



THORNTON

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

TRANSFER OF OWNERSHIP 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:

Application Forms and Fees

- Appropriate City & State fees attached (see Fee Schedule), including the Temporary Permit fee, if applicable.
- Colorado License Application (Choose One)
 - State Form DR-8404 – **Liquor Retail** License Application
 - State Form DR-8403 – **Fermented Malt Beverage and Wine Retailer** License Application
- State Form DR 8495 – Tax Check Authorization, Waiver, and Request to Release Information
- State Form DR 8004 – Wholesaler Affidavit of Compliance

Diagram of the Premises

- Diagram of the premises to be licensed **8-1/2" x 11" size only**
 - Outline "Licensed Premises" in **BOLD, BLACK** ink.
 - Include square footage, occupancy, and seating capacity (if applicable).
 - Diagram needs to show seating, kitchen facilities, and storage areas for on-premises licenses.

Note: If changes are made to the floor plan after the LLA has considered the license application, a request to modify needs to be submitted for approval by the LLA and State.

Background Information

State Master File Letter. Submit the Letter and no 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).

- 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.

Financial Documents

- Purchase Agreements or Stock Transfer Agreements
- Notes or Loans (assumed, banks, previous owner)
- Bill of Sale

Attach Corporate Documents (if applicable):

- Articles of Incorporation date stamped by Secretary of State.
- Certificate of Good Standing issued by the Colorado Secretary of State within the past two years.
- Certificate of Authority (if foreign company).
- Minutes of Corporate Meeting (elections, resignations, stock breakdown).
- List of Officers/Stockholders/Directors of Parent Corporation (if applicable).

Attach Limited Liability Company Documents (if applicable):

- Articles of Organization date stamped by Secretary of State.
- Certificate of Good Standing issued by the Colorado Secretary of State within the past two years.
- Certificate of Authority (if foreign company).
- Copy of operating agreement.
- Minutes of meetings reflecting acceptance of new members.
- List of Officers/Stockholders/Directors of Parent Corporation (if applicable).

Attach Partnership Documents (if applicable):

- Partnership Agreement (not needed if spouses).
- Partnership Termination (if applicable).

Attach the following additional documents (all applicants):

- Provide a signed copy of Deed or Lease covering entire license period, Assignment of Lease if applicable with consent and acceptance.
 - The Lease must be in applicant's name (same entity name which appears on the application form and liquor license) and contain the address of the premises.
 - Copies of the original lease must be submitted along with an Assignment of Lease, if applicable.
- City Form 3 – Temporary Permit Application: The Temporary Permit may be issued when a complete application, including closing documents, is submitted. This permit allows the applicant to operate the establishment while the application is processed and background investigation is performed.
- City Form 4 – Indemnification and Hold Harmless Agreement

Instructions

The Applicant must appear before the Authority for a Transfer of Ownership application. The LLA generally meets on the third Wednesday of each month at 6:00 p.m.

Following the meeting: if approved by the LLA, the City Clerk's Office will forward the application to the State for approval.

Certificate of Occupancy: Contact the Building Inspection Division, 303-538-7250, to obtain information for building/construction information and to obtain a Certificate of Occupancy. A copy of the Certificate of Occupancy is required **BEFORE** licenses will be issued.

City Sales Tax License: Contact City of Thornton Sales Tax Division 303-538-7400 to submit City Sales Tax License Application. A copy of the City Sales Tax License is required **BEFORE** licenses will be issued.

Adams County Health Department Report: Contact Adams County Health Department at 303-220-9200 for an inspection, if applicable. Evidence that the establishment is licensed is required **BEFORE** the licenses will be issued.

Inspection: The City Clerk's Office will schedule the inspection, **BEFORE** the licenses will be issued, for the local licensing investigator to inspect the premises to determine that the Applicant has complied in every material detail with the plans and specifications submitted at the time of filing of the application.

State Sales Tax License:

Contact [Colorado Department of Revenue](https://tax.colorado.gov), 303-238-7378, <https://tax.colorado.gov>.

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)
<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)
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.identogo.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.

Colorado Liquor Retail License Application

*** Note that the Division will not accept cash**

Paid by Check Date Uploaded to MoveIt

Paid Online

New License

New-Concurrent

Transfer of Ownership

State Property Only

Master file

- **All answers must be printed in black ink or typewritten**
- **Applicant must check the appropriate box(es)**
- **Applicant should obtain a copy of the Colorado Liquor and Beer Code: [SBG.Colorado.gov/Liquor](https://www.sbg.colorado.gov/Liquor)**

Applicant is applying as a/an

Individual

Limited Liability Company

Association or Other

Corporation

Partnership (includes Limited Liability and Spouse
or Partner in a Civil Union)

Applicant Name If an LLC, name of LLC; if partnership, at least 2 partner's names; if corporation, name of corporation

FEIN Number

State Sales Tax Number

Trade Name of Establishment (DBA)

Business Telephone

Address of Premises (specify exact location of premises, include suite/unit numbers)

City

County

State ZIP Code

Mailing Address (Number and Street)

City or Town

State ZIP Code

Email Address

If the premises currently has a liquor or beer license, you **must** answer the following questions.

