



NONRESIDENT THIRD-PARTY LOGISTICS PROVIDER LICENSE APPLICATION INSTRUCTIONS

A third-party logistics provider means an entity that provides or coordinates warehousing or other logistics services for dangerous drugs or dangerous devices in intrastate or interstate commerce on behalf of a manufacture, wholesaler, or dispenser of the dangerous drugs or dangerous devices, but does not take ownership of the dangerous drugs or dangerous devices, nor have responsibility to direct its sale or disposition pursuant to Business and Professions Code section 4045.

IMPORTANT: Follow these instructions completely. A checklist is provided with these instructions. The Board encourages the use of the checklist to assist with the application process. If the number of forms included in this application is insufficient, print additional copies. Allow approximately 45 days from the date your application is received by the Board before checking on the status. The contact person(s) designated on the application will be advised if additional information is necessary. Incomplete or redacted copies of supporting documents will not be accepted.

California Business and Professions Code (BPC) section 4035 defines “person” to include, but is not limited to, firm, association, partnership, corporation, limited liability company, state governmental agency, trust, or political subdivision.

Wherever the term “person” is used in these instructions, the Nonresident Third-Party Logistics Provider License Application or any affidavit submitted in support of a Nonresident Third-Party Logistics Provider License Application, such term shall mean “person” as defined in BPC section 4035.

BPC section 4201(a) states: “If the applicant is other than a natural person, the application shall state the information as to each person beneficially interested therein or any person with management or control over the license.”

BPC section 4201(b) states that the term “person beneficially interested” means and includes:

- If the applicant is a partnership or other unincorporated association, each partner or member.
- If the applicant is a corporation, each of its officers, directors, and stockholders, provided that a natural person shall not be deemed to be beneficially interested in a nonprofit corporation.
- If the applicant is a limited liability company, each officer, manager, or member.

Wherever the term “person beneficially interested” is used in these instructions, the Nonresident Third-Party Logistics Provider License Application or any affidavit submitted in support of a Nonresident Third-Party Logistics Provider License Application, such term shall have the meaning set forth in BPC section 4201(b).

The application shall provide information to identify the ownership of the applicant business. This may include multiple levels of ownership. The Board may require additional documentation to confirm or substantiate any information provided in the application, including, without limitation, the reported ownership structure.

SIGNATURES: Any time a signature is required, it must be an original dated signature or a digital signature that complies with the [Board's Digital Signatures Policy Statement](#) located on the Board's website. All documents with digital signatures shall be emailed to the Board.

WHEN SUBMITTING DOCUMENTS TO THE BOARD, KEEP A COPY FOR YOUR RECORDS.

CHECKLIST FOR FILING A NONRESIDENT THIRD-PARTY LOGISTICS PROVIDER APPLICATION

SECTION A. FEE(S): ALL APPLICANTS

APPLICATION FEE: \$1,000

Include a check or money order made payable to the California State Board of Pharmacy. This fee is nonrefundable.

- **Optional: Temporary Nonresident Third-Party Logistics Provider License Fee: \$715**

To request a temporary nonresident third-party logistics provider license pursuant to BPC section 4161(k), submit the temporary fee in addition to the application fee. **NOTE:** Temporary license may be issued by the Board in its discretion, upon such conditions and for such periods of time, not to exceed 180 days, as the Board determines to be in the public interest. The temporary license fee is nonrefundable once the application has been reviewed.

- If other than a change of ownership and/or location, **include a written letter signed by the owner, partner, officer, member, etc., that clearly explains why a temporary license is needed to protect public safety.**

BOND REQUIREMENTS: Reference Section D for the Bond requirements.

FINGERPRINT CARD FEE(S): \$49 per individual, if applicable

Reference Section E for the fingerprint requirements. If submitting fingerprint card fee(s) for individuals listed on the application, include the fingerprint card fee for each individual with the application fee or submit a separate check for the fingerprint card fee(s) made payable to the California State Board of Pharmacy.

SECTION B. NONRESIDENT THIRD-PARTY LOGISTICS PROVIDER LICENSE APPLICATION (17A-85): ALL APPLICANTS

ITEMS LISTED IN THIS SECTION ARE REQUIRED TO BE SUBMITTED WITH EACH NONRESIDENT THIRD-PARTY LOGISTICS PROVIDER LICENSE APPLICATION

- NONRESIDENT THIRD-PARTY LOGISTICS PROVIDER APPLICATION (17A-85 rev 1/2025):** Complete the entire application and submit with original signatures or email with digital signatures that meet the [Board's Digital Signatures Policy Statement](#). If an item or question is not applicable, indicate N/A. If the application is submitted via email with digital signatures, send the application fee(s) by mail accompanied by a printout of page 1 of the completed application, so that the Board can associate the fee(s) with the correct application. **An application will not be reviewed until both the application and the appropriate fee(s) have been received.** Some references to the California Business and Professions Code (BPC) are included.

The following items numbered below correspond to the numbered sections on the Nonresident Third-Party Logistics Provider License Application (17A-85).

1. Applicant Information:

- **Item 1A:** If using a fictitious business name, list the Doing Business As (DBA) name in item 1A of the application. The business name listed on the application must mirror that of the home state license.
- **Item 1A:** Include a room/suite number of the nonresident third-party logistics provider in the address, if applicable.
- **Item 1B:** List the legal entity/business name in item 1B.

2. Type of Application: Identify the type of application and include the anticipated opening, change of ownership, or move date, as applicable. If requesting a temporary license, submit the required fee.

3. Type of Ownership: Identify the ownership type of the business entity listed in item 1B. Include a business ownership organizational structure/chart that clearly documents the applicant's ownership structure. Include in each level of ownership (1) the corresponding percentage of ownership held by all persons and (2) any person(s) with management or control. If submitting a change of ownership application, include **both** the pre- and post-closing organizational structures.

4. Contact Person: The individuals listed in this section will be authorized for the Board to correspond and communicate with regarding the application.

- List in 4A the individual who is the authorized contact person.
- List in 4B an owner/officer of the applicant identified in Section 9 and/or 10 of the application.
- Identify in 4C if the Board is authorized to communicate the status of the application to the proposed RMG.
- **Change of Ownership Only:** Identify in 4D if the Board is authorized to communicate the status of the application with the current owner on record.

Note: If additional individuals need to be included in the Board's correspondence, submit a completed Authorization to Release Applicant Information form (see page 9 of the application) signed by an owner/officer of the applicant identified in Section 9 and/or 10 of the application.

5. Licensing Qualifications: A nonresident third-party logistics provider must comply with one of the following licensing qualifications pursuant to Business and Professions Code section 4161(h) listed under A, B, or C below.

- Licensed as 3PL in Home State:** Provide a copy of the third-party logistics provider home state license. An application for a nonresident third-party logistics provider license in this state shall hold a valid, unexpired license or permit in the state in which it is a resident.
- Request Inspection:** The board may waive the home state licensure requirement for a nonresident third-party logistics provider if the board inspects the location and finds it to be in compliance by the board. The nonresident third-party logistics provider shall reimburse the Board for all actual and necessary costs incurred by the board in conducting an inspection of the location, pursuant to subdivision (v) of Section 4400. Provide a current copy of the home state inspection, if the facility has been inspected by the home state.
- Accredited by the NABP:** Provide evidence of its accreditation by the Drug Distributor Accreditation program of the National Association of Boards of Pharmacy.

6. **Change of Ownership or Location:** If applicable, provide the current licensee information that will be changing ownership or location.

NOTE: A nonresident third-party logistics provider license is nontransferable from one owner or location to another. Any transfer of a beneficial interest in a business entity licensed by the Board, in a single transaction or in a series of transactions, to any person, which transfer results in the transferee's holding 50% or more of the beneficial interest in that license, constitutes a change of ownership. Change of ownership/change of location applicants must apply to the Board prior to the proposed change of ownership transaction/change of location taking place. If the change of ownership and/or change of location application is approved by the Board, a new license number will be issued. Operating the facility prior to a new license being issued is unlicensed activity and may result in denial or disciplinary action by the Board.

Change Of Ownership Documentation: Submit the following with the Nonresident Third-Party Logistics Provider License Application:

- **Organizational Chart:** Include both the pre- and post-closing business ownership structure charts.
- **Seller's Certification (17A-8):** The Seller's Certification must be signed by an owner/officer listed on the current license.
- **Proposed Purchase/Asset Agreement:** Provide an unredacted copy of the complete, proposed purchase/asset agreement signed by all parties.

