

*This document represents a “mock-up” of the future application for 55 additional social equity licenses. The final application will be online, so some information may be displayed in a different manner than what is shown below. Two areas are indicated with footnotes to represent that embedded drop-down lists will be included in the final online application (Footnotes 1 and 2). Due to space limitations, the Principal Officer section is only displayed once on this document. The final online application will have space to insert information for up to 25 Principal Officers as referenced in Footnote 3.*

Name of Person Filling out Application:	
Relation of Person to Applicant Group: <sup>1</sup>	
<u>          </u> initials	I acknowledge that I am filing this application on behalf of a group that I have legal authority to file on behalf of.
<u>          </u> initials	I acknowledge that the information provided herein is both truthful and accurate.
<u>          </u> initials	I acknowledge that if the Department determines that any information on this application or supporting documents is not truthful, the individuals and entity(ies) associated with this application will be prohibited from participating in the lottery, from being a top participant, and from being issued a conditional license or Adult Use Dispensing Organization License. (68 IAC 1291.410(h)).
<b>*WARNING*</b>	
No applicant group may file more than one application. Additionally, each application is limited to one BLS Region.	
BLS Region: <sup>2</sup>	
Proposed Entity Name:	
<b>Principal Officers</b>	
<p>“<u>Principal officer</u>” includes a cannabis business establishment applicant or licensed cannabis business establishment’s board member, owner with more than 1% interest of the total cannabis business establishment or more than 5% interest of the total cannabis business establishment of a publicly traded company, president, vice president, secretary, treasurer, partner, officer, member, manager member, or person with a profit sharing, financial interest, or revenue sharing arrangement. This definition includes a person with authority to control the cannabis business establishment or a person who assumes responsibility for the debts of the cannabis business establishment. (410 ILCS 705/1-10).</p> <p>Disclosure of Principal Officers is required to ensure compliance with the Act. “A dispensing organization shall not shield its ownership or control from the Department.” (410 ILCS 705/15-50).</p>	
<b>*WARNING*</b>	
No Social Security Number or ITIN may appear on more than one (1) application. (68 IAC 1291.410(c)). If you attempt to submit a SSN which has already appeared on an earlier-submitted application, an error message will appear and you will not be able to complete this application.	
<u>          </u> initials	I acknowledge that I understand the definition of Principal Officer and the consequences of providing false information to the Department.

<sup>1</sup> Relation of Person to Applicant Group will contain a drop down for the following relationships: Principal Officer, third-party consultant, other.

<sup>2</sup> BLS Region section will contain a drop down to allow applicants to select 1 of the 17 BLS regions.

Principal Officer Name:		
Home Address:		
City:	State:	Zip Code:
Primary Phone Number:	Date of Birth:	
Social Security Number or ITIN:	Email Address:	
Confirm Social Security Number or ITIN:	Confirm Email Address: <sup>3</sup>	
<b>Primary Contact and Alternate Contact Information</b>		
<p>The primary and alternate contacts are the only individuals the Department will communicate with. (68 IAC 1291.410(j)). The primary contact must also be a principal officer and the alternate contact may be a principal officer but is not required to be a principal officer.</p>		
Primary Contact Name:	Phone Number:	
Email Address:	Confirm Email Address:	
Alternate Contact Name:	Phone Number:	
Email Address:	Confirm Email Address:	
<b>Acknowledgments</b>		
<p>Applicants are not required to prove social equity criteria at the time of submitting this application. However, if an applicant is drawn in a winning lottery spot as a top participant, the applicant will have 45 calendar days from the date of notice to prove they the requirements of Criteria A and Criteria B described below. Read both Criteria A and Criteria B carefully and be sure to consider and plan for how your applicant group will prove it is eligible for licensure. If your applicant group cannot prove the requirements of Criteria A and Criteria B, your applicant group cannot be issued a conditional license.</p>		
_____ initials	<p>I acknowledge that if awarded an opportunity for a conditional license in the lottery, in order to actually be issued the that conditional license, the applicant will meet and prove the business entity is 51% or more owned or controlled by one or more individuals who each meet the combination of at least one of the criteria under Criteria A and one of the criteria under Criteria B. This does not mean multiple individuals need to meet identical criteria, but each individual must meet at least one criterion from Criteria A and one criterion from Criteria B.</p>	
_____ initials	<p>I acknowledge that the Criteria A (only 1 required) are the following:</p> <ol style="list-style-type: none"> <li>i. An individual who has resided for at least 5 of the preceding 10 years in a census tract that has a poverty rate of at least 20% according to the latest American Community Survey available at</li> </ol>	

<sup>3</sup> Principal Officer Section will repeat 25 times on final application.