Present Trade Name of Establishment (DBA)

Present State License Number

Present Class of License

Present Expiration Date

Section A Nonrefundable application fees*

Application Fee for New License.....	\$1,100.00
Application Fee for New License with Concurrent Review.....	\$1,200.00
Application Fee for Transfer.....	\$1,100.00

Section B Liquor License Fees*

Add Optional Premises to H & R.....	\$100.00 X	Total
Add Sidewalk Service Area.....		\$75.00
Arts License (City).....		\$308.75
Arts License (County).....		\$308.75
Beer and Wine License (City).....		\$351.25
Beer and Wine License (County).....		\$436.25
Brew Pub License (City).....		\$750.00
Brew Pub License (County).....		\$750.00
Campus Liquor Complex (City).....		\$500.00
Campus Liquor Complex (County).....		\$500.00
Campus Liquor Complex (State).....		\$500.00
Club License (City).....		\$308.75
Club License (County).....		\$308.75
Distillery Pub License (City).....		\$750.00
Distillery Pub License (County).....		\$750.00
Entertainment Facility License (City).....		\$500.00
Entertainment Facility License (County).....		\$500.00
Hotel and Restaurant License (City).....		\$500.00
Hotel and Restaurant License (County).....		\$500.00
Hotel and Restaurant License with one optional premises (City).....		\$600.00
Hotel and Restaurant License with one optional premises (County).....		\$600.00
Liquor–Licensed Drugstore (City).....		\$227.50
Liquor–Licensed Drugstore (County).....		\$312.50
Lodging Facility License (City).....		\$500.00
Lodging Facility License (County).....		\$500.00

Section B Liquor License Fees* (Continued)

Manager Registration - H & R.....	\$30.00
Manager Registration - Tavern.....	\$30.00
Manager Registration - Lodging & Entertainment.....	\$30.00
Manager Registration - Campus Liquor Complex.....	\$30.00
Optional Premises License (City).....	\$500.00
Optional Premises License (County).....	\$500.00
Racetrack License (City).....	\$500.00
Racetrack License (County).....	\$500.00
Resort Complex License (City).....	\$500.00
Resort Complex License (County).....	\$500.00
Related Facility - Campus Liquor Complex (City).....	\$160.00
Related Facility - Campus Liquor Complex (County).....	\$160.00
Related Facility - Campus Liquor Complex (State).....	\$160.00
Retail Gaming Tavern License (City).....	\$500.00
Retail Gaming Tavern License (County).....	\$500.00
Retail Liquor Store License - Additional (City).....	\$227.50
Retail Liquor Store License - Additional (County).....	\$312.50
Retail Liquor Store (City).....	\$227.50
Retail Liquor Store (County).....	\$312.50
Tavern License (City).....	\$500.00
Tavern License (County).....	\$500.00
Vintners Restaurant License (City).....	\$750.00
Vintners Restaurant License (County).....	\$750.00

Questions? Visit: SBG.Colorado.gov/Liquor for more information

Do not write in this space - For Department of Revenue use only

Liability Information

License Account Number

Liability Date

License Issued Through (Expiration Date)

Total

\$

Application Documents Checklist and Worksheet

Instructions: This checklist should be utilized to assist applicants with filing all required documents for licensure. **All** documents must be properly signed and correspond with the name of the applicant exactly. **All** documents must be typed or legibly printed. Upon final State approval the license will be mailed to the local licensing authority. Application fees are nonrefundable.

Questions? Visit: SBG.Colorado.gov/Liquor for more information

Items submitted, please check all appropriate boxes completed or documents submitted

I. Applicant information

Applicant/Licensee identified

State sales tax license number listed or applied for at time of application

License type or other transaction identified

Return originals to local authority (additional items may be required by the local licensing authority)

All sections of the application need to be completed

Master file applicants must include the Application for Master File form DR 8415 and applicable fees to this Retail License Application

II. Diagram of the premises

No larger than 8½" X 11"

Dimensions included (does not have to be to scale). Exterior areas should show type of control (fences, walls, entry/exit points, etc.)

Separate diagram for each floor (if multiple levels)

Return originals to local authority (additional items may be required by the local licensing authority)

Kitchen - identified if Hotel and Restaurant

Bold/Outlined Licensed Premises

III. Proof of property possession (One Year Needed)

Deed in name of the applicant (or) (matching Applicant Name provided on page 1) date stamped / filed with County Clerk

Lease in the name of the applicant (or) (matching Applicant Name provided on page 1)

Lease assignment in the name of the applicant with proper consent from the landlord and acceptance by the applicant

Other agreement if not deed or lease. (matching Applicant Name provided on page 1)

IV. Background information (DR 8404-I) and financial documents

Complete DR 8404-I for each principal (individuals with more than 10% ownership, officers, directors, partners, members)

Fingerprints taken and submitted to the appropriate Local Licensing Authority through an approved State Vendor. Master File applicants submit results to the State

Do not complete fingerprint cards prior to submitting your application.

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

Purchase agreement, stock transfer agreement, and/or authorization to transfer license

List of all notes and loans (Copies to also be attached)

V. Sole proprietor/Spouse or partners in a civil union (if applicable)

Form DR 4679 Lawful Presence Affidavit

Copy of State issued Driver's License or Colorado Identification Card for each applicant

VI. Corporate applicant information (if applicable)

Certificate of Incorporation

Certificate of Good Standing

Certificate of Authorization if foreign corporation (out of state applicants only)

VII. Partnership applicant information (if applicable)

Partnership Agreement (general or limited).

Certificate of Good Standing

VIII. Limited Liability Company applicant information (if applicable)

Copy of articles of organization

Certificate of Good Standing

Copy of Operating Agreement (if applicable)

Certificate of Authority if foreign LLC (out of state applicants only)

IX. Manager registration for Hotel and Restaurant, Tavern, Lodging & Entertainment, and Campus Liquor Complex licenses when included with this application

\$30.00 fee

If owner is managing, no fee required

1. Is the applicant (including any of the partners if a partnership; members or managers if a limited liability company; or officers, stockholders or directors if a corporation) or managers under the age of twenty-one years?..... Yes No
 2. Has the applicant (including any of the partners if a partnership; members or managers if a limited liability company; or officers, stockholders or directors if a corporation) or managers ever (in Colorado or any other state):
 - a. Been denied an alcohol beverage license?..... Yes No
 - b. Had an alcohol beverage license suspended or revoked?..... Yes No
 - c. Had interest in another entity that had an alcohol beverage license suspended or revoked?..... Yes No

If you answered yes to a, b or c above, explain in detail on a separate sheet.
 3. Has a liquor license application (same license class), that was located within 500 feet of the proposed premises, been denied within the preceding two years?..... Yes No
- If "yes", explain in detail.

