



THORNTON

City Clerk's Office 303-538-7230
9500 Civic Center Drive
Thornton, Colorado 80229-4326

CORPORATE AND LLC REPORT OF CHANGES Checklist and Information

- **ONE COMPLETE SET OF DOCUMENTS MUST BE SUBMITTED FOR INITIAL REVIEW**
- Application packet and Local Licensing Authority (LLA) Rules of Procedure are available on the City Clerk's [Licensing & Permits](https://www.thorntonco.gov/government/city-clerk/licensing-permits/liquor-licensing) website:
<https://www.thorntonco.gov/government/city-clerk/licensing-permits/liquor-licensing>.
- Incomplete application documents will not be accepted.
- Applications will not be deemed received and will not be reviewed until all fees have been received.
- Allow six to eight weeks for processing.
- Provide documents in order of the Checklist - **Single-Sided - No Staples Please**
- All documents and copies need to be legible and either typed or printed in BLACK ink on **8-1/2 x 11 size paper** only.
- ALL documents must be properly executed and correspond with name of applicant exactly.
- **Contact Stacie Flis, Licensing Coordinator, 303-538-7270 or stacie.flis@thorntonco.gov, if you have questions or need assistance**

Please complete and submit the following

- State Form DR 8177 – Report of Changes Corporation, Limited Liability Company and Partnership Form
- Background Investigation
 - State Master File Letter. Submit the Letter and no fees or other background forms are required to be submitted.
 - If the City is performing the investigation, each individual will need to be fingerprinted and fill out City and State forms below (individuals with more than 10% ownership, officers, directors, partners, and sole-proprietors).
 - **\$100.00** Administrative/processing fee to City of Thornton for each individual.
 - State Form DR-8404-I – Individual History Record (each individual).
 - City Form 1 – Background Investigation Report and Authorization and Consent to Release Information (each individual)
 - Proof of Identification
 - Fingerprints – See attached instructions
- Certificate of Incorporation (or) date stamped Articles or Partnership Agreement (Limited and General Partnerships)
- Certificate of Good Standing issued from the Colorado Secretary of State within the past two years.
- Certificate of Authority (if foreign company)
- Minutes of Meeting reflecting the changes made
- If Financial Interest has changed, include Purchase Agreements or Stock Transfer Agreements; and/or for Limited Liability Companies attach a comparison showing the change in interest former/new members
- Notes or Loans (assumed, banks, previous owner)
- List of officers/stockholders/directors of parent corporation (if applicable)
- Updated Operating Agreement
- Provide a copy of the current lease if changes have been made

Note: Club Licensee is City Investigation Only (State Form DR 8404-I is not required)

Instructions

If certain criteria as listed in Section 42-124 of the Thornton City Code is met, the application may be administratively approved, unless otherwise advised by the City Clerk's office.

If the application needs to be approved by the LLA, the applicant(s) must be in attendance to answer any questions the LLA might have. The LLA may ask questions pertaining to the State and Local Liquor and/or Beer Codes to assure that you are familiar with the Rules and Regulations regarding the sale of alcoholic beverages. The LLA generally meets on the third Wednesday of each month at 6:00 p.m.

If there has been a change of Financial Interest in addition to a Change of Structure/LLC, contact City of Thornton Sales Tax Division 303-538-7400 and Building Inspection Division 303-538-7250 to comply with their requirements.

Resources on State and City Liquor and Beer Codes and Rules

- LLA Rules of Order and Procedure:
<https://www.thorntonco.gov/government/city-clerk/licensing-permits/liquor-licensing>
- Chapter 42, Article II of the Thornton City Code:
https://library.municode.com/co/thornton/codes/code_of_ordinances?nodeId=CO_CH42LIPEBU_ARTIIALBE.
- Colorado Liquor and Beer Codes and Liquor Rules:
<https://sbq.colorado.gov/liquor-enforcement-laws-rules-regulations>



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FEE SCHEDULE FOR LIQUOR/BEER LICENSES

