

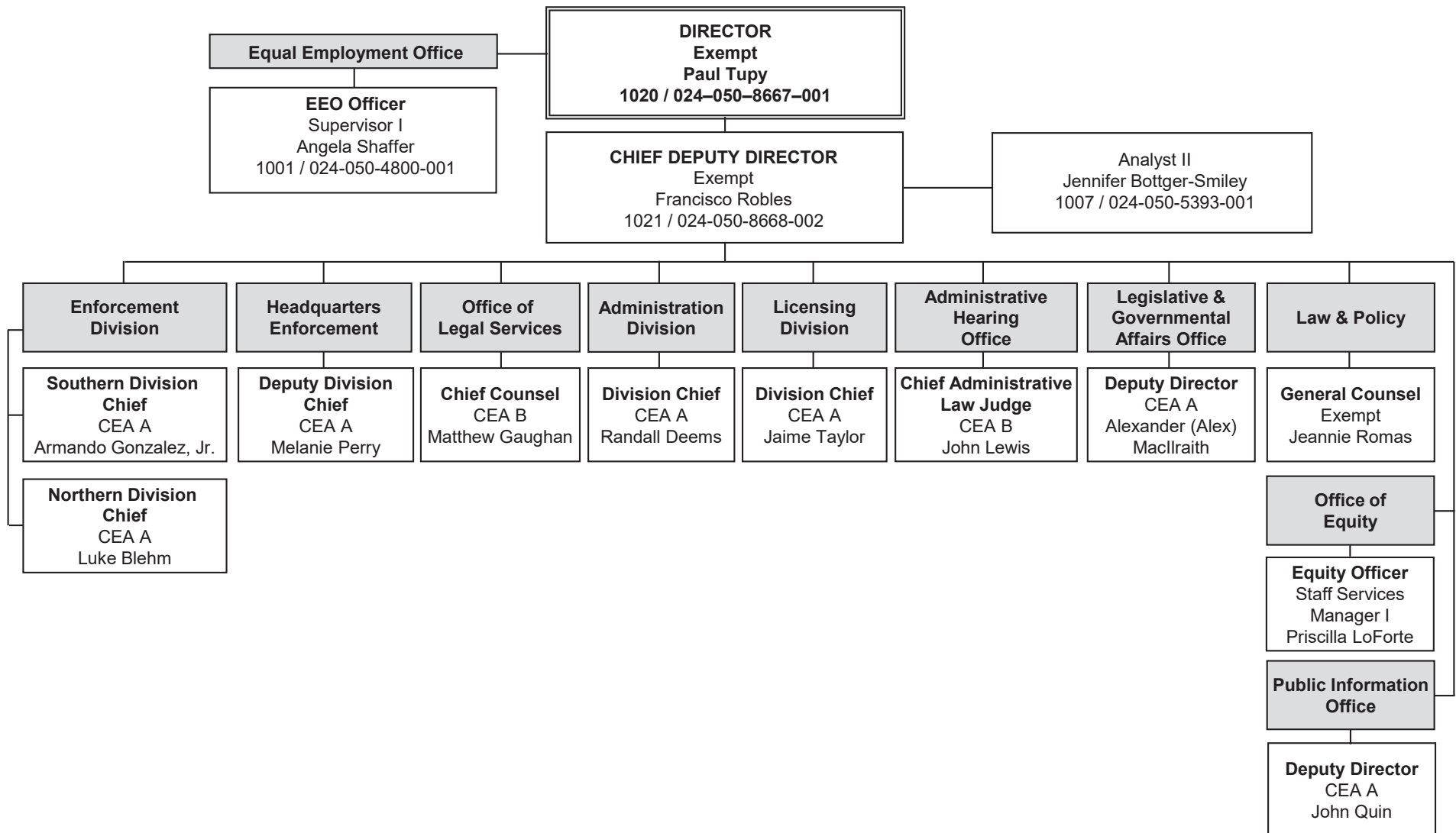
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Attachment A

DEPARTMENT OF ALCOHOLIC BEVERAGE CONTROL

2/28/2026



545.75 positions

Attachment B

ABC Legacy System Modernization North Star

The purpose of this North Star document is to give the Alcoholic Beverage Control (ABC) a shared definition of success for its legacy system modernization effort. It facilitates alignment of decisions, requirements, vendor evaluations, migration sequencing, data strategy, and organizational planning, with a shared understanding of the foundational vision for the Legacy Systems Modernization Project.

Vision Statement

Develop a modern system that allows ABC staff and the public to complete their licensing, enforcement, and compliance tasks efficiently, and for ABC's program operations to be consistently supported by accurate data, resilient systems, and user-centered workflows.

What Success Looks Like for Internal Staff

The following statements indicate what successful implementation of the vision statement would look like from the perspective of various key internal organizational units and provide valuable illustration of the variety of pain points units experience with the current state of ABC's enterprise systems.

Director's Office: A modern, user-centered system that enables clear visibility into staff productivity and organizational performance, provides a seamless and intuitive experience for both the public and employees, and significantly reduces the need for in-person visits by offering efficient online pathways for applications, authorizations, fee payments, and other core services.

Licensing: Staff process applications without workarounds, ensures reliable data flow, and provides supervisors real time workload and license type trend insights. All staff can view related investigative activity on any application or license, applicants receive automated milestone updates, and system performance remains fast even during peak volumes like renewals.

Enforcement: A fully integrated system where field tools, partner agency communications, and data flows seamlessly into a modern system, eliminating paper processes, enabling instant access to case information, and allowing Agents to work efficiently and accurately in real time.

Legislative & Governmental Affairs Office: Having a clear, streamlined view of each application's status and knowing exactly what actions remain before a license can be issued.

Office of Legal Services (OLS): Seamless visibility into case and licensing information, including charging documents, case status, and license history, with the ability to reliably bring over all relevant ABIS data. such as docket notes, and track case progress from start to finish

Attachment B – North Star for Legacy Systems Modernization Project

Accounting: Payment processes are consistent and unified; reconciliation no longer relies on spreadsheets; all payments flow into a single system.

Information Technology & Data: Architecture is modular and documented; data definitions are standardized; product and data ownership of system functionality is clear; processes are established to keep system documentation current for on-going knowledge transfer; and the ongoing maintenance and operations of this system is sustainable and properly resourced.

What Success Looks Like for the Public

Applicants: Online application processes for any license or transaction type with real-time updates and fewer in-person requirements. Identification verification through an online system without notarization.

Licensees: Renew, update, and manage licenses online with consistent statewide processes. Allow the licensee to receive, maintain, and print applications and licenses themselves.

Complainants & Protesters: File and track complaints or protests digitally; public lookups are accurate and timely.

Attachment C

Attachment C

Department of Alcoholic Beverage Control

State of California

APPLICATION FOR ALCOHOLIC BEVERAGE LICENSE

ABC 211 (6/99)

TO: Department of Alcoholic Beverage Control
1000 SOUTH HILL ROAD
SUITE 310
VENTURA, CA 93003
(805) 289-0100

File Number: **627035**
Receipt Number: **2671086**
Geographical Code: **4205**
Copies Mailed Date: **June 2, 2021**
Issued Date:

DISTRICT SERVING LOCATION: **VENTURA**

First Owner: **ANTHONY, JESSICA LYNNE**

Name of Business: **BREW & CUE**

Location of Business: **4954 CARPINTERIA AVE
CARPINTERIA, CA 93013-1937**

County **SANTA BARBARA**

Is Premises inside city limits **Yes** Census Tract: **0016.04**

Mailing Address:(If different
from
premises address)

Type of license(s): **42** Dropping Partner: Yes___ No___

Transferor's license/name: **509983 / LEONESIO, KATIE LEE**

<u>License Type</u>	<u>Transaction Type</u>	<u>Master</u>	<u>Secondary LT And Count</u>		
42 - On-Sale Beer And Wine - Public	PER	Y			
<u>License Type</u>	<u>Transaction Description</u>	<u>Fee Code</u>	<u>Dup</u>	<u>Date</u>	<u>Fee</u>
Application Fee	PERSON TO PERSON TRF	NA	0	06/02/21	\$335.00
Application Fee	FEDERAL FINGERPRINTS	NA	3	06/02/21	\$72.00
Application Fee	STATE FINGERPRINTS	NA	3	06/02/21	\$117.00
42 - On-Sale Beer And Wine - Pu	ANNUAL FEE	NA	0	06/02/21	\$565.00
			Total		\$1,089.00

Have you ever been convicted of a felony? **No**

Have you ever violated any provisions of the Alcoholic Beverage Control Act, or regulations of the Department pertaining to the Act? **No**

STATE OF CALIFORNIA County of **SANTA BARBARA**

Date: **June 2, 2021**

Applicant Name(s)

ANTHONY, JESSICA LYNNE

DOLCE , JOSEPH ANTHONY

MARQUEZ, YESENIA

Attachment D

Communication Inventory

Program	Category	New or Existing	Communication	Current Communication Type	Annual Volume	Workflow Trigger	Forms Involved	Preferred Process with LSR
Licensing	Renewal	Existing	Mail Renewal Notice	Mail	95,000	60 days from License Expiration	ABIS Generated License Renewal Notification	Electronic notification triggered by expiring license date 60 days away.
Licensing	Renewal	New	1st (50% Penalty) Late Warning	N/A		14 Days from License Expiration	N/A	Electronic notification triggered by renewal not occurring by 14 days of expiration date.
Licensing	Renewal	Existing	1st (50% Penalty) Late Notice	Mail		Upon Expiration date passing without renewal	N/A	Electronic notification triggered by license reaching expiration date without renewal.
Licensing	Renewal	New	2nd (100% Penalty) Late Warning	N/A		14 Days from 100% Penalty deadline	N/A	Electronic notification triggered by renewal not occurring by 14 days of 100% Penalty Deadline.
Licensing	Renewal	Existing	2nd (100% Penalty) Late Notice	Mail		Upon Expiration date passing without renewal	N/A	Electronic notification triggered by license reaching expiration of 50% Penalty period without renewal.
Licensing	Renewal	Existing	Issuance of renewed license certificate	Mail	85,000	Renewal Process completed	ABIS Generated License Certificate	Electronic delivery of license for printing and storage in Portal for user access, triggered by successful renewal process.
Licensing	Application	Existing	Investigation-related communications	Email and Phone	250,000	N/A		Message center that captures communication
Licensing	Application	Existing	Issuance of initial license	Mail	9,000	Completion of Permanent License Application Process for Original or Transfer of license	ABIS Generated License Certificate	Electronic delivery of license for printing and storage in Portal for user access, triggered by successful application process.
Licensing	Application	Existing	Validation Code Notice - Notification of code for creating a License Administrator Account in LSP. Sent upon issuance - included in license certificate mailing	Mail	9,000	Completion of Permanent License Application Process for Original or Transfer of license		Initiation of paperless processes for licensee/applicant communication as a whole could replace this process. Trigger could
Licensing	Application	Existing	Statement Re: Consideration Deposited in Escrow - Currently attached to paper 220's or electronic in ABIS, manager needs to sign, and they are printed and mailed out to Escrow Holders.	Mail	5,980	Manager approval of notification to escrow holders	ABC-226	System to have capabilities for the Escrow holder's email to be stored in the system, and when the 226 is ready to be released, ABIS will send it via email.
Licensing	Application	Existing	ABC Conditions - If conditions (restrictions on the use of their privileges - e.g. hours of operation) are placed on a license being approved, copies of the conditions for licenses are printed out and mailed to licensee.	Mail	5,200	Issuance of a License with Conditions		Include conditions in the electronic delivery of the license certificate.
Licensing	Application	Existing	Letters to stakeholders - All letters are hosted in ABIS attachments, that are printed and mailed out.	Mail	1,560	Manager approval of notifications.	ABC-202A, 236,240	If the letter is meant for an Escrow holder (such as the 202A), LPU desires for ABIS to have capabilities to email the letter to the escrow holder. If the letter is meant for the licensee (such as 236 and 240) LPU desires for the letters to be uploaded into the portal, sending an email to the licensee to check portal with an important message or text notification to check portal.
Licensing	Internal	Existing	Periodic Internal Licensing Reports - Currently staff manually run, download, and email generated reports to district offices or mail notices to the public.	Email	Unknown	Variety of potential triggers, but the majority of these notifications could be triggered as daily, weekly, or monthly.		With improved data collection from LSR, there will be greater ability to produce reports for internal red flags and performance monitoring. These could include aging reports on key workflow milestones or reports on pending items - particularly those that may be approaching legal deadlines.
Enforcement	Internal	Existing	Internal enforcement notification - expiring statute of limitations, OLS deadlines	Email	Unknown	Variety of potential triggers, but the majority of these notifications could be triggered as daily, weekly, or monthly.		With improved data collection from LSR, there will be greater ability to produce reports for internal red flags and performance monitoring. These could include aging reports on key workflow milestones or reports on pending items - particularly those that may be approaching legal deadlines.
Licensing	Change	Existing	Submission of notifications from licensee of changes to P-12 (one owner with multiple licenses) relationships between licenses.	Website		Entry of information regarding changes to P-12 into system by staff or online portal.	ABC-219, 811,812	Automate the process of posting changes to P-12 relationships to the website.
Licensing	Change	Existing	Submission of notifications from licensee of corporate name or mailing address changes	Website		Entry of information into the system - or approval of the change if entered online by licensee.	ABC-219	Application for corporate changes can be processed through the portal along with uploading required documents. Analyst can review and approve name change in system and it will automatically update licenses in system and the public website and intranet.
Licensing	Application	Existing	Local Government Agency notification of application in their jurisdiction.	Mail	40,000	Completion of application intake for original or transfer of a license.	ABC - 211 (ABIS generated)	In concert with the establishment and maintenance of electronic delivery methods with local agencies - electronic notification.
Licensing	Application	Existing	Verification of Zoning Affidavit (ABC-255)	Email or Phone	8,000	Submission of ABC-255 to ABC	ABC-255	TBD - if there is a more efficient way of verifying the submitted ABC-255 is true, that would be preferred. It is unclear if this can be done efficiently.

Attachment E

Attachment E

Renewal Fee Construction - with CPI and Surcharges.

Full License Type Name	23320 (b) Citation	Base License Fee (July 2019)	Base License Fee after CPI Adjustment	Appeals Board Surcharge (3% rounded to nearest \$5)	CHP Surcharge (\$10 unless exempted)	BPU24 Fee	BU52 Fee	Total Surcharges	Annual Fee - 1st year fee, if applicable (ANN)	Renrewal Fee (REN)	Renewal of Duplicate (DOR)	Renewal with 50% Late Fee (REN50)	Renewal with 100% Late Fee (REN100)	ANN or DOR
01 Beer Manufacturer 60,000+ barrels	1A	1890	2370	70	10	0	0	80	2450	2450		3635	4820	2450
01 Beer Manufacturer 60,000+ barrels DUPLICATE	1B	430	540	15	10	0	0	25	565	565	565	835	1105	565
02 Winegrower 0 to 5,000 Gallons	2A	110	140	5	10	0	0	15	155	155		225	295	155
02 Winegrower 5,001 to 20,000 Gallons	2B	160	200	5	10	0	0	15	215	215		315	415	215
02 Winegrower 20,001 to 100,000 Gallons	2C	325	405	10	10	0	0	20	425	425		627	830	425
02 Winegrower 100,001 to 200,000 Gallons	2D	380	475	15	10	0	0	25	500	500		737	975	500
02 Winegrower 200,001 to 1,000,000 Gallons	2E	540	675	20	10	0	0	30	705	705		1042	1380	705
02 Winegrower Each additional million or portion thereof	2F	380	475	15	0	0	0	15	490	490		727	965	490
02 Winegrower DUPLICATE	2G	160	200	5	10	0	0	15	215	215	215	315	415	215
03 Brandy Manufacturer	3A	540	675	20	10	0	0	30	705	705		1042	1380	705
03 Brandy Manufacturer DUPLICATE	3B	380	475	15	10	0	0	25	500	500	500	737	975	500
04 Distilled Spirits Manufacturer	4	595	745	20	10	0	52	82	827	827		1199	1572	827
05 Distilled Spirits Manufacturer Agent	5	595	745	20	10	0	52	82	827	827		1199	1572	827
06 Still	6	110	140	5	10	0	0	15	155	155		225	295	155
07 Rectifier	7	595	745	20	10	0	52	82	827	827		1199	1572	827
08 Wine Rectifier	8	595	745	20	10	0	0	30	775	775		1147	1520	775
09 Beer & Wine Importer	9	110	140	5	10	0	0	15		155	155	225	295	155
10 Beer & Wine Importer's Genenral	10	540	675	20	10	0	0	30	705	705		1042	1380	705
11 Brandy Importer	11	110	140	5	10	0	0	15		155	155	225	295	155
12 Distilled Spirits Importer	12	110	140	5	10	0	0	15		155	155	225	295	155
13 Distilled Spirits Importer's General	13	595	745	20	10	0	52	82	827	827		1199	1572	827
14 Public Warehouse	14A	110	140	5	10	0	0	15	155	155		225	295	155
14 Public Warehouse DUPLICATE	14B	25	30	0	10	0	0	10	40	40	40	55	70	40
15 Customs Broker	15	110	140	5	10	0	0	15	155	155		225	295	155
16 Wine Broker	16	110	140	5	10	0	0	15	155	155		225	295	155
17 Beer & Wine Wholesaler	17	380	475	15	10	0	0	25	500	500		737	975	500
18 Distilled Spirits Wholesaler	18	595	745	20	10	0	52	82	827	827		1199	1572	827
19 Industrial Alcohol Dealer	19	110	140	5	10	0	0	15	155	155		225	295	155
20 Off-Sale Beer & Wine	20	380	475	15	10	0	0	25	500	500		737	975	500
21 Off-Sale General	21	755	945	30	10	24	0	64	1009	1009		1481	1954	1009
22 Wine Blender 0 to 5,000 Gallons	22A	110	140	5	10	0	0	15	155	155		225	295	155
22 Wine Blender 5,001 to 20,000 Gallons	22B	160	200	5	10	0	0	15	215	215		315	415	215
22 Wine Blender 20,001 to 100,000 Gallons	22C	325	405	10	10	0	0	20	425	425		627	830	425
22 Wine Blender 100,001 to 200,000 Gallons	22D	380	475	15	10	0	0	25	500	500		737	975	500
22 Wine Blender 200,001 to 1,000,000 Gallons	22E	540	675	20	10	0	0	30	705	705		1042	1380	705
22 Wine Blender Each additional million or portion thereof	22F	380	475	15	0	0	0	15	490	490		727	965	490
23 Small Beer Manufacturer 60,000 barrels or less	23A	380	475	15	10	0	0	25	500	500		737	975	500
23 Small Beer Manufacturer 60,000 barrels or less DUPLICATE	23B	215	270	10	10	0	0	20	290	290	290	425	560	290
24 Distilled Spirits Rectifiers General	24	595	745	20	10	0	0	30	775	775		1147	1520	775
25 California Brandy Wholesaler	25	595	745	20	10	0	0	30	775	775		1147	1520	775
26 Out-of-State Beer Manufacturer Certificate	26	110	140	5	0	0	0	5	145	145		215	285	145
27 California Winegrowers Agent	27	595	745	20	10	0	52	82	827	827		1199	1572	827
28 Out-of-State Distilled Spirits Shipper Certificate	28	110	140	5	0	0	0	5	145	145		215	285	145
29 Winegrape Grower Storage	29	110	140	5	0	0	0	5	145	145		215	285	145