4. Are the premises to be licensed within 500 feet, of any public or private school that meets compulsory education requirements of Colorado law, or the principal campus of any college, university or seminary?..... Yes No

or

Waiver by local ordinance? Yes No

Other

5. Is your Liquor Licensed Drugstore (LLDS) or Retail Liquor Store (RLS) within 1500 feet of another retail liquor license for off-premises sales in a jurisdiction with a population of greater than (>) 10,000? **NOTE:** The distance shall be determined by a radius measurement that begins at the principal doorway of the LLDS/RLS premises for which the application is being made and ends at the principal doorway of the Licensed LLDS/RLS..... Yes No

6. Is your Liquor Licensed Drugstore (LLDS) or Retail Liquor Store (RLS) within 3000 feet of another retail liquor license for off-premises sales in a jurisdiction with a population of less than (<) 10,0000? **NOTE:** The distance shall be determined by a radius measurement that begins at the principal doorway of the LLDS/RLS premises for which the application is being made and ends at the principal doorway of the Licensed LLDS/RLS..... Yes No

For additional Retail Liquor Store only.

- a. Was your Retail Liquor Store License issued on or before January 1, 2016?.... Yes No

- b. Are you a Colorado resident?..... Yes No

7. Has a liquor or beer license ever been issued to the applicant (including any of the partners, if a partnership; members or manager if a Limited Liability Company; or officers, stockholders or directors if a corporation)? If yes, identify the name of the business and list any current financial interest in said business including any loans to or from a licensee..... Yes No

8. Does the applicant, as listed on line 2 of this application, **have legal possession of the premises by ownership**, lease or other arrangement?..... Yes No

Ownership Lease Other (Explain in detail)

- a. If leased, list name of landlord and tenant, and date of expiration, **exactly** as they appear on the lease:

Landlord	Tenant	Expires
----------	--------	---------

- b. Is a percentage of alcohol sales included as compensation to the landlord? If yes, complete question on page 9..... Yes No

- c. Attach a diagram that designates the area to be licensed in black bold outline (including dimensions) which shows the bars, brewery, walls, partitions, entrances, exits and what each room shall be utilized for in this business. This diagram should be no larger than 8½" X 11".

9. Who, besides the owners listed in this application (including persons, firms, partnerships, corporations, limited liability companies) will loan or give money, inventory, furniture or equipment to or for use in this business; or who will receive money from this business? Attach a separate sheet if necessary.

Last Name	First Name	
Date of Birth (MM/DD/YY)	FEIN or SSN Number	Interest/Percentage
Last Name	First Name	
Date of Birth (MM/DD/YY)	FEIN or SSN Number	Interest/Percentage
Last Name	First Name	
Date of Birth (MM/DD/YY)	FEIN or SSN Number	Interest/Percentage

Attach copies of all notes and security instruments and any written agreement or details of any oral agreement, by which any person (including partnerships, corporations, limited liability companies, etc.) will share in the profit or gross proceeds of this establishment, and any agreement relating to the business which is contingent or conditional in any way by volume, profit, sales, giving of advice or consultation.

10. Optional Premises or Hotel and Restaurant Licenses with Optional Premises: Has a local ordinance or resolution authorizing optional premises been adopted?..... Yes No

Number of additional Optional Premise areas requested. (See license fee chart)

For the addition of a Sidewalk Service Area per Regulation 47-302(A)(4), include a diagram of the service area and documentation received from the local governing body authorizing use of the sidewalk. Documentation may include but is not limited to a statement of use, permit, easement, or other legal permissions.

11. Liquor Licensed Drugstore (LLDS) applicants, answer the following:

a. Is there a pharmacy, licensed by the Colorado Board of Pharmacy, located within the applicant's L L D S premise?..... Yes No

If "yes" a copy of license must be attached.

12. Club Liquor License applicants answer the following: Attach a copy of applicable documentation

- | | | |
|---|-----|----|
| a. Is the applicant organization operated solely for a national, social, fraternal, patriotic, political or athletic purpose and not for pecuniary gain?..... | Yes | No |
| b. Is the applicant organization a regularly chartered branch, lodge or chapter of a national organization which is operated solely for the object of a patriotic or fraternal organization or society, but not for pecuniary gain?..... | Yes | No |
| c. How long has the club been incorporated?..... | | |
| d. Has applicant occupied an establishment for three years (three years required) that was operated solely for the reasons stated above?..... | Yes | No |

13. Brew-Pub, Distillery Pub or Vintner's Restaurant applicants answer the following:

- | | | |
|---|-----|----|
| a. Has the applicant received or applied for a Federal Permit? (Copy of permit or application must be attached)..... | Yes | No |
|---|-----|----|

14. Campus Liquor Complex applicants answer the following:

- | | | |
|---|-----|----|
| a. Is the applicant an institution of higher education?..... | Yes | No |
| b. Is the applicant a person who contracts with the institution of higher education to provide food services?..... | Yes | No |

If "yes" please provide a copy of the contract with the institution of higher education to provide food services.

15. For all on-premises applicants.

- a.** For all Liquor Licensed Drugstores (LLDS) the Permitted Manager must also submit an Manager Permit Application - DR 8000 and fingerprints.