Application Fees

Each type of application has an Application Fee and Retail License Fee

	Local Fee	State Fee
Application Fee	\$1000.00	\$1,100.00
Application Fee with Concurrent Review (New Application only – non-refundable)	\$1000.00	\$1,200.00
Application Fee Transfer of Ownership	\$750.00	\$1,100.00
Temporary Permit for Transfer of Ownership only (Optional)	\$100.00	N/A
Application Fee Additional Liquor-Licensed Drugstore	\$1000.00	\$1,100.00
Application Fee Additional Liquor-Licensed Drugstore with Concurrent Review	\$1000.00	\$1,200.00
Application Fee Manager Permit	N/A	\$100.00
Application Late Renewal Fee (Not more than 90 days of license expiration date)	\$500.00	\$500.00
Application Reissue Fee (More than 90 days but less than 180-days of license expiration date)	\$500.00	\$500.00
Application Reissue Fine (More than 90 days but less than 180 days of license expiration date)	\$25.00 a day beyond 90-day expiration date	\$25.00 a day beyond 90-day expiration date
Annual Renewal Application Fee	\$100.00	\$250.00
Annual Art Gallery Fee	\$100.00	\$0.00

Retail License Fees

	Local Fee City	State Fee City
Art	\$41.25	\$308.75
Beer & Wine	\$48.75	\$351.25
Brew Pub	\$75.00	\$750.00
Club	\$41.25	\$308.75
Distillery Pub	\$75.00	\$750.00
Entertainment	\$75.00	\$500.00
Hotel & Restaurant	\$75.00	\$500.00
Hotel Restaurant with one Optional Premises	\$75.00	\$600.00
Each Additional OP License	N/A	\$100.00
Resort Complex	\$75.00	\$500.00
Campus Liquor Complex	\$75.00	\$500.00
Related Facility – Resort Complex	\$15.00	\$160.00
Related Facility – Campus Liquor Complex	\$15.00	\$160.00
Liquor-Licensed Drugstore	\$22.50	\$227.50
Lodging	\$75.00	\$500.00
Optional Premises	\$75.00	\$500.00
Racetrack	\$75.00	\$500.00
Retail Gaming Tavern	\$75.00	\$500.00
Retail Liquor Store	\$22.50	\$227.50
Tavern	\$75.00	\$500.00
Vintner's Restaurant	\$75.00	\$750.00
Fermented Malt Beverage On Premises	\$3.75	\$96.25
Fermented Malt Beverage Off Premises	\$3.75	\$96.25
Fermented Malt Beverage On/Off Premises	\$3.75	\$96.25

Local and State Issued Permit Fees

	Local Fee City	State Fee
Retail Establishment Permit (Art Gallery)	\$3.75	\$93.25
Bed & Breakfast Permit	\$3.75	\$71.25
Each Resort-Complex-Related Facility Permit	\$15.00	\$160.00
Special Event Permit	\$100.00	N/A
Mini Bar Permit with Hotel Restaurant License	\$48.75	\$276.25

Additional Fees

	Local Fee	State Fee
Alternating Proprietor Licensed Premises	N/A	\$150.00
Change of Location	\$750.00	\$150.00
Change of Trade Name/Corporate Name	N/A	\$50.00
Change of Corporate Structure/LLC Change (City Investigation – Per Person)	\$100.00	\$100.00**
Duplicate License (City)	\$5.00	\$50.00
Add Optional Premises to Hotel & Restaurant License	N/A	\$100.00
Limited Liability Change	N/A	\$100.00
Manager Registration (Hotel & Restaurant; Tavern; Entertainment, Lodging, and Campus Liquor Complex)	\$30.00	\$30.00
Master File Background	N/A	\$250.00
Master File Location Fee (Per Location)	N/A	\$25.00
Modification of Premises	\$75.00	\$150.00
Sole Source Registration	N/A	\$100.00
Petition Fee for Fine-in-Lieu of Suspension (Non-refundable)	\$250.00	N/A
Replacement Fee for Public Hearing Signs (each)	\$25.00	N/A
Violation Signs (each)	\$5.00	N/A
State Liquor Code (if purchased through the City)	\$25.00	N/A