Attachment E

Full License Type Name	23320 (b) Citation	Base License Fee (July 2019)	Base License Fee after CPI Adjustment	Appeals Board Surcharge (3% rounded to nearest \$5)	CHP Surcharge (\$10 unless exempted)	BPU24 Fee	BU52 Fee	Total Surcharges	Annual Fee - 1st year fee, if applicable (ANN)	Renrewal Fee (REN)	Renewal of Duplicate (DOR)	Renewal with 50% Late Fee (REN50)	Renewal with 100% Late Fee (REN100)	ANN or DOR
40 On-Sale Beer	30	380	475	15	10	0	0	25	500	500		737	975	500
41 On-Sale Beer & Wine Eating Place	31	430	540	15	10	0	0	25	565	565		835	1105	565
42 On-Sale Beer & Wine Pub Premises	32	540	675	20	10	0	0	30	705	705		1042	1380	705
43 On-Sale Beer & Wine Train	33	160	200	5	10	0	0	15	215	215		315	415	215
44 On-Sale Beer Fishing Party Boat	34	160	200	5	10	0	0	15	215	215		315	415	215
45 On-Sale Beer & Wine Boat	35	160	200	5	10	0	0	15	215	215		315	415	215
46 On-Sale Beer & Wine Airplane	36	160	200	5	10	0	0	15	215	215		315	415	215
47 On-Sale General Eating Place Population over 40,000	37A	1190	1490	45	10	0	0	55	1545	1545		2290	3035	1545
47 On-Sale General Eating Place Population between 20,000 and 40,000	37B	970	1215	35	10	0	0	45	1260	1260		1867	2475	1260
47 On-Sale General Eating Place All other localities	37C	755	945	30	10	0	0	40	985	985		1457	1930	985
47 On-Sale General Eating Place DUPLICATE Population over 40,000	37D	755	945	30	10	0	0	40	985	985	985	1457	1930	985
47 On-Sale General Eating Place DUPLICATE Population between 20,000 and 40,000	37E	540	675	20	10	0	0	30	705	705	705	1042	1380	705
47 On-Sale General Eating Place DUPLICATE All other localities	37F	430	540	15	10	0	0	25	565	565	565	835	1105	565
48 On-Sale General Public Premises Population over 40,000	38A	1190	1490	45	10	0	0	55	1545	1545		2290	3035	1545
48 On-Sale General Public Premises Population between 20,000 and 40,000	38B	970	1215	35	10	0	0	45	1260	1260		1867	2475	1260
48 On-Sale General Public Premises All other localities	38C	755	945	30	10	0	0	40	985	985		1457	1930	985
48 On-Sale General Public Premises DUPLICATE Population over 40,000	38D	755	945	30	10	0	0	40	985	985	985	1457	1930	985
48 On-Sale General Public Premises DUPLICATE Population between 20,000 and 40,000	38E	540	675	20	10	0	0	30	705	705	705	1042	1380	705
48 On-Sale General Public Premises DUPLICATE All other localities	38F	430	540	15	10	0	0	25	565	565	565	835	1105	565
49 On-Sale General - Seasonal Population over 40,000 3 Months	39A	325	405	10	10	0	0	20	425	425		627	830	425
49 On-Sale General - Seasonal Population over 40,000 6 Months	39B	650	815	25	10	0	0	35	850	850		1257	1665	850
49 On-Sale General - Seasonal Population over 40,000 9 Months	39C	970	1215	35	10	0	0	45	1260	1260		1867	2475	1260
49 On-Sale General - Seasonal Population between 20,000 and 40,000 3 Months	39D	215	270	10	10	0	0	20	290	290		425	560	290
49 On-Sale General - Seasonal Population between 20,000 and 40,000 6 Months	39E	430	540	15	10	0	0	25	565	565		835	1105	565
49 On-Sale General - Seasonal Population between 20,000 and 40,000 9 Months	39F	650	815	25	10	0	0	35	850	850		1257	1665	850
49 On-Sale General - Seasonal All other localities 3 Months	39G	160	200	5	10	0	0	15	215	215		315	415	215
49 On-Sale General - Seasonal All other localities 6 Months	39H	380	475	15	10	0	0	25	500	500		737	975	500
49 On-Sale General - Seasonal All other localities 9 Months	39I	540	675	20	10	0	0	30	705	705		1042	1380	705
49 On-Sale General - Seasonal DUPLICATE Population over 40,000 3 Months	39J	215	270	10	10	0	0	20	290	290	290	425	560	290
49 On-Sale General - Seasonal DUPLICATE Population over 40,000 6 Months	39K	430	540	15	10	0	0	25	565	565	565	835	1105	565
49 On-Sale General - Seasonal DUPLICATE Population over 40,000 9 Months	39L	650	815	25	10	0	0	35	850	850	850	1257	1665	850
49 On-Sale General - Seasonal DUPLICATE Population between 20,000 and 40,000 3 Months	39M	125	155	5	10	0	0	15	170	170	170	247	325	170
49 On-Sale General - Seasonal DUPLICATE Population between 20,000 and 40,000 6 Months	39N	250	315	10	10	0	0	20	335	335	335	492	650	335
49 On-Sale General - Seasonal DUPLICATE Population between 20,000 and 40,000 9 Months	39O	375	470	15	10	0	0	25	495	495	495	730	965	495
49 On-Sale General - Seasonal DUPLICATE All other localities 3 Months	39P	110	140	5	10	0	0	15	155	155	155	225	295	155
49 On-Sale General - Seasonal DUPLICATE All other localities 6 Months	39Q	215	270	10	10	0	0	20	290	290	290	425	560	290
49 On-Sale General - Seasonal DUPLICATE All other localities 9 Months	39R	325	405	10	10	0	0	20	425	425	425	627	830	425
50 On-Sale General - Club Population over 40,000	40A	650	815	25	10	0	0	35	850	850		1257	1665	850
50 On-Sale General - Club Population between 20,000 and 40,000	40B	540	675	20	10	0	0	30	705	705		1042	1380	705
50 On-Sale General - Club All other localities	40C	430	540	15	10	0	0	25	565	565		835	1105	565
51 Club Population over 40,000	41A	650	815	25	10	0	0	35	850	850		1257	1665	850
51 Club Population between 20,000 and 40,000	41B	540	675	20	10	0	0	30	705	705		1042	1380	705
51 Club All other localities	41C	430	540	15	10	0	0	25	565	565		835	1105	565
52 Veteran's Club Population over 40,000	42A	650	815	25	10	0	0	35	850	850		1257	1665	850
52 Veteran's Club Population between 20,000 and 40,000	42B	540	675	20	10	0	0	30	705	705		1042	1380	705
52 Veteran's Club All other localities	42C	430	540	15	10	0	0	25	565	565		835	1105	565
53 On-Sale General Train	43A	325	405	10	10	0	0	20	425	425		627	830	425

Attachment E

Full License Type Name	23320 (b) Citation	Base License Fee (July 2019)	Base License Fee after CPI Adjustment	Appeals Board Surcharge (3% rounded to nearest \$5)	CHP Surcharge (\$10 unless exempted)	BPU24 Fee	BU52 Fee	Total Surcharges	Annual Fee - 1st year fee, if applicable (ANN)	Renrewal Fee (REN)	Renewal of Duplicate (DOR)	Renewal with 50% Late Fee (REN50)	Renewal with 100% Late Fee (REN100)	ANN or DOR
53 On-Sale General Train DUPLICATE	43B	110	140	5	10	0	0	15	155	155	155	225	295	155
54 On-Sale General Boat	44	650	815	25	10	0	0	35	850	850		1257	1665	850
55 On-Sale General Airplane	45A	650	815	25	10	0	0	35	850	850		1257	1665	850
55 On-Sale General Airplane DUPLICATE	45B	110	140	5	10	0	0	15	155	155	155	225	295	155
56 On-Sale General Vessel 1,000 ton	46A	325	405	10	10	0	0	20	425	425		627	830	425
56 On-Sale General Vessel 1,000 ton DUPLICATE	46B	110	140	5	10	0	0	15	155	155	155	225	295	155
57 Special On-Sale General Population over 40,000	47A	1190	1490	45	10	0	0	55	1545	1545		2290	3035	1545
57 Special On-Sale General Population between 20,000 and 40,000	47B	970	1215	35	10	0	0	45	1260	1260		1867	2475	1260
57 Special On-Sale General All other localities	47C	755	945	30	10	0	0	40	985	985		1457	1930	985
57 Special On-Sale General DUPLICATE Population over 40,000	47D	755	945	30	10	0	0	40	985	985	985	1457	1930	985
57 Special On-Sale General DUPLICATE Population between 20,000 and 40,000	47E	540	675	20	10	0	0	30	705	705	705	1042	1380	705
57 Special On-Sale General DUPLICATE All other localities	47F	430	540	15	10	0	0	25	565	565	565	835	1105	565
58 Caterer's Permit	48A	215	270	10	10	0	0	20		290	290	425	560	290
58 Caterer's Permit - Club Population over 40,000	48B	1190	1490	45	10	0	0	55	1545	1545		2290	3035	1545
58 Caterer's Permit - Club Population between 20,000 and 40,000	48C	970	1215	35	10	0	0	45	1260	1260		1867	2475	1260
58 Caterer's Permit - Club All other localities	48D	755	945	30	10	0	0	40	985	985		1457	1930	985
59 On-Sale Beer & Wine Seasonal 9 Months	49A	250	315	10	10	0	0	20	335	335		492	650	335
59 On-Sale Beer & Wine Seasonal 6 Months	49B	175	220	5	10	0	0	15	235	235		345	455	235
60 On-Sale Beer Seasonal 9 Months	50A	250	315	10	10	0	0	20	335	335		492	650	335
60 On-Sale Beer Seasonal 6 Months	50B	175	220	5	10	0	0	15	235	235		345	455	235
61 On-Sale Beer Public Premises	51	380	475	15	10	0	0	25	500	500		737	975	500
62 On-Sale General Dockside	52	755	945	30	10	0	0	40		985	985	1457	1930	985
63 On-Sale Special Beer & Wine Hospital	53	110	140	5	10	0	0	15	155	155		225	295	155
64 Special On-Sale General Theatre Population over 40,000	54A	755	945	30	10	0	0	40	985	985		1457	1930	985
64 Special On-Sale General Theatre Population between 20,000 and 40,000	54B	540	675	20	10	0	0	30	705	705		1042	1380	705
64 Special On-Sale General Theatre All other localities	54C	430	540	15	10	0	0	25	565	565		835	1105	565
65 Special On-Sale Beer & Wine Symphony	55	430	540	15	0	0	0	15	555	555		825	1095	555
66 Controlled Access Cabinet	56	755	945	30	10	24	0	64		1009	1009	1481	1954	1009
67 On-Sale Wine Bed & Breakfast Inn	57	10	15	0	0	0	0	0	15	15		22	30	15
68 Portable Bar Population over 40,000	58A	755	945	30	10	0	0	40		985	985	1457	1930	985
68 Portable Bar Population between 20,000 and 40,000	58B	540	675	20	10	0	0	30		705	705	1042	1380	705
68 Portable Bar All other localities	58C	430	540	15	10	0	0	25		565	565	835	1105	565
69 Special On-Sale Beer & Wine Theatre	59	430	540	15	10	0	0	25	565	565		835	1105	565
70 On-Sale General Restrictive Service Population over 40,000	60A	1190	1490	45	10	0	0	55	1545	1545		2290	3035	1545
70 On-Sale General Restrictive Service Population between 20,000 and 40,000	60B	970	1215	35	10	0	0	45	1260	1260		1867	2475	1260
70 On-Sale General Restrictive Service All other localities	60C	755	945	30	10	0	0	40	985	985		1457	1930	985
71 Special On-Sale Genenral for profit Theater Population over 40,000	61A	1190	1490	45	10	0	0	55	1545	1545		2290	3035	1545
71 Special On-Sale Genenral for profit Theater Population between 20,000 and 40,000	61B	970	1215	35	10	0	0	45	1260	1260		1867	2475	1260
71 Special On-Sale Genenral for profit Theater All other localities	61C	755	945	30	10	0	0	40	985	985		1457	1930	985
71 Special On-Sale Genenral for profit Theater DUPLICATE Population over 40,000	61D	755	945	30	10	0	0	40	985	985	985	1457	1930	985
71 Special On-Sale Genenral for profit Theater DUPLICATE Population between 20,000 and 40,000	61E	540	675	20	10	0	0	30	705	705	705	1042	1380	705
71 Special On-Sale Genenral for profit Theater DUPLICATE All other localities	61F	430	540	15	10	0	0	25	565	565	565	835	1105	565
72 Special On-Sale Genenral for profit Theater, Napa Population over 40,000	62A	1190	1490	45	10	0	0	55	1545	1545		2290	3035	1545
72 Special On-Sale Genenral for profit Theater, Napa Population between 20,000 and 40,000	62B	970	1215	35	10	0	0	45	1260	1260		1867	2475	1260
72 Special On-Sale Genenral for profit Theater, Napa All other localities	62C	755	945	30	10	0	0	40	985	985		1457	1930	985
72 Special On-Sale Genenral for profit Theater, Napa DUPLICATE Population over 40,000	62D	755	945	30	10	0	0	40	985	985	985	1457	1930	985
72 Special On-Sale Genenral for profit Theater, Napa DUPLICATE Population between 20,000 and 40,000	62E	540	675	20	10	0	0	30	705	705	705	1042	1380	705

Attachment E

Full License Type Name	23320 (b) Citation	Base License Fee (July 2019)	Base License Fee after CPI Adjustment	Appeals Board Surcharge (3% rounded to nearest \$5)	CHP Surcharge (\$10 unless exempted)	BPU24 Fee	BU52 Fee	Total Surcharges	Annual Fee - 1st year fee, if applicable (ANN)	Renrewal Fee (REN)	Renewal of Duplicate (DOR)	Renewal with 50% Late Fee (REN50)	Renewal with 100% Late Fee (REN100)	ANN or DOR
72 Special On-Sale Genenral for profit Theater, Napa DUPLICATE All other localities	62F	430	540	15	10	0	0	25	565	565	565	835	1105	565
73 Special Non-Profit Sales	63	160	200	5	10	0	0	15	215	215		315	415	215
74 Craft Distilled Spirits Manufacturer	64	755	945	30	10	0	52	92	1037	1037		1509	1982	1037
75 On-Sale General Brew-Pub Population over 40,000	65A	1190	1490	45	10	0	0	55	1545	1545		2290	3035	1545
75 On-Sale General Brew-Pub Population between 20,000 and 40,000	65B	970	1215	35	10	0	0	45	1260	1260		1867	2475	1260
75 On-Sale General Brew-Pub All other localities	65C	755	945	30	10	0	0	40	985	985		1457	1930	985
75 On-Sale General Brew-Pub DUPLICATE Population over 40,000	65D	755	945	30	10	0	0	40	985	985	985	1457	1930	985
75 On-Sale General Brew-Pub DUPLICATE Population between 20,000 and 40,000	65E	540	675	20	10	0	0	30	705	705	705	1042	1380	705
75 On-Sale General Brew-Pub DUPLICATE All other localities	65F	430	540	15	10	0	0	25	565	565	565	835	1105	565
76 On-Sale General Maritime Museum	66A	325	405	10	10	0	0	20	425	425		627	830	425
76 On-Sale General Maritime Museum DUPLICATE	66B	110	140	5	10	0	0	15	155	155	155	225	295	155
77 Event Permit	67	215	270	10	0	0	0	10		280	280	415	550	280
78 On Sale General Wine , Food & Art Cultural Museum Population over 40,000	68A	1190	1490	45	10	0	0	55	1545	1545		2290	3035	1545
78 On Sale General Wine , Food & Art Cultural Museum Population between 20,000 and 40,000	68B	970	1215	35	10	0	0	45	1260	1260		1867	2475	1260
78 On Sale General Wine , Food & Art Cultural Museum All other localities	68C	755	945	30	10	0	0	40	985	985		1457	1930	985
78 On Sale General Wine , Food & Art Cultural Museum DUPLICATE Population over 40,000	68D	755	945	30	10	0	0	40	985	985	985	1457	1930	985
78 On Sale General Wine , Food & Art Cultural Museum DUPLICATE Population between 20,000 and 40,000	68E	540	675	20	10	0	0	30	705	705	705	1042	1380	705
78 On Sale General Wine , Food & Art Cultural Museum DUPLICATE All other localities	68F	430	540	15	10	0	0	25	565	565	565	835	1105	565
79 Certified Farmer's Market	69	110	140	5	10	0	0	15		155	155	225	295	155
80 Special On-Sale General Bed & Breakfast Inn	70	20	25	0	0	0	0	0	25	25		37	50	25
81 Wine Sales Event Permit	71	110	140	5	0	0	0	5		145	145	215	285	145
82 Direct Shippers Permit	72	25	30	0	0	0	0	0	30	30		45	60	30
83 On-Sale General Caterer's Population over 40,000	73A	1190	1490	45	0	0	0	45	1535	1535		2280	3025	1535
83 On-Sale General Caterer's Population between 20,000 and 40,000	73B	970	1215	35	0	0	0	35	1250	1250		1857	2465	1250
83 On-Sale General Caterer's All other localities	73C	755	945	30	0	0	0	30	975	975		1447	1920	975
84 Certified Farmers' Market Beer	74	110	140	5	0	0	0	5		145	145	215	285	145
85 Limited Off-Sale Wine License	75	380	475	15	0	0	0	15	490	490		727	965	490
86 Instructional Tasting License	76	380	475	15	0	0	0	15	490	490		727	965	490
87 Neighborhood Restricted Special On-Sale General Population over 40,000	77A	1190	1490	45	10	0	0	55	1545	1545		2290	3035	1545
87 Neighborhood Restricted Special On-Sale General Population between 20,000 and 40,000	77B	970	1215	35	10	0	0	45	1260	1260		1867	2475	1260
87 Neighborhood Restricted Special On-Sale General All other localities	77C	755	945	30	10	0	0	40	985	985		1457	1930	985
87 Neighborhood Restricted Special On-Sale General DUPLICATE Population over 40,000	77D	755	945	30	10	0	0	40	985	985	985	1457	1930	985
87 Neighborhood Restricted Special On-Sale General DUPLICATE Population between 20,000 and 40,000	77E	540	675	20	10	0	0	30	705	705	705	1042	1380	705
87 Neighborhood Restricted Special On-Sale General DUPLICATE All other localities	77F	430	540	15	10	0	0	25	565	565	565	835	1105	565
88 Special On-Sale General Historic Cemetery Population over 40,000	78A	1190	1490	45	10	0	0	55	1545	1545		2290	3035	1545
88 Special On-Sale General Historic Cemetery Population between 20,000 and 40,000	78B	970	1215	35	10	0	0	45	1260	1260		1867	2475	1260
88 Special On-Sale General Historic Cemetery All other localities	78C	755	945	30	10	0	0	40	985	985		1457	1930	985
88 Special On-Sale General Historic Cemetery DUPLICATE Population over 40,000	78D	755	945	30	10	0	0	40	985	985	985	1457	1930	985
88 Special On-Sale General Historic Cemetery DUPLICATE Population between 20,000 and 40,000	78E	540	675	20	10	0	0	30	705	705	705	1042	1380	705
88 Special On-Sale General Historic Cemetery DUPLICATE All other localities	78F	430	540	15	10	0	0	25	565	565	565	835	1105	565
90 On-Sale General Music Venue Population over 40,000	79	1190	1490	45	10	0	0	55	1545	1545		2290	3035	1545
90 On-Sale General Music Venue Population between 20,000 and 40,000	80	970	1215	35	10	0	0	45	1260	1260		1867	2475	1260
90 On-Sale General Music Venue All other localities	81	755	945	30	10	0	0	40	985	985		1457	1930	985
90 On-Sale General Music Venue DUPLICATE Population over 40,000	23552(a)	755	945	30	10	0	0	40	985	985	985	1457	1930	985
90 On-Sale General Music Venue DUPLICATE Population between 20,000 and 40,000	23552(a)	540	675	20	10	0	0	30	705	705	705	1042	1380	705
90 On-Sale General Music Venue DUPLICATE All other localities	23552(a)	430	540	15	10	0	0	25	565	565	565	835	1105	565
91 Beer caterer's permit	82	275	280	10	10	0	0	20		300	300	440	580	300

Attachment E

Full License Type Name	23320 (b) Citation	Base License Fee (July 2019)	Base License Fee after CPI Adjustment	Appeals Board Surcharge (3% rounded to nearest \$5)	CHP Surcharge (\$10 unless exempted)	BPU24 Fee	BU52 Fee	Total Surcharges	Annual Fee - 1st year fee, if applicable (ANN)	Renrewal Fee (REN)	Renewal of Duplicate (DOR)	Renewal with 50% Late Fee (REN50)	Renewal with 100% Late Fee (REN100)	ANN or DOR
99 On-Sale General for Special Use Population over 40,000	na	1190	1490	45	10	0	0	55	1545	1545		2290	3035	1545
99 On-Sale General for Special Use Population between 20,000 and 40,000	na	970	1215	35	10	0	0	45	1260	1260		1867	2475	1260
99 On-Sale General for Special Use All other localities	na	755	945	30	10	0	0	40	985	985		1457	1930	985
99 On-Sale General for Special Use DUPLICATE Population over 40,000	na	755	945	30	10	0	0	40	985	985	985	1457	1930	985
99 On-Sale General for Special Use DUPLICATE Population between 20,000 and 40,000	na	540	675	20	10	0	0	30	705	705	705	1042	1380	705
99 On-Sale General for Special Use DUPLICATE All other localities	na	430	540	15	10	0	0	25	565	565	565	835	1105	565

