



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

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

Corporation or LLC Paperwork (excludes individuals and partnerships)

- ___ Corporations must provide the probated 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.

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Identification Documents – All copies of Identification must be in color and are required for EVERY applicant or EVERY member/officer listed in a corporation, LLC, or Partnership:

___ **US Born Citizens:**

- ___ Valid Driver's License or State-Issued ID from the state of legal residency for ALL APPLICANTS (If a Corporation or LLC, this includes ALL officers and/or members of the Board of Directors)
- ___ Certified Copy of Birth Certificate or US Passport

___ **Naturalized Citizens:**

- ___ Valid Driver's License or State Issued ID from state of legal residency for ALL APPLICANTS (If a Corporation or LLC, this includes ALL officers and/or members of the Board of Directors)
- ___ Naturalized papers or current certified US Passport

___ **Non-US Citizens:**

- ___ Valid Driver's License or State Issued ID from state of legal residency for ALL APPLICANTS (If a Corporation or LLC, this includes ALL officers and/or members of the Board of Directors)
- ___ Current Permanent Resident Card, VISA, etc.

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Power of Attorney, if applicable:

Copy of Driver's License

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

___ **Lease or Use Agreement:**

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

___ 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

YES NO

___ ___

State of Alabama Sales Tax License*

___ *501(c) charitable organizations must provide 501(c) paperwork

___ *Tax exempt must provide a certificate of exemption

___ ___

Federal Tax ID Documentation (for corporations, LLCs, etc.)

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Background Checks (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.

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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

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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

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:

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Copy of current ABC License

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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:

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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:

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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.

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Architectural rendering or sketch of the proposed license premises

Additional Requirements for a Restaurant:

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Menu

___ ___

Understanding of Restaurant Requirements (This will be provided to you by your local ABC Division office at some point 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

Additional Requirements for all Wholesalers:

- ___ ___ 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 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 above, 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.