



# How to Produce Spirits the Legal Way: Distilled Spirits Plant Applications

Presented by  
Joan Carpenter,  
National Revenue Center



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## Overview

- What is a Distilled Spirits Plant (DSP)?
- Things to Consider Before you Apply
- Regulations Governing DSP Activities
- Required Forms and Documents
- Review of Forms

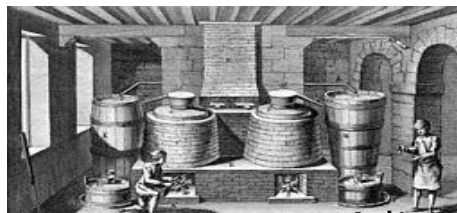
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# What is a Distilled Spirits Plant?



## Distilled Spirits Plant

- An establishment where distilled spirits are manufactured, aged, or stored, packaged or bottled and sold or marketed, for beverage (non-industrial) or industrial use.



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## DSP (Cont'd)

- A DSP cannot be located in a dwelling house or in any shed, yard, or enclosure connected with a dwelling house.  
(27 CFR 19.131)

Things to Consider Before  
You Apply



## Did You Know?

- Building Construction
  - Must be adequate and secure to protect the revenue
- Right of Entry
  - TTB has Right of Entry onto DSP premises
- Facilities & Assistance
  - You must supply this to TTB Officers

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## How About Your Cash Flow?

- Is it sufficient for operations?
  - To buy raw materials
  - Meet your payroll
  - Meet fixed expenses
  - Timely file returns and pay taxes
  - Pay premiums on DSP bond
- If bond coverage **CANCELLED**:
  - = CAN'T OPERATE / DOORS CLOSE!
  - = EXCISE TAX IMMEDIATELY PAYABLE!

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## Consider This...

- Product Standards of Identity
  - Regulated
- Formula Approval Required
  - Required if products vary from standards
- Label Approval
  - Required
- Bottle Sizes
  - Standardized
- Case/Packaging Marking
  - Regulated

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## Paperwork

- Keep Daily Records of operations (as authorized by your permit):
  - Production Account
  - Storage Account
  - Processing Account

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## Gauging 27 CFR 19.91

- You have to gauge spirits when:
  - Received and/or produced
  - Transferred between accounts
  - Mixing spirits and/or reducing proof
  - Returned to bond
  - Destroyed
- Equipment must be certified to be accurately calibrated

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## More Paperwork

- Monthly Reports filed (as qualified)
  - Monthly Report of Production
  - Monthly Report of Storage (four versions)
  - Monthly Report of Processing
  - Monthly Report of Processing (Denaturing)

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## Tax Returns

- Excise Tax Returns
  - Semi-monthly or Quarterly
  - Filed every tax period, even if no tax due
- Special Tax Registration and Return
  - Must file as an Annual Registration
  - No Special Tax due for DSPs

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## Regulations Covering DSPs

- Code of Federal Regulations
- Federal Alcohol Administration Act (FAA Act)
- See the “Research Resources” box on the [www.TTB.gov](http://www.TTB.gov) homepage



Revenue Protection

Industry Compliance

Consumer Protection

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- **Part 1** – Basic Permit Requirements
- **Part 5** – Labeling and Advertising
- **Part 19** – Distilled Spirits Plants
- **Part 26** – Liquors and Articles from Puerto Rico and Virgin Islands
- **Part 27** – Importation of Spirits, Wine and Beer
- **Part 28** – Exportation of Liquors
- **Part 30** – Gauging Manual

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# Required Forms and Documents



## Beverage DSP Application Forms

- **Application for an FAA Basic Permit – TTB F 5100.24**
- **Registration – TTB F 5110.41**
- **Signing Authority – TTB F 5000.8 or TTB F 5100.1**
- **Distilled Spirits Bond – TTB F 5110.56**
- **Environmental Information – TTB Form 5000.29**
- **Water Quality Considerations – TTB Form 5000.30**
- **Application for Transfer of Spirits – TTB F 5100.16**
- **Personnel Questionnaires – TTB F 5000.9**
- **Organizational Documents**
- **State Registration**

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DEPARTMENT OF THE TREASURY ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB) REGISTRATION OF DISTILLED SPIRITS PLANT <i>(Prepare in duplicate. See instructions below.)</i>		OMB No. 1513-0048 (6/30/2009)
PART I - APPLICATION		1. SERIAL NUMBER (Assign with "1" for original registration)
3. TO: DIRECTOR, NATIONAL REVENUE CENTER, ALCOHOL AND TOBACCO TAX AND TRADE BUREAU	4. DATE	2. EIN
6. NAME AND PRINCIPAL BUSINESS ADDRESS OF APPLICANT <i>(Name and street, city, county, State, and ZIP code. If rural address show county, name or number of highway, approximate distance and direction from applicant's post office, and ZIP code.)</i>	7. PLANT ADDRESS <i>(If different from address in item 5)</i>	5. PLANT NUMBER
8. OPERATIONS TO BE CONDUCTED <i>(Check applicable boxes)</i>		
<input type="checkbox"/> DISTILLER <input type="checkbox"/> WAREHOUSEMAN <input type="checkbox"/> PROCESSOR WHO <input type="checkbox"/> DENATURES <input type="checkbox"/> BOTTLES <input type="checkbox"/> MANUFACTURES ARTICLES		
9. PURPOSE FOR WHICH FILED <i>(Such as original registration, extension of premises, changes in equipment, etc. Give brief description of changes)</i>		
10. This application includes: (1) this form; (2) the papers and documents (including revisions) which are being submitted for the first time, and which are listed in items 9A and 9B; (3) the current papers and documents of the latest approved Form TTB F 5110.41, Serial No. _____, which are listed in items 9A-1 and 9B-1; and (4) the supporting organizational documents filed in connection with another establishment but incorporated in this application by reference, and listed below in item 9C.		
10A. PAGES ATTACHED TO THIS FORM	10A-1. PAGES FROM CURRENT APPROVED FORM TTB F 5110.41	
10B. ORGANIZATIONAL DOCUMENTS ATTACHED TO THIS FORM <i>(List each document)</i>	10B-1. ORGANIZATIONAL DOCUMENTS FILED WITH PRIOR APPROVED FORM TTB F 5110.41 <i>(List each document)</i>	
10C. ORGANIZATIONAL DOCUMENTS FILED IN CONNECTION WITH ANOTHER ESTABLISHMENT BUT INCORPORATED IN THIS APPLICATION BY REFERENCE. <i>(List each document, and show the name or plant number under which filed)</i>		
Under penalties of perjury, I declare that I have examined this application, including accompanying documents, statement of security, and those documents incorporated in the application by reference, and to the best of my knowledge and belief it is true, correct, and complete.		
11. SIGNATURE	12. TITLE	
PART II - NOTICE OF REGISTRATION		
Registration is approved, effective _____		
SIGNATURE AND TITLE OF TTB OFFICIAL, ALCOHOL AND TOBACCO TAX AND TRADE BUREAU		DATE
TTB F 5110.41 (07/2007)		

