



City of Phoenix
CITY CLERK DEPARTMENT
LICENSE SERVICES

Regulatory License Application Packet

**~ IMPORTANT INFORMATION ~
PLEASE REVIEW THOROUGHLY BEFORE APPLYING**

1. Process Summary & Processing Time Frames
2. Fingerprints - FBI Privacy Act Statement
3. Zoning Check Form
4. Application & Application – Individual Information

Page(s)

**IF AFTER REVIEWING THIS PACKET YOU HAVE ANY QUESTIONS
PLEASE DO NOT HESITATE TO CONTACT LICENSE SERVICES**

Online: www.phoenix.gov/licenseservices

In Person: 200 W. Washington St., 1st Floor
Phoenix, AZ, 85003

Email: licenseservices@phoenix.gov

Phone: 602-262-4638

SECTION 1: PROCESS SUMMARY & PROCESSING TIME FRAMES

Process Summary

- **Zoning Check (recommended)** – Prior to submitting an application to License Services, the applicant verifies with the Planning and Development Department (PDD) that the proposed location has adequate zoning for the proposed activity.
- **Applicant submits an application to License Services:**
 - Application form(s), fee(s), and applicable items listed in the Administrative Completeness Review section and Substantive Review section of this packet.
 - Submits the application 90 days in advance to allow for processing time frames.
- **Applicant gets fingerprinted at the time of application.** [Please reference FBI Privacy Act Statement]
- **Administrative Completeness Review** [Pursuant to Arizona Revised Statutes (ARS) 9-835(F)]
 - Within the administrative review time frame, License Services conducts an administrative completeness review of the license application paperwork submitted by the applicant.
 - Applicant must submit the items listed in the Administrative Completeness Review section of this packet.
 - License Services determines whether there are any application deficiencies.
 - If application deficiencies are found, a Notice of Deficiency is issued to the applicant.
 - If a Notice of Deficiency is issued to the applicant, the administrative completeness time frame and overall time frame for processing the application are suspended until all requested information is received by License Services.
- **Substantive Review** [Pursuant to ARS 9-835(F)]
 - After receiving all items listed in the Administrative Completeness Review section of this packet, and within the substantive review time frame, License Services conducts a substantive review of the application and determines whether any corrections are needed.
 - If any corrections are needed, a Request for Correction(s) Notice is issued to the applicant.
 - If a Request for Correction(s) Notice is issued to the applicant, the substantive review time frame and overall time frame for processing the application are suspended as of the date on the Notice of Correction, until all requested information is received by License Services.
 - Fingerprints are forwarded by License Services to DPS for processing. Please reference FBI – Privacy Act Statement.
 - License Services sends the application to the appropriate department(s) for review and recommendation.
- **Application Results:**
 - Within the overall processing time frame, License Services takes action on the application (approves or denies the application).
 - If the application is approved, the license will be issued to the applicant after the license fee is paid.
 - If the application is denied, a written Notice of Denial will be issued to the applicant containing the reasons for denial and information on the process to appeal License Services' decision and request a hearing with the License Appeal Board.

Overall Processing Time Frame: 90 days	
Administrative Completeness Review Time Frame	Substantive Review Time Frame
30 days	60 days

SECTION 2. FINGERPRINTS - FBI PRIVACY ACT STATEMENT

NONCRIMINAL JUSTICE APPLICANT'S PRIVACY RIGHTS

As an applicant who is the subject of a national fingerprint-based criminal history record check for a noncriminal justice purpose (such as an application for employment or a license, an immigration or naturalization matter, security clearance, or adoption), you have certain rights which are discussed below. All notices must be provided to you in writing. ¹ These obligations are pursuant to the Privacy Act of 1974, Title 5, United States Code (U.S.C.) Section 552a, and Title 28 Code of Federal Regulations (CFR), 50.12, among other authorities.

