



## APPLICATION PROCESS

Ohio Department of Commerce  
Division of Liquor Control  
6606 Tussing Road  
Reynoldsburg, OH 43068  
614-644-2360

The Division of Liquor Control ("Division") has outlined the application process below in an effort to avoid your application being returned. Therefore it will be necessary for you to submit all the documents on the "REQUIRED DOCUMENTS FOR ACCEPTANCE" sheet. **If your application is filed without all of those documents, the application will not be accepted and will be returned to you.** Once your application is received, provided all required documents are submitted, the following process begins:

1. The Division logs your application into a computerized system for processing.
2. The Division will send an Official Notice to the legislative authority of the municipality/township it is located in (city council or township trustees and county commissioners). Note: Any of these entities have the right to object to your application, provided they do so within 30 days of that notification. The Division also sends a separate notice to the local law enforcement agency for informational purposes as required by law and to work in conjunction with the Legislative Authority should they desire to object to the issuance of your permit.
3. The Division will work with your County Board of Elections to determine the wet/dry status of your proposed permit premises. Note: This information is not needed on applications for transfer of ownership.
4. The Division will send the Personal History Background Form(s) you provided to the law enforcement agency in the municipality or township of your permit premises in order to have a separate background check conducted with them.
5. The Division works with the Ohio Bureau of Investigation ("BCI") to have conducted a required background check on all persons involved in your business. In order for the Division and BCI to conduct this background check, you are required to provide the Division with the proper documentation and information so that a background check can be performed. Please see DLC 4191 to determine whether you or persons involved in your business should submit a completed **paper** fingerprint card or be fingerprinted **electronically** via a "WebCheck" system.
6. A Division Compliance Officer will contact you to set up an appointment to conduct an initial inspection of your premises. At the time your inspection is completed our compliance officer will survey the area surrounding the proposed permit premises to determine if there are any institutions such as schools, churches, libraries, public playgrounds, or township parks within 500 feet. By law, any of these institutions can object to the issuance of your permit within 30 days of notification. If the business is not in operation or the premises did not meet all requirements at the initial inspection, a final inspection will need to be conducted at a later date. Please allow two weeks when notifying the Division for a final inspection.
7. Your C or D class permit certificate is issued for a permit period that expires on February 1, June 1 or October 1, depending on the county where your permit is located, and is renewed annually on that date. Renewal dates by county may be found by visiting [http://www.com.ohio.gov/liqr/docs/LIQR\\_RenewalDistricts.pdf](http://www.com.ohio.gov/liqr/docs/LIQR_RenewalDistricts.pdf). All A, B, H or G Class permits renew annually on October 1.
8. If you have applied for a New Retail permit (NOT a Transfer), and it is issued within six months of the expiration date, you will receive a 50% refund of the class fee(s) paid. NOTE: The \$100.00 processing fee is non-refundable.

It is our goal to process your application in a timely and efficient manner. Many factors determine the length of time it takes to complete the process of your application, therefore your assistance in providing us with a complete application packet will help us in accomplishing our goal.

Rev. 04/14/2014

FOR TTY USERS DIAL 1-800-750-0750 - EOE/ADA SERVICE PROVIDER

For Questions call  
 (614) 644-3162  
 Office Hours -  
 8:00 a.m. - 5:00 p.m.

Ohio Department of Commerce - Division of Liquor Control  
 6606 Tussing Road, Reynoldsburg, Ohio 43068-9005  
<http://www.com.ohio.gov/liqr>



**APPLICATION FOR CHANGE OF CORPORATE STOCK OWNERSHIP**  
**PROCESSING FEE \$100.00 CAUTION: ALLOW 10 TO 12 WEEKS FOR PROCESSING**

PERMIT HOLDER REQUESTS APPROVAL OF THE DIVISION OF LIQUOR CONTROL OF THE FOLLOWING TRANSFER(S) OF STOCK

Permit Holder Name	Liquor Permit Number(s)
Permit Premises Address	
Email Address:	
Attorney's Name, Address and Telephone Number (If represented)	
Is Stock Traded on a National Exchange? <input type="checkbox"/> YES <input type="checkbox"/> NO	If YES, give Name of Exchange and Symbol _____

**Please be advised that any social security numbers provided to the Division of Liquor Control in this application may be released to the Ohio Department of Public Safety, the Ohio Department of Taxation, the Ohio Attorney General, or to any other state or local law enforcement agency if the agency requests the social security number to conduct an investigation, implement an enforcement action, or collect taxes.**

SECTION A: PREVIOUS 5% OR MORE STOCKHOLDERS			
Name	BIRTHDATE	Social Security Number/FTI#	Number of Shares Issued For Stock Transfer Only (NOT Percentages)
1)			
2)			
3)			
4)			
5)			
SECTION B: REVISED 5% OR MORE STOCKHOLDERS			
Name	BIRTHDATE	Social Security Number/FTI#	Number of Shares Issued For Stock Transfer Only (NOT Percentages)
1)			
2)			
3)			
4)			
5)			

<b>NOTE: If any Stockholder is a business entity, that entity must list it's federal tax identification number (FTI #) above.</b>	<b>TOTAL NUMBER OF SHARES ISSUED</b> _____
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LIST THE TOP FOUR OFFICERS OF THE CAPTIONED CORPORATION. IF AN OFFICE IS NOT HELD, PLEASE INDICATE BY WRITING "NONE"	Social Security Number	Birthdate
1) CEO/President		
2) Vice-President		
3) Secretary		
4) Treasurer		

**THE FOLLOWING MUST BE COMPLETED BY ANY OF THE REVISED 5% OR MORE SHAREHOLDERS:**

1. Do you or any partner, office holder, managing member, 5% stockholder or member, spouse, or other person involved in this permit hold or have any interest in another permit business?  YES  NO  
**If YES**, give permit number & address on the line provided \_\_\_\_\_
  
2. Have you or any partner, office holder, managing member, 5% stockholder or member, spouse, or other person involved in this permit ever been convicted of a felony or misdemeanor, including any alcohol-related offenses?  YES  NO  
**If YES**, attach a written explanation.
  
3. Have you or any partner, office holder, managing member, 5% stockholder or member, spouse, or other person involved in this permit ever been refused a permit, denied a renewal, or had a permit revoked from another state, by this Division, or the Liquor Commission? **If YES**, attach a written explanation.  YES  NO
  
4. If you hold C or D permits, do you or any partner, office holder, managing member, member, stockholder, employee, spouse, or other person involved in this permit own any stock or have any interest in the business of a manufacturer or wholesale distributor of alcoholic beverages? **If YES**, attach a written explanation.  YES  NO
  
5. If you hold A or B permits, do you or any partner, office holder, managing member, member, stockholder, employee, spouse, or other person involved in this permit own any stock or have any interest in the business of a retail permit holder? **If YES**, attach a written explanation.  YES  NO

**DELIBERATE MISREPRESENTATION OF ANY OF THE INFORMATION ON THIS APPLICATION CAN RESULT IN THE DIVISION'S REFUSING TO APPROVE THIS APPLICATION.**

**THE FOLLOWING MUST BE COMPLETED BY ANY OF THE REVISED 5% OR MORE SHAREHOLDERS:**

State of Ohio, \_\_\_\_\_ County, ss

I, \_\_\_\_\_, being first duly sworn, according to law, depose and say  
 (Please Print)  
 that the statements and answers made in the foregoing application are true.

\_\_\_\_\_  
 (Signature of Individual, Partner, Officer, Managing Member, or 5% or more Stockholder or Member)      \_\_\_\_\_ (Title)      \_\_\_\_\_ (Date)

\_\_\_\_\_  
 (Residence Address)      \_\_\_\_\_ (City)      \_\_\_\_\_ (State)      \_\_\_\_\_ (Zip Code)      \_\_\_\_\_ (Area Code & Phone Number)

**(To be completed by Notary Public)**

Sworn to before me and subscribed in my presence this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_.

\_\_\_\_\_  
 (Notary Public)      \_\_\_\_\_ (Notary Expiration)

## INSTRUCTIONS FOR FILING CHANGE OF "CORPORATE STOCK OWNERSHIP" APPLICATION

A fee of \$100.00 is required with all Stock Ownership Applications

### A "CHANGE OF CORPORATE STOCK OWNERSHIP" APPLICATION MUST BE FILED WHEN:

- An individual, a partnership or another business entity becomes a 5% or more stockholder of the permit holder;
- A 5% or more stockholder acquires additional shares from any other stockholder;
- A 5% or more stockholder loses any number of shares;
- A 5% or more stockholder ceases to be a 5% or more stockholder;
- A less than 5% stockholder acquires enough shares to become a 5% or more stockholder;
- An officer changes in a corporate permit holder;
- There is a change in the stockholder who holds the greatest number of shares (the plurality) in the corporation.

*Example:            "A" holds a 45 shares  
                          "B" holds a 25 shares  
                          "C" holds a 30 shares*

*"A" holds the plurality. If "A" sells 20 shares to "C", "C" would now have the plurality of 50 shares. No one holds a majority of the shares.*

**All changes of 5% or more stockholders or number of shares held must be reported to the Division as soon as the change is contemplated.** If there is a change in the number of shares only, due to a stock split or stock dividend, filing of this application is not required. However, such change in the number of shares held must be reported to the Division together with an affidavit and DLC 4030 over the signature of the Secretary of the corporation certifying such fact and the date of its occurrence.

- **Under "PREVIOUS 5% OR MORE STOCKHOLDERS"** print names of present 5% or more stockholders and number of shares owned as listed on Division records.
- **Under "REVISED 5% OR MORE STOCKHOLDERS"** print names of the proposed new 5% or more stockholders and the **remaining** 5% or more stockholders, with number of shares to be held by each.
- **The** application form DLC4158 must be signed by an officer or 5% stockholder, and the signature notarized.

Return application and all documents to the:

Ohio Department of Commerce,  
Division of Liquor Control,  
6606 Tussing Road, P.O. Box 4005,  
Reynoldsburg, Ohio 43068-9005  
(614) 644-3156

**IMPORTANT:** Applications for transfer of ownership, location, or for an additional class permit will not be approved while there is a pending change of Corporate Stock Ownership application on file. Failure to cooperate with the Division in furnishing the necessary information will delay issuance of a pending application.

**FOR OFFICE USE ONLY**

Stock Transfer #  
\_\_\_\_\_

**OHIO DEPARTMENT OF COMMERCE - DIVISION OF LIQUOR CONTROL**  
6606 TUSSING ROAD, P.O. BOX 4005  
REYNOLDSBURG, OHIO 43068-9005



**SUMMARY OF STOCK PURCHASE AGREEMENT**

I, \_\_\_\_\_, have/will purchase  
(Buyer)  
\_\_\_\_\_ number of shares from \_\_\_\_\_, of the  
(# of Shares) (Seller)  
corporation \_\_\_\_\_ located at \_\_\_\_\_,  
(Corporation Name) (Address)  
in the City of \_\_\_\_\_,  
County of \_\_\_\_\_, and State of Ohio.  
"Permit" # \_\_\_\_\_.

**Consideration -** Buyer has paid or will pay seller for stock, the sum of \_\_\_\_\_  
dollars (\$ \_\_\_\_\_).

List Details of Transaction Below: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(Signed) \_\_\_\_\_ (Signed) \_\_\_\_\_  
(Buyer) (Date) (Seller) (Date)

(Signed) \_\_\_\_\_ (Signed) \_\_\_\_\_  
(Buyer) (Date) (Seller) (Date)

## REQUIRED DOCUMENTS FOR ACCEPTANCE OF A TRANSFER OF CORPORATE STOCK OWNERSHIP APPLICATION

Please use the list below to check off  
the application packet.



all items as you complete them, to submit with

### FAILURE TO SUBMIT THE FOLLOWING DOCUMENTS MAY RESULT IN THE RETURN OF YOUR APPLICATION

**Application:** Application must be completed in full, all questions answered, signed, and notarized.

**Application Processing Fee:** \$100.00 Processing Fee for each location where there is a plurality change in stock. If there is less than a plurality change, and you are only adding a new 5% stockholder, regardless of how many permits you hold, only submit one application with the \$100.00 processing fee. Make check payable to Division of Liquor Control.

**Background Check:** **PLEASE READ "BACKGROUND CHECK INFORMATION" DLC4191**

**Personal History Background Form (DLC4121):** Section A. ONLY must be completed in full for each stockholder or officer for whom a background check will be performed by the Ohio Bureau of Identification and Investigation (BCI&I).

**Stock Purchase Agreement, Gift Affidavit, or Stock Redemption Agreement:** Stating the exact number of shares and total consideration paid. If an estate is involved, submit a certified copy of the "Will" and Distribution in Kind.

**Financial Verification Worksheet:** This form is to be completed in full attaching supporting documentation if necessary.