NON-PROFIT ORGANIZATIONS, LLCS AND CORPORATION APPLICANTS

Required Information for Applicant Entity

1. All officers or directors (corporations and non-profit organizations) are required to provide complete page 4 information and provide a criminal record check from the Missouri State Highway Patrol.

2. All owners/investors, either as individuals or other parent entities, having 10% or more financial interest must be listed on page 4 of the application.
   a. Individuals with 10% or more ownership in the applicant entity are required to provide complete page 4 information and provide a corresponding criminal record check from the Missouri State Highway Patrol.

3. All entities with 10% or more ownership in the applicant entity must submit a Certificate of Good Standing.

Required Information for Parent Entities of Non-Profit Organizations, LLCs or Corporations

1. All parent entities holding 10% or more overall ownership in the applicant entity must disclose their ownership for shareholders or members who also hold 10% or more of the applicant entity.
   a. Individuals within a parent entity who hold 10% or more overall ownership in the applicant entity are required to provide complete page 4 information and provide a criminal record check from the Missouri State Highway Patrol.
   b. No officer information or corresponding criminal records checks are required for parent corporations or limited partnerships.

2. All parent entities with 10% or more overall ownership in the applicant entity, regardless of their tier, must submit a Certificate of Good Standing.

Exceptions for Parent Entities

- Publicly traded companies and private equity funds are not required to disclose their ownership, but must be listed as an owner if their ownership is 10% or more in the applicant entity. It must be listed that they are publicly traded or a private equity fund. A Certificate of Good Standing is required if they hold 10% or more overall ownership in the applicant entity.
  - A fund/finance manager is required for all private equity funds holding 10% or more interest in the applicant entity.
- Limited Partnerships – see “Limited Partnership Applicants” section for explanation.
Sample Scenario 1

See Sample Scenario 1 Appendix for Sample Page 4 Documents

Ownership Documentation Required with Company A, Inc.’s Application

- Company A, Inc.
  - Must disclose officer information and provide criminal record checks for each officer;
  - Must disclose owners with 10% or more (Company B, Inc., and Company C, LLC); and
  - Must provide good standing for Company A, Inc.

- Company B, Inc.
  - No officer information is required for parent corporations.
  - Must disclose owners with 10% or more overall interest in Company A, Inc.
    (Company D, Inc. and Joe Smith);
  - Must provide criminal record check for Joe Smith; and
  - Must provide good standing for Company B, Inc.
Reporting Financial Interest for Applicant Entities  
(Non-Profit Organizations, LLCs, Corporations and Limited Partnerships)

- **Company C, LLC**
  - Must disclose owners with 10% or more overall interest in Company A, Inc. (Company E, Inc.) and indicate that Company E, Inc. is publicly traded; and
  - Must provide good standing for Company C, LLC.

- **Company D, Inc.**
  - Must disclose owners with 10% or more overall interest in Company A, Inc. (Mary Knox) and provide full page 4 information for each;
  - Must disclose “5 shareholders, each with less than 10% overall interest in Company A, Inc.”; and
  - Must provide criminal record check for Mary Knox.
  - Must provide good standing for Company D, Inc.

- **Company E, Inc.**
  - No officer information is required for parent corporations.
  - Must indicate Company E, Inc. is publicly traded (*no ownership information required*); and
  - Must provide good standing for Company E, Inc.

**Determining Ownership Reporting Requirements for Company A, Inc.**

### Formula for Company D, Inc.

\[
\frac{40}{100} \times \frac{50}{100} = \frac{(40 \times 50)}{(100 \times 100)} = .2
\]

Company D’s overall ownership in Company A (the applicant entity) is 20%, so Company D must be listed as an owner of Company A and full page 4 information must be provided for all of their owners with 10% or more overall interest in Company A.