- You must be provided an adequate written FBI Privacy Act Statement (dated 2013 or later) when you submit your fingerprints and associated personal information. This Privacy Act Statement must explain the authority for collecting your fingerprints and associated information and whether your fingerprints and associated information will be searched, shared, or retained. ²
- You must be advised in writing of the procedures for obtaining a change, correction, or update of your FBI criminal history record as set forth at 28 CFR 16.34.
- You must be provided the opportunity to complete or challenge the accuracy of the information in your FBI criminal history record (if you have such a record).
- If you have a criminal history record, you should be afforded a reasonable amount of time to correct or complete the record (or decline to do so) before the officials deny you the employment, license, or other benefit based on information in the FBI criminal history record.
- If agency policy permits, the officials may provide you with a copy of your FBI criminal history record for review and possible challenge. If agency policy does not permit it to provide you a copy of the record, you may obtain a copy of the record by submitting fingerprints and a fee to the FBI. Information regarding this process may be obtained at <https://www.fbi.gov/services/cjis/identity-history-summary-checks> and <https://www.edo.cjis.gov>.
- If you decide to challenge the accuracy or completeness of your FBI criminal history record, you should send your challenge to the agency that contributed the questioned information to the FBI. Alternatively, you may send your challenge directly to the FBI by submitting a request via <https://www.edo.cjis.gov>. The FBI will then forward your challenge to the agency that contributed the questioned information and request the agency to verify or correct the challenged entry. Upon receipt of an official communication from that agency, the FBI will make any necessary changes/corrections to your record in accordance with the information supplied by that agency. (See 28 CFR 16.30 through 16.34.)
- You have the right to expect that officials receiving the results of the criminal history record check will use it only for authorized purposes and will not retain or disseminate it in violation of federal statute, regulation or executive order, or rule, procedure or standard established by the National Crime Prevention and Privacy Compact Council.³

¹ Written notification includes electronic notification, but excludes oral notification.

² <https://www.fbi.gov/services/cjis/compact-council/privacy-act-statement>

³ See 5 U.S.C. 552a(b); 28 U.S.C. 534(b); 34 U.S.C. § 40316 (formerly cited as 42 U.S.C. § 14616), Article IV(c);

28 CFR 20.21(c), 20.33(d) and 906.2(d).

Updated 11/6/2019

SECTION 3. ADMINISTRATIVE COMPLETENESS REVIEW INFORMATION

UPON RECEIVING AN APPLICATION, LICENSE SERVICES WILL CONDUCT AN ADMINISTRATIVE COMPLETENESS REVIEW.

THE FOLLOWING ITEMS ARE REQUIRED AT THE TIME OF APPLICATION:

- A Regulatory License Application
 - Including a completed “Application - Individual Information Page” for:
 - The applicant
 - Each controlling person – as defined by Phoenix City Code (PCC) 19-1.10
 - The designated agent (if any)
- A current government-issued photo ID for: PCC 19-6(A)4
 - The applicant
 - Each controlling person – as defined by PCC 19-1.10
 - The designated agent (if any)
- Proof of lawful presence in the US:
 - The government-issued photo ID or other documents provided meet the requirements of PCC 19-6.01(A) for:
 - The applicant
 - Each controlling person – as defined by PCC 19-1.10
 - The designated agent (if any)
- A complete set of fingerprints for: PCC 19-6(A)8
 - The applicant
 - Each controlling person – as defined by PCC 19-1.10
 - The designated agent (if any)
- Payment of application fee(s) PCC 19-5
- If the applicant is a fictitious entity (corporation or LLC) PCC 19-6(A)10
 - A copy of the entity’s organizational documents, including all applicable amendments.

TO AVOID PROCESSING DELAYS OR INTERRUPTIONS ALL ITEMS LISTED ABOVE MUST BE SUBMITTED AT THE TIME OF APPLICATION

Pursuant to Arizona Revised Statutes 9-835(F)

IF A NOTICE OF DEFICIENCY IS ISSUED TO AN APPLICANT DURING THE ADMINISTRATIVE COMPLETENESS REVIEW:

- The application submitted shall not be complete until all requested information in the issued Notice of Deficiency is received by License Services.
- The administrative completeness time frame and overall time frame for processing the application are suspended as of the date on the Notice of Deficiency, until all requested information is received by License Services.