NOTE: If the change of ownership application is approved by the Board, prior to the issuance of the new nonresident third-party logistics provider license, the applicant will receive a request for a copy of the final sale/closing documentation referenced in the executed purchase agreement and will be required to submit documentation that the transaction has closed.

Change of Location: All required documents outlined in these instructions are required for a change of location unless otherwise specified in the instructions.

7. **Responsible Manager (RMG):** Identify the proposed RMG. The proposed RMG must complete, sign, and date the license application.

Personal Background Affidavit (17A-37): California licensed designated representatives-3PL are not required to complete the Personal Background Affidavit. If the RMG is a licensed pharmacist in the home state, the pharmacist must complete and submit a Personal Background Affidavit (17A-37) form, comply with the fingerprint requirements in Section E of the application instructions, and submit a copy of their pharmacist license in the home state. California licensed designated representatives are not required to complete the Personal Background Affidavit.

A nonresident third-party logistics provider must have its own California licensed designated representative-3PL or licensed pharmacist in the home state who is designated as the responsible manager for the operations of the nonresident third-party logistics provider. The application must list one designated representative-3PL or pharmacist licensed in the home state to serve as the responsible manager. The proposed responsible manager shall be subject to approval by the Board. The Board shall not issue a nonresident third-party logistics provider license without an approved responsible manager for the nonresident third-party logistics provider.

The responsible manager serves as supervisor or manager and is responsible for ensuring the nonresident third-party logistics provider is in compliance with all state and federal laws and regulations pertaining to the operations. The responsible manager shall maintain an active license as a designated representative-3PL with the Board at all times during which they are designated as the responsible manager. The nonresident third-party logistics provider shall comply with California Business and Professions Code section 4161.

8. Nonresident Third-Party Logistics Provider Business Operations:

- A. Identify if this third-party logistics provider SOLELY operate as a Reverse Distributor.
- B. Identify if there a third-party logistics provider operation at the same address of the nonresident wholesaler.
- C. Identify if the nonresident wholesaler and third-party logistic provider under common ownership pursuant to BCP 4160 (c)(2).
- D. Identify who the nonresident third-party logistics provider will be shipping to.
- E. Identify the type of product the nonresident third-party logistics provider will be handling/distributing.

9. Officer(s)/Director(s)/Trustee(s)/Manager(s)/Administrator(s) etc.: Report in **Section 9** the person(s) with fiduciary AND/OR management responsibility for the applicant.

- **Personal Background Affidavit (17A-37):** Each individual listed in Section 9 is required to complete and submit this form and comply with the fingerprint requirements provided in Section E.
- **Business Background Affidavit (17A-18):** Complete a Business Background Affidavit form for each person (other than a natural person), – e.g. General Partner with management and control and submit the required supporting business documents as referenced in **Section C** of these instructions.

Guidance list of individuals to be reported based on applicant’s ownership type:

- **Individual Owner:** Individual Owner.
- **Partnership:** All persons listed in the partnership agreement.
- **Corporation (including nonprofit corporations):**
 - All officers including the required officers as set forth in the corporate bylaws.
 - All directors of the corporation.
- **Limited Liability Company:** All individuals identified as members and/or managers, and any officers if appointed by the member/manager pursuant to the applicant’s operating agreement/limited liability company agreement.
- **Trust:** All individuals identified as the grantor(s), settlor(s), trustee(s), and/or trust protector(s) of the trust.
- **Government Owned:** The director or individual who oversees the nonresident third-party logistics provider operations.

10. Applicant Ownership Information: (Not required for nonprofits and government owned.) Report in **Section 10** all persons with an ownership interest in the applicant named in **Item 1B** of the application. This includes identification of the beneficiary(ies) of a trust.

- If the applicant named in Item 1B of the application is a partnership or other unincorporated association, a limited liability company, or a corporation, report on the application the five partners, members, and/or stockholders who own the five largest interests in the applicant.

- When the ownership exceeds five persons, submit an attachment listing the name(s) and percentage(s) of ownership interest of all other persons beneficially interested.

NOTE: The information provided shall account for 100-percent of the ownership interests in the person listed in Item 1B of the application. Upon request by the Board, the applicant shall furnish the Board with additional information as to all “person(s)” not listed in Section 10 of the application or shall refer the Board to an appropriate source of that information.

Submit the following in support of the application. Note: Items A-B below are not required for nonprofits or government owned.

- A. **Personal Background Affidavit (17A-37):** Each individual listed in Section 10 of the application is required to complete and submit this form.
- B. **Business Background Affidavit (17A-18):** Complete a Business Background Affidavit form for the parent owner(s) (other than a natural person) of the applicant (*i.e.*, all direct and indirect owners with 10 percent or more beneficial interest).

11. Disciplinary Questions: Answer all questions in **Section 11** and, if applicable, provide the requested information to all questions answered Yes.

12. Background Information: Identify the home state license and all other licenses held as instructed. Provide a copy of the home state license and a completed License Verification form (17M-17) or print out of the home state’s online verification of the license.

13. Agent for Service: The agent of service may be an individual who is an officer or director of the corporation, any other person at least 18 years of age who resides in California, or another corporation. Only one individual or corporation may be named as the agent for service of process. A corporation named as agency for service of process for another corporation must have on file with the Secretary of State, a certificate pursuant to Section 1505 of the Corporation Code. The certificate is required only if a corporation is named as agent for services of process for another corporation.

14. Applicant Advisements and Affidavit: Must be signed as instructed in A or B.

- A. All natural person(s) listed in Section 9 and/or 10 of the application must sign.

OR

- B. If the applicant is other than a natural person (*i.e.*, if the applicant is a legal entity such as a corporation, partnership, LLC, government entity, etc.), the application must be signed by one or more individual(s) listed in Section 9 who have been duly authorized by a formal resolution or consent of the entity to execute and submit the application on behalf of the entity.

NOTE: A copy of the formal, signed resolution or consent **MUST** be included with this application or all natural person(s) must sign as specified in A above.

ADDITIONAL DOCUMENTATION TO BE SUBMITTED IN SUPPORT OF THE NONRESIDENT WHOLESALE LICENSE APPLICATION 17A-85.

Copy of License: Submit a copy of the home state issued third-party logistics provider license or comply with B or C below.

- **Licensing Qualifications:** A nonresident third-party logistics provider must comply with one of the following licensing qualifications pursuant to Business and Professions Code section 4161(h) listed under A, B, or C below.

- A. An application for a nonresident third-party logistics provider license in this state shall hold a valid, unexpired license or permit in the state in which it is a resident.
- B. The board may waive the home state licensure requirement for a nonresident third-party logistics provider if the board inspects the location and finds it to be in compliance by the board. The nonresident third-party logistics provider shall reimburse the board for all actual and necessary costs incurred by the board in conducting an inspection of the location, pursuant to subdivision (v) of Section 4400.
- C. Provide evidence of its accreditation by the Drug Distributor Accreditation program of the National Association of Boards of Pharmacy.

- License Verification:** (17M-17): Submit a license verification from the home state regulatory agency verifying the status of the pharmacy license or a license verification print out from the home state regulatory agency reflecting the current status of the license and, if any, disciplinary action taken.
- Business Ownership Organizational Structure/Chart:** Include a business ownership organizational structure/chart that clearly documents the applicant’s ownership structure. Include in each level of ownership (1) the corresponding percentage of ownership held by all persons and (2) any person(s) with management or control. If submitting a change of ownership application, include **both** the pre- and post-closing organizational structures.
- Supporting Ownership Documents (Section C):** (Not required for change of location application. **NOTE:** These items or a statement may be requested to meet the current licensure requirements at time of application.) Reference **Section C** below for the required supporting documents to be included with the application for the applicant listed in **Item 1B** of the application.

SECTION C. SUPPORTING BUSINESS DOCUMENTS/REPORTING REQUIREMENTS

APPLICANT NAMED IN SECTION 1B | Submit a copy of the California Secretary of State Filings (C2, C3, C4, C5 and C6): If the applicant named in **Section 1B** of the application is a corporation, limited liability company or limited partnership incorporated, registered, formed or organized **outside of California**, submit the following in addition to all other supporting documents. For more information, go to http://www.sos.ca.gov/business/corp/pdf/so/corp_so350.pdf.

