# INSTRUCTIONS FOR COMPLETING <br> DBPR - ABT 6011 <br> DIVISION OF ALCOHOLIC BEVERAGES AND TOBACCO APPLICATION FOR ALCOHOLIC BEVERAGE CATERER'S LICENSE 

If you have any questions or need assistance in completing this application, please contact the Division of Alcoholic Beverages \& Tobacco's (AB\&T) local district office. Please submit your completed application and required fee(s) to your local district office. This application may be submitted by mail, through appointment, or it can be dropped off. A District Office Address and Contact Information Sheet can be found on $A B \& T$ 's web site at the link provided below:
http://www.myflorida.com/dbpr/abt/district offices/licensing.html

## GENERAL INSTRUCTIONS

## Submitting Your Application

Applications for caterers of alcoholic beverages are filed with the Division of Alcoholic Beverages and Tobacco. Please complete all information. All questions are applicable and must be answered fully and truthfully. You must provide an original application and supporting documentation. All signatures must be original. If eligible, a temporary license may be purchased.

## Contact Person

All communications regarding your application and invoices for payments of initial and renewal fees will be sent to the applicant/licensee at the mailing or email address provided. However, if you would like for us to communicate with someone other than the applicant regarding your application, please provide the name and contact information for that person in the "License Information" section. Your named contact person will be permitted to make changes to the application paperwork on your behalf (except Related Party Personal Information Sheet) and we will communicate directly with them regarding any application issues or deficiencies, and you will not be copied by the division with the correspondence. Once the application is approved, all invoices and any subsequent communications will be sent to the mailing address of the licensee.

## APPLICATION REQUIREMENTS

## Department of Revenue Clearance

Department of Revenue clearance is required on applications for all new, transfer, and correction of information applications which change the licensee's name. Applications must be submitted within 90 days of receiving this approval.

## Division of Hotels and Restaurants

The applicant must obtain approval from the Division of Hotels and Restaurants as proof of compliance with Chapter 509, Florida Statutes. Applications must be submitted within 90 days of receiving this approval.

## Affidavit of Applicant

The affidavit must be signed by the individual applicant, each partner of a general partnership, a general partner of a general partnership of a limited partnership, a managing member, manager, or officer of a limited liability company, each partner of a limited liability partnership, or one of the officers of a corporate applicant.

## Affidavit of Transferor

The affidavit of transferor must be completed for all transfer applications. The affidavit must be signed by the individual owner, a partner of each general partnership, a general partner of each general partnership of a limited partnership, a managing member or manager of a limited liability company, or one of the officers of a corporate applicant. If the transfer is pursuant to operation of law or judicial proceedings, certified copies of court order(s) in which the applicant is named may be accepted in lieu of signature(s) of seller.

## Fingerprints

Note: If you are a current licensee with the Florida Division of Alcoholic Beverages \& Tobacco you are not required to submit a new set of fingerprints with your application unless you have been arrested since your prior submission of fingerprints to the division. If you are not a current licensee but have been fingerprinted for this division in the past three (3) years, and you have not been arrested since that time, you are not required to submit new fingerprints unless the prior application was withdrawn or nonconsummated. Applicants whose fingerprints are returned to the division as illegible will be required to submit a second set of fingerprints.

Fingerprints must be submitted by each sole proprietor; officers, directors, individual share holders owning more than $1 / 2$ of 1 percent of stock in non-public corporations; general partners of general partnerships; general partners of a limited partnership; officers, managing members or managers of a limited liability company; partners of a limited liability partnership, and persons directly interested and receiving financial proceeds from the business.

Applicants must use a Livescan vendor that has been approved by the Florida Department of Law Enforcement to submit their fingerprints to the department. Costs associated with the fingerprint process will be collected by the vendor. Vendor options and contact information can be viewed at Livescan Device Vendors List (Livescan Device Vendors List). Please ensure that the Originating Agency Identification (ORI) number for the Division of Alcoholic Beverages and Tobacco is provided to the vendor when you submit your fingerprints. The ORI number is FL920150Z. If you do not provide the ORI number, or if you provide an incorrect ORI number to the vendor, the Department of Business and Professional Regulation will not receive your fingerprint results.

## Out of State Alcoholic Beverage and Tobacco Applicants only:

Your fingerprint card can be obtained from the Department of Business and Professional Regulation by contacting the Division of Alcoholic Beverages and Tobacco at 850.488.8284, or one of the division's district offices. A listing of the district offices on the web can be found at http://www.myflorida.com/dbpr/abt/district offices/licensing.html. Out of state applicants must be fingerprinted by a law enforcement agency on cards provided by the division (note: law enforcement agencies may charge for this service). The Division of Alcoholic Beverages and Tobacco has a unique

ORI number that is required for processing the fingerprints back to the division, therefore, you must contact one of our offices to make a request for a card to be mailed to you.

Once your fingerprint card is received, you may then go to a local law enforcement office in your area to have your fingerprints rolled onto the card. Other information will be completed at the local law enforcement agency. For all programs, the completed card must be mailed to Pearson VUE at: FLDBPR, Florida Fingerprinting Program, Prints Inc. 119 East Park Avenue, Tallahassee, FL 32301 where the fingerprint card will be scanned. Prior to mailing your fingerprint card, you must complete the following steps in order to make advance payment of $\$ 54.50$ (do not send any money to PrintsInk, please follow the procedure below):

## OUT OF STATE LIVESCAN FINGERPRINTING REGISTRATION DIRECTIONS with Pearson VUE and or its subcontractor Morpho Trust (formerly known as L-1)

1. Log onto the Pearson VUE website at https://pearson.ibtfingerprint.com/
2. Select Continue in English
3. Enter your legal first and last name.
4. Choose your agency from the drop down list
5. Select Pay For Ink Card Submission
6. Complete all of the required demographic information
7. Once you have entered your information select "Send" at the bottom of the page and you will be provided a verification page. You should verify that all the information you provided is correct and that you are being printed for the correct agency.
8. If everything is correct select "Go" at the top of the page and you have completed the entering of the required demographic information.
9. Choose your form of payment the option and then "Select". At this time you will be able to enter either your credit/debit card information, or e check information.
10. Print the confirmation page. NOTE: you MUST include a copy of the confirmation page in the package with the fingerprint card sent to Prints Ink. Failure to provide the confirmation page may cause a delay in processing your fingerprint card.

NOTE: Failure to follow these instructions and make payment will result in your fingerprint card being returned to you and delay the processing of your fingerprints, and therefore, your application. To check on the status of your card, please call 1-800-528-1358 and not PrintsInk.

## Social Security Number

Under the Federal Privacy Act, disclosure of Social Security numbers is voluntary unless a Federal statute specifically requires it or allows states to collect the number. In this instance, disclosure of social security numbers is mandatory pursuant to Title 42 United States Code, Sections 653 and 654; and sections $409.2577,409.2598$, and 559.79 , Florida Statutes. Social Security numbers are used to allow efficient screening of applicants and licensees by a Title IV-D child support agency to assure compliance with child support obligations. Social Security numbers must also be recorded on all professional and occupational license applications and are used for licensee identification pursuant to the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (Welfare Reform Act), 104 Pub.L.193, Sec. 317. The State of Florida is authorized to collect the social security number of licensees pursuant to the Social Security Act, 42 U.S.C. 405(c)(2)(C)(I). This information is used to identify licensees for tax administration purposes, and the division will redact the information from any public records request.

## Registration of Legal Entity

All corporations, domestic or foreign; general partnerships; limited liability companies; and limited partnerships are required to be registered with the Florida Department of State, Division of Corporations. If you have not already registered, you will need to contact the Department of State at (850) 488-9000 or www.sunbiz.org for further information. Your application will be considered incomplete without this active registration.

## Related Party Personal Information

This section of the application must be completed with original signatures for each applicant or person(s) directly connected with the business, unless they are current licensees. This will include the sole proprietor, all partners, officers, directors, individual share holders owning more than $1 / 2$ of 1 percent of stock in non-public corporations, all partners of each general partnership, all general partners of a limited partnership, all managing members or managers of a limited liability company, and persons directly interested and receiving financial proceeds from the business. It is important that each individual discloses any arrests they have had within the past 15 years, even if they were charged, but not formally arrested, and regardless of the disposition.

## Copy of Arrest Disposition

If the applicant answers "yes" to any of the criminal background questions asked in this application, provide a copy of the Arrest Disposition to ensure the applicant is qualified, pursuant to Statute and Rule.

## Mitigation for Moral Character

If the applicant is required to submit an arrest disposition, they may also be required to submit mitigation under the moral character rule. A copy of the rule and requirements can be found on AB\&T's page of the DBPR web site.

## Direct Interest

A direct interest is a person or entity having an interest with the applicant in the business sought to be licensed and, includes but is not limited to:

1. an interest which is created by virtue of the interested party deriving revenue from the license; 2. a person or entity having the right to receive revenue based on a contractual relationship related to the control of the sale of alcoholic beverages, the terms of which, are contrary to 561.17, Florida Statutes, or 61A-3.017, Florida Administrative Code;
2. a person or entity who has a right to a percentage payment from the proceeds of the business, either by lease or otherwise.
A direct interest does not include any person that derives revenue from the license solely through a contractual relationship with the licensee, the substance of which is not related to the control of the sale of alcoholic beverages, or is specifically exempt by statute or rule.

## Federal Employer's Identification Number (FEIN)

All licensees who pay wages to one or more employees must have a Federal Employer's Identification Number. Contact the Internal Revenue Service (IRS) at 1-800-829-3676 and request Form \#SS4.

## APPLICATION CHECKLIST

| TRANSACTION | APPLICATION REQUIREMENTS |
| :---: | :---: |
| Initial License as Caterer (13CT) | Complete DBPR ABT-6011 Division of Alcoholic Beverages and Tobacco Application for Alcoholic Beverage Caterer's License <br> - Pay $\$ 455$ fee if requesting an initial temporary license (make check payable to the Division of Alcoholic Beverages and Tobacco) <br> - Submit fingerprint receipt, if applicable <br> - Submit Copy of Arrest Disposition, if applicable <br> - Submit Mitigation for Moral Character, if applicable <br> - Submit Right of Occupancy |
| Transfer of Ownership | Complete DBPR ABT-6011 Division of Alcoholic Beverages and Tobacco Application for Alcoholic Beverage Caterer's License <br> - Pay $\$ 100$ fee if requesting a temporary license (make check payable to the Division of Alcoholic Beverages and Tobacco) <br> Submit fingerprint receipt, if applicable <br> Submit Copy of the Arrest Disposition, if applicable <br> Submit Mitigation for Moral Character, if applicable <br> Submit Right of Occupancy |
| Change of Location | Complete DBPR ABT-6011 Division of Alcoholic Beverages and Tobacco Application for Alcoholic Beverage Caterer's License <br> - Pay $\$ 35$ fee (make check payable to the Division of Alcoholic Beverages and Tobacco) <br> - Submit Copy of Agreement(s) with Interested Parties Submit Right of Occupancy |

DEPARTMENT OF BUSINESS AND PROFESSIONAL REGULATION
NOTE - This form must be submitted as part of an application packet

ABT- 6011
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http://www.myflorida.com/dbpr/abt/district offices/licensing.html

| SECTION 1 - CHECK TRANSACTION REQUESTED |  |  |  |
| :---: | :---: | :---: | :---: |
| Transaction Type: |  |  |  |
| Initial Permanent License Change of Location | $\square$ Transfer of Ownership Correction | Do you wi Yes | h to purchase a Temporary License? No |
| Is this application for the transfer of a license? $\square$ Yes $\square$ No |  |  |  |
| Current Business Name (D/B/A) |  |  | Current License Number |
| If this application is for the transfer of this license, is the transfer due to revocation proceedings? $\square$ Yes $\square$ No <br> If yes, is there any personal relationship to the transferor? Yes No <br> If yes, explain the relationship: |  |  |  |

SECTION 2 - LICENSE INFORMATION
If the applicant is a corporation or other legal entity, enter the name and the document number as registered with the Florida Department of State Division of Corporations on the line below.
Full Name of Applicant: (This is the name the license will be issued in)

| Department of State Document \# | FEIN Number |
| :--- | :--- |

Business Name (D/B/A)

Location Address (Street and Number)

| City | County | State FL | Zip Code |
| :---: | :---: | :---: | :---: |
| Business Telephone Number | E-mail Address |  |  |
| Business Mailing Address |  | State | Zip Code |

The section below is optional and only to be completed if you wish to specify an individual to whom all communication about your application will be sent.

| Contact Person | Telephone Number |
| :--- | :--- |

E-Mail Address

| Mailing Address (Street or P.O. Box) | State | Zip Code |
| :--- | :--- | :--- |

## ABT District Office Received / Date Stamp

SECTION 3 - RELATED PARTY PERSONAL INFORMATION
This section must be completed for each person directly connected with the business, unless they are a current licensee.

1. Business Name (D/B/A)
2. Full Name of Individual

| Social Security Number* |  | Home Telephone Number |  | Date of Birth |  |
| :--- | :--- | :--- | :--- | :--- | :--- |
| Race | Sex | Height | Weight | Eye Color | Hair Color |

3. Are you a U.S. citizen?
$\square$ Yes $\square$ No
If no, immigration card number or passport number:
4. Home Address (Street and Number)

| City | State | Zip Code |
| :--- | :--- | :--- |

5. Do you currently own or have an interest in any business selling alcoholic beverages, wholesale cigarette or tobacco products, or a bottle club?YesNo
If yes, provide the information requested below. The location address should include the city and state. Business Name (D/B/A)

## Location Address

6. Have you had any type of alcoholic beverage, or bottle club license, or cigarette, or tobacco permit refused, revoked or suspended anywhere in the past 15 years?
$\square$ Yes No
If yes, provide the information requested below. The location address should include the city and state. Business Name (D/B/A)

Location Address
7. Have you been convicted of a felony within the past 15 years? $\square$ Yes $\square$ No If yes, provide the information requested below and provide a Copy of the Arrest Disposition, as requested in the Application Requirements checklist.
Date
8. Have you been convicted of an offense involving alcoholic beverages anywhere within the past 5 years? $\square$ Yes $\square$ No If yes, provide the information requested below and provide a Copy of the Arrest Disposition, as requested in the Application Requirements checklist.
Date
9. Have you been arrested or issued a notice to appear in any state of the United States or its territories within the past 15 years?Yes $\square$ No
If yes, provide the information requested below and a Copy of the Arrest Disposition.
Attach additional sheet if necessary.

| Date | Location |
| :--- | :--- |

Type of Offense
10. Are you an official with State police powers granted by the Florida Legislature?

Yes $\square$ No

## NOTARIZATION STATEMENT

"I swear under oath or affirmation under penalty of perjury as provided for in Sections 559.791, 562.45 and 837.06, Florida Statutes, that I have fully disclosed any and all parties financially and or contractually interested in this business and that the parties are disclosed in the Disclosure of Interested Parties of this application. I further swear or affirm that the foregoing information is true and correct."

STATE OF $\qquad$

COUNTY OF
APPLICANT SIGNATURE

The foregoing was ( ) Sworn to and Subscribed OR ( ) Acknowledged Before me this $\qquad$ Day
of $\qquad$ , 20 $\qquad$ , By $\qquad$ who is ( ) personally (print name of person making statement) known to me OR ( ) who produced $\qquad$ as identification.

## Notary Public

(ATTACH ADDITIONAL COPIES AS NECESSARY)

## *Social Security Number

Under the Federal Privacy Act, disclosure of Social Security numbers is voluntary unless a Federal statute specifically requires it or allows states to collect the number. In this instance, disclosure of social security numbers is mandatory pursuant to Title 42 United States Code, Sections 653 and 654; and sections 409.2577, 409.2598, and 559.79, Florida Statutes. Social Security numbers are used to allow efficient screening of applicants and licensees by a Title IV-D child support agency to assure compliance with child support obligations. Social Security numbers must also be recorded on all professional and occupational license applications and are used for licensee identification pursuant to the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (Welfare Reform Act), 104 Pub.L.193, Sec. 317. The State of Florida is authorized to collect the social security number of licensees pursuant to the Social Security Act, 42 U.S.C. 405(c)(2)(C)(I). This information is used to identify licensees for tax administration purposes.

Business Name (D/B/A)
The named applicant for a license/permit has complied with the Florida Statutes concerning registration for
Sales and Use Tax.

1. This is to verify that the current owner as named in this application has filed all returns and that all outstanding billings and returns appear to have been paid through the period ending $\qquad$ or the liability has been acknowledged and agreed to be paid by the applicant. This verification does not constitute a certificate as contained in Section 212.10 (1), F.S. (Not applicable if no transfer involved).
2. Furthermore, the named applicant for an Alcoholic Beverage License has complied with Florida Statutes concerning registration for Sales and Use Tax, and has paid any applicable taxes due.

Signed $\qquad$ Date $\qquad$
Title $\qquad$
Department of Revenue Stamp:

## SECTION 5 - DIVISION OF HOTELS AND RESTAURANTS

Full Name of Applicant
The named applicant for a license has complied with the requirements of Chapter 509, Florida Statutes, and is currently licensed by the Division of Hotels and Restaurants to provide catering services and complies with the requirements of the Florida Sanitary Code.

Signed $\qquad$ Date $\qquad$
Title $\qquad$

## SECTION 6 - CONTRACTS OR AGREEMENTS

Business Name (D/B/A)
These questions must be answered about this business for every person or entity listed as the applicant and copies of agreements must be submitted with this application. If the management, service, or other contractual agreement gives a person or entity control of the licensed premises or the sale of alcoholic beverages, disclosure of those persons must be made in the section labeled "DIRECT INTEREST" in the DISCLOSURE OF INTERESTED PARTIES section. They must also submit fingerprints and a related party personal information sheet.