Attachment F

Attachment F

Permanent License Type Inventory and Counts

Retail or Non-Retail	Off-Sale or On-Sale	Master or Secondary	License Type	Total Master License Count	Duplicate Count (same license type)	Secondary Count	Master Types with which Secondary can be Issued
Non-Retail		Master	TYPE 01 - Beer Manufacturer	77			
Non-Retail		Master	TYPE 02 - Winegrower	6,874			
Non-Retail		Master	TYPE 03 - Brandy Manufacturer	57			
Non-Retail		Master	TYPE 04 - Distilled Spirits Manufacturer	57			
Non-Retail		Master	TYPE 05 - Distilled Spirits Manufacturer Agent	58			
Non-Retail		Master	TYPE 06 - Still	356			
Non-Retail		Master	TYPE 07 - Rectifier	84			
Non-Retail		Master	TYPE 08 - Wine Rectifier	1			
Non-Retail		Secondary	TYPE 09 - Beer And Wine Importer			1,728	Type 01, 02, 08, 17, 22, or 23
Non-Retail		Master	TYPE 10 - Beer And Wine Importer's General	204			
Non-Retail		Secondary	TYPE 11 - Brandy Importer			10	Type 02, 03, 04, 05, 07, 18, 24, or 74
Non-Retail		Secondary	TYPE 12 - Distilled Spirits Importer			1,046	Type 04, 05, 07, 18, 19, 24, or 74
Non-Retail		Master	TYPE 13 - Distilled Spirits Importer's General	150			
Non-Retail		Duplicate	TYPE 14 - Public Warehouse				
Non-Retail		Master	TYPE 14 - Public Warehouse	436	1		
Non-Retail		Master	TYPE 15 - Customs Broker	15			
Non-Retail		Master	TYPE 16 - Wine Broker	28			
Non-Retail		Master	TYPE 17 - Beer And Wine Wholesaler	2,821			
Non-Retail		Master	TYPE 18 - Distilled Spirits Wholesaler	1,044			
Non-Retail		Master	TYPE 19 - Industrial Alcohol Dealer	11			
Non-Retail		Master	TYPE 22 - Wineblender	118			
Non-Retail		Master	TYPE 23 - Small Beer Manufacturer	1,183			
Non-Retail		Master	TYPE 24 - Distilled Spirits Rectifier's General	5			
Non-Retail		Master	TYPE 25 - California Brandy Wholesaler	1			
Non-Retail		Master	TYPE 26 - Out-Of-State Beer Manufacturer Certificate	269			
Non-Retail		Master	TYPE 28 - Out-Of-State Distilled Spirit Shipper	871			
Non-Retail		Master	TYPE 29 - Winegrape Grower Storage	40			
Non-Retail		Master	TYPE 73 - Special Nonprofit Sales License	1			
Non-Retail		Master	TYPE 74 - Craft Distiller	209			
Non-Retail		Secondary	TYPE 79 - Certified Farmers' Market Sales Permit	186		4	Type 02
Non-Retail		Secondary	TYPE 81 - Wine Sales Event Permit			387	
Non-Retail		Master	TYPE 82 - Direct Shippers Permit	1,121			
Non-Retail		Secondary	TYPE 84 - Certified Farmers' Market Beer Sales Permit			1	Type 01, 23
Non-Retail		Master	TYPE 84 - Certified Farmers' Market Beer Sales Permit	38			
Non-Retail		Master	TYPE 85 - Limited Off-Sale Wine License	260			
Non-Retail		Secondary	TYPE 86 - Instructional Tasting License			1,223	Type 20, 21
Retail	Off-sale	Master	TYPE 20 - Off-Sale Beer And Wine	13,651			
Retail	Off-sale	Master	TYPE 21 - Off-Sale General	14,469			
Retail	On-Sale	Master	TYPE 40 - On-Sale Beer	735			
Retail	On-Sale	Master	TYPE 41 - On-Sale Beer And Wine - Eating Place	25,112			
Retail	On-Sale	Master	TYPE 42 - On-Sale Beer And Wine - Public Premises	1,290			
Retail	On-Sale	Master	TYPE 44 - On-Sale Beer Fishing Party Boat	22			
Retail	On-Sale	Master	TYPE 45 - On-Sale Beer And Wine Boat	43			
Retail	On-Sale	Master	TYPE 47 - On-Sale General Eating Place	16,378	1,803		
Retail	On-Sale	Master	TYPE 48 - On-Sale General Public Premises	2,423	202		
Retail	On-Sale	Master	TYPE 49 - On-Sale General Seasonal	15	2		
Retail	On-Sale	Master	TYPE 50 - On-Sale General Club	44			
Retail	On-Sale	Master	TYPE 51 - Club	749			
Retail	On-Sale	Master	TYPE 52 - Veterans Club	273			
Retail	On-Sale	Master	TYPE 53 - On-Sale General Train	7	3		
Retail	On-Sale	Master	TYPE 54 - On-Sale General Boat	183			
Retail	On-Sale	Master	TYPE 55 - On-Sale General Airplane	15	11		
Retail	On-Sale	Master	TYPE 56 - On-Sale General Vessel	14	11		
Retail	On-Sale	Master	TYPE 57 - Special On-Sale General	256	55		
Retail	On-Sale	Secondary	TYPE 58 - Caterer Permit			6,163	Any On-Sale or club license (P80)
Retail	On-Sale	Master	TYPE 59 - On-Sale Beer And Wine Seasonal	16			
Retail	On-Sale	Master	TYPE 60 - On-Sale Beer Seasonal	13			
Retail	On-Sale	Master	TYPE 61 - On-Sale Beer Public Premises	8			
Retail	On-Sale	Master	TYPE 62 - On-Sale General Dockside	7	5		
Retail	On-Sale	Master	TYPE 63 - On-Sale Special	42			
Retail	On-Sale	Master	TYPE 64 - Special On-Sale General Theater	126			
Retail	On-Sale	Secondary	TYPE 66 - Controlled Access Cabinet Permit			469	On-sale general license or on-sale general restrictive service. 41, 47, 48, 57, 70
Retail	On-Sale	Master	TYPE 67 - Special On-Sale Wine Bed And Breakfast Inn	91			
Retail	On-Sale	Secondary	TYPE 68 - Portable Bar			1,415	47, 48, 50, 51, 52, 57, 70
Retail	On-Sale	Master	TYPE 69 - Special On-Sale Beer And Wine Theatre	11			
Retail	On-Sale	Master	TYPE 70 - On-Sale General Restrictive Services	559			
Retail	On-Sale	Master	TYPE 71 - Special On-Sale General License	6	4		
Retail	On-Sale	Master	TYPE 72 - Special On-Sale General For-Profit Theatre, Napa	1			
Retail	On-Sale	Master	TYPE 75 - On-Sale General Brew-Pub	110	11		
Retail	On-Sale	Master	TYPE 76 - On-Sale General Maritime Museum Association	1			
Retail	On-Sale	Secondary	TYPE 77 - Event Permit			1,769	01, 23, 41, 42, 47, 48, 49, 57, 78, 83, 87, 88, 90, or 99
Retail	On-Sale	Master	TYPE 78 - On-Sale General Wine, Food And Art Cultural Museu	1			
Retail	On-Sale	Master	TYPE 80 - Special On-Sale General Bed And Breakfast Inn	63			
Retail	On-Sale	Master	TYPE 83 - On-Sale General Caterer's License	15			

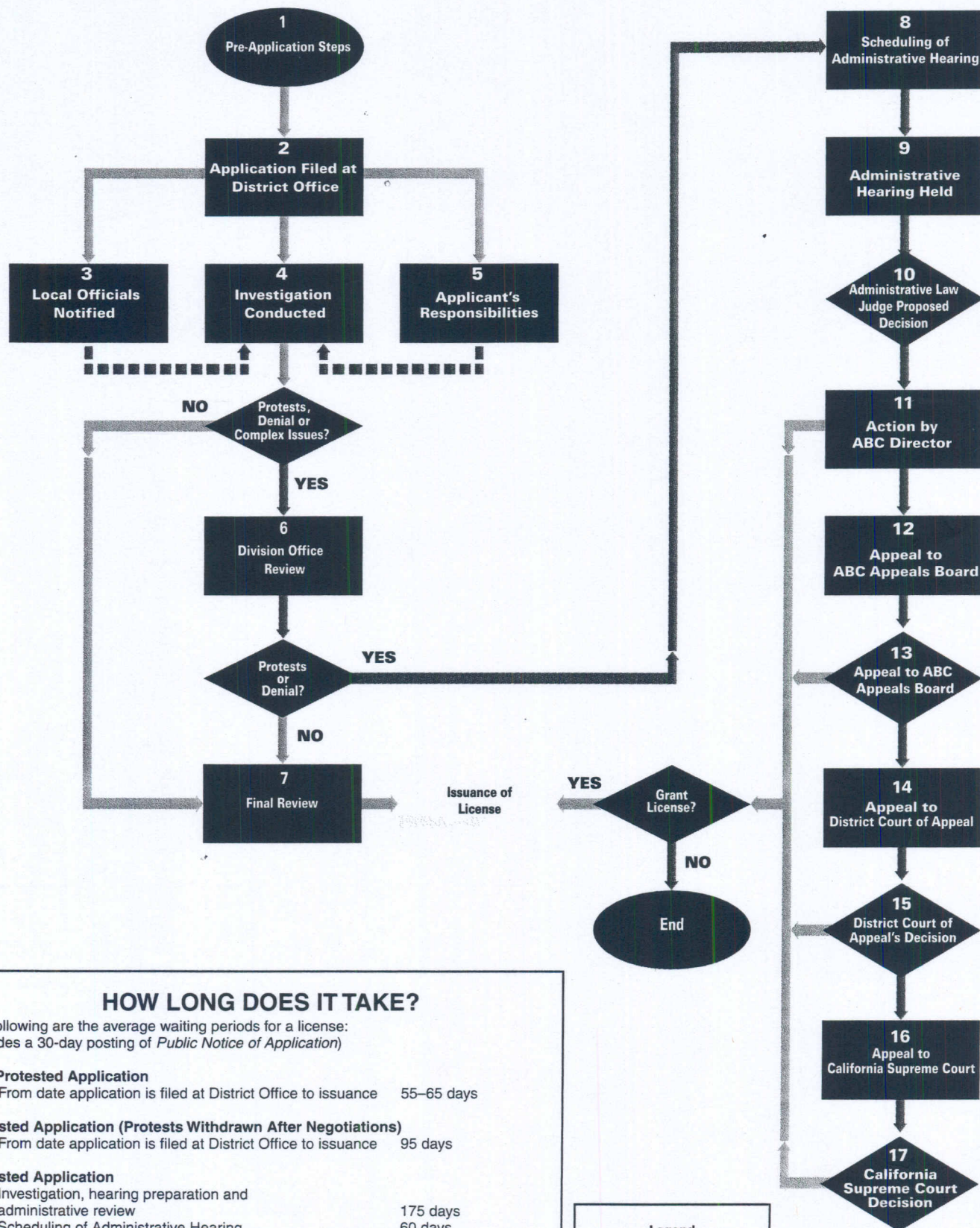
Attachment F

Retail or Non-Retail	Off-Sale or On-Sale	Master or Secondary	License Type	Total Master License Count	Duplicate Count (same license type)	Secondary Count	Master Types with which Secondary can be Issued
Retail	On-Sale	Master	TYPE 87 - Neighborhood-Restricted Special On-Sale General Li	19			
Retail	On-Sale	Master	TYPE 88 - Special On Sale General for Historic Cemetery	1			
Retail	On-Sale	Master	TYPE 90 - On-Sale General Music Venue	40	9		
Retail	On-Sale	Secondary	TYPE 91 - Beer Caterer's Permit			64	
Retail	On-Sale	Secondary	TYPE 92 - Extended Hours Permit			1	
Retail	On-Sale	Master	TYPE 99 - On Sale General For Special Use				
Retail	On-Sale	Primary	TYPE 99 - On Sale General For Special Use	1	1		58, 77, 99
Total				93,385	2,118	14,280	

Attachment G

ALCOHOLIC BEVERAGE LICENSE—APPLICATION PROCESS

Includes application for a new license, premises-to-premises transfer, change in license privileges or ownership change (for example, transfer to new owner, change in stock ownership or adding/dropping a partner).

**HOW LONG DOES IT TAKE?**

The following are the average waiting periods for a license:
(includes a 30-day posting of *Public Notice of Application*)

Non-Contested Application

—From date application is filed at District Office to issuance 55–65 days

Contested Application (Contests Withdrawn After Negotiations)

—From date application is filed at District Office to issuance 95 days

Contested Application

—Investigation, hearing preparation and administrative review	175 days
—Scheduling of Administrative Hearing	60 days
—Administrative Law Judge Proposed Decision	30 days
—Action by ABC Director	3–10 days
—Appeal to ABC Appeals Board	40 days
—ABC Appeals Board Decision	120 days
—Appeal to District Court of Appeal	30 days
—District Court of Appeal's Decision	No time mandated
—Appeal to California State Supreme Court	30 days
—Supreme Court Decision	No time mandated

Legend

Action

Decision

Start/stop

Direction of process flow

Document

Information flow

Attachment G

1—PRE-APPLICATION STEPS. A person who wants to apply for an ABC license must start with the nearest ABC District Office. An ABC staff member will ask the applicant questions about the proposed operation and determine the type of license needed. The staff member will then advise the applicant what forms and fees are needed to file the application. Some applicants, before filing an application with ABC, must first obtain approval from zoning officials, open an escrow, or go to the office of the County Recorder for a certified copy of a *Notice of Intended Transfer*.

2—APPLICATION FILED AT DISTRICT OFFICE. Generally, all parties must appear at the District Office. This is not generally a "mail-in" process because ABC requires personal information such as personal history affidavits. Fees are paid at this time. The applicant also views a video about ABC laws. A temporary permit may be issued under certain conditions.

3—NOTIFICATION TO LOCAL OFFICIALS. ABC mails a copy of the application to local officials as required by law. If the premises is in the city, a copy goes to the police department, city council and city planning department. If the premises is in the county, a copy goes to the sheriff's department, board of supervisors and district attorney. If local officials have concerns about the issuance of a license, they may request or impose restrictions on the business operation, or they may file a protest.

Common concerns are that the license: (a) Would create a public nuisance, (b) Would cause or add to crime in the area, (c) Would be contrary to a zoning law, or (d) Is in a high-crime area or an area that has too many licenses and would not serve public convenience or necessity. In the case of (d), the City Council or Board of Supervisors has 90 days to determine this and notify ABC. If the City Council or Board of Supervisors does not decide within 90 days, ABC may issue the license if the applicant shows ABC that issuance would serve public convenience or necessity.

4—INVESTIGATION. ABC conducts a thorough investigation, as required by law, to see if the applicant and the premises qualify for a license.

Any person may protest the issuance of a license. The protestant must file a written protest within 30 days of either: (a) The date the *Public Notice of Application* is first posted at the premises, or (b) The date the applicant mails the *Notice of Intention to Engage in the Sale of Alcoholic Beverages* to persons living within a 500' radius, whichever is later.

If a retail license application has been protested and the Department has recommended approval of the license, ABC may issue an *Interim Operating Permit* upon the applicant's written request.

Some grounds for protest or denial of a license are: (a) *Applicant is not qualified.* For example, the applicant falsified his application, has a disqualifying police record, has a record of chronic insobriety, is not the true owner, or is not at least 21 years of age, and/or (b) *Premises is not suitable.* For example the premises is too close to a school, church, hospital, playground, nonprofit youth facility or residence and would disturb the facility or resident; the premises is located in a high-crime area and does not serve public convenience or necessity; the applicant does not have legal tenancy; the license would create a public nuisance; zoning is improper for alcohol sales.

License conditions are special restrictions placed on a license. Conditions may limit the hours of alcohol sales, the type of entertainment allowed or other aspects of the business. Conditions may eliminate the need to deny a license or may cause a protestant to withdraw his protest.

5—APPLICANT'S RESPONSIBILITIES. It is the applicant's responsibility to: (a) Post the *Public Notice of Application* at the premises for 30 days, and (b) Give information to ABC as needed for the investigation. In some cases, ABC may also require the applicant to: (a) Publish a notice in the

newspaper, (b) Mail a notice to all persons living within a 500' radius of the premises, and/or (c) Obtain proof from the local planning department that the zoning permits an ABC license.

6—DIVISION OFFICE REVIEW. The Division Office reviews all applications that are (a) Protested, (b) Recommended for denial by the District Office, or (c) Nonroutine such as multilevel corporations and partnerships.

7—FINAL REVIEW. Headquarters does a final review. The following may delay issuance of a license: (a) Missing or incorrect documents, (b) Missing or incorrect fees, (c) Liens placed against escrow by the Board of Equalization, Franchise Tax Board, Employment Development Department, Cities and Counties, local Health Departments, and/or (d) The premises is under construction and not yet ready to operate.

8—SCHEDULING OF HEARING. A hearing is scheduled (a) When valid protests have been filed against an application and the applicant and protestant are not able to reach any agreements, and/or (b) If ABC has denied the application, and the applicant requests a hearing. The hearing is scheduled within 60 days. ABC mails a *Notice of Hearing* to all parties.

9—ADMINISTRATIVE HEARING. A public hearing is held before an administrative law judge (ALJ). ABC counsel represents ABC. The applicant and any protestant(s) may be represented by an attorney or other person, or they can represent themselves at the hearing. The ABC investigator will testify as to his or her investigation. The applicant and any protestant(s) may testify and/or present other evidence. The protestant must appear at the hearing or the protest is abandoned.

10—ALJ PROPOSED DECISION. The ALJ has 30 days to prepare a *Proposed Decision* for consideration by the ABC Director.

11—ACTION BY ABC DIRECTOR. The ABC Director adopts or rejects the ALJ's *Proposed Decision*. If the ABC Director rejects the *Proposed Decision*, ABC sends a *Notice of Rejection* to the applicant and any protestant(s). Each party has 30 days from the date of the notice to submit written argument.

12—APPEAL TO ABC APPEALS BOARD. The applicant or any protestant(s) may appeal the Director's *Decision* to the ABC Appeals Board within 40 days. The Board is a three-member panel appointed by the Governor.

13—ABC APPEALS BOARD DECISION. The Board reviews the record of the administrative hearing and accepts written or oral arguments. It may not accept any new evidence that was not offered at the administrative hearing. The Board usually makes a decision within 120 days.

14—APPEAL TO DISTRICT COURT OF APPEAL. The applicant, any protestant(s) or ABC may appeal to the California District Court of Appeal (DCA) within 30 days of the Appeals Board Decision.

15—DISTRICT COURT OF APPEAL'S DECISION. The DCA reviews the record and renders a decision. The Attorney General represents ABC at the hearing. There is no mandated time period for the DCA to render its decision.

16—APPEAL TO CALIFORNIA SUPREME COURT. The applicant, any protestant(s) or ABC may appeal to the California Supreme Court within 30 days of the DCA decision. The Attorney General represents ABC before the Supreme Court. There is no time mandated for the Supreme Court to render its decision.

17—CALIFORNIA SUPREME COURT DECISION. The California Supreme Court makes a decision to issue or deny the license.

Attachment H

Attachment H

Forms and Documents Required to Apply for New License			
Ownership Structure	Form	Description	Exceptions
All	ABC-140NEW	Certificate re Chapter 15 Tied-House Restrictions – Required for corporations, limited partnerships and limited liability companies. For applicant entity only (not its parents, related entities, or individuals). See form instructions.	
All	ABC-208-A	Individual Personal Affidavit – Must be completed by (a) sole owners; (b) each general partner; (c) persons holding 10 percent or more of the capital or stock of a corporation, limited liability company, or limited partnership; and (d) spouses. Signatures must be notarized or witnessed by an ABC employee.	
All	ABC-208-B	Individual Financial Affidavit – Must be completed by (a) sole owners; (b) each general partner; (c) persons holding 10 percent or more of the capital or stock of a corporation, limited liability company, or limited partnership; and (d) spouses. Signatures must be notarized or witnessed by an ABC employee.	
All	ABC-211-SIG	Application Signature Sheet (“Sign On”) – Signature page for applicants who are unable to appear at the ABC district office to sign the application Form ABC-211. Signatures must be notarized.	
All	ABC-217	Application Questionnaire – Signatures must be notarized or witnessed by an ABC Employee. See form instructions.	
All	ABC-247	Statement re: Residences (Rule 61.4, Residences Within 100 feet).	Not Required for Non-retail
All	ABC-251	Statement re: Consideration Points (Schools, Hospital, Churches, Public Playgrounds, Parks and Youth Facilities).	
All	ABC-253	Supplemental Diagram – Drawing of the real property you own or otherwise control. An exterior view of the premises and surrounding area, including cross streets.	Not required for non-retail except for the Type 17/20 combo license
All	ABC-255	Zoning Affidavit – Contact your city or county planning department for information to complete the form.	
All	ABC-257	Licensed Premises Diagram/Planned Operation – Drawing of your floor plan, including overall dimensions and patios to be licensed, and description of proposed operation.	
All	ABC-258	Planned Operations Retail.	Not required for non-retail unless applying for the Type 75 or Type 85
All	ABC-259	Planned Operations Non-Retail. See form instructions.	
All		State-issued identification, driver’s license or passport for person(s) appearing at ABC to sign application.	
All		Applicant may need to provide verification (proof) of the source of your funds (e.g., bank statements, savings passbooks, loan papers, real estate papers, financial statement, gift/loan letters, etc.).	
All		Copy of Conditional use Permit – Or receipt showing that CUP application has been submitted. Obtain from your city or county planning department.	
Additional Documents Required Based on Ownership Structure			
Corporation	ABC-243	Corporate Questionnaire	
		Articles of Incorporation.	
		Copy of Minutes Showing the Election of Current Officers and Directors or corporate secretary’s Certificate of Incumbency.	
		Copy of Stock Register or Copies of Stock Certificates that are issued and next sequential blank/unissued certificate (copy of certificates may be required if stock register is questionable).	
		Copy of Certificate of Qualification – Required for out-of-state corporations. Obtain from Secretary of State, Business Programs Division (916) 653-2318.	
Limited Liability Company (LLC)	ABC-256-LLC	Limited Liability Company Questionnaire.	
		Copy of Form LLC-1, Articles of Organization – Obtain from Secretary of State, (916) 653-3365.	
		Copy of Form LLC-5, Application for Registration as Foreign Limited Liability Company (endorsement file stamped by Secretary of State) – For out-of-state limited liability companies.	
		Copy of written Operating Agreement and any amendments, if any (if Designated LLC Manager, Managing Member, or Designated officer to sign on behalf of all parties, that person/company must be listed in the agreement).	
Limited Partnership	ABC-256	Limited Partnership Questionnaire.	
		Copy of Form LP-1, Certificate of Limited Partnership. Obtain from the Secretary of State, (916) 653-3365.	
		Copy of Form LP-5, Application for Registration as Foreign Limited Partnership (endorsement file stamped by Secretary of State) – Required for out-of-state limited partnership.	
		Copy of Limited Partnership Agreement and any amendments (LP2, Amendment to Certificate of Limited Partnership)	
Trust		Trust Agreement	

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P 23.1 February 8, 2005

PROTESTS

1. GENERAL INFORMATION

This procedure describes how to process protests against license applications.

