DIRECT WINE SHIPPER – WINE FULFILLMENT CENTER

ABC Licensing & Compliance Division Pre-Application

1905 Congressman WL Dickinson Drive
Montgomery, Alabama 36110

This Pre-Application packet must be fully complete prior to submission.

In this packet is a list of documents that are REQUIRED to obtain a Direct Wine Shipper and/or Wine Fulfillment Center License. Once you gather ALL documents listed on the checklist and complete this Pre-Application entirely, you will need to scan and email the packet in one PDF file to applications@abc.alabama.gov or mail to the address above for review. Once it is reviewed, you will be notified of any corrections that need to be made. If no corrections are necessary, you will be contacted to provide application payment information.

Please use the attached checklist (Form LCD-40) to assist you in gathering the necessary documents for your application. If you have any questions, please contact applications@abc.alabama.gov.

1. Applicant Name: _____
   (Individual or legal entity responsible for this license; (i.e. sole proprietor, Corporation, Association, LLC, Partnership, LLP)

2. Doing Business As/Trade Name: _____

3. Location Address: _____ _____ _____ _____
   Street Address (Include Suite/Unit/Building Number) City/County State Zip Code

4. Type of License you are applying for: ___ Direct Wine Shipper
   ___ Wine Fulfillment Center
   ___ Additional Wine Fulfillment Center

5. Is the applying entity a publicly traded company? Yes ___ No ___

6. Type of Ownership: _____
   (Individual, Partnership, LLP, LLC, Corporation, Association)

7. State Incorporated: _____ 8. Date Incorporated: _____

9. Federal Tax ID number: _____

10. Mailing Address: _____ _____ _____ _____
    Street Address (Include Suite/Unit/Building Number) City/County State Zip Code

    ___ Check here if same as location address listed in 3.) above

11. Business Web Address (if applicable) : _____

Contact Information: The contact listed below should be the individual the local ABC Division office will contact regarding this application for any corrections and/or questions that arise throughout the application process, as well as for any future communication with the licensed business. Please Note: It is extremely important to notify the ABC Board of any changes to the licensee's contact information for renewal purposes

12. Contact Name: _____ Contact Relationship to Applicant: _____
    (i.e. Owner, Power of Attorney, etc.)

Contact Home Number: _____ Contact Cell Phone: _____
Contact Business Number: _____ Contact Fax Number: _____
Contact Email Address: _____

Individual, Member, Officer Information: The following information is required for every person with proprietary or profit interest of 10% or more in the applicant. This does not apply to publicly traded corporations.

Full Name: _____ _____ _____
First Middle Last

Title: _____ Driver's License Number/State: _____ _____ Expiration Date: _____

Date of Birth _____ Place of Birth: _____

I am a: United States Citizen ☐ Legal Resident of the United States ☐

Social Security Number: _____-_____-_____ Home Phone Number: _____ Cell Phone Number: _____

Residence Address: _____ _____ _____ _____
Street Address (Include Suite/Unit/Building Number) City County Zip Code

Have you ever legally changed your name? Yes ☐ No ☐

Have you ever legally changed your social security number? Yes ☐ No ☐

Please list all known Aliases and Nicknames: _____

Full Name: _____ _____ _____
First Middle Last

Title: _____ Driver's License Number/State: _____ _____ Expiration Date: _____

Date of Birth _____ Place of Birth: _____

I am a: United States Citizen ☐ Legal Resident of the United States ☐

Social Security Number: ____-___-_____ Home Phone Number: _____ Cell Phone Number: _____

Residence Address: _____ _____ _____ _____
Street Address (Include Suite/Unit/Building Number) City County Zip Code

Have you ever legally changed your name? Yes ☐ No ☐

Have you ever legally changed your social security number? Yes ☐ No ☐

Please list all known Aliases and Nicknames: _____

Full Name: _____ _____ _____
First Middle Last

Title: _____ Driver's License Number/State: _____ _____ Expiration Date: _____

Date of Birth _____ Place of Birth: _____

I am a: United States Citizen ☐ Legal Resident of the United States ☐

Social Security Number: _____-_____-_____ Home Phone Number: _____ Cell Phone Number: _____