1. |  | Yes $\square$ | No $\square$ | Is there a management contract, franchise agreement, or service agreement in |
| :--- | :--- | :--- | :--- | connection with this business?
2. Yes $\square$ No $\square \quad$ Are there any agreements which require a payment of a percentage of gross or net receipts from the business operation?
3. Yes $\square \quad$ No $\square \quad$ Have you or anyone listed on this application, accepted money, equipment or anything of value in connection with this business from a manufacturer or wholesaler of alcoholic beverages?

## SECTION 7 - APPLICANT ENTITY FELONY CONVICTION

Has the applicant entity been convicted of a felony in this state, any other state, or by the United States in the last 15 years?
$\square$ YesNo
If the answer is "Yes," please list all details including the date of conviction, the crime for which the entity was convicted, and the city, county, state and court where the conviction took place.
(Attach additional sheets if necessary)

SECTION 8 - DISCLOSURE OF INTERESTED PARTIES
Note: Failure to disclose an interest, direct or indirect, could result in denial, suspension and/or revocation of your license.
Business Name (D/B/A)

1. When applicable, please complete the appropriate section below. Attach extra sheets if necessary.

2. Are there any persons not listed above who have guaranteed or co-signed a lease or loan, or any person or entity who has loaned money to the business that is not a traditional lending institution?
$\square$ Yes No
If yes, and the terms create a direct interest in the business, you must list the person(s) or entity and indicate which of the below applies. Each directly interested person must submit fingerprints and a related party personal information sheet. Copies of agreements must be submitted with this application.


Business Name (D/B/A)
"I, the undersigned individually, or if a registered legal entity for itself, its officers and directors, hereby swear or affirm that I am duly authorized to make the above and foregoing application, and agree that the place where business is being conducted may be inspected and searched during business hours or at any time business is being conducted on the premises without a search warrant by officers of the Division of Alcoholic Beverages and Tobacco, agents of the Division of Hotels and Restaurants, the Sheriff, his Deputies, and Police Officers for the purposes of determining compliance with the beverage law. It is understood that we must maintain for a period of three (3) years all records required by the division by statute to demonstrate compliance with the requirements of the purchase of alcoholic beverages and records identifying each customer and the location and date of each catered event.
"I, the undersigned individually, or if a corporation for itself, its officers and directors, acknowledge the requirement that a caterer must derive at least 51 percent of its gross revenue from the sale of food and nonalcoholic beverages, and be licensed by the Division of Hotels and Restaurants under chapter 509. If the alcoholic beverage caterer is licensed under $s .565 .02(1)$ and is not providing food, there must also be a licensed food caterer at the event. Alcoholic beverages may only be sold or served for consumption on the premises of the catered event. Alcoholic beverages may only be purchased from a vendor licensed under s. 563.02(1), s. 564.02(1), or s. 565.02(1). Any unused alcoholic beverages for a catered event must remain with the customer; unless the vendor from which the beverages were purchased accepts unopened alcoholic beverages for a credit or reimbursement."

I swear under oath or affirmation under penalty of perjury as provided for in Sections 559.791, 562.45, and 837.06, Florida Statutes, that the foregoing information is true and that no other person or entity except as indicated herein has an interest in the license and that all of the above listed persons or entities meet the qualifications necessary to hold an interest in the alcoholic beverage license."

STATE OF $\qquad$
COUNTY OF $\qquad$

APPLICANT SIGNATURE

APPLICANT SIGNATURE

The foregoing was ( ) Sworn to and Subscribed OR ( ) Acknowledged Before me this $\qquad$ Day of $\qquad$ , 20 $\qquad$ , By $\qquad$ who is ( ) personally (print name(s) of person(s) making statement) known to me OR ( ) who produced $\qquad$ as identification.
$\qquad$
Notary Public

Business Name (D/B/A)
I, the undersigned, hereby swear or affirm that I am duly authorized to make this affidavit and do hereby consent, on my behalf or on behalf of the transferor, to the above transfer, and represent to the Division of Alcoholic Beverages and Tobacco that the license which is being transferred is as shown in the application and that a bona fide sale in good faith has been made to the within applicant of the business for which the foregoing transfer of license is sought.

STATE OF $\qquad$
COUNTY OF $\qquad$

APPLICANT SIGNATURE

APPLICANT SIGNATURE
The foregoing was ( ) Sworn to and Subscribed OR ( ) Acknowledged Before me this $\qquad$ Day of $\qquad$ , 20 $\qquad$ , By $\qquad$ who is ( ) personally (print name(s) of person(s) making statement) known to me OR ( ) who produced $\qquad$ as identification.
$\qquad$

This section is to be completed for all current alcoholic beverage and/or tobacco license holders listed on the application to ensure the most up to date information is captured.
Business Name (D/B/A)


