



**APPLICATION FOR TRANSFER OF OWNERSHIP OR OWNERSHIP & LOCATION OF ALL PERMIT CLASSES LISTED BELOW**  
**CAUTION: ALLOW 10 TO 12 WEEKS FOR PROCESSING. RETURN TO ADDRESS LISTED ABOVE**

**FEE: \$100.00 PROCESSING FEE - made payable to the Division of Liquor Control (Non-Refundable)**

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.

<b>Seller (Individual, Corporation, Partnership or LLC):</b>		<b>Buyer (Individual, Corporation, Partnership or LLC):</b>	
DBA (doing business as):		DBA (doing business as):	
Premises Address:		Premises Address:	
Township (if outside city limits):	County:	Township (if outside city limits):	County:
City & Zip Code:		City & Zip Code:	
Email:		Email:	
Mailing Address:		Mailing Address:	
Phone Number:		Phone Number:	
Attorney's Name & Address:		Attorney's Name & Address:	
Attorney's Telephone Number:	Seller's Permit Number:	Attorney's Telephone Number:	

SELECT Class(es) of Permit(s) Being Transferred:  A1  A1A  A2  A3  A4  B1  B2  B3  B4  B5  
 C1  C2  C2X  D1  D2  D-2X  D3  D3A  D3X  D5  D6  D7  OTHER \_\_\_\_\_

SELECT Type of Transaction:  CORPORATE NAME CHANGE  CONVERSION  GIFT  MERGER  
 SALE  OTHER \_\_\_\_\_

SELECT Type of Business:  INDIVIDUAL If Individual, list Social Security Number: \_\_\_\_\_  
 CORPORATION  LLC  PARTNERSHIP

Is this an Economic Development (TRES) Transfer?  YES  NO If you answered "YES," you must submit Form DLC4244 (See page 4 of this form for further TRES information).

**FOR DIVISION USE ONLY**

Data Entry Initials: _____	Data Entry Action:	Comments/Notes:
RECEIPT NUMBER:	Violations: <input type="checkbox"/> YES <input type="checkbox"/> NO If "YES", what type _____	
TAXING DISTRICT	Ren Status: <input type="checkbox"/> ISSD <input type="checkbox"/> PEND	
SELLERS NUMBER	Proc. Fee Pd: <input type="checkbox"/> YES <input type="checkbox"/> NO	
BUYERS NUMBER	BCI Fee Amount Paid: \$ _____	
	BUS. TYPE	

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 \_\_\_\_\_
  
- 2a. 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.
- 2b. If applicant is a sole proprietor or partnership, will spouse work on the permit premises?  YES  NO  
 If YES, indicate spouse's full name \_\_\_\_\_
  
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. Does applicant own the real estate on which the proposed business will be located?  YES  NO  
**If NO,** submit a signed and dated copy of your LEASE, RENTAL CONTRACT, OR DLC 4085 Summary of Tenancy Rights Form.
  
5. Will the applicant be the sole owner of the fixtures and equipment?  YES  NO  
**If NO,** submit a signed and dated copy of the rental agreement for the fixtures and equipment.
  
6. Will any person, partnership, LLC, or corporation, excluding banks, building and loan associations, or the seller have **ANY** financial interest (such as money, loans, installment contracts, property or other interest) or share in the profits in your business or your property, real or personal?  YES  NO  
**If YES,** attach a written explanation. **NOTE: Ohio Revised Code Section 4303.293 provides a criminal penalty for failure to answer this question completely and correctly.**
  
7. If transferring C or D class permits, do you or any partner, office holder, managing member, member, stockholder, employee, spouse or any 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
  
8. If transferring A or B class permits, do you or any partner, office holder, managing member, member, stockholder, employee, spouse or any 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

**THE FOLLOWING MUST BE COMPLETED BY THE SELLER(S):**

I, \_\_\_\_\_, hereby authorize the Division of Liquor Control to process this application  
Print Name(s)

\_\_\_\_\_  
(Signature and Title)

\_\_\_\_\_  
(Residence Address)

\_\_\_\_\_  
(City)

\_\_\_\_\_  
(State)

\_\_\_\_\_  
(Zip Code)

\_\_\_\_\_  
(Area Code & Phone No.)

**THE FOLLOWING MUST BE COMPLETED BY THE BUYER(S):**

**WARNING:** Ohio Law provides that as a proposed buyer you could be liable as a successor of the permit holder's unpaid sales, use, and withholding tax liabilities. The Division of Liquor Control will be unable to transfer the permit until the tax and assessment matters are resolved to the satisfaction of the particular agency. The buyer should request that seller obtain a sales tax release certificate, by contacting the Ohio Department of Taxation, Sales and Use Tax Division, Release Unit. A Withholding Tax Release Certificate Request should be made by contacting the Ohio Department of Taxation, Withholding Tax Division, Business Billing Unit. Also, the current permit holder may still owe Unemployment Compensation payments. To discuss these possible liabilities, you should contact the Ohio Department of Job & Family Services.

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

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

\_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(Title)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Residence Address)

\_\_\_\_\_  
(City)

\_\_\_\_\_  
(State)

\_\_\_\_\_  
(Zip Code)

\_\_\_\_\_  
(Area Code & Phone No.)

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

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

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

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

**NOTE: ALL DOCUMENTS BECOME PART OF THE PERMIT FILE AND WILL NOT BE RETURNED**

## REQUIRED DOCUMENTS FOR ACCEPTANCE OF A TRANSFER PERMIT APPLICATION

Please use the list below to check off  all items as you complete them, to submit with the application packet  
**CAUTION: ALLOW 10 TO 12 WEEKS FOR PROCESSING.**

**FAILURE TO SUBMIT THE FOLLOWING DOCUMENTS MAY RESULT IN THE RETURN OF YOUR APPLICATION, UNRECEIVED, WITH THE POSSIBLE LOSS OF PRIORITY ON THE QUOTA LIST.**

- Application:** Application must be completed in full, all questions answered, signed, and notarized.
- Application Processing Fee:** \$100.00 - Check made 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).
- Lease or Tenancy Agreement:** Submit copy of signed and dated lease, tenancy agreement, or may submit DLC Form 4085 "Summary of Tenancy Rights" completed in full.

### REQUIRED DOCUMENTS TO BE FILED BY COURT APPOINTED TRANSFERS

- Certified copy of the Journal Entry from the Court approving the sale, **OR** a certified copy of the Journal Entry of Distribution in Kind, **OR** a certified copy of the FINAL ACCOUNT showing distribution of the assets.

### REQUIRED DOCUMENTS TO BE FILED BY INDIVIDUAL APPLICANTS

See list above "Required for All Types of Entities." No other documents are needed, unless requested during processing.

**Note:** If you are terminating your partnership and transferring to yourself as an individual, a copy of the DISSOLUTION AGREEMENT or COURT ORDER ending the partnership will be required.

### REQUIRED DOCUMENT TO BE FILED BY NON PROFIT ENTITIES

- 4029 Form:** To be filed by Governmental or Educational entities, or other non-profit businesses. Form must be completed in full. List the top five officers, including social security numbers. This form must be notarized.

### REQUIRED DOCUMENTS TO BE FILED BY CORPORATIONS

- 4030 Form (Corporation):** Form must be completed in full. List the top five officers, including social security numbers. Indicate all stock holders over 5% including social security numbers. Indicate total shares issued. Must be notarized.
- Certificate of Good Standing From the Secretary of State:** If not incorporated in the State of Ohio, submit a copy of CERTIFICATE OF AUTHORITY TO DO BUSINESS IN OHIO, issued by the Ohio Secretary of State. If corporation is nonprofit, submit a Certificate of CONTINUED EXISTENCE from the Ohio Secretary of State. Ohio Secretary of State: (614) 466-3910 or 1-877-767-3453 - [www.sos.state.oh.us](http://www.sos.state.oh.us)

### REQUIRED DOCUMENTS TO BE FILED BY PARTNERSHIPS

- 4031 Form (Partnership):** Form must be completed in full. Indicate all partners including social security and/or Tax ID numbers. Limited Partnerships need only indicate general partners. Must be notarized.
- Partnership Agreement (if general partnership):** If name is different from and not including the names of all partners. Must be dated within one year of the filing of this application.
- Certificate of Fictitious Name from the Secretary of State:** Ohio Secretary of State: (614) 466-3910 or 1-877-767-3453 [www.sos.state.oh.us](http://www.sos.state.oh.us)