GENERAL INSTRUCTION	
1. Application for registration (or amended registration) of a distilled spirits plant must be submitted on this form, in duplicate, to the Director, National Revenue Center, 550 Main St., Ste 8002, Cincinnati, OH 45202-5215. The application when approved constitutes the notice of registration required by law (26 U.S.C. 5111(c)) to be held before the operations of distiller, warehouseman, processor, or any combination thereof, may be commenced or continued.	to bring the notice of registration up to date. Replacement pages must be furnished to correspond to the pages being replaced.
2. The proprietor is responsible for keeping information in his/her notice of registration current and complete. When a change affects the notice, the proprietor must, as required by 27 CFR Part 19, submit an application for amended registration, together with supplemental or replacement pages, or documents necessary	3. For a partnership, the application must be signed by all partners, or by a partner authorized to sign on behalf of the firm, or by an authorized attorney. For a corporation, the application must be executed in the corporate name, followed by the signature and title of the person authorized to act for the corporation.
	4. A current notice of registration must be maintained at the plant by the proprietor.
PAPERS AND DOCUMENTS TO BE SUBMITTED WITH APPLICATION	
1. Applicants are required to furnish, in duplicate, as prescribed in 27 CFR Part 19, the following information on consecutively numbered, dated, looseleaf pages assembled under this form:	g. Statement of physical security measures employed (see 27 CFR 19.153)
a. List of applicant's operating and basic permits and the operations, withdrawal, oil and bonds, and the penal sums thereof (including those filed with this application), with the name of the surety or sureties. Note—If the bond(s) is in an amount less than the maximum penal sum, applicants must include a statement of the maximum number of proof gallons which will be stored on, and in transit to such bonded premises during any 15 day period.	h. As applicable, the following: (1) For the operations of a distiller: (a) Statement of daily producing capacity; (b) Statement of production procedure; (2) For the operations of a warehouseman: (a) Description of the storage operation; (3) For the operations of a processor: (a) Statement whether bottling operations will be conducted; (b) Statement whether denaturing operations will be conducted; (c) Statement whether articles will be manufactured; (d) Statement whether spirits will be redistilled; (e) Description of the system for storage of spirits products bottled and cased or otherwise packaged or placed in approved containers for removal from bonded premises.
b. List of the offices whose incumbents are authorized by the articles of incorporation or the board of directors to act on behalf of the proprietor, or to sign his name.	(4) For any other business to be conducted on the plant premises, a description of the business, a list of the buildings and equipment to be used, and a statement of the relationship, if any, of the business to distilled spirits operations at the plant.
c. A statement of the type of business organization and of the persons interested in the business, supported by the corporate documents, articles of partnership, and statement of interest in the business, as required by 27 CFR Part 19. (Where any statement or document required by this paragraph is on file with the Director, NRC, it may, by reference thereto by the applicant, be made a part of the registration application.)	2. Applicants, when instructed by the Director, NRC are required to furnish as part of the registration application such additional information as may be necessary for the Director, NRC to determine whether the application should be approved.
d. Description of the distilled spirits plant.	
e. List of major equipment.	
f. A certified statement that relevant and material accounting records will be in accordance with generally accepted accounting principles which enable the proprietor to file a correct distilled spirits tax return and to determine whether he/she is liable for distilled spirits taxes.	
PRIVACY ACT INFORMATION	
The following information is provided pursuant to Section 3 of the Privacy Act of 1974 (5 U.S.C. 552a(e)(3)):	
1. AUTHORITY. Solicitation of this information is made pursuant to 26 U.S.C. 51172. Disclosure of this information by the applicant is mandatory if the applicant wishes to register his distilled spirits plant.	
2. PURPOSE. To identify the applicant, to identify the nature, location, and extent of the premises, and the specific type or types of operations to be conducted on the premises, and to determine the eligibility of the applicant to register the plant.	
3. ROUTINE USES. The information will be used by TTB to make determinations set forth in paragraph 2. In addition, the information may be disclosed to other Federal, State, foreign, and local law enforcement and regulatory agency personnel to verify information on the form where such disclosure is not prohibited by law. The information may further be disclosed to the Justice Department if it appears that the furnishing of false information may constitute a violation of Federal law. Finally, the information may be disclosed to members of the public in order to verify the information on the form where such disclosure is not prohibited by law.	
4. EFFECTS OF NOT SUPPLYING REQUESTED INFORMATION. Failure to supply complete information will delay processing and may result in the denial of the application.	
PAPERWORK REDUCTION ACT NOTICE	
This request is in accordance with the Paperwork Reduction Act of 1995. The information collection is used to determine the eligibility of the applicant to engage in certain operations, to determine location and extent of operations, and to determine whether the operations will be in conformity with Federal laws and regulations. The information requested is required to obtain or retain a benefit and is mandatory by statute (26 U.S.C. 5172).	
The estimated average burden associated with this collection of information is 2 hours per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to the Reports Management Officer, Regulations and Rulings Division, Alcohol and Tobacco Tax and Trade Bureau, Washington, D.C. 20220.	
An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a current, valid OMB control number.	
TTB F 5110.41 (07/2007)	

**REGISTRATION OF DISTILLED SPIRITS PLANT**  
**SUPPLEMENTAL INFORMATION REQUIRED**  
**(To be attached to TTBF 5110.41)**  
**with**  
**Each Page Sequentially Numbered & Dated,**  
**with S/N of Registration**

1(a) – List of Applicants Permits Name of Surety Co Type of Bond & Penal Sum Statement of Maximum P.G.'s produced, stored on or in transit to bonded premises	19.152(e)    19.152(i)
1(b) – List of offices authorized by Art. of Incorporation or action of board of directors to granting authority to act for & sign for the entity.	19.152(f)
1(c) – Statement re type of business, persons interested.	19.152(c) & <u>19.167</u>
1(d) – Description of DSP	19.152(g) & <u>19.168</u>
1(e) – List of Equipment	19.152(h) & <u>19.166</u>
1(f) – Cert. Statement of Acct. Records	19.152(j)
1(g) – Statement of Physical Security Statement of Locks	19.152(k) & 19.153 19.153(4) & <u>19.281</u>
1(h)(L)-(1) Statement of Operations of Distiller (a) daily producing capacity (b) production procedure	19.152(L)(i) 19.152(L)(ii) & <u>19.170</u>
(2) Statement of Operations of Warehouseman (a) Description of BULK STORAGE in wine gallons	19.152(I)(2) 19.152(2)(i)-(ii)
(3) Statement of Operations of a Processor (a) bottling operations will/will not be conducted. (b) denaturing will/will not be conducted (c) articles will/will not be manufactured (d) spirits will/will not be redistilled (e) description of storage of bottled/packaged spirits	19.152(3)(i)-(v) (i) (ii) (iii) (iv) (v)
(4) Description of Other Business	19.152(L)(4)

