



OFFICE OF CANNABIS POLICY

DEPARTMENT OF ADMINISTRATIVE AND FINANCIAL SERVICES

Maine Adult Use Cannabis Program Disclosure of Non-Owner Financial Interest Form

This Disclosure of Non-Owner Financial Interests Form shall be completed by Maine Adult Use of Cannabis Program applicants and licensees to disclose each direct and indirect financial interests as required by 28-B M.R.S. § 202 and the Adult Use Cannabis Program Rule, 18-691 C.M.R. §§ 2.3.1, 2.3.2 and 3.1.3 that are not direct equity owners of the licensee.

Direct or Indirect Financial Interest means any interest in a sole proprietor or business entity that is applying for or holds a cannabis establishment license, including without limitation equity owners, other equity ownership, and non-owner interests as further defined in the Rule. Equity owners and Employee Stock Ownership Programs are disclosed on the application for licensure, and changes to equity ownership must be pre-approved using the Application for Transfer of Ownership Interests on the Department’s online portal. If an equity owner is a business entity, the ownership interests that business entity, are financial interests of the licensee and must be disclosed on this form.

License Information	
Legal Name of License Holder:	License #:
Financial Interest Holder	
Legal Name of Financial Interest Holder:	
Title of Document Creating Financial Interest:	
<ul style="list-style-type: none"> This document must be submitted with this form. 	
If the financial interest holder above is a business entity, name all business entities and natural persons who have an aggregate ownership interest in that financial interest holder of 5% or more.	
Legal Name of Owner	Percentage of Ownership
	%
	%
	%
	%
	%
If the total percentage of ownership does not equal 100%, do you affirm the remaining is owned by business entities or natural persons who have less than 5% ownership in the financial interest holder?	<input type="checkbox"/> Yes <input type="checkbox"/> No
The owners listed above are deemed to have an indirect financial interest in the licensee. As such, for each business entity listed, please provide a secretary’s certificate, stock ledger, or similar document that names all business entities and natural persons that have an ownership interest in the above listed business(es). If one of those ownership interests is also a business entity, please continue to provide a secretary’s certificate, stock ledger or similar document that names all business entities and natural persons that have an ownership interest in the business entity until there are no business entities or natural persons that hold less than 5% aggregate ownership interest in the initial financial interest holder being disclosed on this form.	
Signature of Applicant / Licensee	
Any information contained within this form, including attachments, or otherwise found, obtained, or maintained by OCP, shall be accessible to law enforcement agents of this or any other state, the government of the United States, or any foreign country.	
Authorizing Business Representative’s Signature:	Date: