

## NOTIFICATION AND REQUEST FORM

This Form is to provide the Bureau of any notifications or requests for approval, as required under the regulations. The instructions provide more information on how to fill out this Form. Sections A through D are applicable to all licensees, unless indicated otherwise. Section E is applicable only to licensed testing laboratories. Notifications to the Bureau must be completed within the required timeframe, as set forth in regulations. Some changes or modifications to business practices cannot be completed without the required notification and/or prior approval from the Bureau, such as those in Section A. All required information and materials must be attached and submitted with the Form. Multiple boxes may be checked.

Licensee Name:	License Record Number:	License Expiration Date:
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### A. REQUESTS FOR APPROVAL

- Request to Add A or M Designation - 5023(f)
- Request to Add or Remove a Commercial Cannabis Activity (microbusiness only) - 5023(g)
- Physical Modification of Premises (requires fee) - 5027
- Inability to Comply Due to Disaster - Notification and Request - 5038(a)
- Change of List of Licensees and Employees Participating in Temporary Cannabis Event - 5601(i)
- Purchase of Former Licensee's Cannabis Goods - 5024.1

### B. REQUIRED NOTIFICATIONS

- Death, Incapacity, Receivership, Assignment of Creditors, or Other Event Rendering an Owner Incapable - 5024(a)
- Criminal Conviction of Any Owner - 5035(a)
- Civil Penalty or Judgment Against Licensee or Any Owner - 5035(b)
- Administrative Order or Civil Judgment for Violation of Labor Standards Against Licensee or Any Owner - 5035(c)
- Revocation of a Local License, Permit, or Other Authorization - 5035(d)
- Discovery of Significant Discrepancy in Inventory - 5036(a)(1)
- Discovery of Diversion, Theft, Loss, or Any Other Criminal Activity Pertaining to Operation of a License - 5036(a)(2) & 5036(a)(3)
- Discovery of Loss or Unauthorized Alteration of Records of Cannabis Goods, Customers, or Employees or Agents - 5036(a)(4)
- Discovery of Any Other Breach of Security - 5036(a)(5)
- Unable to Resolve Compliance Notification in Track and Trace Within Three Business Days - 5048(e)(2)
- Connectivity to Track and Trace is Lost - 5050(b)
- Discovery that Notice of Suspension or Notice of Revocation Has Been Removed or is Damaged and Illegible - 5811(e) & 5812(f)

### C. BUSINESS MODIFICATIONS AND OTHER CHANGES

- Licensed Premises is Abandoned, Quit, or Closed for a Period Exceeding 30 Consecutive Calendar Days - 5022(a)
- Labor Peace Agreement - 5023(b)
- Change in Ownership - 5023(c)
- Change in Financial Interest Holders - 5023(d)
- Change in Contact Information - 5023(e)(1)
- Change in Name or Legal Business Name - 5023(e)(2)
- Change in DBA or FBN - 5023(e)(3)
- Change to Financial Information - 5023(e)(4)
- Change in Bond - 5023(e)(5)
- Change or Lapse in Insurance for Distributor - 5023(e)(6)
- Movement of Cannabis Goods to Prevent Immediate Loss, Theft, or Degradation from Disaster - 5038(h)



## **BUREAU NOTIFICATION AND REQUEST FORM INSTRUCTIONS**

Pursuant to the provisions in the Bureau's regulations and the Medicinal and Adult-Use Cannabis Regulation and Safety Act (MAUCRSA), there are specific instances when licensees are required to notify the Bureau of changes to business operations. When completing the Bureau Notification and Request Form, please check the box next to item(s) that require Bureau notification or request and attach any other information required and relevant to the notification requirement(s). The general requirements for each notification or request item are listed below. Specific requirements can be found in the relevant code sections of the Bureau's regulations. All sections are in reference to the California Code of Regulations, title 16, division 42.

### **A. REQUESTS FOR APPROVAL**

#### **Request to Add A or M Designation - 5023(f)**

A licensee may request to add an A-designation or M-Designation to their license by sending a notification to the Bureau signed by at least one owner as defined in section 5003 of the Bureau's regulations. A licensee shall not operate under the requested designation until they have received approval from the Bureau. The Bureau will be required to obtain direct confirmation from the local jurisdiction for the additional designation prior to approval.

#### **Request to Add or Remove a Commercial Cannabis Activity - 5023(g)**

A microbusiness licensee may add or remove a commercial cannabis activity to their license if doing so is consistent with the requirement that licensees engage in at least three (3) commercial cannabis activities. The licensee will be required to submit all licensing requirements for the requested new activity.

A licensee shall request the modification by completing a physical modification of premises request pursuant to section 5027 of the Bureau's regulations. A licensee shall not engage in a new commercial cannabis activity until they have paid for the modification and received approval from the Bureau.

#### **Physical Modification of Premises – 5027**

A licensee shall not, without the prior written approval of the Bureau, make a physical change, alteration, or modification of the licensed premises that materially or substantially alters the licensed premises or the use of the licensed premises from the premises diagram originally filed with the license application. A licensee shall request approval of a physical change, alteration, or modification in writing, and the request shall include a new premises diagram, payment of a fee, and any additional documentation as requested by the Bureau.

#### **Inability to Comply Due to Disaster – Notification and Request - 5038(a)**

If a licensee is unable to comply with any licensing requirements due to a disaster, as provided in section 5038 of the Bureau's regulations, the licensee may notify the Bureau of this inability to comply and request relief from the specific licensing requirement. The Bureau may exercise its discretion to provide temporary relief from specific regulatory requirements.

#### **Change of List of Licensees and Employees Participating in Temporary Cannabis Event - 5601(i)**

If the list of licensees and employees participating in a temporary cannabis event changes after the application is submitted or after the license is issued, the temporary cannabis event applicant shall submit an updated list of all licensees and employees that will be providing onsite sales of cannabis goods at the temporary cannabis event and an updated diagram, to the Bureau no less than 72 hours before the event.

### **Purchase of Former Licensee's Cannabis Goods Inventory - 5204.1**

A licensed distributor or licensed microbusiness authorized to engage in distribution may be authorized to purchase and distribute a former's licensee's entire inventory stock, upon meeting certain requirements, including requesting approval from the Bureau, within 14 calendar days of the termination of the former licensee's license.

## **B. REQUIRED NOTIFICATIONS**

### **Death, Incapacity, or Other Event Rendering an Owner Incapable - 5024(a)**

In the event of the death, incapacity, receivership, assignment for the benefit of creditors or other event rendering one or more owners' incapable of performing the duties associated with the license, the owner or owners' successor in interest (e.g., appointed guardian, executor, administrator, receiver, trustee, or assignee) shall notify the Bureau in writing, within 14 calendar days.

To continue operations or cancel the existing license, the successor in interest shall submit to the Bureau the following:

- (1) The name of the successor in interest.
- (2) The name of the owner(s) for which the successor in interest is succeeding and the license number;
- (3) The phone number, mailing address, and email address of the successor in interest; and
- (4) Documentation demonstrating that the owner(s) is incapable of performing the duties associated with the license such as a death certificate, or a court order, and documentation demonstrating that the person making the request is the owner or owners' successor in interest such as a court order appointing guardianship, receivership, or a will or trust agreement.

### **Criminal Conviction of Any Owner - 5035(a)**

A licensee shall ensure that the Bureau is notified in writing of a criminal conviction of any owner, either by mail or electronic mail, within 48 hours of the conviction. The written notification to the Bureau shall include the date of conviction, the court docket number, the name of the court in which the owner was convicted, and the specific offense(s) for which the owner was convicted.

### **Civil Penalty or Judgment Against Licensee or Any Owner - 5035(b)**

A licensee shall ensure that the Bureau is notified in writing of a civil penalty or judgment rendered against the licensee or any owner in their individual capacity, either by mail or electronic mail, within 48 hours of delivery of the verdict or entry of judgment, whichever is sooner. The written notification shall include the date of verdict or entry of judgment, the court docket number, the name of the court in which the matter was adjudicated, and a description of the civil penalty or judgment rendered against the licensee.

### **Administrative Order or Civil Judgment for Violation of Labor Standards - 5035(c)**

A licensee shall ensure that the Bureau is notified in writing of an administrative order or civil judgement for violations of labor standards against the licensee or any owner in their individual capacity, either by mail or electronic mail, within 48 hours of delivery of the order. The written notification shall include the date of the order, the name of the agency issuing the order, and a description of the administrative penalty or judgement rendered against the licensee or owner.