OMB No. 1513-0014 (10/31/09)

**DEPARTMENT OF THE TREASURY**  
**ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB)**  
**POWER OF ATTORNEY**  
*(Please read instructions before completing this form)*

1. PRINCIPAL (Name of Partnership, Corporation, Association, Estate, or Individual) \_\_\_\_\_

2. BUSINESS IN WHICH ENGAGED \_\_\_\_\_

3. ADDRESS (Number, Street, City, State, ZIP Code), TELEPHONE NUMBER, AND E-MAIL ADDRESS \_\_\_\_\_

4. TAXPAYER IDENTIFICATION NUMBER (Employer Identification Number or Social Security Number) \_\_\_\_\_

5. PERMIT NUMBER / REGISTRY NUMBER (If applicable) \_\_\_\_\_

6. NAME AND TELEPHONE NUMBER OF APPOINTED ATTORNEY \_\_\_\_\_

7. ADDRESS (Number, Street, City, State, and ZIP Code) \_\_\_\_\_

8. The above named principal, engaged in the business shown, has appointed the above named attorney to: *(See instruction 2)*

(a) Execute for him/her all applications, notices, bonds, tax returns, tax information disclosure authorizations, and other instruments, claims, offers in compromise, letters, writings, and papers, and to act for him/her in dealing with the Alcohol and Tobacco Tax and Trade Bureau (TTB) in connection with matters relating to the laws and regulations administered by it. The principal authorizes the attorney named above to receive on his/her behalf any and all notices, papers, and letters from the Alcohol and Tobacco Tax and Trade Bureau in connection with all such matters, and grants him/her full power and authority to do all that is essential in and about the premises, as duly as the principal could do if personally present, with full power of substitution and revocation. The principal hereby ratifies and confirms all that the attorney must lawfully do or cause to be by virtue of this appointment.

(b) \_\_\_\_\_

9. The power is to apply to the following: *(If authority is restricted to a particular factory, plant, premises, etc., give name as: Distilled Spirits Plant, Tobacco Products Factory, Tobacco Export Warehouse, etc., and address and registry number, or, if a Wholesale Liquor Dealer, SDA, or Tax-Free Alcohol User, or if this Power of Attorney may be used for manufacturing or importing firearms or ammunition, etc., give permit number.)*

10. SIGNATURE OF APPOINTED ATTORNEY \_\_\_\_\_

**EXECUTION (See instruction 3)**

11. SIGNATURE IF PRINCIPAL IS INDIVIDUAL (Signature of Principal)	DATE
_____	_____

12. SIGNATURE IF PRINCIPAL IS PARTNERSHIP, LIMITED LIABILITY PARTNERSHIP (LLP), ESTATE, CORPORATION, LIMITED LIABILITY COMPANY (LLC), OR ASSOCIATION. Under penalties of perjury, I declare that I have the authority to execute this power of attorney on behalf of the principal.	13. Seal of Corporation, Association, or LLC (A corporation, association or LLC will impress their seal below if they have one. If there is no seal, provide a resolution by the board of directors or organizational supporting documents that support your company not having a seal, if applicable)
Signature _____ Title _____ Date _____	_____
Signature _____ Title _____ Date _____	
Signature _____ Title _____ Date _____	
Signature _____ Title _____ Date _____	

TTBF 50003 (11/2006) Page 1 of 2

14. ACKNOWLEDGMENT, WITNESSING, OR DECLARATION (Complete 14a, 14b, or 14c)			
<b>14a. ACKNOWLEDGMENT</b> The above-named person(s) signing as or for the principal(s) appeared before me today and acknowledged this power of attorney as his/her/their voluntary act and deed. The notarial seal must be affixed unless a seal is not required under the laws of the state where the power of attorney is executed.		<b>14b. WITNESSING</b> This power of attorney was signed by or for the principal(s) by a person or persons known to, and in the presence of, the two disinterested witnesses whose signatures appear below:	
NOTARIAL SEAL <i>(If required)</i>	Signature of Notary or Other Officer Date Title	Signature of Witness Date Signature of Witness Date	Date Date
<b>14c. DECLARATION</b> by attorney, certified public accountant, or enrolled practitioner who is granted the power of attorney by this form.			
I declare that I am aware of the regulations of 31 CFR Part 8, that I am not currently under suspension or disbarment from practice before the Alcohol and Tobacco Tax and Trade Bureau, and that I am currently. <i>(Check applicable box)</i>			
<input type="checkbox"/> A member in good standing of the bar of the highest court of _____			
<input type="checkbox"/> Qualified to practice as a certified public accountant in _____			
			Printed Name
			Signature
*Insert Name of State, Possession, or District of Columbia			
<b>FOR TTB USE ONLY</b>			
DATE RECEIVED FOR FILING	DISTRICT	RECEIVED BY: <i>(Signature and Title)</i>	
DATE RECEIVED FOR FILING	TTB OFFICE	RECEIVED BY: <i>(Signature and Title)</i>	
<b>INSTRUCTIONS</b>			
<b>1. GENERAL.</b> This form is filed with each TTB office in which the appointed attorney is to represent the principal.		The additional copies will be filed in the same manner as when the power of attorney relates to only one establishment or business. Copies reproduced by photographic process need not be certified as copies of the original.	
<b>2. ITEM 8.</b> A full power of attorney is granted by paragraph 8(a). The power of attorney may be limited or restricted by deleting all of paragraph 8(a) and listing the specific powers to be conferred in section 8(b).		<b>5. ORIGINAL OF A RULING.</b> The Alcohol and Tobacco Tax and Trade Bureau will give to an appointed attorney the original of a ruling concerning the principal about TTB matters if a statement is made to that effect in item 8(b).	
<b>3. EXECUTION.</b> This form must be signed by or on behalf of the principal(s) as follows:		<b>6. REVOCATION.</b> A power of attorney remains in effect until revoked by the principal in written notice to the Director, National Revenue Center.	
(a) INDIVIDUAL, by his or her completion of item 11.		<b>7. RULES.</b> All persons representing clients before the Alcohol and Tobacco Tax and Trade Bureau must comply with the regulations governing representation <i>(26 CFR Part 601 or those regulations as recodified in 27 CFR Part 71)</i> and any other applicable rules and statutes.	
(b) PARTNERSHIP, LIMITED LIABILITY PARTNERSHIP (LLP) by completion of item 12 by all partners, or one partner who attaches his/her authorization to act on behalf of all the partners unless this authorization is provided by State law.		<b>PAPERWORK REDUCTION ACT NOTICE</b>	
(c) CORPORATION or ASSOCIATION by completion of items 12 and 13, an officer, preferably the president, vice-president, or treasurer, must sign in item 12.		This request is in accordance with the Paperwork Reduction Act of 1995. The information collection is used by TTB to ensure that only duly authorized individuals are signing documents. The information is voluntary.	
(d) ESTATE by completion of item 12 by the executor or administrator and attaching other such documents as may be required by TTB.		The estimated average burden associated with this collection of information is 20 minutes per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to the Reports Management Officer, Regulations and Rulings Division, Alcohol and Tobacco Tax and Trade Bureau, Washington, DC 20220.	
(e) LIMITED LIABILITY COMPANY (LLC) by completion of item 12 by all members or managers, or one member or manager who attaches his/her authorization to act on behalf of the LLC.		An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a current, valid OMB control number.	
<b>4. FILING.</b> This form must be completed in duplicate, unless otherwise required, and submitted to the Director, National Revenue Center, 550 Main St., Ste. 8002, Cincinnati, OH 45202-5215. The original with any attachments will be retained by the Director, National Revenue Center, and all other copies will be returned to the principal. If the power of attorney is applicable to more than one business establishment, additional copies must be submitted for each.			