- Statement of Information:** Submit a copy of the current Statement of Information bearing the California Secretary of State’s stamp (proof of filing) that discloses the current officers on file for the entity.
- Registration:** Submit a copy of the Registration – Out-of-State LLC, or Registration – Out-of-State LP, or Registration – Out-of-State Corporation bearing the California Secretary of State’s stamp (proof of filing).

C1 INDIVIDUALLY OWNED

- Business License** Submit a copy of the approved city or county business license filing.

C2 LIMITED PARTNERSHIP

- Certificate of Limited Partnership:** Submit a copy of the Certificate of Limited Partnership or like registration and any amendments thereto, filed with the Secretary of State bearing the Secretary of State’s stamp (proof of filing) in the state where registered.
- Filing / Officers:** Submit a copy of the current filing with the Secretary of State where registered (showing proof of filing) that discloses the current officers on file for the entity.

- Evidence of Good Standing:** If the limited partnership is formed outside of California, provide a Certificate of Good Standing from the Secretary of State where registered.
- Partnership Agreement:** Provide a complete, unredacted copy of the executed partnership agreement and any amendments thereto, with all exhibits and attachments referenced therein.
- Identify person(s)** with management and control of the partnership, as outlined in the partnership agreement and any limited partner with beneficial interest in the partnership on the license application.

C3 CORPORATION (NOT PUBLICLY TRADED)

- Articles of Incorporation:** Submit a copy of the Articles of Incorporation and any amendments thereto, filed with the Secretary of State where incorporated bearing the Secretary of State's stamp (proof of filing).
- Filing / Officers:** Submit a copy of the current filing with the Secretary of State where incorporated (showing proof of filing) that discloses the current officers on file for the entity.
- Evidence of Good Standing:** If incorporated outside of California, provide a Certificate of Good Standing from the Secretary of State where incorporated.
- Bylaws:** Provide a complete, unredacted copy of the corporate bylaws and any amendments thereto, with all exhibits, schedules and attachments referenced therein.
- Stock Ledger and Stock Certificates:** Provide a copy of the stock ledger and copies of each stock certificate, front and back (this includes cancelled stock certificates). If stock certificates are not issued, provide a statement that states as such signed by an officer listed on the application.
- Identify individual(s)** with management and control of the corporation on the license application.

C4 NON-PROFIT CORPORATION

- Articles of Incorporation:** Submit a copy of the Articles of Incorporation and any amendments thereto, filed with the Secretary of State where incorporated bearing the Secretary of State's stamp (proof of filing).
- Filing / Officers:** Submit a copy of the current filing with the Secretary of State where incorporated (showing proof of filing) that discloses the current officers on file for the entity.
- Evidence of Good Standing:** If incorporated outside of California, provide a Certificate of Good Standing from the Secretary of State where incorporated.
- Bylaws:** Provide a complete, unredacted copy of the corporate bylaws and any amendments thereto, with all exhibits, schedules and attachments referenced therein.
- Tax-Exempt Status:** Provide evidence of tax-exempt status, such as IRS letter.
- Identify individual(s)** with management and control of the corporation on the license application.

C5 PUBLICLY TRADED CORPORATION

- 10K Filing:** Include a copy of the top sheet of the last 10K filed with the US Securities and Exchange Commission that identifies the CIK filing number, and submit copies of any item, exhibit or schedule that lists the executive officers, directors, subsidiaries, Bylaws and Articles of Incorporation.
- Submit a list** of the five largest shareholders that own ten percent or more of stock. If no shareholder holds ten percent or more of stock, provide a statement signed and dated by an authorized officer of the corporation.
- Identify individual(s)** with management and control of the corporation on the license application.

C6 LIMITED LIABILITY COMPANY

- Articles of Organization:** Submit a copy of the Certificate of Formation or Registration or Articles of Organization, and any amendments thereto, filed with the Secretary of State where organized, formed or registered bearing the Secretary of State's stamp (proof of filing).
- Filing / Officers:** Submit a copy of the current filing with the Secretary of State where organized, formed or registered (showing proof of filing) that discloses the current officers on file for the entity.
- Evidence of Good Standing:** If registered, formed or organized outside of California, provide a Certificate of Good Standing from the Secretary of State where registered, formed or organized.
- Operating Agreement:** Provide a current **unredacted** copy of the current operating agreement/limited liability company agreement, including **all** exhibits and/or schedules.
- Identify** all members **and** manager(s), **and** any officers if appointed by the member/manager pursuant to the operating agreement/limited liability company agreement on the license application.

C7 TRUST – Required documents per California Code of Regulations, title 16, section 1709(d).

- Trust Document:** Provide a complete **unredacted** copy of, and any amendments to, the trust document. A trust document and any related amendments shall be considered confidential financial documents by the Board.
- A list of the beneficiary(ies)** age 18 or older, including name, address, phone number, and email address. Where the beneficiary is under age 18, the guardian of the beneficiary(ies) shall be identified.
- Identify all individual(s)** listed as the grantor(s), settlor(s), trustee(s), and/or trust protector(s) of the trust with their name, address, phone number, and any email address on the license application and/or respective affidavit.

C8 GOVERNMENT OWNED (CITY, STATE, AND COUNTY)

- Letter of Verification:** Submit a letter of verification on letterhead from the county public health department, health district, the board of supervisors, or director indicating that the facility is government owned.
- Organizational Structure:** Provide an organizational chart that clearly identifies the director and administrator responsible for the operations of the nonresident third-party logistics provider within the government agency.

SECTION D BOND REQUIREMENTS

Pursuant to Business and Professions Code section 4162.5 an applicant for the issuance of a nonresident third-party logistics provider license shall submit a surety bond as listed below.

- A surety bond of \$90,000 made payable to the Pharmacy Board Contingent Fund.
- In lieu of the bond, applicants may submit other equivalent means of security acceptable to the Board, including a standby letter of credit or cash deposit in lieu of a bond. These other means of security must be payable to the Pharmacy Board Contingent Fund.
- A single surety bond or other equivalent means of security in the amount of \$90,000 will cover all licensed third-party logistics providers under common ownership.
- The Board may accept a surety bond of \$25,000 if the annual gross receipts for the previous tax year are \$10 million or less. **Note:** A licensee which has posted a \$25,000 bond, but has been disciplined by any state or federal agency or issued an administrative fine under California Pharmacy Law, may be required to submit a \$90,000 surety bond.

SURETY BOND: Submit one of the following means of security (A, B, C or D).

- A. **Surety Bond:** Complete and submit the appropriate Surety Bond form that identifies the bond you are submitting (\$90,000 or \$25,000). Provide a letter from the Surety Bond or bank reflecting the renewal date. If submitting a \$25,000 bond, include copies of the previous year's tax return. If you are adding a location to an existing bond, please provide a copy of the original bond and a rider reflecting the location of the address being added. A letter of verification from the bond company to confirm the bond remains in effect along with the current bond renewal date may be required.
- B. **Irrevocable Standby Letter of Credit:** Complete and submit the Irrevocable Standby Letter of Credit form with the application. Provide a letter from the Surety Bond or bank reflecting the renewal date. If submitting a \$25,000 letter of credit, include copies of the previous year's tax return.
- C. **Cash Deposits:** Complete and submit the Cash Deposit form with the application. If submitting a \$25,000 cash deposit, include copies of the previous year's tax return. Checks should be made payable to the Pharmacy Board Contingent Fund.
- D. **Bond Exemption:** Surety bond exemption letter. A person or entity to whom an approved new drug application (NDA) has been issued by the United States Food and Drug Administration who engages in the wholesale distribution of only the dangerous drug or dangerous devices specified in the new drug application, and is licensed or applies for licensure as a third-party logistics provider, shall not be required to post a surety bond. The exemption letter needs to be on company letterhead signed by an owner/officer of the applicant business and shall include a list of manufactured drugs (including the respective NDA number(s) issued by the United States Food and Drug Administration) and a statement that the applicant business only distributes its own product.

SECTION E. FINGERPRINT REQUIREMENTS (ALL APPLICANTS)

Each individual who is required to complete an Individual Personal Affidavit (as instructed in Section A) is required to complete Live Scan fingerprinting or submit Board-approved fingerprint cards and the fingerprint processing fee. If a person is currently associated with an active nonresident third-party logistics provider license and has electronic fingerprints on file with the California State Board of Pharmacy, new fingerprints may not be required.