SECTION 4. SUBSTANTIVE REVIEW INFORMATION

AFTER RECEIVING ALL ITEMS LISTED IN THE ADMINISTRATIVE COMPLETENESS REVIEW SECTION, AND WITHIN THE SUBSTANTIVE REVIEW TIME FRAME, LICENSE SERVICES WILL CHECK THE APPLICATION PAPERWORK SUBMITTED BY THE APPLICANT FOR THE FOLLOWING:

▶ APPLICANT PROVIDED AN APPLICATION WITH COMPLETE INFORMATION

- **Application:** Each question has an answer (no blanks). PCC 19-6(A)
- **Application #4:** Business address provided is accurate. PCC 19-6(A)³ (check online [USPS](#))
- **Application #11 & #12:** Applicant indicated correct Ownership Type (#12) on the application. PCC 19-6(A)³
(For example, if ownership type is "individual" in #5, then #6 should list an individual's name. If ownership type is "LLC" in #5, then #6 should list an entity's name.)
- **Application #11:** Application contains the full legal name of the applicant; as listed on ID, or if an entity, as listed on organizational documents. PCC 19-6(A)¹ & PCC 19-6(A)⁹
- **Application #13:** If the applicant is a fictitious entity, applicant submitted the names of all controlling persons. PCC 19-6(A) (Names listed on the application match the names listed on organizing documents and any amendments to organizing documents.)
- **Application #5:** Mailing address provided for the purposes of receiving City notices/other licensing correspondence is accurate. PCC 19-6(A)¹¹ (check online [USPS](#))
- **Application Individual Information Page(s):** Applicant submitted a *complete* "Application - Individual Information Page" for the applicant, each controlling person, and the designated agent (if any). PCC 19-6(A)

▶ APPLICANT SUBMITTED APPROPRIATE DOCUMENTS WITH APPLICATION

- **I.D.:** Applicant submitted a *current and valid* government-issued photo ID for the applicant, each controlling person, and the designated agent (if any). PCC 19-6(A)⁴
- **Proof of lawful presence in the US:** Applicant submitted a *current and valid* government-issued photo ID or other documents that meet the requirements of PCC 19-6.01(A) for lawful presence in the US for the applicant, each controlling person, and designated agent (if any),
- **Application Fee(s):** The applicant paid all required application fees and *fees were applied to the account properly*. PCC 19-5
- **Fictitious entity organizational documents:** If the applicant is a fictitious entity (corporation or LLC), applicant submitted organizational documents and all applicable amendments *that list all controlling persons* pursuant to PCC 19-1.10. PCC 19-6(A)¹⁰

▶ APPLICANT IS IN COMPLIANCE WITH OTHER LAWS OF THE CITY, COUNTY AND STATE

- **If the applicant is a corporation or LLC,** they are currently in good standing with the [AZ Corporation Commission](#). (check online)
- Applicant obtained/applied for a **City Privilege (Sales) Tax License** (if applicable)

TO AVOID DELAYS, APPLICATIONS MUST MEET THE REQUIREMENTS LISTED ABOVE AT TIME OF APPLICATION.

Pursuant to Arizona Revised Statutes 9-835(G)

IF A REQUEST FOR CORRECTION IS ISSUED TO AN APPLICANT DURING THE SUBSTANTIVE COMPLETENESS REVIEW:

The substantive review time frame and overall time frame for processing the application are suspended as of the date on the Notice of Correction, until all requested information is received by License Services.

OTHER ITEMS YOU MAY NEED*:

- **Arizona Department of Weight and Measures (ADWM):** If your business uses a measuring/weighing device, that device may need to be licensed by ADWM (additional fees may apply). For more information contact ADWM at 602-771-4920 or online at www.azdwm.gov.
- Scrap Metal Dealers are required to register with the Arizona Department of Public Safety (DPS) (additional fee may apply). To register, visit the [DPS website](#) and click on the “LeadsOnline” link.
- **Arizona Department of Revenue (AZDOR):** Your business may require a State Transaction Privilege Tax (Sales) License. For more information contact AZDOR at 602-542-4576 or online: www.azdor.gov.