Form ABC-510 (Illustration No. 1), Instructions for Protesting an Alcoholic Beverage License Application, provides instructions to persons wishing to protest. A person may, but need not, submit their protest on Form ABC-510-A (Illustration No. 2), Protest Against Alcoholic Beverage License Application. The use of Form ABC-510-A is more convenient since it already contains the required verification language ("I declare under penalty of perjury . . . ")

2. RECEIPT OF PROTESTS IN THE DISTRICT OFFICE

A. Processing

All protests and protest withdrawals originally received at a District Office must be:

- Date stamped in (i.e. date received by department)
- Attached to a Form ABC-510-B, Protest Transmittal (Illustration No. 3), and
- Sent immediately to HQ Hearing and Legal

B. If The ABC-220 Report Has Been Submitted

If District receives a timely protest and:

- The 220 report has already been sent to HQ recommending approval; and
- The license is within five days of issuance

District should immediately advise HQ Licensing of the protest, by telephone or e-mail, and request return of the ABC-220 report. The investigator will then add the protest information to the report.

3. HEADQUARTERS PROCEDURE

A. Timely and Valid Protests

When Headquarters receives a protest, Hearing and Legal will review the protest. If

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they consider the protest timely and valid, they will send a “Valid Protest Letter” (Illustration No. 4), with one copy of the protest, to the protestant, the applicant and the District Office.

B. Hearing Request

Upon receipt of a protested 220 report in Headquarters recommending approval, with or without conditions, the Hearing and Legal unit will send a letter to each valid protestant pursuant to Section 24015 explaining that they have 15 business days to request a hearing; otherwise their protest is considered abandoned and the 220 will be sent to Licensing to issue. If the form is returned timely then Hearing and Legal will register the matter and set it for hearing (Illustration Nos. 5 and 6).

C. Late Protests

If the protest is late, Hearing and Legal will send a letter (Illustration No. 7) to the protestant and a copy to the District Office.

D. Protests Without Valid Grounds

If the protest does not contain valid grounds, Hearing and Legal sends a letter (Illustration No. 8) to the protestant and to the District Office. Hearing and Legal will also send the District Office a copy of the protest, if not yet received by District.

If the District Office believes Hearing and Legal erred in accepting or rejecting a protest as valid, it is to notify Hearing and Legal, setting forth its reasons for disagreement. HQ will respond to the District Office as to whether they are still accepting or have decided to disallow the protest.

4. ROUTING OF ABC-220 REPORTS

All ABC-220 reports involving valid or late protests shall be routed through the Division Office.

For District Offices in Southern Division, include a separate package for Division Legal, attaching a copy of the valid protest.

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5. PROTEST REJECTIONS

A. General Information

The Department will not reject any protest when the Department is recommending denial of the application.

Generally, rejections should be acted upon before the matter is scheduled for hearing.

The Department has no authority to reject after the hearing has commenced.

The issue of rejection is not one that an applicant may validly raise at hearing, nor does the Appeals Board have authority to review the Department's decision in connection with a rejection.

B. Investigator or Licensing Representative Responsibilities

(1) When a thorough and impartial investigation reveals that all factors contained in a protest are false, vexatious, frivolous or without reasonable or probable cause, the possibility of a Section 24013 rejection should be discussed with the supervisor.

(2) If rejection appears warranted, Section 24013 may be explained to the applicant.

However, at no time is the investigator or licensing representative to solicit an applicant to request rejection of a protest. If the applicant of his own volition requests rejection of a protest under Section 24013, advise the applicant to submit a written request to the Department. The request should include:

- The reasons for rejection; and
- Acknowledge that if the Department rejects the protest and issues the

license as applied for, the protest can be treated as an accusation and in a subsequent hearing the license could be revoked if the grounds of the protest are sustained.

C. Premises Under Construction (Section 24044)

Section 24013 says the Department may reject protests (except protests made by a

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public agency, a public official, or the governing body of a city or county), if it determines the protests are false, vexatious, frivolous or without reasonable or probable cause. Rejection must occur before the protest hearing is held. Section 24044 says that retail licenses may be “issued” to premises which are to be constructed, or which are under construction.

The same day that HQ Licensing mails its tentative approval of the license under Section 24044 (Form ABC-236, Illustration No. 9) to the applicant, HQ Hearing and Legal will mail Form ABC-123-D, Notice of Rejection (Illustration No. 10), to the rejected protestant. The protestant will then have ten days within which to file a declaration (Form ABC-123-E, Illustration No. 11) and initiate an accusation.

Licensee should be aware that although the license is issued, under 24044, and the certificate is held by the Department under 64(b). Protestants have ten (10) days in which to file a declaration and initiate an accusation.

If an accusation is filed by the protestant, Hearing and Legal will schedule the matter for hearing in the normal manner.

D. ABC-220 AND COVER MEMO RE: REJECTION OF PROTEST

The investigator will prepare a factual report.

The Licensing Supervisor and/or the District Administrator should visit the applied-for premises, when practical, to ensure the accuracy of the Investigator's report. The District Administrator shall prepare a memo recommending either (a) rejection of the protest under Section 24013, or (b) that the matter be scheduled for hearing on the protest.

The District Office will then forward the ABC-220 report, with the District Administrator's memorandum, to Division for review and recommendation by the Deputy Division Chief or the Assistant Director.

In all cases, in Southern Division, whether recommending rejection or hearing on

Attachment I

the protest, a Division Legal ABC-220 package is to be prepared to accompany the ABC-220 report.

6. HEARING ON PROTEST

A. When Rejection is Not Recommended

Upon receipt of the ABC-220 report in HQ when rejection is not recommended, Hearing and Legal will set the matter for protest hearing.

B. When Rejection is Recommended

In all cases where rejection is recommended, the Chief Counsel will carefully review the entire matter. If rejection is warranted, (a) the license shall be issued, and (b) Hearing and Legal will immediately notify the protestants of rejection of the protests by Form ABC-123-D (Illustration No. 10).

7. WITHDRAWAL OF PROTESTED APPLICATIONS

A. Section 24013.1 and 24013.2

Section 24013.1 provides that:

- If an applicant withdraws because of a protest, that same applicant may not file another application at that premises for one year.

Section 24013.2 provides that:

- If the applicant withdraws because of a protest, HQ will hold the protests for one year pursuant to Section 24013. These protests are carried forward against any other applicant who may apply at that premises.

B. Form ABC-209, Notice of Withdrawal

Whenever a withdrawal of a protested application is made, the District Office will complete Form ABC-209, Notice of Withdrawal (Illustration No. 12). The District Administrator may require an investigation of the circumstances leading to the withdrawal to determine if the withdrawal was a result of any protest. If there is any doubt, err on the side of carrying protests forward.

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The District Office will send a copy of the Form ABC-209 to Hearing and Legal with a copy to Division. The Form ABC-209 will also state whether the protest was against the applicant or the premises.

C. Subsequent Applications at Same Premises

The District Office will flag the closed out file to assure that the same applicant will not file at the premises within a year. Further, District Office will be responsible for advising any subsequent applicants that there are valid protests outstanding against the premises. This is not done by Headquarters Hearing & Legal.

At the time of filing by a subsequent applicant, District Office will notify Hearing and Legal by memorandum. This will enable Hearing and Legal to send copies of original protests to the new applicants.

8. APPLICATIONS INVOLVING 500' FOOT NOTIFICATION (BP § 23985.5)

A. At the time an application is filed for an original license, for a premises-to-premises transfer, or any application that requires an investigation of the premises, the applicant will be provided with a "NOTICE OF INTENTION TO ENGAGE IN THE SALE OF ALCOHOLIC BEVERAGES" form, ABC-207-E.

The applicant is instructed to mail a copy of the completed form to each occupant/resident within 500 feet of the premises within fifteen (15) days of the posting date. The applicant may photocopy the form.

B. The applicant should be advised that the completed "DECLARATION OF SERVICE BY MAIL" affidavit form, ABC-207-F, should be returned to the Department within fifteen (15) days of the date of posting the premises. The applicant should also be informed that no investigation will commence by the Department until the ABC-207-F is received.

C. The "REPORT ON APPLICATION FOR LICENSE", form ABC-220, should include the date of the 500 foot mailing notification in box Nº 19, titled "23985.5

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DATE.”

D. When the Department becomes aware that the applicant has failed to notify all the 500 foot residents, or the postal service failed to deliver, or if an ABC-207-E notice was not received by every required resident, the assigned employee shall notify the applicant they must complete the notification process. The applicant will be required to mail another ABC-207-E notice to the missed 500 foot residents. The applicant must submit another ABC-207-F to the Department showing the new mailing date and addresses of the newly notified residents. If the applicant fails to fully comply with the requirements of BP § 23985.5, including a late mailing notice to any missed 500 foot residents, this may be grounds for a denial of the application. See policy P 22.

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E. The assigned employee should notify the Department’s Hearing & Legal Unit that the applicant has been required to mail another notification to 500 foot residents and that the protest period may be extended. (Currently, the most preferred method of notifying the Hearing & Legal Unit is via an e-mail message to the H&L Unit representative assigned to the particular District Office.) It is not necessary to notify the Licensing Unit of a late 500 foot mailing.

F. The “REPORT ON APPLICATION FOR LICENSE”, ABC-220, should include the dates of both 500 foot mailing notification in box Nº 19, titled “23985.5 DATE.” This will notify the Licensing Unit that the license cannot be issued for thirty (30) days from the latest date.

G. The protest period will be extended only to the missed 500 foot residents that are mailed the late mailing notice for thirty (30) days from the date of the new mailing. The protest period will not be extended to the general public as they have already been notified of the application by other notices, i.e.; posting,

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publication, Rule 61.4 notification, zoning, Public Convenience or Necessity, etc.

H. If the District Office receives a protest for the application, the “PROTEST TRANSMITTAL” form, ABC-510-B, should be used to notify the Hearing & Legal Unit if the protest was timely. If the protest is from one of the 500 foot residents, that received a late mailing notification, the “Comments” section should articulate if the protest should be accepted or rejected for timeliness. If the protest is from anyone other than a 500’ resident who received a late mailing notice, the “Comment” section should articulate that the extended protest period does not apply to that particular protest. This will alert the Hearing & Legal Unit that the protest should be rejected for timeliness. (The extended protest period does not apply to residents within the 500’ radius if they were mailed the earlier notice.)

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Attachment J

SACRAMENTO ASSIGNMENT SHEET

As of May 05, 2026

Subject:	[REDACTED] LLC	No:	SAC-10140183
DBA:	[REDACTED] STORE [REDACTED]	Date:	31-Jan-2024
Address:	[REDACTED] SACRAMENTO, CA 95819-4440	File:	477740
ABC-61 Assign. Type:	ADMINISTRATIVE	Origin:	
		License Type(s):	21

Type: BP 23804 CASE MADE
Date: 01-31-24 **Assigned to:**

Agent: GUILLEN RAY **Date:** 02/08/24 THU **Time:** 0000 - 0000
Comments: Comments: ABC 333 UPLOADED TO ABIS AND FILE SUBMITTED TO SUPERVISOR.
REQ C/O

Agent: SHEPHERD ELDEN **Date:** 02/21/24 WED **Time:** 1400 - 1500
Comments: Comments: ON 2/16/24 AGENTS GUILLLEN VISITED PREM AND ISSUED A NOTICE OF VIOLATION TO LICENSEE ND THEY STARTED REMOVING ALL WINE UNDER 250 ML.

Disposition:

Date: **Supervisor:** **District Admin.:**

Attachment K

EMPLOYEE'S DAILY REPORT

EMPLOYEE A		EMPLOYEE B		DATE AND DAY OF WEEK	
DISTRICT OFFICE		VEHICLE PLATE NUMBER		VEHICLE MILES DRIVEN	
Time In - Out	Person or Premises Visited and Address	Purpose of Call - Remarks - Incidents (Include expense items, quantity and cost)		Hours Worked by Function Code	Hours
				A. LICENSING	
				B. ENFORCEMENT	
				B1. Office	
				B2. Field	
				C. BUSINESS PRACTICES	
				D. COURT/ADMIN HEARINGS	
				D1. Licensing	
				D2. Enforcement	
				E. SUPPORT SERVICES	
				F. TRAINING	
				F1. Given	
				F2. Received	
				I. VACATION/ANNUAL LEAVE	
				J. SICK LEAVE	
				K. CTO OFF	
				L. TAKE EXCESS	
				M. OFF with Pay	
				N. OFF without Pay	
				P. EXTRA HOURS - CTO	
				Q. EXTRA HOURS - Paid OT	
				R. WORK EXCESS	
				S. HOLIDAY CREDIT	
Premises Visited		Daily Expenses			
Licensing Enforcement Total Prems		ABC-44 Lodging Meals			
		Incidental Parking/Tolls Business Exp			
CERTIFIED CORRECT - EMPLOYEE A		CERTIFIED CORRECT - EMPLOYEE B		APPROVED - SUPERVISOR	

Attachment L

Complaints Involving Licensees

330.1 PURPOSE AND SCOPE

The purpose of this policy is to establish standardized procedure to maximize the efficiency and effectiveness of the Department's enforcement program. The following guidelines are to be used regarding the Department's Complaint Investigation Priority System.

330.2 POLICY

It is the Department's policy that enforcement decisions shall not be based upon any improper motives. This means that no group or individual shall be "targeted" for investigation or disciplinary action based upon their political or ideological beliefs or other constitutionally protected categories or activities.

To aid in this endeavor, the Department's enforcement complaint procedure is based upon a "priority system." Matters that arise either from a public complaint or by observation will be investigated based upon priorities which reflect the level of concern to public welfare and safety. Complaints which tend to indicate the greatest threat to public welfare and safety shall be designated as higher priority matters.

In the case of misdemeanor violations committed in an Agent's presence, the discretionary legal options available include a verbal admonishment, release upon signing a written promise to appear in court (citation), physical arrest and booking, or simply submitting the completed investigation report to the appropriate local prosecutor for criminal filing and prosecution.

All sworn personnel should consider all of these legal options when weighing the level of threat to public welfare and safety inherent with the violation being investigated and the suspect being detained at the time.

All Supervising Agents and Supervising Agents in Charge are responsible for training all Agents about the philosophy of this policy. All sworn personnel are encouraged to regularly and routinely discuss this policy with their supervisors.

330.2.1 ACCEPTING COMPLAINTS

Complaints involving licensees may be accepted via mail (hard copy or electronic), phone, online complaint submission, or in-person at one of the department's field offices. Any employee who receives any complaint for a possible violation shall document such accordingly. Form ABC-99-A may be used to document the complaint details. The complaint should then be submitted to the appropriate Supervising Agent or Supervising Agent in Charge for review. Complainants may use Form ABC-99-E (Complaint Against Licensee) when submitting a complaint, however this is not necessary.

A complaint may be received from the public, other government agencies, community groups, or anonymous sources. Complaints that may bring public attention to the Department should be

Complaints Involving Licensees

brought to the attention of Division when received (e.g., complaints from legislators, the media, etc.).

330.2.2 REVIEWING COMPLAINTS

A Supervising Agent or Supervising Agent in Charge will review the complaint and decide whether an investigation should be initiated. If investigation into the complaint is warranted, the Supervising Agent or Supervising Agent in Charge will enter the complaint into ABIS. This will generate an ABC-61 assignment to the field crew in general or to a specific agent, depending on how it was assigned. If additional complaint(s) are received, the details of those complaints and date received should be noted on the existing ABC-61 in ABIS. If the ABC-61 is assigned to the field crew as opposed to a specific agent, a copy of the assignment should be maintained in a general complaint binder accessible to all agents in the office.

It is the responsibility of the Supervising Agent and/or Supervising Agent in Charge to monitor all active 61 assignments to ensure they are being worked in accordance with policy.

330.2.3 TRADE ENFORCEMENT COMPLAINTS

Trade Enforcement complaints will be immediately forwarded to the HQ Trade Enforcement Unit for review. This is done because these types of complaints often:

- Cross jurisdictional boundaries
- May have statewide impact
- May require extensive investigation and technical expertise

The Supervising Agent in Charge of the Trade Enforcement Unit will determine whether the Trade Enforcement Unit should conduct the investigation or if it may be handled by the local office. Some of the reasons for the investigation being handled by the local office may include:

- Complaint may be localized within the jurisdictional area of the local office
- Complaint may not require intensive investigative resources

For those trade enforcement investigations handled by the local office, the HQ Trade Enforcement Unit will be available to provide technical assistance or investigative resources if necessary.

330.2.4 ACKNOWLEDGING COMPLAINTS

If the complainant requests an acknowledgment or if the Supervising Agent or Supervising Agent in Charge feels one is necessary, an acknowledgment of such should be done as soon as a decision has been made as to whether an investigation will be initiated.

330.2.5 COMPLAINT PRIORITY SYSTEM

The Department prioritizes complaints received against licensees by type of complaint and its potential impact to public welfare and safety. This system alerts staff to high-priority complaints needing prompt attention.

Complaints Involving Licensees

The following complaints tend to have the greatest impact on the health, safety, and welfare of the communities we serve; therefore, they hold priority over all other assignments:

- Disorderly or disruptive premises that cause a drain on law enforcement resources or disturb neighborhood residents and businesses. These include premises that contribute to or permit violent crimes, prostitution, human trafficking, lewd conduct, public drunkenness, excessive noise, and other similar crimes and activities that threaten the safety, welfare, and tranquility of individuals and communities.
- Sales to minors and underage drinking
- Service to obviously intoxicated persons
- Licensee or bartender working while intoxicated
- Sales and consumption during restricted hours
- Exercising privileges without a license
- Illegal narcotics trafficking

These investigations should receive an initial visit within 30 days of receipt of the complaint. All other complaint assignments will receive lower priority, and those violations, if any, may be addressed by issuing a "Notice of Violation" when appropriate.

330.2.6 NO PRIORITY CATEGORY

"Police Reports Assigned for Investigation"

These assignments have no priority category because Section 24202 B & P Code requires that the Department "promptly cause an investigation to be made upon receipt of an incident or arrest report from any state or local law enforcement agency." Police reports received should be reviewed immediately and if necessary, assigned for further investigation. Unless specified elsewhere, the timeframe for conducting further investigation shall be dictated by the content contained within the report and/or direction provided by the Supervising Agent or Supervising Agent in Charge.

330.2.7 CLOSING OUT ASSIGNMENTS

Generally, an ABC-61 may be closed out after one to three investigative visits. However, the Supervising Agent or Supervising Agent in Charge may use their own judgment in making this determination. After determining that an assignment should be closed out, the appropriate entries shall be made in ABIS to affect its closure. If a complainant requested to be notified of the disposition relative to their complaint, the Supervising Agent or Supervising Agent in Charge should provide such. If there are questions as to what information can be provided to a complainant, a consultation with the department's Office of Legal Services should occur before any notification is made.