**Revocation of a Local License, Permit, or Other Authorization - 5035(d)**

A licensee shall ensure that the Bureau is notified in writing of the revocation of a local license, permit, or other authorization, either by mail or electronic mail within 48 hours of receiving notice of the revocation. The written notification shall include the name of the local agency involved, a written explanation of the proceeding or enforcement action, and the specific violation(s) that led to revocation.

**Discovery of Significant Discrepancy in Inventory - 5036(a)(1)**

A licensee shall notify the Bureau and local law enforcement within 24 hours of discovery of a significant discrepancy, as defined in section 5034 of the Bureau's regulations. The notification shall be in writing and include the date and time of occurrence of the theft, loss, or criminal activity, the name of the local law enforcement agency that was notified, and a description of the incident including, where applicable, the item(s) that were taken or lost.

**Discovery of Diversion, Theft, Loss, or Any Other Criminal Activity - 5036(a)(2) & 5036(a)(3)**

A licensee shall notify the Bureau and local law enforcement within 24 hours of discovery of diversion, theft, loss, or any other criminal activity pertaining to the operations of the licensee. A licensee shall also notify the Bureau and local law enforcement within 24 hours of discovery of diversion, theft, loss, or any other criminal activity by an agent or employee of the licensee pertaining to the operations of the licensee.

The notification shall be in writing and include the date and time of occurrence of the theft, loss, or criminal activity, the name of the local law enforcement agency that was notified, and a description of the incident including, where applicable, the item(s) that were taken or lost.

**Discovery of Loss or Unauthorized Alteration of Records - 5036(a)(4)**

A licensee shall notify the Bureau and local law enforcement within 24 hours of discovery of loss or unauthorized alteration of records related to cannabis goods, customers, or the licensee's employees or agents. The notification shall be in writing and include the date and time of occurrence of the theft, loss, or criminal activity, the name of the local law enforcement agency that was notified, and a description of the incident including, where applicable, the item(s) that were taken or lost.

**Discovery of Any Other Breach of Security - 5036(a)(5)**

A licensee shall notify the Bureau and local law enforcement within 24 hours of discovery of any other breach of security. The notification shall be in writing and include the date and time of occurrence of the theft, loss, or criminal activity, the name of the local law enforcement agency that was notified, and a description of the incident including, where applicable, the item(s) that were taken or lost.

**Inability to Resolve Compliance Notification in Track and Trace Within 3 Business Days - 5048(e)(2)**

A licensee shall monitor all compliance notifications from the track and trace system, and timely resolve the issues detailed in the compliance notification. If a licensee is unable to resolve a compliance notification within three business days of receiving the notification, the licensee shall notify the Bureau immediately.

**Connectivity to Track and Trace is Lost - 5050(b)**

A licensee shall notify the Bureau immediately of any loss of connectivity to the track and trace system.

**Notice of Suspension or Revocation Has Been Removed or is Damaged and Illegible - 5811(e) & 5812(f)**

A licensee whose license has been suspended shall notify the Bureau within 24 hours of discovering that the notice required under section 5811(b) of the Bureau's regulations has been removed or damaged to an extent that makes the notice illegible.

A person whose license has been revoked shall notify the Bureau within 24 hours of discovering that the notice required under section 5812(b) of the Bureau's regulations has been removed or damaged to an extent that makes the notice illegible.

**C. BUSINESS MODIFICATIONS AND OTHER CHANGES**

**Licensed Premises is Abandoned, Quit, or Closed for a Period Exceeding 30 Consecutive Calendar Days - 5022(a)**

A licensee who abandons, quits or who closes their licensed premises for a period exceeding 30 consecutive calendar days, shall request in writing that the Bureau cancel the license, within 14 calendar days after closing, quitting, or abandoning the licensed premises. The Bureau may revoke the license of a licensee who fails to comply. Upon cancellation or revocation of the license, the licensee shall not display and shall destroy the license certificate.

If a licensee must close the licensed premises for a period exceeding 30 consecutive calendar days to make renovations or repairs, the Bureau may allow the licensee to retain the license if the licensee complies with the requirements in section 5027 of the Bureau's regulations (see Material or Substantial Changes, Alterations, or Modifications of Premises – 5027).

