
APPLICANTS AND PERMITTEES SHOULD KEEP A COPY OF THIS ENTITY HISTORY DISCLOSURE AND THE SUPPORTING DOCUMENTS FOR THEIR RECORDS.

The Office will not be able to process this form unless it is completed using the [desktop version of Adobe Acrobat](#). The form may not be printed. A form that is printed or that is completed in your web browser will not have a valid digital signature and will not be accepted by the Office.

A holder of a cannabis laboratory testing permit or sampling approval and its true parties of interest, and their immediate family members, shall have no interest in an adult-use cultivator, processor, distributor, retail dispensary, cooperative, microbusiness, delivery, nursery, on-site consumption, registered organization, cannabinoid hemp processor, or any other license or permit pursuant to the Cannabis Law.

True Parties of Interest, include, but are not limited to, those assuming any of the following positions:

- Sole Proprietor, General Partner, Limited Partner, Partner, LLC Member, LLC Manager, Stockholder;
- Chairman, Board Member, Director, Trustee;
- President, Vice President, Treasurer, Secretary, Officer, or Person with Equivalent Title and Responsibility;
- Current or Future Right to Investment, Ownership, Compensation, or Receive Revenue or Profit;
- Joint Account Holder or Guarantor;
- Authority to/ or Exercises Control; and
- Executive, Manager, or Supervising Employee with Ability to Control Licensee Decision Making (not intended to include line managers or supervisors)

Immediate family members include parents, guardians, spouses or dependents.

At the time of application, a cannabis laboratory must submit the Personal or Entity Disclosure form for all individuals and entities holding at least ten percent (10%) or more of any class of shares (including whether current or future), and for any individuals and entities that are true parties of interest (TPI) by any other positions or means as outlined above. Individuals and entities holding less than 10% of shares in a licensed entity remain True Parties of Interest in that licensee, and are therefore prohibited from holding any direct or indirect interest in any other license issued by the Office of Cannabis Management.

Each cannabis laboratory applicant and permittee and each True Party of Interest of a cannabis laboratory applicant or permittee with the Office of Cannabis Management that is an entity itself must provide a completed, dated, and signed Entity History Disclosure to be submitted with an application and upon changes to a permittee's True Parties of Interest. Further, all True Parties of Interest in any entity that is itself a True Party of Interest to a cannabis laboratory applicant or permittee, based on the definition of True Parties of Interest in guidance, must provide the applicant or permittee the appropriate disclosures for submission to the Office at the time of application and upon request or changes in ownership. Ultimately, all individuals and entities holding ownership interests, holding interests that grant control over the applicant or permittee, or otherwise qualifying as a True Party of Interest as defined in this guidance must complete and provide the applicant or permittee the appropriate disclosures and a New York State Department of Tax and Finance Clearance Form (OCM-06002).

The applicant or permittee will use the information from each Laboratory Testing and Sampling Disclosure to complete the application or update the Office upon changes to their ownership. Each Laboratory Testing and Sampling Disclosure and Tax and Finance Clearance Form must be submitted along with the application.

1. True Party of Interest Entity Information

1a. Business Information

Name of Entity:

D/B/A or Trade Name:

FEIN:

1b. Principal Business Address

Street 1:

Street 2:

City, Town, or Village:

State:

Country:

Zip:

Phone:

Website:

1c. Primary Contact

Name of Contact:

Title:

Mailing Address:

City, Town, or Village:

State:

Country:

Zip:

Phone:

Email:

1d. Nature of Business

Describe the business conducted by the entity:

1e. Affiliated NYS Cannabis Applicant

Applicant that the entity is a True Party of Interest of:

License Number (if applicable):

1f. Nature of Relationship

Describe the interest that the entity holds in the applicant / licensee. This question does not apply if completing this form for the entity that is the applicant.

1g. If this entity is a TPI of a business entity that is also recognized as a TPI in a cannabis testing laboratory or sampling applicant or permittee then enter such entity's business name, FEIN, and relationship.

1h. Does this entity have any compensation agreements with the applicant or permittee, whether the agreement is directly with this party or indirectly through an intermediate entity? A compensation agreement is a legal document that guarantees that an individual or entity will receive compensation for certain actions. It can include compensation for an individual or entity getting paid as an employee, a commission that a worker is entitled to receive, compensation for a Non-Compete Agreement? If yes, describe the nature of the agreement and please provide a copy of this agreement with this disclosure.

Yes No

1i. Does this entity have any proposed or executed contract, term sheet, agreement, or side letter with the applicant, permittee, or another party that relates to the ownership and control structure, assets, liabilities, real or intellectual property, revenue, funding or capitalization, royalties, or profit, or future profit, of the applicant or proposed permittee or comparable documents? If yes, describe the nature of the agreement and please provide a copy of this agreement with this disclosure.

