



PRE-APPLICATION CHECKLIST: DOCUMENTS REQUIRED AT THE TIME OF APPLICATION

Please read prior to beginning the pre-application process:

1. All documents listed below are **REQUIRED** by Alabama State Law and ABC Rules and Regulations Chapter 20-X-5-.01. They are not optional.
2. The ABC Board has broad discretion to request any other information that it deems necessary.
3. It is mandatory that the applicant name and physical location address match exactly on ALL documentation.
4. All documents must be legible, color copies.

YES NO

Payment for filing fee of \$50.00 per license (Credit Card or Electronic Check ONLY)

Power of Attorney (if applicable):

Copy of Driver's License and signed documentation designating Power of Attorney

Corporation or LLC Paperwork (excludes individuals and partnerships)

Corporations must provide the document that includes the book/instrument number, page, date, and county where the business was formed.

Out of State corporations must include the Certificate of Existence for Alabama issued by the AL Secretary of State. The AL SOS contact number is (334) 242-5324.

Identification and Proof of Citizenship Documents for Individuals with 10% or more profit or proprietary interest in the applying entity: Identification and proof of citizenship documents listed below are required for every person with profit or proprietary interest of 10% or more in the applicant. This includes, but is not limited to, members of an LLC and officers of a corporation with 10% or more profit or proprietary interest.

US Born Citizens:

Valid Driver's License or State-Issued ID from the state of legal residency
Certified Copy of Birth Certificate or current certified US Passport

Naturalized Citizens:

Valid Driver's License or State Issued ID from state of legal residency
Naturalized papers or current certified US Passport

Non-US Citizens:

Valid Driver's License or State Issued ID from state of legal residency
Current Permanent Resident Card, E2 VISA, or other document that authorizes the individual to receive a public benefit. An Alabama ABC License is considered a public benefit.

Affidavit for Individuals with less than 10% profit or proprietary interest that affirms three-tier compliance and all individuals within the applicant are 21 years of age or older (if applicable)

The affidavit template can be found on the AL ABC Board website, alabcboard.gov under Licensing and Compliance > How to Apply

Background Checks for Individuals with 10% or more profit or proprietary interest in the applicant (excludes publicly traded companies and 501(c) charitable organizations)

Important Information regarding background checks:

- 1) Background checks should be initiated as soon as the pre-application is submitted to your local ABC Division office.
- 2) The background check(s) submitted must be current and cover any state the individual has resided within the last 10 years. Please ensure there is a date on the background check or that there is an accompanying cover letter confirming the date in which the background check was obtained so your division office can verify it is current.
- 3) Background checks are required for ALL applicants, partners, members, officers, and anyone with a profit interest in the establishment to be licensed.
- 4) The license will NOT be processed and issued until the background check(s) are returned to your local ABC Division office.

YES NO

Documents showing control of the property – i.e., Lease, Deed, Use Agreement:

Lease or Use Agreement:

Name(s) on the document matches the applicant's name exactly (ex. If John Doe, Inc. is the applicant, then the lessee's name must be John Doe, Inc.)

Physical location address matches exactly as the physical location address listed on the application*

*If the lease or use agreement has a legal description of the property instead of a physical address, then the location address must be confirmed in one of the following ways:

- 1) E-911 Address Verification
- 2) Handwritten on the lease, signed and dated by lessor and lessee
- 3) Correspondence on letterhead from an authorized individual

Valid, reasonable term (at least one year if applying for an annual, renewable ABC License)

Signatures by applicant and property owner

Deed:

Name(s) on the deed matches the applicant's name exactly

Stamped and recorded by the probate in the county in which it is located

Physical location address must be confirmed in one of the following ways

- 1) E-911 Address Verification
- 2) Handwritten on the deed, signed and dated by applicant
- 3) Correspondence on letterhead from an authorized individual

State of Alabama Department of Revenue Sales Tax License or Simplified Sellers Use Tax ID

Federal Tax ID Documentation (excludes sole proprietors)

Letter of approval from local governing authority to include the following information:*

***(excludes Tobacco and/or Alternative Nicotine Products/Electronic Nicotine Delivery Systems, Importer, and Wholesaler applicants)**

Name(s) on the document must match the applicant name exactly

Physical location address must match the physical location address listed on application exactly

License type must match the application exactly

On official letterhead of the governing authority

Signed by an authorized individual of the governing authority

Liquor Liability Insurance Certificate (Excludes Tobacco and/or Alternative Nicotine Products/Electronic Nicotine Delivery Systems, Importers, and Wholesalers – See ABC Rules and Regulations 20-X-5-.14 and 20-X-8-.14(c))

The insured must match exactly with name on application (ex. if John Doe, Inc. is the applying entity, the John Doe, Inc. should be the insured entity.)