Attachment M

OFF-SALE PREMISES INSPECTION SHEET

		TYPE OF INSPECTION ☐ IMPACT ☐ ROSTF ☐ Other	
DATE AND TIME OF VISIT		DBA	
LICENSEE		LICENSE POSTED (Section 24046 B&P) ☐ Yes ☐ No	
ABC LICENSE NUMBER	PREMISES PHONE NUMBER	CONDITIONS AVAILABLE (Sections 23800 - 23805 B&P) ☐ Yes ☐ No ☐ N/A	
PREMISES ADDRESS		MAILING ADDRESS	
PERSON CONTACTED			
DAYS/HOURS OF OPERATION		WEAPONS	
NUMBER OF EMPLOYEES ON PAYROLL			

Compliance Check

CONCURRENT SALES GAS/ALCOHOL (Section 23790.5 B&P) ☐ Violation ☐ No Violation ☐ N/A	RETAIL-TO-RETAIL (Section 23402 B&P) ☐ Violation ☐ No Violation
GRAFFITI (Section 25612.5[c][6] B&P) ☐ Violation ☐ No Violation	TOBACCO WARNING SIGN (Section 22952 B&P) ☐ Posted ☐ Not Posted (DHS to be notified)
LITTER (Section 25612.5[c][5] B&P) ☐ Violation ☐ No Violation	"NOTICE TO CUSTOMERS" SIGN (Section 25658.4[b] B&P) ☐ Violation ☐ No Violation
EXCESSIVE SIGNS (Section 25612.5[c][7] B&P) ☐ Violation ☐ No Violation	HARMFUL MATTER (Sections 313.1 PC and 25612.5[c][9] B&P) ☐ Violation ☐ No Violation ☐ N/A
EXTERIOR LIGHTING (Section 25612.5[c][4] B&P) ☐ Violation ☐ No Violation	BEER KEG REGISTRATION (Section 25659.5 B&P) ☐ Violation ☐ No Violation ☐ N/A
"NO OPEN CONTAINER" SIGNS (Section 25612.5[c][2] B&P) (Violation only if licensee received prior notice from ABC to comply) ☐ Violation ☐ No Violation ☐ N/A	"CANCER/PREGNANCY WARNING" SIGNS (Sections 12601[b][1][D][1] and 12601[b][4][E] CCR) ☐ Posted ☐ Not Posted
"NO LOITERING" SIGNS (Section 25612.5[c][1] B&P) (Violation only if licensee received prior notice from ABC to comply) ☐ Violation ☐ No Violation ☐ N/A	OPERATING STANDARDS COPY ON PREMISES (Section 25612.5[c][10] B&P) ☐ Violation ☐ No Violation
	CLERK AFFIDAVITS (Section 25658.4[a] B&P) ☐ Violation ☐ No Violation
	DRUG PARAPHERNALIA (Section 11364.7[b] H&S) ☐ Notice Given (ABC-546-A) ☐ None Observed
SUBJECTS DISCUSSED WITH LICENSEE OR EMPLOYEE	

RECOMMENDATION:

☐ Letter of Warning ☐ 24200(e) Letter ☐ Other Follow-up

I, _____, received the above information.

Signature of Licensee or Agent _____

ABC AGENT	OFFICER/DEPUTY
OFFICE	AGENCY

Follow-up Inspection

INSPECTION #1 - REPORT OF FINDINGS:

ADDITIONAL INSPECTIONS NEEDED ☐ Yes ☐ No	OFFICER/DEPUTY/AGENT	DATE
---	----------------------	------

INSPECTION #2 - REPORT OF FINDINGS:

ADDITIONAL INSPECTIONS NEEDED ☐ Yes ☐ No	OFFICER/DEPUTY/AGENT	DATE
---	----------------------	------

INSPECTION #3 - REPORT OF FINDINGS:

OFFICER/DEPUTY/AGENT RECOMMENDATION:

OFFICER/DEPUTY/AGENT	AGENCY	DATE
----------------------	--------	------

Attachment N

Attachment N

		TYPE OF INSPECTION ☐ IMPACT ☐ ROSTF ☐ Other	
DATE AND TIME OF VISIT		DBA	
LICENSEE		LICENSE POSTED (Section 24046 B&P) ☐ Yes ☐ No	
ABC LICENSE NUMBER	PREMISES PHONE NUMBER	CONDITIONS AVAILABLE (Sections 23800 - 23805 B&P) ☐ Yes ☐ No ☐ N/A	
PREMISES ADDRESS		MAILING ADDRESS	
PERSON CONTACTED		MANAGER'S NAME	
DAYS/HOURS OF OPERATION		MANAGER HAS BEEN QUALIFIED BY ABC (Rule 57.6 CCR) ☐ Yes ☐ No ☐ Unknown	
NUMBER OF EMPLOYEES ON PAYROLL		WEAPONS	

Compliance Check			
GRAFFITI (Section 25612.5[c][6] B&P) (T-40, 42, 48 & 61 Only) ☐ Violation ☐ No Violation ☐ N/A		INDOOR SMOKING (Section 6404.5 LC) (Notify DHS of violation) ☐ Violation ☐ No Violation	
"NO PERSON UNDER 21 ALLOWED" SIGNS (Rule 107 CCR) (T-42, 48 & 61 Only) ☐ Violation ☐ No Violation ☐ N/A		"CANCER/PREGNANCY WARNING" SIGNS (Section 12601[b][1][D][1] and 12601[b][4][E] CCR) ☐ Posted ☐ Not Posted	
"NO OPEN CONTAINER" SIGNS (Section 25612.5[c][2] B&P) (T-40, 42, 48 & 61 Only) (Violation only if licensee received prior notice from ABC to comply) ☐ Violation ☐ No Violation ☐ N/A		HUMAN TRAFFICKING PUBLIC NOTICE (Section 52.6 Civil Code) (T-48 Only) ☐ Posted ☐ Not Posted	
LITTER (Section 25612.5[c][5] B&P) (T-40, 42, 48 & 61 Only) ☐ Violation ☐ No Violation ☐ N/A		SLOT MACHINES (Section 330[a] PC) ☐ Violation ☐ No Violation	
EXTERIOR LIGHTING (Section 25612.5[c][4] B&P) (T-40, 42, 48 & 61 Only) ☐ Violation ☐ No Violation ☐ N/A		"NOTICE TO CUSTOMERS" SIGNS (Section 25658.4[b]) ☐ Violation ☐ No Violation	
"NO LOITERING" SIGNS (Section 25612.5[c][1] B&P) (T-40, 42, 48 & 61 Only) (Violation only if licensee received prior notice from ABC to comply) ☐ Violation ☐ No Violation ☐ N/A		OPERATING STANDARDS COPY ON PREMISES (Section 25612.5[c][10] B&P) (T-40, 42, 48 & 61 Only) ☐ Violation ☐ No Violation ☐ N/A	
		DRUG PARAPHERNALIA (Section 11364.7[b] H&S) ☐ Notice Given (ABC-546A) ☐ None Observed	
		FOOD SERVICE (Section 23038 B&P) (T-41, 47 & 75 Only) ☐ Violation ☐ No Violation ☐ N/A	
		RETAIL-TO-RETAIL (Section 23402 B&P) ☐ Violation ☐ No Violation	
		CONTAMINATED BOTTLES (347[b] PC) ☐ Violation ☐ No Violation	
SUBJECTS DISCUSSED WITH LICENSEE OR EMPLOYEE			

RECOMMENDATION:
☐ Letter of Warning ☐ 24200(e) Letter ☐ Other Follow-up

I, _____, received the above information.

Signature of Licensee or Agent X _____

ABC AGENT	OFFICER/DEPUTY
OFFICE	AGENCY

ABC-531 (rev. 1/2021) White - ABC Canary - Police/Sheriff's Department Pink – Licensee

Follow-up Inspection

INSPECTION #1 - REPORT OF FINDINGS:

ADDITIONAL INSPECTIONS NEEDED ☐ Yes ☐ No	OFFICER/INVESTIGATOR	DATE
---	----------------------	------

INSPECTION #2 - REPORT OF FINDINGS:

ADDITIONAL INSPECTIONS NEEDED ☐ Yes ☐ No	OFFICER/INVESTIGATOR	DATE
---	----------------------	------

INSPECTION #3 - REPORT OF FINDINGS:

OFFICER/INVESTIGATOR RECOMMENDATION:

OFFICER/INVESTIGATOR	AGENCY	DATE
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Attachment O

Report Preparation

309.1 PURPOSE AND SCOPE

Report preparation is a major part of each agent's job. The purpose of reports is to document sufficient information to refresh the agent's memory and to provide sufficient information for follow-up investigation and successful prosecution. Report writing is the subject of substantial formalized training and on-the-job training.

309.1.1 REPORT PREPARATION

Agents should ensure that reports are sufficiently detailed for their purpose and free from errors prior to submission. It is the responsibility of the assigned agent to complete and submit all reports in a timely manner.

All reports shall accurately reflect the identity of the persons involved, all pertinent information seen, heard or assimilated by any other sense, and any actions taken. Agents shall not suppress, conceal or distort the facts of any reported incident, nor shall any employee make a false report orally or in writing. Generally, the reporting agent's opinions should not be included in reports unless specifically identified as such.

309.2 REQUIRED REPORTING

Written reports are required to be completed on an Investigation Report (ABC-333) in all of the following situations, unless otherwise approved by a Supervisor. The following list of incident types is provided as a guide for reporting purposes and is not intended to be all inclusive:

- In any instance where a felony has occurred
- In any instance where a misdemeanor citation or arrest has occurred
- In any case where any reportable use of force is used by an agent
- Any violation that could result in administrative disciplinary action against a licensee
- When a person is taken into custody

Supplemental Reports

A Supplemental Investigation Report (ABC-333 A) may be written after an Investigation Report has already been submitted and/or when secondary agents need to add additional information to the Investigation Report.

Assignment Sheet (ABC-61)

The following are examples of reporting that may be recorded on an Assignment Sheet:

- Service of subpoenas
- Service of license suspension
- Contacting licensees who have ceased operations
- Follow-up on CI&I returns ("rap sheets")

Report Preparation

- Follow-up on petitions to make offer in compromise (POIC)
- Documenting an administrative inspection absent any unusual circumstances

309.2.1 SUBMISSION TIMELINES

- **On-View Investigations** - Reports for on-view administrative and/or criminal cases shall be submitted to a supervisor no later than three (3) working days from the date of violation.
- **Backtrack Investigations** - Reports for backtrack cases shall be submitted to a supervisor as soon as possible, but no later than fifteen (15) days from receipt of an assignment.
- **In-Custody Investigations** - Reports involving in-custody arrests shall be submitted to a supervisor by the end of shift.
- **Use of Force Reporting** - Reports involving a use of force shall be submitted to a supervisor by the end of the next working day.
- **Incident Reports** - Incident reports shall be submitted to a supervisor no later than three (3) working days from the incident date.

If any of the above referenced reports involves the use of Narcan, the report shall be submitted to a supervisor by the end of shift.

Prior to going out on pre-approved leave (e.g., vacation, medical, etc.), agents shall submit any pending reports to a supervisor.

If circumstances exist that may prevent compliance with any of the above referenced timeframes, the agent shall request approval from their supervisor to submit their report(s) on a later date. Supervisors may utilize their discretion in approving or denying the request.

If necessary, supervisors may require agents to submit reports sooner than the above referenced timelines.

309.2.1 MANDATORY REPORTING OF JUVENILE GUNSHOT INJURIES

A report shall be taken when any incident in which a child 18 years or younger suffered an unintentional or self-inflicted gunshot wound. The District Office shall notify the California Department of Public Health (CDPH) of the incident as required by CDPH (Penal Code § 23685).

309.3 REPORT REVIEW AND CORRECTIONS

Supervisors shall review reports for content and accuracy. If corrections are necessary, the supervisor should review them with the reporting employee for correction as soon as practical. It shall be the responsibility of the reporting agent to ensure that any report returned for correction is processed as soon as possible.

Supervisors shall review on-view and backtrack investigation reports within three (3) days of them being submitted. Reports involving in-custody arrests or use of force incidents shall be reviewed immediately. If circumstances exist that may prevent compliance with this timeframe

Report Preparation

(e.g., vacation, sick leave, training, etc.), the Supervising Agent in Charge will be responsible for reviewing the reports.

309.4 REPORT ROUTING PROCEDURES

Administrative Accusations

The Supervising Agent shall ensure that approved investigative reports are sent to the Department's Office of Legal Services for review and processing. A Request to File Accusation Pleading (including Penalty Recommendation) shall be attached to the investigative report along with any attachments.

Criminal Filings

The Supervising Agent shall ensure that all investigations involving the issuance of a citation or the physical booking of an arrestee be forwarded to the appropriate prosecuting attorney for review and possible criminal filing. All other investigations involving criminal violations should be forwarded to the appropriate prosecuting attorney for possible criminal filing at the discretion of the Supervising Agent or Supervising Agent in Charge.

For arrests/citations involving an administrative accusation, the original investigative report(s) and attachments shall be retained in an accusation packet in the applicable licensee's file.

For arrests/citations not resulting in an administrative accusation, the original investigative report(s) and attachments shall be retained by the reporting office/unit.

Reports may be purged in accordance with the Department's retention schedule.

309.5 REPORT CHANGES OR ALTERATIONS

Reports that have been approved by a supervisor for forwarding to a prosecutorial agency shall not be modified or altered except by way of a supplemental report. Reviewed reports that have not yet been submitted as part of a prosecutorial summary or inclusion in an investigative file may be corrected or modified by the authoring agent only with the knowledge and authorization of the reviewing supervisor.

309.6 NON-REQUIRED REPORTING

Routine Backtracks

- Routine backtrack investigations such as minor decoy cases made by a police or sheriff's department where no additional investigation is needed. These backtrack investigations do, however, require the completion of a Decoy Information Sheet (ABC-333-D).

Infractions

- Any infraction not resulting in any administrative action against a licensee (Section 853.6(e)(1) Penal Code) such as violation of Section 25658.5 B&P, Minor Attempting to Purchase.

Report Preparation

- The reverse side of the original Notice to Appear may be used to document information such as the type of alcoholic beverage involved.

If a supervisor deems it necessary, he or she may require an agent to submit a written report for a specific situation involving an incident described above.

309.7 DEPARTMENT REPORT NUMBERING SYSTEM

The Report Log (ABC-325) contains sequential report numbers based upon the Uniform Department Report Numbering System. The system is as follows:

- The report number begins with the year, followed by the assigned two-digit code for the District Office or Unit, and the next sequential number in ascending order. Example: 21-29-001, 21-29-002, 21-29-003, etc.
- Agents shall obtain a report number for all incidents involving an arrest, issuance of a citation, completion of any of the aforementioned reports, or seizure of evidence.

Attachment P



INVESTIGATION REPORT

State of California
Department of Alcoholic Beverage Control
{OfficeName}
{OfficeAddress2Lines}
{OfficePhoneNumber}



1. REPORT NUMBER	2. ASSIGNMENT NUMBER	3. PAGE
{ABCReportNumber}	{InvestigationNumber}	1 of 5

4. CODE SECTIONS INVESTIGATED (Section number and title)

5. DAY/DATE/TIME OF INCIDENT	6. LOCATION OF INCIDENT
------------------------------	-------------------------

CODE: L – Licensee; E – Employee; V – Victim; W – Witness; S – Suspect; O – Other

7. CODE	8. NAME (Last, first, middle)					9. TELEPHONE NUMBER			
10. HOME ADDRESS					11. OTHER ADDRESS				
12. RACE	13. SEX	14. BIRTHDATE	15. AGE	16. APPARENTAGE	17. HAIR	18. EYES	19. HEIGHT	20. WEIGHT	
21. OPERATOR'S LICENSE NUMBER			22. CLOTHING DESCRIPTION						
23. MISCELLANEOUS INFORMATION									

VEHICLE

24. LICENSE	25. STATE	26. YEAR	27. MAKE	28. MODEL	29. COLOR
30. REGISTERED OWNER			31. ADDRESS		

32. SUMMARY OF REPORT

ABC USE ONLY

LICENSEE NAME {LicenseeNamesLetter}		DBA {PrimaryDBA}	
PREMISES ADDRESS {PremAddress4Line}		LICENSE NUMBER {LicenseTypeAndNumber}	BUSINESS PHONE NUMBER
INVESTIGATOR/ID	OFFICE/UNIT {OfficeName}	SUPERVISOR/ID	DATE
SIGNATURE	DATE	ROUTING	

Attachment P

INVESTIGATION REPORT
State of California
Department of Alcoholic Beverage Control
{OfficeName}
{OfficeAddress2Lines}
{OfficePhoneNumber}



1. REPORT NUMBER	2. ASSIGNMENT NUMBER	3. PAGE
{ABCReportNumber}	{InvestigationNumber}	2 of 5

CODE: L – Licensee; E – Employee; V – Victim; W – Witness; S – Suspect; O – Other

7. CODE	8. NAME (Last, first, middle)						9. TELEPHONE NUMBER		
10. HOME ADDRESS						11. OTHER ADDRESS			
12. RACE	13. SEX	14. BIRTHDATE	15. AGE	16. APPARENTAGE	17. HAIR	18. EYES	19. HEIGHT	20. WEIGHT	
21. OPERATOR'S LICENSE NUMBER			22. CLOTHING DESCRIPTION						
23. MISCELLANEOUS INFORMATION									

CODE: L – Licensee; E – Employee; V – Victim; W – Witness; S – Suspect; O – Other

7. CODE	8. NAME (Last, first, middle)						9. TELEPHONE NUMBER		
10. HOME ADDRESS						11. OTHER ADDRESS			
12. RACE	13. SEX	14. BIRTHDATE	15. AGE	16. APPARENTAGE	17. HAIR	18. EYES	19. HEIGHT	20. WEIGHT	
21. OPERATOR'S LICENSE NUMBER			22. CLOTHING DESCRIPTION						
23. MISCELLANEOUS INFORMATION									

CODE: L – Licensee; E – Employee; V – Victim; W – Witness; S – Suspect; O – Other

7. CODE	8. NAME (Last, first, middle)						9. TELEPHONE NUMBER		
10. HOME ADDRESS						11. OTHER ADDRESS			
12. RACE	13. SEX	14. BIRTHDATE	15. AGE	16. APPARENTAGE	17. HAIR	18. EYES	19. HEIGHT	20. WEIGHT	
21. OPERATOR'S LICENSE NUMBER			22. CLOTHING DESCRIPTION						
23. MISCELLANEOUS INFORMATION									

CODE: L – Licensee; E – Employee; V – Victim; W – Witness; S – Suspect; O – Other

7. CODE	8. NAME (Last, first, middle)						9. TELEPHONE NUMBER		
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INVESTIGATION REPORT

State of California
Department of Alcoholic Beverage Control
{OfficeName}
{OfficeAddress2Lines}
{OfficePhoneNumber}



1. REPORT NUMBER {ABCReportNumber}	2. ASSIGNMENT NUMBER {InvestigationNumber}	3 PAGE 3 of 5
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10. HOME ADDRESS					11. OTHER ADDRESS				
12. RACE	13. SEX	14. BIRTHDATE	15. AGE	16. APPARENTAGE	17. HAIR	18. EYES	19. HEIGHT	20. WEIGHT	
21. OPERATOR'S LICENSE NUMBER			22. CLOTHING DESCRIPTION						
23. MISCELLANEOUS INFORMATION									

CODE: L – Licensee; E – Employee; V – Victim; W – Witness; S – Suspect; O – Other

7. CODE	8. NAME (Last, first, middle)					9. TELEPHONE NUMBER		
10. HOME ADDRESS					11. OTHER ADDRESS			
12. RACE	13. SEX	14. BIRTHDATE	15. AGE	16. APPARENTAGE	17. HAIR	18. EYES	19. HEIGHT	20. WEIGHT
21. OPERATOR'S LICENSE NUMBER			22. CLOTHING DESCRIPTION					
23. MISCELLANEOUS INFORMATION								

CODE: L – Licensee; E – Employee; V – Victim; W – Witness; S – Suspect; O – Other

7. CODE	8. NAME (Last, first, middle)					9. TELEPHONE NUMBER		
10. HOME ADDRESS					11. OTHER ADDRESS			
12. RACE	13. SEX	14. BIRTHDATE	15. AGE	16. APPARENTAGE	17. HAIR	18. EYES	19. HEIGHT	20. WEIGHT
21. OPERATOR'S LICENSE NUMBER			22. CLOTHING DESCRIPTION					
23. MISCELLANEOUS INFORMATION								

CODE: L – Licensee; E – Employee; V – Victim; W – Witness; S – Suspect; O – Other

7. CODE	8. NAME (Last, first, middle)					9. TELEPHONE NUMBER		
10. HOME ADDRESS					11. OTHER ADDRESS			
12. RACE	13. SEX	14. BIRTHDATE	15. AGE	16. APPARENTAGE	17. HAIR	18. EYES	19. HEIGHT	20. WEIGHT



INVESTIGATION REPORT

State of California
Department of Alcoholic Beverage Control
{OfficeName}
{OfficeAddress2Lines}
{OfficePhoneNumber}



1. REPORT NUMBER	2. ASSIGNMENT NUMBER	3 PAGE
{ABCReportNumber}	{InvestigationNumber}	4 of 5

21. OPERATOR'S LICENSE NUMBER	22. CLOTHING DESCRIPTION
-------------------------------	--------------------------

23. MISCELLANEOUS INFORMATION

CODE: L – Licensee; E – Employee; V – Victim; W – Witness; S – Suspect; O – Other