Last Name of Manager

First Name of Manager

- 16. Does this manager act as the manager of, or have a financial interest in, any other liquor licensed establishment in the State of Colorado? If yes, provide name, type of license and account number.....**

Yes No

Name

Type of License

Account Number

17. Related Facility - Campus Liquor Complex applicants answer the following:

- a.** Is the related facility located within the boundaries of the Campus Liquor Complex?..... Yes No

If yes, please provide a map of the geographical location within the Campus Liquor Complex.

If no, this license type is not available for issues outside the geographical location of the Campus Liquor Complex.

- b.** Designated Manager for Related Facility - Campus Liquor Complex

Last Name of Manager

First Name of Manager

18. Entertainment Facility License

- If Applicant is applying for an Entertainment Facility License, you affirm that your business model and aligns with the statutory privileges and requirements:..... Yes No

Pursuant to 44-3-103(15.5) C.R.S., an Entertainment Facility means an establishment in which the primary business is to provide the public with sports or entertainment activities within its licensed premises; and that, incidental to its primary business, sells and serves alcohol beverages at retail for consumption on the licensed premises; and has sandwiches and light snacks available for consumption on the licensed premises.

- If Applicant is applying for a Lodging Facility License, you affirm that your business model and aligns with the statutory privileges and requirements:..... Yes No

Pursuant to 44-3-103(29) C.R.S., a Lodging Facility means an establishment in which the primary business is to provide the public with sleeping rooms and meeting facilities; and that sells and serves alcohol beverages at retail for consumption on the licensed premises; and has sandwiches and light snacks available for consumption on the licensed premises.

19. Tax Information.

- a.** Has the applicant, including its manager, partners, officer, directors, stockholders, members (LLC), managing members (LLC), or any other person with a 10% or greater financial interest in the applicant, been found in final order of a tax agency to be delinquent in the payment of any state or local taxes, penalties, or interest related to a business?..... Yes No

- b.** Has the applicant, including its manager, partners, officer, directors, stockholders, members (LLC), managing members (LLC), or any other person with a 10% or greater financial interest in the applicant failed to pay any fees or surcharges imposed pursuant to section 44-3-503, C.R.S.?..... Yes No

If applicant is a corporation, partnership, association or limited liability company, applicant must list all **Officers, Directors, General Partners, and Managing Members**. In addition, applicant must list any stockholders, partners, or members with **ownership of 10% or more in the applicant**. **All persons listed below** must also attach form DR 8404-I (Individual History Record), and make an appointment with an approved State Vendor through their website. See application checklist, Section IV, for details.

Name			Date of Birth (MM/DD/YY)	
Street Address				
City	State	ZIP Code	Position	% Owned
Name			Date of Birth (MM/DD/YY)	
Street Address				
City	State	ZIP Code	Position	% Owned
Name			Date of Birth (MM/DD/YY)	
Street Address				
City	State	ZIP Code	Position	% Owned
Name			Date of Birth (MM/DD/YY)	
Street Address				
City	State	ZIP Code	Position	% Owned
Name			Date of Birth (MM/DD/YY)	
Street Address				
City	State	ZIP Code	Position	% Owned
Name			Date of Birth (MM/DD/YY)	
Street Address				
City	State	ZIP Code	Position	% Owned

- ** If applicant is owned 100% by a parent company, please list the designated principal officer on above.
- ** Corporations - the President, Vice-President, Secretary and Treasurer must be accounted for above (Include ownership percentage if applicable)
- ** If total ownership percentage disclosed here does not total 100%, applicant must check this box:

Applicant affirms that no individual other than these disclosed herein owns 10% or more of the applicant and does not have financial interest in a prohibited liquor license pursuant to Article 3 or 5, C.R.S.

I would like to apply for a Two-Year Renewal..... Yes No

Oath Of Applicant

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. I also acknowledge that it is my responsibility and the responsibility of my agents and employees to comply with the provisions of the Colorado Liquor or Beer and Wine Code which affect my license.

Printed Name	Title
Authorized Signature	Date (MM/DD/YY)

Report and Approval of Local Licensing Authority (City/County)

Date application filed with local authority Date of local authority hearing (for new license applicants; cannot be less than 30 days from date of application)

For Transfer Applications Only - Is the license being transferred valid?..... Yes No

The Local Licensing Authority Hereby Affirms that each person required to file DR 8404-I (Individual History Record) or a DR 8000 (Manager Permit) has been:

Fingerprinted

Subject to background investigation, including NCIC/CCIC check for outstanding warrants

That the local authority has conducted, or intends to conduct, an inspection of the proposed premises to ensure that the applicant is in compliance with and aware of, liquor code provisions affecting their class of license

(Check One)

Date of inspection or anticipated date

Will conduct inspection upon approval of state licensing authority

Is the Liquor Licensed Drugstore (LLDS) or Retail Liquor Store (RLS) within 1,500 feet of another retail liquor license for off-premises sales in a jurisdiction with a population of > 10,000?..... Yes No

Is the Liquor Licensed Drugstore (LLDS) or Retail Liquor Store (RLS) within 3,000 feet of another retail liquor license for off-premises sales in a jurisdiction with a population of < 10,000?..... Yes No

NOTE: The distance shall be determined by a radius measurement that begins at the principal doorway of the LLDS/RLS premises for which the application is being made and ends at the principal doorway of the Licensed LLDS/RLS.

Does the Liquor-Licensed Drugstore (LLDS) have at least twenty percent (20%) of the applicant's gross annual income derived from the sale of food, during the prior twelve (12) month period?..... Yes No

The foregoing application has been examined; and the premises, business to be conducted, and character of the applicant are satisfactory. We do report that such license, if granted, will meet the reasonable requirements of the neighborhood and the desires of the adult inhabitants, and will comply with the provisions of Title 44, Article 4 or 3, C.R.S., and Liquor Rules. **Therefore, this application is approved.**

Report and Approval of Local Licensing Authority (Continued)

Local Licensing Authority approves the Temporary Permit..... Yes No

Approval Date of the Temporary Permit

Expiration Date of the Temporary Permit

*If the temporary permit expires or an extension is required, the state liquor licensing authority should be notified of the status of the temporary permit.

