

## License Application: New Shareholder/Off Sale Liquor

**Definition:** Company shares are purchased. The company retains original license and all assets. The business continues regular operations but with shareholder(s). 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. There is a \$500 fee for this application. You can pay by
  - ☐ **Cash:** Drop off your application at our office.
  - ☐ **Check:** Mail or drop off your application at our office.
  - ☐ **Credit Card:** Mail, drop off or email your application to [businesslicenses@minneapolismn.gov](mailto:businesslicenses@minneapolismn.gov). **Do not add your credit card information on this application.** We will call you to securely charge your credit card.
3. **Alcohol License Change Form** (Form #1)  
This must be filled out by a current owner, partner, or principle.
4. **Personal Information Form/License Changes** (Form #2)  
☐ Every new shareholder with 10% or more shares must fill out this form.
5. **Source of Funds** (Form #3)  
☐ Every new shareholder must fill out both sides of this form.
6. ☐ **State of Minnesota Off Sale Intoxicating Liquor License Application** (Form #4)
7. **Corporate Minutes:** Attach a copy with the following information:
  - ☐ Sale of shares approval
  - ☐ Shares purchased
  - ☐ New shareholders and % of shares
8. ☐ **Shares Purchase Agreement:** Attach a copy.
9. ☐ **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 \_\_\_\_\_

## Personal Information Form

### Alcohol License Changes

#2

This form must be completed by each of the following with a copy of your driver's license or government issued photo ID attached. If your corporation is publicly traded, owners, partners, and shareholders do not need to complete this form.

- ☐ Corporate Shares Purchase: Every new shareholder with 10% or more company shares and every new officer and director
- ☐ New Corporate Officer: Every new officer and director
- ☐ New Shareholder: Every new shareholder with 10% or more company shares
- ☐ New Manager

I. Background Information				
Legal Corporate Name of Business		Trade Name of Business (DBA)		
Street Address of Licensed Premises		Zip Code	Business Phone	Cell Phone
Your Name (First, Middle, Last)		Place of Birth (City, State)		Date of Birth
Residential Street Address		City	State	Zip Code
Social Security Number or Individual Tax ID Number-ITIN <i>(Required)</i>		First, middle, or last names you have ever used or been known by:		
Email Address		Title		% of ownership
List your residences for the past ten (10) years. Attach additional sheets if necessary.				
Street Address		City, State, Zip		From
List name of employers, occupations, and addresses for the past ten (10) years. Attach additional sheets if necessary.				
Employer	Occupation	Street Address, City, State, Zip		From

II. Spouse's Information					
Spouse's Name		Place of Birth (City, State)		Date of Birth	
First, middle, or last names your spouse has ever used or been known by:					
Spouse's Home Address		City		State	Zip Code
III. License History					
Have you ever owned or been employed by a restaurant, bar, or other business of a similar nature?					
<input type="checkbox"/> Yes <input type="checkbox"/> No   If yes,					
Name	Address	City	State	Zip	From To
Have you or your spouse held a City of Minneapolis Business License? <input type="checkbox"/> Yes <input type="checkbox"/> No   If yes,					
Type of License				From	To
Have you or your spouse ever had a liquor, wine, or beer license, revoked, suspended, or denied by any government entity? <input type="checkbox"/> Yes <input type="checkbox"/> No   If yes, explain.					
Do you have a business or financial interest in a liquor manufacturing, brewery, wholesaler, or off sale retail license? <input type="checkbox"/> Yes <input type="checkbox"/> No   If yes, please indicate name(s) and address(es):					
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. <input type="checkbox"/> Yes <input type="checkbox"/> No   If yes,					
Offense	Fine/Penalty	City	State	Date	
Do you or your spouse have any delinquent personal or business taxes? <input type="checkbox"/> Yes <input type="checkbox"/> No   If yes,					
Date filed: _____ Address: _____					
County: _____ State: _____					
A representative of the City of Minneapolis will make inquiry of individuals or firms named in this application. Are those individuals or firms authorized to release information to such representative? <input type="checkbox"/> Yes <input type="checkbox"/> No					

#### IV. Data Privacy Advisory

The Minnesota Data Practices Act requires us to tell you the following information. As an applicant for a Minneapolis business license, we ask for private and/or confidential information. We use this to check driving history, criminal history, arrest records, warrant information, and other relevant records. You are not legally required to provide this information. If you do not, we cannot complete our investigation or approve your application. The information you provide is public and will be used by the Minneapolis Police Department, License Inspection Unit, 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.

#### V. Verification

The City of Minneapolis uses the information on this application to determine qualifications for a license. You are not legally required to provide this information. If you refuse, we cannot approve your application. After we approve your license, all information is public (MN 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 enforced by the Liquor Control Commissioner; and all ordinances of the City of Minneapolis. I hereby certify that I 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 is 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.**

☐

I have read and understand the above Data Practices Advisory.

