

GUIDE TO FILING MASS TRANSFER APPLICATIONS

The information provided in this document is intended to assist with the filing of mass transfer applications. There may be documents required and requested by the Department other than those listed below.

REQUIRED FORMS

- Application Signature Sheet, ABC-211-sig (sign on) (original & 1 copy)
- License Transfer Request, ABC-211-A (sign off) (original & 1 copy)
- Notice of Intended Transfer, ABC-227 or ABC-227A (original & 1 copy)
- Application Questionnaire, ABC-217 (original)
- Corporate, LLC or LP Questionnaire, ABC-243, ABC-256LLC or ABC-256 (original)
- Certification re: Chapter 15 Tied House Restrictions, ABC-140 (original)
- Articles of Incorporation or Articles of Organization (Form LLC-1) (copy)
- Applicable corporate paperwork (ex. Operating Agreement) (copy)
- Individual Personal Affidavit, ABC-208A (original)
- Individual Financial Affidavit, ABC-208B (original)
- Licensed Premises Diagram, ABC-257 & Planned Operation, ABC-257 reverse (original – *for person to person or fiduciary transfers only*)
- Cover letter with a description of the transfer
- Organizational chart reflecting the ownership structure (with percentage of interest)
- List of all licenses involved (including license types, status, addresses, Dbas)
- A copy of the bankruptcy documents certified by the State of Federal Court (if appropriate)

MISCELLANEOUS INFORMATION

- To request P-12 status, a P-12 Request/Acknowledgement Form (ABC-811) must be completed.
- A P-12 corporation only needs to provide one set of corporate documents for the master file.
- Most application forms can be found at <http://www.abc.ca.gov/forms/PDFApp.html>
- To file a mass transfer, you must first contact the District Administrator or District Supervisor at the district office that holds the master/base file. The District Administrator or Supervisor will consult with Division and/or the HQ Licensing Unit to determine how the investigation will be handled. Contact information for each district office can be found at <http://www.abc.ca.gov/distmap.html>.
- A Premises Diagram, Form ABC-257, is required for all person to person and fiduciary transfers. This requirement will not be waived and must be completed properly. See the sample ABC-257 provided.

INSTRUCTIONS FOR FILING A MASS TRANSFER

- All appropriate licensing fees must be included with the applications. We will not process any applications and/or temporary permits without receiving the fees.
- If a priority license is involved in the transfer that has not matured past the 2 year restriction, a letter must be included requesting a hardship transfer of that specific license.
- 100% of the stock and membership interest must be reported on the corporate questionnaires. Generally, individuals holding 10% or more ownership interest are required to be qualified but all stockholders and members are required to be disclosed even if their interest is less than 10%. A statement such as “Five stockholders holding less than 10% of stock” will not be accepted.
- Stock transfers – Include all active licenses held by the transferring entity including surrendered licenses. It does not matter when that license was issued. If it is an active license, it must be included.
- 24044 B.P. – Applications pending under Section 24044 B.P. do not need to be included in a stock transfer unless that license becomes active before the stock transfer is complete.
- All licenses located within a county can be consolidated on one Notice of Intended Transfer, Form ABC-227. However, copies of the recorded notice must be provided for each license application.

FEES

- See the fee schedule: <http://www.abc.ca.gov/permits/permits.html>
- Temporary permits cost \$100 for each license type. If one license number has multiple license types, include an extra \$100 for each type. For example, if there is a type 47 and a type 68 under one license number, it will cost \$200 for the temporary permit. (There is no temporary permit fee for a type 58, Caterer’s Permit.)
- Temporary licenses will generally be processed between 3 business days to 2 weeks depending on Department staffing and the amount of permits requested.
- The stock transfer fee for a general license is \$800 for the first license, then \$100 for each additional license type. Unreported stock transfer fees will follow the same fee schedule.
- To expedite processing, break up the checks so each check covers 25 to 30 applications. For example, if there are 75 applications, provide 3 separate checks with each check covering 25 applications.
- Fingerprinting fees must be collected for each individual that is going to be qualified. The fee is \$63 per person which includes the state fee (\$39) and the federal fee (\$24).