**If the temporary permit information is not filled out for the transfer of ownership, the Transfer Application will not be accepted and processed.

Local Licensing Authority Approves this license for a two-year renewal..... Yes No

If "No", please cite the law, regulation, local ordinance or resolution that gives the local licensing authority the ability to deny the applicant and grounds for denial. Also, please provide any and all investigative reports, and administrative or criminal action that relate or justify this denial.

Proof of Violation

Local Licensing Authority for

Telephone Number

Town, City

County

Printed Name

Title

Signature

Date (MM/DD/YY)

Printed Name

Title

Signature

Date (MM/DD/YY)

Tax Check Authorization, Waiver, and Request to Release Information

I,

am signing this Tax Check Authorization, Waiver and Request to Release Information (hereinafter

“Waiver”) on behalf of

(the “Applicant/Licensee”)

to permit the Colorado Department of Revenue and any other state or local taxing authority to release information and documentation that may otherwise be confidential, as provided below. If I am signing this Waiver for someone other than myself, including on behalf of a business entity, I certify that I have the authority to execute this Waiver on behalf of the Applicant/Licensee.

The Executive Director of the Colorado Department of Revenue is the State Licensing Authority, and oversees the Colorado Liquor Enforcement Division as his or her agents, clerks, and employees. The information and documentation obtained pursuant to this Waiver may be used in connection with the Applicant/Licensee’s liquor license application and ongoing licensure by the state and local licensing authorities. The Colorado Liquor Code, section 44-3-101. et seq. (“Liquor Code”), and the Colorado Liquor Rules, 1 CCR 203-2 (“Liquor Rules”), require compliance with certain tax obligations, and set forth the investigative, disciplinary and licensure actions the state and local licensing authorities may take for violations of the Liquor Code and Liquor Rules, including failure to meet tax reporting and payment obligations.

The Waiver is made pursuant to section 39-21-113(4), C.R.S., and any other law, regulation, resolution or ordinance concerning the confidentiality of tax information, or any document, report or return filed in connection with state or local taxes. This Waiver shall be valid until the expiration or revocation of a license, or until both the state and local licensing authorities take final action to approve or deny any application(s) for the renewal of the license, whichever is later. Applicant/Licensee agrees to execute a new waiver for each subsequent licensing period in connection with the renewal of any license, if requested.

By signing below, Applicant/Licensee requests that the Colorado Department of Revenue and any other state or local taxing authority or agency in the possession of tax documents or information, release information and documentation to the Colorado Liquor Enforcement Division, and is duly authorized employees, to act as the Applicant’s/Licensee’s duly authorized representative under section 39-21-113(4), C.R.S., solely to allow the state and local licensing authorities, and their duly authorized employees, to investigate compliance with the Liquor Code and Liquor Rules. Applicant/Licensee authorizes the state and local licensing authorities, their duly authorized employees, and their legal representatives, to use the information and documentation obtained using this Waiver in any administrative or judicial action regarding the application or license.

Name (Individual/Business)

Social Security Number/Tax Identification Number

Home Phone Number

Business/Work Phone Number

Street Address

City

State ZIP Code

Printed name of person signing on behalf of the Applicant/Licensee

Applicant/Licensee's Signature (Signature authorizing the disclosure of confidential tax information) Date Signed

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Privacy Act Statement

Providing your Social Security Number is voluntary and no right, benefit or privilege provided by law will be denied as a result of refusal to disclose it. § 7 of Privacy Act, 5 USCS § 552a (note).

Fermented Malt Beverage/Fermented Malt Beverage and Wine Retailer License Application

This application only applies to Fermented Malt Beverage On-Premises, Fermented Malt Beverage On/Off-Premises, and Fermented Malt Beverage and Wine Retailer.

***Note that the Division will not accept cash.**

Paid by check

Uploaded to MoveIt on Date

Paid online

New License	New-Concurrent	Transfer of Ownership	
• All answers must be printed in black ink or typewritten • Applicant must check the appropriate box(es) • Local license fee \$ • Applicant should obtain a copy of the Colorado Liquor, Beer and Wine Code: SBG.Colorado.gov/Liquor			
Applicant is applying as a/an:	Individual	Limited Liability Company	Association or Other
	Corporation	Partnership (includes Limited Liability and Husband and Wife Partnerships)	
Applicant(s) If an LLC, name of LLC; if partnership, at least 2 partners' names; if corporation, name of corporation			
FEIN	Trade Name of Establishment (DBA)		
Sales Tax Number	Business Telephone		
Address of Premises (specify exact location of premises)			
City	County	State	ZIP Code
Mailing Address (Number and Street)			
City or Town	State ZIP Code		
Email Address	Home Phone Number		

Present Trade Name of Establishment (DBA)

Present Expiration Date

Application Fee for New License	\$1,100.00
Application Fee for New License - with Concurrent Review	\$1,200.00
Application Fee for Transfer.....	\$1,100.00

Retail Fermented Malt Beverage On-Premises (City)	\$96.25
Retail Fermented Malt Beverage On-Premises (County)	\$117.50
Retail Fermented Malt Beverage and Wine (City)	\$96.25
Retail Fermented Malt Beverage and Wine (County)	\$117.50
Retail Fermented Malt Beverage and On/Off-Premises (City)	\$96.25
Retail Fermented Malt Beverage and On/Off-Premises (County)	\$117.50

Master File Background.....	\$250.00 x	Total	\$
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Do Not Write In This Space - For Department Of Revenue Use Only

License Issued Through: (Expiration Date)

Page 2 of 11

Application Documents Checklist and Worksheet

Instructions: This checklist should be utilized to assist applicants with filing all required documents for licensure. **All** documents must be properly signed and correspond with the name of the applicant **exactly**. **All** documents must be typed or legibly printed. Upon final State approval the license will be mailed to the local licensing authority. Application fees are nonrefundable.