DEPARTMENT OF THE TREASURY ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB) SIGNING AUTHORITY FOR CORPORATE AND LLC OFFICIALS		OMB No. 1513-0036 (11/30/2019)
NAME AND COMPLETE ADDRESS OF CORPORATION OR LLC		COMPLETE APPLICABLE INFORMATION <input type="checkbox"/> CHECK IF YOU ARE A NEW APPLICANT REGISTRY/PERMIT NO. DATE OF MEETING
BOARD MEETING <input type="checkbox"/> DIRECTORS <input type="checkbox"/> TRUSTEES <input type="checkbox"/> MANAGERS <input type="checkbox"/> GOVERNORS		
THE FOLLOWING CORPORATE/LLC OFFICIALS, EMPLOYEES, OR INCUMBENTS OF THE OFFICES LISTED ARE AUTHORIZED TO SIGN, OR TO APPOINT PERSONS AUTHORIZED TO SIGN, ALL DOCUMENTS UNLESS OTHERWISE SPECIFIED, SUBMITTED ON THE CORPORATION/LLC'S BEHALF TO THE ALCOHOL AND TOBACCO TAX AND TRADE BUREAU. OUTSIDE CONSULTANTS MAY NOT APPOINT OTHERS TO SIGN ON THE CORPORATION/LLC'S BEHALF.		
I certify that this is true and complete and that the above authorization was granted at the cited meeting of the board.		CORPORATE/LLC SEAL
SIGNATURE	PRINTED NAME	<input type="checkbox"/> NO SEAL <i>(If no seal, attach a resolution or meeting minutes that support the authority/ies identified above.)</i>
TITLE	DATE	
<b>INSTRUCTIONS</b>		
Prepare and submit to the Director, National Revenue Center, Alcohol and Tobacco Tax and Trade Bureau, in duplicate. Each copy must be signed in ink by a corporate/LLC official and be embossed with the corporate/LLC seal (if any). This form may be used to list the corporate/LLC officials, or employees (if any) who are authorized by the corporation, the trustee, or the board of directors in adopted resolutions or motions, to act on behalf of the corporation or to sign its name. If the authorization to sign is granted by position title, rather than to specific individuals by name, a new authorization will not be needed each time a change of incumbent occurs. However, if you list an individual's name along with a title/position, the authority is limited to the period of time that the specific individual holds the specific title/position. If an individual or incumbent's authority is restricted to a certain area of expertise or specific documents, identify the limitation next to the designation. WHERE THE AUTHORIZATION IS NOT GRANTED BY THE ARTICLES OF INCORPORATION OR ORGANIZATION, THE BY-LAWS, OR ACTION BY THE BOARD OF DIRECTORS OR MANAGING MEMBERS, TTB F 5000.6, POWER OF ATTORNEY, MUST BE SUBMITTED.		
<b>PAPERWORK REDUCTION ACT NOTICE</b>		
This request is in accordance with the Paperwork Reduction Act of 1995. This information collection is used by TTB to ensure that only duly authorized individuals are signing documents. This information is voluntary. The estimated average burden associated with this collection of information is .25 hours per respondent or recordkeeper depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to the Reports Management Officer, Regulations and Rulings Division, Alcohol and Tobacco Tax and Trade Bureau, Washington, DC 20220. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a current, valid OMB control number.		
TTB F 5000.4 (12/31/2017)		