(*NOT PART OF SUBSTANTIVE REVIEW, BUT MAY BE REQUIRED FOR YOUR BUSINESS TO OPERATE LEGALLY)



City of Phoenix
CITY CLERK DEPARTMENT
LICENSE SERVICES

ZONING CHECK
FOR REGULATED BUSINESS LICENSE APPLICATIONS

The purpose of this form is to identify any *obvious* location deficiencies in relation to a Regulated Business License application before the license application is submitted to License Services. (Deficiencies such as: Activity is not allowed in the zoning district, or activity is only allowed if a Use Permit is obtained, or activity is only allowed with restrictions, etc...)

APPLICANT: Complete questions 1-5 on this form and submit the completed form to the Planning and Development Department (PDD) for review and comments at: 200 W. Washington 2nd Fl. Once this form has been reviewed by PPD, take the form to License Services to discuss PDD's comments.

1. What type of license will you be applying for? _____

2. What is the business address (location where the license will be used)?

3. Describe **all** proposed business activities at the business address including products to be bought, sold, traded, or exchanged, and all services to be provided:

4. Will you have any type of outdoor display(s) at the business address location? Yes No

5. Will you store any products outdoors at the business address location? Yes No

This form does not constitute PDDs approval or final recommendation related to a Regulated Business License application and is subject to change once the license application is submitted to License Services and reviewed in its entirety.

APPLICANT'S ACKNOWLEDGEMENT INITIALS: _____

DO NOT WRITE BELOW THIS LINE – FOR PLANNING AND DEVELOPMENT DEPARTMENT STAFF USE ONLY

1) Zoning District: _____

2) Is this location zoned properly for the proposed uses? (Add comments if needed.)

Yes Yes, with a Use Permit Yes, as Accessory Use No

Comments: _____

3) Is outdoor display or storage of merchandise allowed? (Add comments if needed.)

Yes No

Comments: _____

4) Additional Zoning District Regulations: (i.e. Square Footage Requirements, Setbacks, etc.):

5) Additional Information: (Non-Conformities, etc.):

PDD Reviewer Name: _____

Date: _____

SECTION 5. APPLICATION PROCESS STEPS

- A. ZONING CHECK (RECOMMENDED): THE APPLICANT VERIFIES THAT THE ZONING AT THE PROPOSED LOCATION IS ADEQUATE FOR THE PROPOSED ACTIVITY, BEFORE SUBMITTING AN APPLICATION TO LICENSE SERVICES.** Some activities are not allowed in certain zoning districts, and other activities are only allowed if a Use Permit is obtained prior to beginning operations. Completing the Zoning Check may prevent unexpected costs or the denial of the application. To complete a Zoning Check:
- Complete the “Zoning Check” form (included in this packet)
 - Call the Planning and Development Department (PDD) Phone #: 602-262-7131, #6.
 - Take the completed Zoning Check form to PDD for review/sign-off.
 - PDD is located in City Hall, 200 W. Washington St., 2nd Fl., Phoenix, AZ 85003.
 - Review the PDD results listed on the “Zoning Check” form:
 - If the zoning of the proposed location is adequate and there are no outstanding issues, submit the signed-off “Zoning Check” form to License Services along with the application.
 - If the proposed activity is only allowed at the location with a Use Permit: The Use Permit should be obtained before submitting the application to License Services, or the application may be denied.
 - If the proposed activity is not allowed at the proposed location (at all): This may be grounds for the denial of the license application. The applicant may want to consider a different location.