Physical location address must be listed exactly as it appears on application

Certificate must clearly state a minimum of \$100,000 in Liquor Liability coverage

Coverage dates should be valid for the term of the license

Additional Documents Required for Specific Application/License Types:

YES NO

If you are transferring a license, be sure that the current licensee comes to the appointment with you to sign the official transfer agreement. They will need to bring the following items:

- Copy of current ABC License
- Copy of current licensee's Liquor Liability Insurance
- Copy of current licensee's Driver's License

Additional Requirements for Tobacco and/or Alternative Nicotine Products/Electronic Nicotine Delivery Systems:

- Copy of Business License or completed business license application
 - Name(s) on the business license matches applicant name exactly.
 - Physical location address matched physical location address on application exactly

Additional Requirements for On-Premises Locations:

- Health Permit*
 - *If your local Health Department determines that your proposed licensed location does not need a health permit, the Health Department should provide you with a written statement to indicate they will not be issuing a health permit for your location.
- Architectural rendering or sketch of the proposed license premises

Additional Requirements for a Restaurant:

- Menu
- Understanding of Restaurant Requirements (This will be provided to you by your local ABC Division office during the application process)

Additional Requirements for Manufacturers:

- Tax Bond to the ABC Board equal to the greater amount of \$1,000 or their annual estimated tax liability, not to exceed \$10,000 (See ABC Rules and Regulations 20-X-8-.14(b))
- Federal Permit from TTB
- Permit from health department*
 - *If your local Health Department determines that your proposed licensed location does not need a health permit, the Health Department should provide you with a written statement to indicate they will not be issuing a health permit for your location.

Additional Requirements for all Wholesalers and Importers:

- Zoning Letter from local governing authority

Additional Requirements for Table Wine Wholesalers:

- Wine Wholesaler's Bond (See Code of Alabama 1975 28-7-9)

Additional Requirements for 031 Club Liquor Class I:

- Copy of By-Laws, to include the following information:
 - States that regular meetings of the officers are held (weekly, monthly, etc.)
 - States that officers who are regularly elected conduct the operations of the club
 - States that the members of the club are admitted by written application, investigation, and ballot
 - States that the club charges/collects dues from elected members (showing dollar amount)
 - States that the club has been established and is operated solely for the purpose of being a social, national, patriotic, political, athletic, or similar approved club.
- Membership of at least 150 members to include: Applicant name, date of birth, home address, telephone number, occupation, place of employment, application date, date of admission, date initiation fees/dues are paid and the amount paid, name of applicant's sponsor, the number of the card issued, and the type of ID used to verify age and identity. 10% of membership will be verified by the ABC Board.
- Documentation that the applicant is a bona fide non-profit organization
- An example/copy of the membership application, temporary membership card, and the permanent membership card

Additional Documents Required for Specific Application/License Types:

YES NO

Additional Requirements for 032 Club Liquor Class II:

Copy of By-Laws, to include the following information:

States that regular meetings of the officers are held (weekly, monthly, etc.)

States that officers who are regularly elected conduct the operations of the club

States that the members of the club are admitted by written application, investigation, and ballot

States that the club charges/collects dues from elected members (showing dollar amount)

States that the club has been established and is operated solely for the purpose of being a social, national, patriotic, political, athletic, or similar approved club.

Membership of at least 100 members to include: Applicant name, date of birth, home address, telephone number, occupation, place of employment, application date, date of admission, date initiation fees/dues are paid and the amount paid, name of applicant's sponsor, the number of the card issued, and the type of ID used to verify age and identity. 10% of membership will be verified by the ABC Board.

An example/copy of the membership application, temporary membership card, and the permanent membership card

If you have any questions or problems obtaining the information listed within this pre-application checklist, please call your local ABC Division office before your scheduled appointment.

Applications will not be processed unless all required documents are provided and correct at the time of your appointment.