☐

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

I, (print name) \_\_\_\_\_, 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 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 \_\_\_\_\_

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	





**APPLICATION FOR OFF SALE INTOXICATING LIQUOR LICENSE**  
**No license will be approved or released until the \$20 Retailer ID Card fee is received**

**PLEASE COMPLETE THIS APPLICATION IN ITS ENTIRETY.**  
**INCOMPLETE APPLICATIONS WILL BE RETURNED WITHOUT ACTION.**

**Licensee's MN Sales and Use Tax ID #** \_\_\_\_\_ To apply for a MN sales and use tax ID #, call (651) 296-6181  
**Licensee's Federal Tax ID #** \_\_\_\_\_ Licensees must register with the Federal Tax and Trade Bureau (TTB),  
for information call (513) 684-2979 or 1-800-937-8864

**Applicant:**

Licensee Name (Business, Partnership, Corporation)	Business Name (DBA)		Social Security #
Physical Business Address	License Period From _____ To _____		DOB (Individual Applicant)
City	County	State	Zip Code
E-mail Address	Business Phone Number		Applicant's Home Phone #

**If a Corporation, LLC, or Partnership - state name, date of birth, Social Security # address, title, and Percent Owned by each officer.**

Partner Officer (First, middle, last)	DOB	SS#	Title	Percent	Home Address
Partner Officer (First, middle, last)	DOB	SS#	Title	Percent	Home Address
Partner Officer (First, middle, last)	DOB	SS#	Title	Percent	Home Address
Partner Officer (First, middle, last)	DOB	SS#	Title	Percent	Address, City, State, Zip Code

1. If a corporation, date of incorporation \_\_\_\_\_, state incorporated in \_\_\_\_\_ If a subsidiary of any other corporation, so state \_\_\_\_\_.  
If incorporated under the laws of another state, is corporation authorized to do business in the state of Minnesota?  
Yes ☐ No ☐
2. Describe premises to which license applies; such as (first floor, second floor, basement, etc.) or if entire building, so state. \_\_\_\_\_
3. Is establishment located near any state university, state hospital, training school, reformatory or prison?  
☐ Yes ☐ No. If yes, state approximate distance. \_\_\_\_\_
4. Name and address of building owner \_\_\_\_\_  
Has owner of building any connection, directly or indirectly, with applicant? ☐ Yes ☐ No

5. Is/are applicant(s), a member of the governing body of the municipality in which this license is to be issued?  
☐ Yes ☐ No If Yes, in what capacity? \_\_\_\_\_
6. Have applicants any interest whatsoever, directly or indirectly, in any other liquor establishment in the state of Minnesota? ☐ Yes ☐ No If yes, give name and address of establishment. \_\_\_\_\_
7. Are the premises now occupied or to be occupied by the applicant entirely separate and exclusive from any other business establishment? Yes ☐ No ☐
8. State whether applicant has or will be granted, an On Sale Liquor License in conjunction with this Off Sale Liquor License and for the same premises. ☐ Yes ☐ No ☐ Will be granted
9. State whether applicant has or will be granted a Sunday On Sale Liquor License in conjunction with the regular On Sale Liquor License. Yes ☐ No ☐ Will be granted ☐
10. If this application is for a County Board Off Sale License, state the distance in miles to the nearest municipality.  
 \_\_\_\_\_
11. If this license is being issued by a County Board, has a public hearing been held as per MN Statute 340A.405 sub2(d)?
12. If this license is being issued by a County Board, is it located in an organized township?  
**If so, attach township approval.**

### Violations

1. Has applicant(s) had a liquor license revoked in the last 5 years; ☐ Yes ☐ No If so, give dates and details.  
 \_\_\_\_\_
2. Has applicant, partners, officers, or employees ever had any liquor law violations or felony convictions in Minnesota or elsewhere? Yes ☐ No ☐  
 If yes, give dates, charges and final outcome \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
3. During the past license year, has a summons been issued under the Liquor Civil Liability Law (Dram Shop) M.S. 340A.802. ☐ Yes ☐ No If yes, attach a copy of the summons.

### REPORT BY POLICE/SHERIFF'S DEPARTMENT

This is to certify that the applicant and the associates named herein have not been convicted within the past five years for any felonies or municipal ordinances relating to intoxicating liquor except as follows:

\_\_\_\_\_  
 \_\_\_\_\_

\_\_\_\_\_  
 Police/Sheriff's Department

\_\_\_\_\_  
 Title

\_\_\_\_\_  
 Signature

\_\_\_\_\_  
 County Attorney's Signature

**Insurance (ATTACH CERTIFICATE OF INSURANCE TO THIS FORM)**

Licensee must obtain one of the following PER Minnesota Statute 340A.409:

Check one:

- ☐ A. Liquor Liability Insurance (Dram Shop) - \$50,000 per person, \$100,000 more than one person; \$10,000 property destruction; \$50,000 and \$100,000 for loss of means of support.

**Please review Insurance Certificate before submitting:**

Must be Certificate of Insurance (Declarations or Binders not accepted)

Licensee name on this application and the Insurance Certificate must match EXACTLY.

Must provide physical address of licensed location (No PO Boxes accepted)

Dates of coverage must cover the entire license period.

or

- ☐ B. A surety bond from a surety company with minimum coverage as specified in A.

or

- ☐ C. A certificate from the State Treasurer that the licensee has deposited with the state, trust funds having market value of \$100,000 or \$100,000 in cash or securities.

Minnesota Statutes, Section 176.182 requires every state and local licensing agency to withhold the issuance or renewal of a license or permit to operate a business or engage in any activity in Minnesota until the applicant presents acceptable evidence of compliance with the workers' compensation insurance coverage requirement of Minnesota Statutes, Chapter 176. The required workers' compensation insurance information is the name of the insurance company, the policy number, and the dates of coverage, or the permit to self-insure. If the required information is not provided or is falsely stated, it shall result in a \$2,000 penalty assessed against the applicant by the commissioner of the Department of Labor and Industry. A valid workers' compensation policy must be kept in effect at all times by employers as required by law.

**Workers compensation insurance company:** Name \_\_\_\_\_

Policy # \_\_\_\_\_ Number of employees: \_\_\_\_\_

**I certify that I have read the above questions and that the answers are true and correct of my own knowledge.**

Print name of applicant & title

Signature of Applicant

Date

PS 9136-(2012)