B. APPLICATION SUBMITTAL:

- **Applications must be submitted directly to** the City of Phoenix, City Clerk Department, License Services Office located at 200 W. Washington St., 1st floor, Phoenix, AZ 85003.
- **Apply 90 Days in Advance** (overall application processing time frame): It may take up to 90 days to process the application. This includes a typical, minimum 40 days processing time for fingerprints through DPS, plus time for City of Phoenix departmental reviews and any departmental inspection(s)/meeting(s).
- **Apply In Person (recommended):** Due to fingerprinting requirements, applying in-person at the License Services Office is recommended. Persons are fingerprinted near License Services.
- **Make an Appointment:** To help expedite service, call License Services to make an appointment.
- **Sign-In:** Upon arriving to License Services, applicants must sign-in on the lobby computer for assistance. Applicants will be helped at the time of their appointment, or if they do not have one, in the order in which they signed-in.
- **Have Application Forms Ready:** To avoid processing delays or interruptions, applicants should ensure that all application forms are filled out, and all required items are available and ready, at the time of application. Otherwise, it can take up to an hour to submit an application or the applicant may need to make multiple trips to License Services.
- **Submit** the following items to License Services ([forms available online](#)):
 - **Zoning Check Form** (signed by PDD)
 - **Application & Individual Information Page(s)**; as required by Phoenix City Code (PCC)
 - **Application Fee(s)**: Refer to the Application section for fee amounts
 - **Due Upon Applying:** The application fee is due at the time the application is submitted.
 - **Non-refundable:** The application fee is non-refundable. Once the application is submitted to License Services, the application fee will be due and will not be refunded, even if the application is withdrawn or denied.
 - **Non-transferable:** The application fee for one location/business cannot be transferred to another location/business due to application withdrawal or denial.
 - **Payment Center:** Fees are paid at the City of Phoenix Payment Center (not in the License Services Office) When applying in person, allow enough time to complete both the application submittal and payment. Arriving close to closing time (after 4pm or earlier, depending on the volume of walk-in customers) may not allow enough time for application submittal and payment on the same day.
 - **Other Fees:** Additional fees may apply if you require other permits/services from other City Departments or County/State Agencies. The payment of any such applicable fees, are payable as stipulated by the corresponding issuing department(s)/agency(s). Examples:
 - PDD: Assembly Permits, Use Permits, Certificate of Occupancy
 - State Department of Revenue: State Sales Tax License
 - State Department of Weights & Measures: Device License

C. LICENSE SERVICES ADMINISTRATIVE COMPLETENESS REVIEW:

- Within the administrative completeness time frame, License Services evaluates the application for administrative completeness and determines whether any required items listed in the Administrative Completeness Review section of this packet are missing.
- License Services will issue a Notice of Deficiency, if any required items are missing.
- If a Notice of Deficiency is issued, the administrative completeness time frame and overall time frame for processing the application are suspended until all requested information is received by License Services.

D. SUBSTANTIVE REVIEW:

- After receiving all items listed in the Administrative Completeness Review section, and within the substantive review time frame, License Services conducts a substantive review of the application and determines whether any corrections are needed. License Services will issue a Request for Correction(s) notice to the applicant, if any corrections are required. If a Request for Correction(s) Notice is issued, the substantive review time frame and overall time frame for processing the application are suspended as of the date on the Notice of Correction, until all requested information is received by License Services.
- Fingerprints are forwarded by License Services to DPS for processing. The typical, minimum processing time for fingerprints is approximately 40 days. The fingerprints submitted with this application will be used to check the criminal history records of the Arizona Department of Public Safety (DPS) and Federal Bureau of Investigation (FBI) to determine the applicant's suitability for licensing. Pursuant to A.R.S. Section 41-1750(G)7 and R13-1-08 of the Arizona Administrative Code, an individual may review, and challenge criminal history information maintained by DPS. For more information contact DPS by phone at: 602-223-2222. The procedures for changing, correcting, or updating FBI Criminal History Record Information are set forth in Title 28, Code of Federal Regulations, Section 16.34.
- For more information contact the FBI by phone at: 304-625-3878 or on-line at: www.fbi.gov. **Please also review the FBI Privacy Act Statement.**
- Departmental Review(s): The application will be sent to the following Department(s) for review and recommendation. The reviewing Department(s) may request additional information or issue notices of deficiency or requests for corrections to the applicant directly.
 - **Police Department (PD):** Reviews the information provided on the application and provides a recommendation to License Services. PD reviews the background check results received from DPS and the applicant's criminal background history. PD contacts the applicant to set-up a required meeting/training to go over the City Code requirements related to the license. P.C.C. §19-6(C)10 For more information about the PD process, call PD at: 602-534-0817.
 - **Planning and Development Department (PDD):** PDD reviews the zoning requirements related to the application (this is separate from the initial zoning check form). The proposed business location may have restrictions or require a Use Permit (additional fees may apply). For more information contact PDD at 602-262-7131, #6 or online at www.phoenix.gov/pdd.