### Formula for Joe Smith

\[
\frac{60}{100} \times \frac{50}{100} = \frac{(60 \times 50)}{(100 \times 100)} = .3
\]

Joe Smith’s overall ownership in Company A is 30%, so Joe Smith must be listed as an owner of Company A and full page 4 information for him must be provided.
Reporting Financial Interest for Applicant Entities
(Non-Profit Organizations, LLCs, Corporations and Limited Partnerships)

Formula for 5 Individuals with 10% each of Company D, Inc.

\[
\frac{10 \times 40 \times 50}{100 \times 100 \times 100} = \frac{10 \times 40 \times 50}{100 \times 100 \times 100} = 0.02
\]

These 5 individuals’ overall ownership of Company A is less than 10%, so Company A would NOT have to provide page 4 information for them other than to indicate “5 members with less than 10% each”.

Formula for Mary Knox’s 50% of Company D, Inc.

\[
\frac{50 \times 40 \times 50}{100 \times 100 \times 100} = \frac{10 \times 40 \times 50}{100 \times 100 \times 100} = 0.1
\]

Mary Knox’s overall ownership of Company A is 10%, so Company A must provide full page 4 information for her.

SAMPLE PAGE 4 DOCUMENTS FOR SCENARIO 1 ON THE NEXT FOUR (4) PAGES
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<th>LAST NAME</th>
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<th>PLACE OF BIRTH</th>
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<tr>
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*POSITION = PRESIDENT, VICE-PRESIDENT, EXECUTIVE VICE-PRESIDENT, SECRETARY, TREASURER, MEMBER, SHAREHOLDER, CHAIRMAN, TRUSTEE, CEO, DIRECTOR*
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<tr>
<td>SMITH</td>
<td>JOE</td>
<td>E</td>
<td>02/02/2000</td>
<td>SHAREHOLDER</td>
<td>60%</td>
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**ADDRESS**

234 ELM ST. JEFFERSON CITY MO 65202 (573)111-1111

*POSITION* = PRESIDENT, VICE-PRESIDENT, EXECUTIVE VICE-PRESIDENT, SECRETARY, TREASURER, MEMBER, SHAREHOLDER, CHAIRMAN, TRUSTEE, CEO, DIRECTOR
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<th>PLACE OF BIRTH</th>
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<th>STATE &amp; ZIP CODE</th>
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<tr>
<td>Knox</td>
<td>Mary</td>
<td>A</td>
<td>SHAREHOLDER</td>
<td>01/01/1920</td>
<td>SOMEWHERE, MO</td>
<td>111-11-1111</td>
<td>F</td>
<td>50%</td>
<td>11 LONE DR</td>
<td>JEFFERSON CITY</td>
<td>MO 65101</td>
<td>(573)111-1111</td>
</tr>
<tr>
<td>Last Name</td>
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<td>Middle Initial</td>
<td>POSITION*</td>
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<td>ADDRESS</td>
<td>CITY</td>
<td>STATE &amp; ZIP CODE</td>
<td>TELEPHONE NUMBER</td>
</tr>
<tr>
<td>5 additional shareholders with less than 10% each</td>
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LIMITED PARTNERSHIP APPLICANTS

**Required Information for Applicant Entity**

1. All officers of the limited partnership are required to provide complete page 4 information and provide a corresponding criminal record check from the Missouri State Highway Patrol.
2. General Partner(s), regardless of their percentage, must be disclosed.
3. Limited Partner(s) are required to be disclosed if their overall ownership interest in the applicant entity is 10% or more.
4. A Certificate of Good Standing is required for all general partner entities, and any limited partner entities holding 10% or more interest in the applicant entity.

**Required Information for Parent Entities of the Limited Partnership**

1. All General Partners, regardless of percentage, must disclose their ownership.
   a. Complete page 4 information is required for those individuals and/or entities holding 10% or more of any general partner entity.
2. All Limited Partners holding 10% or more overall ownership of the applicant entity must disclose their ownership, providing complete page 4 information for those individuals and/or entities holding 10% or more of the applicant entity.

