



APPLICANT/LICENSEE REQUIREMENTS

INSTRUCTIONS

Applying for a Pennsylvania Liquor Control Board (PLCB) license requires more than just completing an online request. In most cases, the PLCB Bureau of Licensing will conduct a thorough investigation to determine whether or not you and/or your premises should be licensed.

To help PLCB investigators process your request, the following documents and/or information should be prepared in advance. This material should be made available for review by the PLCB investigator in the field at the time of the interview. **DO NOT FORWARD OR UPLOAD DOCUMENTS TO THE PLCB BUREAU OF LICENSING WITH THE INITIAL FILING.**

Required documents must be made available for review by a PLCB investigator. Documents provided should be original copies and must be properly signed and dated. If original documents are not available for review by the PLCB investigator, processing will be delayed.

READ ALL INSTRUCTIONS CAREFULLY. THEY MAY APPLY TO YOU.

REQUIRED FOR EACH INDIVIDUAL INVOLVED IN A LICENSE APPLICATION:

- Identification (driver's license, passport, etc.).
- Naturalization papers or alien ID (if applicable).
- Residence information for the previous five years; if applicable, this must include the name of the county police department/law enforcement agency responsible for that jurisdiction so an out-of-state criminal record check can be completed.
- Employment information for the previous five years, including dates employed and the name and address of the employer(s).

All principals who live in Pennsylvania, as well as the applicant manager, must be made available for an interview. Principals who live outside of Pennsylvania must complete an Individual Questionnaire (PLCB-196).

REQUIRED DOCUMENTS FOR THE PREMISES TO BE LICENSED:

- Correct physical and mailing address information.
- Current property owner/lessor name, address and contact information, including the phone number of the premises to be licensed.
- Documentation to verify the corporate/business structure of the property landlord.
- Current health license.
- Lease between current property owner and applicant/applicant entity, signed and dated (if applicable).
- Lease assignment (if applicable).

- If premises has already been purchased, evidence to support the assertion that the applicant has the legal right to occupy the premises (bill of sale or agreement of sale, recorded deed).
- Hotel register (Hotel license applicants only).
- If the premises is not constructed or not yet ready for operation, prior approval may be requested by having ready for review plans that show all areas to be licensed. Plans need not be professionally drawn and should include width and length of each room to be licensed. They are to be submitted on 8.5" by 11" paper. Note: A final inspection of the completed premises will be conducted by a Licensing investigator before operational authority is granted.

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

For certain applications, a Public Notice of Application (PLCB-1296) must be posted in a conspicuous place visible to the passing public at or near the premises' main entrance. When you file your application online, you will receive an amendment number. Write that number and the date the application was filed online on the Public Notice of Application. The notice must be posted at least 30 days before the PLCB can approve any action and should remain posted until a final decision is rendered.

When a license will be transferred from one municipality to another in the same county, a copy of a municipal resolution accepting that license at the intended address must be uploaded by the applicant at the time the online request for transfer is made if the receiving municipality is at or over its retail liquor license quota.

REQUIRED DOCUMENTS REGARDING FINANCES AND AGREEMENTS:

- 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.
- A copy of a manager's contract or agreement (if applicable).
- All original sources of funds for the purchase of the license, licensed business, fixtures, equipment and property must be provided and verified. Additionally, if real estate was purchased by applicant/applicant principal/entity within the previous year, evidence of the purchase and information about the source of funding for purchase should be provided.
- An Individual Financial Disclosure Affidavit (PLCB-1842) for each individual applicant, corporation, limited liability company (LLC), partnership or club must be prepared. The completion of this affidavit may be held until the time of the interview so the licensing analyst can provide assistance.
- Copies of bank statement(s), checking accounts, etc., for the last six months.
- 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.).

Funds borrowed from individual lenders must be supported by an affidavit over the signature of the lender. The affidavit must outline the source of funds and repayment schedule, if any, and should state the lender will have no interest in the operation of the licensed business, except as a lender. A Non-Commercial Lender Affidavit (PLCB-2068) can be used.

All individual lenders living in Pennsylvania must be made available for interview. Individual lenders living outside of Pennsylvania must submit an Individual Questionnaire (PLCB-196).

REQUIRED FOR AN APPLICANT ENTITY, PROPERTY OWNER ENTITY AND/OR ANY APPLICANT PRINCIPAL INVOLVED (INCLUDING PARENT ORGANIZATIONS)

Corporation:

- Articles of incorporation. If it is an out-of-state corporation, the date of issuance of authority to do business in Pennsylvania is also required for the applicants (but not the parent organization).
- 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.

Limited Liability Company (LLC):

- Certificate of organization (out-of-state LLCs should see the instructions under "articles of incorporation" in the Corporation section).
- Operating agreement.
- Certificates of ownership (if they have been issued).

All members and managers must be interviewed.

Limited Partnership:

- Certificate of limited partnership (out-of-state LPs should see the instructions under "articles of incorporation" in the Corporation section).
- Limited partnership agreement, including amendments.

All general partners and limited partners must be interviewed.

REQUIRED FOR CLUB AND CATERING CLUB LICENSE APPLICANTS

The requirements for each group as listed above (as necessary) plus:

- 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.
- Photostatic or certified copy of charter.
- Copy of constitution.
- Bylaws.
- Lease (if applicable).

A club must be in existence for 10 years if it is unincorporated and one year if it is incorporated.

IMPORTANT:

DO NOT PLAN A GRAND OPENING, GALA AFFAIRS OR EVENTS OF ANY TYPE UNTIL YOU RECEIVE NOTICE OF THE PLCB'S FINAL ACTION – that is, whether the online request is approved.

The information obtained from any investigation is subject to review by the Pennsylvania State Police Bureau of Liquor Control Enforcement.