**Labor Peace Agreement - 5023(b)**

If at the time of licensure, a licensee employed less than 20 employees and later employs 20 or more employees, the licensee shall provide to the Bureau a document attesting that the licensee has entered into a labor peace agreement and will abide by the terms of the agreement, as soon as reasonably practicable once employing 20 or more employees. Once the licensee has entered into the labor peace agreement, the licensee shall provide the Bureau with a copy of the labor peace agreement signature page(s).

**Change in Ownership - 5023(c)**

If one or more of the owners of a license change, a new license application and fee shall be submitted to the Bureau within 14 calendar days of the effective date of the ownership change. The business may continue to operate under the active license while the Bureau reviews the application if at least one owner is not transferring ownership interest and will remain as an owner under the new license and ownership structure. If all owners will be transferring their ownership interest, the business shall not operate under the new ownership structure until the new license application has been approved by the Bureau.

A change in ownership occurs when a new person meets the definition of owner in section 5003 of the Bureau's regulations. A change in ownership does not occur when one or more owners leave the business by transferring their ownership interest to the other existing owner(s). In cases where one or more owners leave the business by transferring their ownership interest to the other existing owner(s), the owner or owners that are transferring their interest shall provide a signed statement to the Bureau confirming that they have transferred their interest.

**Change in Financial Interest Holders - 5023(d)**

When there is a change in persons with financial interest(s) in the commercial cannabis business that do not meet the requirements for a new license application, the licensee shall submit the information required by section 5004 to the Bureau within 14 calendar days of the change. This information includes the name, birthdate, and government-issued identification type and number for all new individuals who have a financial interest in a commercial cannabis business, as defined in section 5004. If an individual who was previously listed as a financial interest holder no longer has a financial interest, provide the first and last name of the individual and indicate that this individual no longer has a financial interest.

**Change in Contact Information - 5023(e)(1)**

If there is any change to any contact information from the information provided to the Bureau in the original application or subsequent notification, the licensee shall provide the Bureau with the new contact information within 14 calendar days of the change.

**Change in Name or Legal Business Name - 5023(e)(2)**

If the licensee is an individual, the licensee shall notify the Bureau within 14 calendar days of any change to their name. If a licensee is a business entity, the licensee shall notify the Bureau within 14 calendar days of any change to the legal business name.

**Change in DBA or FBN - 5023(e)(3)**

If there is any change in business trade name (DBA) or fictitious business name (FBN), the licensee shall notify and provide the Bureau with the new information for the business trade name and/or fictitious business name within 14 calendar days.

**Change to Financial Information - 5023(e)(4)**

If there is any change to financial information including funds, loans, investments, and gifts, required to be reported in the original application under section 5002(c)(18) of the Bureau's regulations, the licensee shall notify and provide the Bureau with the new financial information within 14 calendar days.

**Change in Bond - 5023(e)(5)**

If there is any change to the surety bond required to be submitted to the Bureau in the original application under section 5008 of the Bureau's regulations, the licensee shall notify the and provide the Bureau with a copy of the new or changed surety bond within 14 calendar days.

**Change or Lapse in Insurance - 5023(e)(6)**

If there is any change or lapse in insurance coverage required for a licensed distributor under section 5308 of the Bureau's regulations, the licensee shall notify and provide the Bureau with the new insurance information within 14 calendar days.

**Movement of Cannabis Goods to Prevent Immediate Loss, Theft, or Degradation from Disaster - 5038(h)**

If a licensee needs to move cannabis goods stored on the licensed premises to another location immediately to prevent loss, theft, or degradation of the cannabis goods from the disaster, as provided in section 5038 of the Bureau's regulations, the licensee may move the cannabis goods without obtaining prior approval if:

- (1) The cannabis goods are moved to a secure location where access to the cannabis goods can be restricted;
- (2) The licensee notifies the Bureau in writing that the cannabis goods have been moved and that the licensee is requesting relief from complying with specific licensing requirements within 24 hours of moving the cannabis goods;
- (3) The licensee agrees to grant the Bureau access to the location where the cannabis goods have been moved to for inspection; and
- (4) The licensee submits in writing to the Bureau within 14 calendar days of moving the cannabis goods a request for temporary relief that clearly indicates what statutory and regulatory sections relief is requested from, the time period for which the relief is requested, and the reasons relief is needed for the time specified.