FINGERPRINT INSTRUCTIONS: Complete and attach **ONE** of the following (either A or B):

- California residents must use Live Scan. Use the Request For Live Scan Service form at the end of the application packet, which provides the Live Scan operator with the board's agency information.
 - A Live Scan site may charge a separate processing fee.
 - Nonresidents can visit California to complete a Live Scan OR they must submit fingerprints professionally rolled on cards supplied by the Board.
 - A nonresident that submits fingerprint cards must include the \$49 fingerprint card processing fee (per person).
 - The Board accepts fingerprint responses only from the California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI).
- A. **California Resident:** Attach a copy of the completed Live Scan receipt.
- The receipt verifies that the individual being fingerprinted has completed the Live Scan process and provides tracking information for the Live Scan submission. It is the responsibility of the individual being fingerprinted to verify that all personal information entered by the Live Scan operator is correct prior to the operator's submission. The Board of Pharmacy will not accept clearances by the DOJ/FBI if the personal information is incorrect. Receipt of incorrect information by the DOJ/FBI will result in the individual having to complete a new Live Scan.
 - California residents must use Live Scan only.

- To find a Live Scan location, go to <https://oag.ca.gov/fingerprints/locations>.
 - The individual being fingerprinted must ensure the following information is correct when completing the Live Scan:
 - **Type of License/Certification/Permit or Working Title: Third-party logistics provider – Section 4305.5**
 - **Full Name:** Must be EXACTLY THE SAME as the individual’s name on their state-issued driver’s license or state-issued identification card. (Jr., II, etc., must be included). It also must be EXACTLY THE SAME as the individual’s name on the application.
 - **Date of Birth:** Do not omit. If left blank, the individual may have to reprint.
 - **Social Security Number (SSN):** Do not omit. If left blank, the individual may have to reprint.
 - **Level of Service:** Must include both DOJ and FBI.
- B. Non-California Resident:** The individual being fingerprinted may visit California and complete Live Scan. If the individual cannot complete the Live Scan, **two (2) rolled fingerprint cards** must be submitted with the application.
- Only fingerprint cards provided by the Board will be accepted.
 - Request fingerprint cards through the Board’s online services at https://www.dca.ca.gov/webapps/pharmacy/pubs_request.php or via email to rxforms@dca.ca.gov.
 - Fee: Include a fingerprint card processing fee of \$49 for each individual being fingerprinted (\$32 DOJ and \$17 FBI) made payable to the Board of Pharmacy. You may submit one check or money order for the application processing fee(s) and the fingerprint card processing fee(s) together.
 - The fingerprint card(s) must be completed in black ink.
 - Print legibly or type all personal information on the fingerprint cards. If the personal information of the fingerprinted individual is not legible and DOJ enters the information incorrectly, the individual will have to submit new fingerprint cards and pay the \$49 fee again. DOJ will NOT correct print results due to illegible fingerprint cards. The fingerprint cards must be processed at a location authorized to complete fingerprint cards for the DOJ/FBI (*e.g.*, law enforcement agency) in the state the services are rendered.
 - Fingerprint results from cards take approximately six weeks for the Board to receive a response from the DOJ/FBI.
 - Poor quality prints will be rejected by DOJ/FBI and will cause delay because new fingerprint cards will be required to be submitted. This is why two (2) rolled fingerprint cards must be submitted for each individual, along with the required \$49 processing fee.

SECTION F. LIST OF COMMON DEFICIENCIES

The following are examples of common deficiencies observed by the Board, which can lead to delays in application processing and, if not timely corrected, can result in the application being deemed to have been abandoned. The Board encourages all applicants to review and avoid these common mistakes.

- Missing fees.
- Incomplete application or forms.
- Missing supporting documentation for the applicant and/or owners in the applicant's ownership hierarchy.
- Supporting documents do not reflect or support the information reported on the application.
- Submission of redacted documents.
- Signatures are not original or do not comply with the Board's Digital Signature Policy.
- Date in signature block is left blank.
- Failure to disclose all direct and indirect owners.
- Failure to submit deficiency items with a copy of the deficiency notice when mailing items to the Board.
- Using any writing implement other than a blue or black ink pen or typing the application.
- Incomplete fingerprint cards or not submitting a copy of the completed LiveScan form.



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Business, Consumer Services and Housing Agency
 Department of Consumer Affairs
 Gavin Newsom, Governor



NONRESIDENT THIRD-PARTY LOGISTICS PROVIDER (3PL) LICENSE APPLICATION

1. APPLICANT INFORMATION (License will print only the first 65 characters, including spaces.)

A. _____
 Name to appear on the License, which may be a DBA.

Physical Location of Nonresident 3PL: Street _____ City _____ State _____ Zip Code _____

Email Address of Nonresident 3PL _____ Telephone Number of Nonresident 3PL _____

B. _____
 Legal Entity/Business Name _____ FEIN# _____

Legal Entity Business Address Street _____ City _____ State _____ Zip Code _____

Legal Entity Email Address _____ Telephone Number _____

2. TYPE OF APPLICATION

_____ Temporary License Request

Note: Temporary License Fee Must Be Included.

_____ New Nonresident 3PL _____ Anticipated Opening Date
 _____ Change of Ownership _____ Anticipated Change of Ownership Date
 _____ Change of Location: _____ Anticipated Move Date

3. TYPE OF OWNERSHIP (check one)

_____ Individual _____ Corporation _____ Government Owned
 _____ Partnership _____ Nonprofit Corporation _____ Trust
 _____ Limited Liability Company _____ Publicly Traded Corporation

4. CONTACT PERSON: The Board will discuss the status of this application ONLY with the authorized individual listed below. An owner/officer listed in Section 9 and/or 10 must also be identified below to be included in all communications regarding the application. An owner/officer listed in Section 9 and/or 10 may designate additional individuals to receive information on this application by submitting an Authorization to Release Applicant Information form (see page 9 of this application).

A. _____
 Name of Authorized Contact Person _____ Telephone Number _____ Email Address _____

B. _____
 Owner/Officer Named in Section 9 and/or 10 _____ Telephone Number _____ Email Address _____

For Board Use ONLY

Date Processed: _____ Date Issued: _____ Date Cashiered: _____
 Processed by: _____ Issued by: _____ Cashiering #: _____
 Amount Received: _____

C. **Is the proposed RMG listed in Section 6 of this application authorized as a contact person with this application?**

Yes No **If Yes,** be advised the RMG will be authorized to receive all status communication.

D. **Change of Ownership ONLY:** The Board will discuss the status of this change of ownership application ONLY with the individual(s) listed in Section 4 A and B above. Check “yes” or “no” below to indicate whether the Board is also authorized to communicate the status of this change of ownership application with the current owner on record for this nonresident third-party logistics provider (*i.e.*, the seller/transferor in the change of ownership transaction).

Yes No **If Yes,** list the name of the individual the Board is authorized to communicate with and submit a completed Authorization to Release Applicant Information (see page 9 of this application) signed by an individual listed in Item 9 or 10 of this application. **NOTE: The person named below must be listed on the current license.**

Name

5. LICENSING QUALIFICATION

Identify how the facility is qualifying for a nonresident third-party logistics provider license in California by checking A, B, or C to comply with Business and Professions Code section 4161(h).

A. **Licensed as 3PL in Home State:** Is this facility licensed in the home state independently as a third-party logistics provider?

Yes No

B. **Request Inspection:** Are you requesting an inspection by the California Board of Pharmacy to comply with licensure?

Yes

C. **Accredited by the NABP:** Is this facility currently Accredited by the Drug Distributor Accreditation program of the NABP?

Yes No

6. **CHANGE OF OWNERSHIP OR LOCATION:** Provide the exact name, address, location, and license number as listed on the current third-party logistics provider license.

A. _____

Name listed on the Current Nonresident 3PL License

Current License Number

Address: Street

City

State

Zip Code

Expiration Date of License

Effective Date of Change of Ownership/Location

B. Has the regulatory agency in your home state been notified of the change in ownership? Yes No
If yes, is the home state license issued to the new ownership? Yes No

C. Has the regulatory agency in your home state been notified of the change in location? Yes No
If yes, is the home state license issued to the new location? Yes No

7. RESPONSIBLE MANAGER (RMG)

List the designated representative, designated representative-reverse distributor, or pharmacist to serve as List the designated representative-3PL to serve as the responsible manager of this nonresident 3PL business. A nonresident 3PL must have its own licensed designated representative-3PL who is designated as the responsible manager for the operations of the nonresident 3PL. The proposed responsible manager shall be subject to approval by the Board. The Board shall not issue a nonresident third-party logistics provider license without an approved responsible manager for the nonresident third-party logistics provider.