Questions? Visit: SBG.Colorado.gov/Liquor for more information

Items Submitted, Please Check All Appropriate Boxes Completed or Documents Submitted

I. Applicant Information

Applicant/Licensee identified

State sales tax license number listed or applied for at time of application

License type or other transaction identified

Submit originals to local authority

Additional information required by the local licensing authority

II. Diagram of the Premises

No larger than 8½" X 11"

Dimensions included (does not have to be to scale). Exterior areas should show control (fences, walls, etc.)

Separate diagram for each floor (if multiple levels)

Bold/Outlined licensed premises

III. Proof of Property Possession (One Year Needed)

Deed in name of the applicant **only** (or) (matching question #2) date stamped/filed with County Clerk

Lease in the name of the applicant **only** (matching question #2)

Lease Assignment in the name of the applicant (**only**) with proper consent from the Landlord and acceptance by the applicant

Other agreement if not deed or lease

IV. Background Information (DR 8404-I) and Financial Documents

Individual History Record(s) (Form DR 8404-I) Complete DR 8404-I for each principal (individuals with more than 10% ownership, officers, directors, partners, members)

Fingerprints taken and submitted to the appropriate Local Licensing Authority through an approved state vendor. Master File applicants submit results to the State

Do not complete fingerprint cards prior to submitting your application.

The Vendors are as follows:

IdentoGO – <https://uenroll.identogo.com/> Phone : 844-539-5539 (toll-free)

Colorado Fingerprinting – <http://www.coloradofingerprinting.com>

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

Phone: 720-292-2722 Toll Free: 833-224-2227

Details about the vendors and fingerprinting in Colorado can be found on CBI's website here:

<https://cbi.colorado.gov/sections/biometric-identification-and-records-unit/employment-and-background-checks>

Purchase agreement, stock transfer agreement, and/or authorization to transfer license

List of all notes and loans

V. Sole Proprietor/Husband and Wife Partnership (If Applicable)

Form DR 4679

Copy of State Issued Driver's License or Identification Card for each Applicant

VI. Corporate Applicant Information (If Applicable)

Certificate of Incorporation

Certificate of Good Standing

Certificate of Authorization if foreign corporation (out of state applicants only)

VII. Partnership Applicant Information (If Applicable)

Partnership Agreement (general or limited)

Certificate of Good Standing

VIII. Limited Liability Company Applicant Information (If Applicable)

Copy of Articles of Organization

Certificate of Good Standing

Copy of Operating Agreement (if applicable)

Certificate of Authority if foreign LLC (out of state applicants only)

1. Is the applicant (including any of the partners if a partnership; members or managers if a limited liability company; or officers, stockholders or directors if a corporation) or managers under the age of twenty-one years?..... Yes No
2. Has the applicant (including any of the partners if a partnership; members or managers if a limited liability company; or officers, stockholders or directors if a corporation) or managers ever (in Colorado or any other state):
 - a. Been denied an alcohol beverage license?..... Yes No
 - b. Had an alcohol beverage license suspended or revoked?..... Yes No
 - c. Had interest in another entity that had an alcohol beverage license suspended or revoked?..... Yes No

If you answered yes to 2a, b or c, explain in detail on a separate sheet.

3. Has the premises to be licensed been denied within the preceding one year? If “yes,” explain in detail..... Yes No

If “yes”, explain in detail.

4. Is the proposed Fermented Malt Beverage and Wine Retailer license within 500 feet of any public or parochial school, the principal campus of any college, university, or seminary? Note: The distances are to be computed using the methods outlined under C.R.S. 44-3-313(1)(d)(II). Some limited exceptions apply under C.R.S. 44-3-313..... Yes No
5. Is the proposed Fermented Malt Beverage and Wine Retailer license, or On/Off premises license, within 500 feet of a Retail Liquor Store licensed under section 44-3-409 C.R.S.? (Distance should be determined using guidelines outlined in 44-3-301(12)(c) C.R.S.)..... Yes No
6. Are you applying for a Fermented Malt Beverage On and Off Premises License? If yes, answer subparts a and b. If No, go to question 6..... Yes No
 - a. The FMB On/Off is located in a county with a population of > 35,000..... Yes No
 - b. The FMB On/Off is located in an “underserved area” within a county with population of < 35,000 but lies outside of a municipal boundaries or is a city or town with population of > 75,500..... Yes No

Note - The population is determined from the recently available United States Census Bureau.

7. Has a liquor or beer license ever been issued to the applicant (including any of the partners, if a partnership; members or manager if a limited liability company; or officers, stockholders or directors if a corporation)? If yes, identify the name of the business and list any current or former financial interest in said business including any loans to or from a licensee..... Yes No

8. Does the applicant, as listed as Trade Name of Establishment (DBA) of this application, have legal possession of the premises by virtue of ownership, lease or other arrangement?..... Yes No

Ownership Lease Other (Explain in detail)

- a. If leased, list name of landlord and tenant, and date of expiration, **exactly** as they appear on the lease:

Landlord	Tenant	Expires
----------	--------	---------

- b. Is a percentage of alcohol sales included as compensation to the landlord?
If yes, complete question 6..... Yes No

- c. Attach a diagram that designates the area to be licensed in black bold outline (including dimensions) which shows the bars, brewery, walls, partitions, entrances, exits and what each room shall be utilized for in this business. This diagram should be no larger than 8½" X 11".