Exceptions for Parent Entities

- Publicly traded companies and private equity funds are not required to disclose their ownership, but must be listed as an owner if their ownership is 10% or more in the applicant entity or any general partner. It must be listed that they are publicly traded or a private equity fund. A Certificate of Good Standing is required if they hold 10% or more overall ownership in the applicant entity.
  - A fund/finance manager is required for all private equity funds holding 10% or more interest in the applicant entity or any general partner.
Reporting Financial Interest for Applicant Entities  
(Non-Profit Organizations, LLCs, Corporations and Limited Partnerships)

Sample Scenario 2

Ownership Documentation Required with ABC Partners Application

- **ABC Partners**
  - Must disclose officer information and provide criminal record checks for each officer;
  - Must disclose all general partners (Company A, LLC) and any limited partners with 10% or more ownership interest (Company B, Inc. and Off-Shore Co. C, Inc.); and
  - Must provide a Certificate of Good Standing for ABC Partners.

- **Company A, LLC (general partner)**
  - Regardless of percentage, general partners must disclose all owners with 10% or more ownership interest in the general partner, Company A, LLC (Company D, LP); and
  - Must provide a Certificate of Good Standing for Company A, LLC, a general partner (regardless of percentage).
Reporting Financial Interest for Applicant Entities
(Non-Profit Organizations, LLCs, Corporations and Limited Partnerships)

- **Company B, Inc.** *(limited partner)*
  - No officer information is required for parent corporations.
  - Must disclose owners with 10% or more overall interest in the *applicant, ABC Partners* (Company E, Inc.) and indicate that Company E, Inc. is publicly traded; and
  - Must provide a Certificate of Good Standing for Company B, Inc.

- **Off-Shore Co. C, Inc.**
  - No officer information is required for parent corporations.
  - Must disclose owners with 10% or more overall interest in the *applicant, ABC Partners* (both private equity funds and the university endowment);
  - Must disclose total percentage of ownership with less than 10% (e.g., “50% held by members with less than 10% each”); and
  - Must provide a Certificate of Good Standing for Off-Shore Co. C, Inc.

- **Company D, LP**
  - Must disclose all general partners (Don Brown and Jane Black) and any limited partners with 10% or more ownership interest in the *general partner, Company A, LLC* (Company F, LLC); and
  - Must provide a Certificate of Good Standing for Company D, LP.

- **Company E, Inc.**
  - Must indicate Company E is publicly traded (*no ownership information required*); and
  - Must provide a Certificate of Good Standing for Company E, Inc.

- **Private Equity Funds (2)**
  - Must indicate the name of each fund and that they are private equity funds and provide the fund manager’s complete information on page 4; and
  - Must provide a Certificate of Good Standing for each fund.

- **High Net-Worth Individuals (10)**
  - No reporting requirements except that it must be indicated on Off-Shore Co. C, Inc.’s page 4 document “50% held by members with less than 10% each”.

- **University Endowment**
  - Must indicate the name of the endowment fund and provide the fund manager’s complete information on page 4; and
Reporting Financial Interest for Applicant Entities  
(Non-Profit Organizations, LLCs, Corporations and Limited Partnerships)

- Must provide a Certificate of Good Standing for each fund.

- **Don Brown (general partner)**
  - As a general partner of Company D, LP, full page 4 information is required for Don Brown; and
  - Must provide criminal record check for Don Brown.

- **Jane Black (general partner)**
  - As a general partner of Company D, LP, full page 4 information is required for Jane Black; and
  - Must provide criminal record check for Jane Black.

- **Company F, LLC (limited partner)**
  - While Company F, LLC is a limited partner, they are part of the general partner tier branch for Company A, LLC. Therefore, ABC Partners must disclose owners of Company F, LLC that have 10% or more overall interest in the general partner, Company A, LLC (Don Brown and Jane Black) and provide complete page 4 information for each;
  - Must provide criminal record check for Don Brown and Jane Black; and
  - Must provide a Certificate of Good Standing for Company F, LLC

---

**Determining Ownership Reporting Requirements for ABC Partners**

**Formula for 2 Private Equity Funds (PEF) with 20% each of Off-Shore Co. C, Inc.**

\[
\left(\frac{20}{100}\right) \times \left(\frac{52}{100}\right) = \frac{(20 \times 52)}{(100 \times 100)} = .104
\]

\[
\text{The PEF’s overall ownership in ABC Partners (the applicant entity) is 10.4% each, so both must be disclosed as owners and report that they are private equity funds.}
\]