<p><b>PRINCIPAL/OBLIGOR</b></p> <p><b>TERMS OF THIS BOND</b></p> <p>The Type of Activity (distiller, warehouseman, processor, adjacent wine cellar, or alcohol fuel producer) and the premises covered by this bond are specified on page 2 of the bond and, if necessary, on an additional sheet appropriately identified and attached to this bond.</p> <p><b>PURPOSE:</b> The above principal has filed an application for registration of the distilled spirits plant(s) specified.</p> <p><b>DEFINITIONS:</b> Definitions pertinent to this bond:  <b>PRINCIPAL:</b> The proprietor of the distilled spirits plant premises covered by a surety bond.  <b>OBLIGOR:</b> The proprietor of the distilled spirits plant premises covered by a collateral bond.  <b>COLLATERAL BOND:</b> A bond secured by tangible assets such as cash or United States Treasury Bond or Note.  <b>CONDITIONS:</b> The above principal/obligor and surety (sureties) are bound independently and jointly for the payment to the United States in the above amounts of lawful money of the United States. In this bond, the terms principal or surety include the heirs, executors, administrators, successors, and assigns of the principal/obligor or surety.</p> <p>If this bond covers only withdrawals, the following clauses 4, 5, 6, and 7 do not apply.  If this bond covers only operations, the following clause 3 does not apply.  If this bond covers only alcohol fuel production operations, the following clauses 3 and 7 do not apply.</p> <p><b>THE PRINCIPAL/OBLIGOR MUST:</b></p> <ol style="list-style-type: none"> <li>(1) Comply with all requirements of law and regulations, now or hereafter in force, relating to the activities covered by this bond.</li> <li>(2) Pay all penalties incurred and fines imposed for violations of law or regulations, now or hereafter in force, relating to the activities covered by this bond.</li> <li>(3) Pay all taxes (including any penalties and interest in respect of failure to file a timely return, or to pay such tax when due) on distilled spirits withdrawn tax-determined from bonded premises imposed under 26 U.S.C. Chapter 51.</li> <li>(4) Pay all taxes (including any penalties and interest) imposed under 26 U.S.C. Chapter 51, including taxes on all unexplained shortages of bottled distilled spirits.</li> <li>(5) Comply with all requirements of law and regulations, now or hereafter in force, pertaining to all distilled spirits (including denatured spirits, fuel alcohol, and article) removed from or returned to the bonded premises free of tax.</li> <li>(6) With respect to distilled spirits withdrawn from the bonded premises without payment of tax as authorized by law, (a) comply with all requirements of law and regulations, now or hereafter in force relating thereto, and (b) as to said distilled spirits or any part thereof withdrawn, for example, for exportation, or for use on vessels or aircraft, or for transfer to a foreign-trade zone, or for transfer to a Customs bonded warehouse, or for research, development, or testing, and not so exported, used or transferred, or otherwise lawfully disposed of or accounted for, pay the tax imposed thereon by law, now or hereafter in force, together with penalties and interest; and</li> <li>(7) As the proprietor of a bonded wine cellar, pay all taxes imposed by law, now or hereafter in force, (including any penalties and interest) for which he/she may become liable with respect to operation of the said bonded wine cellar, and all distilled spirits and wine now or hereafter in transit thereto or received thereat, and on all distilled spirits and wine removed therefrom, including wine withdrawn without payment of tax, on notice by principal, for exportation, or use on vessels or aircraft, or transfer to a Customs bonded warehouse, or transferred to a foreign-trade zone, and not so exported, used, or transferred, or otherwise lawfully disposed of or accounted for; provided, that up to \$500 of the operations coverage of a \$1,000 bond (\$1,000 operations coverage of a bond of \$2,000 or more) may be applied to taxes that have been determined, but not paid on wine removed from premises.</li> </ol> <p><b>CHANGE OF PREMISES:</b> All stipulations, covenants, and agreements of this bond will extend to and apply to any change in the business address of the premises, the extension or curtailment of such premises, including the buildings thereon, or any equipment or any other change which requires the principal/obligor to file a new or amended registration, application, or notice, except where the change constitutes a change in the proprietorship of the business, or in the location of the premises. Further, this bond will continue in effect whenever operations of the plant are resumed from time to time following suspension of operations by an alternate proprietor.</p> <p><b>TREASURY COLLATERAL BONDS:</b> If this bond is filed as a collateral bond secured by a Treasury Note or Bond in an approved Department of Treasury holding account, this bond is secured by the Treasury collateral identified on the face of the bond and any Treasury collateral resulting from roll over of the previous Treasury collateral. The Treasury collateral identified in this bond will automatically roll over upon maturity unless the obligor notifies the National Revenue Center at least 45 days prior to maturity.</p> <p><b>DEFAULT:</b> If the principal/obligor of a surety bond fails to fulfill any of the terms or conditions of this bond, the United States may seek compensation and pursue its remedies independently from either the principal/obligor or surety, or jointly from both. The surety hereby waives any right of privilege it may have of requiring, upon notice, or otherwise, that the United States will first commence action, intervene in any action of any nature whatsoever already commenced or otherwise exhaust its remedies against the principal/obligor.</p> <p>If the obligor of a collateral bond fails to fulfill any of the terms or conditions of this bond, the United States may apply any outstanding tax liability (including any penalties or interest) against the collateral deposited.</p> <p><b>EFFECTIVE DATE:</b> If accepted by the United States, the bond will be effective according to its terms on and after the effective date without notice to the obligors. Provided, that if no effective date is inserted in the space provided, the date of execution shown on page 1 of the bond will be the effective date of the bond.</p>	<p><b>DATE</b></p>												
<p><b>ACKNOWLEDGE TERMS BELOW:</b></p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:25%;">PRINCIPAL/OBLIGOR</td> <td style="width:25%;">INITIAL(S)</td> <td style="width:25%;">DATE</td> <td style="width:25%;">SURETY</td> <td style="width:25%;">INITIAL(S)</td> <td style="width:25%;">DATE</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </table> <p style="text-align: center;">PAGE 3 OF 4 <span style="float: right;">TTB F 5110.56 (12/2007)</span></p>		PRINCIPAL/OBLIGOR	INITIAL(S)	DATE	SURETY	INITIAL(S)	DATE						
PRINCIPAL/OBLIGOR	INITIAL(S)	DATE	SURETY	INITIAL(S)	DATE								

<p><b>DEPARTMENT OF THE TREASURY</b>  <b>ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB)</b>  <b>CHANGE IN BOND (CONSENT OF SURETY)</b></p>	
<p>1. What is the legal name of your business (read instruction G)?</p> <p>3. What is your permit number or registry number listed on the bond that you are changing (read instruction I)?</p> <p>5. What is the form number of the bond that you are changing?</p> <p>7. What is the effective date of the bond that you are changing?</p> <p>9. We are changing the above bond as follows:</p>	<p>2. What is your Employer Identification Number (read instruction H)?</p> <p>4. What is the corporate surety, if any, listed on the bond that you are changing (read instruction J)?</p> <p>6. What is the dollar amount of the bond that you are changing?</p> <p>8. What is the effective date of this change in bond? (If no effective date is stated, the effective date is the date of its execution shown in item 10a.)</p>
<p>10a. We bind ourselves to this change and witness our hands and seals this _____ day of _____.</p>	
<p>10b. Signature for your business _____  (Read instruction K)</p> <p>Printed name and title _____</p> <p>Seal of your business _____</p> <p>Signature of two witnesses _____</p> <p>Printed names of two witnesses _____</p>	<p>10c. Signature for corporate surety _____  (Read instruction K)</p> <p>Printed name and title _____</p> <p>Corporate seal of surety _____</p>
<p><b>FOR TTB USE ONLY</b></p>	
<p>On behalf of the United States of America, I approve and accept this consent of surety.</p>	
<p>11a. _____  Authorized TTB Official (Signature and Title)</p>	<p>11b. _____  Date Approved</p>
<p>TTB F 5000.18 (09/2007)</p>	



## Change in Bond (Consent of Surety)

- **A Consent is required when:**
  - Untaxpaid spirits move over general premises (27 CFR 19.98)
  - Spirits in Customs custody move over DSP premises (27 CFR 19.99)
  - Spirits or SDA "Returned to Bond" (27 CFR 19.685)
  - Voluntary Destruction Off Bonded Area (27 CFR 19.691)
  - Alternating Operations (27 CFR 19.201-.204)
  - May be required when a VARIANCE is obtained

Alcohol and Tobacco Tax and Trade Bureau

OMB No. 1513-0023 (07/31/2005)

DEPARTMENT OF THE TREASURY  
ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB)  
ENVIRONMENTAL INFORMATION

INSTRUCTIONS

1. **COMPLETION.** Answer all items in sufficient detail or as not applicable to your activity. The information on all items should relate to the activity in which the Bureau has an interest. If additional space is required for any item, please attach a separate sheet identified by the item number of this form. Your answers are evaluated by the Bureau to determine whether the activity will have a significant effect on the environment. If TTB F 5000.20, Supplemental Information on Water Quality Considerations Under 39 U.S.C. 1341(a), is also being submitted for your activity, you may make reference to any relevant information given on TTB F 5000.20 for items 6 and 7 of this form.

2. **FILING.** Submit an original and one copy of this form to the Director, National Revenue Center, 550 Main St., Ste 9002, Cincinnati, OH 45202-5215.

3. **DISPOSITION.** After final action taken on the related application or other document, the copy of this form will be returned to the applicant.

1. Name and Principal Business Address of Applicant	2. Description of Activity in which Alcohol and Tobacco Tax and Trade Bureau has an Interest	3. Number of Employees
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4. **Location Where Activity is to be Conducted.** (Be specific: Number, Street, City, State, ZIP Code; describe locations of buildings and outside equipment and their situation relative to surrounding environment including other structures, and use, lakes, streams, roads, railroad facilities, etc. Maps, photos, or drawings may be provided.)

5. **Heat and Power:**

A. Describe types of heat and power to be used and their sources. If they are to be produced in connection with the proposed activity, estimate type and quantity of fuel to be used for each purpose. (Example: 40 tons/yr, anthracite coal for heat, 20 million cu. ft./yr. natural gas for power generating.)

B. Describe any air pollution control equipment proposed for use in connection with fuel burning equipment, boilers, or smokestacks.

6. **Solid Waste:**

A. Describe amount and composition of all solid waste to be generated.

B. Discuss proposed methods of disposal (incineration, open burning, landfill, government or commercial garbage collection, etc.) Specify whether on-site or off-site.

C. Describe any air pollution control equipment proposed for use in connection with any incinerators.

TTB F 5000.20 (5-2005)



7. Liquid Waste (Complete this item irrespective of any certification obtained as to compliance with any environmental quality standards of any Federal, State, or local agency having responsibility for environmental protection including any certification under the Federal Water Pollution Control Act.)

A. Describe amount and content of any liquid waste to be generated.

B. Describe proposed method of disposal (Sewer, flaring, recycling, etc.). Describe any proposed means to monitor quality and characteristics, and any proposed equipment or facilities for treatment or control of liquid waste.

8. Noise (Describe operational noise sources other than those normally associated with office operations, building maintenance, or utilities.)

UNDER PENALTIES OF PERJURY, I DECLARE THAT I HAVE EXAMINED THE INFORMATION SHOWN ON THIS FORM AND, TO THE BEST OF MY KNOWLEDGE AND BELIEF, IT IS TRUE, CORRECT AND COMPLETE. I AGREE THAT COPIES OF THIS FORM MAY BE FURNISHED TO CONCERNED FEDERAL, STATE, AND LOCAL AGENCIES HAVING RESPONSIBILITIES FOR ENVIRONMENTAL PROTECTION AND THAT THE INFORMATION HEREON MAY BE USED IN THE PREPARATION OF AN ENVIRONMENTAL STATEMENT PURSUANT TO THE REQUIREMENTS OF THE NATIONAL ENVIRONMENTAL POLICY ACT, 42 U.S.C. 4332.

9. Date \_\_\_\_\_ 10. Applicant \_\_\_\_\_ 11. By (Signature and Title) \_\_\_\_\_

Alcohol and Tobacco Tax and Trade Bureau Determination of Effect. After consideration of all available environmental information relevant to the proposed activity, it is determined that:

The conduct of the activity described in item 2, pursuant to issuance or approval of the \_\_\_\_\_ (Specify whether application, bond, formula, permit, license, etc.)

will  will not significantly affect the environment.

Signature of Director, National Revenue Center \_\_\_\_\_ Date \_\_\_\_\_

PAPERWORK REDUCTION ACT NOTICE

This request is in accordance with Section 3507, Public Law 96-511, Paperwork Reduction Act of 1995. This information collection is used by TTB to determine if any environmental impact statement or environmental permit is necessary for its proposed operation. The information is required to obtain a license.

The estimated average burden associated with this collection of information is 30 minutes per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to Reports Management Officer, Regulations and Procedure Division, Alcohol and Tobacco Tax and Trade Bureau, Washington, DC 20200.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

TTB F 5006.09 (4/2004)

Form Approval: OMB No. 1512-0100 (06/30/05)

DEPARTMENT OF THE TREASURY  
BUREAU OF ALCOHOL, TOBACCO AND FIREARMS  
SUPPLEMENTAL INFORMATION ON WATER QUALITY CONSIDERATIONS  
- UNDER 33 U.S.C. 1341(a)  
INSTRUCTIONS

1. COMPLETION. Answer all items in sufficient detail if applicable to your activity. If necessary, continue on reverse side of this form or a separate sheet. Your answers are evaluated to determine if certification or waiver by the applicable State Water Quality Agency is required under Section 21 of the Federal Water Pollution Control Act (33 U.S.C. 1341(a)).

2. FILING. Submit an original and copy of this form with the related application or other document, to the District Director (Regulatory Enforcement), Bureau of Alcohol, Tobacco and Firearms. This form must be completed and submitted even though three copies of the required certification or waiver have been sent to the District Director (Regulatory Enforcement) or is attached to this form.

3. DISPOSITION. After final action is taken on the related application or other document, the copy of this form will be returned to the applicant.

APPLICATION RELATED TO THIS RIDER

1. FORM NUMBER \_\_\_\_\_ 2. APPLICATION DATE \_\_\_\_\_ 3. SERIAL NUMBER \_\_\_\_\_

4. NAME AND PRINCIPAL BUSINESS ADDRESS OF APPLICANT (Number, street, city, county, State, and ZIP code) \_\_\_\_\_ 5. PLANT ADDRESS (if different from address in item 4) \_\_\_\_\_

6. DESCRIBE ACTIVITY TO BE CONDUCTED IN WHICH THE BUREAU OF ALCOHOL, TOBACCO AND FIREARMS HAS AN INTEREST.

7. DESCRIBE ANY DIRECT OR INDIRECT DISCHARGE INTO NAVIGABLE WATERS WHICH MAY RESULT FROM THE CONDUCT OF THE ACTIVITY DESCRIBED IN ITEM 6, INCLUDING THE BIOLOGICAL, CHEMICAL, THERMAL, OR OTHER CHARACTERISTIC OF THE DISCHARGE AND THE LOCATIONS AT WHICH SUCH DISCHARGE MAY ENTER NAVIGABLE WATERS.

8. GIVE THE DATE OR DATES ON WHICH THE ACTIVITY WILL BEGIN AND END, IF KNOWN, AND ON WHICH THE DISCHARGE WILL TAKE PLACE.

9. DESCRIBE THE METHODS AND MEANS USED OR TO BE USED TO MONITOR THE QUALITY AND CHARACTERISTICS OF THE DISCHARGE AND THE OPERATION OF EQUIPMENT OR FACILITIES EMPLOYED IN THE TREATMENT OR CONTROL OF WASTES OR OTHER EFFLUENTS.

10. I certify that I have examined this rider and, to the best of my knowledge and belief, it is true, correct, and complete and that copies of this rider may be furnished to the applicable State Water Quality Agency and the Regional Administrator, Environmental Protection Agency.