**** The State Fee of \$100 only pertains to state-only issued licenses and does not apply to licenses issued by local licensing authorities**

State Only License & Permit Fees can be found on the [State's Website:](https://sbq.colorado.gov/liquor)

<https://sbq.colorado.gov/liquor>

State License Type

Limited Winery License
 Manufacturer's License (Distillery or Rectifier)
 Manufacturer's License (Brewery)
 Manufacturer's License (Winery)
 Nonresident Manufacturer's License (Malt Liquor)
 Importer License
 Wholesaler's Liquor License
 Wholesaler's Beer License
 Public Transportation (dining, club or parlor car; plane; bus or other vehicle)

State Permit Type

Winery Direct Shipper Permit
 Wine Packaging Permit
 Wine Festival Permit
 Branch Warehouse or Warehouse Storage Permit
 Retail Warehouse Storage Permit
 Manager Permit Registration (Liquor-Licensed Drugstore)
 Non-Contiguous Location (Winery/Limited Winery) Application
 Non-Contiguous Location (Winery/Limited Winery) Renewal
 Takeout and Delivery Permit Application
 Takeout and Delivery Permit Renewal

Fingerprinting Instructions for Liquor Licensees

- Log onto the IdentiGo website: <https://uenroll.identigo.com/>
- Enter **the service code 25YQ6K**.
- From there you can schedule or manage an appointment, find out what you need to bring to the appointment, locate an IdentoGO facility near you, and how to submit a fingerprint card by mail (for out of state applicants).
- When scheduling an appointment, you will need to enter a CBI account number. Thornton's account number is **CONCJ6177**.
- The fingerprinting fees will be collected by IdentoGO.
- The Applicant will be provided a system generated receipt to give to the Licensing Coordinator of the City.
- Results will be posted via CBI's Secure Document Delivery System (SDDS) to the City of Thornton's Police Department account.

Instructions

Corporation, Limited Liability Company or Partnership Report of Changes

Note: Enclose a check Payable to the Authority where this application will be filed. For State only licensees \$100.00 for each new person listed in either section on the application. Masterfile applicants must include a fee of \$250.00 for each person listed payable to the Colorado Department of Revenue. (Application filed directly to the state)

Note: Check the appropriate box at the top to indicate whether you are Limited Liability Company (LLC), Partnership or Corporation.

Attach the following supporting documents to the Report of Changes Application:

- Certificate of Incorporation (or) Date stamped Articles or, Partnership Agreement (Limited and General Partnerships)
- Certificate of Good Standing dated within the last two years
- Certificate of Authority (only if a foreign corporation)
- Copies of minutes of meetings by the Corporation, Limited Liability Company or Partnership supporting the changes reflected on the front of this application. This includes letters of resignation, or appointment of any officers, or directors of a Corporation, or any managing member or members of a Limited Liability Company, or any general or limited partner in a Partnership (including husband and wife partnerships).
- NOTE: If the Licensee as listed on Line 1 has a sole stockholder that is a Corporation, or LLC, or Partnership, attach a letter designating one officer, or managing member or the general partner to be the "principal person" for the applicant. This person MUST ALSO fill out a DR8404-I (Individual History Record) and submit fingerprints by making an appointment with an approved State Vendor through the Vendor's website:

The vendors are as follows:

IdentoGO

Appointment Scheduling Website: <https://uenroll.identogo.com/workflows/25YQHT>

Phone: 844-539-5539 (toll-free)

IdentoGO FAQs: <https://cbi.colorado.gov/sections/biometric-identification-and-records-unit/biometric-identification-and-records-unit-faqs>

State Liquor Code for IdentoGO: 25YQHT

Colorado Fingerprinting

Appointment Scheduling Website: <http://www.coloradofingerprinting.com/cabs/>

Phone: 720-292-2722

833-224-2227 (toll-free)

State Liquor Code for Colorado Fingerprinting: C030LIQI

Instructions

Continued

This application and all supporting documents must **first be filed with, and approved by, the local licensing authority (city, town, county)**. Applications will not be accepted unless all applicable questions are fully answered, all supporting documents correspond exactly with the name of the applicant.