The responsible manager serves as supervisor or manager and is responsible for ensuring the nonresident third-party logistics provider is in compliance with all state and federal laws and regulations pertaining to the operations. The responsible manager shall maintain an active license as a designated representative-3PL with the board at all times during which he or she is designated as the responsible manager. If the responsible manager is a licensed pharmacist, they must have a current license in the home state of the facility. The nonresident third-party logistics provider shall comply with California Business and Professions Code section 4161.

Name of Responsible Manager	License Type and Number
Telephone Number of Responsible Manager	Email Address
Original Signature of Responsible Manager	Date

8. NONRESIDENT THIRD-PARTY LOGISTICS PROVIDER BUSINESS OPERATIONS

- A. Will this business SOLELY operate as a 3PL Reverse Distributor?
 Yes No
- B. Is there a wholesaler operation at the address listed above?
 Yes No If yes, list name and license number. _____
- C. Is the wholesaler and 3PL under common ownership?
 Yes No
- D. **This 3PL will ship to:** (Check all that apply)
 Pharmacies Hospitals Wholesalers Drug Manufactures
 Drug Repackagers Reverse Distributors Other Identify: _____
- E. **Type of Product this 3PL will handle:** (Check all that apply)
 Dangerous Drugs Controlled Substances Dangerous Devices Biologics/Biosimilars
 Veterinary Drugs Medical Gases Dialysis Supplies Acupuncture Needles
 Over-the-Counter Medications Other Identify _____

9. OFFICER(s)/DIRECTOR(s)/TRUSTEE(s)/MANAGER(s)/ADMINISTRATOR(s): LIST ALL TITLES IF SERVING IN MORE THAN ONE CAPACITY. Use additional copies of page 4, if needed. Do not indicate "see attached."
If the applicant is other than a natural person, provide the name(s) and title(s) of all officer(s), director(s), trustee(s), manager(s), and administrator(s) (in the case of government-owned applicants) of, and any other person with management or control over the applicant named in item 1B.

Each individual listed is required to complete a **Personal Background Affidavit (17A-37)**: and comply with fingerprint requirements. These persons will be listed on the license record.

These persons will be listed on the license record.

OFFICER(s)/DIRECTOR(s)/TRUSTEE(s)/MANAGER(s)/ADMINISTRATOR(s): LIST ALL TITLES IF SERVING IN MORE THAN ONE CAPACITY.

List All Title(s)	Full Legal Name

10. APPLICANT OWNERSHIP INFORMATION: Reference the application instructions for the required supporting documents to be submitted with the application.

Report below all persons with an ownership interest in the applicant named in **Item 1B** of the application. (i.e. owner(s), shareholder(s), member(s), partner(s), etc.) This includes identification of the beneficiary(ies) of a trust.

- When the ownership exceeds five persons, submit an attachment listing the name(s) and percentage(s) of ownership interest of all other persons beneficially interested.

NOTE: The information provided shall account for 100-percent of the ownership interests in the person listed in Item 1B of this application.

These persons will be listed on the license record.

A. _____

Legal Name		Type of Entity (if applicable)	
Address Street	City	State	Zip Code
Email Address	Telephone Number	FEIN #	
Stock Certificate #s		Percentage % Owned	

B.

Legal Name		Type of Entity (if applicable)	
Address Street	City	State	Zip Code
Email Address	Telephone Number	FEIN #	
Stock Certificate #s		Percentage % Owned	

C.

Legal Name		Type of Entity (if applicable)	
Address Street	City	State	Zip Code
Email Address	Telephone Number	FEIN #	
Stock Certificate #s		Percentage % Owned	

D.

Legal Name		Type of Entity (if applicable)	
Address Street	City	State	Zip Code
Email Address	Telephone Number	FEIN #	
Stock Certificate #s		Percentage % Owned	

E.

Legal Name		Type of Entity (if applicable)	
Address Street	City	State	Zip Code
Email Address	Telephone Number	FEIN #	
Stock Certificate #s		Percentage % Owned	

11. DISCIPLINARY QUESTIONS

A. In the previous seven years has the applicant named in item 1B been an owner, member, or partner of any person whose application for a license has been denied or whose license has been revoked, suspended, placed on probation, or otherwise disciplined in California or any other state, jurisdiction, territory, or country?

Yes **No** **If Yes,** provide the following information for each action taken, including any prior licenses. Use additional sheets if necessary.

Business Name		License Type and Number	
Type of Action	Year of Action	State, Jurisdiction, Territory, or Country	

B. In the previous seven years, has the applicant named in item 1B been in violation of any provisions of California pharmacy law?

Yes **No** **If Yes,** provide a statement of the violation(s), or a reason that such a statement cannot be provided for each violation(s). Use additional sheets if necessary.

C. The Board will conduct a criminal history background check on the applicant. You may provide any mitigating information, including evidence of rehabilitation, regarding your criminal history or criminal conviction(s) that you want the Board to consider. This disclosure is voluntary, and your decision not to disclose any information will not be a factor in the Board’s decision to grant or deny your application. Use additional sheets if necessary.

Are you attaching mitigating information: **Yes** **No**

12. BACKGROUND INFORMATION

List ALL states/territories in which the applicant business is or has been licensed as a wholesaler, pharmacy, third-party logistics provider, manufacturer, or re-packager. If the applicant business does not hold any other license, please indicate None. **Use additional copies of page 6, if needed. Do not indicate “see attached.”**

If there has been any disciplinary action taken against any of the licenses listed below, a written explanation giving full details of the action taken MUST be provided with the application.

State	License Type & Number	Issue Date	Expiration Date	Has any disciplinary or criminal action been taken against this license?
Home State				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No

13. AGENT FOR SERVICE OF PROCESS: Person or agency located in California that will act as an agent for service of process.

Name

Address: Street City State Zip Code

Telephone Number of DRIC

Email Address

14. APPLICANT ADVISEMENTS AND AFFIDAVIT - Read carefully and sign below.

This application must be approved by the California State Board of Pharmacy before a nonresident wholesaler license will be issued. **Any application not completed within 60 days after being notified by the Board of deficiencies may be deemed to have been abandoned, and the applicant will be required to file a new application and meet all requirements that are in effect at the time of the new application.** A change of ownership application may be withdrawn by either the applicant or the licensee with no resulting liability to the California State Board of Pharmacy. **Fees applied to this application are not transferable or refundable.**

Failure to provide any of the requested information may result in the application being considered incomplete. Any material misrepresentation in the answer to any question is grounds for denial or subsequent revocation of the license. The withdrawal of an application for a license after it has been filed with the Board shall not, unless the Board has consented in writing to such withdrawal, deprive the Board of its authority to institute or continue a proceeding against the applicant for the denial of the license upon any ground provided by law or to enter an order denying the license upon any such ground. (BPC § 118, subd. (a))

Pursuant to the provisions of BPC section 4207, the California State Board of Pharmacy is authorized to conduct a thorough investigation of this application to determine whether the applicant is qualified for the license being sought, and may request any information it deems necessary to complete said investigation, including, without limitation, business and financial records and documents.

Disclosure of federal employer identification numbers (FEINs) and social security numbers (SSNs) is mandatory. BPC section 30 authorizes collection of this information. If you fail to disclose FEINs and/or SSNs as requested on this application, this application will not be processed AND you will be reported to the Franchise Tax Board, which may assess a penalty against you.

The Board makes every effort to protect personal information provided to the Board. The information provided, however, may be disclosed under the following circumstances:

- In response to a Public Records Act request (Government Code section 7920.000 et seq.), as allowed by the Information Practices Act (Civil Code section 1798 et seq.);
- To another government agency as required or permitted by state or federal law; or
- In response to a court or administrative order, a subpoena, or a search warrant.

NOTICE: The State Board of Equalization and the Franchise Tax Board may share individual taxpayer information with the Board. You are obligated to pay your state tax obligation. This application may be denied if the state tax obligation is not paid.

REQUIRED SIGNATURES: See instructions for required signatories. Provide original, dated signatures or digital signatures that comply with the [Board's Digital Signatures Policy Statement](#).