Yes No

1j. Does this entity have a management or service agreement with the applicant or permittee? A management agreement is a contract between parties (the owner and the management company), which typically spells out the expected services, a list of responsibilities, the administration, and management of services provided, and the compensation for these services. Include a copy of any management agreement, contract, arrangement, or other type of formal understanding between the party and an applicant or permittee where the contractor will or does provide administrative, operational, financial, advisory, and/or management services to an applicant or permittee in exchange for remuneration and a list of all the parties that are contained in those agreements.

Yes No

Type of Agreement: Management Service

2. Position or Interest Held:

Select all that apply.

2a. Positions:

Parent Company	Subsidiary Company	LLC Member	Current or Future Right to ownership*
Partner	Manager	LLC Manager	Current or Future Right to investment*
General Partner	Limited Partner	Authority to/ or Exercises Control	Current or Future Right to compensation*
Guarantor*	Stockholder	Right to receive revenue or profit*	Compensation Agreement
Other			

Percentage of ownership

Number of shares owned

Percentage or revenue or profit entitled to

*If the entity is a guarantor, has authority to or exercise control over the applicant or permittee; or has the right to receive profit or revenue or have a current or future right to ownership, investment or compensation arrangement, please state the relationship to the applicant or permittee and, if applicable, the type of interest including but not limited to, options, warrants, convertible notes, unvested stock, or any other unit of equity or voting interest:

3. General Background

3a. Is the entity incorporated? Yes No

i. In what state(s) is the entity incorporated?

ii. Is the entity registered to do business in New York? Yes No

iii. Is the entity in good standing in all states in which it is incorporated? Yes No

If not, list the states in which it is not in good standing:

iv. Include the following with this disclosure:

- All incorporation documents/articles of incorporation
- Charter
- Bylaws
- Certificates of good standing from all states in which the entity is incorporated.

3b. If the entity is not incorporated:

i. How is the entity organized (partnership, LLP, LLC, etc.)

ii. Identify in what states it is authorized/approved/registered to conduct business:

iii. Is the entity in good standing in all states in which it is authorized/approved/registered to conduct business?

Yes No

If not, list the states in which it is not in good standing:

iv. Has the entity entered into any agreement, contract, merger, consolidation or financial arrangement with any other New York cannabis related business? Yes No

If so, include copies of said documents with this disclosure.

v. Include the following with this disclosure:

- All certificates of good standing and/or any documents reflecting that the entity is not in good standing
- All documents reflecting the formation of the entity, including, but not limited to: charter, bylaws, operating agreements and any other governing document

4. Corporate Structure

List all former names of the entity:

List all parents, subsidiaries, affiliates, and predecessors of the entity. Describe the business engaged by the parent, subsidiary, affiliate, or predecessor of the entity, and the approximate time during which each identified business has been conducted. Include additional pages if necessary.

Company	Relationship	Business Engaged	Years
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List all sales, mergers, and/or consolidations involving the entity within the last three years. Include additional pages if necessary.

Company	Action	Years
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5. Owners, Principals, And Financial Sources, Including Shareholders, Members, Board Members, Directors, And Trustees

Provide the following information for each owner; shareholder; principal; partner; member; board member; director; trustee; person with the right to receive some or all the revenue, gross profit or net profit from the entity; or person with a current or future right to ownership or investment in the entity. Each of the foregoing must complete a Personal History Disclosure for Laboratory Testing and Sampling (OCM-06005) that is to be filed with this Entity History Disclosure. Include additional pages if necessary.

Name	Association with Entity	Current or Future % of Ownership Interest	Compensation Last Calendar Year	Form of Compensation
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6. Officers

Provide the following information for each officer of the entity. Officers include, but are not limited to, any individual that has authority to or exercises control over the entity. Officers include, but are not limited to, all persons serving as president, secretary, treasurer, vice-president. Each officer and person with control of the entity must complete a Personal History Disclosure for Laboratory Testing and Sampling (OCM-06005) that is to be filed with this Entity History Disclosure. Include additional pages if necessary.

Name	Title	Current or Future % of Ownership Interest	Compensation Last Calendar Year	Form of Compensation
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7. Executives, Managers, and Supervising Employees

Provide the following information regarding each person not listed in the previous sections who is an executive, manager, or supervising employee of the entity (not intended to include line managers or supervisors). Include additional pages if necessary.

Name	Position	Position Held From	To
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8. Long-Term Debt

Describe the nature, type, terms, covenants, conditions and priorities of all outstanding bonds, loans, mortgages, trust deeds, notes, debentures, or other forms of indebtedness issued or executed, or to be issued or executed, by the entity or on its behalf. Include a copy of any such executed bonds, loans, mortgages, trust deeds, notes, debentures, or other forms of indebtedness with this Disclosure. Include additional pages if necessary.

9. Holders of Long-Term Debt

Provide the following information for each person, entity or financial institution holding any outstanding bonds, loans, mortgages, trust deeds, notes, debentures, or other forms of indebtedness described in Section 8, and any person that guaranteed any of the forgoing. Include additional pages if necessary.