1. List the name of the Corporation or Limited Liability Company or Partnership.
2. List the State Sales Tax Number.
3. List the Applicant's State Liquor License Number.
4. List the Trade name of the business.
5. List the area code and telephone number of the business.
6. List the complete address, City, State and Zip Code, of the licensed premises.
7. List your mailing address if different than number 6 above.
8. List all officers, directors of a corporation, or all managing members of the LLC, or General Partners of Limited or General Partnerships. List the person's Position, Home Address, Date of Birth and the name of the person being replaced (if applicable).
9. List all 10% (or more) stockholders or members or Partners, and indicate ownership percentage, Home Address, Date of Birth, and the name of the person they purchased ownership interest from (if applicable).
10. List the name and address for service of the Registered Agent.
11. A person authorized to sign on behalf of the Applicant must sign the application, list their title, and the date the application was signed.
12. **To be filled out by the local licensing authority only. List the name of the authority and indicate if the authority is a county, town/city. Then sign the application, list your title and attest the city/county officials signature and date the application.**

Report of Changes Corporation, Limited Liability Company and Partnership Liquor and Fermented Malt Beverage Licenses

LLC/Partnership

Corporation

See Instructions and Fee Schedule on Page 1 and 2

Corporate/LLC Partnership Name

State Tax Account Number

State Liquor License Number

Trade Name

Telephone Number

Address of Licensed Premises

City

State ZIP Code

Mailing Address if different than above

City

State ZIP Code

List all officers, directors (corporation) or Managing Members (LLC) or General Partner(s). Each officer, Director, Managing Member or Partner **Must Fill Out** a DR 8404-I (Individual History Record).

Position Held	Name	Date of Birth (MM/DD/YY)
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Home Address		Replaces
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Position Held	Name	Date of Birth (MM/DD/YY)
---------------	------	--------------------------

Home Address		Replaces
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Position Held	Name	Date of Birth (MM/DD/YY)
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Home Address		Replaces
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Position Held	Name	Date of Birth (MM/DD/YY)
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Home Address		Replaces
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List all 10% (or more) Stockholders or 10% (or more) Members or 10% (or more) Limited Partners. Each person listed **Must Fill Out** a DR 8404-I (Individual History Record)

Stockholders/Members/Partners owning 10% (or more) of business	% Owned	Date of Birth (MM/DD/YY)
Home Address		Replaces
Stockholders/Members/Partners owning 10% (or more) of business	% Owned	Date of Birth (MM/DD/YY)
Home Address		Replaces
Stockholders/Members/Partners owning 10% (or more) of business	% Owned	Date of Birth (MM/DD/YY)
Home Address		Replaces
Stockholders/Members/Partners owning 10% (or more) of business	% Owned	Date of Birth (MM/DD/YY)
Home Address		Replaces
Stockholders/Members/Partners owning 10% (or more) of business	% Owned	Date of Birth (MM/DD/YY)
Home Address		Replaces
Stockholders/Members/Partners owning 10% (or more) of business	% Owned	Date of Birth (MM/DD/YY)
Home Address		Replaces
Registered Agent		
Address For Service		

Oath of Application

I declare under penalty of perjury in the second degree that this application and all attachments are true, correct, and complete to the best of my knowledge.

Authorized Signature

Title

Date (MM/DD/YY)

Report of Local Licensing Authority

The foregoing changes have been received and examined by the Local Licensing Authority.