11. APPLICANT \_\_\_\_\_ 12. BY (Signature and title) \_\_\_\_\_

ATF F 5006.30 (2-87) (Formerly ATF F 1748.2)

DEPARTMENT OF THE TREASURY ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB) <b>APPLICATION FOR TRANSFER OF SPIRITS AND/OR DENATURED SPIRITS IN BOND</b> <small>(See instructions on reverse.)</small>		OMB No. 1513-0038 (09/30/2006) 1. SERIAL NUMBER (Begin with "1" each January 1)
APPLICATION IS MADE FOR TRANSFER OF SPIRITS AND/OR DENATURED SPIRITS IN BOND, AS INDICATED BELOW		
PART I - APPLICATION		
2. TO BE TRANSFERRED		
<input type="checkbox"/> SPIRITS	a. PLANT NUMBER	9. TRANSFERS WILL BE RECEIVED AT:
<input type="checkbox"/> DENATURED SPIRITS		b. ADDRESS
4. TRANSFERS WILL BE MADE FROM:		
a. PLANT NUMBER	b. ADDRESS	c. OPERATED BY
5. BOND INFORMATION (Complete 5a, plus 5b, or 5c.)		
a. APPROVAL DATE OF MY BOND (TTB F 5110-56) IS:	b. <input type="checkbox"/> I HAVE MAXIMUM BOND COVERAGE UNDER 27 CFR 19.245. NO LIMIT TO AMOUNT OF SHIPMENTS	c. <input type="checkbox"/> I HAVE LESS THAN MAXIMUM BOND COVERAGE UNDER 27 CFR 19.245. MY AMOUNT OF OPERATIONS COVERAGE IS: \$
6. SHIPMENT INFORMATION (Complete 6a, and/or 6b, below ONLY IF 5c ABOVE IS CHECKED)		
a. <input type="checkbox"/> QUANTITY OF SPIRITS AUTHORIZED TO BE TRANSFERRED (Computation: Amount shown in 5c, above divided by \$13.50 per proof gallon):	PROOF GALLONS ▶	b. <input type="checkbox"/> QUANTITY OF DENATURED SPIRITS AUTHORIZED TO BE TRANSFERRED (Computation: Amount shown in 5c, above divided by \$27.00 per wine gallon):
	WINE GALLONS ▶	
IMPORTANT NOTICE: THE PROPRIETOR IS RESPONSIBLE FOR ENSURING THAT THE LIABILITY ON ALL SPIRITS AND DENATURED SPIRITS "ON HAND" AND "IN TRANSIT" WILL NOT EXCEED THE BOND COVERAGE AS SHOWN IN 5c, ABOVE.		
7. REMARKS		
8. DATE	9. PROPRIETOR	10. BY (Signature and Title)
PART II - APPROVAL		
I certify the penal sum of the applicant's bond is sufficient to cover the spirits and/or denatured spirits indicated. APPLICATION IS APPROVED.		
11. DATE	12. SIGNATURE OF DIRECTOR, NATIONAL REVENUE CENTER	
TTB F 5100-16 (5/2006)		

DEPARTMENT OF THE TREASURY ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB) <b>PERSONNEL QUESTIONNAIRE - ALCOHOL AND TOBACCO PRODUCTS</b> <small>SUPPLEMENTAL TO APPLICATION FOR PERMIT FILED BY:</small>		OMB No. 1513-0002 (11/20/05)	DATE
TRADE OR CORPORATE NAME TO BE USED (If any)		BUSINESS ADDRESS OF FIRM (No. street, city, State and ZIP Code)	TELEPHONE NUMBER
FULL NAME OF APPLICANT (Do not use initials)		NAME USUALLY USED	IF A MARRIED WOMAN, GIVE FULL MAIDEN NAME & DATE OF MARRIAGE
LEGAL RESIDENCE (No. street, city, State and ZIP Code)		TELEPHONE NUMBER	BUSINESS ADDRESS (No. street, city, State and ZIP Code)
<input type="checkbox"/> MALE	HEIGHT FT. IN.	WEIGHT LBS.	COLOR OF HAIR
<input type="checkbox"/> FEMALE			COLOR OF EYES
POSITION OR TITLE		PLACE OF BIRTH	DATE OF BIRTH SOCIAL SECURITY NO.
DESCRIPTION OF DUTIES OR RELATION TO THE PROPOSED OPERATION			
FATHER'S NAME		MOTHER'S MAIDEN NAME	
If the answer to any of the above questions, 1 through 6 is "YES," give full details under remarks or on a separate sheet, taking care to number the reply to correspond with the question. Convictions, arrests, or charges for minor traffic violations need not be reported.			
1. HAVE YOU EVER BEEN KNOWN BY ANY OTHER NAME (include nicknames, aliases)?			
2. HAVE YOU EVER BEEN ARRESTED FOR ANY VIOLATION OF ANY FEDERAL OR STATE LAW RELATING TO LIQUOR OR TOBACCO PRODUCTS?			
3. HAVE YOU EVER BEEN ARRESTED FOR VIOLATION OF ANY OTHER FEDERAL OR STATE LAW?			
4. HAVE YOU EVER BEEN CONVICTED OF ANY FELONY OR MISDEMEANOR UNDER FEDERAL OR STATE LAW?			
5. HAVE YOU EVER BEEN COMPROMISED BY PAYMENT OF FINES OR OTHERS, ANY VIOLATION OF ANY FEDERAL LAW RELATING TO INTERNAL REVENUE OR CUSTOMS TAXATION OF DISTILLED SPIRITS, WINES, BEER OR TOBACCO PRODUCTS?			
6. HAS DISAPPROVAL EVER BEEN GIVEN TO ANY APPLICATION OR NOTICE OF INTENTION TO MANUFACTURE, USE, STORE, RECTIFY, BOTTLE, DISTRIBUTE, SELL, IMPORT, OR TRANSPORT ALCOHOL, DENATURED SPIRITS, DISTILLED SPIRITS, BEER, WINES, OR TOBACCO PRODUCTS FILED BY YOU OR ANY FIRM OR CORPORATION OF WHICH YOU WERE PROPRIETOR OR A PARTNER, OFFICER, DIRECTOR, PRINCIPAL, STOCKHOLDER, OR RESPONSIBLE EMPLOYEE?			
IF ANSWER IS "YES," STATE NAME UNDER WHICH APPLICATION WAS FILED AND REASONS FOR DISAPPROVAL.			
7. ARE YOU A CITIZEN OF THE UNITED STATES OF AMERICA?			
a. IF NATURALIZED, GIVE DATE AND LOCATION WHERE NATURALIZATION PAPERS WERE ISSUED.			
b. IF NOT A CITIZEN, GIVE CURRENT CITIZENSHIP STATUS.			
8. HAVE YOU AS AN INDIVIDUAL OR IN CONNECTION WITH A PARTNERSHIP FIRM OR CORPORATION EVER BEEN CONNECTED WITH A FEDERAL PERMIT OR APPROVED NOTICE TO MANUFACTURE, USE, STORE, RECTIFY, BOTTLE, DISTRIBUTE, SELL, DEAL IN, IMPORT OR TRANSPORT OR TRANSPORT ALCOHOL, DENATURED SPIRITS, DISTILLED SPIRITS, BEER, WINES, OR TOBACCO PRODUCTS?			
IF THE ANSWER IS "YES," GIVE THE FOLLOWING AS APPLICABLE:			
a. PERMIT NUMBER, IF KNOWN		c. NAME AND ADDRESS UNDER WHICH PERMIT WAS ISSUED	
b. PERIOD COVERED			
d. IF DISCONTINUED, WHEN & WHY?			
e. IF REVOKED, WAS SETTLEMENT MADE OF CIVIL LIABILITIES INCURRED THEREUNDER? IF "YES," WHEN? IF NO LIABILITIES, SO STATE.			
9. HAVE YOU EVER BEEN OR ARE YOU NOW EMPLOYED BY ANY PERSON, FIRM OR CORPORATION MANUFACTURING OR EXPORTING TAX-EXEMPT, TOBACCO PRODUCTS; PRODUCING, STORING, RECTIFYING, BOTTLING, SELLING, IMPORTING, OR DEALING IN DISTILLED SPIRITS, WINES, BEER, ALCOHOL, OR DENATURED SPIRITS; USING OR DISTRIBUTING DENATURED SPIRITS; OR USING (OTHER THAN FOR PERSONAL USE) DISTILLED SPIRITS OR ALCOHOL?			
IF THE ANSWER IS "YES," GIVE THE FOLLOWING:			
a. WHEN EMPLOYED		b. IN WHAT CAPACITY	
		c. NAME AND ADDRESS OF PERSON, FIRM, OR CORPORATION	
TTB F 5000-9 (4/2004)			