Under the laws of the State of California, each natural person whose signature appears below certifies that:

- 1) They are at least 18 years of age.
- 2) They have the authority to make this application to apply for a license with the California State Board of Pharmacy on behalf of the applicant named in the foregoing application.
- 3) They have read or have knowledge of the foregoing application for licensure, are familiar with the contents thereof, and attest to the truth and accuracy of all statements, answers, and representations made in this application, including any and all supplementary statements.
- 4) No person other than the persons identified in this application (including any attachment hereto) has any ownership interest in, or management and/or control over, the applicant or its business to be conducted under the license for which this application is made.
- 5) They understand that falsification of any information in this application may constitute grounds for denial or subsequent revocation of the license.

Signature	Print Name	Date
Signature	Print Name	Date
Signature	Print Name	Date
Signature	Print Name	Date
Signature	Print Name	Date
Signature	Print Name	Date
Signature	Print Name	Date
Signature	Print Name	Date
Signature	Print Name	Date
Signature	Print Name	Date
Signature	Print Name	Date

AUTHORIZATION TO RELEASE APPLICANT INFORMATION

(Optional)

Applicant Business Information – Please print or type

File Number, if applicable _____

Name of Business

Telephone Number of Business

Name of Business DBA if different than above

Address of Business – Street

City

State

Zip Code

The Board will ONLY discuss the status of this application with the authorized person identified on the application and any person who has signed the application as an officer, partner, member, and/or owner of the applicant business. In order for the Board to discuss the status of this application with another individual, the authorized person identified on the application must authorize in writing the Board to discuss the application status with a his or her authorized representative.

Giving consent for the Board to disclose application and business information will authorize the Board to disclose all personal and business information pertaining to this application. This includes but is not limited to social security number, date of birth, address information, all application requirement information, application approval or denial status, and any criminal conviction information the Board may have on record for your application.

Applicant Consent – Must be signed and dated by the applicant for optional authorization to be valid.

As a person identified on the application that is authorized to act for and bind the applicant business, I hereby give the Board consent to communicate to the individual listed below.

I, _____, hereby give consent to
Print Name of Person Authorized to Bind the Applicant Business

the California State Board of Pharmacy to disclose information about this application as specified above to the following individual:

Name

Telephone Number

Email Address

Mailing Address – Street

City

State

Zip Code

This consent will expire on _____, within one year, or upon
licensure, whichever comes first. (Date)

Original Signature of Person Authorized to Bind the Applicant Business Date



PERSONAL BACKGROUND AFFIDAVIT

This form is to be completed by each individual listed on a facility application or license. A California licensed pharmacist and any designated representative license **ONLY** acting as a pharmacist-in-charge/consulting pharmacist/designated representative-in-charge/responsible manager is not required to complete this form, unless listed as an owner, officer, director, manager, member, partner, stockholder, trustee, professional director, or the administrator (government owned) on the application.

Print in blue or black ink or type. All sections must be completed; if not applicable, enter N/A.

1. PERSONAL INFORMATION

Legal Last Name

Legal First Name

Middle Name

Previous Names (AKA, Maiden Name, Alias, etc. Indicate N/A if none.)

Address - Street

City

State

Zip Code

Personal Phone Number

Work Phone Number

Email Address

US Social Security Number or ITIN

Date of Birth (Month/Day/Year)

2. APPLICANT INFORMATION

List the name of the applicant applying for a license as listed in Item 1A of the license application.

Name as it will appear on the license

Location of Business

Street

City

State

Zip Code

ANSWER EACH OF THE FOLLOWING QUESTIONS (Attach additional sheets of paper if necessary)

3. OWNERSHIP INFORMATION

Do you or have you had any direct or indirect beneficial interest in, or do you or have you exercised management and control over and/or served as an officer, director, manager and/or member of an LLC, partner, stockholder, trustee, professional director, or administrator for a California and/or nonresident licensed pharmacy, clinic, wholesaler, third-party logistics provider, or outsourcing facility licensed in California or any other state, jurisdiction, territory, or country?

Yes ____ No ____ If Yes, list all current and past licenses. Attach additional sheets if necessary.

Name of Facility	License Type and Number	State Issued

4. DISCIPLINARY QUESTIONS

The following questions pertain to a license sought or held in California or any other state, jurisdiction, territory, or country. For any affirmative answer, attach a statement of explanation including type of license, license number, type of action, date of action, and identify the state, jurisdiction, territory, or country.

A. Have you ever had an application for any professional or vocational license or registration denied or any professional or vocational license or registration suspended, revoked, placed on probation, or had other disciplinary action taken against it?

Yes ____ No ____ If Yes, provide a signed and dated statement of explanation.

B. Have you had any direct or indirect beneficial interest in, or have you exercised management and control over and/or served as an officer, director, manager and/or member of an LLC, partner, stockholder, trustee, professional director, or administrator for a California and/or nonresident pharmacy, clinic, wholesaler, third-party logistics provider, outsourcing facility and/or any other facility whose license has been denied, suspended, revoked, placed on probation, or had other disciplinary action taken against it?

Yes ____ No ____ If Yes, provide a signed and dated statement of explanation

C. Have any of the disciplinary actions in A or B above occurred with your spouse or domestic partner?

Yes ____ No ____ If Yes, provide a signed and dated statement of explanation.

5. PRACTICE IMPAIRMENT OR LIMITATION

The Board makes an individualized assessment of the nature, the severity, and the duration of the risks associated with any identified condition to determine whether an unrestricted license should be issued, whether conditions should be imposed, or whether the applicant is not qualified for licensure. If the Board is unable to make a determination based on the information provided, the Board may require an applicant to be examined by one or more physicians or psychologists, at the Board’s cost, to obtain an independent evaluation of whether the applicant is able to safely practice despite the mental illness or physical illness affecting competency. A copy of any independent evaluation would be provided to the applicant.

A. Are you currently suffering from any condition for which you are not being appropriately treated that impairs your judgment or that would otherwise adversely affect your ability to practice pharmacy in a competent, ethical, and professional manner?

Yes ____ No ____ If Yes, attach a statement of explanation.

B. Have you ever participated in, been enrolled in, or been required to enter into any drug, alcohol, or substance abuse recovery program or impaired practitioner program?

Yes ____ No ____ If Yes, attach a statement of explanation.

A signature is required, and must be an original dated signature or a digital signature that complies with the Board’s [Digital Signatures Policy Statement](#) located on the Board’s website. All documents with digital signatures shall be emailed to the Board.

I hereby certify under penalty of perjury under the laws of the State of California to the truth and accuracy of all statements, answers, and representations made in the foregoing Certification of Personnel form.

Signature of individual completing this form

Date



California State Board of Pharmacy
 2720 Gateway Oaks Drive, Suite 100
 Sacramento, CA 95833
 Phone: (916) 518-3100 Fax: (916) 574-8618
 www.pharmacy.ca.gov

Business, Consumer Services and Housing Agency
 Department of Consumer Affairs
 Gavin Newsom, Governor



BUSINESS BACKGROUND AFFIDAVIT

This form is to be completed by each person (other than a natural person) in the applicant's ownership structure listed on the license application. Attach additional sheets of paper, if necessary.

1. APPLICANT INFORMATION

List the name of the applicant applying for a license as listed in item 1A of the license application.

Name as it will appear on the license	Telephone Number
---------------------------------------	------------------

Physical Location Street	City	State	Zip Code
--------------------------	------	-------	----------

2. List the information of the owner completing this form. The information should coincide with the applicant's ownership organizational chart and supporting organizational documents provided as outlined in the License Application Instructions.

Owner's Full Name	FEIN
-------------------	------

Address	City	State	Zip Code
---------	------	-------	----------

Email Address	Telephone Number
---------------	------------------

Name of Binding Owner/Officer/Director	Telephone Number
--	------------------

3. TYPE OF OWNERSHIP

- | | | |
|--|--|---|
| <input type="checkbox"/> Individual | <input type="checkbox"/> Corporation | <input type="checkbox"/> Native American Tribe |
| <input type="checkbox"/> Partnership | <input type="checkbox"/> Professional Corporation | <input type="checkbox"/> Non-Native American Operating on Tribal Land |
| <input type="checkbox"/> Limited Liability Company | <input type="checkbox"/> Nonprofit Corporation | |
| <input type="checkbox"/> Trust | <input type="checkbox"/> Publicly Traded Corporation | |
| <input type="checkbox"/> Government Owned | | |

4. DISCIPLINARY QUESTIONS

A. In the previous seven years has the owner named in Section 2 had an application for a license been denied or had a license be revoked, suspended, placed on probation, or otherwise disciplined in California or any other state, jurisdiction, territory, or country?