Residence Address: _____ _____ _____ _____
Street Address (Include Suite/Unit/Building Number) City County Zip Code

Have you ever legally changed your name? Yes ☐ No ☐

Have you ever legally changed your social security number? Yes ☐ No ☐

Please list all known Aliases and Nicknames: _____

****Additional officers/members must be listed on a separate sheet**

14. How will you be funding the business? (i.e. loan, individual, business, other?): _____

15. Does ABC have any pending actions against you or any member of the applying entity? Yes ☐ No ☐
    If yes, please explain in detail: _____

16. If a transfer, does ABC have any pending violations against the current licensee? Yes ☐ No ☐
    If yes, please explain in detail: _____

17. Has anyone, including the manager or applicant, had a Federal/State permit or license suspended or revoked?
    Yes ☐ No ☐
    If yes, please explain in detail: _____

18. Are the applicant(s) named above the only person(s) interested in the business sought to be licensed (i.e., silent partner)?
    Yes ☐ No ☐
    If no, please explain in detail: _____

19. Are any of the applicants, whether individual, member of a partnership or association, or officers and directors of a corporation itself, in any manner monetarily interested, either directly or indirectly, in the profits of any other class of business regulated under authority of this act? Yes ☐ No ☐
    If yes, please explain in detail: _____

20. Does anyone involved with this license application have any monetary interest in any other ABC licensed/permitted establishment? Yes ☐ No ☐
    If yes, please explain in detail: _____

21. Does applicant own or control, directly or indirectly, hold lien against any real or personal property which is rented, leased or used in the conduct of business by the holder of any vinous, malt or brewed beverage, or distilled liquors permit or license issued under the authority of this act? For example, applicant is applying for a retail beer license but also owns a property that is a licensed premises to manufacture beer. Yes ☐ No ☐
    If yes, please provide business name and license number: _____

22. Is the applicant receiving, either directly or indirectly, any loan, credit, money, or the equivalent thereof, from or through a subsidiary or affiliate or any other licensee, or from any firm, association, or corporation operating under or regulated by the authority of this act? For example, applicant is applying for a restaurant license and borrowed money to open their business from the owner of a distillery. Yes ☐ No ☐
    If yes, please provide business name and license number: _____

Additional Information Required for Direct Wine Shipper Applicants ONLY:

23. Wine Manufacturer License Number: _____
24. Wine Manufacturer License State of Issuance: _____
25. Wine Manufacturer License Date of Issuance: _____
26. Wine Manufacturer License Date of Expiration: _____
27. Federal Basic Wine Manufacturing Permit Number: _____
28. Alabama Sales Tax ID (In-State) / Simplified Sellers Use Tax ID (Out of State): _____

SIGNATURE REQUIRED:

I, _____, attest to the truthfulness of the responses given within the above application.
(Print Name)

_____
(Signature)

_____
(MM/DD/YYYY)

IMPORTANT FACTS ABOUT AN ABC LICENSE

- The Alabama ABC License must be on the premise before you can sell alcoholic beverages.
- Alabama ABC licensees are location specific and cannot be moved to any other location without completing a location transfer.
- The ABC Board must be notified, in writing, of any changes in ownership with-in twenty days. NO EXCEPTIONS.
- Alabama ABC Licenses operate on a fiscal year and expire annually on September 30th. The license Renewal Period is from June 1st through July 31st of each year. The State of Alabama does NOT pro-rate the license fee.
- ABC licenses will be renewed online annually and printed by the licensee.
- All ABC Licensees are required to provide a valid e-mail address in order to receive their renewal notice and other important announcements.
- Any and ALL areas of an ABC licensed/permitted location is subject to inspection for compliance during their regular business hours by any Alabama ABC License Inspectors, any Law Enforcement Agency, and any other appointed agents of the Board.
- Any ABC Licensed location is enforced according to and must abide by state laws set forth by Code of Alabama 1975, Title 28, and ABC Rules and Regulations. Both can be found on our website, www.alabcboard.gov.