9. Who, besides the owners listed in this application (including persons, firms, partnerships, corporations, limited liability companies) will loan or give money, inventory, furniture or equipment to or for use in this business; or who will receive money from this business? Attach a separate sheet if necessary.

Last Name	First Name
-----------	------------

Date of Birth (MM/DD/YY)	FEIN or SSN	Interest
--------------------------	-------------	----------

Last Name	First Name
-----------	------------

Date of Birth (MM/DD/YY)	FEIN or SSN	Interest
--------------------------	-------------	----------

Attach copies of all notes and security instruments and any written agreement or details of any oral agreement, by which any person (including partnerships, corporations, limited liability companies, etc.) will share in the profit or gross proceeds of this establishment, and any agreement relating to the business which is contingent or conditional in any way by volume, profit, sales, giving of advice or consultation.

10. Name of Manager(s) for all on premises applicants.

Last Name	First Name
-----------	------------

Date of Birth (MM/DD/YY)

11. Does this manager act as the manager of, or have a financial interest in, any other liquor licensed establishment in the State of Colorado? If yes, provide name, type of license and account number..... Yes No

12. Tax Information.

- a.** Has the applicant, including its manager, partners, officer, directors, stockholders, members (LLC), managing members (LLC), or any other person with a 10% or greater financial interest in the applicant, been found in final order of a tax agency to be delinquent in the payment of any state or local taxes, penalties, or interest related to a business?..... Yes No
- b.** Has the applicant, including its manager, partners, officer, directors, stockholders, members (LLC), managing members (LLC), or any other person with a 10% or greater financial interest in the applicant failed to pay any fees or surcharges imposed pursuant to section 44-3-503, C.R.S.?..... Yes No

13. If applicant is a corporation, partnership, association or limited liability company, applicant must list all Officers, Directors, General Partners, and Managing Members. In addition, applicant must list any stockholders, partners, or members with ownership of 10% or more in the Applicant. All persons listed below must also attach form DR 8404-I (Individual History Record), and make an appointment to be fingerprinted by an approved State Vendor through the Vendor's website. See application checklist, Section IV, for details.

Name

Home Address (Number and Street)

City State ZIP Code

Date of Birth (MM/DD/YY) Position Percent Owned

Name

Home Address (Number and Street)

City State ZIP Code

Date of Birth (MM/DD/YY) Position Percent Owned

Name

Home Address (Number and Street)

City

State ZIP Code

Date of Birth (MM/DD/YY)

Position

Percent Owned

Name

Home Address (Number and Street)

City

State ZIP Code

Date of Birth (MM/DD/YY)

Position

Percent Owned

** If applicant is owned 100% by a parent company, please list the designated principal officer on above.

** Corporations - the President, Vice-President, Secretary and Treasurer must be accounted for above (Include ownership percentage if applicable)

** If total ownership percentage disclosed here does not total 100%, applicant must check this box:

Applicant affirms that no individual other than these disclosed herein owns 10% or more of the applicant and does not have financial interest in a prohibited liquor license pursuant to Article 3 or 5, C.R.S.

Oath of Applicant

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. I also acknowledge that it is my responsibility and the responsibility of my agents and employees to comply with the provisions of the Colorado Liquor or Beer and Wine Code which affect my license.

Printed Name

Title

Authorized Signature

Date (MM/DD/YY)

Report and Approval of Local Licensing Authority (City/County)

Date application filed with local authority

Date of local authority hearing – for new license applicants cannot be less than 30 days from date of application 44-3-311(1) C.R.S.

For Transfer Applications Only - Is the license being transferred valid?..... Yes No

Each person required to file DR 8404-I has been:

Fingerprinted

Subject to background investigation, including NCIC/CCIC check for outstanding warrants

That the local authority has conducted, or intends to conduct, an inspection of the proposed premises to ensure that the applicant is in compliance with and aware of, liquor code provisions affecting their class of license. (Check One)

Date of Inspection or Anticipated Date

Upon approval of state licensing authority

New Fermented Malt Beverage Off Premises licenses, and On/Off Premises licenses, distance requirements of 44-3-301 C.R.S. are satisfied

New Fermented Malt Beverage On/Off premises licenses must meet the qualifications of 44-4-104 C.R.S.

The foregoing application has been examined; and the premises, business to be conducted, and character of the applicant are satisfactory. We do report that such license, if granted, will meet the reasonable requirements of the neighborhood and the desires of the adult inhabitants, and will comply with the provisions of Title 44, Article 4 or 3, C.R.S. and Liquor Rules. **Therefore, this application is approved.**

Local Licensing Authority for

Telephone Number

Town, City

Printed Name

Title

County

Signature

Date (MM/DD/YY)

Printed Name

Title

Signature (Attest)

Date (MM/DD/YY)

Tax Check Authorization, Waiver, and Request to Release Information

I,

am signing this Tax Check Authorization, Waiver and Request to Release Information (hereinafter

“Waiver”) on behalf of

(the “Applicant/Licensee”)

to permit the Colorado Department of Revenue and any other state or local taxing authority to release information and documentation that may otherwise be confidential, as provided below. If I am signing this Waiver for someone other than myself, including on behalf of a business entity, I certify that I have the authority to execute this Waiver on behalf of the Applicant/Licensee.

The Executive Director of the Colorado Department of Revenue is the State Licensing Authority, and oversees the Colorado Liquor Enforcement Division as his or her agents, clerks, and employees. The information and documentation obtained pursuant to this Waiver may be used in connection with the Applicant/Licensee’s liquor license application and ongoing licensure by the state and local licensing authorities. The Colorado Liquor Code, section 44-3-101. et seq. (“Liquor Code”), and the Colorado Liquor Rules, 1 CCR 203-2 (“Liquor Rules”), require compliance with certain tax obligations, and set forth the investigative, disciplinary and licensure actions the state and local licensing authorities may take for violations of the Liquor Code and Liquor Rules, including failure to meet tax reporting and payment obligations.