7. CODE	8. NAME (Last, first, middle)	9. TELEPHONE NUMBER
---------	-------------------------------	---------------------

10. HOME ADDRESS	11. OTHER ADDRESS
------------------	-------------------

12. RACE	13. SEX	14. BIRTHDATE	15. AGE	16. APPARENTAGE	17. HAIR	18. EYES	19. HEIGHT	20. WEIGHT
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21. OPERATOR'S LICENSE NUMBER	22. CLOTHING DESCRIPTION
-------------------------------	--------------------------

23. MISCELLANEOUS INFORMATION

CODE: L – Licensee; E – Employee; V – Victim; W – Witness; S – Suspect; O – Other

7. CODE	8. NAME (Last, first, middle)	9. TELEPHONE NUMBER
---------	-------------------------------	---------------------

10. HOME ADDRESS	11. OTHER ADDRESS
------------------	-------------------

12. RACE	13. SEX	14. BIRTHDATE	15. AGE	16. APPARENTAGE	17. HAIR	18. EYES	19. HEIGHT	20. WEIGHT
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21. OPERATOR'S LICENSE NUMBER	22. CLOTHING DESCRIPTION
-------------------------------	--------------------------

23. MISCELLANEOUS INFORMATION



INVESTIGATION REPORT
State of California
Department of Alcoholic Beverage Control
{OfficeName}
{OfficeAddress2Lines}
{OfficePhoneNumber}



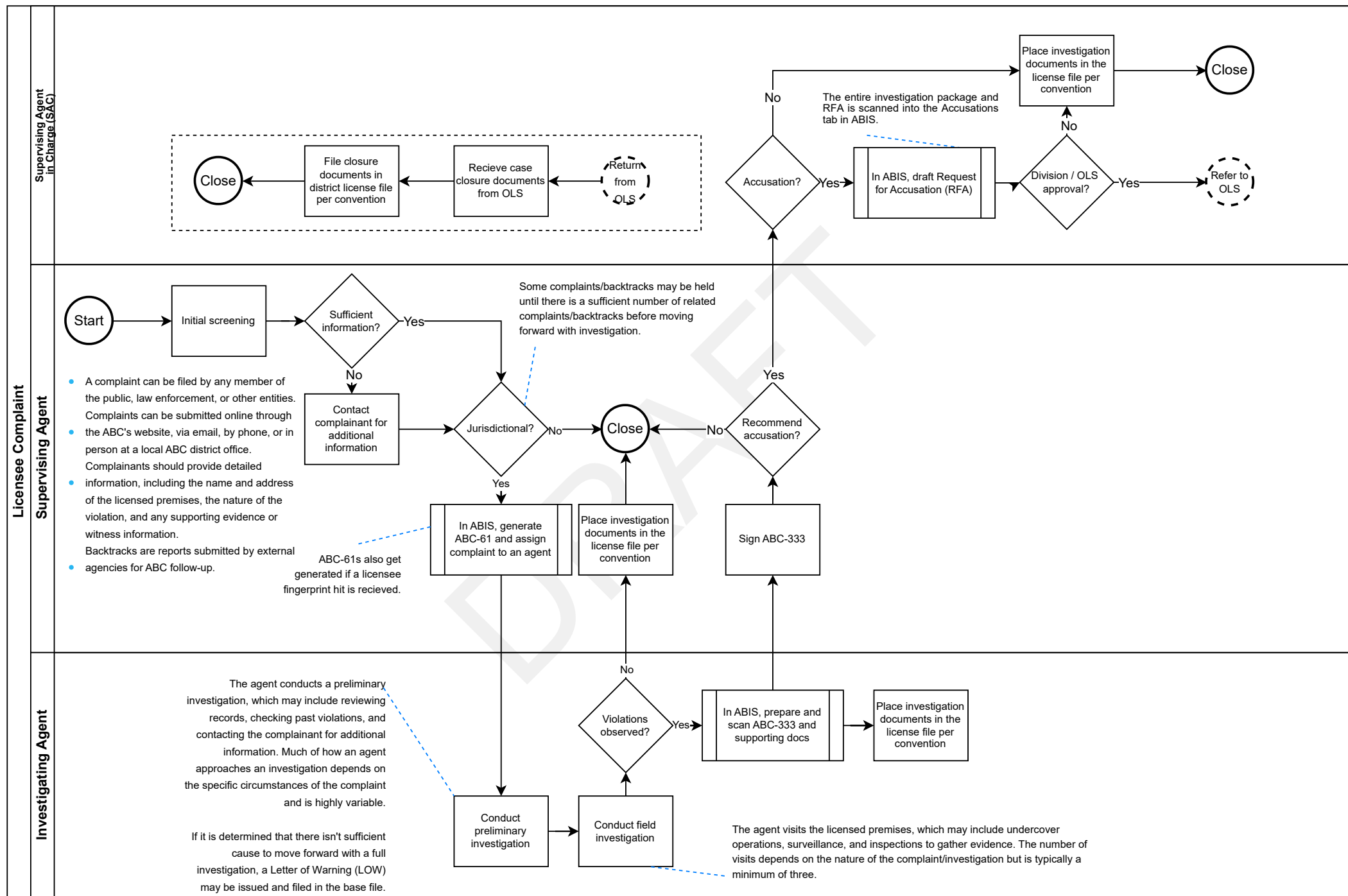
1. REPORT NUMBER	2. ASSIGNMENT NUMBER	3. PAGE
{ABCReportNumber}	{InvestigationNumber}	5 of 5

ATTACHMENTS:

CIRCUMSTANCES/INVESTIGATIONS:

Attachment Q

Attachment Q General Complaint Intake and Investigation Workflow



Attachment R

Department of Alcoholic Beverage Control
NOTICE OF VIOLATION

DATE & TIME OF VIOLATION		PLEASE TAKE NOTICE This notice is not a disciplinary action and does not give rise to any rights of hearing or appeal. It is intended to serve as a notice of violation(s) found to be occurring on or about an ABC licensed premises. Notwithstanding this warning notice, the Department may still choose to file an administrative accusation against the license based on the violation(s) indicated below. Continuation of these violation(s) may also result in the filing of an administrative action by the Department. This notice may be presented as an exhibit by the Department to establish aggravating circumstances, based on prior notice of these violation(s), in any administrative proceeding(s).
LICENSEE/DBA		
ABC LICENSE NUMBER	PREMISES PHONE NUMBER	
PREMISES ADDRESS		
PERSON CONTACTED & CDL OR ID#		
CONTACT PHONE NUMBER		

Violation Observed	
CONDITION VIOLATION (B&P 23804) ☐ Violation	CONCURRENT SALES OF GAS AND ALCOHOL (B&P 23790.5(d)) ☐ Violation
FOOD SERVICE (B&P 23038) (T-41, 47 & 75 Only) ☐ Violation	SALES TO NON-MEMBERS (B&P 23431 or 23435) (T-51, 52, 57) ☐ Violation
CONSUMPTION ON UNLICENSED PATIO, DECK, ETC (B&P 23355) ☐ Violation	GAMBLING (PC 330.1) or BOOKMAKING (PC 337) ☐ Violation
“NO PERSON UNDER 21” SIGNS (Rule 107 CCR) (T-42, 48 & 61 Only) ☐ Violation	UNLAWFUL POSSESSION OF DISTILLED SPIRITS (B&P 25607(a)) ☐ Violation
CONTAMINATED ALCOHOLIC BEVERAGE (PC 347b) ☐ Violation	EXCESSIVE SIGNS (B&P 25612.5(c)(7)) (T-20,21,40,42,48 & 61 ONLY) ☐ Violation
RETAIL TO RETAIL (B&P 23402) ☐ Violation	EXTERIOR LIGHTING (B&P 25612.5(c)(4)) (T-20,21,40,42,48 & 61 ONLY) ☐ Violation
SUBSTITUTION OF BRANDS (B&P 25609) ☐ Violation	LITTER (B&P 25612.5(c)(5)) (T-20,21,40,42,48 & 61 ONLY) ☐ Violation
HARMFUL MATTER (PC 313.1(e)) ☐ Violation	GRAFFITI (B&P 25612.5(c)(6)) (T-20,21,40,42,48 & 61 ONLY) ☐ Violation
REFILLING DISTILLED SPIRITS (B&P 25177) ☐ Violation	OTHER VIOLATION ☐ Violation (Section & Title) _____
CONSUMPTION INSIDE OFF SALE (B&P 25612.5(c)(3)) ☐ Violation	

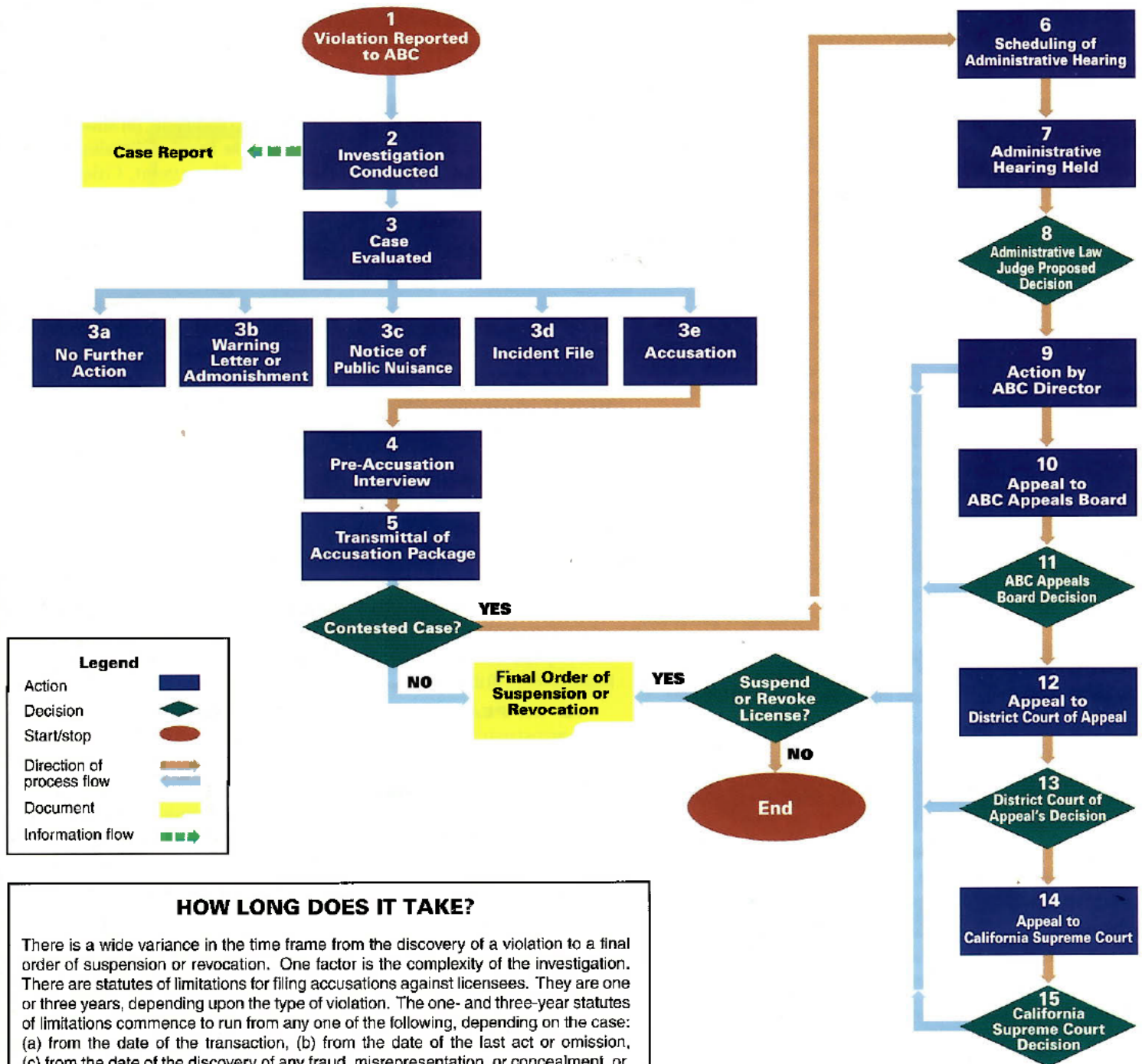
Comment:

Signature of Licensee or Licensee’s Agent X _____

ABC AGENT/BAGDE#	DATE
OFFICE/UNIT	AGENT PHONE NUMBER

Attachment S

State of California • Department of Alcoholic Beverage Control

ALCOHOLIC BEVERAGE LICENSE—DISCIPLINARY PROCESS**HOW LONG DOES IT TAKE?**

There is a wide variance in the time frame from the discovery of a violation to a final order of suspension or revocation. One factor is the complexity of the investigation. There are statutes of limitations for filing accusations against licensees. They are one or three years, depending upon the type of violation. The one- and three-year statutes of limitations commence to run from any one of the following, depending on the case: (a) from the date of the transaction, (b) from the date of the last act or omission, (c) from the date of the discovery of any fraud, misrepresentation, or concealment, or (d) from the date a criminal conviction becomes final.

Investigation and Filing of Accusation (Steps 2-5)

—**Accusations to be filed within one year.** Beer price posting and marketing regulations; labels and containers; free goods; habitual drunkard/obviously intoxicated person; unlawful possession on licensed premises; substitution of brands; destroying serial numbers; exterior signs; obnoxious signs/retail operating standards; alcoholic content of beer; retail hours of sale; permitting consumption during restricted hours, whole-sale deliveries; sales to, or permitting consumption by, minors; employment of minors; advertising encouraging minors to drink; or minors in public premises.

—**Accusations to be filed within three years.** Sales without a license; misuse of license privileges; license privileges (club or veterans' club); selling narcotics or soliciting drinks on premises; tied-house restrictions; disorderly house; or false returns and records.

INTRODUCTION

State and local law enforcement and licensees all play an important role in preventing alcohol-related problems in our communities. The Department of Alcoholic Beverage Control (ABC) licenses and regulates the alcoholic beverage industry. The goal of ABC's disciplinary procedures is to secure voluntary compliance among licensees. Other law enforcement agencies are required to notify ABC of any arrest made involving a licensee or a licensed premises.

Administrative penalties. Any person licensed by ABC, and his employees, must abide by all the laws of the State. If ABC has evidence of a violation involving a licensee or a licensed premises, it will file an administrative complaint, called an accusation. An accusation, if proven, will lead to the suspension or revocation of the license. An accusation is in addition to, and not a substitute for, possible criminal and civil penalties that local city and district attorneys may bring against the licensee or employee who committed the violation.

Criminal penalties can result from violations that are criminal offenses. For example, the sale or service of alcoholic beverages to a minor or an obviously intoxicated person is not only grounds for an accusation, but constitutes a criminal offense. Thus, the seller/server could be arrested, charged with a crime, and face a fine, community service work or imprisonment in county jail.

Civil penalties are money judgments and penalties resulting from a lawsuit or a permanent injunction. A local district or city attorney may bring an injunction against a licensee in cases such as a public nuisance. Also, ABC may seek an injunction against a licensee for ongoing violations by sending its request to the Attorney General, who files in the local Superior Court. ABC will seek injunctive relief in aggravated cases when there have been prior, recent, similar violations and/or there is a pending accusation involving similar violations.

1—VIOLATION REPORTED TO ABC. The disciplinary process begins when ABC is informed of an alleged violation involving a licensee or a licensed premises. The information can come from a citizen complaint, police report, local legislative body, or ABC's own investigators who are sworn peace officers. A **police report** is usually sufficient in itself to warrant an accusation. With citizen complaints, an independent investigation by ABC is usually required. **Citizens** can assist the law enforcement effort by documenting violations. Neighbors are encouraged to keep logs of disruptive or illegal activities they see or hear at or around the premises. This can include incidents that disrupt the neighborhood, including noise, intoxicated patrons, fights, and the like.

2—INVESTIGATION CONDUCTED. Investigations to detect violations may be conducted by ABC investigators and/or other law enforcement agencies. Investigations may include any of the following strategies: (a) **undercover operations** to target specific incidents of unlawful activity (e.g., drunks, narcotics, drink solicitation activity, condition violations, minors, etc.); (b) **surveillances** to check for loitering, drinking in public, graffiti, litter, excessive signage, excessive noise, etc.; (c) **premises inspections** (the law authorizes peace officers to inspect licensed premises for violations of the ABC Act during the times when the license privileges are being exercised); and/or (d) **contacting nearby residents** and business owners (an accusation to revoke a license of a disorderly premises may be based solely on the testimony and/or other evidence from citizens who live or work near the licensed premises). After completing the investigation, the investigator submits a completed assignment sheet and/or case report.

3—CASE EVALUATED. After the investigation, the District Office evaluates the case and takes one of six different actions, depending on the evidence and facts of the case.

3a—No Further Action. This means there was insufficient evidence of a violation and ABC is dropping the case with no further action.

3b—Warning Letter or Admonishment. A warning letter may be sent to a licensee or a licensee may be called into the District Office for an interview when the circumstances surrounding a violation show that a warning letter or interview will achieve the desired effect of compliance and the filing of an accusation is not in the best interests of justice. With warnings, there must be sufficient evidence to indicate that a violation did occur. Anything less is an admonishment.

3c—Notice of Public Nuisance. This notice describes nuisance conditions observed at the premises and reminds the licensee of his duty to control his premises. ABC then monitors the licensed premises. If, after being notified by ABC, the licensee fails to correct public nuisance conditions at the licensed premises within a reasonable period of time, ABC may file an accusation.

3d—Incident File. A police report, including any call for service to the premises by law enforcement, which does not by itself warrant an accusation, is placed in the licensee's file and accumulated. If a sufficient number of these reports or calls for service accumulate, ABC may file an accusation alleging "permitting a disorderly house" and/or "creating a law enforcement problem" at a future date.

3e—Accusation. If sufficient evidence exists that a violation occurred, the District Office prepares an accusation. The accusation alleges specific violations of law, rule or regulation.

4—PRE-ACCUSATION INTERVIEW. The District Office conducts an interview with the licensee concerning the case prior to sending the accusation package to the Division Office. The licensee is informed of the disciplinary procedure, his legal rights, the possibility of settling the case by a **Stipulation and Waiver**, the fine and appeal process, and the recommended penalty. The term Stipulation and Waiver means that the licensee agrees (stipulates) to the charges and gives up (waives) rights to an administrative hearing and appeal. Penalty recommendations are made on a case by case basis. Consideration is given to the type of violation, the minimum penalty schedule, and all factors of aggravation or mitigation, including the licensee's disciplinary history. Penalties are not meant as punishment for the licensee, but as protection for the public. Penalties are recommended based on their deterrent effect and to assure future compliance.

5—TRANSMITTAL OF ACCUSATION PACKAGE.

The District Office forwards the accusation, the case report, supporting documents and a penalty recommendation to the Division Office. The Division Office reviews the accusation, makes a recommendation, and forwards the entire package to ABC Headquarters, Hearing and Legal, for filing (registration) of the accusation.

6—SCHEDULING OF ADMINISTRATIVE HEARING.

Headquarters, upon receiving the accusation, case report and recommendation, will formally file the accusation, set the matter for hearing and serve the accusation, notice of defense and notice of hearing upon the respondent-licensee. Contested cases are scheduled for a hearing before an administrative law judge (ALJ) within 60 days. The purpose of the hearing is to determine whether a violation has been proved, and if so, to set a penalty.

7—ADMINISTRATIVE HEARING. At the hearing, ABC counsel represents ABC. The licensee may be represented by an attorney or other person, or he can represent himself at the hearing. ABC presents evidence, including testimony of witnesses, etc. The licensee may testify and/or present other evidence. Rules of evidence are primarily those followed in civil hearings, and the burden is on ABC to prove, by a preponderance of evidence, the charges set forth in the accusation.

8—ALJ PROPOSED DECISION. The ALJ has 30 days to prepare a Proposed Decision for consideration by the ABC Director. In the proposed decision, each charge in the accusation is shown as proved or unproved and a penalty is proposed. The ALJ may propose the same penalty that ABC suggested or a greater or lesser penalty.

9—ACTION BY ABC DIRECTOR. The ABC Director adopts or rejects the ALJ's Proposed Decision. If the ABC Director rejects the Proposed Decision, ABC sends a Notice of Rejection to licensee. The licensee has 30 days from the date of the notice to submit written argument.

10—APPEAL TO ABC APPEALS BOARD. A licensee who is not satisfied with the ABC Director's decision may appeal the Director's Decision to the ABC Appeals Board within 40 days. The Board is a separate State agency comprised of a three-member panel appointed by the Governor.

11—ABC APPEALS BOARD DECISION. The Board reviews the record of the administrative hearing and accepts written or oral arguments. It may not accept any new evidence that was not offered at the original hearing. The Board usually makes a decision within 120 days.

12—APPEAL TO DISTRICT COURT OF APPEAL. The licensee and ABC may appeal to the California District Court of Appeal (DCA) within 30 days of the Appeals Board Decision.