Yes **No** **If Yes,** provide the following information for each action taken, including any prior licenses. Use additional sheets if necessary.

Company Name	License Type and Number	
Type of Action	Year of Action	State, Jurisdiction, Territory, or Country

B. In the previous seven years, has the owner named in Section 2 been in violation of any provisions of California pharmacy law?

Yes **No** **If Yes,** provide a statement of the violation(s), or a reason that such a statement cannot be provided for each violation(s). Use additional sheets if necessary.

C. The Board will conduct a criminal history background check on the application. You may provide any mitigating information, including evidence of rehabilitation, regarding your criminal history or criminal conviction(s) that you want the Board to consider. This disclosure is voluntary, and your decision not to disclose any information will not be a factor in the Board’s decision to grant or deny your application. Use additional sheets if necessary.

Are you attaching mitigating information: Yes _____ No _____

5. ADVISEMENTS AND AFFIDAVIT - Read carefully and sign below.

This form is being submitted in support of the application for licensure made by the applicant identified in Section 1 of this form (hereafter, the “License Application”). The License Application must be approved by the California State Board of Pharmacy before a clinic license will be issued. **Any application not completed within 60 days after being notified by the Board of deficiencies may be deemed to have been abandoned, and the applicant will be required to file a new application and meet all requirements that are in effect at the time of the new application.**

Failure to provide any of the information requested on this form may result in the License Application being considered incomplete. Any material misrepresentation in the answer to any question on this form is grounds for denial or subsequent revocation of the license. The withdrawal of an application for a license after it has been filed with the Board shall not, unless the Board has consented in writing to such withdrawal, deprive the Board of its authority to institute or continue a proceeding against the applicant for the denial of the license upon any ground provided by law or to enter an order denying the license upon any such ground. (BPC § 118, subd. (a).)

Pursuant to the provisions of BPC section 4207, the California State Board of Pharmacy is authorized to conduct a thorough investigation of the License Application to determine whether the applicant is

qualified for the license being sought, and may request any information it deems necessary to complete said investigation, including, without limitation, business and financial records and documents.

Disclosure of federal employer identification numbers (FEINs) and social security numbers (SSNs) is mandatory. BPC section 30 authorizes collection of this information.

The Board makes every effort to protect personal information provided to the Board. The information provided, however, may be disclosed under the following circumstances:

- In response to a Public Records Act request (Government Code section 7920.000 et seq.), as allowed by the Information Practices Act (Civil Code section 1798 et seq.);
- To another government agency as required or permitted by state or federal law; or
- In response to a court or administrative order, a subpoena, or a search warrant.

This form must be signed by the binding owner/officer listed in Section 2 of this form who has the authority to execute and submit this form on behalf of such owner.

The signature must be original, dated signature or digital signatures that comply with the Board's [Digital Signatures Policy Statement](#) located on the Board's website. All documents with digital signatures shall be emailed to the Board.

Under the laws of the State of California, the natural person whose signature appears below certifies that:

- 1) They are at least 18 years of age.
- 2) They have knowledge of the License Application and are submitting this form in support of said License Application.
- 3) They are duly authorized to submit this form on behalf of the owner identified in Section 2 of this form.
- 4) All statements, answers, and representations made herein, and in any and all supplementary statements submitted in connection herewith, are true and accurate.
- 5) They understand that falsification of any information in this form may constitute grounds for denial or subsequent revocation of the license being applied for by the applicant identified in Section 1 of this form.

Signature

Print Name

Date



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Business, Consumer Services and Housing Agency
 Department of Consumer Affairs
 Gavin Newsom, Governor



LICENSE VERIFICATION

This form is to be completed by the licensing authority in the state where the license is issued. The form must be completed even if the license is no longer current or active. Please return the state verified form with your application.

A. To Be Completed by the Requestor

Name of Requestor			Telephone Number	
Address	Street	City	State	Zip Code
Type of License and License Number	Issued Date	Expiration Date		

The business listed above has applied for a license in California. Before further consideration is given to this application, the California State Board of Pharmacy would appreciate your assistance in completing the information requested below. Upon completion of this form, please return it to the applicant for submission with the application.

B. To Be Completed by the State Licensing Board or Agency Verifying Licensure

Name of Licensee			State Verified License	
Address		City	State	Zip Code
Type of License and License Number	Issued Date	Expiration Date		

License Status (Check one) Active Inactive Other If other, please explain _____

Has this agency taken any disciplinary action against this license? Yes No
 If disciplinary action has been taken against this licensee, please directly provide this office with the accusation/proposed charges and decision/final order regarding the action.

I hereby certify the information listed in Section "B" above is true and correct.

Printed Name	Date
Signature	Title

Board Seal



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SELLER'S CERTIFICATION

INSTRUCTIONS: This form is to be completed by the seller and submitted with the application for a change of ownership by the prospective owner. A copy of the pending purchase agreement must be attached. Please print or type.

NOTICE: The license is not transferable, and the current owner of record must maintain operations and control of the licensed premises (including renewing the license) until the change of ownership is approved by the California State Board of Pharmacy. Proof of authority to sell by any person, other than a person whose name appears on the California State Board of Pharmacy license record, must accompany this certification.

This will certify that _____
 Name of Seller

has agreed that on _____ Seller shall transfer _____
 month/day/year (all, half, etc.)

of the right, title and interest in _____
 Name of Facility License Number

Located at _____
 Address City State Zip Code

List the Name of all Buyer(s)

On completion of this sale and approval of the new license, the original license, and the current renewal must be returned to the California State Board of Pharmacy.

Under penalty of perjury under the laws of the State of California, each person whose signature appears below certifies and says that (If the seller is a partnership, all partners must sign below):

1. Is the licensee, named in this Seller's Certification, duly authorized to make this sale;
2. Is listed on the current license; and
3. All statements made in this Seller's Certification are true and correct.

Signature of Seller	Name (please print)	Title	Date
Signature of Seller	Name (please print)	Title	Date
Signature of Seller	Name (please print)	Title	Date



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Gavin Newsom, Governor



FINGERPRINTING REQUIREMENTS AND LIVE SCAN INSTRUCTIONS

BRING THESE INSTRUCTIONS WITH YOU TO THE LIVE SCAN AGENCY.

THE LIVE SCAN OPERATOR MUST ENTER THE INFORMATION PROVIDED IN STEP 1 BELOW.

FAILURE TO INCLUDE THE BOARD OF PHARMACY INFORMATION ON THE LIVE SCAN FORM MAY RESULT IN THE INDIVIDUAL HAVING TO COMPLETE THE LIVE SCAN PROCESS AGAIN.

FINGERPRINT REQUIREMENT: All license, registration, and permit applicants and holders must furnish a full set of fingerprints for purposes of conducting federal and state criminal history record checks through the Department of Justice (DOJ). (Bus. & Prof. Code, § [144](#); 16 CCR § [2010.05](#).) Licensure, registration, and permits are subject to denial, suspension, or revocation based upon an applicant's or licensee's conviction of a crime. (Bus. & Prof. Code §§ [475-490](#), [4836.2](#), [4837](#), [4842](#), [4883](#), [4885](#).)

Fingerprints must be submitted to the DOJ electronically via Live Scan. (Pen. Code, § [11077.1](#).) Live Scan is a system for the electronic submission of fingerprints. The DOJ has limited statutory authority to issue an exemption to this mandate if an electronic transmission site is regionally unavailable. For more information on how to request an exemption, visit the Attorney General's Office web site at <https://oag.ca.gov/fingerprints> and download the [BCII 9004 - Request for Exemption from Mandatory Electronic Fingerprint Submission Requirement](#) form.