Local Licensing Authority For

Authorized Signature

County

Town/City

Title

Date (MM/DD/YY)

Attest

Date (MM/DD/YY)

Do Not Write In This Space – For Department of Revenue Use Only

Liability Information

License Account Number

Applicant ID

Check Number

Total

Individual History Record

To be completed by the following persons, as applicable: sole proprietors; general partners regardless of percentage ownership, and limited partners owning 10% or more of the partnership; all principal officers of a corporation, all directors of a corporation, and any stockholder of a corporation owning 10% or more of the outstanding stock; managing members or officers of a limited liability company, and members owning 10% or more of the company; and any intended registered manager of Hotel and Restaurant, Tavern, Lodging Facility, and Entertainment Facility class of retail license

Notice: This individual history record requires information that is necessary for the licensing investigation or inquiry. All questions must be answered in their entirety or the license application may be delayed or denied. If a question is not applicable, please indicate so by "N/A". **Any deliberate misrepresentation or material omission may jeopardize the license application.** (Please attach a separate sheet if necessary to enable you to answer questions completely)

Name of Business

Home Phone Number

Cellular Number

Your Full Name (last, first, middle)

List any other names you have used

Mailing address (if different from residence)

Email Address

1. List current residence address. Include any previous addresses within the last five years. (Attach separate sheet if necessary)

Current Street and Number

Current City, State, ZIP

From:

To:

Previous Street and Number

Previous City, State, ZIP

From:

To:

Individual History Record (Continued)

- 2.** List all employment within the last five years. Include any self-employment. (Attach separate sheet if necessary)

Name of Employer or Business

Address (Street, Number, City, State, ZIP)

Position Held

From:

To:

Name of Employer or Business

Address (Street, Number, City, State, ZIP)

Position Held

From:

To:

Name of Employer or Business

Address (Street, Number, City, State, ZIP)

Position Held

From:

To:

- 3.** List the name(s) of relatives working in or holding a financial interest in the Colorado alcohol beverage industry.

Name of Relative

Relationship to You:

Position Held

Name of Licensee

Name of Relative

Relationship to You:

Position Held

Name of Licensee

Individual History Record (Continued)

Name of Relative

Relationship to You:

Position Held

Name of Licensee

Name of Relative

Relationship to You:

Position Held

Name of Licensee

4. Have you ever applied for, held, or had an interest in a Colorado Liquor or Beer License, or loaned money, furniture, fixtures, equipment or inventory to any licensee? Yes No
(If yes, answer in detail.)
5. Have you ever received a violation notice, suspension, or revocation for a liquor law violation, or have you applied for or been denied a liquor or beer license anywhere in the United States?..... Yes No
(If yes, answer in detail.)
6. Have you ever been convicted of a crime or received a suspended sentence, deferred sentence, or forfeited bail for any offense in criminal or military court or do you have any charges pending?..... Yes No
(If yes, answer in detail.)
7. Are you currently under probation (supervised or unsupervised), parole, or completing the requirements of a deferred sentence?..... Yes No
(If yes, answer in detail.)

Individual History Record (Continued)

8. Have you ever had any professional license suspended, revoked, or denied?..... Yes No
(If yes, answer in detail.)

Personal and Financial Information

Unless otherwise provided by law, the personal information required in this section will be treated as confidential. The personal information required in this section is solely for identification purposes.

Date of Birth	Social Security Number		Place of Birth	
U.S. Citizen	Yes	No	If Naturalized, state where	When
Name of District Court	Naturalization Certificate Number		Date of Certification	
If an Alien, Give Alien's Registration Card Number		Permanent Residence Card Number		
Height	Weight	Hair Color	Eye Color	Gender
Do you have a current Driver's License/ID? If so, give number and state.				Yes No
Driver's License Number		Driver's License State		

Financial Information

9. Total purchase price or investment being made by the applying entity, corporation, partnership, limited liability company, other.....
10. List the total amount of the **personal** investment, made by the person listed on page 1 in this business including any notes, loans, cash, services or equipment, operating capital, stock purchases or fees paid.....