Name	Type and Class of Debt or Guarantor	Original Dollar Amount	Current Balance
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10. Other Debt

Describe the nature, type, terms, covenants, conditions and priorities of all outstanding loans, mortgages, trust deeds, pledges, lines of credit, or other evidence of indebtedness or security devices utilized by the entity other than those described in Section 8. Include additional pages if necessary.

11. Holders of Other Debt

Provide the following information for each person, entity or financial institution holding any outstanding loans, mortgages, trust deeds, pledges, lines of credit, or other evidence of indebtedness or security devices described in Section 10, and any person that guaranteed any of the foregoing. Include additional pages if necessary.

Name	Type and Class of Debt or Guarantor	Original Dollar Amount	Current Balance
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12. Financial Institutions

List each bank, savings and loan association, or other financial institution, whether domestic or foreign, at which the entity has or has had an account in the past three years. Include additional pages if necessary.

Name	Type of Account	Account Number	Account Held From	To
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13. Stock Held

List each entity in with the entity holds stock. Include additional pages if necessary.

Name	Type of Stock Held	Purchase Price per Share	Shares Held	% of Ownership
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14. Litigation and Arbitration

Describe all existing or past litigation within the past three years (including any arbitrations or other forms of alternative dispute resolution) to which the entity, or any parent, subsidiary, affiliate, or predecessor, was a party, whether in this state or in another jurisdiction. This description must include the title and docket number of the litigation, the name and location of the court before which it is or was pending, all parties to the litigation, the general nature of all claims made, and the adjudication (if any). Include additional pages if necessary.

15. Statutory and Regulatory Violations

If the entity or any parent, subsidiary, affiliate, or predecessor has been charged with a violation of any state or federal statute, regulation, or code; or if the Entity had any judgment, order, consent decree, or consent order entered against it or any parent, subsidiary, affiliate, or predecessor; list each charge, judgment, order, consent decree, or consent order. Additionally, include all documentation relating to each charge, judgment, order, consent decree, or consent order with this Disclosure. Include additional pages if necessary.

Date	Nature of Offense	Docket Number	Name and Address of Court or Agency	Judgement, Decree, or Order	Date Entered
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16. Bankruptcy or Insolvency Proceedings

If the entity or any parent, subsidiary, affiliate, predecessor, has had any petition under any provision of the Federal Bankruptcy Code filed by or against it; or if the entity or any parent, subsidiary, affiliate, predecessor, has sought relief under any provision any state insolvency law; list each bankruptcy or insolvency proceeding. Include additional pages if necessary.

Date	Entity Involved	Docket Number	Name and Address of Court or Agency	Judgement or Relief	Date Entered
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17. Licenses Denied, Suspended, or Revoked

If the Entity or any parent, subsidiary, affiliate, or predecessor has ever had any license or certificate issued by a government agency in this state or any other jurisdiction, denied, suspended, or revoked, list each license or certificate denied, suspended, or revoked. Include additional pages if necessary.

Type of License	Entity Involved	Agency and Jurisdiction	Action Taken	Date	Reason for Action
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18. Cannabis Licenses

If the Entity or any parent, subsidiary, affiliate, or predecessor has ever applied for or been granted in any jurisdiction a license to cultivate, process, manufacture, distribute, test, transport, deliver, or sell at wholesale or retail cannabis products in any form, list each license below. Include additional pages if necessary.

Agency	Entity Involved	Application Date	Disposition	Type of License	License Number
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19. Attestations

I, _____, the _____, understand that the Office of Cannabis Management will rely on each and every answer in the application and accompanying documents in reaching its determination and state, under penalty of perjury, that all statements and representations therein are true to the best of my knowledge and belief; and

I attest that all required items are included with this form and/or have been submitted to a third party as specified by the Office of Cannabis Management at the time this document was submitted; and

I attest that the entity shall not have any ownership interest, direct or indirect, in any New York State Adult-Use Cannabis licensee, permittee, or Registered Organization; and

I attest that the entity shall not hold a registration, license, or another permit issued in accordance with New York State cannabis law; and

I attest that the entity and its staff have the skills, resources and expertise needed to accurately and consistently perform all of the testing required for adult-use cannabis, medical cannabis and/or cannabinoid hemp or hemp extract; and

By submitting this application, I agree to allow the Department of Taxation and Finance to share the confidential tax information of the above identified taxpayer with the Office of Cannabis Management for purposes of determining the taxpayer eligibility to receive or hold a license to conduct an adult-use cannabis business. I certify that I am making the foregoing release on behalf of either: myself, a partnership of which I am a partner, or a limited liability company or corporation of which I am a president, secretary or other principal officer authorized to make such release.

I attest that I am a principal officer, partner, or owner duly authorized on behalf of the named entity in question 1a above to complete and submit this form on behalf of the named entity.