> Corporate Name Change	<input type="checkbox"/> New Manager
<input type="checkbox"/> Corporate Shares Purchase	<input type="checkbox"/> New Shareholder/Partner
<input type="checkbox"/> Downgrading Entertainment Class	<input type="checkbox"/> Special All Night Bowling /Pool/ Billiards
<input type="checkbox"/> Downgrading License Type	<input type="checkbox"/> Special Late Night Food
<input type="checkbox"/> Expansion of Premises	<input type="checkbox"/> Upgrading Entertainment Class
<input type="checkbox"/> Internal Transfer of Shares	<input type="checkbox"/> Upgrading License Type

## 2. Background Information

I, \_\_\_\_\_, as ☐ Owner ☐ Partner, on behalf of \_\_\_\_\_  
(Legal Corporation Name of Business)  
 request the following (detailed description):

Business Name (DBA)		Business Address
Business E-mail Address		Personal E-mail Address
Business Telephone Number	Cell Phone Number	Type and Class of License(s) Currently Held

☐ Interior Expansion: New Seating Capacity: \_\_\_\_\_ New Fire Occupancy: \_\_\_\_\_ or ☐ N/A

☐ Exterior Expansion: New Seating Capacity: \_\_\_\_\_ New Total Customer Capacity: \_\_\_\_\_ or ☐ N/A

## 3. Verification

A signature is required.

☐ I have read and agree to the [Terms and Conditions](#) for electronic signatures, records and payment.

☐ I certify or declare under penalty of perjury under the laws of the State of Minnesota that the information on this application, checklist, and attached documents is true and correct. All information given is subject to verification by the State of Minnesota. I understand that false information may result in the denial, suspension, or revocation of my business license.

By typing your name, you are electronically signing this application.

Signature \_\_\_\_\_ Title \_\_\_\_\_ Date \_\_\_\_\_

# Alcohol License Change Form

## Officers, Owners and Shareholders

Attach additional sheets if necessary.

- ☐ New Corporate Officer: List all officers.
- ☐ Corporate Shares Purchase: List all officers, owners, and shareholders. Ownership must add up to 100%.
- ☐ Internal Transfer of Shares: List all shareholders. Ownership must add up to 100%.
- ☐ New Shareholder: List all shareholders. Ownership must add up to 100%.
- ☐ N/A – If company is publicly traded, you do not need to list owners and shareholders.

Name	Address	Telephone	Title	# Shares or % Ownership

I, \_\_\_\_\_, declare under penalty of perjury that as of this date, the following is a true and complete list of all officers, owners, and/or shareholders of this company.  
(print name)

☐ I have read and agree to the [Terms and Conditions](#) for electronic signatures, records and payment.

By typing your name, you are electronically signing this application.

Signature \_\_\_\_\_ Title \_\_\_\_\_ Date \_\_\_\_\_

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 and 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

**Acknowledgement**

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.

☐ I have read and agree to the [Terms and Conditions](#) for electronic signatures, records and payment.

By typing your name, you are electronically signing this application.

Signature

Title

Date

## Source of Funds Costs Reporting Form

An applicant must report all costs and fund sources associated with pursuing this license 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** your specific costs and sources of funds. Attach additional sheets if necessary.

<b>Applicant's Name:</b> _____		<b>Business Name:</b> _____	
<b>Building Expenses</b> (lease, equipment purchases, down payments, asset agreement, etc.)			
\$ _____	for _____		
\$ _____	for _____	Subtotal \$ _____	
<b>Construction Expenses</b> (upgrading cooking equipment, installation, remodeling, etc.)			
\$ _____	for _____		
\$ _____	for _____	Subtotal \$ _____	
<b>Professional Expenses</b> (attorney fees, architect fees, consultant fees, etc.)			
\$ _____	for _____		
\$ _____	for _____	Subtotal \$ _____	
<b>Start Up Costs</b> (insurance, license fees, inventory, etc.)			
\$ _____	for _____		
\$ _____	for _____	Subtotal \$ _____	
<b>Other Expenses</b> (payroll, insurance, SAC charges, other)			
\$ _____	for _____		
\$ _____	for _____	Subtotal \$ _____	
<b>Total Costs for pursuing this License:</b>		<b>\$ _____</b>	

☐ 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. A sample is listed below.

	Applicant's Name:		Business Name (DBA):	
	Total Cost to Start the Business (from items listed above.) \$ 30,000			
	Fund Source	Amount	Documentation Attached	
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				
	TOTAL:			

Here is a sample of your documentation.

	Applicant's Name: A. A. Smith		Business Name (DBA): The Company Business	
	Total Cost to Start the Business (from items 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)**  
445 Minnesota Street, Suite 1600, St. Paul, MN 55101  
Telephone 651-201-7504 Fax 651-297-5259 TTY 651-282-6555

#3

**MUST BE A LICENSED BREWER IN ORDER TO APPLY FOR THIS LICENSE**  
**Certification of an On Sale Brewer's Taproom License and Sunday License**

**This license only authorizes the on sale of Malt liquor produced by the brewer for consumption on the premises**

**Cities and Counties:** You are required by law to complete and sign form to certify the issuance of the following License types: **City issued On Sale Brewer's Taproom and Sunday Liquor Licenses**

City or County Issuing Liquor License: \_\_\_\_\_ License Period From: \_\_\_\_\_ To: \_\_\_\_\_

Circle One: New License Transfer \_\_\_\_\_ Suspension Revocation Cancel \_\_\_\_\_  
(Former Licensee Name) (Give Dates)

Fees: On Sale Taproom License Fee: \$ \_\_\_\_\_ Sunday License Fee: \$ \_\_\_\_\_

License 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 \_\_\_\_\_ Zip Code \_\_\_\_\_

Licensee's MN Tax ID # \_\_\_\_\_ Licensee's Federal Tax ID # \_\_\_\_\_

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 \_\_\_\_\_

On Sale Taproom licensees must attach a certificate of Liquor Liability Insurance to this form. The Insurance Certificate

**Must contain:** all of the following:

Show the exact licensee name (Corporation, partnership, LLC, etc.) and business address of the location listed on the  
1) license

2) Cover completely the license period set by the local city or county licensing authority as shown on the license.

☐ Yes ☐ No During the last 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 \_\_\_\_\_



**APPLICATION FOR SMALL BREWER**

**OFF SALE - 128 ounces per day**

**Must be a licensed brewer in order to apply for this license**

Minnesota Tax ID

Federal Tax ID

Number of Annual Barrels Produced

Licensee Name (Business, partnership, LLC, corporation)

E-mail Address

DBA or Trade Name

Phone Number

Business Address

City

State

Zip Code

City or County Issuing License

License Period: From

To

Print name of applicant and title

Signature of applicant

Date

Issuing Authority Name

Signature of Issuing Authority

Date