### REQUIRED DOCUMENTS TO BE FILED WITH LIMITED LIABILITY COMPANIES

- 4032 Form (LLC):** Form must be completed in full, indicating all members with 5% or more membership or voting interest, all managing members, and officers, if applicable, including social security numbers. Must be notarized.
- Certificate of Organization from the Secretary of State if applicable:** Ohio Secretary of State: (614) 466-3910 or 1-877-767-3453 [www.sos.state.oh.us](http://www.sos.state.oh.us)

### REQUIRED DOCUMENT TO BE FILED WITH ECONOMIC DEVELOPMENT (TRES) TRANSFER

- DLC Form 4244:** Note: In lieu of Section B being completed, you may attach to this completed form a letter of endorsement from the City, Village or Township in which the TRES transfer will be located.



**LIST OF DOCUMENTS THAT MAY BE SUBMITTED AND/OR REQUESTED  
DURING THE PROCESS OF YOUR TRANSFER APPLICATION**

1. Submit a completed DLC form 4243, Summary of Purchase Agreement, OR signed and dated copy of SALES CONTRACT, stating total amount paid for the business and enclose a list of assets. If a GIFT, send a signed and notarized GIFT AFFIDAVIT. Classes of permits to be transferred must be indicated in these statements.
2. FINANCIAL VERIFICATION OF THE TRANSACTION. Please refer to Form DLC 4096, Financial Verification Worksheet for instructions.
3. **Transfers to Executors or Administrators - NO FILING FEE REQUIRED**
  - Send certified copy of court appointment, signed by the judge and bearing court time-stamp.
4. **Transfers to Court Appointed Representatives**
  - Certified copy of court appointment indicating whether you can operate, bearing signature of the judge, and the court time stamp.

**CORPORATIONS:**

1. If not incorporated in the State of Ohio, a copy of the CERTIFICATE OF AUTHORITY TO DO BUSINESS IN OHIO from the Ohio Secretary of State, (614) 466-3910 or 1-877-767-3453 or you may visit their web-site at [www.sos.state.oh.us](http://www.sos.state.oh.us).
2. Copy of MERGER AGREEMENT if the transaction is a merger, and a Sec. 1701.81 (D) Certificate of Merger from the Ohio Secretary of State or whatever state the merger occurred in.
3. If the seller of the permit business is a corporation, the seller must send a certified copy of the minutes of the stockholders meeting signed by the corporate secretary at which the sale of the permit business assets was approved by the affirmative vote of the holders of two-thirds of the shares, unless the Articles provide for the vote of a different number of shares, but not less than a majority of such shares.

**ECONOMIC DEVELOPMENT TREX TRANSFERS:**

Ohio Revised Code 4303.29 allows for the transfer of location or the transfer of ownership and location of a C-1, C-2, D-1, D-2, D-3, or D-5 permit from a municipal corporation or the unincorporated area of a township to an economic development project located in another municipal corporation or the unincorporated area of another township in which no additional permits of that class may be issued to the applicant under the permit quota. However the transfer may occur only if the applicant notifies the municipal corporation or township to which the location of the permit will be transferred regarding the transfer and the municipal corporation or township acknowledges in writing to the Division of Liquor Control that the transfer will be to an economic development project. A permit may be transferred to a different owner at the same location, or to the same owner or a different owner at a different location in the same municipal corporation or in the unincorporated area of the same township. The statute requires the municipal corporation or township to submit the acknowledgment at the time the application for transfer is filed with the Division. Note: When filing a Transfer as an Economic Development Project, you are required to attach DLC Form 4244 to your transfer application. DLC Form 4244 outlines the factors used to designate the area as an economic development project. Factors that may be used include, but are not limited to, amount invested in the project, total number of jobs created, tax revenues, projected earnings from the project, or plans/drawings of the project.

**ADDITIONAL INFORMATION:**

1. A RENEWAL application must be filed, in the name of the PRESENT PERMIT HOLDER, at least fifteen (15) days before the current permit's expiration date. The renewal application must be filed and signed by current permit holder.
2. A sole proprietor and all partners in a PARTNERSHIP must be U.S. citizens.
3. Issuance of permits is subject to the **WET or DRY** status of location.
4. Return the application, all fees, and all required documents to:

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

**NOTE: DO NOT SEND THE PERMIT OR LIQUOR PURCHASE CARD AT THIS TIME.** These documents will be requested by the Licensing Section of the Division of Liquor Control when the transfer is ready to be issued.