13—DISTRICT COURT OF APPEAL'S DECISION. The DCA reviews the record and renders a decision. The Attorney General represents ABC at the hearing. There is no mandated time period for the DCA to render its decision.

14—APPEAL TO CALIFORNIA SUPREME COURT. The licensee and ABC may appeal to the California Supreme Court within 30 days of the DCA decision. The Attorney General represents ABC before the Supreme Court. There is no time mandated for the Supreme Court to render its decision.

15—CALIFORNIA SUPREME COURT DECISION. The California Supreme Court makes a decision to suspend or revoke the license.

Attachment T

Attachment T

Department of Alcoholic Beverage Control
SHOULDER TAP/MINOR DECOY RESULTS
Use a separate form for each decoy

DECOY NAME (Last, First, Middle)				AGE	DATE OF OPERATION		
LAW ENFORCEMENT AGENCY/ABC DISTRICT/UNIT					CASE AGENT (NAME)		
AGENTS/OFFICERS ASSIGNED TO OPERATION							
ADDRESS					PHONE (Include area code)		
SECTION #1: SHOULDER TAP DBA / Premises Address	# Contacts	# Citations	# Bookings	Probation Parole	Warrants	Other	Requested Additional Money
TOTALS							
SECTION #2: MINOR DECOY DBA/Premises Address /License Number	On-Sale	Off-Sale	ID Asked For	Age Asked	Violation	No Violation	25658(f) Letter
TOTALS							

Attachment T

Department of Alcoholic Beverage Control

DECOY NAME	DATE OF OPERATION

[illegible]

Attachment U

Property and Evidence

400.1 PURPOSE AND SCOPE

This policy provides for the proper collection, storage, and security of evidence and other property. Additionally, this policy provides for the protection of the chain of evidence and identifies those persons authorized to remove and/or destroy property.

400.2 DEFINITIONS

Property - Includes all items of evidence, items taken for safekeeping, and found property.

Evidence - Includes items taken or recovered in the course of an investigation that may be used in the prosecution of a case. This includes photographs.

Safekeeping - Includes the following types of property:

- Property obtained by the Department for safekeeping such as a firearm.
- Personal property of an arrestee not taken as evidence.
- Property taken for safekeeping under authority of a law (e.g., Welfare and Institutions Code § 5150 (mentally ill persons)).

Found property - Includes property found by an agent or citizen that has no apparent evidentiary value and where the owner cannot be readily identified or contacted.

400.3 PROPERTY HANDLING

Any agent who first comes into possession of any property shall either retain such property in his/her possession until it is properly tagged and placed in the designated property locker or storage room along with the Evidence/Property Receipt/Report (ABC-320) or ensure that the property is provided to the reporting agent for proper handling. Care shall be taken to maintain the chain of custody for all evidence.

Where ownership can be established as to found property with no apparent evidentiary value, such property may be released to the owner without the need for booking. The ABC-320 form must be completed to document the release of property not booked and the owner shall sign the form acknowledging receipt of the items.

400.3.1 PROPERTY BOOKING PROCEDURE

All property must be booked prior to the agent going off-duty. Any exception must be approved by a supervisor on a case by case basis. Agents booking property shall observe the following guidelines:

- (a) Complete the property form describing each item of property separately, listing all serial numbers, owner's name, finder's name, and other identifying information or markings.

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- (b) Mark each item of evidence with the booking employee's initials and the date booked using the appropriate method so as not to deface or damage the value of the property.
- (c) Complete an evidence/property tag and attach it to each package or envelope in which the property is stored.
- (d) Place the case number in the upper right hand corner of the bag.
- (e) The original property form shall be submitted with the case report. A copy shall be placed with the property in the temporary property locker or with the property if property is stored somewhere other than a property locker.
- (f) When the property is too large to be placed in a locker, the item may be retained in the supply room. Submit the completed property record into a numbered locker indicating the location of the property.

400.3.2 NARCOTICS AND DANGEROUS DRUGS

All narcotics and dangerous drugs shall be booked separately using a separate ABC-320 form. Paraphernalia as defined by Health and Safety Code § 11364 shall also be booked separately.

The agent seizing the narcotics and dangerous drugs shall place them in the designated locker accompanied by the ABC-320 form.

400.3.3 EXPLOSIVES

The local law enforcement agency's bomb squad will be called to handle explosive-related incidents and will be responsible for the handling, storage, sampling, and disposal of all suspected explosives.

Explosives will not be retained in the District Office.

400.3.4 EXCEPTIONAL HANDLING

Certain property items require a separate process. The following items shall be processed in the described manner:

- (a) Bodily fluids such as blood stains shall be air dried prior to booking.
- (b) All bicycles and bicycle frames require an ABC-320 form. Property tags will be securely attached to each bicycle or bicycle frame. The property may be released directly to the Evidence Custodian, or placed in the district office's designated area until the Evidence Custodian can log the property.
- (c) All currency shall be counted by two agents, secured in an envelope, and the envelope initialed by both agents. The Supervising Agent shall be contacted for currency in excess of \$1,000. All currency shall be booked using a separate ABC-320 form. Whenever an agent feels the actual currency should be retained as physical evidence, rather than having the money deposited, the agent should discuss the situation with the Supervising Agent in Charge. The Supervising Agent in Charge may make a determination to allow the actual currency to be held as physical evidence until legal proceedings are adjudicated. If seized currency is not physically required for court, it shall be exchanged, within three days of the seizure, for a cashier's check or money order for deposit. A Miscellaneous Receipt shall be generated in ABIS, using

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the District Office's number and ABC report number, showing the money is being deposited as seized evidence. A copy of the miscellaneous receipt shall be attached to the ABC-320 form. The check and ABIS receipt will be routed to HQ Accounting for processing.

- (d) Agents should be aware of safety concerns when conducting unlicensed still investigations and should consult with the local fire department and hazardous materials and waste facility.

State property, unless connected to a known criminal case, should be released directly to the appropriate state department. No formal booking is required. In cases where no responsible person can be located, the property should be booked for safekeeping in the normal manner.

400.3.5 RELINQUISHED FIREARMS

Individuals who relinquish firearms pursuant to the provisions of Penal Code § 29850 shall be issued a receipt that describes the firearm, the serial number or other identification of the firearm at the time of relinquishment (Penal Code § 29810).

Relinquished firearms shall be retained for 30 days, after which time they may be destroyed, retained, sold or otherwise transferred, unless (Penal Code § 29810):

- (a) A certificate is issued by a judge of a court of record or the District Attorney stating the firearms shall be retained; or
- (b) The convicted person provides written notice of an intent to appeal the conviction that necessitated the relinquishment; or
- (c) The Automated Firearms System indicates that the firearm was reported lost or stolen.
 - 1. In such event, the firearm shall be restored to the lawful owner as soon as it is no longer needed as evidence, the lawful owner has identified the weapon and provided proof of ownership, and the Department has complied with the requirements of Penal Code § 33850 et seq.

The Evidence Custodian shall ensure that the California Highway Patrol's (CHP) Capitol Dispatch Center is notified of the relinquished firearm for purposes of updating the Automated Firearms System.

400.4 SECTION TITLE**400.5 PACKAGING OF PROPERTY**

Certain items require special consideration and shall be booked separately as follows:

- (a) Narcotics and dangerous drugs
- (b) Firearms (ensure they are unloaded and booked separately from ammunition)
- (c) Property with more than one known owner
- (d) Paraphernalia as described in Health and Safety Code § 11364
- (e) Contraband

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(f) Currency

400.5.1 PACKAGING CONTAINER

Agents shall package all property in a suitable container available for its size. Knife boxes should be used to package knives, and syringe tubes should be used to package syringes and needles.

A property tag shall be securely attached to the outside of all items or group of items packaged together. The chain of evidence shall be recorded on the evidence package.

400.5.2 PACKAGING NARCOTICS

The agent seizing narcotics and dangerous drugs shall retain such property in his/her possession until it is properly weighed, packaged, tagged, and placed in the designated property locker, accompanied by the ABC-320 form. Due to the extreme toxicity of Fentanyl in all forms, the following protocols shall be followed in the handling, collection and booking of all controlled substances.

1. In all cases where Fentanyl is suspected, no presumptive test kit shall be performed.
2. Misdemeanor charge - Personnel should not conduct a presumptive field test of any controlled substances when the involved charge is a misdemeanor.
3. Felony charge – If the involved charge is a felony and an articulable need to test the substance exists, presumptive field tests can be completed at the agent's discretion prior to packaging and sending to the lab for evaluation. If presumptive testing is deemed necessary, personnel are strongly encouraged to conduct the field testing with naloxone and a partner present.

400.5.3 PACKAGING FIREARMS

Firearms shall be rendered unloaded and safe. All semi-automatic firearms shall be secured with the chamber open and blocked to prevent accidental closure, safety on, and magazine removed. All ammunition and firearms accessories shall be removed from firearms and properly packaged and booked as separate items. To make the weapon safe, run a tie wrap through the ejection port and firing chamber. Revolvers shall have the cylinder open and blocked from accidental closure. Run a tie wrap through the cylinder and trigger guard. If a tie wrap is not long enough, use a Flex-Cuff.

The agent seizing the firearm shall request that the firearm be entered into the Automated Firearms System (AFS) no later than the end of his/her shift. Entry into the AFS is required by Penal Code Section 11108. Agents shall accomplish this mandate by requesting the California Highway Patrol's (CHP) Capitol Dispatch Center enter the firearm on their behalf. CHP's Capitol Dispatch Center in Sacramento is the only Communications Center with the authority to make AFS entries on behalf of the Department. Request sent to other area Communication Centers will not be processed.

The request shall be sent to Capitol Dispatch via fax on form ABC-75 AFS (Fax Transmission). Each office/unit with an ORI has its own ABC-75 AFS form. In the subject line the agent shall circle the appropriate notification indicating they are requesting that a firearm be entered into AFS. The

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request must be complete and accurate. After faxing a request to the Capitol Dispatch Center, agents shall immediately follow-up with a telephone call to the dispatch center to ensure receipt of the faxed request. Once CHP has entered the firearm, the ABC-75 will be faxed back to the Agent to complete the "Second Party Verification" process.

Note: If the firearm being processed is a "ghost gun" or otherwise does not have a serial number assigned to it, the agent shall contact the Department of Justice (DOJ), Bureau of Firearms (BOF), Automated Firearms System by calling (916) 227-3589 to obtain a serial number for the weapon.

DOJ BOFAFS can also be reached at BOFAFS@doj.ca.gov. This process shall be completed prior to requesting the firearm be entered into AFS by CHP.

On the following business day, the requesting agent shall make an inquiry into AFS of the seized firearm. If any of the information is incorrect, the requesting agent shall note the applicable corrections on the same ABC-75 form and re-submit to CHP. Any corrections to the entry must be verified by making an additional inquiry into AFS. A printout of the AFS entry along with the original ABC-75 form shall be attached to the ABC-320 form. Agents shall be responsible for conducting the "Second Party Verification" required by the Department of Justice. After reviewing the AFS entry and fax confirmation from CHP, Agents shall complete the "Second Party Verification" section on the ABC-75 and fax it back to the Capitol Dispatch Center.

The Evidence Custodian has the responsibility of ensuring that the firearm has been accurately recorded and entered into AFS prior to formally booking it as evidence and to follow-up with the booking agent to ensure the second party CLETS verification has been completed and faxed to CHP.

400.6 RECORDING OF PROPERTY

The Evidence Custodian receiving custody of evidence or property shall record his/her signature, the date and time the property was received, and where the property will be stored on the ABC-320 form.

Any changes in the location of property held by the Department shall be noted on the ABC-320 form.

400.7 PROPERTY CONTROL

Each time the Evidence Custodian receives property or releases property to another person, he/she shall enter this information on the ABC-320 form. Agents desiring property for court or an administrative hearing shall contact the Evidence Custodian at least one week prior to the court or hearing date and provide a copy of the subpoena or supporting document.

Whenever an agent has removed evidence for court or a hearing, and the court or administrative law judge has retained the evidence in their possession, the agent shall inform the Evidence Custodian. The Evidence Custodian shall note on the ABC-320 form that the court has retained the evidence.

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400.7.1 TRANSFER OF EVIDENCE TO CRIME LABORATORY

The transporting agent, who should not be the primary agent assigned to the investigation, will check the evidence out of property, indicating the date, time, and the name of the laboratory on the ABC-320 form.

The Evidence Custodian releasing the evidence must complete the required information on the ABC-320 form and the evidence package to maintain the chain of evidence.

400.7.2 STATUS OF PROPERTY

Each person receiving property will make the appropriate entry to document the chain of evidence. Temporary release of property to agents for investigative purposes or for court shall be noted on the ABC-320 form, stating the date, time, and to whom released.

The Evidence Custodian shall obtain the signature of the person to whom property is released and the reason for release. Any agent receiving property shall be responsible for such property until it is properly returned to the Evidence Custodian or properly released to another authorized person or entity.

The return of the property should be recorded on the ABC-320 form, indicating date, time, and the person who returned the property.

400.7.3 AUTHORITY TO DISPOSE PROPERTY

The Evidence Custodian shall have the criminal and administrative cases checked to see if there is any further need to retain the evidence or property. If the evidence or property is no longer needed, the Evidence Custodian may proceed with disposal as described below.

Place and Method of Disposition

When evidence or property is ordered for disposal, the Evidence Custodian will carry out the order thoroughly. The place and method of disposal will depend on quantity, danger to persons and property, and similar factors. Without exception, not less than two agents are to participate in the disposal. Each agent must sign the statement on the ABC-320 form, green copy reverse, certifying that the evidence or property was disposed of in their presence, and stating when and where. The ABC-320 form, green copy, will be attached to the original ABC-320 form and retained in the District, Division, or Unit Office.

The ABC-320 form will be retained for a period of four years from the date of disposal of the evidence or property, for audit purposes.

Disposition Requests and Orders

There are three levels of disposition for evidence and property:

Level 1 - Summary Disposition by Evidence Custodian

After the criminal and administrative cases have been adjudicated and the appeals period have expired, any evidence or property having no value may be summarily destroyed by the

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Evidence Custodian. Evidence or property of no value may include open container(s) of alcoholic beverages, vials of alcoholic beverages, false identification, and photographs.

For this summary disposition, the Evidence Custodian will complete the ABC-320 form, green copy reverse, Sections A, B, and E, and attach it to the original ABC-320 form in the Evidence Log.

Level 2 - Disposition Order by Supervising Agent in Charge/Supervising Agent

Section 25355 B&P authorizes the disposal of evidence, except automobiles or other motor vehicles, upon order of the Department. The Director authorizes Supervising Agents in Charge and Supervising Agents to issue a Disposition Order for evidence or property seized from a non-licensee suspect having a retail value of less than \$100.00. For example, unopened containers of alcoholic beverages seized from a minor in violation of Sections 25662(a) or 25658(b), with a total retail value of less than \$100.00. If you are unsure of the monetary value, process the disposition under Level 3, below.

After the criminal and administrative cases have been adjudicated and the appeals period have expired, the Evidence Custodian will complete the ABC-320 form, green copy reverse, Part A-Request for Disposition Order, and forward it to the Supervising Agent in Charge or Supervising Agent. Under this disposition level, it is not necessary to forward the ABC-320 form to the General Counsel, requesting a Disposition Order.

The Supervising Agent in Charge or Supervising Agent may authorize destruction of the evidence or property by signing the ABC-320 form, green copy reverse, Part B-Disposition Order.

The Supervising Agent in Charge or Supervising Agent will return the signed ABC-320 form to the Evidence Custodian for disposition of the evidence or property.

Level 3 - Disposition Order by General Counsel

A Disposition Order by the General Counsel is required to dispose of:

- Evidence or property seized from a licensee or licensee's agent (except evidence/property having no value as described in Level 1)
- Alcoholic beverages seized from a suspect having a total retail value of \$100.00 or more.
- Controlled substances; drug paraphernalia
- Firearms
- Currency

When in doubt, request a Disposition Order from the General Counsel.

After the criminal and administrative cases have been adjudicated and the appeals period have expired, the Evidence Custodian shall complete the ABC-320 form, green copy reverse, Part A-Request for Disposition Order. The Evidence Custodian will check the appropriate boxes showing the evidence is no longer needed. If the Evidence Custodian has a special request for the

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order, they will make the necessary notations such as "return the keg to the wholesaler" or "transfer the controlled substances for destruction to Northern or Southern Division."

The Evidence Custodian will make a copy of the ABC-320 form green copy reverse, and attach it to the original ABC-320 form in the Evidence Log. The ABC-320 form, actual green copy, will then be routed to Headquarters using a Statewide Route Slip, ABC-420 form.

The General Counsel will review the Request for Disposition Order, check to verify the evidence is no longer needed for the ABC Appeals Board or for any other appeals, and make the appropriate order using only the ABC-320 form within 45 days of receipt. The General Counsel may issue special orders concerning some of the evidence on the ABC -320 form. The order will be signed by the General Counsel and dated. The ABC-320 form will serve as ABC's Disposition Order and will be returned back to the requesting District, Division, or Unit.

The Evidence Custodian will comply with the signed order, and have the physical evidence either destroyed, transferred, or returned to its lawful owner.

Special Conditions

Evidence Obtained by Search Warrant

This evidence is the property of the court and may only be disposed of by Court Order.

Evidence in Civil Cases

There is no general obligation to preserve evidence for civil suits. Exceptions to this rule would be a Court Order or a gratuitous promise; e.g., an employee promises or implies that evidence will be held for civil litigation. However, if there is a reasonable expectation (Victim Compensation Board, complaint against ABC personnel) that such evidence may be necessary for a civil action involving the Department, an obligation to preserve the evidence may exist.

Employees shall not promise or imply that evidence in a criminal case will be preserved or retained for any other purpose such as future civil action.

Whenever ABC receives a request to preserve evidence or property for civil litigation, the request, a copy of the ABC-320 form, and a copy of the Investigation Report will be routed to the General Counsel for review and a determination.

Delivery to State Departments

Section 25359 B&P authorizes ABC to turn over any beverage or other property it seizes to any state department or institution. Any request under this section should be routed to General Counsel for review and a determination.

Evidence Retention

Cases where a defendant has been given diversion must be held until the diversion program has been successfully completed.

Cases where charges have been rejected or dismissed shall be checked for refiling. Cases may be refiled on up to 1 to 3 years after rejection or dismissal.

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Open cases where no charges have been filed, shall be held until the expiration of the statute of limitations unless a disposition is obtained from the District Attorney's Office specifying otherwise.

- Felony, death/life imprisonment or the crime is embezzlement of public funds: There is no statute of limitations. Evidence must be kept until the case is adjudicated and the defendant has served their sentence and completed parole. (799 PC)
- Felony, imprisonment of 8 years or more: Evidence must be kept for 6 years (800 PC)
- Felony: Evidence must be kept for 3 years (801 PC)
- Misdemeanor: Evidence must be kept for 1 year (802 PC)
- Evidence in attempted crimes shall be retained for half the time as required by the crime itself, except attempt murder, which shall be held for the same amount of time as murder (664 PC).

400.7.4 RELEASE OF PROPERTY

All reasonable attempts shall be made to identify the rightful owner of found property or evidence not needed for an investigation.

Release of property shall be made upon written request, listing the name and address of the person to whom the property is to be released. The release authorization shall be signed by the authorizing supervisor or agent and must conform to the items listed on the property form or must specify the specific item(s) to be released. Release of all property shall be documented on the ABC-320 form.

With the exception of firearms and other property specifically regulated by statute, found property and property held for safekeeping shall be held for a minimum of 90 days. During such period, the Evidence Custodian shall attempt to contact the rightful owner by telephone and/or mail when sufficient identifying information is available. If such property is not lawfully claimed, it may thereafter be destroyed (Civil Code § 2080.6). The final disposition of all such property shall be fully documented in related reports.

An Evidence Custodian shall release the property upon proper identification being presented by the owner for which an authorized release has been received. A signature of the person receiving the property shall be recorded on the ABC-320 form.

Under no circumstances shall any firearm be returned to any individual unless and until such person presents valid identification and written notification from the California Department of Justice that conforms to the provisions of Penal Code § 33865.

The Evidence Custodian should also make reasonable efforts to determine whether the person is the subject of any court order preventing the person from possessing a firearm and if so, the firearm should not be released to the person while the order is in effect.

The Department is not required to retain any firearm or other deadly weapon longer than 180 days after notice has been provided to the owner that such firearm or other deadly weapon is available

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for return. At the expiration of such period, the firearm or other deadly weapon may be processed for disposal in accordance with applicable law (Penal Code § 33875).

400.7.5 DISPUTED CLAIMS TO PROPERTY

Occasionally more than one party may claim an interest in property being held by the Department, and the legal rights of the parties cannot be clearly established. Such property shall not be released until one party has obtained a valid court order or other undisputed right to the involved property.

All parties should be advised that their claims are civil, and situations where the parties cannot reach an informal resolution, legal counsel for the Department has the discretion to file an interpleader to resolve the disputed claim (Code of Civil Procedure § 386(b)).

400.7.6 CONTROL OF NARCOTICS AND DANGEROUS DRUGS

The District Offices will be responsible for the storage, control and destruction of all narcotics and dangerous drugs coming into the custody of their District Office, including paraphernalia as described in Health & Safety Code § 11364.

During the second quarter of each calendar year (April-June), all controlled substances in evidence that have been adjudicated both in the criminal and ABC process shall be disposed of as described below:

Disposal Options

District Offices have two options for disposing of controlled substances and drug paraphernalia, as follows:

District Offices may (a) arrange for destruction on their own, or (b) transfer the evidence to the Special Operations Unit (SOU) for disposal.

SOU will assist any District Office that chooses to destroy its own controlled substances and/or drug paraphernalia.

District-Level Disposition: The following is the procedure for disposing of controlled substances or drug paraphernalia at the District level:

- The District Office will obtain a Superior Court order. Include the size, quantity, and state of each type of substance being transported (i.e., solid, powder, liquid, gas, semi-liquid, etc.).
- The District Office will forward the ABC-320 form, green copy, with Superior Court Order to the General Counsel, via Division Office, for a Disposition Order.
- The District Office will note and maintain the original ABC-320 form in the District Office.
- The District Office will receive the signed Disposition Order from the General Counsel.
- After receiving the General Counsel's signed Disposition Order, the District Office will dispose of the evidence in accordance with the Superior Court Order.

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SOU-Level Disposition: SOU will arrange for the destruction of controlled substances and drug paraphernalia annually at the end of the fiscal year.

Annually, during June, SOU will accept controlled substances and drug paraphernalia from District Offices. Each District Office's controlled substances and drug paraphernalia will be in one sealed container. The sealed container will be initialed by the District Evidence Custodian and Supervising Agent or Supervising Agent in Charge. (SOU will not weigh or verify the contents of the container when it is accepted, and the container shall remain sealed until destroyed.)

The District Office shall prepare an itemized list of all items to be destroyed, which will later be emailed to SOU. The list must contain the ABC report number, the date the evidence was received, and a description of the evidence.

The District Office shall then obtain a Disposition Order from the General Counsel for destruction. Upon receipt of the order, the District Office shall deliver all items to be destroyed, along with the itemized list, to SOU.

After all District Offices have delivered their evidence, SOU will compile a master list and obtain a Court Order. SOU will notify all District Offices as to the disposition of their evidence. Each District Office will then note the disposition on its ABC-320 form and retain the ABC-320 form in the normal manner.

400.7.7 RELEASE OF FIREARM IN DOMESTIC VIOLENCE MATTERS

Within five days of the expiration of a restraining order issued in a domestic violence matter that required the relinquishment of a firearm or ammunition, the Evidence Custodian shall return the weapon or ammunition to the owner if the requirements of Penal Code § 33850 and Penal Code § 33855 are met, unless the firearm or ammunition is determined to be stolen, evidence in a criminal investigation, or the individual is otherwise prohibited from possessing a firearm (Family Code § 6389(g); Penal Code § 33855).

400.7.8 RELEASE OF FIREARMS AND WEAPONS IN MENTAL ILLNESS MATTERS

Firearms and other deadly weapons confiscated from an individual detained for an evaluation by a mental health professional or subject to the provisions of Welfare and Institutions Code § 8100 or Welfare and Institutions Code § 8103 shall be released or disposed of as follows:

- (a) If a petition for a hearing regarding the return of a firearm or a weapon has been initiated pursuant to Welfare and Institutions Code § 8102(c), the firearm or weapon shall be released or disposed of as provided by an order of the court. If the court orders a firearm returned, the firearm shall not be returned unless and until the person presents valid identification and written notification from the California Department of Justice (DOJ) that conforms to the provisions of Penal Code § 33865.
- (b) If no petition has been initiated pursuant to Welfare and Institutions Code § 8102(c) and the firearm or weapon is not retained as evidence, the Department shall make the firearm or weapon available for return. No firearm will be returned unless and until the person presents valid identification and written notification from the California DOJ that conforms to the provisions of Penal Code § 33865.

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- (c) Unless the person contacts the Department to facilitate the sale or transfer of the firearm to a licensed dealer pursuant to Penal Code § 33870, firearms not returned should be sold, transferred, destroyed, or retained as provided in Welfare and Institutions Code § 8102.

400.7.9 RELEASE OF FIREARMS IN GUN VIOLENCE RESTRAINING ORDER MATTERS

Firearms and ammunition that were taken into temporary custody or surrendered pursuant to a gun violence restraining order shall be returned to the restrained person upon the expiration of the order and in accordance with the requirements of Penal Code § 33850 et seq. (Penal Code § 18120).

If the restrained person who owns the firearms or ammunition does not wish to have the firearm or ammunition returned, he/she is entitled to sell or transfer title to a licensed dealer, provided that the firearms or ammunition are legal to own or possess and the restrained person has right to title of the firearms or ammunition (Penal Code § 18120).

If a person other than the restrained person claims title to the firearms or ammunition surrendered pursuant to Penal Code § 18120 and the Department determines him/her to be the lawful owner, the firearms or ammunition shall be returned in accordance with the requirements of Penal Code § 33850 et seq. (Penal Code § 18120).

Firearms and ammunition that are not claimed are subject to the requirements of Penal Code § 34000.

400.7.10 RELEASE OF FIREARMS, MAGAZINES, AND AMMUNITION

The Department shall not return any firearm, magazine, or ammunition taken into custody to any individual unless all requirements of Penal Code § 33855 are met.

400.8 DISPOSITION OF PROPERTY

All property not held for evidence in a pending criminal investigation or proceeding, and held for six months or longer where the owner has not been located or fails to claim the property, may be disposed of in compliance with existing laws upon receipt of proper authorization for disposal. The Evidence Custodian shall request a disposition or status on all property which has been held in excess of 120 days, and for which no disposition has been received from a supervisor or agent.

400.8.1 EXCEPTIONAL DISPOSITIONS

The following types of property shall be destroyed or disposed of in the manner, and at the time prescribed by law, unless a different disposition is ordered by a court of competent jurisdiction:

- Weapons declared by law to be nuisances (Penal Code § 29300; Penal Code § 18010; Penal Code § 32750)
- Animals, birds, and related equipment that have been ordered forfeited by the court (Penal Code § 599a)
- Counterfeiting equipment (Penal Code § 480)
- Gaming devices (Penal Code § 335a)

Property and Evidence

- Obscene matter ordered to be destroyed by the court (Penal Code § 312)
- Altered vehicles or component parts (Vehicle Code § 10751)
- Narcotics (Health and Safety Code § 11474 et seq.)
- Unclaimed, stolen or embezzled property (Penal Code § 1411)
- Destructive devices (Penal Code § 19000)

400.8.2 UNCLAIMED MONEY

If found or seized money is no longer required as evidence and remains unclaimed after three years, the Department shall cause a notice to be published each week for a period of two consecutive weeks in a local newspaper of general circulation (Government Code § 50050). Such notice shall state the amount of money, the fund in which it is held, and that the money will become the property of the agency on a designated date not less than 45 days and not more than 60 days after the first publication (Government Code § 50051).

Any individual item with a value of less than \$15.00, or any amount if the depositor/owner's name is unknown, which remains unclaimed for a year or by order of the court, may be transferred to the general fund without the necessity of public notice (Government Code § 50055).

If the money remains unclaimed as of the date designated in the published notice, the money will become the property of the Department to fund official law enforcement operations. Money representing restitution collected on behalf of victims shall either be deposited into the Restitution Fund or used for purposes of victim services.

400.9 EVIDENCE ROOM CONTROL AND SECURITY

The Supervising Agent in Charge or District Supervisor of each District Office or Specialized Unit shall designate one sworn staff member as the Evidence Custodian. Only the District or Unit Supervisor and the Evidence Custodian will have access to the evidence room.

Each District Office or Specialized Unit will have an area designated *solely* for storing and maintaining evidence and property. There will also be an interior locker, such as a safe, for storing money and/or controlled substances. There shall be no storing of non-evidence or non-property items (e.g., department equipment) in the evidence room.

The following personnel may also have access to the evidence room if necessary with supervisory approval and escorted by or within view of the Evidence Custodian. Access shall be recorded on a log located at the evidence room. This log will contain the name, date, time, name of Evidence Custodian escort, and reason for entry.

- Director, Chief Deputy Director, Division Chiefs, Deputy Division Chiefs, Supervising Agents in Charge, Supervising Agents, and Agents.
- Janitorial and maintenance personnel as necessary.
- Persons assigned to perform Property/Evidence Audits.

Property and Evidence

400.10 INSPECTIONS OF THE EVIDENCE ROOM

- (a) On a monthly basis, the supervisor of the evidence custodian shall make an inspection of the evidence storage facilities and practices to ensure adherence to appropriate policies and procedures.
- (b) Unannounced inspections of evidence storage areas shall be conducted annually as directed by the Director.
- (c) Whenever a change is made in personnel who have access to the evidence room, an inventory of all evidence/property shall be made by an individual not associated to the property room or function to ensure that records are correct and all evidence property is accounted for.

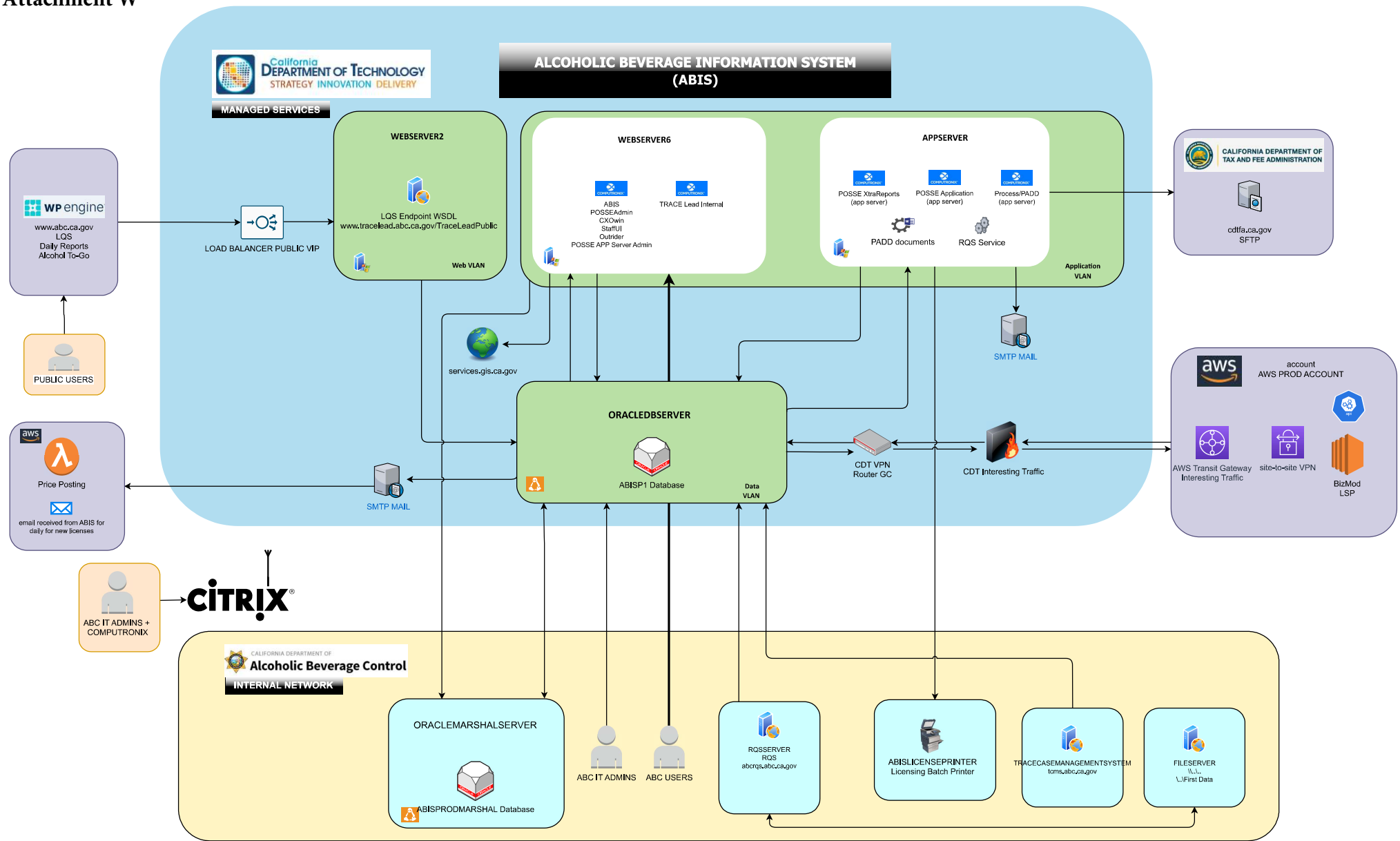
Attachment V

Attachment V

ABC Support Systems

System	Description	Vendor	Primary Function	Users	Hosting
LSP	License Service Portal	ABC Owned - Additional contract support by HHS	Online applications (renewals and just starting initial applications)	There are approximately 100k licenses. Not all have used LSP. Some have a many to one relationship.	Hosted in the cloud. AWS for compute. AtlasCloud (mongodb) for database
RBS	Responsible Beverage Service	ABC Owned - Additional contract support by HHS	Satisfy the training requirement for Alcohol Servers and allow training vendors to provide training options.	On the order of a million users.	Hosted in the cloud. AWS for compute. AtlasCloud (mongodb) for database Moodle Learning Management System
Moodle	Learning Management System (LMS)	Moodle	Moodle is a learning management system that is used for providing training.	Used by RBS and a little bit by LSP. So approximately a million users who come and go as licenses are needed.	EKS Containers
LQS	License Lookup	ABC	Public license search. Backs the license search on the ABC license search. Can search by individual or with custom parameters.	hundreds of thousands of public user requests per day.	Runs on the ABIS infrastructure. Oracle managed services. Windows .net server in CDT managed services.
RQS	Reporting Query System	ABC	Backoffice application. Developers create canned reports. Users can generate them as needed.	ABC internal employees. There are ~550 users but most don't use it. The report schema is a clone of the production schema.	Runs on the ABIS infrastructure. Oracle managed services. Windows .net server in CDT managed services.
eRecords	Content management system	Laserfiche	Converted paper documents, future scanned paper documents, and possibly digitally collected documents (applications, renewals, etc. from LSP)	Internal only application. At the most ~550 users.	Hosted in Laserfiche cloud
ABIS (Staff UI)	Licensing/Enforcement system of record	Computronix	Backoffice application for managing license and enforcement records.	Internal only application. At the most ~550 users.	Oracle managed services @CDT Windows server @ CDT managed services.
POSSE (TraceleadPublic)	Trace and Lead interface	Computronix	LEAD has in-person training classes. Trace has a public complaint submission.	Public system. Few requests per month.	Runs on the ABIS infrastructure. Oracle managed services. Windows .net server in CDT managed services.
POSSE (TraceleadMaintenance)	Trace and Lead Configuration	Computronix	Backoffice application for configuring the Tracelead application	Internal only application. Maybe a few developers use it.	Runs on the ABIS infrastructure. Oracle managed services. Windows .net server in CDT managed services.
POSSE (TraceleadInternal)	Trace and Lead Backoffice	Computronix	Backoffice application for processing Tracelead requests.	Internal only application. At the most ~550 users.	Runs on the ABIS infrastructure. Oracle managed services. Windows .net server in CDT managed services.
TCSM	Trace Case Management System	ABC	A small system for tracking Trace cases.	Very few users	Runs on the ABIS infrastructure. Oracle managed services. Windows .net server in CDT managed services.
WWW	ABC Public Website	ABC	The public ABC Website. A part of this website has the pages for the license lookup and uses the LQS endpoints to query ABIS	~500k sessions per day	Wordpress - WPEngine
Trace	Trace Online Submission	ABC	A website that law enforcement can submit a TRACE case for ABC	Very low. Only 1 case per week	Wordpress - WPEngine
Fiserv	Payment processor	Fiserv	The payment processor provides a payment gateway, receives funds from licensees for applications/renewals for LSP and is used for RBS as well.		Fiserv
eServices	Custom API layer	ABC	An API for reading/updating ABIS from LSP. LSP doesn't directly interface w/ the oracle database.	1 service account. Otherwise, all read/writes for LSP are channeled through this account so this supports approximately 100k licensees.	Runs on the ABIS infrastructure. Oracle managed services.
Enforcement forms	Digitize enforcement forms	Laserfiche	Work is starting to digitize paper enforcement forms. First is Impact inspections.	None at the moment. A subset of licensees who are subject to enforcement. Development by ABC is being researched.	Laserfiche

Attachment W



Attachment X

Attachment X

ABC Data Exchange Partners

Agency/System	Source System	Communication Method	Frequency	Direction	Notes
California Department of Tax and Fee Administration (CDTFA)	ABIS	Batch Job	Daily	Outbound	Data file with licensee information for tax purposes.
United States Postal Service (USPS)	LSP	Webservice	Ad hoc	Inbound/Outbound	Address validation
Secretary of State (SoS)	LSP	Webservice	Ad hoc	Inbound/Outbound	Business entity information/lookup
Franchise Tax Board (FTB)	ABIS	Batch Job	Annual	Outbound	List of licensees who could generate tax revenue
Fiserv	LSP/RBS	Webservice	Ad hoc	Inbound/Outbound	Pay for applications/renewals

Attachment Y

Attachment Y

Program Statistics

Key Licensing Program Statistics 2024-25			
High-level Licensing Program Statistics			
Active permanent licensed premises (as of June 30, 2025)			93,385
Permanent License Applications Received			9,333
Priority License Applications Received			1,034
Applications Protested			217
Licensing Hearings Held			30
Applications Withdrawn			907
Applications Recommended for Denial			23
Applications Issued			8,424
Daily and Catering Authorizations			40,403
Permanent License Transaction Types			
Application Type	General	Non-General	Total
Originals	406	3,224	3,630
Transfers	2,421	2,561	4,982
<i>Person to Person</i>	1,602	2,080	3,682
<i>Premises to Premises</i>	110	331	441
<i>Double Transfer</i>	709	150	859
Change	328	410	738
<i>Member Transfer</i>	67	115	182
<i>Stock Transfer</i>	249	161	410
<i>Other Changes</i>	12	117	129
Total	3,155	6,178	9,333
One-Day Licenses			
Daily License (non-profits)			25,975
Catering Authorizations			14,428
Event Authorizations			503
Licensing Program Capacity			
District Offices			21
Licensing Program Staffing			186
<i>Managers and Supervisors</i>			46
<i>Licensing Representatives</i>			83
<i>Program Technicians</i>			54
<i>Others</i>			3

Attachment Y

Enforcement Activities 2024-25	
Enforcement Premises Visited	33,302
Inspections	
IMPACT Inspections	3,312
Minor Decoy Operations	213
Hemp Product Emergency Regulation (three weeks of educational visits, then enforcement)	12,844
Kratom/7-OH Enforcement Visits: 8,100+ in 2026 (three weeks of educational visits, then enforcement)	
Investigations	
Complaint Investigations Completed	2,286
Police Report Investigations	394
TRACE Investigations	107
Enforcement Actions	
Citations Issued (criminal violations against a person – typically misdemeanors)	2,430
<i>Citations to Minors</i>	1,934
<i>Citations to Adults</i>	496
Notice of Violations Issued (Informal attempt to address violations)	349
Total Warning Letters Sent (Formal warning of violation)	160
Total Accusations (administrative cases against license - can include multiple violations)	1,060
<i>Underaged Drinking</i>	673
<i>After Hours violations</i>	34
<i>Illegal Trade Practice</i>	203
<i>Disorderly House</i>	12
<i>Narcotics Violation</i>	76
<i>Drink Solicitation</i>	12
<i>TRACE</i>	43
<i>Others</i>	345
Trainings/Outreach	
Roll Call/TRACE Trainings for Local Law Enforcement	325
Visiting Protested Licensees (proactive outreach after issuance to prevent complaints and ensure understanding of conditions)	126
Administrative Discipline Workflow Statistics 2024-25	
Accusations Registered	1,060
Stipulation and Waiver (settlements)	886
Number of Enforcement Hearings Held	30
Dismissed Accusations	8
Penalties Imposed as a Result of a Hearing	42
Accusations Sustained After Hearing	30
Proposed Decisions Adopted	30
Proposed Decision rejected Under Section 11517(c)	4
Suspensions	192
Revocations Including Those Stayed	238
Appeals filed to Appeals Board	20
Court Actions Filed/Pending	2
Stipulation and Waiver Received After Attorney Assignment	123
Responsible Beverage Service Statistics (as of May 2026)	
Total Servers Registered	1,054,989
Total Servers Trained	842,378
Servers with Active Certifications	335,083
Servers Recertified (after initial three year certification)	115,115
Server Certifications Expired	517,322