10. EMPLOYMENT FOR PAST 10 YEARS			
PERIOD		POSITION	NAME AND ADDRESS OF EMPLOYER (No. street, city, county, State, ZIP Code) (Include nature, periods, and addresses of self-employment)
FROM	TO		

11. NAMES AND ADDRESSES (No. street, city, county, State, and ZIP Code) OF FIVE REFERENCES, INCLUDING AT LEAST ONE BANK REFERENCE, AS TO YOUR CHARACTER AND BUSINESS RESPONSIBILITY. (Do not include relatives or employers listed in item 10.)

NAME	RESIDENCE	BUSINESS NAME AND ADDRESS	TELEPHONE NUMBER
BANK REFERENCE:			
CHARACTER/BUSINESS REFERENCE			
CHARACTER/BUSINESS REFERENCE			
CHARACTER/BUSINESS REFERENCE			
CHARACTER/BUSINESS REFERENCE			
CHARACTER/BUSINESS REFERENCE			

12. ARE YOU RATED BY ANY COMMERCIAL CREDIT REPORTING AGENCY?  
 YES  NO IF ANSWER IS "YES" GIVE NAME AND ADDRESS OF AGENCY AND DETAILS OF RATING.

13. RESIDENCES FOR PAST TEN YEARS (Give street address, city, county, State and ZIP Code)	
PERIOD	ADDRESS
FROM	TO

TTB F 5000.9 (10/2004)

14. INVESTMENTS	
a. AMOUNT OF YOUR INVESTMENT IN THE BUSINESS TO DATE. (If any)	\$
b. SOURCE OF FUNDS INVESTED (e.g., personal savings, loans, etc. give name and address of institution in which funds are on deposit or name and address of lender including account number, if applicable)	

**CERTIFICATION**

Under the penalties of perjury, I declare that this statement, including the documents submitted in support thereof, has been examined by me and, to the best of my knowledge and belief, is true, correct, and complete.

SIGNATURE OF APPLICANT \_\_\_\_\_ DATE \_\_\_\_\_

REMARKS (Continue on reverse or on a separate sheet, if necessary)

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**PRIVACY ACT STATEMENT**

The following information is provided pursuant to Section 3 and 7(b) of the Privacy Act of 1974 (5 U.S.C. §§552a(h)(3)):

- AUTHORITY.** Solicitation of this information is made pursuant to the following statutes: 28 U.S.C. §§9171(b), 5271(b), 5395, 5401(a), 5802(b), 5817(d), 5715, and 27 U.S.C. §205(c). Disclosure of the information by an applicant is mandatory if the applicant wishes to engage in any of the businesses regulated pursuant to the above described statutes.
- PURPOSE.** To enable TTB to determine the eligibility, suitability, and/or qualifications of an applicant who proposes to engage in a business regulated by TTB.
- ROUTINE USES.** The information will be used by TTB to make the determinations set forth in paragraph 2. In addition, the information may be disclosed to other Federal, State, foreign and local law enforcement and regulatory agency personnel to verify information on the form where such disclosure is not prohibited by law. The information may further be disclosed to the Justice Department if it appears that the furnishing of false information may constitute a violation of Federal law. Finally, the information may be disclosed to members of the public in order to verify the information on the form where such disclosure is not prohibited by law.
- EFFECTS OF NOT SUPPLYING INFORMATION REQUESTED.** Failure to provide complete information may not prevent TTB from making an informed judgment regarding the eligibility, suitability and/or qualification of the applicant. This may result in either a delay in the approval of an application or its disapproval.
- DISCLOSURE OF SOCIAL SECURITY NUMBER.** Disclosure of the individual social security number is voluntary. Pursuant to the statute above, TTB is authorized to solicit this information. The number may be used to verify the individual's identity.

**PAPERWORK REDUCTION ACT NOTICE**

This request is in accordance with the Paperwork Reduction Act of 1995. The information collection is used by TTB to determine if an applicant is eligible to receive an alcohol and tobacco permit. The information is mandatory (28 U.S.C. 5715, 27 U.S.C. 205).

The estimated average burden associated with the collection of information is 2 hours per respondent or record-keeper, depending on individual circumstances. Comments concerning the accuracy of the burden estimate and suggestions for reducing the burden should be addressed to Records Management Officer, Regulations and Procedures Division, Alcohol and Tobacco Tax and Trade Bureau, Washington, DC 20200.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

TTB F 5000.9 (10/2004)



## Organizational Document Required

- **Articles of Incorporation or Organization**
- **Certificate of Incorporation/LLC Existence**
- **Bylaws or Operating Agreement**
- **Authorization to Operate as a Foreign Entity in Another State**
- **Trade Name Registration**
- **List of directors, officers, and those persons holding 10% or more interest or shares**
  - **With their names and addresses**

Alcohol and Tobacco Tax and Trade Bureau



## Contact the NRC for Help

- **Mailing Address:**  
**TTB National Revenue Center**  
**550 Main St. Suite 8002**  
**Cincinnati, OH 45202**
- **Phone: 1-877-882-3277 (toll free) or**  
**513-684-7150**
- **E-mail: [ttbquestions@ttb.gov](mailto:ttbquestions@ttb.gov)**
- **Online: [www.ttb.gov](http://www.ttb.gov)**

Alcohol and Tobacco Tax and Trade Bureau