**Formula for 10 individuals with 5% each of Off-Shore Co. C, Inc.**

\[
\left(\frac{5}{100}\right) \times \left(\frac{52}{100}\right) = \frac{(5 \times 52)}{(100 \times 100)} = .026
\]

\[
\text{The 10 high-net worth individuals’ overall ownership in ABC Partners is 2.6%, so ABC Partners only has to report “50% held by members with less than 10% each”.}
\]
.026 \times 100 = 2.6% 

**Formula for university endowment with 10% of Off-Shore Co. C, Inc.**

\[
\frac{10}{100} \times \frac{52}{100} = \left(\frac{10 \times 52}{100 \times 100}\right) = .052
\]

Univ’s % of Co. C’s % of ABC Ptn

The university endowment’s overall ownership of ABC Partners is less than 10%, so ABC Partners only has to report “1 endowment with less than 10%.

\[.052 \times 100 = 5.2%\]

**Formula for Don Brown & Jane Black’s 50% each of Company F, LLC**

\[
\frac{50}{100} \times \frac{98}{100} \times \frac{100}{100} = \left(\frac{50 \times 98 \times 100}{100 \times 100 \times 100}\right) = .49
\]

Ind’s % of Co. F % of Co. D % of Co A

Don Brown & Jane Black’s overall ownership of Company A, LLC (a general partner) is 49%, so ABC Partners must provide full page 4 information for them.

\[.49 \times 100 = 49%\]
### SHAREHOLDER - MEMBER - OFFICER INFORMATION

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<th>NUMBER OF SHARES OWNED/% MEMBERSHIP INTEREST</th>
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<td>TOM</td>
<td>A</td>
<td>01/02/1970</td>
<td>JUNK, MO</td>
<td>111-22-3333</td>
<td>M</td>
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<tr>
<td>JUNK LANE</td>
<td>JUNK</td>
<td>MO 65000</td>
<td>(573) 111-1234</td>
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*POSITION = PRESIDENT, VICE-PRESIDENT, EXECUTIVE VICE-PRESIDENT, SECRETARY, TREASURER, MEMBER, SHAREHOLDER, CHAIRMAN, TRUSTEE, CEO, DIRECTOR*
## SHAREHOLDER - MEMBER - OFFICER INFORMATION

**LAST NAME**: COMPANY D, LP

| LAST NAME | FIRST NAME | MIDDLE INITIAL | DATE OF BIRTH | PLACE OF BIRTH | SEX | M | F | POSITION* | NUMBER OF SHARES OWNED/% MEMBERSHIP INTEREST | ADDRESS | CITY | STATE & ZIP CODE | TELEPHONE NUMBER | LAST NAME | FIRST NAME | MIDDLE INITIAL | DATE OF BIRTH | PLACE OF BIRTH | SEX | M | F | POSITION* | NUMBER OF SHARES OWNED/% MEMBERSHIP INTEREST | ADDRESS | CITY | STATE & ZIP CODE | TELEPHONE NUMBER | LAST NAME | FIRST NAME | MIDDLE INITIAL | DATE OF BIRTH | PLACE OF BIRTH | SEX | M | F | POSITION* | NUMBER OF SHARES OWNED/% MEMBERSHIP INTEREST | ADDRESS | CITY | STATE & ZIP CODE | TELEPHONE NUMBER | LAST NAME | FIRST NAME | MIDDLE INITIAL | DATE OF BIRTH | PLACE OF BIRTH | SEX | M | F | POSITION* | NUMBER OF SHARES OWNED/% MEMBERSHIP INTEREST | ADDRESS | CITY | STATE & ZIP CODE | TELEPHONE NUMBER | LAST NAME | FIRST NAME | MIDDLE INITIAL | DATE OF BIRTH | PLACE OF BIRTH | SEX | M | F | POSITION* | NUMBER OF SHARES OWNED/% MEMBERSHIP INTEREST |
|-----------|------------|---------------|---------------|----------------|-----|---|---|-----------|---------------------------------------------|---------|-----|---------------|----------------|---------|------------|---------------|---------------|----------------|-----|---|---|-----------|---------------------------------------------|---------|-----|---------------|----------------|---------|------------|---------------|---------------|----------------|-----|---|---|-----------|---------------------------------------------|---------|-----|---------------|----------------|---------|------------|---------------|---------------|----------------|-----|---|---|-----------|---------------------------------------------|---------|-----|---------------|----------------|---------|------------|---------------|---------------|----------------|-----|---|---|-----------|---------------------------------------------|---------|-----|---------------|----------------|---------|------------|---------------|---------------|----------------|-----|---|---|-----------|---------------------------------------------|---------|-----|---------------|----------------|---------|------------|---------------|---------------|----------------|-----|---|---|-----------|