E. APPLICATION RESULTS:

- If the application is approved by the City:
 - The applicant can only operate after obtaining a license certificate from License Services.
 - Applicant will be notified of the approval and the prorated amount due for the annual license fee.
 - The license certificate will be issued once the corresponding annual license fee is paid.
 - The license certificate can be issued through mail or in person at the License Services Office.
- If the application is denied by the City:
 - License Services will issue a Notice of Denial to the applicant through mail.
 - The Notice of Denial will include information about the process to appeal the denial. Appeal procedures are very specific and subject to strict deadlines. Please refer to P.C.C. Chapter 19, Article II for the rules related to appeals.
 - For a list of reasons that could cause your application to be denied, refer to P.C.C. Chapter 19.

SECTION 6. APPLICATION



City of Phoenix
City Clerk Department
License Services Section

REGULATORY LICENSE APPLICATION

Account # _____ (staff use only)

Please check one:

New Application

Information Update

1) License Type:

Scrap Metal Dealer

Auction House

Swap Meet

2) Business Name ("dba"):

3) Date:

/ /

4) Business Location:

Street Address (include Apt./Suite #)

City, State, Zip

5) Mailing Address for City notices:

Street Address (include Apt./Suite #)

City, State, Zip

6) Storage Location of Merchandise:

7) Type of Merchandise Sold:

8) Business Phone: ()

9) Business Fax:(optional) ()

10) Email Address for License Services Notices: _____

Please print clearly, email will be used to communicate important information about your application.

11) Business Owner: (if an individual, list full name. If a company, list exact company name as set forth in organizational documents and list individual applicants below.)

12) Business Type: (please check one)

- Individual Corporation
 Partnership LLC
 Other (specify) _____

13) If a corporation, partnership, limited liability company (LLC), or other fictitious entity: Please list the full legal name and title of each controlling person and designated agent of the business to be licensed. *Controlling person* means any person who has a 20% or greater interest in the ownership or the earnings of the applicant or the business. *Designated agent* means the individual designated by the applicant or licensee to receive city notices.

A fictitious entity (corporation, partnership, LLC, etc...) must designate one of its officers, members or general partners to complete and sign all application forms required of an applicant when there are no controlling persons.

Each listed individual must fill out an "Additional Applicant" form.

Name	Title	Name	Title

If a company: Please attach a copy of your Articles of Incorporation, Articles of Organization, Partnership Agreement, or other organizational documents.

**REGULATORY LICENSE APPLICATION
ADDITIONAL APPLICANT FORM**

(staff use only) BLS # _____

Business Name ("dba"):

14) Full Legal Name:

15) Other names used in past 5 years:
(include maiden name)

16) Applicant's Residence Address:

17) Place of Birth:

Street Address *(include Apt./Suite #)*

18) Date of Birth:

City, State, Zip

19) Applicant's Mailing Address (if different):

20) Home Phone Number:

21) Message Number:

()

()

Street Address *(include Apt./Suite #)*

22) Height:

23) Weight:

24) Eye Color:

25) Hair Color:

City, State, Zip

26) Written proof of age must be submitted with this application. Acceptable proof includes picture driver's license or other current photo identification document issued by a governmental agency.

Type of I.D.: _____ **I.D. Number:** _____ **State:** _____ **Expires:** _____

27) Have you been convicted of, or entered a plea of guilty or "no contest" to any criminal offense?

No Yes *If yes, please list the date, jurisdiction and disposition:*

____ Additional info attached

28) Have you ever had a business license denied, suspended, or revoked?

No Yes *If yes, please list the date, jurisdiction, and reason:*

____ Additional info attached

29) Have you ever entered into a Consent Agreement with the City of Phoenix City Clerk Department?

No Yes *If yes, please list the date of the Consent Agreement.*

____ Additional info attached

I swear under penalty of law that I have read the foregoing application and that all the information and statements made herein are true and correct.

Staff initials:

Applicant Signature

Title *(if applicable)*

Date

Approved Disapproved

Approved Disapproved

License Services Supervisor

Police

Attach memo
for disapproval

Date

Date