The Waiver is made pursuant to section 39-21-113(4), C.R.S., and any other law, regulation, resolution or ordinance concerning the confidentiality of tax information, or any document, report or return filed in connection with state or local taxes. This Waiver shall be valid until the expiration or revocation of a license, or until both the state and local licensing authorities take final action to approve or deny any application(s) for the renewal of the license, whichever is later. Applicant/Licensee agrees to execute a new waiver for each subsequent licensing period in connection with the renewal of any license, if requested.

By signing below, Applicant/Licensee requests that the Colorado Department of Revenue and any other state or local taxing authority or agency in the possession of tax documents or information, release information and documentation to the Colorado Liquor Enforcement Division, and is duly authorized employees, to act as the Applicant’s/Licensee’s duly authorized representative under section 39-21-113(4), C.R.S., solely to allow the state and local licensing authorities, and their duly authorized employees, to investigate compliance with the Liquor Code and Liquor Rules. Applicant/Licensee authorizes the state and local licensing authorities, their duly authorized employees, and their legal representatives, to use the information and documentation obtained using this Waiver in any administrative or judicial action regarding the application or license.

Name (Individual/Business)

Social Security Number/Tax Identification Number

Home Phone Number

Business/Work Phone Number

Street Address

City

State ZIP Code

Printed name of person signing on behalf of the Applicant/Licensee

Applicant/Licensee's Signature (Signature authorizing the disclosure of confidential tax information) Date Signed

Privacy Act Statement

Providing your Social Security Number is voluntary and no right, benefit or privilege provided by law will be denied as a result of refusal to disclose it. § 7 of Privacy Act, 5 USCS § 552a (note).

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
-----------------------------------	--------------

Bank Name	Amount
-----------	--------

Type: Cash, Services or Equipment	Account Type
-----------------------------------	--------------

Bank Name	Amount
-----------	--------

Type: Cash, Services or Equipment	Account Type
-----------------------------------	--------------

Bank Name	Amount
-----------	--------

Type: Cash, Services or Equipment	Account Type
-----------------------------------	--------------

Bank Name	Amount
-----------	--------

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
-----------------------------------	-------	--------------

Bank Name	Amount
-----------	--------

Type: Cash, Services or Equipment	Loans	Account Type
-----------------------------------	-------	--------------

Bank Name	Amount
-----------	--------

Type: Cash, Services or Equipment	Loans	Account Type
-----------------------------------	-------	--------------

Bank Name	Amount
-----------	--------

13. Loan Information (Attach copies of all notes or loans)

Name of Lender	Address
----------------	---------

Term	Security	Amount
------	----------	--------

Personal and Financial Information (Continued)

Name of Lender	Address
----------------	---------

Term	Security	Amount
------	----------	--------

Name of Lender	Address
----------------	---------

Term	Security	Amount
------	----------	--------

Name of Lender	Address
----------------	---------

Term	Security	Amount
------	----------	--------

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)
-------	-----------------



THORNTON

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

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



THORNTON

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

CITY FORM 3: TEMPORARY PERMIT APPLICATION

Name of Applicant: (Applicant: Corporation, Limited Liability Company, Individual, Partnership)	
Trade Name of Establishment (DBA):	
Address of Establishment:	
Type of Liquor/Beer License:	
Current Licensee:	
Current Trade Name:	

The following conditions need to be met in order for the Temporary Permit to be processed:

- The establishment currently has State and Local Liquor/Beer Licenses, and such licenses are valid at the time the Transfer of Ownership Application was filed.
- The Applicant has filed all Transfer of Ownership information, with the City Clerk's Office, as required by the City Code and State Statutes.
- The Applicant submitted the Temporary Permit Application within 30 days of filing the Transfer of Ownership Application.
- The Applicant submitted the \$100.00 Temporary Permit fee to the City of Thornton.
- The Applicant acknowledges the responsibility of having knowledge of the pertinent Colorado State Statutes and Regulations as set forth in Title 44 and Chapter 42, Article II of the Thornton City Code.
- The Applicant understands that this permit, if granted, shall be valid for 120 days or until the Transfer of Ownership has been granted, and the State and Local Liquor Licenses have been issued, or the application has been denied, whichever comes first. If the license has not been granted within this time period it is the responsibility of the Applicant to apply for an extension of the temporary permit, which is valid for 60 days.

Signature of Applicant:	
Date Signed:	



THORNTON

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9500 Civic Center Drive
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CITY FORM 4 INDEMNIFICATION AND HOLD HARMLESS AGREEMENT

Current Licensee: (Applicant: Corporation, Limited Liability Company, Individual, Partnership)	
Trade Name (DBA):	
Address of Establishment:	
Type of Liquor/Beer License:	
Current Licensee:	
Current Trade Name:	
Applicant Name: (Applicant: Corporation, Limited Liability Company, Individual, Partnership)	
Applicant Trade Name:	

Any reference herein to the City means the City of Thornton, its employees, elected and appointed officials, the City Council, and the Local Licensing Authority.

- WHEREAS, the Licensee currently holds a License, authorized and issued by the City; and said Applicant has applied to the City for a transfer of said license; and
- WHEREAS, the City wishes to indemnify itself against any liability that may arise out of said transfer.
- NOW, THEREFORE, in consideration of granting said Applicant's request for transfer, the undersigned expressly agrees to indemnify the City for, and hold the City harmless from, any liability that may arise out of said transfer, including any suit or action of any kind that is or may be brought against the City by the Licensee or their successors, heirs or assigns, as a result of or arising out of the transfer to the Applicant of the License held by the Licensee covering the premises located at Address in the City.

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