*POSITION = PRESIDENT, VICE-PRESIDENT, EXECUTIVE VICE-PRESIDENT, SECRETARY, TREASURER, MEMBER, SHAREHOLDER, CHAIRMAN, TRUSTEE, CEO, DIRECTOR

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Application for a Primary Retail Liquor License - Page 4

COMPANY A, LLC
### SHAREHOLDER - MEMBER - OFFICER INFORMATION

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<thead>
<tr>
<th>LAST NAME</th>
<th>COMPANY E, INC. (publicly traded)</th>
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**NOTE:**
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<td><strong>DALE</strong></td>
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<td><strong>44 TURNER DR</strong></td>
<td><strong>AMARILLO</strong></td>
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<tr>
<td><strong>444-44-4444</strong></td>
<td><strong>5555</strong></td>
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<td><strong>FUND MANAGER OF BBB FUNDS</strong></td>
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<td><strong>UNIVERSITY EDOWMENT</strong></td>
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<td><strong>DAVIS</strong></td>
<td><strong>MASON</strong></td>
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<td><strong>123 MACKEY LN</strong></td>
<td><strong>JUNCTION</strong></td>
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<td><strong>333-33-3333</strong></td>
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<td><strong>FUND MANAGER OF U.E.</strong></td>
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<td>D</td>
<td>GENERAL PARTNER</td>
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<td>BLACK</td>
<td>JANE</td>
<td>J</td>
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<td>1.5%</td>
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<tr>
<td>COMPANY F, LLC</td>
<td></td>
<td></td>
<td>LIMITED PARTNER</td>
<td>98%</td>
</tr>
</tbody>
</table>

**SAMPLE SCENARIO 2 APPENDIX - page 5 of 6**

Application for a Primary Retail Liquor License - Page 4  
COMPANY D, LP
<table>
<thead>
<tr>
<th>LAST NAME</th>
<th>FIRST NAME</th>
<th>MIDDLE INITIAL</th>
<th>DATE OF BIRTH</th>
<th>PLACE OF BIRTH</th>
<th>SOCIAL SECURITY NUMBER</th>
<th>SEX</th>
<th>POSITION</th>
<th>NUMBER OF SHARES OWNED/% MEMBERSHIP INTEREST</th>
<th>ADDRESS</th>
<th>CITY</th>
<th>STATE &amp; ZIP CODE</th>
<th>TELEPHONE NUMBER</th>
</tr>
</thead>
<tbody>
<tr>
<td>BROWN</td>
<td>DON</td>
<td>D</td>
<td>08/08/1988</td>
<td>MISSOURI</td>
<td>123-45-4545</td>
<td>M</td>
<td>MEMBER</td>
<td>50%</td>
<td>99 2ND ST</td>
<td>KANSAS CITY</td>
<td>MO 66666</td>
<td>(555)555-5555</td>
</tr>
<tr>
<td>BLACK</td>
<td>JANE</td>
<td>J</td>
<td>07/07/1977</td>
<td>MISSOURI</td>
<td>787-78-7878</td>
<td>F</td>
<td>MEMBER</td>
<td>50%</td>
<td>78TH SEVENTH ST</td>
<td>ST LOUIS</td>
<td>MO 63133</td>
<td>(123)123-1234</td>
</tr>
</tbody>
</table>

*POSITION = PRESIDENT, VICE-PRESIDENT, EXECUTIVE VICE-PRESIDENT, SECRETARY, TREASURER, MEMBER, SHAREHOLDER, CHAIRMAN, TRUSTEE, CEO, DIRECTOR*