<https://data.census.gov/cedsci/table?q=poverty%20rate&g=0100000US%24140000&tid=ACSST5Y2020.S1701>; or

- ii. An individual who has resided for at least 5 of the preceding 10 years in a census tract where at least 20% of the households receive assistance under the Supplemental Nutrition Assistance Program, available at <https://data.census.gov/cedsci/table?q=snap%20participation&g=0100000US%24140000&tid=ACSST5Y2020.S2201>;
- iii. An individual who has resided for at least 5 of the preceding 10 years in a census tract area classified as “low income and low access” where at least 100 households are more than one-half mile from the nearest supermarket and have no access to a vehicle or a significant number (at least 500 people) or share (at least 33%) of the population is greater than 1 mile from the nearest supermarket, supercenter, or large grocery store for an urban area or greater than 20 miles for a rural area, as classified by the latest data set that is publicly available at the start of the application window for any lottery conducted under this Part. Such data set, the United States Department of Agriculture Economic Research Service’s Food Access Research Atlas, is available at <https://www.ers.usda.gov/data-products/food-access-research-atlas/go-to-the-atlas>;
- iv. An individual who has received Medicaid, Supplemental Security Income, Social Security Disability, and/or subsidized housing for at least 5 of the preceding 10 years; and/or,
- v. An individual who has resided for at least 5 of the preceding 10 years in a census tract in the top 15th percentile for the percent of residents in the census tract failing to graduate from High School in that state, as classified by the latest 5-year American Community Survey (Table S1501: Educational Attainment) that is publicly available at the start of the application submission window for the lottery conducted under Sections 1291.400 through 1291.440. The data set is available at <https://data.census.gov/cedsci/table?q=s1501&g=0100000US,%24140000>.

I acknowledge that the Criteria B (only 1 required) are the following:

initials

- i. An individual who has been arrested for, convicted of, or adjudicated delinquent for any offense, or substantially similar offense, of Illinois, federal, or other state law for:
  - possession of not more than 500 grams of cannabis; or
  - manufacture, delivery, or possession with intent to deliver, or manufacture of cannabis up to 30 grams;
- ii. An individual who has a family member who has been arrested for, convicted of, or adjudicated delinquent for any offense, or substantially similar offense, of Illinois, federal, or other state law for:
  - possession of not more than 500 grams of cannabis; or
  - manufacture, delivery, or possession with intent to deliver, or manufacture of cannabis up to 30 grams.
- iii. An individual who has been a victim of firearm injury, as those terms are defined in these Rules. This must be evidenced by either a police report or medical record.

<u>          </u> initials	I acknowledge that if awarded a conditional license, neither the applicant nor any of its principal officers will violate the Act's license number limitations.
<u>          </u> initials	I acknowledge that if being chosen as a top participant, the applicant will have 45 days from notification to prove the criteria required in Criteria A or Criteria B.
<u>          </u> initials	I acknowledge that the Department has at least 60 calendar days to review the Criteria A or Criteria B criteria documentation.
<u>          </u> initials	I acknowledge that if chosen as a top participant, the applicant will have 10 business days from the date of a deficiency notice to submit sufficient documentation.
<u>          </u> initials	I acknowledge that if chosen as a top participant, the applicant will have 5 business days from the date of the notice of intent to deny contesting the Department's decision or provide sufficient supporting documents.
<u>          </u> initials	I acknowledge that if the Department affirms its intent to deny, the Department shall deny issuance of a conditional license and proceed to the next top participant as described in 68 IAC 1291.405(c).
<u>          </u> initials	I acknowledge that if a principal officer of the applicant resigns or withdraws after the applicant has been notified of the Department's intent to deny, the applicant may not replace the resigned principal officer.
<u>          </u> initials	I acknowledge that if awarded a conditional license, the applicant cannot sell, transfer, or assign the conditional license and the conditional license holder cannot in any way change its ownership structure, including by removing or adding any principal officers, except for in the event of the death of a principal officer.
<u>          </u> initials	I acknowledge that if awarded a conditional license, the applicant will have 365 calendar days from the date of issuance of the conditional license to identify a physical location for the dispensing organization retail storefront.
<u>          </u> initials	I acknowledge that if a conditional license holder is unable to find a suitable physical address within 365 calendar days of the issuance of the conditional license, the Department may extend the period for finding a physical address another 180 calendar days if the conditional license holder demonstrates the steps it has taken to secure a location and hardship.
<u>          </u> initials	I acknowledge that the Department will deny issuance of a conditional license if any principal officer of the applicant group is delinquent in filing any required tax return or paying any amount owed to the State of Illinois. 68 IAC 1291.95(a).

<p><u>          </u> initials</p> <p>I acknowledge that the Department will notify the applicant if any principal officer of the applicant group is delinquent in filing any required tax return or paying any amount owed to the State of Illinois, and upon notification by the Department, the applicant shall have 60 days to provide the Department proof that the applicant is no longer delinquent, as determined by the Illinois Department of Revenue. 68 IAC 1291.95(b) and (c).</p>	
<p><u>          </u> initials</p> <p>I acknowledge that if after 60 days the applicant has not provided the Department proof that the applicant is no longer delinquent, the Department will deny issuance of a conditional license. 68 IAC 1291.95(d).</p>	
<p><u>          </u> initials</p> <p>I acknowledge that all principal officers must submit their fingerprints to the Illinois State Police and undergo a criminal history when applying for the initial license or identification card. 410 ILCS 705/5-20.</p>	
<p>_____</p> <p>Name</p>	<p>_____</p> <p>Signature</p>

MOCKUP