LIVE SCAN INSTRUCTIONS: STEP 1 - COMPLETE THE REQUEST FOR LIVE SCAN SERVICE FORM (BCII 8016) AS FOLLOWS:

- **ORI:** Enter "A0071". This is the unique agency code for the Board of Pharmacy.
- **Authorized Applicant type:** Enter "License/Cert/Permit".
- **Type of License/Certification/Permit OR Working Title:** Enter "Pharmacy WLS - Section 4305.5". This is unique for the specific application for license.
- **Agency Authorized to Receive Criminal Record Information:** Enter "Board of Pharmacy".
- **Mail Code:** Enter "05712". This is the unique five-digit code assigned by the DOJ for the Board of Pharmacy.
- **Street Address, City, State, and Zip Code:** Enter "2720 Gateway Oaks Drive, Suite 100, Sacramento CA 95833".
- **Contact Telephone Number:** Enter "(916) 518-3100".
- **Name of Applicant:** Enter your Legal Last Name, Legal First Name, and Middle Name. Do not use initials or name abbreviations.
- **Alias:** Enter all other names you have used, including your maiden name. If none, leave this section blank.
- **Driver's License No.** Enter your Driver's License Number, including the State.
- **DOB:** Enter your date of birth (month/day/year).
- **Sex:** Enter your gender.
- **Height:** Enter your height in feet and inches.
- **Weight:** Enter your weight in pounds.
- **Eye Color:** Enter the color of your eyes.
- **Hair Color:** Enter the color of your hair.
- **Billing Number:** Leave this section blank. Applicant is responsible for paying all fees associated with fingerprinting.
- **Place of Birth:** Enter your place of birth (City and State, or Country).
- **SSN:** Enter your Social Security Number. This is **MANDATORY** for the Board of Pharmacy.
- **Misc. Number:** Enter any other identification number and type. If none, leave this section blank.
- **Home Address, City, State, and Zip Code:** Enter your home address information into the applicable sections.
- **Level of Service:** Mark **BOTH DOJ and FBI**. You are required to have both DOJ and FBI level of service complete.
- **Employer:** This information is not required.



REQUEST FOR LIVE SCAN SERVICE

Applicant Submission

ORI (Code assigned by DOJ)

Authorized Applicant Type

Type of License/Certification/Permit OR Working Title (Maximum 30 characters - if assigned by DOJ, use exact title assigned)

Contributing Agency Information:

Agency Authorized to Receive Criminal Record Information

Mail Code (five-digit code assigned by DOJ)

Street Address or P.O. Box

Contact Name (mandatory for all school submissions)

City State ZIP Code

Contact Telephone Number

Applicant Information:

Last Name

First Name Middle Initial Suffix

Other Name: (AKA or Alias)

Last Name

First Name Suffix

Date of Birth Sex Male Female Nonbinary/Unspecified

Driver's License Number

Height Weight Eye Color Hair Color

Billing Number
(Agency Billing Number)

Place of Birth (State or Country) Social Security Number

Misc. Number
(Other Identification Number)

Home Address Street Address or P.O. Box

City State ZIP Code

I have received and read the included Privacy Notice, Privacy Act Statement, and Applicant's Privacy Rights.

Applicant Signature

Date

Your Number: OCA Number (Agency Identifying Number)

Level of Service: DOJ FBI
(If the Level of Service indicates FBI, the fingerprints will be used to check the criminal history record information of the FBI.)

If re-submission, list original ATI number: Original ATI Number
(Must provide proof of rejection)

Employer (Additional response for agencies specified by statute):

Employer Name

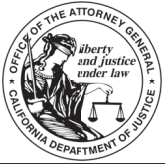
Street Address or P.O. Box Telephone Number (optional)

City State ZIP Code Mail Code (five digit code assigned by DOJ)

Live Scan Transaction Completed By:

Name of Operator Date

Transmitting Agency LSID ATI Number Amount Collected/Billed



REQUEST FOR LIVE SCAN SERVICE

Privacy Notice

As Required by Civil Code § 1798.17

Collection and Use of Personal Information. The California Justice Information Services (CJIS) Division in the Department of Justice (DOJ) collects the information requested on this form as authorized by Business and Professions Code sections 4600-4621, 7574-7574.16, 26050-26059, 11340-11346, and 22440-22449; Penal Code sections 11100-11112, and 11077.1; Health and Safety Code sections 1522, 1416.20-1416.50, 1569.10-1569.24, 1596.80-1596.879, 1725-1742, and 18050-18055; Family Code sections 8700-87200, 8800-8823, and 8900-8925; Financial Code sections 1300-1301, 22100-22112, 17200-17215, and 28122-28124; Education Code sections 44330-44355; Welfare and Institutions Code sections 9710-9719.5, 14043-14045, 4684-4689.8, and 16500-16523.1; and other various state statutes and regulations. The CJIS Division uses this information to process requests of authorized entities that want to obtain information as to the existence and content of a record of state or federal convictions to help determine suitability for employment, or volunteer work with children, elderly, or disabled; or for adoption or purposes of a license, certification, or permit. In addition, any personal information collected by state agencies is subject to the limitations in the Information Practices Act and state policy. The DOJ's general privacy policy is available at <http://oag.ca.gov/privacy-policy>.

Providing Personal Information. All the personal information requested in the form must be provided. Failure to provide all the necessary information will result in delays and/or the rejection of your request.

Access to Your Information. You may review the records maintained by the CJIS Division in the DOJ that contain your personal information, as permitted by the Information Practices Act. See below for contact information.

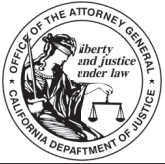
Possible Disclosure of Personal Information. In order to process applications pertaining to Live Scan service to help determine the suitability of a person applying for a license, employment, or a volunteer position working with children, the elderly, or the disabled, we may need to share the information you give us with authorized applicant agencies.

The information you provide may also be disclosed in the following circumstances:

- With other persons or agencies where necessary to perform their legal duties, and their use of your information is compatible and complies with state law, such as for investigations or for licensing, certification, or regulatory purposes.
- To another government agency as required by state or federal law.

Contact Information. For questions about this notice or access to your records, you may contact the Associate Governmental Program Analyst at the DOJ's Keeper of Records at (916) 210-3310, by email at keeperofrecords@doj.ca.gov, or by mail at:

Department of Justice
Bureau of Criminal Information & Analysis
Keeper of Records
P.O. Box 903417
Sacramento, CA 94203-4170



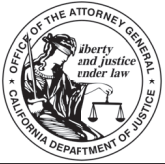
REQUEST FOR LIVE SCAN SERVICE

Privacy Act Statement

Authority. The FBI's acquisition, preservation, and exchange of fingerprints and associated information is generally authorized under 28 U.S.C. 534. Depending on the nature of your application, supplemental authorities include Federal statutes, State statutes pursuant to Pub. L. 92-544, Presidential Executive Orders, and federal regulations. Providing your fingerprints and associated information is voluntary; however, failure to do so may affect completion or approval of your application.

Principal Purpose. Certain determinations, such as employment, licensing, and security clearances, may be predicated on fingerprint-based background checks. Your fingerprints and associated information/biometrics may be provided to the employing, investigating, or otherwise responsible agency, and/or the FBI for the purpose of comparing your fingerprints to other fingerprints in the FBI's Next Generation Identification (NGI) system or its successor systems (including civil, criminal, and latent fingerprint repositories) or other available records of the employing, investigating, or otherwise responsible agency. The FBI may retain your fingerprints and associated information/biometrics in NGI after the completion of this application and, while retained, your fingerprints may continue to be compared against other fingerprints submitted to or retained by NGI.

Routine Uses. During the processing of this application and for as long thereafter as your fingerprints and associated information/biometrics are retained in NGI, your information may be disclosed pursuant to your consent, and may be disclosed without your consent as permitted by the Privacy Act of 1974 and all applicable Routine Uses as may be published at any time in the Federal Register, including the Routine Uses for the NGI system and the FBI's Blanket Routine Uses. Routine uses include, but are not limited to, disclosures to: employing, governmental, or authorized non-governmental agencies responsible for employment, contracting, licensing, security clearances, and other suitability determinations; local, state, tribal, or federal law enforcement agencies; criminal justice agencies; and agencies responsible for national security or public safety.



REQUEST FOR LIVE SCAN SERVICE

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.

- You must be provided written notification¹ that your fingerprints will be used to check the criminal history records of the FBI.
- You must be provided, and acknowledge receipt of, an adequate Privacy Act Statement when you submit your fingerprints and associated personal information. This Privacy Act Statement should explain the authority for collecting your information and how your information will be used, retained, and shared.²
- If you have a criminal history record, the officials making a determination of your suitability for the employment, license, or other benefit must provide you the opportunity to complete or challenge the accuracy of the information in the record.
- The officials must advise you that the procedures for obtaining a change, correction, or update of your criminal history record are set forth at Title 28, Code of Federal Regulations (CFR), Section 16.34.
- 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 criminal history record.³

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.⁴

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>.

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. 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 can find additional information on the FBI website at <https://www.fbi.gov/about-us/cjis/background-checks>.*

¹ Written notification includes electronic notification, but excludes oral notification

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

³ See 28 CFR 50.12(b)

⁴ See 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)