NOTE: If corporate investment only, please skip to and complete question 12

NOTE: Question 10 should reflect the total of questions 11 and 13

Personal and Financial Information (Continued)

11. Provide details of the personal investment described in question 10. You must account for all of the sources of this investment. (Attach a separate sheet if needed)

Type: Cash, Services or Equipment	Account Type
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Bank Name	Amount
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Type: Cash, Services or Equipment	Account Type
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Bank Name	Amount
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Type: Cash, Services or Equipment	Account Type
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Bank Name	Amount
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Type: Cash, Services or Equipment	Account Type
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Bank Name	Amount
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12. Provide details of the corporate investment described in question 9. You must account for all of the sources of this investment. (Attach a separate sheet if needed)

Type: Cash, Services or Equipment	Loans	Account Type
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Bank Name	Amount
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Type: Cash, Services or Equipment	Loans	Account Type
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Bank Name	Amount
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Type: Cash, Services or Equipment	Loans	Account Type
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Bank Name	Amount
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13. Loan Information (Attach copies of all notes or loans)

Name of Lender	Address
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Term	Security	Amount
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Personal and Financial Information (Continued)

Name of Lender	Address
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Term	Security	Amount
------	----------	--------

Name of Lender	Address
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Term	Security	Amount
------	----------	--------

Name of Lender	Address
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Term	Security	Amount
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Oath of Applicant

I declare under penalty of perjury that this application and all attachments are true, correct, and complete to the best of my knowledge.

Electronic signature is not accepted, physical signature is required.

Print Signature

Title	Date (MM/DD/YY)
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CITY FORM 1

CONFIDENTIAL BACKGROUND INVESTIGATION REPORT AND AUTHORIZATION AND CONSENT TO RELEASE INFORMATION

Individual Name:	
Name of Applicant: (Applicant: Corporation, Limited Liability Company, Individual, Partnership)	
Trade Name (DBA):	
Address of Establishment:	

- I acknowledge that The City of Thornton, by law, has the authority to regulate liquor licenses. Pursuant to that authority, the City conducts background investigations of applicants for liquor licenses.

Every answer and/or document you provide as part of this application, will be checked for its truthfulness. Any misrepresentation or material omission may jeopardize the license application. Such misrepresentation or omission constitutes evidence regarding the character, record, and reputation of the applicant.

- Excluding the corporate officers, stockholders, directors, partners, members, and/or managers of the licensed premises, I hereby certify, under penalty of law, that no other individual(s) have any direct or indirect financial interest in the business to be conducted under the license herein applied for.
- I, as an applicant for a liquor license, hereby authorize release of information pertaining to my financial qualifications. I hereby consent to and authorize the release of any and all personal or business books, records, checkbooks, bank statements and records, financial data, balance sheets, income accounts, forms and all other applicable data and information relative to my credit standing and business reputation by any person or entity having possession or control thereof to any person presenting a signed copy of this City Form 1. Said release is limited to an investigation conducted pursuant to the aforesaid licensing and operation thereunder, but this consent shall continue to operate so long as above-named licensee shall hold said license, if granted, and for the term or terms of any renewals or extension thereof.
- As an applicant for a liquor license before the Thornton Local Licensing Authority, I am required to furnish information concerning my character, record, and reputation. In this regard, I hereby authorize the Thornton Police Department to make any and all appropriate inquiries regarding the above-enumerated qualifications. Moreover, I authorize those people or organizations selected by the Thornton Police Department to release any and all information of a confidential or privileged nature.

- I hereby release you, your organization, or others from any liability or damage, which may result from furnishing the information requested. I further authorize the Thornton Police Department and Local Licensing Authority to discuss, in a public forum, any and all findings in regard to my character, record, or reputation, should I wish to proceed to that stage of the process with my application. I understand that any information or records obtained from you or by the City may become public records available to the public upon request.

Sign below and have notarized

Signature
Date Signed
Subscribed and sworn to before me by:
in the County of _____, State of _____, this _____ day of _____, 20____
Notary Public:
My Commission Expires:

NOTARY SEAL