#### **D. CHANGES TO VEHICLE INFORMATION**

##### **Use of New Vehicle or Trailer by a Distributor for Transportation - 5312(b)**

A licensed distributor shall provide the Bureau with the required vehicle information in writing for any new vehicle or trailer that will be used to transport cannabis goods prior to using the vehicle or trailer to transport cannabis goods. Required vehicle information includes: (1) Proof that the licensed distributor is the registered owner under the Vehicle Code for each vehicle and trailer used to transport cannabis goods; (2) The year, make, model, license plate number, and numerical Vehicle Identification Number (VIN) for each vehicle and trailer used to transport cannabis goods; and (3) Proof of insurance for each vehicle and trailer used to transport cannabis goods.

##### **Change to Distributor Vehicle or Trailer Information Used for Transportation - 5312(c)**

A licensed distributor shall provide the Bureau with any changes to the required vehicle information in writing within 30 calendar days. Required vehicle information includes: (1) Proof that the licensed distributor is the registered owner under the Vehicle Code for each vehicle and trailer used to transport cannabis goods; (2) The year, make, model, license plate number, and numerical Vehicle Identification Number (VIN) for each vehicle and trailer used to transport cannabis goods; and (3) Proof of insurance for each vehicle and trailer used to transport cannabis goods.

##### **Use of New Vehicle or Trailer by a Laboratory for Transportation of Samples - 5709(c)**

A licensed laboratory shall provide the Bureau with the required vehicle information in writing for any new vehicle or trailer that will be used to transport cannabis goods samples prior to using the vehicle or trailer. Required vehicle information includes: (1) Proof that the laboratory is the registered owner under the Vehicle Code for each vehicle and trailer used to transport cannabis goods samples; (2) The year, make, model, license plate number, and numerical Vehicle Identification Number (VIN) for each vehicle and trailer used to transport cannabis goods samples; and (3) Proof of insurance for each vehicle used to transport cannabis goods samples.

##### **Change to Laboratory Vehicle or Trailer Information Used for Transportation of Samples - 5709(d)**

A licensed laboratory shall provide the Bureau with any changes to the required vehicle information in writing within 30 calendar days. Required vehicle information includes: (1) Proof that the laboratory is the registered owner under the Vehicle Code for each vehicle and trailer used to transport cannabis goods samples; (2) The year, make, model, license plate number, and numerical Vehicle Identification Number (VIN) for each vehicle and trailer used to transport cannabis goods samples; and (3) Proof of insurance for each vehicle used to

transport cannabis goods samples.

## **E. REQUIRED NOTIFICATIONS FOR TESTING LABORATORIES**

### **Application for Each ISO/IEC 17025 Accreditation is Granted or Denied - 5703(i)**

A testing laboratory licensee with a provisional testing laboratory license pursuant to section 5703 of the Bureau's regulations shall notify the Bureau if the application for each ISO/IEC 17025 accreditation is granted or denied within 5 business days of receiving the decision from the accrediting body.

### **Use of New or Altered Test Methods by Testing Laboratory - 5713(d)(8)**

Testing Laboratories are required to generate a validation report for each test method pursuant to the requirements in section 5713 of the Bureau's regulations. If a testing laboratory uses a new or altered test method, the testing laboratory shall submit the new validation report to the Bureau within 5 business days.

### **Notification of Receipt of Proficiency Testing Results (if not concurrently sent) - 5733(h)**

Pursuant to section 5733 of the Bureau's regulations, a testing laboratory is required to participate in a proficiency testing program provided by an organization that operates in conformance with the requirements of ISO/IEC 17043.

The laboratory shall request the proficiency testing program provider to send results concurrently to the Bureau, if available, or the laboratory shall provide the PT program results to the Bureau within 3 business days after the laboratory receives notification of their test results from the proficiency testing program provider.

### **Completion of Internal Audit by Testing Laboratory - 5735(c)**

Pursuant to section 5735 of the Bureau's regulations, a testing laboratory is required to conduct an internal audit at least once per year, or in accordance with the ISO/IEC 17025 accrediting body's requirement, whichever is more frequent. The testing laboratory shall submit the results of the internal audit to the Bureau within 3 business days of completing the internal audit.